



TO COUNCILLOR:

N Alam
L A Bentley
G A Boulter
J W Boyce
Mrs L M Broadley

F S Broadley
R F Eaton
D A Gamble (Chair)
Mrs S Z Haq
Miss P V Joshi

J Kaufman
Mrs L Kaufman
K J Loydall
D W Loydall
Dr I K Ridley (Vice-Chair)

Dear Sir or Madam

I hereby **SUMMON** you to attend a meeting of the **POLICY, FINANCE AND DEVELOPMENT COMMITTEE** to be held at the **COUNCIL OFFICES, STATION ROAD, WIGSTON** on **TUESDAY, 14 SEPTEMBER 2021** at **7.00 PM** for the transaction of the business set out in the Agenda below.

Yours faithfully

Council Offices
Wigston
06 September 2021

Mrs Anne E Court
Chief Executive



IMPORTANT COVID-19 NOTICE

In-person Council and Committee meetings which are open to the press and public to observe have resumed from 7 May 2021 following the expiry of the Regulations that allowed local authorities to hold remote meetings.

Whilst most of these meetings will take place in the Council Chamber at the Council Offices in Wigston, it may be necessary to host a meeting at an alternative venue and/or at short notice. This will allow all attendees to maintain social distancing and follow the latest COVID-secure guidelines.

If attending an in-person meeting, all attendees must wear a face covering (unless exempt or when seated) and must sanitise their hands on entry and exit to/from the meeting venue. Meeting venue capacity will be severely restricted due to COVID-19 regulations, however there will still be opportunities for public participation in accordance with the Council's Constitution.

Where the necessary technology is available and working, the press and public may still be able to watch the live streams of meetings without having to attend in-person. Instructions on how to access live streams can be found below where applicable. At a minimum, audio recordings of meetings will be made available on the Council's website shortly after any given meeting.

ITEM NO.

AGENDA

PAGE NO'S

1. Apologies for Absence

To receive apologies for absence from Members to determine the quorum of the meeting in accordance with Rule 7 of Part 4 of the Constitution.



Postal Address: Council Offices, Station Road, Wigston, Leicestershire LE18 2DR

Refuse & Recycling Centre: The Depot, Wigston Road, Oadby, Leicestershire LE2 5JE

Tel: (0116) 288 8961 **Fax:** (0116) 288 7828 **Email:** csc@oadby-wigston.gov.uk



oadby-wigston.gov.uk

~ Page 1 ~



OadbyWigstonBC



@Oadby_Wigston

2. Appointment of Substitutes

To appoint substitute Members in accordance with Rule 26 of Part 4 of the Constitution and the Substitution Procedure Rules.

3. Declarations of Interest

Members are reminded that any declaration of interest should be made having regard to the Members' Code of Conduct. In particular, Members must make clear the nature of the interest and whether it is 'pecuniary' or 'non-pecuniary'.

4. Minutes of the Previous Meeting

4 - 6

To read, confirm and sign the minutes of the previous meeting in accordance with Rule 19 of Part 4 of the Constitution.

5. Action List Arising from the Previous Meeting

There was no Action List arising from the previous meeting.

6. Petitions and Deputations

To receive any Petitions and, or, Deputations in accordance with Rule(s) 11 and 12 of Part 4 of the Constitution and the Petitions Procedure Rules respectively.

7. Treasury Management Annual Report (2020/21)

7 - 21

Report of the Head of Finance / Acting Section 151 Officer

8. Financial Outturn Report (Q1 2021/22)

22 - 28

Report of the Head of Finance / Acting Section 151 Officer

9. Standards & Ethical Indicators (Q1 2021/22)

29 - 38

Report of the Head of Law & Democracy / Monitoring Officer

10. Exclusion of the Press and Public

The press and public are likely to be excluded from the remainder of the meeting in accordance with Section 100(A)(4) of the Local Government Act 1972 (Exempt Information) during consideration of the item(s) below on the grounds that it involves the likely disclosure of exempt information, as defined in the respective paragraph 3 of Part 1 of Schedule 12A of the Act and, in all the circumstances, the public interest in maintaining the exempt item(s) outweighs the public interest in disclosing the information.

11. Capital Programme Budget Update Report (2021/22) [Exempt]

To Follow

Exempt Report of the Head of Finance / Acting Section 151 Officer

For more information, please contact:

Democratic Services

Oadby and Wigston Borough Council
Council Offices
Station Road, Wigston
Leicestershire
LE18 2DR

**You can access all available public meeting documents
and audio-visual live streams and recordings electronically on:**



Our website **oadby-wigston.gov.uk** under **'Your Council'** and **'Meeting Dates, Agendas & Minutes'**



Your smart **iPad, Android** or **Windows** tablet device with the **'Modern.Gov'** app



Our **YouTube** Channel **ow.ly/FYQW50zDNkc** or smart device with the **'YouTube'** app (facilitated by **'Zoom'**)



Our audio platform **soundcloud.com/oadbywigstonbc** or smart device with the **'SoundCloud'** app

Agenda Item 4

**MINUTES OF THE MEETING OF THE POLICY, FINANCE AND DEVELOPMENT COMMITTEE
HELD AT WIGSTON ACADEMY, STATION ROAD, WIGSTON, LEICESTERSHIRE, LE18 2DT
ON TUESDAY, 29 JUNE 2021 COMMENCING AT 7.00 PM**

PRESENT

Dr I K Ridley Vice-Chair, in the Chair
G A Boulter Acting Vice-Chair



COUNCILLORS

N Alam
J W Boyce
Mrs L M Broadley
F S Broadley
Miss P V Joshi
J Kaufman
Mrs L Kaufman
K J Loydall
D W Loydall

OFFICERS IN ATTENDANCE

C Campbell Head of Finance / Deputy Section 151 Officer
D M Gill Head of Law & Democracy / Monitoring Officer
Ms M A Kind Corporate Asset Manager
A Thorpe Head of Built Environment
S Tucker Democratic & Electoral Services Manager / Deputy Monitoring Officer
J Wells Senior Environmental Health Officer / COVID-19 Lead

OTHERS IN ATTENDANCE

J Salmen Petitioner

37. APOLOGIES FOR ABSENCE

An apology for absence was received from Councillors L A Bentley, R F Eaton, D A Gamble, Mrs S Z Haq.

In Councillor D A Gamble's absence, by affirmation of the meeting it was

UNANIMOUSLY RESOLVED THAT:

Councillor G A Boulter be appointed as acting Vice-Chair for the duration of the meeting.

38. APPOINTMENT OF SUBSTITUTES

None.

39. DECLARATIONS OF INTEREST

None.

40. MINUTES OF THE PREVIOUS MEETING

By affirmation of the meeting, it was

UNANIMOUSLY RESOLVED THAT:

The minutes of the previous meeting held on 16 March 2021 be taken as read, confirmed and signed.

41. ACTION LIST ARISING FROM THE PREVIOUS MEETING

There was no Action List arising from the previous meeting.

42. PETITIONS AND DEPUTATIONS

42a. 'KEEP CAR PARKING IN OADBY & WIGSTON FREE TO SUPPORT BUSINESSES AND YOUR LOCAL COMMUNITY'

The Committee gave consideration to the two submitted petitions concerning the Council's Car Park Strategy (2021-26), which were published in advance of the meeting on the Council's website and change.org. respectively.

Mr J Salmen, on behalf of the petitioners, was invited by the Chair to address the Committee. A written copy of the submission is attached to the meeting minutes at Appendix 1. Members of the Committee were then invited to question Mr Salmen, after which a general debate was held on the matter.

At the conclusion of the debate, Councillor J W Boyce thanked the petitioners for raising their concerns about the proposals and proposed a motion that:

- (i) the consultation responses be noted and considered by Officers;
- (ii) the Car Park Strategy (2021-26) be amended where appropriate to take account of the responses; and
- (iii) a draft order including detailed charges be published for further consultation.

The motion was seconded by G A Boulter and carried by affirmation of the Committee.

43. PROVISIONAL FINANCIAL OUTTURN REPORT (Q4 2020/21)

The Committee gave consideration to the report as set out on pages 7-13 of the agenda which asked it to note the overall Council position for the financial year 2020/21 at the end of the fourth quarter for both Revenue and Capital Expenditure.

A correction to paragraph 1.1 of the report was requested, to clarify that government grant funding had offset some, but not all costs associated with Covid-19.

By affirmation of the meeting, it was

UNANIMOUSLY RESOLVED THAT:

The content of the report and appendix be noted.

44. STANDARDS & ETHICAL INDICATORS (Q4 2020/21)

The Committee gave consideration to the report as set out on pages 14-23 of the agenda, which asked it to note the figures for local determination of complaints and the ethical indicators for the fourth quarter of 2020/21.

By affirmation of the meeting it was

UNANIMOUSLY RESOLVED THAT:

The content of the report and appendix be noted.

45. LOCAL DEVELOPMENT SCHEME (2021)

The Committee gave consideration to the report as set out on pages 24-41 of the agenda, which asked it to note the timetable for the Council's new Local Plan process.

It was moved by J W Boyce, seconded by Mrs L M Broadley and

RESOLVED THAT:

- (i) The content of the report be noted; and**
- (ii) The Local Development Scheme 2021 be approved.**

Votes For: 10
Votes Against: 0
Abstentions: 1

THE MEETING CLOSED AT 8.40 PM



Chair

Tuesday, 14 September 2021

*Printed and published by Democratic Services, Oadby and Wigston Borough Council,
Council Offices, Station Road, Wigston, Leicestershire, LE18 2DR*

Agenda Item 7



Policy, Finance and Development Committee	Tuesday, 14 September 2021	Matter for Information
--	-----------------------------------	-------------------------------

Report Title: **Treasury Management Annual Report 2020/21**

Report Author(s): **Comie Campbell (Head of Finance/Acting Section 151 Officer)**

Purpose of Report:	This report details the performance and activities of the authority's treasury management function for the financial year 2020/21.
Report Summary:	Treasury management is defined in the Code of Practice as " the management of the organisation's cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities and the pursuit of optimum performance consistent with those risks".
Recommendation(s):	That the content of the report and appendices be noted.
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	<p>Comie Campbell (Head of Finance/Acting Section 151 Officer) (0116) 257 2713 Comie.Cambell@Oadby-Wigston.gov.uk</p> <p>Deen Odunsi (Interim Finance Manager) (0116) 257 2731 Deen.Odsunsi@Oadby-Wigston.gov.uk</p> <p>Simon Ball (Technical Accountant) (0116) 257 2624 Simon.Ball@Oadby-Wigston.gov.uk</p>
Corporate Objectives:	Providing Excellent Services (CO3)
Vision and Values:	"A Stronger Borough Together" (Vision) Accountability (V1) Innovation (V4)
Report Implications:-	
Legal:	There are no implications arising from this report.
Financial:	The implications are as set out in this report.
Corporate Risk Management:	Decreasing Financial Resources / Increasing Financial Pressures (CR1) Reputation Damage (CR4) Regulatory Governance (CR6)
Equalities & Equalities Assessment (EA):	There are no implications arising from this report. EA not applicable
Human Rights:	There are no implications arising from this report.
Health and Safety:	There are no implications arising from this report.

Statutory Officers' Comments:-	
Head of Paid Service:	Unable to comment due to Annual Leave
Chief Finance Officer:	The report is satisfactory.
Monitoring Officer:	The report is satisfactory.
Consultees:	None.
Background Papers:	<ul style="list-style-type: none"> • Treasury Policy 2020/21 • Treasury Strategy 2020/21 • Investment Strategy 2020/21
Appendices:	<ol style="list-style-type: none"> 1. List of Investments (1 April 2020 to 31 March 2021) 2. Schedule of PWLB Loans (2020/21) 3. Investment Strategy (2018/19 to 2020/21)

1. **Introduction**

- 1.1 Two reports are produced annually on treasury management. The Treasury Management Strategy and Statement is approved by Council prior to the commencement of the financial year, and subsequently, the Treasury Management Annual Report provides Members with a summary of actual activity during the year 2020/21. The report is required to comply with both the "Code of Practice on Treasury Management in Local Government" and the Council's own Treasury Management Policy Statement.
- 1.2 The Code requires the Section 151 Officer to ensure that the treasury management function operates in accordance with treasury management practices adopted by Council. There are no issues of non-compliance with these practices that need to be brought to Member's attention.
- 1.3 Under the Prudential Code for Capital Finance, the Council is required to prepare a number of prudential indicators against which treasury management performance is to be measured.
- 1.4 The details of all borrowing and investment transactions for 2020/21, together with the performance of the treasury management function against prudential indicators are given below.

1.5 **Borrowing**

- 1.5.1 **Long Term** - The Authority is able to borrow on a long term basis from the Public Works Loans Board (PWLB). At the beginning of the year the value of the outstanding loans was £21.333m, comprising £16.101m relating to the HRA, and £5.232m relating to the general fund. £81K of principle was repaid in year, with £1.006m of long-term borrowing reclassified to short term borrowing, as the time to maturity fell under 365 days, and no additional long-term borrowing was undertaken, leaving the balance at £20.246m.
- 1.5.2 **Short Term** (Less than 365 days in duration) - There was £13.5m of short-term borrowing undertaken during 2020/21 (2019/20 £10.5m), in lieu of long-term borrowing. £1.006m of long term borrowing was reclassified to short-term, as the time until maturity fell under 365 days, and £1.006m of previously reclassified long-term borrowing was repaid.

1.5.3 Cost of Borrowing

Interest on the outstanding loans was paid as follows:

Loan £000's	Maturity Date	Interest Rate	Interest £000's
500	29/03/2052	4.10	21
4,650	30/06/2055	2.66	125
17,108	Various	2.98*	519
10,500	28/08/2020	0.99	42
11,000	26/02/2021	0.25	25
11,000	31/08/2021	0.30	3
2,500	31/08/2021	0.10	1

* **Average Interest rate for loans**

1.6 Investments

During 2020/21, the Council was in a position where it often had temporary cash surpluses to invest. When considering investments the Council must consider the following factors;

- Security – the Authority has a counterparty list, based on credit ratings, within its Investment Strategy that is approved prior to the commencement of the financial year. The current list and basis of approval is attached at Appendix C;
- Liquidity – because of the fluctuation of cash flows, there is always a need to have a mix of investments that are realisable when required;
- Yield – probably the least important consideration as often higher yields mean greater risks.

Given the current economic climate, and the attendant volatility and uncertainty in the financial markets, security has to be the most important factor of the three listed above.

For 2020/21 surplus cash was invested in the following ways.

Special Interest Bearing Account – This account is held with National Westminster Bank plc. It can be used for deposits up to £5 million and pays interest at 0.01%.

Money Market Deposits – Used for larger amounts, up to £1.5 million. The list of institutions approved for investment was agreed at Committee on 20 February 2020 and is included again for reference in **Appendix C**. The investments fall into two categories;

- Money on Call – These investments run for a minimum of 7 days after which they can be recalled at any time. Interest rates are variable and can fluctuate during the life of the investment;
- Fixed Deposits – Investments which mature at a pre-arranged date. The interest rate is fixed for the life of the investment.

The total interest received for the year to 31 March 2021 on temporary investments amounted to £14,290 (2019/20 £13,687). A summary of the total amount invested in 2020/21 is given at **Appendix A**.

1.7 Prudential Indicators

The Local Government Act 2003 requires Councils to comply with the Prudential Code for Capital Finance in Local Authorities when carrying out their budgeting and treasury management activities. Fundamental to this is the calculation of a number of prudential indicators which provide the basis for management and monitoring of borrowing and investments. These indicators were agreed by Council on 20 February 2020.

The Capital Financing Requirement (CFR) – This represents the Council’s underlying need to borrow for capital purposes, based on the cumulative value of capital expenditure not fully paid for. The CFR will change year on year in accordance with the value of capital spending.

The key control over treasury activities is to ensure that over the medium term, net borrowing will only be for capital purposes. The Authority must ensure that net external borrowing does not, except for short periods, exceed the total of the CFR. A comparison of the estimate against the actuals is shown in the table below.

	2020/21 Original Estimate £000's	2020/21 Revised Estimate £000's	2020/21 Actuals £000's
Gross Borrowing	34,257	33,240	34,752
Investments	0	0	0
Net Borrowing 31st March	34,257	33,240	34,752
Total CFR 31st March	37,523	37,510	37,107

The Section 151 Officer reports that the Council complied with the requirement to keep borrowing below the relevant CFR in 2020/21 and no difficulties are foreseen for the current or future years.

Borrowing Levels – The following two indicators control the overall level of borrowing;

- **The Authorised Limit** – This represents the limit beyond which borrowing is prohibited, and needs to be set and revised by Members. It reflects the level of borrowing which, while not desired, could be afforded in the short term, but is not sustainable. It is the expected maximum borrowing need with some headroom for unexpected movements. This is the statutory limit determined under section 3(1) of the Local Government Act 2003;
- **The Operational Boundary** – This indicator is based on the probable external debt during the course of the year. It is not a limit and actual borrowing could vary around the boundary for short times during the year. It should act as a barometer to ensure the authorised limit is not breached;
- **The actual borrowing compared to the Authorised and Operational limits agreed by Council are as follows:**

	2020/21 Original Limit £000's	2020/21 Revised Limit £000's	2020/21 Actual (Max) £000's
Authorised Limit	44,000	44,000	34,752

Operational Boundary	39,000	39,000	34,752
----------------------	--------	--------	--------

Ratio of Financing Costs to Net Revenue Stream – This indicator compares net financing costs (borrowing costs less investment income) to net revenue income from revenue support grant, business rates, housing revenue account subsidy, Council tax and rent income. The purpose of the indicator is to show how the proportion of net income used to pay for financing costs is changing over time.

	2020/21 Original Estimate %	2020/21 Revised Estimate %	2020/21 Actual %
General Fund	16.3	15.7	10.7
HRA	11.3	10.9	10.9

The above indicator shows that within the General Fund, financing costs are equivalent to 10.7% of the net revenue income. This figure, however, reflects the extraordinary financial support given to the Council through S31 business rates relief grants in 20/21, due to the COVID-19 pandemic, which has had the effect of inflating the net revenue stream in-year, and thereby lowering the ratio. Adjusting for grant reclaimable and those which will be offset against the collection fund deficit in future years, gives a ratio of around 15%, in line with the estimates.

In the case of the HRA there is net interest payable which is equivalent to 10.9% of the net revenue income.

Limits on Activity – The following indicators constrain the activity of the treasury function to within certain limits, thereby reducing the risk of an adverse movement in interest rates impacting negatively on the Council’s overall financial position.

- **Upper Limits on Variable Rate Exposure** – This indicator identifies a maximum Limit for variable interest rates;
- **Maturity Structures of Borrowing** – These gross limits are set to reduce the Council’s exposure to large fixed rate sums falling due for refinancing;
- **Total Principal Funds Invested** – This limit is set to reduce the need for early sale of investments and is based on the availability of investments after each year-end.

	2020/21 Original Indicators		2020/21 Revised Indicators		2020/21 Actual Maturity Structure	
	%		%		%	
Fixed Interest Rates Limit	100		100		100	
Variable Interest Rates Limit	100		25		0	
Maturity Structure of Borrowing	Lower	Upper	Lower	Upper	Lower	Upper
Under 12 Months	0	50	0	50	0	42
12 Months to 2 Years	0	50	0	50	0	3
2 Years to 5 Years	0	50	0	50	0	9
5 Years to 10 Years	0	100	0	100	0	14
10 Years & Above	0	100	0	100	0	32

The Prudential Code requires indicators to be set for the maturity structure of fixed borrowings only.

Total investments placed during the period
1 April 2020 to 31 March 2021

	Cumulative No. Of Investments In Year	Total Value Invested in Year £ 000's
British Clearing Banks		
National Westminster Bank plc	168	70,345
Local Authorities		
Thurrock Borough Council	15	26,000
	183	66,469

Schedule Of PWLB Loans (HRA Self – Financing Settlement)

Principal (£)	Rate of Interest (%)	Date of Maturity
1,006,333	2.21	20/03/2021
1,006,333	2.40	20/03/2022
1,006,333	2.56	20/03/2023
1,006,333	2.70	20/03/2024
1,006,333	2.82	20/03/2025
1,006,333	2.92	20/03/2026
1,006,333	3.01	20/03/2027
1,006,333	3.08	20/03/2028
1,006,333	3.15	20/03/2029
1,006,333	3.21	20/03/2030
1,006,333	3.26	20/03/2031
1,006,333	3.30	20/03/2032
1,006,333	3.34	20/03/2033
1,006,333	3.37	20/03/2034
1,006,333	3.40	20/03/2035
1,006,333	3.42	20/03/2036
1,006,333	3.44	20/03/2037
18,113,994	Total	

Schedule Of PWLB Loans (General Fund)

Principal (£)	Rate of Interest (%)	Date of Maturity
500,000	4.10	29/03/2052
5,000,000	2.66	29/06/2055
5,500,000	Total	

Appendix 3

INVESTMENTS STRATEGY 2018/19 – 2020/21

1.0 Introduction

This strategy is written in accordance with guidance issued under section 15 (1) (a) of the Local Government Act 2003, the Department of Communities and Local Government (DCLG) Guidance on Local Authority Investments issued in April 2010, any revisions of that guidance, the Audit Commission's report on Icelandic investments and the revised CIPFA Treasury Management in Public Services Code of Practice and Cross Sectoral Guidance Notes (2017).

The objectives of this strategy are to:

- Security - facilitate investment decisions which ensure that the Council's investment sums remain secure
- Liquidity - ensure the liquidity of investments so that the Council has sufficient cash resources available to carry out its functions at all times
- Optimum Yield - achieve the maximum return on investments after taking into account security and liquidity

2.0 Current Investments

Surplus funds arising from day to day operations are invested based on the most up to date forecasts of interest rates and in accordance with the Council's cash flow requirements in order to gain maximum benefit from the Council's cash position throughout the year. In the current financial climate only specified investments will be considered as set out below.

3.0 Investments

In accordance with relevant guidance, all investments will be placed with counterparties included on the Council's approved list. Institutions with which specified investments will be made include:

- UK government institutions and other local authorities
- institutions which have been awarded a high quality credit rating by a credit rating agency

The length of time an investment can be placed for is specified below under each category of counterparty, normally this will be no longer than 364 days.

Non-Specified Investments are any investment not meeting the definition of a specified investment above. The Authority does not intend to make any investments denominated in foreign currencies, nor any that are

defined as capital expenditure by legislation, such as company shares. Non-specified investments will therefore be limited to long-term investments, i.e. those that are due to mature 12 months or longer from the date of arrangement, and investments with bodies and schemes not meeting the definition on high credit quality.

The Council's Treasury Management Practice note 1 (3) states that 'The Section 151 Officer will be responsible for preparing for the Council a list of institutions in which the Council's funds may be invested. This list will be supported by details of the criteria employed to assess the various credit standings of counterparties'. The following credit ratings will be considered:

- Long-term ratings – these range from the highest rating of AAA to the lowest rating of D. As the title suggests, this indicator reflects the long-term stability of the institution.
- Short-term ratings - These have a time horizon of less than 12 months and therefore place greater emphasis on the liquidity necessary to meet financial commitments in a timely manner. As most of the Council's investments are expected to be for less than 364 days, this is of particular importance. The ratings are F1 (highest credit quality), F2 (good credit quality), F3 (fair credit quality) and B to D (representing various levels of potential default).
- Individual ratings – These range from the highest of A to the lowest of F. This rating is only assigned to banks and attempts to assess how it would be viewed if it were entirely independent and could not rely upon external support.
- Support ratings – These range from 1 to 5 with 1 being the highest. It is a judgement on whether a bank would receive support should this become necessary. It is assumed that any such support would come from the sovereign state or institutional owners.

The Council's counterparty list needs to provide security for the amounts invested whilst containing a sufficient number of institutions with which to place funds. For the purpose of this strategy in respect of Categories 1 and 2 below, only counterparties that meet all of the following criteria will be considered for investment.

- UK banks
- Building societies with asset bases in excess of £6 billion.
- By reference to all three major credit rating agencies (Fitch, Standard and Poor's, Moody's) only those that reach the minimum standard for the lowest agency rating set out.

Category 1

The minimum ratings that will be considered for all agencies are set out below:

Term	Credit Agency		
	Fitch	Moody's	S & P
Short	F1	P1	A1
Long	AA-	AA3	AA-
Individual	C	D	
Support	3		

For any organisation that meets the above criteria, up to £1.5m may be invested at any one time for a maximum duration of 364 days.

Any building society that meets the above criteria must also have an asset base in excess of £6 billion.

Category 2

The minimum ratings that will be considered for all agencies are set out below:

Term	Credit Agency		
	Fitch	Moody's	S & P
Short	F1	P1	A1
Long	A	A2	A1
Individual	C	D	
Support	3		

For any organisation that meets the above criteria, up to £1m may be invested at any one time for a maximum duration of 12 months.

Any building society that meets the above criteria must also have an asset base in excess of £6 billion.

Other counterparties that can be used and any restrictions applicable are set out below.

Debt Management Office

Investments of a maximum duration of 6 months can be made with this Government department.

Public Authorities in England, Scotland and Wales

Investments totalling up to £5m at any one time with a maximum duration of three years can be made with these bodies. These include local government, fire and police authorities.

Money Market Funds

Investments of up to £1.5m per fund at one time can be made provided they are AAA rated.

Credit ratings are monitored on a daily basis using Sector's credit rating service by the Section 151 Officer who will determine the amendments to be made to the counterparty list when credit ratings change.

The proposed counterparty list for investments is given at Annex 3.1.

4.0 Liquidity of Investments

The period for which investments are placed will be based on the Council's cash flow forecasts and estimates of movements in interest rates. The Council generally does not expect to place investments for longer than 364 days although this situation will be kept under review by the Section 151 Officer should a longer term investment opportunity occur. Long-term investments will only be made where it is clear that surplus cash resources are not required for the day to day financing of the Council's activities. The maximum period for any long-term investments will be the three-year planning cycle covered by this strategy.

5.0 Policy on the Use of External Service Providers

External investment managers will not be used, except to the extent that a Money Market Fund can be considered an external manager.

The Authority uses Link Asset Services as an external treasury advisor but still recognise that responsibility for treasury management decisions remains with the Council at all times. Whilst it is recognised that undue reliance should not be placed on external advisors, it is valuable to be able to access specialist skills and resources.

6.0 Scheme of Delegation

Full Council

- Approval of annual strategy
- Review of treasury management policy and procedures, including making recommendations to responsible body

Policy, Finance and Development Committee

- Approval of annual treasury outturn report
- Approval of mid year treasury management updates
- Mid year treasury management updates

Section 151 Officer

- Day to day management of treasury management, within agreed policy
- Appointment of external advisors, within existing Council procurement procedures and standing orders.

7.0 Role of Section 151 Officer

The Section 151 Officer has day to day responsibility for running the treasury management function.

8.0 Ethical Investment Strategy

The Council aims to be aware of ethical issues within its investment strategy. Where any member of the Council becomes concerned about such issues, these matters should be reported to the Section 151 Officer. Where necessary, the Section 151 Officer will then present a response to the concerns raised to the next meeting of the Policy, Finance and Development Committee.

EXTERNAL INVESTMENT OF FUNDS - APPROVED INSTITUTIONS**Category 1**

Restrictions	
Max Amount £m	1.5
Duration	364 days
Asset Base (Building Societies Only)	£6 bn

Category 2

Restrictions	
Max Amount £m	1
Duration	365 days
Asset Base (Building Societies Only)	£6 bn

The following institutions will also be classed as Category 2 although they currently may not meet the exact criteria.

Barclays Bank Plc

Lloyds Bank Plc

HSBC Plc

Santander UK Plc

National Westminster Bank Plc

Royal Bank of Scotland Plc

Bank of Scotland Plc

Nationwide Building Society

Debt Management Office

Restrictions	
Max Amount £m	N/A
Duration	6 months

Operated by a National Government Department

Public Authorities in England, Scotland and Wales

Restrictions	
Max Amount £m	5
Duration	3 Years

All public authorities (including local government, fire and police authorities)

in England, Wales and Scotland

Money Market Funds

Restrictions	
Max Amount £m	1.5
Duration	N/A

Funds must be AAA-rated and operated by a company regulated by the Financial Services Authority. The Section 151 Officer, under delegated powers, will choose the appropriate fund(s).

Agenda Item 8



Policy, Finance and Development Committee	Tuesday, 14 September 2021	Matter for Information and Decision
--	-----------------------------------	--

Report Title: **Financial Outturn Report (Q1 2021/22)**

Report Author(s): **Comie Campbell (Head of Finance/Acting S151 Officer)
Deen Odunsi (Interim Finance Manager)**

Purpose of Report:	This report gives a summary of the overall Council position for the financial year 2021/22, as at the end of the first Quarter for both Revenue and Capital Expenditure.
Report Summary:	The Council has completed quarter one of the 2021/22 financial year. The Council's General Fund is currently expected to come in on budget.
Recommendation(s):	That the contents of the report and appendix be noted.
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	Comie Campbell (Head of Finance/ Acting S151 Officer) (0116) 257 2713 comie.campbell@oadby-wigston.gov.uk Deen Odunsi (Interim Finance Manager) (0116) 257 2731 deen.odunsi@oadby-wigston.gov.uk
Corporate Objectives:	Providing Excellent Services (CO3)
Vision and Values:	"A Stronger Borough Together" (Vision) Accountability (V1)
Report Implications:-	
Legal:	There are no implications arising from this report.
Financial:	The implications are as set out throughout this report.
Corporate Risk Management:	Decreasing Financial Resources / Increasing Financial Pressures (CR1) Reputation Damage (CR4) Economy / Regeneration (CR9)
Equalities and Equalities Assessment (EA):	There are no implications arising from this report. EA not applicable
Human Rights:	There are no implications arising from this report.
Health and Safety:	There are no implications arising from this report.
Statutory Officers' Comments:-	
Head of Paid Service:	Unable to comment due to Annual Leave.
Chief Finance Officer:	The report is satisfactory.
Monitoring Officer:	The report is satisfactory.

Consultees:	Senior Leadership Team
Background Papers:	None
Appendices:	1. Capital Programme (2021/22)

1. Introduction

1.1 In February 2021, the Council approved a General Fund Budget for 2021/22 of £7.081m.

2. General Fund Position

2.1 Across the departments as a whole, the Council, as at Quarter 1 is expecting to come in on budget with a forecast small surplus of £28K. On a departmental basis, some departments are reporting forecast overspends which are being offset by other departments forecasting underspends. Outlined in the paragraphs below is a brief narrative of the forecast outturn position of each department highlighting the main factors causing the reported variances. Please note due to the changes in Head of Services area of responsibilities the budgets will be realigned to reflect this in future Financial Quarterly Outturn reports.

2.2 **Senior Leadership Team (SLT) – Forecast Underspend £ (188)K.** The forecast underspend relates to a forecast reduction in salary costs this year. This is due to a number of currently unfilled SLT positions. The S151 Director post is expected to be filled later this year and the other Director post will be recruited to in 2022. The current forecast reflects this and staff cost savings are required to offset agency costs for hard-to-fill roles and interim temporary senior finance staff agency costs.

2.3 **COVID-19 – Forecast Underspend £ (224)K.** This underspend is due to receiving various Covid-19 related funding that is still to be committed or further work is required before transferring Covid-19 related expenditure to this area. Once this has been completed the final year end forecast expenditure and income should net back to zero. Grants received so far includes COVID-19 Section 31 grant and Containment funding. It is anticipated that lost fees and charges income for Quarter 1 will be eligible to be claimed back via a government grant.

2.4 **Finance and Resources - Forecast Overspend £117K.** Contributing factors to this overspend is an increase in the Council pension lump sum contributions of £53K and an expected non-achievement of investment income interest of £41K. There was also £12K additional cost required to be spent on acquiring computer software for a new HR computer package. The remaining overspend is the net cost of overspends and underspends within the Finance and Resources service area.

2.5 The Car Park budget has been forecast to receive £250K of additional income for 2021/22. If this income target is not achieved it will result in a deficit in the Council overall 2021/22 budget by the amount not received. The Quarter 1 budget forecast is based on the Council achieving this income target.

2.6 **Law & Democracy – Forecast Overspend £7K.** There is a small forecast overspend across the service area.

2.7 **The Built Environment – Forecast Overspend £173K.** The department's forecast overspend is due to a forecast overspend on staff costs £222k less (£49k) relating to mainly (£33k) of grant income and small savings across the service area. Staff cost overspends consist of £144k of forecast agency cost in Planning to cover two vacant hard-to-fill posts. The second area relates to £78k of additional costs for two fixed term Economic Development posts. There may be an opportunity later this year to capitalise these additional Economic Development staffing costs due to both roles working directly on capital projects. The

Housing General Fund which is also part of the Built Environment department is forecast to break even.

- 2.8 **Community & Wellbeing – Forecast Overspend £44K.** The overspend is mainly as a result of forecast increase in staff costs across street cleansing, domestic waste collection and other costs relating to the depot which is expected to bring about a forecast overspend of £57K. There is a forecast underspend of £21K in Recycling Collection offsetting some of the forecast overspend.
- 2.9 **Customer Services & Business Transformation – Forecast Overspend £44K.** This service area includes customer services, System support and transformation services including the newly created in-house IT team. The forecast overspend is mainly due to additional IT agency staff required to assist in the process of bringing the Council IT Service in-house at the start of January 2022. Where appropriate, qualifying IT implementation costs will be capitalised throughout this financial year.
- 2.10 A summary of the overall General Fund Budget and Forecast Outturn at a service level is set out in **Table 1**. This is followed by **Table 2** which provides a summary of the General Fund Budget and COVID-19 monitoring:

Table 1 - General Fund Budget Monitoring

Service	Budget 2021/22	YTD	Forecast Outturn	Variance
	£	£	£	£
Senior Leadership Team	623,400	49,910	435,460	(187,940)
COVID-19 Funding	0	(86,654)	(224,311)	(224,311)
Finance & Resources (Including Corporate Budgets)	2,756,125	1,788,549	2,872,402	116,277
Law & Democracy	165,060	312,145	172,460	7,400
The Built Environment 1 & 2	966,600	310,433	1,139,610	173,010
Community & Wellbeing (inc Depot)	1,521,166	133,192	1,565,366	44,200
Customer Service & Business Transformation	1,191,900	322,597	1,235,400	43,500
HRA Recharge	(1,195,600)	(298,900)	(1,195,600)	0
Capital Financing	1,053,000	263,250	1,053,000	0
Net Expenditure	7,081,651	2,794,521	7,053,787	(27,864)

Table 2 - Summary General Fund and COVID 19 Monitoring

General Fund Budget Monitoring 2021/22	Quarter 1 Forecast/ Variance	Covid 19 Forecast
	£'000	£'000
Salaries and Agency Staff Costs	85	226
Supplies and Services	56	80
Estimated Loss of Income	239	298
Costs Related to COVID-19 Support	380	604
Estimated Grants to be Received	-604	-604
Net COVID-19 Costs	-224	0

3. Capital Programme

3.1 The 2021/22 Capital Programme was set at Full Council in February 2021, after year-end capital schemes from 2020/21 which had not completed were carried forward. **Table 3** shows a summary of the 2021/22 capital programme and the full capital programme is shown at **Appendix 1**

Table 3 - Capital Programme Summary

Fund	Original Budget 2021/22	c/f 2020/21	Total Capital Budget 2021/22 (Includes C/fwd. 2020/21 Schemes)	Spend To Date	Variance to Budget
	£'000	£'000	£'000	£'000	£'000
General Fund	12,975	1,154	14,129	2,019	12,110
Housing Revenue Account	1,500	949	2,449	776	1,673
Total	14,475	2,103	16,578	2,795	13,783

4. Housing Revenue Account (HRA)

4.1 The Housing Revenue Account ended the financial year 2020/21 with a balance on its main reserve of £1.139m. In 2021/22 the account has been forecast to have a budget deficit of £0.149m. This partially due to increased Capital charges for 2021/22 compared to 2020/21 and a lower forecast of surplus income compared to the previous financial year due to increased depreciation of assets costs.

4.2 The position on the account as at the end of quarter on is set out in Table 4 below

Table 4 - HRA	Original Budget 2021/22	Forecast 2021/22
	£'000	£'000
Net Cost of Services on the HRA	(716)	(476)
Capital Charges	625	625
Revenue Contributions to Capital Appropriations to Earmarked Reserves	91	0
	0	149

Actual Balance b/f HRA a/c	(1,139)	(1,139)
Budget Deficit in the Year	0	149
Balance c/f HRA a/c	(1,139)	(990)

OADBY AND WIGSTON BOROUGH COUNCIL CAPITAL PROGRAMME

Project Code Reference	Scheme	2021-22 Total Budget	Actual to June-21	Actual Variance to Budget	Comments
	Funding Available B/F Estimated Additions In Year				
	Total Funding Available				
	Housing Revenue Account				
50003	Central Heating	43,000	110,974	67,974	
50006	Front & Rear Doors	9,800	0	(9,800)	
50007	Car Hardstandings	6,000	0	(6,000)	
50016	Decent Homes Work	1,662,700	128,579	(1,534,121)	
50017	Major Adaptations	57,200	21,947	(35,253)	
50019	Fire Safety	150,000	0	(150,000)	
50021	Timber Window Replacement incl external entrance / fire doors Kings Drive Area	41,400	1,395	(40,005)	
50029	New Housing Initiatives	0	250,190	250,190	
50030	Communal Heating System William Peardon Court	0	3,764	3,764	
50045	Conversion to 2 Homes	0	0	0	
50046	Kitchen Replacements Decent Homes, incl Bathrooms 2018/19	366,600	215,505	(151,095)	
50047	Housing Block Improvements	98,800	40,123	(58,677)	
50048	Asset Management System Upgrades	13,400	3,334	(10,066)	
	Total - HRA	2,448,900	775,811	(1,673,089)	
	General Fund - Service Delivery				
52002	Disabled Facilities Grant	0	438,110	438,110	Passporting of DFG to Lightbulb. To be transferred to revenue
52090	Belmont House Refurbishment	0	1,450	1,450	Obsolete PO. Cancel
52092	Oadby Pool Housing Project	0	9,950	9,950	AT Discussions with Comie. Rpt to Council at the end of September.
52093	Railway Corridor	0	15,503	15,503	Remaining costs. Will complete this year.
54010	Play Area Refurbishments	8,400	0	(8,400)	Corporate Asset Assistant will be responsible for management of project.
54017	Xmas Decorations	7,500	0	(7,500)	Managed by Mark H. Expect to complete in-year
54055	Brocks Hill Car Park Drainage	4,000	0	(4,000)	Project complete. Residual budget.
54080	Horsewell Lane Pavilion	0	28,110	28,110	Residual costs of Horsewell Lane Project
54114	Car Park Resurfacing	36,700	0	(36,700)	Corporate Asset Assistant will be responsible for management of project.
54147	Recycling Wheelie Bins	0	18,817	18,817	Replacment recycling bins.
54151	Air Monitoring Equipment	0	8,327	8,327	£6K refund for inadequate works received and taken to balance sheet in previous year, offsetting this cost.
54154	Kilby Bridge Canal & Towpath	56,300	40,436	(15,864)	Will be completed this year.
54157	Electric Car Charging Point	0	0	0	Further expenditure expected, but entirely grant funded. Net zero cost. Delayed at funding agency.
54566	Brocks Hill Additional Play Equipment	82,000	0	(82,000)	Corporate Asset Assistant will be responsible for management of project.
54568	Coombe Park Pavilion Extension	170,000	0	(170,000)	Project funded by S106 income as part of the Phase 2 of Cottage Farm. Establish when the income has been received.
54570	Footpaths in Blaby Road Park	9,000	0	(9,000)	In progress
54574	Pitch Improvement Programme	80,000	0	(80,000)	Work can not start till the end of the football season. To be managed by A Dingley.
54575	Private Sports Grants	195,000	0	(195,000)	Balance b/fwd to 21/22. To be managed by A Dingley.
54576	Repairs to play area surface various play areas	15,900	2,700	(13,200)	Areas identified requiring repair. Work underway

54578	Town Centre Wi-Fi	113,400	58,787	(54,614)	Match funding has now been confirmed. Expect to complete in year.
54581	Wigston Town Centre Car Parks	100,000	0	(100,000)	Consultants to be used for the project. Additional funding expected from 'Levelling Up' fund.
54582	Blaby Road Pavilion Sewage Pumping System	5,500	0	(5,500)	Managed by D Rudd. Quotes received. Expect to complete in-year.
54583	Oadby Cemetery – Biere House structural repairs	20,000	0	(20,000)	Managed by D Rudd. Quotes received. Expect to complete in-year.
54584	Uplands Park Pavilion – replacement boiler and floor repairs	16,000	0	(16,000)	Managed by D Rudd. Quotes received. Expect to complete in-year.
54585	Wigston Cemetery – entrance drive resurfacing and disabled parking	12,000	0	(12,000)	Linked to Bushloe House Parking. Savings from undertaking projects succesively, so on hold due to testing centre.
	Redeployable CCTV Camera Upgrade	30,000	0	(30,000)	
	William Gunning Park Drainage	20,000	0	(20,000)	On hold pending resolution of liability issues for flooding.
	Replacement of Grounds Maintenance Dennis bowling green mower	6,000	0	(6,000)	Expect to procure this year.
	Replacement of Grounds Maintenance Vehicle FE09 XOT	30,000	0	(30,000)	Expect to procure this year.
	Replacement of Grounds Maintenance Vehicle FG12 MVN	33,000	0	(33,000)	Expect to procure this year.
	Modular Homes Developments	3,800,000	0	(3,800,000)	AT Discussions with Comie. Rpt to Council at the end of September.
	Oadby Pool	6,415,000	0	(6,415,000)	AT Discussions with Comie. Rpt to Council at the end of September.
	Sports Facility Improvement Programme	220,000	0	(220,000)	Managed by Andrew. AT to confirm.
56001	Council Office Refurbishment	31,200	0	(31,200)	Residual budget from previous years. Uncommitted.
56003	Customer Services	0	(146)	(146)	Deletion of obsolete PO.
56010	IT Replacement Programme	30,200	3,323	(26,877)	Budget from old ICT arrangements. Now obsolete
56014	Telephone Restructuring	0	11,471	11,471	Obsolete PO. Cancel
56016	Home & Mobile Working	0	1,334	1,334	Misc hardware for home working.
56037	PARIS Upgrade	0	14,740	14,740	Residual costs. Expect full spend £15K.
56044	New Income Management System	0	439	439	See above
56055	Document Management System Software	24,400	32,591	8,191	Idox annual licensing costs. Transfer to revenue (39907). Some potential for capital spend this year, not clear how much yet.
56056	Server / Network Hardware Replacements	11,000	0	(11,000)	Budget from old arrangements. Now obsolete
56063	Planning IDOX	0	3,250	3,250	Obsolete PO. Cancel
56069	Licensing Service Software Review	8,900	0	(8,900)	Project complete. Budget no longer required.
56070	Corporate Folding and Enveloping Machine	0	1,978	1,978	Licensing costs. Should be revenue.
56072	South Wigston Shop Fronts	6,100	0	(6,100)	S106. Managed by Mark H. Expenditure as and when a grant is applied for.
56076	Windows server migrations	5,000	(980)	(5,980)	Budget from old arrangements. Now obsolete
56079	Enterprise for Uniform	0	3,669	3,669	Enterprise annual licensing costs. Transfer to revenue (40901)
56080	Bushloe House Chimney Stack	10,000	18,441	8,441	Managed by D Rudd. Now complete. Fund overspend from unallocated amount on 56001
56081	IT Transition	0	530,407	530,407	Unknown yet what full costs will be.
56082	Bushloe House Car Park Surface repairs and lining	28,000	0	(28,000)	Delayed pending removal of testing centre.
	HR Software	10,000	0	(10,000)	Full spend expected.
	Remote Working - Regulatory Services	12,700	0	(12,700)	On hold pending overall ICT project. May not be necessary.
	Data Centre	16,500	0	(16,500)	Budget from old ICT arrangements. Now obsolete
	Total - General Fund	11,679,700	1,242,708	(10,436,992)	
	PLANNED EXPENDITURE GRAND TOTAL	14,128,600	2,018,520	(12,110,080)	

Agenda Item 9



Policy, Finance and Development Committee	Tuesday, 14 September 2021	Matter for Information
--	-----------------------------------	-------------------------------

Report Title: Standards & Ethical Indicators (Q1 2021/22)

Report Author(s): Dave Gill, Monitoring officer (Head of Law and Democracy)

Purpose of Report:	To receive the figures for local determination of complaints and ethical indicators for Q1 2021-22
Report Summary:	The report provides information in relation to Member Complaints, Corporate and Ombudsman Complaints, Freedom of Information Requests and Anti-Social Behaviour Reports and Resolutions.
Recommendation(s):	That the content of the report and appendix be noted.
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	Anne Court (Chief Executive) (0116) 257 2602 anne.court1@oadby-wigston.gov.uk David Gill (Head of Law & Democracy / Monitoring Officer) (0116) 257 2626 david.gill@oadby-wigston.gov.uk
Corporate Objectives:	Providing Excellent Services (CO3)
Vision and Values:	Accountability (V1) Respect (V2) "A Stronger Borough Together" (Vision) Customer Focus (V5)
Report Implications:-	
Legal:	There are no implications arising from this report.
Financial:	There are no implications arising from this report.
Corporate Risk Management:	Political Dynamics (CR3) Reputation Damage (CR4) Regulatory Governance (CR6)
Equalities and Equalities Assessment (EA):	There are no implications arising from this report. EA not applicable
Human Rights:	There are no implications arising from this report.
Health and Safety:	There are no implications arising from this report.
Statutory Officers' Comments:-	
Head of Paid Service:	Unable to comment due to Annual Leave
Chief Finance Officer:	The report is satisfactory.

Monitoring Officer:	As the author, the report is satisfactory.
Consultees:	None.
Background Papers:	None.
Appendices:	1. Standards & Ethical Indicators (Q1- 2021/22)

1. Information

- 1.1 Regular reporting about the Council's activities under the Regulation of Investigatory Powers Act 2000 is a statutory requirement under the oversight regime of the Investigatory Powers Commissioner.
- 1.2 This report to Members covers the first quarter (Q1) of 2021/22.
- 1.3 The report also contains other matters which Officers considered would be of interest to Members, including the number and disposal of Member Complaints, the number of Corporate and Ombudsman complaints, the number of Freedom of Information requests and the number of anti-social behaviour reports and resolutions.
- 1.4 The quarter one report for 2021/22 is attached at Appendix 1 for Members' information.



OADBY AND WIGSTON BOROUGH COUNCIL

STANDARDS AND ETHICAL INDICATORS

QUARTER 1 REPORT

2021/2022

1. Introduction

This is the quarterly report to the Policy Finance and Development Committee detailing both the figures for the Ethical Indicators and the figures for the Local Determination of Complaints process for 2021/2022.

For clarification purposes the months covered by the quarters are as follows:

Quarter 1 – 1 April to 30 June
Quarter 2 – 1 July to 30 September
Quarter 3 – 1 October to 31 December
Quarter 4 – 1 January to 31 March

The report is split into two parts for ease of reference; Part 1 refers to the local determination of complaints, part 2 is the table showing the ethical indicators figures.

The report will enable the Policy Finance and Development Committee to build up a picture over time of how many complaints are received and where these are coming from. The parts of the Code of Conduct which have been breached will also be recorded to enable training to be targeted effectively.

2. Part 1 – Local Determination of Complaints

The Monitoring Officer received No complaints in Quarter 1 of 2021/2022.

2.1 Source of Complaint

Not applicable

2.2 Assessment Sub-committee Decisions

There have been No Assessment Sub-committee meetings in this quarter.

2.3 Timeliness of Decision

The Standards for England Guidance stated that the Assessment Sub-committee should complete its initial assessment of an allegation “within an average of 20 working days” to reach a decision on what should happen with the complaint. The Council has taken this standard and adapted it under the new rules to aim to hold an Assessment Sub-committee within 20 working days of notifying the parties that informal resolution is not possible.

2.4 Review Requests

There have been no review requests in this quarter. Review requests can only be made following a decision of ‘No further Action’ by the Assessment Sub-committee where there is submission of new evidence or information by the complainant.

2.5 Subsequent Referrals

None

2.6 Outcome of Investigations

There were no formal investigations concluded in this period.

2.7 Parts of the Code Breached

This section is intended to show where there are patterns forming to enable the Policy Finance and Development Committee to determine where there needs to be further training for Councillors. Targeting training in this way makes it more sustainable and, hopefully, more effective.

So far this year, the following areas of the code were found to have been breached:

Not applicable

Ref	Performance Indicator Description	Officer responsible for providing information	Q1		Q2		Q3		Q4	
			2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022
LG1	Objections to the Council's Accounts	Head of Finance	0	0	0		0		0	
LG2	Follow up Action relating to reaches of the Member/Officer Protocol (Members)	Head of Law & Democracy	0	0	0		0		0	
LG3	Disciplinary Action relating to breaches of the Member / Officer Protocol (Staff)	HR Manager	0	0	0		0		0	
LG4	Number of Whistle Blowing Incidents Reported	Head of Law & Democracy	0	0	0		0		0	
LG5	No. of Recommendations made to improve Governance Procedures/Policies		0	0	0		0		0	
LG6	No. of Recommendations Implemented		0	0	0		0		0	

Corporate Complaints

Ref	Performance Indicator Description	Officer responsible for providing information	Q1		Q2		Q3		Q4	
			2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022
LG7	No. Corporate Complaints received	PA to Senior Leadership Team	19	37	15		29		43	
	No. Corporate Complaints escalated to L2		3	7	1		4		2	
	No. Corporate Complaints escalated to Ombudsman		1	1*	0		0		0	
LG7a	No. Corporate Complaints Resolved at L1		19	30	14		29			
	No. Corporate Complaints Resolved at L2		3	36	1		4		41	
LG7b	No. Corporate Complaints where compensation paid		0	0	0		0		2	
	Service Area								0	
LG8	No. Ombudsman complaints received		0	1*	1		1		0	
	Service Area			Housing	Comms		Housing			
LG8a	No. Ombudsman complaints resolved	1	0	1		1		0		
LG8b	No. Ombudsman complaints not yet determined by the Ombudsman	1	1	0		0		0		
LG8c	No. Ombudsman complaints where compensation paid	1	0	0		0		0		

* Escalated to the Housing Ombudsman

Freedom of Information Act Indicators

Ref	Performance Indicator Description	Officer responsible for providing information	Q1		Q2		Q3		Q4	
			2020/2021	2021/2022	2019/2020	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022
LG9a	No. of FOI Requests Compliant	Data Protection Officer	88	113	127		135		163	
LG9b	No. of Non-compliant FOI Requests		32	19	27		27		24	
LG9c	No. of FOI Requests still open and within the 20 working days		0	0	0		5		0	
LG9d	No. of FOI Requests withheld due to exemptions/fees applied		4	7	3		2		2	

Regulation of Investigatory Powers Act Indicators

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022
LG10	No. of Directed Surveillance Authorisations granted during the quarter	Head of Law & Democracy	0	0	0		0		0	
LG10a	No. in force at the end of the quarter		0	0	0		0		0	
LG10b	No. of CHIS recruited during the quarter		0	0	0		0		0	
LG10c	No. ceased to be used during the quarter		0	0	0		0		0	
LG10d	No. active at the end of the quarter		0	0	0		0		0	
LG10e	No. of breaches (particularly unauthorised surveillance)		0	0	0		0		0	
LG10f	No. of applications submitted to obtain communications data which were rejected		0	0	0		0		0	
LG10g	No. of Notices requiring disclosure of communications data		0	0	0		0		0	
LG10h	No. of authorisations for conduct to acquire communications data		0	0	0		0		0	
LG10i	No. of recordable errors		0	0	0		0		0	

Anti-Social Behaviour Indicators

Ref.	Performance Indicator Description	Officer responsible for providing information	Q1		Q2		Q3		Q4	
			2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022
	No. of Complaints Registered	Head of Community & Wellbeing	31	31	31		11		35	
	No. of Disposals		13	10	13		3		1	
	No. of Complaints still Open		4	0	4		0		0	
	No Further Action (where suspect identified)		3	2	3		1		3*	
	No Further Action (no suspect identified)		11	19	11		7		32	

* One reported incident resulted in 2 suspects being identified

Food Safety Inspections

Ref.	Performance Indicator Description	Officer responsible for providing information	Q1		Q2		Q3		Q4	
			2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022	2020/2021	2021/2022
BPE31	No. of Programmed Inspections	Head of Law & Democracy	46	56	43		24		101*	
	No. of Programmed Inspections Completed		4	14 2*	4		4		3	
	No. of Programmed Inspections Outstanding		42	13*	*81		*101		94**	

- Following, The Food Standard Agency latest guidance on routine food inspections, we have prioritised inspections according to risk (High/ Medium and low) all high and medium risk businesses have or will receive a telephone call to assess compliance, and are requested to send in information/ evidence to us. Once we have received an update from the Agency and release of lockdown restrictions physical inspections will recommence. It is only once a physical inspection is carried out we can complete the inspection and issue a Food Standards Rating.
- We have seen a large increase in new businesses mainly home caterers, all of them have received contact, support and advice to ensure they are compliant with food safety regulations.
- New premises registered in the last year reached over 90 in Q1. 80% of these have been triaged by telephone prior to assessing risk and then including on our work plan.