

Date: 30 June 2023  
My ref: Cabinet Executive  
Your ref:  
Contact: Democratic Services  
Tel no: 0116 272 7640  
Email: [committees@blaby.gov.uk](mailto:committees@blaby.gov.uk)

**To Members of the Cabinet Executive**

Councillor Terry Richardson (Leader)	– Leader of the Council
Councillor Maggie Wright (Deputy Leader)	– Finance, People & Performance Portfolio Holder
Councillor Nigel Grundy	– Neighbourhood Services & Assets Portfolio Holder
Councillor Les Phillimore	– Housing, Community & Environmental Services Portfolio Holder
Councillor Ben Taylor	– Planning Delivery and Enforcement & Corporate Transformation Portfolio Holder

Dear Councillor,

A meeting of the **CABINET EXECUTIVE** will be held on **MONDAY, 10 JULY 2023** at **5.30 p.m.** for the transaction of the following business and your attendance is requested.

Yours faithfully



**Louisa Horton**  
**Corporate Services Group Manager and Monitoring Officer**



## **AGENDA**

1. Apologies for Absence
2. Disclosure of Interests from Members  
To receive disclosures of interests from Members (i.e. the existence and the nature of those interests in respect of items on this agenda).
3. Minutes (Pages 3 - 6)  
To approve and sign the minutes of the meeting held on 20 March 2023 (enclosed).
4. Public Speaking Protocol  
Requests received by the Protocol deadline to be reported by the Senior Democratic Services Officer with details of the Agenda Item to which they relate. (Such persons entitled to use the Protocol attend for the purpose of making representations, answering questions or giving evidence relating to the business of the meeting and the time allocated to each person is a maximum of three minutes unless extended at the discretion of the Chairman).
5. Air Quality Annual Status Report 2023 (Pages 7 - 128)  
To consider the report of the Environmental Services Manager (enclosed).
6. Industrial Action Update Report (Pages 129 - 132)  
To consider the report of the Chief Executive (enclosed).
7. Financial Performance 2022/23 (Pages 133 - 150)  
To consider the report of the Finance Group Manager (enclosed).
8. Treasury Management Outturn 2022/23 (Pages 151 - 166)  
To consider the report of the Finance Group Manager (enclosed).
9. Annual Governance Statement 2022/23 (Pages 167 - 226)  
To consider the report of the Executive Director (Section 151 Officer) (enclosed).
10. Appointments to Outside Bodies (Pages 227 - 230)  
To consider the report of the Senior Democratic Services & Scrutiny Officer (enclosed).

## **CABINET EXECUTIVE**

Minutes of a meeting held via Zoom

**MONDAY, 20 MARCH 2023**

### **Present:**

Councillor Terry Richardson (- Leader of the Council) (Leader)  
Councillor Maggie Wright (- Finance, People & Performance Portfolio Holder) (Deputy Leader)

Cllr. Nigel Grundy	- - Neighbourhood Services & Assets Portfolio Holder
Cllr. Les Phillimore	- - Housing, Community & Environmental Services Portfolio Holder
Cllr. Ben Taylor	- - Planning Delivery and Enforcement & Corporate Transformation Portfolio Holder

### **Also in attendance:**

Cllr. Geoff Welsh – Scrutiny Commissioner  
Cllr. Roy Denney – Scrutiny Commissioner  
Cllr. Sam Maxwell – Scrutiny Commissioner  
Cllr. David Findlay - Member

### **Officers present:**

Julia Smith	- Chief Executive
Sarah Pennelli	- Executive Director - S.151 Officer
John Richardson	- Executive Director
Louisa Horton	- Corporate Services Group Manager & Monitoring Officer
Cat Hartley	- Planning & Strategic Growth Group Manager
Teresa Neal	- Business, Partnerships and Health Improvement Group Manager
Caroline Harbour	- Environmental Health, Housing, Net Zero & Community Services Group Manager
Rebecca Holcroft	- Community Services Manager
Nicole Cramp	- Democratic & Scrutiny Services Officer
Isaac Thomas	- Democracy Support Officer

## **226. DISCLOSURE OF INTERESTS FROM MEMBERS**

No disclosures were received.

## **227. MINUTES**

The minutes of the meeting held on 20<sup>th</sup> February 2023, as circulated, were approved and signed as a correct record.

**228. PUBLIC SPEAKING PROTOCOL**

No requests were received.

**229. UK SHARED PROSPERITY FUND**

Considered – Report of the Planning & Strategic Growth Group Manager.

**RECOMMENDATION TO COUNCIL**

That the allocation of UK Shared Prosperity Fund against a programme of Year 1 and 2 projects be approved.

Reason:

To enable the Blaby District Council allocation of UK Shared Prosperity Fund to be spent in accordance with the submitted Investment Plan.

**230. BLABY DISTRICT COUNCIL CCTV PROJECT**

Considered – Report of the Community Services Manager.

**DECISIONS**

1. That the proposed scheme for CCTV in Blaby Village Centre and at Narborough Station, monitored externally to Blaby District Council be approved.
2. That delegated authority be given to the Environmental Health, Housing and Community Services Group Manager in consultation with the Portfolio holder to finalise the necessary legal agreements.

Reasons:

1. Reducing crime and antisocial behaviour and improving feelings of safety are key actions within the Blaby and Hinckley and Bosworth Community Safety Partnership Strategy Action Plan.
2. The use of CCTV to improve feelings of safety in an area has also been found to be highly effective by agencies such as the National College of Policing.



**231. HOUSING ENABLEMENT TEAM - REVISED STRUCTURE**

Considered – Report of the Business, Partnerships & Health Improvement Group Manager.

**DECISIONS**

1. That the proposed new service structure, which includes a new service manager post, an additional housing related support officer and that one of the Senior Enablement Officers shall become a team leader, be approved.
2. That delegated authority be given to the Business, Partnerships & Health Improvement Group Manager and the Portfolio Holder to make any decisions that are needed to progress the implementation of the new structure within the agreed budget.

Reasons:

1. The proposed structure changes will make the service more efficient and improve resilience, provide leadership capacity and a clear pathway for staff development.
2. To facilitate and permit immediate decisions to be taken so as not to cause any delay to the new structure being in place.

**232. CABINET EXECUTIVE RESPONSE TO SCRUTINY RECOMMENDATIONS : ADMINISTRATIONS BUDGET PROPOSALS 2023/24**

Considered – Report of the Executive Director (Section 151 Officer), presented by Cllr. Maggie Wright, Finance, People & Performance Portfolio Holder and Deputy Leader.

**DECISION**

That Cabinet Executive agrees the response to Scrutiny Commission recommendations as set out at Appendix A of the report.

Reason:

The Local Government & Public Involvement In Health Act 2007 places a duty which requires Cabinet Executive to respond to Scrutiny Recommendations within two months of receiving them.

**THE MEETING CONCLUDED AT 6.10 P.M.**

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## Blaby District Council

### Cabinet Executive

<b>Date of Meeting</b>	10 July 2023
<b>Title of Report</b>	<b>Air Quality Annual Status Report 2023</b> This is a Key Decision and is on the Forward Plan.
<b>Lead Member</b>	<b>Cllr. Les Phillimore - Housing, Community &amp; Environmental Services</b>
<b>Report Author</b>	Environmental Services Manager
<b>Corporate Priority</b>	A Place to Live

#### 1. What is this report about?

- 1.1 To seek approval of the Annual Status Report 2023 for submission to DEFRA and publication.

#### 2. Recommendations to Cabinet Executive

- 2.1 To approve the Annual Status Report 2023 for appropriate consultation and submission to the Department for Environment, Food & Rural Affairs (DEFRA) and publication.
- 2.2 To undertake consultation prior to revocation of Air Quality Management Area (AQMA) 1 (A5460 Narborough Road South), AQMA 2 (M1 corridor in Enderby and Narborough) and AQMA 4b (Enderby Road, Whetstone).
- 2.3 To undertake consultation prior to declaration of a new AQMA (AQMA 7, Lubbesthorpe Road and Narborough Road South Service Road Junction).
- 2.4 To delegate authority to the Environmental Health, Housing & Community Services Group Manager, in conjunction with the Portfolio Holder, to make minor amendments to the Annual Status Report 2023 prior to submission and publication.

#### 3. Reasons for Decisions Recommended

- 3.1 It is important for Members to be informed of the air quality monitoring data for the District in 2022.
- 3.2 Air quality monitoring has demonstrated that levels of Nitrogen Dioxide in those areas are below the Air Quality Objective. Consultation is needed to comply with relevant legislation and guidance.

- |     |   |
|-----|---|
| 3.3 | Air quality monitoring has indicated that levels of Nitrogen Dioxide at that location are above the Air Quality Objective. Consultation is needed to comply with relevant legislation and guidance. |
| 3.4 | This is to ensure any final amendments to the report can be made prior to submission to DEFRA.  |

#### **4. Matters to consider**

##### **4.1 Background**

###### **4.1.1 Air Quality Management**

The Local Air Quality Management (LAQM) regime is established by the Environment Act 1995 and requires local authorities to assess air quality in their area. Where nationally set Air Quality Objectives are not achieved, local authorities are required to designate Air Quality Management Areas (AQMA). For each AQMA, an Air Quality Action Plan (AQAP) must be produced, describing the measures to reduce pollutant concentrations.

The AQMAs in Blaby District are currently as follows:

- AQMA 1 – A5460 Narborough Road South
- AQMA 2 – M1 corridor in Enderby and Narborough
- AQMA 3 – M1 corridor between Thorpe Astley and Leicester Forest East
- AQMA 4b – Enderby Road, Whetstone
- AQMA 6 – Mill Hill, Enderby

Monitoring was extended into the villages of Enderby, Glenfield, and Stoney Stanton in 2022. This was to assess the need for and extent of any AQMA, subject to monitoring results, no exceedances were in Glenfield and Stoney Stanton were recorded however monitoring will continue for a further year during 2023. Other areas not listed, are monitored to establish baseline concentrations with respect to potential development.

- 4.1.2 Air quality monitoring is the main method for assessment of the current levels of air pollutants, against nationally set Air Quality Objectives. Each year an Annual Status Report (ASR) is completed and submitted to DEFRA, summarising the air quality monitoring results for the area.

#### **Overview of Results**

The results of all monitoring undertaken in 2022 are shown in Appendix D of the ASR.

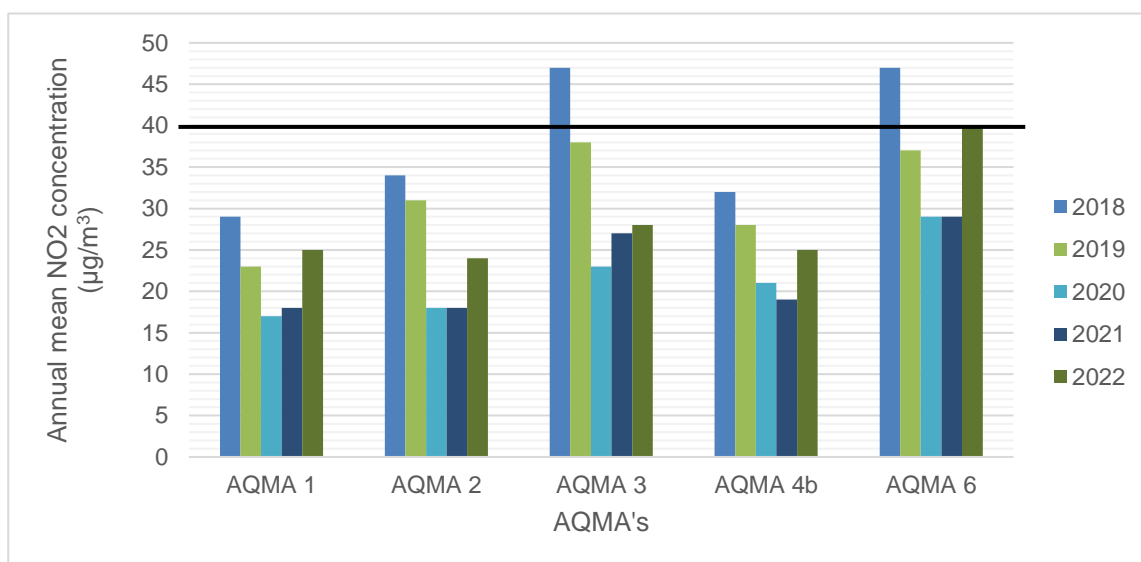
Results indicate that there were two exceedances of the NO<sub>2</sub> annual mean objective of 40 µg/m<sup>3</sup> across the District. These exceedances occurred in:

- AMQA 6, Enderby

- CM6, Braunstone Town (Lubbesthorpe Road and Narborough Road South Service Road junction)

The below table and graph report the highest observed NO<sub>2</sub> concentrations in the five AQMAs over the last five years. Figures in bold represent concentrations above the NAQO. The solid black line on the graph represents the NAQO.

	2018	2019	2020	2021	2022
AQMA 1	29	23	17	18	25
AQMA 2	34	31	18	18	24
AQMA 3	<b>47</b>	38	23	27	28
AQMA 4B	32	28	21	19	25
AQMA 6	<b>47</b>	37	29	29	<b>40</b>



The Annual Status Report 2022 considered at the Council meeting on the 24<sup>th</sup> May 2022 (Minute 319 refers) stated that 'Revocation of AQMAs 1, 2, and 4b may need to be considered in the future if further data is reported at well below national air quality objectives, consistent with the concentrations seen in 2020 and 2021. Monitoring has been undertaken in 2022 and in following technical guidance the Council should now revoke the following AQMAs:

- AQMA 1 – A5460 Narborough Road South
- AQMA 2 – M1 corridor in Enderby and Narborough
- AQMA 4B – Enderby Road, Whetstone

Monitoring data has also indicated an exceedance of the National Air Quality Objective (NAQO) at the Lubbesthorpe Road and Narborough Road South Service Road junction. This now requires the Council to declare a new AQMA (7) centred on this junction.

The proposals to revoke and declare the above AQMAs are subject to consultation with stakeholders including affected residents.

### **Summary**

These results demonstrate that the Air Quality in 3 areas of the District have continued to stay well below the national objective and that the actions undertaken by the Council and partners have in part contributed to this outcome. In essence the air quality in the District has improved since the AQMA's were declared back in 2000 to 2005.

It is disappointing that one new AQMA has to be declared but this will now be a key focus for the teams work in 2023/24. This will include the delivery of the air quality grant funded project (Particulate Matters) which began delivery in November 2022 and will continue for next 18 months, focussing on improving knowledge and information about levels of PM<sub>2.5</sub> in more detail. Legacy work will continue from the previous and now completed 'Count Down to Clean Air Project' which began in 2021. The Council have also been awarded over £500,000 for the 'Lets Go Electric Project' which commenced on the 1<sup>st</sup> April 2023. This project is focussed on reducing Particulate Matter by retrofitting a refuse vehicle to be electric powered and the purchase of an electric road sweeper.

These actions will all be summarised in the forthcoming Air Quality Action Plan which will be refreshed during 2023/24.

#### **4.2 Proposal(s)**

- 4.2.1 Members to approve the Annual Status Report 2023 for submission to the Department for Environment, Food & Rural Affairs (DEFRA) and publication.
- 4.2.2 That delegated authority is given to the Group Manager of Environmental Health, Housing & Community Services, in conjunction with the Portfolio Holder, to make minor amendments to the ASR 2023 prior to submission and publication.
- 4.2.3 To undertake consultation prior to revocation of AQMA 1 (A5460 Narborough Road South), AQMA 2 (M1 corridor in Enderby and Narborough) and AQMA 4b (Enderby Road, Whetstone).
- 4.2.4 To undertake consultation prior to declaration of a new AQMA (AQMA 7, Lubbesthorpe Road and Narborough Road South Service Road Junction) subject to appropriate consultation.

#### **4.3 Relevant Consultations**

The ASR has been sent to relevant stakeholders to review, including Public Health and Highways colleagues at Leicestershire County Council.

#### 4.4 Significant Issues

No significant issues have been identified relating to Human Rights, Legal Implications, Human Resources, Equalities, Public Health Inequalities and Climate Local. The data in this report demonstrates that the Council is committed to monitoring and undertaking action to improve air quality in its area.

#### 5. What will it cost and are there opportunities for savings?

- 5.1 The direct costs associated with the ASR are met from existing approved budgets. There are small savings from the reduction of monitoring. The direct costs of declaring an AQMA are included in the approved budgets.

#### 6. What are the risks and how can they be reduced?

6.1

Current Risk	Actions to reduce the risks
Not to submit the ASR to DEFRA for appraisal by 30 June 2022.	Submission of the ASR is a statutory requirement. It has been completed in a timely fashion to enable it to be submitted an amended deadline agreed with DEFRA, which allowed consideration of the ASR by this meeting.
Not to revoke AQMAs 1, 2 and 4b	To comply with the provisions of the Environment Act 1995 to revoke the AQMAs as soon as sufficient data has been collected.
Not to declare a new AQMA 7 due to exceedance at CM6	To comply with the provisions of the Environment Act 1995, to declare the AQMA as soon as sufficient data has been collected.

#### 7. Other options considered

- 7.1 Completion and submission of the ASR is a statutory requirement and therefore there are no other options.
- 7.2 Revocations and declarations of AQMAs have to comply with the provisions of the Environment Act 1995 and associated DEFRA guidance, therefore there are no other options.

#### 8. Environmental impact

- 8.1 A positive environmental impact can be noted from the monitoring of air quality across the district affording an understanding of how different areas are impacted and action plan measures which can be implemented. Additionally, there are benefits from increasing knowledge and raising awareness for the general public.

**9. Other significant issues**

- 9.1 In preparing this report, the author has considered issues related to Human Rights, Legal Matters, Human Resources, Equalities, Public Health Inequalities, and Climate Local and there are no areas of concern.

**10. Appendix**

- 10.1 Appendix A – Annual Status Report 2023

- 10.2 Appendix B – Map of proposed AQMA 7

**11. Background paper(s)**

- 11.1 There are no relevant background papers for this report.

**12. Report author's contact details**

Anna Farish	Environmental Services Manager
anna.farish@blaby.gov.uk	0116 272 7643





## 2023 Air Quality Annual Status Report (ASR)

In fulfilment of Part IV of the Environment Act 1995  
Local Air Quality Management, as amended by the  
Environment Act 2021

Date: June, 2023

Information	Blaby District Council Details
Local Authority Officer	Anna Farish
Department	Environmental Services
Address	Council Offices, Desford Road, Narborough, Leicester, LE19 2EP
Telephone	0116 275 0555
E-mail	<a href="mailto:environmental.services@blaby.gov.uk">environmental.services@blaby.gov.uk</a>
Report Reference Number	ASR 2023
Date	30 <sup>th</sup> June 2023

## Executive Summary: Air Quality in Our Area

### Air Quality in Blaby District

Air pollution is associated with a number of adverse health impacts. It is recognised as a contributing factor in the onset of heart disease and cancer. Additionally, air pollution particularly affects the most vulnerable in society: children, the elderly, and those with existing heart and lung conditions. There is also often a strong correlation with equalities issues because areas with poor air quality are also often less affluent areas<sup>1,2</sup>.

The mortality burden of air pollution within the UK is equivalent to 29,000 to 343,000 deaths at typical ages<sup>3</sup>, with a total estimated healthcare cost to the NHS and social care of £157 million in 2017<sup>4</sup>.

Blaby District Council (BDC) has five Air Quality Management Areas (AQMAs). All were declared after monitoring (where indicated) or modelling indicated an exceedance of the annual mean air quality objective for nitrogen dioxide ( $40\mu\text{g}/\text{m}^3$ ). These AQMAs are currently as follows:

- AQMA 1: A5460 Narborough Road South
- AQMA 2: M1 corridor in Enderby and Narborough
- AQMA 3: M1 corridor between Thorpe Astley and Leicester Forest East
- AQMA 4b: Enderby Road, Whetstone
- AQMA 6: Mill Hill, Enderby

AQMAs 2, 3 and 4b were reduced in size in 2020, due to low  $\text{NO}_2$  results from 2019 and the previous 4 years. No changes were made to any of the AQMA's in 2021 and 2022 due to the effects on air quality of the pandemic and following advice from DEFRA.

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<sup>1</sup> Public Health England. Air Quality: A Briefing for Directors of Public Health, 2017

<sup>2</sup> Defra. Air quality and social deprivation in the UK: an environmental inequalities analysis, 2006

<sup>3</sup> Defra. Air quality appraisal: damage cost guidance, January 2023

<sup>4</sup> Public Health England. Estimation of costs to the NHS and social care due to the health impacts of air pollution: summary report, May 2018

BDC Elected Members and Senior Managers have an ongoing commitment to continue the monitoring and management of air quality and taking action to reduce levels of airborne pollutants.

The Environmental Services Team are responsible for undertaking monitoring and action planning. The Team also provides consultation responses with regard to air quality constraints on planning applications.

Section 106 funds have been secured from several approved developments to support air quality work and this has allowed for both pre and post development monitoring to take place.

Multiple Teams across the Council have worked to deliver a programme of projects funded by Air Quality Grants.

BDC continues to work closely with the following partners:

- All Leicestershire Authorities
- Leicester City Council
- Leicestershire County Council (various sections including Highways and Transportation, Public Health and Sustainable Travel)
- National Highways
- The Environment Agency
- The UK Health Security Agency (UKHSA)

BDC has an active role in the Air Quality and Health Partnership which is implementing an Action Plan based on the outcomes of the Joint Strategic Needs Assessment (JSNA). This Action Plan informs BDC's air quality and climate change work and supports a joint delivery alongside the Council's Air Quality Action Plan (AQAP) and Air Quality Grant work.

BDC is a member of the East Midlands Air Quality Network and also is an active participant in the Leicester, Leicestershire, and Rutland Air Quality Forum which brings together a partnership of different organisations and expertise in matters of air quality.

Both of these bodies improve the sharing of information, offering a space for networking and aiding in consistency of approach.

In addition to operating its own air quality monitoring stations, BDC manages Leicestershire County Council's Air Quality Monitoring Station: Continuous Monitor 4 (CM4) (Blaby 4) - located in Leicester Forest East.

Although concentrations in some locations have shown increases in comparison to 2021 and two exceedances were recorded overall, a substantial majority of the monitoring network complies with the National Air Quality Objective (NAQO) for NO<sub>2</sub> and results remain below 40 µg/m<sup>3</sup>.

## Exceedances

In 2022 there were two recorded exceedances of the NAQO for NO<sub>2</sub> in the following locations:

- Enderby

An exceedance of the NAQO was recorded within AQMA6. An additional exceedance was recorded at roadside however once distance corrected the concentration falls below the NAQO.

- Braunstone Town

An exceedance at Continuous Monitor 6 (CM6) (Braunstone Town) was identified and this area will be declared as an AQMA.

## Compliances & Revocations

- **AQMA 1** (A5460 Narborough Road South)

Concentrations of NO<sub>2</sub> have remained below the NAQO during 2022, despite a small increase in recorded levels. As results have remained consistently low and under the NAQO during the last five years, this AQMA will be revoked.

- **AQMA 2** (M1 Corridor in Enderby and Narborough)

There have been no exceedances in AQMA2, with levels well below the NAQO in 2022 and only a small increase in concentrations from 2021. Monitoring results outside the AQMA have also shown a slight decrease in comparison to 2021, further informing the long-term trends within this area, therefore AQMA 2 will also be revoked.

- **AQMA 3** (M1 corridor between Thorpe Astley and Leicester Forest East)

All monitoring remains within the NAQO for NO<sub>2</sub>, however monitoring will continue within this AQMA due to new and proposed housing and economic developments nearby and the associated use of the A47 which is a key road corridor between Blaby District and Leicester City.

- **AQMA 4B** (Enderby Road, Whetstone)

Following consistency with the previous five years, concentrations remain well below the NAQO which supports the revocation of this AQMA.

- **AQMA 6** (Mill Hill, Enderby)

Whilst two diffusion tubes (DTs) within AQMA 6 have shown an exceedance of the NAQO, once distance corrected there was found to be only one exceedance. Other monitoring within the AQMA has shown compliance with the NAQO. However, monitoring will continue in this area to understand if the changes are reflective of a longer-term trend and due to potential nearby developments which may be approved, the AQMA is therefore proposed to be maintained.

To summarise the following AQMAs will be revoked due to ongoing compliance with objective levels:

- AQMA 1: A5460 Narborough Road South
- AQMA 2: M1 corridor in Enderby and Narborough
- AQMA 4B: Enderby Road, Whetstone

### **Diffusion Tube Monitoring - Enderby, Glenfield and Stoney Stanton**

To gain a greater insight into the air quality of these areas, monitoring has been undertaken in Enderby, Glenfield and Stoney Stanton and the Council found concentrations in Glenfield and Stoney Stanton to be below the NAQO.

Through the Countdown to Clean Air Grant project (CDTCA) 2022, monitoring in Enderby and Glenfield was introduced. As compliance with the NAQO has been evident and the CDTCA has come to an end, a number of these tubes in Enderby and Glenfield have since been removed from the 2023 monitoring network. Monitoring will continue in Stoney Stanton to due to potential nearby developments and to inform long term trends in the area.

### **Continuous Monitoring - Braunstone Town**

CM6 located on Lubbethorpe Road, Braunstone Town showed an exceedance of the NAQO for NO<sub>2</sub> in 2022. BDC will be declaring this area an AQMA and further investigations will be undertaken. Monitoring will be increased utilising low-cost devices

(Zephyrs) to provide real time data, supplementing the monitoring currently in place. BDC are working closely with Leicester City Council and Leicestershire County Council to obtain data and understand traffic flow trends and their correlation to the exceedances recorded.

### **Development within the District**

There are a number of ongoing and proposed developments around the District of Blaby, and it is possible that there may be an impact on local air quality. Monitoring is being conducted to understand background levels within close proximity to these development sites.

A summary of the development sites are as follows:

- Lubbesthorpe Development – This is a sustainable urban extension to the west of the M1 consisting of 4,250 homes and associated facilities. Phase one began in 2016 and the remaining phases are expected to be completed in the 2030's (This is a continuing development)
- Extension to Croft Quarry (planning permission approved on 12/01/2022 by Leicestershire County Council)
- Land north of A47 Hinckley Road, Kirby Muxloe – This is a proposal for 885 dwellings (planning permission is currently under consideration)
- Enderby Hub – This is an Outline Application for a commercial development consisting of four warehouse buildings and one training and education centre (planning permission is currently under consideration)
- Hinckley National Rail Freight Interchange Development – This is a National Infrastructure Application and is being determined by the Planning Inspectorate with a decision expected in the Summer of 2024.

Updates on the status and potential impact of these developments will be reported on in the next ASR.

## **Actions to Improve Air Quality**

Whilst air quality has improved significantly in recent decades, there are some areas where local action is needed to protect people and the environment from the effects of air pollution.

The Environmental Improvement Plan<sup>5</sup> sets out actions that will drive continued improvements to air quality and to meet the new national interim and long-term PM<sub>2.5</sub> targets. The National Air Quality Strategy, due to be published in 2023, will provide more information on local authorities' responsibilities to work towards these new targets and reduce PM<sub>2.5</sub> in their areas. The Road to Zero<sup>6</sup> details the approach to reduce exhaust emissions from road transport through a number of mechanisms; this is extremely important given that the majority of Air Quality Management Areas (AQMAs) are designated due to elevated concentrations heavily influenced by transport emissions.

Using the On-Street Residential Charge Scheme (ORCS) BDC installed twenty-four 7kW Electrical Vehicle (EV) chargers in 2021 throughout its Pay and Display car parks to support residents who have limited off-street parking and to encourage the use of Electric Vehicles within the District. The implementation of infrastructure to support the usage of lower emission vehicles will aid in the reduction of NO<sub>2</sub> emissions throughout Blaby District.

BDC also approved The Hackney Carriage and Private Hire Licensing Policy for 2022 – 2027 to incentivise the use of Ultra Low Emission Vehicles (ULEV) and Electric Vehicles (EV). The Licensing department offered reductions in the fees for Operators who License a vehicle under any of these categories. The Policy also put procedures in place to reduce the age of the Private Hire and Hackney Carriage fleet Licensed by the Authority.

### **DEFRA Air Quality Grant Projects:**

#### **Count Down to Clean Air Project (CDTCA)**

The CDTCA Project continued in 2022, engaging with schools and businesses to encourage Active Travel and raise awareness on Air Quality. The project focussed on areas of concern such as the M1 corridor around Junction 21, areas in close proximity to AQMAs and around schools within the district. There was a particular focus to work in areas of Enderby and Glenfield and as part of this, an additional 22 diffusion tubes were

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<sup>5</sup> Defra. Environmental Improvement Plan 2023, January 2023

<sup>6</sup> DfT. The Road to Zero: Next steps towards cleaner road transport and delivering our Industrial Strategy, July 2018



deployed in 2022.

Part of the Count Down to Clean Air project work included:

- Attending and delivering business breakfast sessions, hosted by BDC, to raise awareness on Air Quality and how businesses can make a positive difference through employee travel plans and incentives for green travel.
- Delivering Air Quality and Active Travel educational sessions and assemblies to schools, providing resources for students who were encouraged to take part in Clean Air Day and Great Big Green week.
- The Beat the Street Programme – which encouraged students to use alternative and more environmentally friendly methods of travel. Small Games were held across the North of Blaby District. These games saw 11 primary schools take part as well as several community groups and businesses. A total of 33 boxes were installed with 3053 players taking part and 24,314 miles were covered by bike, scooter or foot which increased active travel over a four-week period between May and June 2022.

The CDTCA project came to an end in March 2023, however legacy work continues to take place within other projects.

### **Particulate Matters Project**

In 2022 BDC were awarded grant funding of £151,121 for a new DEFRA Air Quality Project: 'Particulate Matters'. This project is currently underway and will finish in July 2024 with a focus on PM<sub>2.5</sub> and the sources associated with it across the district. Progress to date includes installation of low-cost monitors within the district, working with Croft Quarry with regard to PM<sub>2.5</sub> generation from their complex and operations and working with public health partners to further understand the health associated impacts.

### **Let Go Electric Project**

In 2023 BDC were successful with a grant application for £573,701 to deliver their 'Let's Go Electric' project. This will allow the Council to purchase an electric Road Sweeper and undertake the retrofit a diesel Refuse Collection Vehicle (RCV) to an electric Refuse Collection Vehicle (RCV) to reduce levels of NO<sub>2</sub> and particulate matter (PM) within AQMAs in the district.

## Conclusions and Priorities

Two exceedances have been measured in the district in 2022 one in Braunstone Town and one in AQMA 6, Enderby.

Of the two exceedances, the highest was measured at CM6 (Braunstone Town) and this area will be declared as an AQMA with investigations being undertaken to better understand the change in concentration. Monitoring will continue in this area and an action plan will be developed and implemented.

An additional exceedance was also indicated within AQMA 6, however once distance corrected the concentration value fell below the NAQO and therefore there were two exceedances recorded across the district.

Overall concentrations of NO<sub>2</sub> have shown an increase over 2022, however other than the reported exceedances, the monitoring network remains within the NAQO.

AQMAs, 1, 2 and 4b have shown no exceedance of the NAQO and remain well below the objective threshold and will be revoked. AQMAs 3 and 6 will remain.

BDC's priorities in 2023 are to;

- Continue monitoring throughout 2023 to assess trends, and actions.
- Revoke AQMAs 1, 2 and 4b
- Declare a new AQMA (7) due to the exceedance at CM6.
- Undertake investigation work within the new AQMA (7) to inform an action plan.
- Prepare a replacement AQAP.

## Local Engagement and how to get involved

BDC continues to work closely with other stakeholders and local authorities on air quality matters and projects and to improve education and awareness throughout the district.

Members of the public can help improve air quality by participating in alternative methods of transport to personal car usage such as park and ride schemes, car sharing, buses, walking and cycling.

'Walk and Ride Blaby' is a long-term project which aims to encourage sustainable travel options within Blaby District. Funding has been sourced by BDC, The Leicester and Leicestershire Enterprise Partnership and Leicester City Council to plan, develop, and deliver this project. The focus of this work is to create a cycle route from New

Lubbesthorpe through to Braunstone Town joining the Great Central Way with Leicester City Centre. In addition to this there is also a partnership with 'Sustrans' to develop a Local Cycling and Walking Improvement Plan to increase provision of more sustainable travel routes.

## Local Responsibilities and Commitment

This ASR was prepared by the Environmental Services Team with the support and agreement of the following officers and departments:

- BDC Health, Leisure and Tourism Services
- BDC Planning Policy Team
- BDC Development Services Team
- UKHSA
- Leicestershire County Council
  - Public Health
  - Traffic Management
  - Sustainable Travel Team

This ASR has been approved by:

- Environmental Health, Housing and Community Services Group Manager
- Strategic Director
- Portfolio Holder and Elected Members

<Details of high level Council members who have approved the ASR (This could also include support from County Councils or from National Highways where appropriate) e.g. Head of Transport Planning, Head of Public Health, with e-signature>.

This ASR <has/has not> been signed off by a Director of Public Health.

If you have any comments on this ASR, please send them to Environmental Services at:

Address: Council Offices, Desford Road, Narborough, Leicester, LE19 2EP

Telephone: 0116 275 0555

Email: [Environmental.services@blaby.gov.uk](mailto:Environmental.services@blaby.gov.uk)

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# 1 Local Air Quality Management

This report provides an overview of air quality in Blaby District during 2022. It fulfils the requirements of Local Air Quality Management (LAQM) as set out in Part IV of the Environment Act (1995), as amended by the Environment Act (2021), and the relevant Policy and Technical Guidance documents.

The LAQM process places an obligation on all local authorities to regularly review and assess air quality in their areas, and to determine whether or not the air quality objectives are likely to be achieved. Where an exceedance is considered likely the local authority must declare an Air Quality Management Area (AQMA) and prepare an Air Quality Action Plan (AQAP) setting out the measures it intends to put in place in order to achieve and maintain the objectives and the dates by which each measure will be carried out. This Annual Status Report (ASR) is an annual requirement showing the strategies employed by BDC to improve air quality and any progress that has been made.

The statutory air quality objectives applicable to LAQM in England are presented in Table E.1.

## 2 Actions to Improve Air Quality

### 2.1 Air Quality Management Areas

Air Quality Management Areas (AQMA)s are declared when there is an exceedance or likely exceedance of an air quality objective. After declaration, the authority should prepare an Air Quality Action Plan (AQAP) within 18 months. The AQAP should specify how air quality targets will be achieved and maintained and provide dates by which measures will be carried out.

A summary of AQMA)s declared by BDC can be found in Table 2.1. The table presents a description of the five AQMA(s) that are currently designated within Blaby District.

Appendix D: Map(s) of Monitoring Locations and AQMA)s provides maps of AQMA(s) and also the air quality monitoring locations in relation to the AQMA(s). The air quality objectives pertinent to the current AQMA designation(s) are as follows:

- NO<sub>2</sub> annual mean.

BDC will declare a new AQMA in Braunstone Town along the vicinity of Lubbesthorpe Road and Narborough Road South A5460 due to an exceedance of the NO<sub>2</sub> annual mean air quality objective.

The Council propose to revoke AQMA 1, 2 and 4b due to ongoing compliance with the national air quality objective.



**Table 2.1 – Declared Air Quality Management Areas**

AQMA Name	Date of Declaration	Pollutants and Air Quality Objectives	One Line Description	Is air quality in the AQMA influenced by roads controlled by Highways England?	Level of Exceedance: Declaration	Level of Exceedance: Current Year	Number of Years Compliant with Air Quality Objective	Name and Date of AQAP Publication	Web Link to AQAP
AQMA 1: A5460 Narborough Road South	Declared September 2000; Amended January 2018	NO <sub>2</sub> Annual Mean	Residential properties along a small section of Narborough Road South to the extent of Blaby District	NO	50 µg/m <sup>3</sup>	23 µg/m <sup>3</sup>	5	Air Quality Action Plan 2021-2025	<a href="https://www.blaby.gov.uk/media/z3opt2yt/air-quality-action-plan-2021-2025.pdf">https://www.blaby.gov.uk/media/z3opt2yt/air-quality-action-plan-2021-2025.pdf</a>
AQMA 2: M1 corridor in Enderby and Narborough	Declared September 2000; Amended 2020	NO <sub>2</sub> Annual Mean	Residential properties adjacent to the M1, between around 1.5 km and 3 km south of Junction 21.	YES	50 µg/m <sup>3</sup>	24 µg/m <sup>3</sup>	5	Air Quality Action Plan 2021-2025	<a href="https://www.blaby.gov.uk/media/z3opt2yt/air-quality-action-plan-2021-2025.pdf">https://www.blaby.gov.uk/media/z3opt2yt/air-quality-action-plan-2021-2025.pdf</a>
AQMA 3: M1 corridor between Thorpe Astley and Leicester Forest East	Declared September 2000; Amended April 2005; Amended 2020	NO <sub>2</sub> Annual Mean	Residential houses adjacent to the M1 and A47 between Thorpe Astley and Leicester Forest East	YES	62 µg/m <sup>3</sup>	23 µg/m <sup>3</sup>	4	Air Quality Action Plan 2021-2025	<a href="https://www.blaby.gov.uk/media/z3opt2yt/air-quality-action-plan-2021-2025.pdf">https://www.blaby.gov.uk/media/z3opt2yt/air-quality-action-plan-2021-2025.pdf</a>

AQMA 4B: Enderby Road, Whetstone	Declared April 2005; Amended 2020	NO2 Annual Mean	Residential houses along Enderby Road, Whetstone	NO	50 µg/m <sup>3</sup>	25 µg/m <sup>3</sup>	5	Air Quality Action Plan 2021-2025	<a href="https://www.blaby.gov.uk/media/z3opt2yt/air-quality-action-plan-2021-2025.pdf">https://www.blaby.gov.uk/ media/z3opt2yt/air- quality-action-plan-2021- 2025.pdf</a>
AQMA6: Mill Hill, Enderby	Declared January 2018	NO2 Annual Mean	Residential properties along Hall Walk and Mill Hill, Enderby	NO	43 µg/m <sup>3</sup>	43 µg/m <sup>3</sup>	0	Air Quality Action Plan 2021-2025	<a href="https://www.blaby.gov.uk/media/z3opt2yt/air-quality-action-plan-2021-2025.pdf">https://www.blaby.gov.uk/ media/z3opt2yt/air- quality-action-plan-2021- 2025.pdf</a>

☒ Blaby District Council confirm the information on UK-Air regarding their AQMA(s) is up to date

☒ Blaby District Council confirm that all current AQAPs have been submitted to Defra

## 2.2 Progress and Impact of Measures to address Air Quality in Blaby District

Defra's appraisal of last year's ASR concluded that the report was well structured, detailed, and provided the information specified in the Guidance. The report was accepted, and the following comments were provided to help inform future reports:

1. The council have provided maps in Appendix D that clearly show the locations of the AQMA's, the monitoring locations and the annual mean results of each location. This allows the reader to easily see the monitoring locations in relation to major roads and to see at a glance the main monitoring result from each monitoring location.

**Response: Comment welcomed.**

2. The council have provided a comprehensive justification for their choice of bias adjustment factor. This is encouraged for future reports as it will allow the reader to easily see if the council are using the correct bias adjustment factor.

**Response: Comment welcomed.**

3. For the AQMA areas, make sure that the dates of any declarations and amendments are submitted to the portal so that all the details in the portal and in Table 2.1 match.

**Response: Comment welcomed and actioned.**

4. For all of the figures in Figure A.1, make sure that the figures have the current names of all of the monitoring locations so that it is easier for the reader to see which monitoring results correlate to which monitoring location.

**Response: Action taken to implement in ASR 2023**

BDC has taken forward a number of direct measures during the current reporting year of 2022 in pursuit of improving local air quality. Details of all measures completed, in progress or planned are set out in Table 2.2. 26 measures are included within Table 2.2, with the type of measure and the progress BDC have made during the reporting year of 2022 presented. Where there have been, or continue to be, barriers restricting the implementation of the measure, these are also presented within Table 2.2.

Key completed measures are:

- Action 1 - Gather information from local sources and interrogate air quality monitoring data to inform actions and support bids for funding.
- Action 4 - Gather information from local sources and interrogate air quality monitoring data to inform actions and support bids for funding. To include reconsideration of source apportionment
- Action 6 - Improve driver information about air quality for example, signs and active signs.
- Action 11 - Gather information from local sources and interrogate air quality monitoring data to inform actions and support bids for funding.
- Action 13 - Improve driver information about air quality for example, signs and active signs.
- Action 15 - Gather information from local sources and interrogate air quality monitoring data to inform actions and support bids for funding.
- Action 21 - Behavioural change project with businesses in vicinity of AQMA
- Action 23 - Develop a partnership to create a charging network across the district (public and private car parks, petrol stations, on street).
- Action 24 - Engage with Private Hire and Hackney Carriage operators and drivers to encourage the switch to electric vehicles
- Action 25 - Improve air quality information on BDC website.

Blaby District Council worked to implement these measures in partnership with the following stakeholders during 2022:

- Leicestershire County Council
  - Public Health,
  - Traffic Management,
  - Sustainable Travel

BDC's priorities for the coming year are to continue to work on completing the action plan measures and undeclaring AQMAs 1,2 and 4b. Blaby District Council intend to declare a new AQMA centred on a section of Lubbethorpe Road and Narborough Road South, A5460.

The principal challenges and barriers to implementation that BDC anticipate facing are the continuing limited resources available to both it and its partners.

BDC anticipate that the measures stated above and in Table 2.2 will achieve compliance in AQMAs 1, 2 and 4B.

Whilst the measures stated above and in Table 2.2 will help to contribute towards compliance, BDC anticipates that further additional measures not yet prescribed will be required in subsequent years to achieve compliance and enable the revocation of AQMA 6.

**Table 2.2 – Progress on Measures to Improve Air Quality**

Measure No.	Measure	Category	Classification	Year Measure Introduced in AQAP	Estimated / Actual Completion Date	Organisations Involved	Funding Source	Defra AQ Grant Funding	Funding Status	Estimated Cost of Measure	Measure Status	Reduction in Pollutant / Emission from Measure	Key Performance Indicator	Progress to Date	Comments / Barriers to Implementation
1 - AQMA 1 A5460 Narborough Road South	Gather information from local sources and interrogate air quality monitoring data to inform actions and support bids for funding.	Traffic Management	UTC, Congestion management, traffic reduction	Summer 2021	September 2023	BDC, Leicestershire County Council, Leicester City Council	BDC and Defra AQ Grant	YES	Partially Funded	< £10k	Completed	N/A	Clearer picture of traffic flows and effects on air quality	Data gathered throughout the year using a variety of sources	Data from 2022 indicates that AQMA 1 will be undeclared
2 - AQMA 1 A5460 Narborough Road South	Integrate traffic management (for example, SCOOT) with air quality monitoring	Traffic Management	UTC, Congestion management, traffic reduction	To be determined	2025	Leicestershire County Council	To be identified	NO	Not Funded		Aborted	N/A	Systems integrated	This work is dependent upon the outcome of Measure 1	Measure no longer needed
3 - AQMA1 A5460 Narborough Road South	Improve driver for example, signs and active signs	Traffic Management	UTC, Congestion management, traffic reduction	To be determined	2025	Leicestershire County Council	To be identified	NO	Not Funded		Completed	N/A	Signs installed	Current signs already active in park and ride locations such as Fosse Park and Narborough Road South	
4 - AQMA 2 M1 corridor in Enderby and Narborough	Gather information from local sources and interrogate air quality monitoring data to inform actions and support bids for funding. To include reconsideration of source apportionment	Traffic Management	UTC, Congestion management, traffic reduction	Summer 2021	Sep-23	BDC	BDC	NO	Not Funded	< £10k	Completed	N/A	Clearer picture of traffic flows and effects on air quality	Data gathered throughout the year using a variety of sources	Data from 2022 indicates that AQMA 2 will be undeclared
5 - AQMA 2 M1 corridor in Enderby and Narborough	Integrate traffic management (for example, SCOOT) with air quality monitoring	Traffic Management	UTC, Congestion management, traffic reduction	To be determined	To be determined	Leicestershire County Council	To be identified	NO	Not Funded		Aborted	N/A	Systems integrated	Presentation completed by LCC showing research and future considerations	measure no longer needed
6 - AQMA 2 M1 corridor in Enderby and Narborough	Improve driver information about air quality for example, signs and active signs	Traffic Management	UTC, Congestion management, traffic reduction	To be determined	To be determined	Leicestershire County Council	To be identified	NO	Not Funded		Completed	N/A	Signs installed	Current signs already active in park and ride locations such as Fosse Park and Narborough Road South	

Measure No.	Measure	Category	Classification	Year Measure Introduced in AQAP	Estimated / Actual Completion Date	Organisations Involved	Funding Source	Defra AQ Grant Funding	Funding Status	Estimated Cost of Measure	Measure Status	Reduction in Pollutant / Emission from Measure	Key Performance Indicator	Progress to Date	Comments / Barriers to Implementation
7 - AQMA 3 M1 corridor between Thorpe Astley and Leicester Forest East	Gather information from local sources and interrogate air quality monitoring data to inform actions and support bids for funding. To include reconsideration of source apportionment	Traffic Management	UTC, Congestion management, traffic reduction	Summer 2021	Sep-21	BDC	BDC	NO	Not Funded	< £10k	Implementation	N/A	Clearer picture of traffic flows and effects on air quality	Evidence continues to be gathered.	
8 - AQMA 3 M1 corridor between Thorpe Astley and Leicester Forest East	Deliver Braunstone Crossroads junction improvement	Traffic Management	UTC, Congestion management, traffic reduction	To be determined	To be determined	Leicestershire County Council /Developers	LCC/S106 money	NO	Funded		Planning	N/A	Junction improved	Awaiting date for implementation when development commences	
9 - AQMA 3 M1 corridor between Thorpe Astley and Leicester Forest East	Integrate traffic management (for example. SCOOT) with air quality monitoring	Traffic Management	UTC, Congestion management, traffic reduction	To be determined	2025	Leicestershire County Council	Leicestershire County Council	NO	Not Funded		Planning	N/A	Systems integrated	This work is dependent upon the outcome of Measure 7	
10 - AQMA 3 M1 corridor between Thorpe Astley and Leicester Forest East	Improve driver information about air quality for example, signs and active signs	Traffic Management	UTC, Congestion management, traffic reduction	To be determined	2025	Leicestershire County Council	Leicestershire County Council	NO	Not Funded		Implementation	N/A	Signs installed	Park and ride signs in area have been amended to represent appropriate wording.	
11 - AQMA 4B Enderby Road, Whetstone	Gather information from local sources and interrogate air quality monitoring data to inform actions and support bids for funding.	Traffic Management	UTC, Congestion management, traffic reduction	Summer 2021	Sep-23	BDC	BDC	NO	Not Funded	< £10k	Completed	N/A	Clearer picture of traffic flows and effects on air quality	Data from 2022 and observations supports undeclaration of this AQMA	
12 - AQMA 4B Enderby Road, Whetstone	Integrate traffic management (for example, SCOOT) with air quality monitoring	Traffic Management	UTC, Congestion management, traffic reduction	To be determined	2025	Leicestershire County Council	Leicestershire County Council	NO	Not Funded		Aborted	N/A	Systems integrated	. This work is dependent upon the outcome of Measure 11	measure no longer needed

Measure No.	Measure	Category	Classification	Year Measure Introduced in AQAP	Estimated / Actual Completion Date	Organisations Involved	Funding Source	Defra AQ Grant Funding	Funding Status	Estimated Cost of Measure	Measure Status	Reduction in Pollutant / Emission from Measure	Key Performance Indicator	Progress to Date	Comments / Barriers to Implementation
13 - AQMA 4B Enderby Road, Whetstone	Improve driver information about air quality for example, signs and active signs	Traffic Management	UTC, Congestion management, traffic reduction	To be determined	2025	Leicestershire County Council	Leicestershire County Council	NO	Not Funded		Completed	N/A	Signs installed	LCC considering appropriate wording on new signage and effect it will have on drivers.	Careful consideration not to overload drivers with too much signage information
14 - AQMA 4B Enderby Road, Whetstone	Increased air quality monitoring on Enderby Road, Whetstone	Traffic Management	UTC, Congestion management, traffic reduction	To be determined	To be determined	BDC	Section 106 from Cork Lane housing development.	NO	Not Funded		Planning		Additional Monitor (s) installed	Signed Section 106 agreement in place. However conditions remain undischarged to facilitate commencement of development and release of funds	Siting specific and relevant location for additional monitors to record the best data was complex in order to represent façade data
15 - AQMA 6 Mill Hill, Enderby	Gather information from local sources and interrogate air quality monitoring data to inform actions and support bids for funding.	Traffic Management	UTC, Congestion management, traffic reduction	Summer 2021	Sep-21	BDC	BDC	NO	Not Funded	< £10k	Completed	N/A	Clearer picture of traffic flows and effects on air quality	Air Quality improvement officers undertook site observations and have compared with this monitored data, this information has been used to apply for further air quality grant funding.	
16 - AQMA 6 Mill Hill, Enderby	Increased air quality monitoring	Traffic Management	UTC, Congestion management, traffic reduction	Autumn 2020	2024	BDC	BDC/DEFRA	YES	Partially Funded	£10k - 50k	Implementation	N/A	Additional Monitors installed	Monitors to be installed as part of Particulates Matters Air Quality Grant Project	Review of Diffusion Tubes completed and resulted in rationalisation of monitoring locations
17 - AQMA 6 Mill Hill, Enderby	Integrate traffic management (for example, SCOOT) with air quality monitoring	Traffic Management	UTC, Congestion management, traffic reduction	To be determined	To be determined	Leicestershire County Council	Leicestershire County Council	NO	Not Funded		Planning	N/A	Systems integrated	Presentation completed by LCC showing research and future considerations	Ongoing implementation over coming years
18 - AQMA 6 Mill Hill, Enderby	Improve driver information about air quality for example, signs and active signs	Traffic Management	UTC, Congestion management, traffic reduction	To be determined	2025	Leicestershire County Council	Leicestershire County Council	NO	Funded		Implementation	N/A	Signs installed	LCC considering appropriate wording on new signs and affect it will have on drivers. Current signs already active in park ride signs such as nearby Fosse Park	Careful consideration not to overload drivers with too much signage information



Measure No.	Measure	Category	Classification	Year Measure Introduced in AQAP	Estimated / Actual Completion Date	Organisations Involved	Funding Source	Defra AQ Grant Funding	Funding Status	Estimated Cost of Measure	Measure Status	Reduction in Pollutant / Emission from Measure	Key Performance Indicator	Progress to Date	Comments / Barriers to Implementation
19 - AQMA 6 Mill Hill, Enderby	Delivery of Enderby Relief Road	Traffic Management	Strategic highway improvements, Re-prioritising Road space away from cars, including Access management, Selective vehicle priority, bus priority, high vehicle occupancy lane	To be determined	2025	Leicestershire County Council /Developers	Leicestershire County Council /S106 money	NO	Funded	> £10 million	Planning	N/A	Relief Road operational	Relevant planning application currently being processed	
20 - Wider measures	Secure investment through The LLEP and Transforming Cities funding to improve our walking and cycling routes. To develop key routes across the district. To work with colleagues in Leicester City, Leicestershire County Council and Sustrans on improvements to our cycle routes. Promotion of our walking and cycling routes to increase usage and a change in residents' behaviour. Implementation of a Walk and ride Connectivity strategy.	Promoting Travel Alternatives	Promotion of walking	2021 onwards	2025	BDC	BDC/DEFRA	YES	Funded		Implementation	N/A	Project completed	Liaison continued with work undertaken by the Health and Leisure Team	.

Measure No.	Measure	Category	Classification	Year Measure Introduced in AQAP	Estimated / Actual Completion Date	Organisations Involved	Funding Source	Defra AQ Grant Funding	Funding Status	Estimated Cost of Measure	Measure Status	Reduction in Pollutant / Emission from Measure	Key Performance Indicator	Progress to Date	Comments / Barriers to Implementation
21 - Wider measures	Behavioural change project with businesses in vicinity of AQMA	Promoting Travel Alternatives	Workplace Travel Planning	Autumn 2020 onwards	To be determined	BDC	BDC/DEFRA	YES	Funded	£10k - 50k	Completed	N/A	Completion of project	Attending and delivering business breakfast sessions, hosted by the BDC, to raise awareness on Air Quality and how businesses can make a positive difference, through employee travel plans, awareness raising and incentives for green travel.	Changes in staffing and workstreams affected the progress made in 2022.
22 - Wider measures	Behavioural change project with schools	Promoting Travel Alternatives	School Travel Plans	Autumn 2020 onwards	To be determined	BDC	BDC/DEFRA	YES	Funded	£10k - 50k	Implementation	N/A	Completion of project	Delivering Air Quality and Active Travel educational session and assemblies to schools.	Changes in staffing and workstreams affected the progress made in 2022.
														Creation and delivery of engaging activities for schools – linking in initiatives such as Clean Air Day 2022 and Great Big Green Week to showcase the multitude of positive benefits.	Elements of the Project are being taken forward into 2023, beyond the formal Project end date. For example, Clean Air Day 2023 and work with the Schools Sport Partnership.
														Beat the Street Programme – which encouraged students to use alternative and more environmentally friendly methods of travel. Small Games were held across the North of Blaby District which includes Enderby and Glenfield. These games seen 11 primary schools take part as well as several community groups/businesses. A total of 33 boxes were installed, 3053 players took part, and 24,314	

Measure No.	Measure	Category	Classification	Year Measure Introduced in AQAP	Estimated / Actual Completion Date	Organisations Involved	Funding Source	Defra AQ Grant Funding	Funding Status	Estimated Cost of Measure	Measure Status	Reduction in Pollutant / Emission from Measure	Key Performance Indicator	Progress to Date	Comments / Barriers to Implementation
														miles were covered on bike, scooter, or foot, which increased active travel over a four-week period between May and June 2022 and subsequently had the potential to improve Air Quality.	
23 - Wider measures	Develop a partnership to create a charging network across the district (public and private car parks, petrol stations, on street)	Promoting Low Emission Transport	Procuring alternative Refuelling infrastructure to promote Low Emission Vehicles, EV recharging, Gas fuel recharging	September 2020	To be determined	BDC	BDC	NO	Funded		Completed	N/A	Completion of Project	Further project work being coordinated with Leicestershire County Council	
24 - Wider measures	Engage with the taxi drivers to encourage the switch to electric vehicles.	Promoting Low Emission Transport	Taxi emission incentives	2021	2022	BDC	BDC	NO	Not Funded		Completed	N/A	Completion of project	BDC approved The Hackney Carriage and Private Hire Licensing Policy for 2022 – 2027 to incentivise the use of Ultra Low Emission Vehicles (ULEV's) and Electric Vehicles (EV).	This action will be revisited in 2022 (ASR 2023) with drivers continuing to be engaged
25 - Wider measures	Improve air quality information on BDC website	Public Information	Via the Internet	Summer 2021	End of July 2021	BDC	BDC	NO	Not Funded		Completed	N/A	Improved webpage	Web page made easier to access information and reports. All the latest information and reports are now made available through BDC's website.	

Measure No.	Measure	Category	Classification	Year Measure Introduced in AQAP	Estimated / Actual Completion Date	Organisations Involved	Funding Source	Defra AQ Grant Funding	Funding Status	Estimated Cost of Measure	Measure Status	Reduction in Pollutant / Emission from Measure	Key Performance Indicator	Progress to Date	Comments / Barriers to Implementation
26 - Wider measures	Use the Pan Regional Transport Model (PRTM) to build an Air quality model to be able to assess proposed physical mitigation measures and provide the evidence to bid for funding	Traffic Management	UTC, Congestion management, traffic reduction	2021	To be determined	LCC	LCC	NO	Not Funded		Aborted	N/A	Clearer picture of traffic flows and effects on air quality	The main focus of the modelling was to be AQMA 6. However, monitoring has indicated that the situation may be simpler than originally envisaged and therefore this measure is no longer required.	

## 2.3 PM<sub>2.5</sub> – Local Authority Approach to Reducing Emissions and/or Concentrations

As detailed in Policy Guidance LAQM.PG22 (Chapter 8), local authorities are expected to work towards reducing emissions and/or concentrations of PM<sub>2.5</sub> (particulate matter with an aerodynamic diameter of 2.5µm or less). There is clear evidence that PM<sub>2.5</sub> has a significant impact on human health, including premature mortality, allergic reactions, and cardiovascular diseases.

BDC is taking the following measures to address PM<sub>2.5</sub>:

There are two continuous monitors that record concentrations of PM. CM1 located near AQMA2 monitors PM<sub>10</sub>, a correction factor is then used to give a PM<sub>2.5</sub> concentration. The second continuous monitor (CM5) located in AQMA 6 directly monitors PM<sub>2.5</sub>. In addition to this BDC have installed a number of low-cost monitors known as Zephyrs which monitor NO<sub>2</sub>, PM<sub>1</sub>, PM<sub>10</sub>, PM<sub>2.5</sub> and O<sub>3</sub>. Although these monitors are not yet recognised as reference methods, they allow for a greater understanding of trends within the area. The Zephyrs were obtained through the Count Down To Clean Air Project and will be used to monitor in other grant funded projects in the future.

### Control of sources:

Emissions to atmosphere generated by Permitted Processes are regulated by the Council. There are a number of Processes in the district which may give rise to PM<sub>2.5</sub> such as Croft Quarry, Concrete Batching and Mobile Crushing Plants. BDC currently regulate 33 processes across the district.

The Environmental Services Team provide expert advice and consultation comments to the Development Services Team in relation to planning applications and where appropriate, the Team recommend controls over dust from construction and demolition sites, generally through construction management plans. New sources that have a potential to contribute to levels of PM<sub>2.5</sub> are also assessed with actions implemented to control emissions.

The section of the District termed as the Principle Urban Area (PUA) is covered by Smoke Control Areas (SCAs). BDC has a number of SCA's that are enforced where reports of visible smoke occur. The Environment Act 2021 provides legislation to further tackle

smoke from domestic chimneys and work is progressing within the Authority to produce a policy for action under this legislation.

### 3 Air Quality Monitoring Data and Comparison with Air Quality Objectives and National Compliance

This section sets out the monitoring undertaken within 2022 by BDC and how it compares with the relevant air quality objectives. In addition, monitoring results are presented for a five-year period between 2018 and 2022 to allow monitoring trends to be identified and discussed.

#### 3.1 Summary of Monitoring Undertaken

##### 3.1.1 Automatic Monitoring Sites

BDC undertook automatic (continuous) monitoring at five sites during 2022. Table A.1 in Appendix A shows the details of the automatic monitoring sites. NB. Local authorities do not have to report annually on the following pollutants: 1,3 butadiene, benzene, carbon monoxide and lead, unless local circumstances indicate there is a problem. The [Air Quality - Monitoring in Blaby District | Tableau Public](#) page presents automatic monitoring results for BDC, with automatic monitoring results also available through the UK-Air website .

Maps showing the location of the monitoring sites are provided in Appendix D. Further details on how the monitors are calibrated and how the data has been adjusted are included in Appendix C.

In regard to data capture, a significant improvement has been made in comparison to previous years. In 2022, CM1 was the only monitoring location which required annualisation due to obtaining a data capture below 75%. The remaining four monitoring stations presented a sufficient volume of data capture which did not require annulisation. Further details can be found in the [Quality Assurance / Quality Control](#) (QA/QC) section in Appendix C.

##### 3.1.2 Non-Automatic Monitoring Sites

BDC undertook non- automatic (i.e. passive) monitoring of NO<sub>2</sub> at 80 sites during 2022. Table A.2 in Appendix A presents the details of the non-automatic sites.

Maps showing the location of the monitoring sites are provided in Appendix D. Further details on QA/QC for the diffusion tubes, including bias adjustments and any other

adjustments applied (e.g. annualisation and/or distance correction), are included in Appendix C.

## 3.2 Individual Pollutants

The air quality monitoring results presented in this section are, where relevant, adjusted for bias, annualisation (where the annual mean data capture is below 75% and greater than 25%), and distance correction. Further details on adjustments are provided in Appendix C.

### 3.2.1 Nitrogen Dioxide (NO<sub>2</sub>)

Table A.3 and Table A.4 in Appendix A compare the ratified and adjusted monitored NO<sub>2</sub> annual mean concentrations for the past five years with the air quality objective of 40µg/m<sup>3</sup>. Note that the concentration data presented represents the concentration at the location of the monitoring site, following the application of bias adjustment and annualisation, as required (i.e. the values are exclusive of any consideration to fall-off with distance adjustment).

For diffusion tubes, the full 2022 dataset of monthly mean values is provided in Appendix B. Note that the concentration data presented in Table B.1 includes distance corrected values, only where relevant.

Table A.5 in Appendix A compares the ratified continuous monitored NO<sub>2</sub> hourly mean concentrations for the past five years with the air quality objective of 200µg/m<sup>3</sup>, not to be exceeded more than 18 times per year.

Below is a summary of air quality trends across 2022 for each monitoring area. An additional 22 tubes were introduced, with a particular focus on areas of concern. Those introduced in Enderby and Glenfield were part of the CDTCA project. Based on consistent low concentrations of NO<sub>2</sub> a decision was made to no longer monitor in the area of Cosby and to reduce monitoring in the areas of Sapcote, Glen Parva and Thorpe Astley.

#### **AQMA 1 – A5460 Narborough Road South**

Diffusion tube data concentrations have remained consistently low over the last five years, based on this the AQMA will be revoked.



**AQMA 2 – M1 Corridor in Enderby and Narborough**

No changes were made to this AQMA in 2022 and monitoring continued through DT48 which has shown a small increase in concentration in comparison to 2021, but remains well below the NAQO. Based on this and consistency over previous years, AQMA 2 will be revoked.

**AQMA 3 – M1 Corridor between Thorpe Astley and Leicester Forest East**

The A47 (Hinckley Road) is located within this AQMA and is extensively used throughout the day, with higher levels of traffic present in particular during peak rush hour times. Whilst CM4 has shown a reduction in concentrations, diffusion tube data has shown small increases across the AQMA. The largest change in concentration can be noted at DT16 and DT57, both of which are located on Ratby Lane.

Monitoring will continue within this AQMA over the next year to assess trends and analyse the impacts of nearby developments, and where compliance is evident, it possible that this AQMA may be amended.

Monitoring has been reduced in 2023 with DT18 and DT81 removed.

**AQMA 4B – Enderby Road, Whetstone**

Monitoring has continued within this AQMA (DT20 and DT26). Concentrations show a small increase however they remain below the NAQO and are consistent with previous year's results. Based on this the AQMA will be revoked, however, to maintain an understanding of the area monitoring will continue through the use of DT20.

**AQMA – 6 Mill Hill, Enderby**

Monitoring was increased within this AQMA over 2022, with the addition of 15 new diffusion tubes: five within the AQMA and 10 outside the AQMA along the B582, through the CDTCA project. CM5 has shown a small increase in concentration yet remains below the NAQO with no requirement for annualisation.

There were two exceedances recorded overall within the AQMA at DT4 and DT118.

As DT4 has exceeded in the past and came close to exceeding in 2019, monitoring will continue.

DT118 was introduced in 2022 and is located centrally within the AQMA. Although this tube was exceeding at roadside, distance correction was necessary as the nearest receptor (housing) is set back from the road. Distance correction results in the concentration reducing to 22.5  $\mu\text{g}/\text{m}^3$ , falling well below the NAQO. Further details can be found in the QA/QC

section. Monitoring will continue to assess if the higher concentrations are part of a longer-term trend.

The remaining diffusion tubes within the AQMA have shown some small changes but remain within the NAQO.

As the CDTCA project ended in 2023 DT40 and DT116 (within the AQMA) have been removed, however some tubes have been retained for continued monitoring in relation to the AQMA.

### **Enderby**

The 10 additional diffusion tubes were added to map the concentrations over a wider area. The elevated concentrations recorded within this area could potentially be owed to the steep hill and idling during busy times. However, as there are no relevant receptors the NAQO is not directly applicable. DT84 and DT120 are located outside of the AQMA, with close proximity to Enderby Village. Both monitoring sites show no exceedances of the NAQO.

As the CDTCA project ended in 2023, DT 106, 107, 108, 109, 113, 116 and 120 have been removed. All concentrations at these sites remain below the NAQO.

### **Other Monitoring Areas**

#### **Braunstone Town**

CM6 located on Lubbethorpe Road reported an annual exceedance for NO<sub>2</sub> above the NAQO in 2022. BDC will be declaring an AQMA and investigating the exceedance, with the aim of understanding if there is a singular or multiple sources attributing to the increase of levels. As part of this, additional monitoring will be undertaken, and work will continue with Leicestershire County Council and Leicester City Council to supplement investigations. The triplicate set co-located with CM1 has also shown a small increase but remains within the NAQO. Concentrations at DT1 have shown a small increase but remain within the NAQO. Monthly concentrations for CM6 can be found under Figure A.1 in [Appendix A](#).

#### **Sharnford Hill, Sharnford**

Monitoring in Sharnford has indicated a small increase in comparison to last year, however, demonstrates no exceedance of the NAQO.

#### **Glenfield Village**

CM7 located in Glenfield has shown no exceedance of the NAQO and is consistent with the previous five years results. Four additional diffusion tubes were introduced from the CDTCA

project due to initial concerns within the area however all diffusion tube monitoring sites remain within the NAQO for 2022.

As the CDTCA project came to an end in 2023, DTs 85, 103, 104 and 105 were not deployed in 2023.

### **Glen Parva**

Both diffusion tubes remain below the NAQO with a small change in concentrations in comparison to 2021.

Monitoring will continue due to the potential of nearby developments.

### **Stoney Stanton Village**

Monitoring continued in 2022 with an additional three diffusion tubes, DT75, 98 and 101 deployed, to further inform initial concerns raised, however there were no exceedances of the NAQO.

Monitoring will continue within this area to understand long term patterns and to obtain background data due to the potential of nearby developments.

### **Sapcote Village**

In 2022 a reduced number of diffusion tubes were deployed. In trend with the previous five years, Sapcote Village shows no exceedance of the NAQO.

Monitoring will continue through DT31 due to the potential of nearby developments.

### **Elmesthorpe Railway Bridge**

Concentrations have shown no change over the previous monitoring year, remaining at a low concentration.

Monitoring will continue to ensure background levels are obtained to assess the impact of surrounding proposed developments, such as the Hinckley National Rail Freight Interchange.

### **Thorpe Astley**

Concentrations have not changed significantly within this area and remain well within the NAQO. In 2022 there was a reduction of diffusion tube monitoring due to consistent low readings.

**Kirby Muxloe**

Monitoring in Kirby Muxloe continued in 2022, and the concentration from DT77 shows a small increase from 2021, however still remaining well below the NAQO.

**Aston Firs, near Sapcote**

Monitoring shows a small increase from 2021 yet remains well below NAQO.

Monitoring will continue to understand background trends, in relation to larger scale developments within the area.

**Main Street, Kilby**

A small increase in concentration can be seen at Kilby, however this remains low, consistent with the previous three years of monitoring.

**Active Travel Monitoring**

2022 provided the final full year of monitoring data in regard to the CDTCA Project.

No exceedances of the NAQO were noted over the four years of monitoring and in 2022 levels ranged between 11  $\mu\text{g}/\text{m}^3$  and 22  $\mu\text{g}/\text{m}^3$ .

Although this project has ended and the additional diffusion tubes are no longer deployed, legacy work will continue through additional grant projects and initiatives such as Clean Air Day.

**Summary**

An assessment of monitoring locations is conducted annually and takes into consideration areas of local concern, potential or nearby developments and busy main roads.

Concentrations of  $\text{NO}_2$  in the district have seen an increase consistent with levels recorded in 2019, with three exceedances across the monitoring network (two overall once distance corrected).

Investigations into the exceedance at CM6 will continue.

**3.2.2 Particulate Matter ( $\text{PM}_{10}$ )**

Table A.6 in Appendix A: Monitoring Results compares the ratified and adjusted monitored  $\text{PM}_{10}$  annual mean concentrations for the past five years with the air quality objective of  $40\mu\text{g}/\text{m}^3$ .

Table A.7 in Appendix A compares the ratified continuous monitored PM<sub>10</sub> daily mean concentrations for the past five years with the air quality objective of 50µg/m<sup>3</sup>, not to be exceeded more than 35 times per year.

Concentrations of PM<sub>10</sub> have shown a small increase in comparison to 2021, from 10.8 µg/m<sup>3</sup> to 11.7 µg/m<sup>3</sup>. No exceedances of PM<sub>10</sub> have been recorded in 2022 of the annual and daily NAQOs.

### 3.2.3 Particulate Matter (PM<sub>2.5</sub>)

Table A.8 in Appendix A presents the ratified and adjusted monitored PM<sub>2.5</sub> annual mean concentrations for the past five years.

CM5 directly measures concentrations of PM<sub>2.5</sub>. For CM1 a conversion calculation is used to calculate PM<sub>2.5</sub> from PM<sub>10</sub> further details are provided in the [QA/QC section](#). PM<sub>2.5</sub> levels remain consistent with the previous five year representing an improvement. Monitoring will continue in 2023.

## Appendix A: Monitoring Results

**Table A.1 – Details of Automatic Monitoring Sites**

Site ID	Site Name	Site Type	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Pollutants Monitored	In AQMA? Which AQMA?	Monitoring Technique	Distance to Relevant Exposure (m) <sup>(1)</sup>	Distance to kerb of nearest road (m) <sup>(2)</sup>	Inlet Height (m)
CM1	Blaby 1 (Packhorse Drive, Enderby)	Roadside	454482	298573	NO <sub>2</sub> ; PM <sub>10</sub>	NO	Chemiluminescent; Gravimetric (TEOM)	12.6	0.65	3
CM4	Blaby 4 (Hinckley Road, LFE)	Roadside	453492	303315	NO <sub>2</sub>	YES; AQMA 3	Chemiluminescent	4	1	1.5
CM5	Blaby 2 (Mill Hill, Enderby)	Roadside	453594	299549	NO <sub>2</sub> ; PM <sub>2.5</sub>	YES; AQMA 6	Chemiluminescent; Gravimetric (TEOM)	4	1	1.5
CM6	Blaby 5 (Lubbesthorpe Road, Braunstone Town)	Roadside	455722	300782	NO <sub>2</sub>	NO	Chemiluminescent	7	1	1.5
CM7	Blaby 3 (Stamford Street, Glenfield)	Roadside	453934	305999	NO <sub>2</sub>	NO	Chemiluminescent	5	2.4	1.5

**Notes:**

(1) 0m if the monitoring site is at a location of exposure (e.g. installed on the façade of a residential property).

(2) N/A if not applicable

**Table A.2 – Details of Non-Automatic Monitoring Sites**

Diffusion Tube ID	Site Name	Site Type	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Pollutants Monitored	In AQMA? Which AQMA?	Distance to Relevant Exposure (m) <sup>(1)</sup>	Distance to kerb of nearest road (m) <sup>(2)</sup>	Tube Co-located with a Continuous Analyser?	Tube Height (m)
1	Kingsway	Roadside	455970	301146	NO2	No	11.0	1.5	No	2.2
4	Hall Walk, Moores Lane, Enderby	Roadside	453606	299557	NO2	Yes, AQMA 6	0.0	1.5	No	1.8
15	1 Newbridge Road, Glen Parva	Roadside	457011	299627	NO2	No	0.0	7.8	No	2.8
16	The Cottage, Ratby Lane	Other	456786	298547	NO2	Yes, AQMA 3	15.0	5.4	No	1.8
18	62 Packer Avenue, LFE	Roadside	453220	304273	NO2	Yes, AQMA 3	0.0	22.7	No	1.8
20	159 Enderby Rd, Whetstone	Other	453488	303637	NO2	Yes, AQMA 4B	0.0	4.7	No	1.7
25	7 Narborough Road South	Roadside	455819	297954	NO2	Yes, AQMA 1	0.0	7.0	No	1.8
26	Junction of Victoria Rd, Whetstone	Roadside	456470	301903	NO2	Yes, AQMA 4B	15.5	2.2	No	2.0
31	5 Hinckley Road, Sapcote	Roadside	455817	297937	NO2	No	0.0	1.9	No	1.8
35	2 Narborough Rd. South	Roadside	448481	293549	NO2	No	0.0	13.2	No	1.9
40	Conery Lane/Mill Hill Road	Roadside	448876	293447	NO2	Yes, AQMA 6	7.6	1.6	No	1.9
41	9 Mill Hill Road, Enderby	Roadside	454554	294803	NO2	Yes, AQMA 6	0.0	3.8	No	1.7

Diffusion Tube ID	Site Name	Site Type	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Pollutants Monitored	In AQMA? Which AQMA?	Distance to Relevant Exposure (m) <sup>(1)</sup>	Distance to kerb of nearest road (m) <sup>(2)</sup>	Tube Co-located with a Continuous Analyser?	Tube Height (m)
43	2 Blaby Rd, Enderby	Roadside	456521	301896	NO2	No	1.4	1.4	No	1.8
44	1 Mill Hill Rd, Enderby	Roadside	448847	293462	NO2	Yes, AQMA 6	1.2	1.6	No	1.8
48	98 Leicester Rd, Enderby	Roadside	453468	299737	NO2	Yes, AQMA 2	0.0	8.7	No	1.8
49	10 Hall Walk, Enderby	Roadside	453439	299740	NO2	Yes, AQMA 6	0.0	13.0	No	2.0
51	257 Willow Way, LFE	Roadside	453780	299360	NO2	No	0.0	11.3	No	1.9
54	71 Hinckley Rd, LFE	Roadside	453706	299455	NO2	Yes, AQMA 3	0.0	32.9	No	1.5
56	Avalon, 9 Hinckley Rd, LFE	Roadside	454519	298148	NO2	Yes, AQMA 3	0.0	20.0	No	1.8
57	6 Ratby Lane, LFE	Roadside	453565	299609	NO2	No	12.1	2.4	No	1.7
65	11 Stamford Street, Glenfield	Roadside	452234	302753	NO2	No	0.0	1.9	No	1.5
68	45 Mill Hill, Enderby	Roadside	453592	303415	NO2	Yes, AQMA 6	0.0	5.6	No	1.8
69	Station Road, Elmeathorpe	Roadside	454079	303535	NO2	No	49.3	1.2	No	1.8
73	New Road, Stoney Stanton	Roadside	454096	303599	NO2	No	11.1	2.3	No	1.8
74	Broughton Road, Stoney Stanton	Roadside	453622	306039	NO2	No	3.3	2.7	No	1.8



Diffusion Tube ID	Site Name	Site Type	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Pollutants Monitored	In AQMA? Which AQMA?	Distance to Relevant Exposure (m) <sup>(1)</sup>	Distance to kerb of nearest road (m) <sup>(2)</sup>	Tube Co-located with a Continuous Analyser?	Tube Height (m)
75	Blue Bell, Long Street, Stoney Stanton	Roadside	306077	453788	NO2	No	1.4	1.2	No	1.8
77	The Chestnuts, Kirby Muxloe	Roadside	299846	453281	NO2	No	0.0	12.2	No	1.8
78	Aston Firs, Sapcote	Roadside	447032	295877	NO2	No	17.0	37.5	No	1.8
80	Former Blaby 1 site, Packhorse Drive	Roadside	449036	294720	NO2	No	12.8	0.7	No	1.8
81	Newsagents near Blaby 4, LFE	Roadside	449105	294705	NO2	Yes, AQMA 3	6.2	2.4	No	1.8
82	Corner of King St/Mill Lane, Enderby	Roadside	449080	294785	NO2	No	0.5	1.0	No	1.8
83	Sharnford Hill, Sharnford	Roadside	452309	304870	NO2	No	2.9	1.4	No	1.8
84	Parking sign nr Station Rd CP, Glenfield	Roadside	446218	293831	NO2	No	6.7	1.2	No	1.8
85	14 The Square, Glenfield	Roadside	454483	298579	NO2	No	0.0	4.1	No	1.7
88	42 Main Street, Kilby	Roadside	454038	303471	NO2	No	0.0	2.0	No	1.8
89, 90, 91	Blaby 5 triplicate 3 of 3	Roadside	453914	306109	NO2	No	16.2	2.6	Yes	1.7
93	Former Blaby 3 site, LFE Opp Sainsburys	Roadside	453813	306106	NO2	No	29.3	3.9	No	1.8

Diffusion Tube ID	Site Name	Site Type	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Pollutants Monitored	In AQMA? Which AQMA?	Distance to Relevant Exposure (m) <sup>(1)</sup>	Distance to kerb of nearest road (m) <sup>(2)</sup>	Tube Co-located with a Continuous Analyser?	Tube Height (m)
94	Lamppost opp Blaby 3, Stamford Street	Roadside	454930	302529	NO2	No	2.7	1.5	No	1.9
95	5 Main Street, Glenfield	Roadside	454178	302627	NO2	No	1.9	1.9	No	1.9
96	Estate Agents, roundabout Broughton Rd	Roadside	462115	295374	NO2	No	0.5	1.1	No	1.8
97	Scout hut, Broughton Rd, Stoney Stanton	Roadside	455695	300824	NO2	No	15.8	1.6	No	1.8
98	3 Station Rd, opposite Foxbank Ind Est	Roadside	453957	302912	NO2	No	2.8	3.0	No	1.8
99	5 Murby Way, Thorpe Astley (former DT70)	Roadside	453219	303310	NO2	No	6.1	2.0	No	1.8
100	Windsor Avenue, Glen Parva	Roadside	453933	305973	NO2	No	5.5	1.2	No	1.9
101	21 Long Street, Stoney Stanton	Roadside	449094	294690	NO2	No	0.0	0.5	No	1.8
102	28 Stamford Street, Glenfield	Other	453960	305928	NO2	No	0.0	3.0	No	1.7
103	72 Stamford Street, Glenfield	Roadside	454109	305725	NO2	No	4.8	3.0	No	1.8
104	4 Park Drive, Glenfield	Roadside	454062	305692	NO2	No	8.0	0.5	No	1.8
105	6 Park Drive, Glenfield	Roadside	454065	305665	NO2	No	18.0	0.4	No	1.8

Diffusion Tube ID	Site Name	Site Type	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Pollutants Monitored	In AQMA? Which AQMA?	Distance to Relevant Exposure (m) <sup>(1)</sup>	Distance to kerb of nearest road (m) <sup>(2)</sup>	Tube Co-located with a Continuous Analyser?	Tube Height (m)
106	36 Conery Lane, Enderby	Roadside	453422	299556	NO2	No	2.0	0.5	No	1.7
107	28/30 Conery Lane, Enderby	Roadside	453422	299595	NO2	No	0.2	0.5	No	1.7
108	Lamppost 87 nr NEXT traffic lights, Enderby	Roadside	452907	300156	NO2	No	550.0	0.5	No	1.8
109	Lamppost 86 nr NEXT traffic lights, Enderby	Roadside	452916	300156	NO2	No	550.0	0.4	No	1.8
110	Lamppost 83 nr NEXT L'thorpe sign, Enderby	Roadside	452986	300097	NO2	No	484.0	0.3	No	1.8
111	Lamppost 82 nr NEXT L'thorpe sign, Enderby	Roadside	452992	300094	NO2	No	484.0	0.3	No	1.8
112	Lamppost 78 opp Granite Close, Enderby	Roadside	453113	300009	NO2	No	295.0	0.2	No	1.8
113	Lamppost 72 on 30mph sign, Enderby	Roadside	453292	299879	NO2	No	84.7	1.0	No	1.8
114	Lamppost 71, Enderby	Roadside	453292	299876	NO2	No	38.5	1.0	No	1.8
115	20 Mill Hill, Enderby	Roadside	453432	299745	NO2	Yes, AQMA 6	0.0	0.4	No	1.7
116	Killiklok Woodman, Mill Hill, Enderby	Roadside	453463	299731	NO2	Yes, AQMA 6	15.5	2.5	No	1.8

Diffusion Tube ID	Site Name	Site Type	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Pollutants Monitored	In AQMA? Which AQMA?	Distance to Relevant Exposure (m) <sup>(1)</sup>	Distance to kerb of nearest road (m) <sup>(2)</sup>	Tube Co-located with a Continuous Analyser?	Tube Height (m)
117	Lamppost by walkway, Enderby	Roadside	454122	305701	NO2	Yes, AQMA 6	13.5	0.6	No	1.9
118	Lamppost 57, village centre sign, Enderby	Roadside	453673	299475	NO2	Yes, AQMA 6	22.4	0.5	No	1.8
119	Lamppost 62, nr Moores Lane, Enderby	Roadside	453850	299288	NO2	Yes, AQMA 6	24.0	0.6	No	1.8
120	Lamppost 41, nr Brockington College, Enderby	Roadside	453834	299303	NO2	No	30.9	0.5	No	1.8
AT1	Greystoke Primary, Narborough (BB54)	Roadside	454173	297603	NO2	No	5.5	2.0	No	1.8
AT2	Brockington College, Enderby (BB58)	Roadside	454356	298548	NO2	No	128.7	46.9	No	2.5
AT3	Danemill Primary, Enderby (BB60)	Roadside	453939	298947	NO2	No	103.7	1.5	No	1.8
AT4	Stafford Leys Primary, LFE (BB11)	Roadside	452944	303000	NO2	No	10.0	15.0	No	1.8
AT5	Fossebrook Primary, LFE (BB13)	Roadside	453982	303197	NO2	No	5.0	1.8	No	1.8
AT6	Glenfield Primary, Glenfield (BB05)	Roadside	453973	305842	NO2	No	14.0	2.4	No	1.8
AT7	Kingsway Primary,	Roadside	455214	302616	NO2	No	26.1	9.0	No	1.8

Diffusion Tube ID	Site Name	Site Type	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Pollutants Monitored	In AQMA? Which AQMA?	Distance to Relevant Exposure (m) <sup>(1)</sup>	Distance to kerb of nearest road (m) <sup>(2)</sup>	Tube Co-located with a Continuous Analyser?	Tube Height (m)
	Braunstone (BB16)									
AT8	The Winstanley School, Braunstone	Roadside	455251	302600	NO2	No	14.0	1.9	No	1.8
AT9	Ravenhurst Primary, Braunstone (BB21)	Roadside	455827	301842	NO2	No	18.0	3.4	No	1.8
AT10	Millfield Primary, Braunstone (BB23)	Roadside	453012	298723	NO2	No	15.0	2.3	No	1.8
AT11	The Pastures Primary, Enderby (BB59)	Roadside	455311	301428	NO2	No	25.9	1.6	No	1.8
AT12	Sainsbury's Footpath (BB27)	Other	455233	300417	NO2	No	472.8	22.5	No	1.8
AT13	Marriott Hotel (BB28)	Roadside	455035	300372	NO2	No	589.4	1.8	No	1.8
AT14	Badgerbrook Primary, Whetstone (BB42)	Roadside	455934	296288	NO2	No	35.9	1.2	No	1.8

**Notes:**

(1) 0m if the monitoring site is at a location of exposure (e.g. installed on the façade of a residential property).

(2) N/A if not applicable.

**Table A.3 – Annual Mean NO<sub>2</sub> Monitoring Results: Automatic Monitoring (µg/m<sup>3</sup>)**

Site ID	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Site Type	Valid Data Capture for Monitoring Period (%) <sup>(1)</sup>	Valid Data Capture 2022 (%) <sup>(2)</sup>	2018	2019	2020	2021	2022
CM1	454482	298573	Roadside	64.38	64.38	27	30.9	16	24.3	21.8
CM4	453492	303315	Roadside	81.46	81.46	<b>47.3</b>	38.4	23.3	26.9	23.3
CM5	453594	299549	Roadside	84.34	84.34	38.3	30.9	22.9	18.9	24.9
CM6	455722	300782	Roadside	91.97	91.97	-	-	21	19.8	<b>47.8</b>
CM7	453934	305999	Roadside	96.94	96.94	-	-	21.1	20.2	19.1

☒ Annualisation has been conducted where data capture is <75% and >25% in line with LAQM.TG22

☒ Reported concentrations are those at the location of the monitoring site (annualised, as required), i.e. prior to any fall-off with distance correction

#### Notes:

The annual mean concentrations are presented as µg/m<sup>3</sup>.

Exceedances of the NO<sub>2</sub> annual mean objective of 40µg/m<sup>3</sup> are shown in **bold**.

All means have been “annualised” as per LAQM.TG22 if valid data capture for the full calendar year is less than 75%. See Appendix C for details.

Concentrations are those at the location of monitoring and not those following any fall-off with distance adjustment.

(1) Data capture for the monitoring period, in cases where monitoring was only carried out for part of the year.

(2) Data capture for the full calendar year (e.g. if monitoring was carried out for 6 months, the maximum data capture for the full calendar year is 50%).

**Table A.4 – Annual Mean NO<sub>2</sub> Monitoring Results: Non-Automatic Monitoring (µg/m<sup>3</sup>)**

Diffusion Tube ID	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Site Type	Valid Data Capture for Monitoring Period (%) <sup>(1)</sup>	Valid Data Capture 2022 (%) <sup>(2)</sup>	2018	2019	2020	2021	2022
1	455970	301146	Roadside	92	92.3	30.8	25.1	20.5	20.0	24.7
4	453606	299557	Roadside	100	100.0	<b>47.1</b>	36.9	29.4	29.3	<b>40.3</b>
15	457011	299627	Roadside	92	90.4	20.0	16.4	13.5	14.3	17.0
16	456786	298547	Other	100	100.0	34.4	27.9	22.2	21.8	28.1
18	453220	304273	Roadside	100	100.0	30.1	24.9	20.6	19.1	24.3
20	453488	303637	Other	100	100.0	25.7	20.6	15.8	17.2	21.7
25	455819	297954	Roadside	100	100.0	29.4	23.0	17.0	18.1	22.0
26	456470	301903	Roadside	100	100.0	31.5	27.6	20.7	19.4	25.3
31	455817	297937	Roadside	100	100.0		15.4	11.5	11.6	16.2
35	448481	293549	Roadside	83	82.7		16.4	11.5	12.3	22.5
40	448876	293447	Roadside	75	73.1	28.7	21.9	17.8	17.9	19.8
41	454554	294803	Roadside	100	100.0	32.1	26.3	20.2	21.0	27.8
43	456521	301896	Roadside	100	100.0	32.5	25.2	18.3	19.2	22.3

Diffusion Tube ID	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Site Type	Valid Data Capture for Monitoring Period (%) <sup>(1)</sup>	Valid Data Capture 2022 (%) <sup>(2)</sup>	2018	2019	2020	2021	2022
44	448847	293462	Roadside	92	92.3	33.4	24.2	18.7	20.1	21.3
48	453468	299737	Roadside	100	100.0	34.0	25.0	18.2	18.3	23.8
49	453439	299740	Roadside	100	100.0	22.8	18.0	13.2	13.0	15.2
51	453780	299360	Roadside	100	100.0	22.4	18.0	13.0	13.1	17.2
54	453706	299455	Roadside	100	100.0	32.5	26.6	22.1	20.7	22.6
56	454519	298148	Roadside	100	100.0	24.8	21.0	15.9	15.8	17.0
57	453565	299609	Roadside	100	100.0	39.0	29.7	22.1	23.7	28.3
65	452234	302753	Roadside	100	100.0	25.4	32.9	26.0	25.6	30.9
68	453592	303415	Roadside	100	100.0	25.7	23.8	18.4	19.2	23.4
69	454079	303535	Roadside	100	100.0	26.3	16.7	12.9	14.5	15.3
73	454096	303599	Roadside	100	100.0		29.0	25.1	24.0	29.7
74	453622	306039	Roadside	92	92.3		25.5	20.4	21.1	22.8
75	306077	453788	Roadside	100	100.0		21.1	17.4	18.0	18.2
77	299846	453281	Roadside	92	90.4		17.5	15.1	14.5	17.0



Diffusion Tube ID	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Site Type	Valid Data Capture for Monitoring Period (%) <sup>(1)</sup>	Valid Data Capture 2022 (%) <sup>(2)</sup>	2018	2019	2020	2021	2022
78	447032	295877	Roadside	100	100.0		31.5	19.3	19.6	23.2
80	449036	294720	Roadside	100	100.0			15.8	15.7	16.5
81	449105	294705	Roadside	100	100.0			19.6	20.6	21.2
82	449080	294785	Roadside	100	100.0			17.5	17.1	20.4
83	452309	304870	Roadside	100	100.0			18.4	17.8	19.9
84	446218	293831	Roadside	100	100.0			20.7	22.0	27.7
85	454483	298579	Roadside	100	100.0			13.4	14.3	15.0
88	454038	303471	Roadside	100	100.0			13.0	13.9	18.5
89, 90, 91	453914	306109	Roadside	100	100.0				19.9	25.7
93	453813	306106	Roadside	100	100.0				20.0	23.5
94	454930	302529	Roadside	75	75.0				15.3	18.8
95	454178	302627	Roadside	100	100.0				16.1	20.2
96	462115	295374	Roadside	92	92.3				25.0	29.8
97	455695	300824	Roadside	100	100.0				21.8	25.5

Diffusion Tube ID	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Site Type	Valid Data Capture for Monitoring Period (%) <sup>(1)</sup>	Valid Data Capture 2022 (%) <sup>(2)</sup>	2018	2019	2020	2021	2022
98	453957	302912	Roadside	100	100.0				15.4	17.9
99	453219	303310	Roadside	100	100.0				17.3	19.4
100	453933	305973	Roadside	100	100.0				10.7	12.8
101	449094	294690	Roadside	100	100.0					18.6
102	453960	305928	Other	100	100.0					19.3
103	454109	305725	Roadside	100	100.0					21.1
104	454062	305692	Roadside	75	73.1					19.2
105	454065	305665	Roadside	83	84.6					16.9
106	453422	299556	Roadside	100	100.0					11.2
107	453422	299595	Roadside	100	100.0					10.5
108	452907	300156	Roadside	100	100.0					18.9
109	452916	300156	Roadside	100	100.0					22.3
110	452986	300097	Roadside	100	100.0					24.2
111	452992	300094	Roadside	100	100.0					24.8

Diffusion Tube ID	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Site Type	Valid Data Capture for Monitoring Period (%) <sup>(1)</sup>	Valid Data Capture 2022 (%) <sup>(2)</sup>	2018	2019	2020	2021	2022
112	453113	300009	Roadside	100	100.0					36.8
113	453292	299879	Roadside	100	100.0					24.9
114	453292	299876	Roadside	100	100.0					33.4
115	453432	299745	Roadside	92	90.4					33.5
116	453463	299731	Roadside	100	100.0					27.3
117	454122	305701	Roadside	100	100.0					34.6
118	453673	299475	Roadside	100	100.0					<b>43.0</b>
119	453850	299288	Roadside	67	67.3					33.0
120	453834	299303	Roadside	92	92.3					20.1
AT1	454173	297603	Roadside	92	90.4		15.3	12.2	11.7	14.6
AT2	454356	298548	Roadside	92	92.3		16.2	13.2	13.3	12.9
AT3	453939	298947	Roadside	92	92.3		17.0	10.8	12.9	12.2
AT4	452944	303000	Roadside	100	100.0		14.5	10.1	10.6	11.3
AT5	453982	303197	Roadside	100	100.0		16.9	12.6	13.7	14.9

Diffusion Tube ID	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Site Type	Valid Data Capture for Monitoring Period (%) <sup>(1)</sup>	Valid Data Capture 2022 (%) <sup>(2)</sup>	2018	2019	2020	2021	2022
AT6	453973	305842	Roadside	100	100.0		17.1	12.2	12.5	13.3
AT7	455214	302616	Roadside	100	92.3		16.2	11.9	11.6	12.8
AT8	455251	302600	Roadside	100	100.0		17.0	13.5	12.8	14.8
AT9	455827	301842	Roadside	100	100.0		19.1	16.1	16.6	18.8
AT10	453012	298723	Roadside	100	100.0		18.5	13.8	13.9	15.2
AT11	455311	301428	Roadside	100	100.0		13.6	10.1	10.5	11.1
AT12	455233	300417	Other	100	100.0		25.5	18.0	20.4	22.0
AT13	455035	300372	Roadside	100	100.0		24.6	17.6	18.0	19.1
AT14	455934	296288	Roadside	83	82.7			12.0	12.1	12.6

☒ Annualisation has been conducted where data capture is <75% and >25% in line with LAQM.TG22

☒ Diffusion tube data has been bias adjusted

☒ Reported concentrations are those at the location of the monitoring site (bias adjusted and annualised, as required), i.e. prior to any fall-off with distance correction

**Notes:**

The annual mean concentrations are presented as  $\mu\text{g}/\text{m}^3$ .

Exceedances of the NO<sub>2</sub> annual mean objective of 40 $\mu\text{g}/\text{m}^3$  are shown in **bold**.

NO<sub>2</sub> annual means exceeding 60 $\mu\text{g}/\text{m}^3$ , indicating a potential exceedance of the NO<sub>2</sub> 1-hour mean objective are shown in **bold and underlined**.

Means for diffusion tubes have been corrected for bias. All means have been “annualised” as per LAQM.TG22 if valid data capture for the full calendar year is less than 75%. See Appendix C for details.

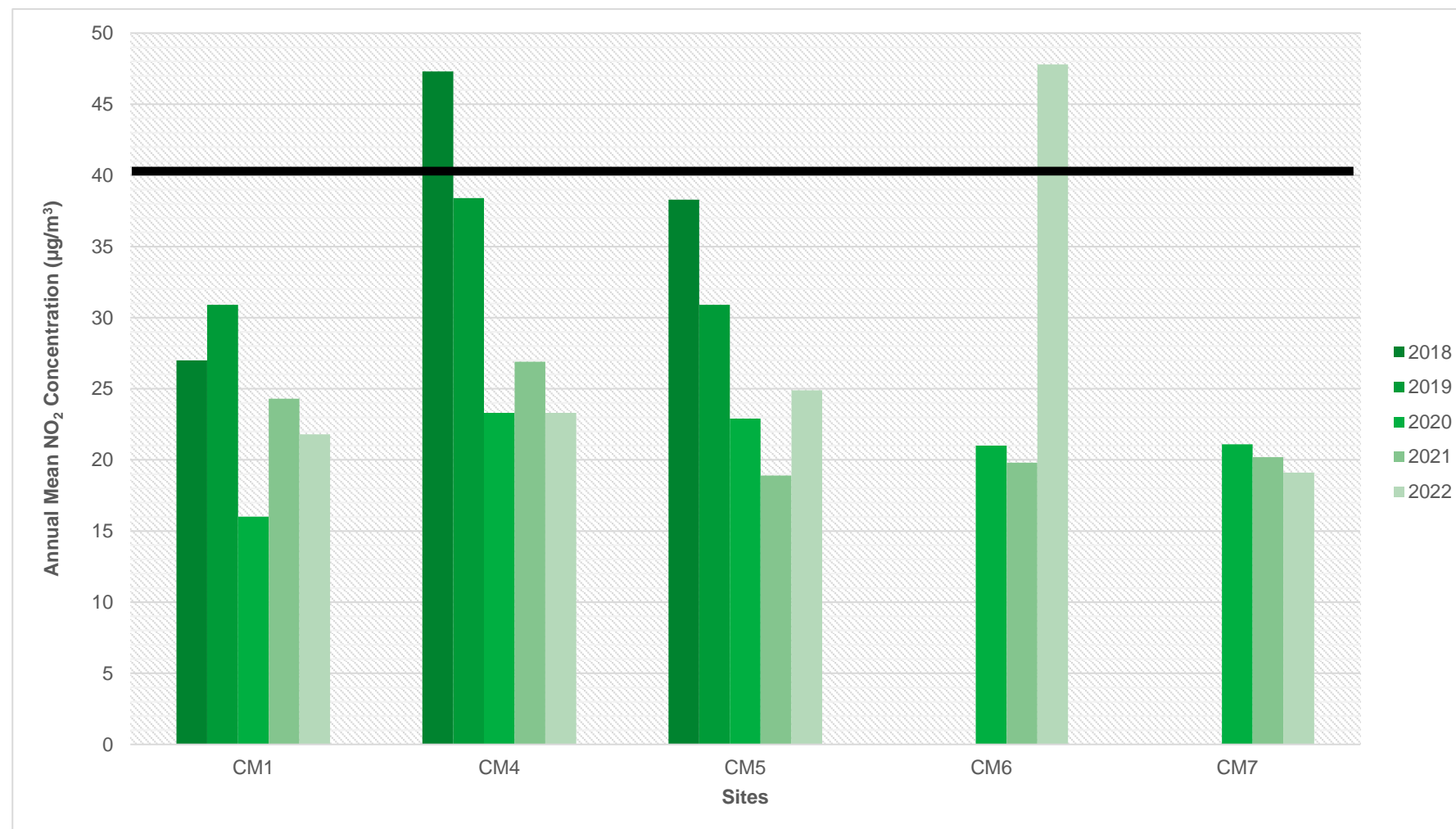
Concentrations are those at the location of monitoring and not those following any fall-off with distance adjustment.

(1) Data capture for the monitoring period, in cases where monitoring was only carried out for part of the year.

(2) Data capture for the full calendar year (e.g. if monitoring was carried out for 6 months, the maximum data capture for the full calendar year is 50%).

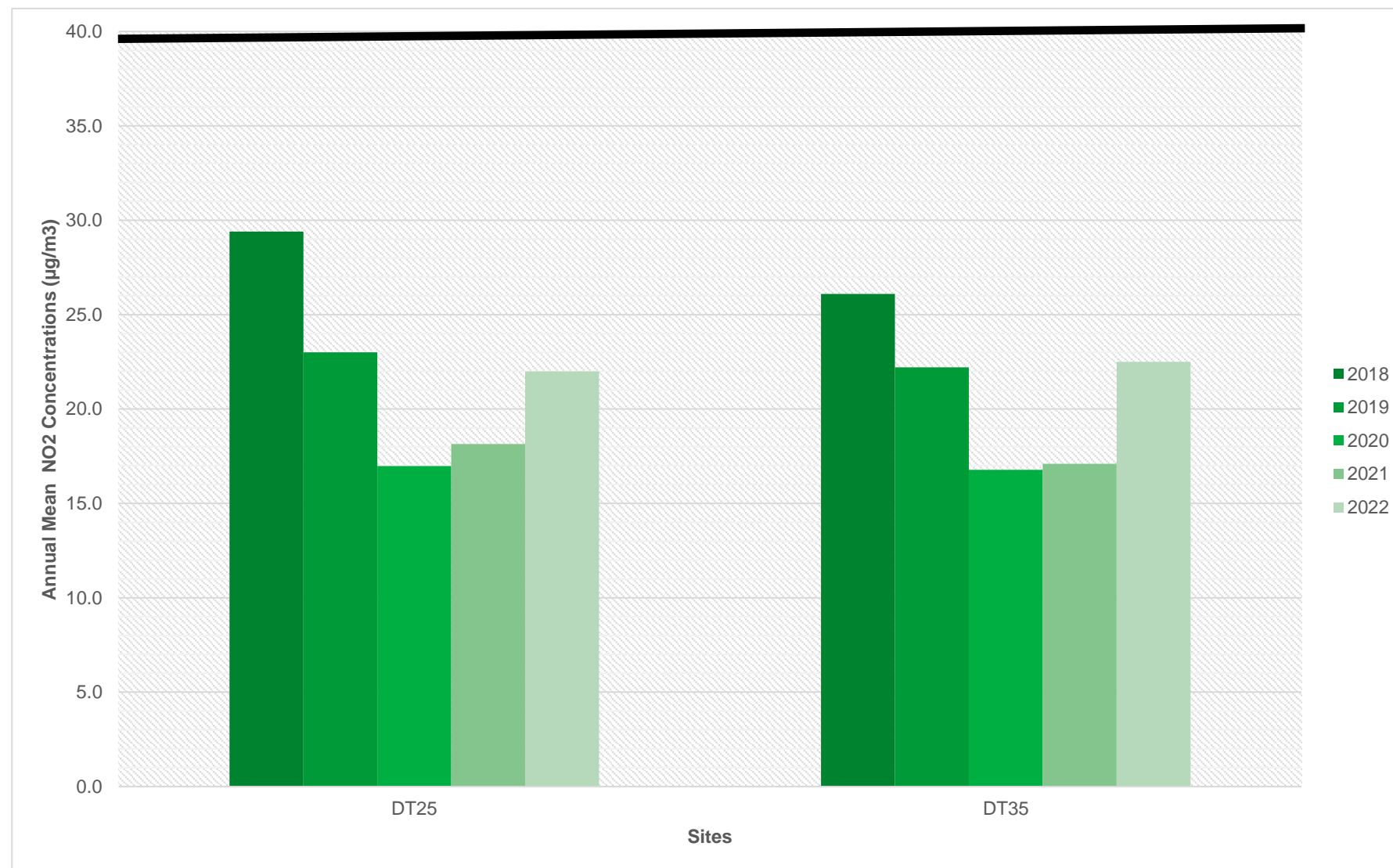
**Figure A.1 – Trends in Annual Mean NO<sub>2</sub> Concentrations**

**Air Quality Monitoring Stations**



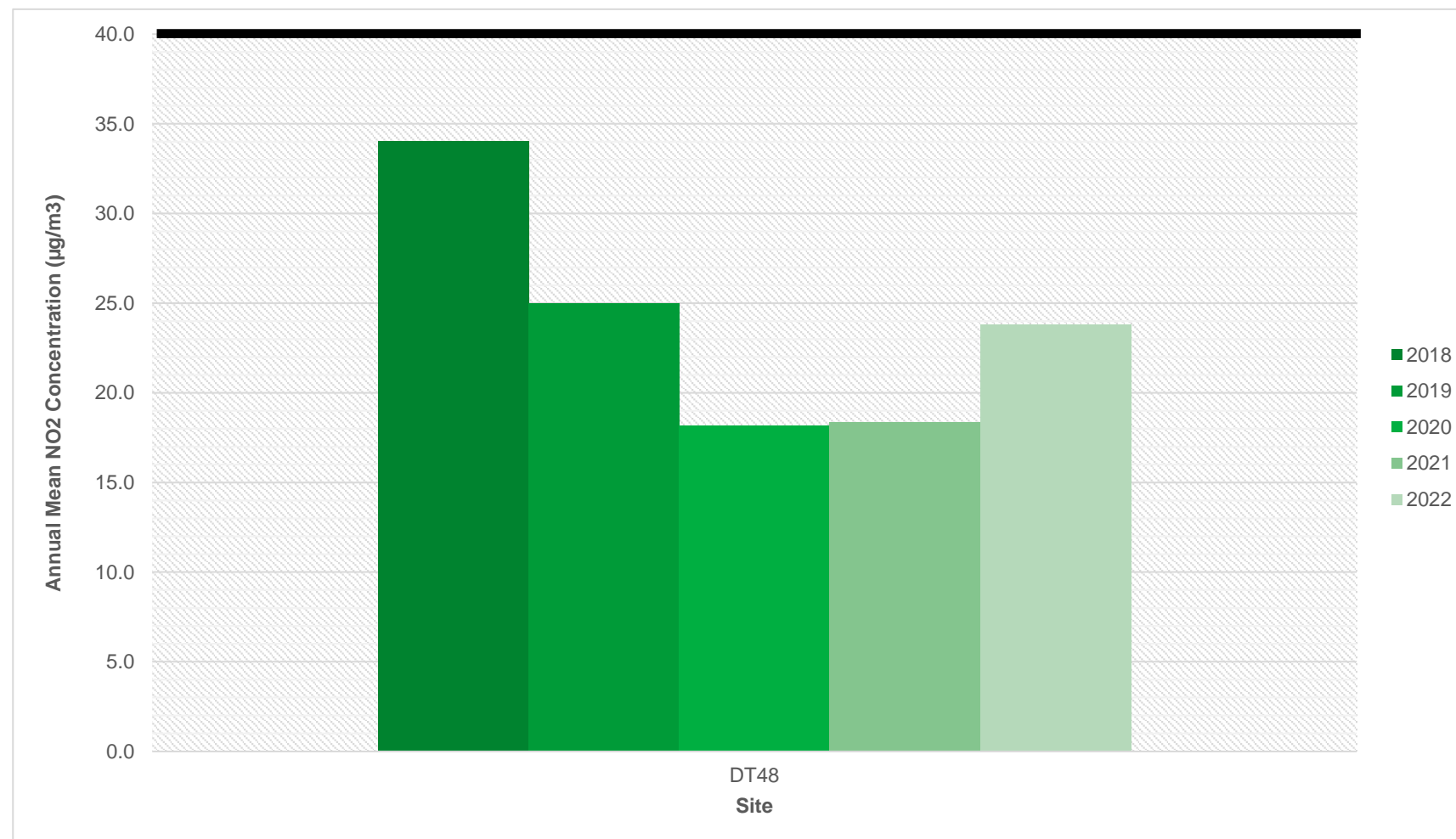
The black line represents the NAQO for the named pollutant.

# AQMA 1 – A5460 Narborough Road South



The black line represents the NAQO for the named pollutant.

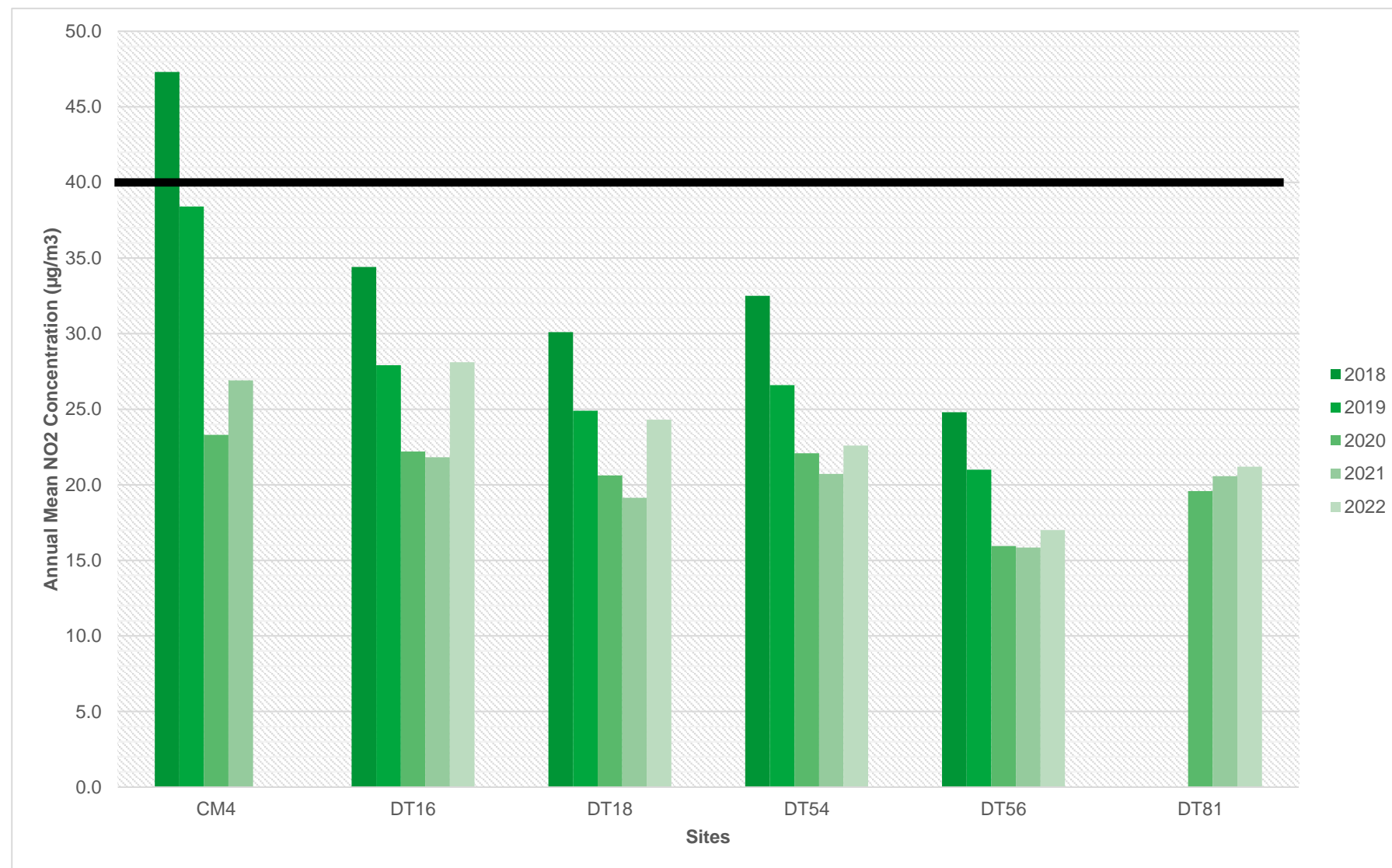
## AQMA 2 – M1 corridor in Enderby and Narborough



The black line represents the NAQO for the named pollutant.



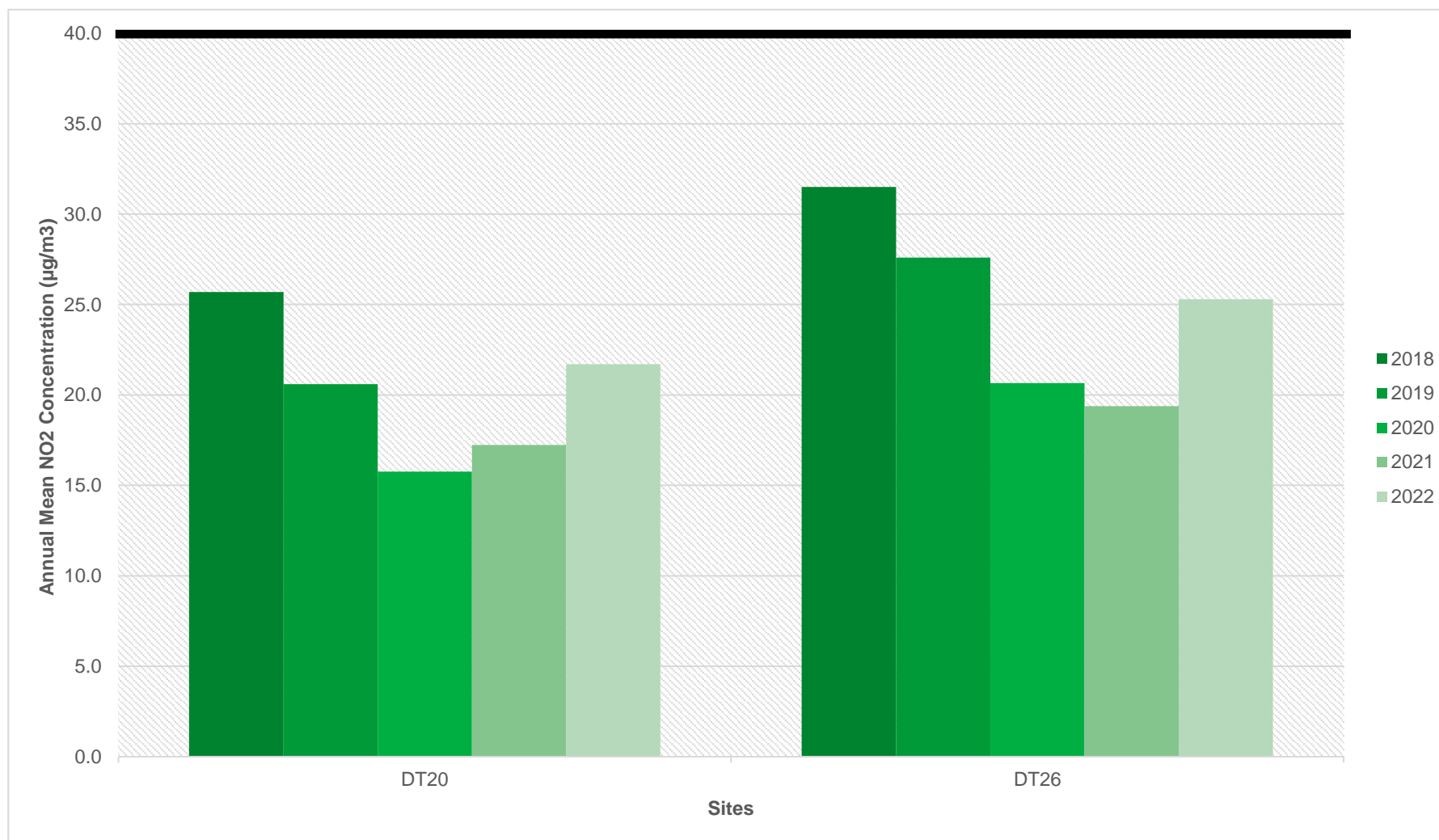
# AQMA 3 – M1 corridor between Thorpe Astley and Leicester Forest East



The black line represents the NAQO for the named pollutant.

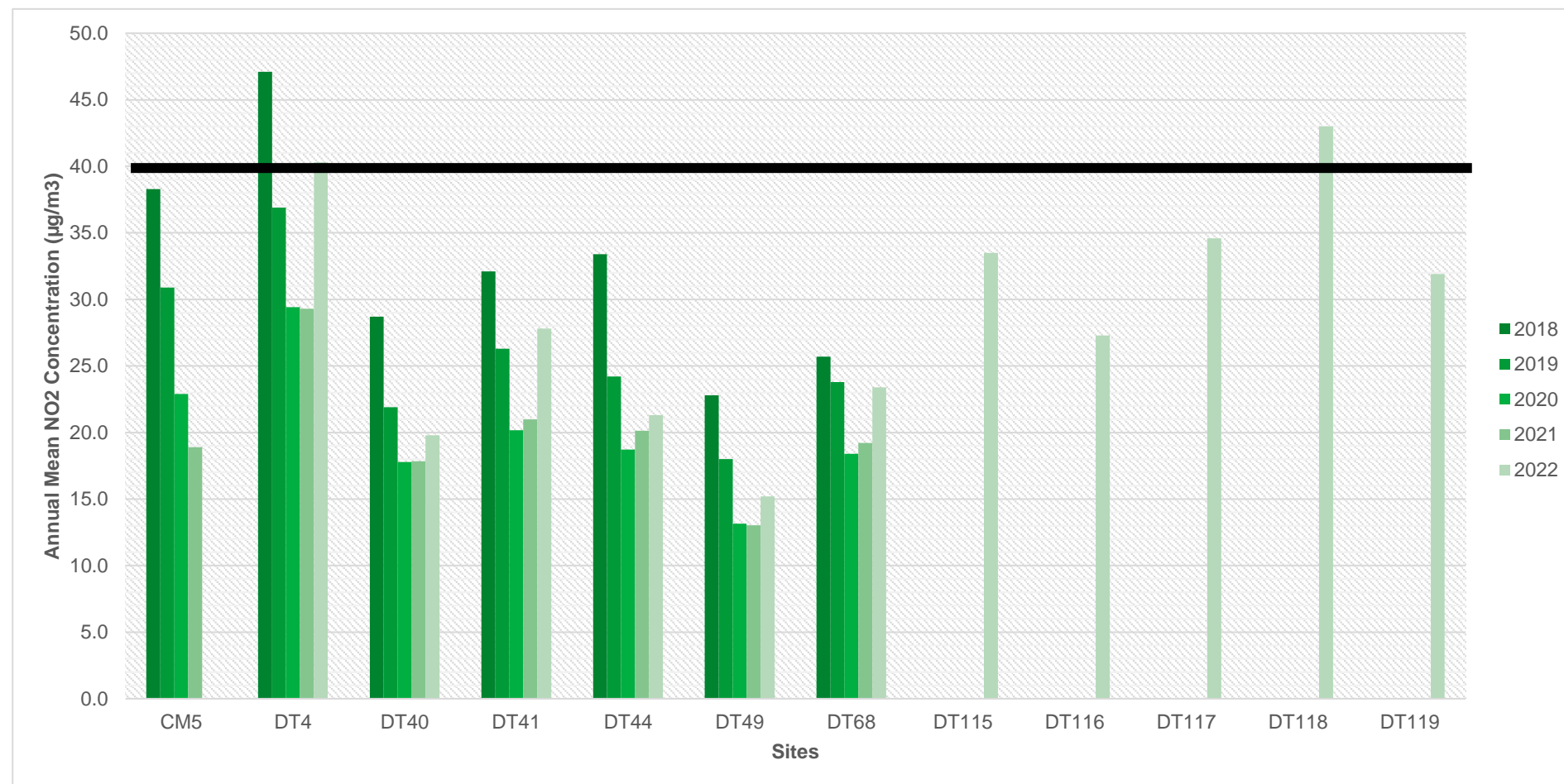
AQMA 4B – Enderby Road, Whetstone

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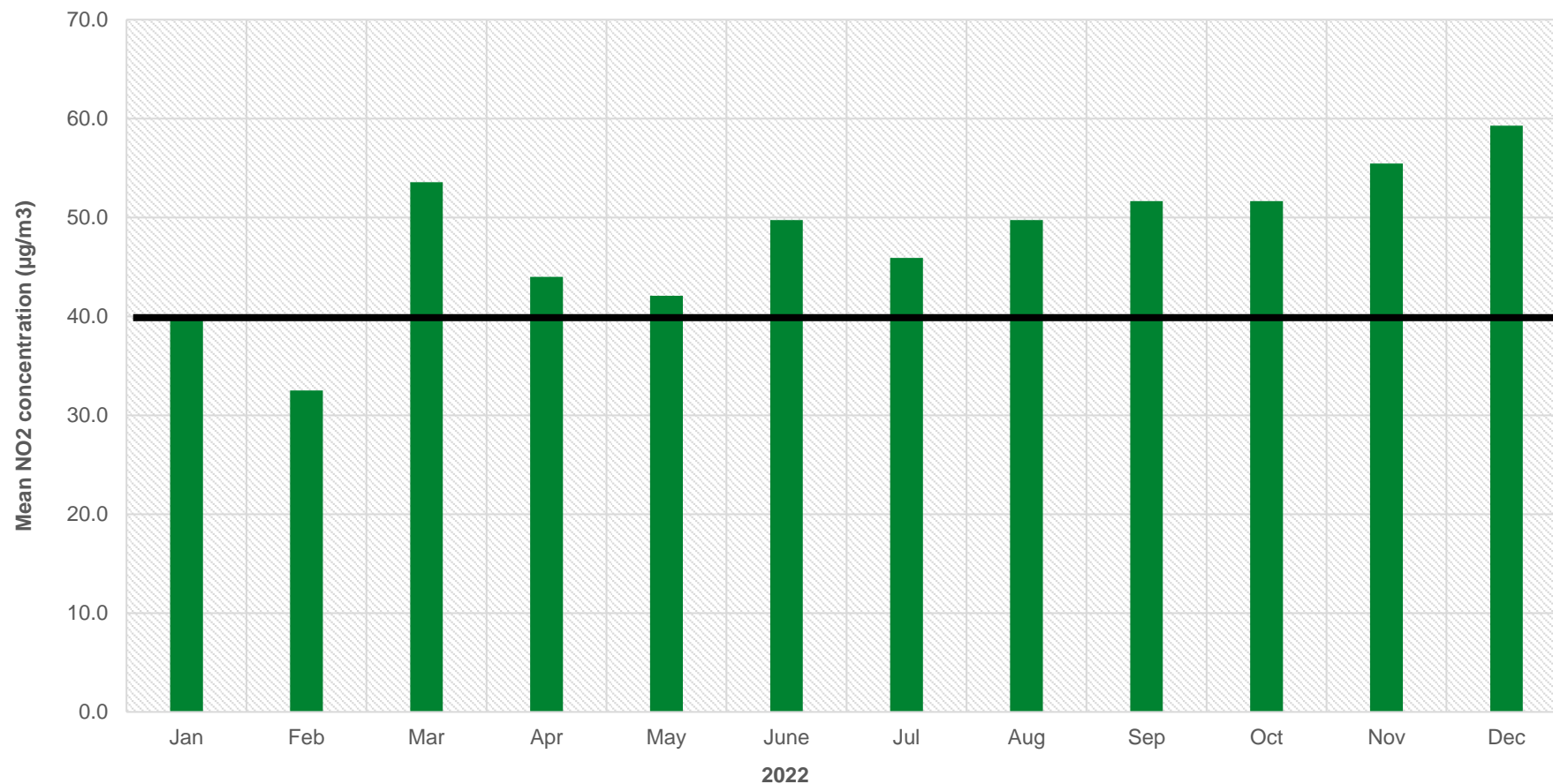


The black line represents the NAQO for the named pollutant.

AQMA 6 – Mill Hill, Enderby



The black line represents the NAQO for the named pollutant.

**CM6 – Lubbesthorpe Road, Braunstone Town**Monthly hourly average NO<sub>2</sub> concentrations for CM6 (2022)

**Table A.5 – 1-Hour Mean NO<sub>2</sub> Monitoring Results, Number of 1-Hour Means > 200µg/m<sup>3</sup>**

Site ID	X OS Grid Ref (Eastin g)	Y OS Grid Ref (Northin g)	Site Type	Valid Data Capture for Monitoring Period (%) <sup>(1)</sup>	Valid Data Capture 2022 (%) <sup>(2)</sup>	2018	2019	2020	2021	2022
CM1	454482	298573	Roadside	64.38	64.38	0	0	0	0	0
CM4	453492	303315	Roadside	81.46	81.46	1	0	0	0	0
CM5	453594	299549	Roadside	84.34	84.34	0	0	0	0	0
CM6	455722	300782	Roadside	91.97	91.97	-	-	0	0	0
CM7	453934	305999	Roadside	96.94	96.94	-	-	0	0	0

**Notes:**

Results are presented as the number of 1-hour periods where concentrations greater than 200µg/m<sup>3</sup> have been recorded.

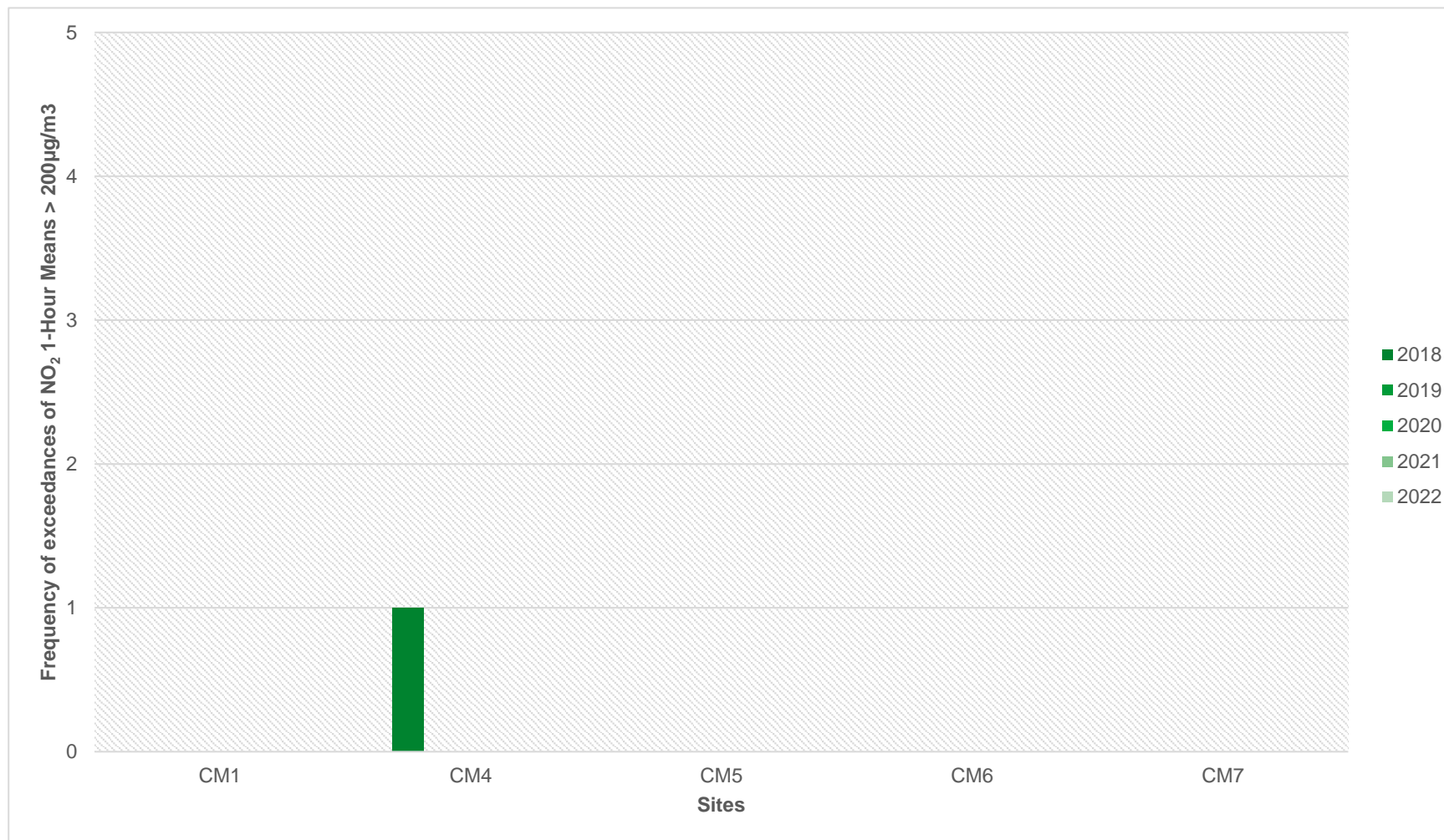
Exceedances of the NO<sub>2</sub> 1-hour mean objective (200µg/m<sup>3</sup> not to be exceeded more than 18 times/year) are shown in **bold**.

If the period of valid data is less than 85%, the 99.8th percentile of 1-hour means is provided in brackets.

(1) Data capture for the monitoring period, in cases where monitoring was only carried out for part of the year.

(2) Data capture for the full calendar year (e.g. if monitoring was carried out for 6 months, the maximum data capture for the full calendar year is 50%).

**Figure A.2 – Trends in Number of NO<sub>2</sub> 1-Hour Means > 200µg/m<sup>3</sup>**



**Table A.6 – Annual Mean PM<sub>10</sub> Monitoring Results (µg/m<sup>3</sup>)**

Site ID	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Site Type	Valid Data Capture for Monitoring Period (%) <sup>(1)</sup>	Valid Data Capture 2022 (%) <sup>(2)</sup>	2018	2019	2020	2021	2022
CM1	454482	298573	Roadside	92.11	92.11	11	11.8	11.5	10.8	11.7

☒ **Annualisation has been conducted where data capture is <75% and >25% in line with LAQM.TG22**

**Notes:**

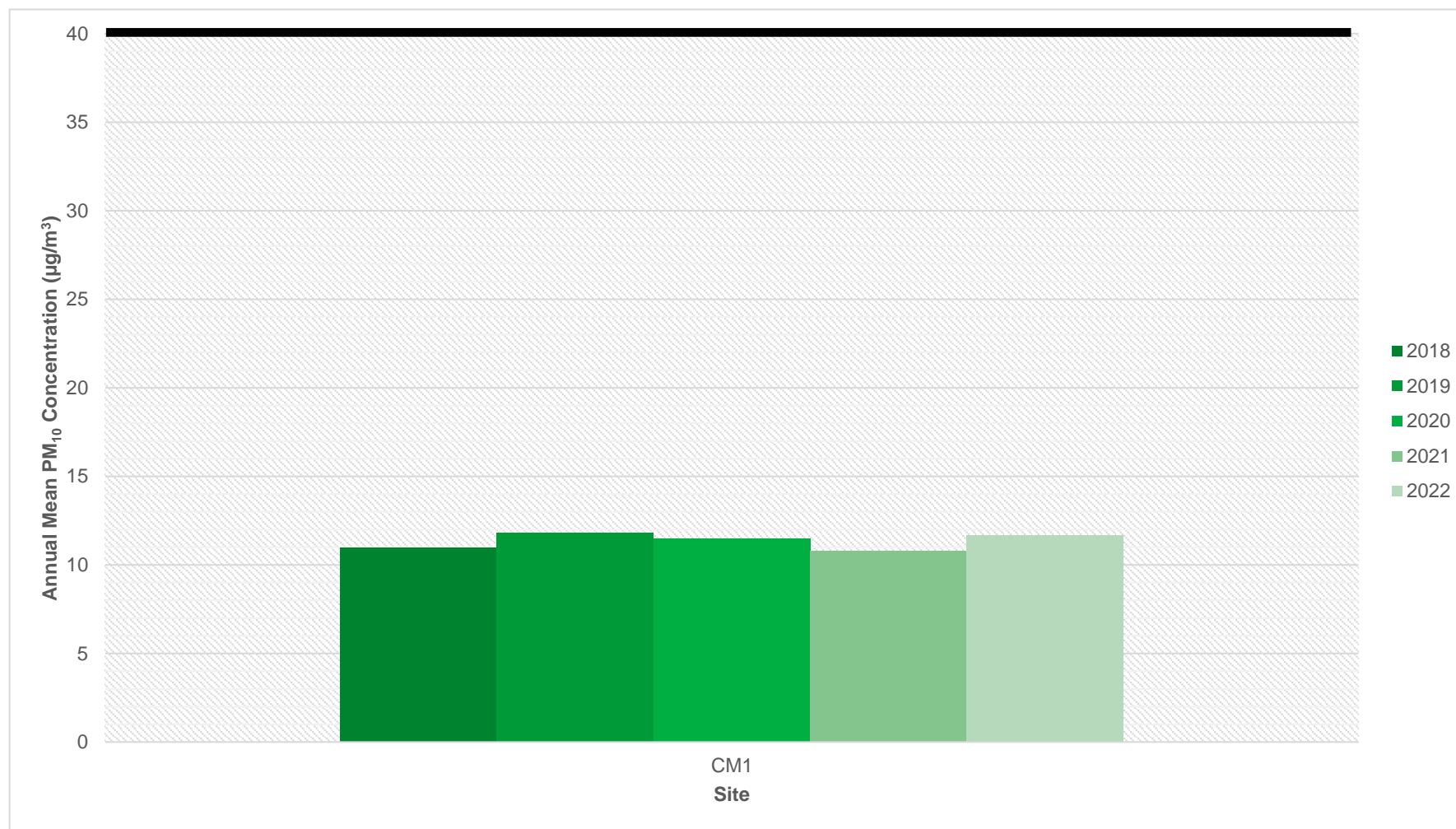
The annual mean concentrations are presented as µg/m<sup>3</sup>.

Exceedances of the PM<sub>10</sub> annual mean objective of 40µg/m<sup>3</sup> are shown in **bold**.

All means have been “annualised” as per LAQM.TG22 if valid data capture for the full calendar year is less than 75%. See Appendix C for details.

(1) Data capture for the monitoring period, in cases where monitoring was only carried out for part of the year.

(2) Data capture for the full calendar year (e.g. if monitoring was carried out for 6 months, the maximum data capture for the full calendar year is 50%).

**Figure A.3 – Trends in Annual Mean PM<sub>10</sub> Concentrations**

The black line represents the NAQO for the named pollutant.



**Table A.7 – 24-Hour Mean PM<sub>10</sub> Monitoring Results, Number of PM<sub>10</sub> 24-Hour Means > 50µg/m<sup>3</sup>**

Site ID	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Site Type	Valid Data Capture for Monitoring Period (%) <sup>(1)</sup>	Valid Data Capture 2022 (%) <sup>(2)</sup>	2018	2019	2020	2021	2022
CM1	454482	298573	Roadside	92.11	92.11	0	0	0	0	0

**Notes:**

Results are presented as the number of 24-hour periods where daily mean concentrations greater than 50µg/m<sup>3</sup> have been recorded.

Exceedances of the PM<sub>10</sub> 24-hour mean objective (50µg/m<sup>3</sup> not to be exceeded more than 35 times/year) are shown in **bold**.

If the period of valid data is less than 85%, the 90.4th percentile of 24-hour means is provided in brackets.

(1) Data capture for the monitoring period, in cases where monitoring was only carried out for part of the year.

(2) Data capture for the full calendar year (e.g. if monitoring was carried out for 6 months, the maximum data capture for the full calendar year is 50%).

**Table A.8 – Annual Mean PM<sub>2.5</sub> Monitoring Results (µg/m<sup>3</sup>)**

Site ID	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing)	Site Type	Valid Data Capture for Monitoring Period (%) <sup>(1)</sup>	Valid Data Capture 2022 (%) <sup>(2)</sup>	2018	2019	2020	2021	2022
CM1	454482	298573	Roadside	92.11	92.11	7.7	8.3	8.1	7.6	5.3
CM5	453594	299549	Roadside	87.78	87.78	16	16.9	8.4	8.4	8.0

☒ **Annualisation has been conducted where data capture is <75% and >25% in line with LAQM.TG22**

**Notes:**

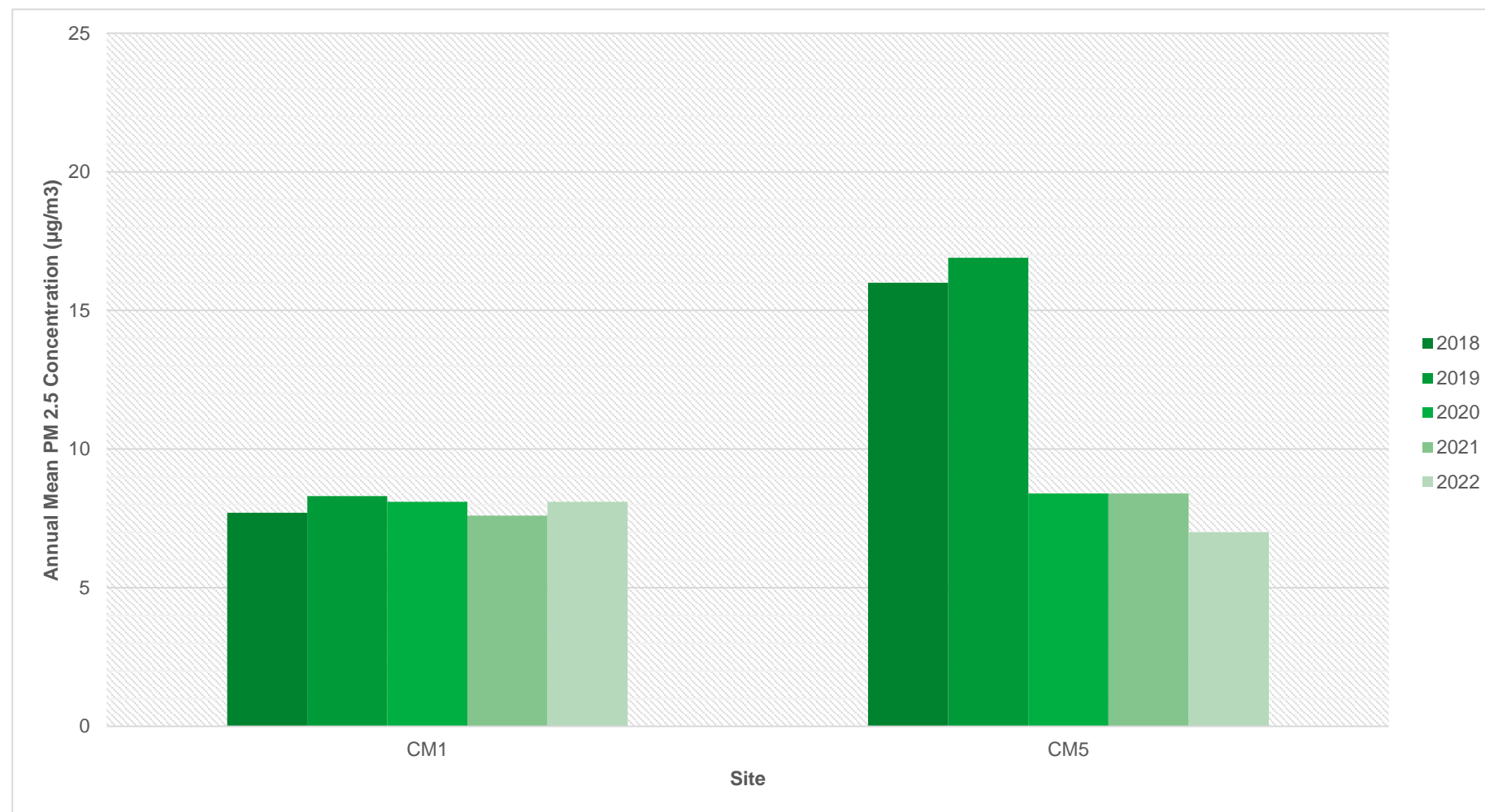
The annual mean concentrations are presented as µg/m<sup>3</sup>.

All means have been “annualised” as per LAQM.TG22 if valid data capture for the full calendar year is less than 75%. See Appendix C for details.

(1) Data capture for the monitoring period, in cases where monitoring was only carried out for part of the year.

(2) Data capture for the full calendar year (e.g. if monitoring was carried out for 6 months, the maximum data capture for the full calendar year is 50%).

**Figure A.4 – Trends in Annual Mean PM<sub>2.5</sub> Concentrations**



## Appendix B: Full Monthly Diffusion Tube Results for 2022

**Table B.1 – NO<sub>2</sub> 2022 Diffusion Tube Results (µg/m<sup>3</sup>)**

DT ID	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing )	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Annual Mean: Raw Data	Annual Mean: Annualised and Bias Adjusted <(x.x)>	Annual Mean: Distance Corrected to Nearest Exposure	Comment
1	455970	301146	42.7	30.5	45.1	28.4	19.3	25.9	-	28.4	29.5	33.4	33.5	40.3	32.5	24.7	-	
4	453606	299557	63.7	56.2	44.4	52.7	49.9	56.7	52.0	54.1	58.6	53.3	50.3	44.3	53.0	<b>40.3</b>	-	
15	457011	299627	26.8	18.4	35.0	22.4	17.1	18.4	18.6	21.3	21.9	23.3	22.8		22.4	17.0	-	
16	456786	298547	58.3	44.1	34.2	20.2	33.3	40.3	36.1	26.5	33.2	40.8	38.8	37.8	37.0	28.1	-	
18	453220	304273	46.3	39.3	35.7	26.0	27.1	29.6	27.1	27.5	32.5	36.3	38.8	17.1	31.9	24.3	-	
20	453488	303637	38.9	23.4	34.7	24.0	23.8	25.9	26.8	28.3	32.1	24.8	26.7	34.0	28.6	21.7	-	
25	455819	297954	43.0	30.3	30.2	27.1	23.1	21.5	21.5	27.2	28.5	32.4	29.3	32.6	28.9	22.0	-	
26	456470	301903	50.6	36.3	47.0	27.9	26.4	29.1	27.8	26.1	31.0	27.8	32.0	37.6	33.3	25.3	-	
31	455817	297937	32.7	18.0	27.2	18.8	15.2	17.4	15.9	19.2	22.2	18.8	22.3	28.5	21.4	16.2	-	
35	448481	293549	42.0	28.7	44.3	29.6	24.3	25.6	21.2	27.9	28.6	23.7			29.6	22.5	-	
40	448876	293447	34.9	25.2	33.8	-	20.8	22.6	21.1	27.7	27.5			20.5	26.0	19.8	-	
41	454554	294803	44.1	26.7	52.9	34.1	28.8	32.1	32.8	42.7	41.8	31.6	33.1	38.2	36.6	27.8	-	
43	456521	301896	35.8	26.0	40.3	31.0	26.5	27.1	25.5	31.9	31.9	27.0	26.7	22.6	29.4	22.3	-	
44	448847	293462	36.5	25.3	38.9	35.3	23.2	23.0	23.1	29.6		25.3	28.8	19.2	28.0	21.3	-	
48	453468	299737	36.9	34.2	30.7	26.2	28.4	32.5	28.0	27.6	31.6	31.4	34.2	33.9	31.3	23.8	-	
49	453439	299740	27.6	19.5	26.9	17.6	15.7	16.5	14.7	18.8	18.7	20.6	20.6	23.3	20.0	15.2	-	
51	453780	299360	29.3	20.4	29.2	17.3	19.5	22.6	17.5	17.3	19.8	27.0	25.9	26.4	22.7	17.2	-	

DT ID	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing )	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Annual Mean: Raw Data	Annual Mean: Annualised and Bias Adjusted <(x.x)>	Annual Mean: Distance Corrected to Nearest Exposure	Comment
54	453706	299455	42.8	35.7	34.1	25.7	23.3	28.3	21.2	22.2	26.5	31.4	33.2	32.7	29.8	22.6	-	
56	454519	298148	31.1	25.0	32.1	20.1	18.7	21.6	18.6	21.7	22.5	14.9	31.0	10.6	22.3	17.0	-	
57	453565	299609	42.7	34.0	48.6	31.9	26.4	38.0	33.0	37.2	38.8	30.7	40.4	44.8	37.2	28.3	-	
65	452234	302753	52.8	43.6	38.2	32.9	36.2	41.1	36.8	35.5	37.4	43.8	45.0	44.0	40.6	30.9	-	
68	453592	303415	36.0	29.8	43.5	31.7	25.1	25.7	25.4	30.0	27.0	41.0	26.1	28.9	30.9	23.4	-	
69	454079	303535	14.4	17.1	30.2	18.3	15.9	19.0	17.8	21.4	23.4	19.9	19.5	25.0	20.2	15.3	-	
73	454096	303599	56.1	40.6	39.9	29.7	35.9	40.0	35.1	37.3	40.9	38.3	38.3	36.1	39.0	29.7	-	
74	453622	306039	-	35.8	35.4	31.4	29.2	29.8	27.4	33.4	31.5	28.1	35.6	12.9	30.0	22.8	-	
75	306077	453788	36.2	26.9	33.0	21.2	17.0	21.7	18.2	20.7	21.5	24.2	22.4	24.4	24.0	18.2	-	
77	299846	453281	25.6	21.1	24.3	-	18.8	20.1	13.8	17.2	17.4	27.2	32.7	27.7	22.4	17.0	-	
78	447032	295877	42.5	35.3	40.1	21.7	24.2	27.6	21.7	26.3	26.9	28.9	36.8	34.6	30.6	23.2	-	
80	449036	294720	31.5	24.6	26.7	18.6	17.2	18.4	15.6	18.9	20.6	21.0	24.2	22.5	21.7	16.5	-	
81	449105	294705	43.9	28.8	34.7	25.7	21.5	22.7	21.2	27.1	28.1	18.1	28.7	34.5	27.9	21.2	-	
82	449080	294785	37.7	26.0	35.8	22.3	19.3	23.0	19.8	25.2	27.5	23.7	29.7	31.4	26.8	20.4	-	
83	452309	304870	27.1	23.0	25.8	30.8	22.3	23.4	21.4	31.0	29.8	21.2	26.8	31.8	26.2	19.9	-	
84	446218	293831	47.6	32.2	44.1	34.3	31.8	33.0	31.5	39.1	38.6	31.2	36.2	37.6	36.4	27.7	-	
85	454483	298579	29.1	11.8	25.6	16.9	14.9	17.9	14.3	16.4	17.9	22.3	23.5	26.3	19.7	15.0	-	
88	454038	303471	34.1	19.4	30.5	23.7	17.5	18.5	21.8	24.7	26.1	20.9	24.3	31.0	24.4	18.5	-	
89	453705	299187	46.9	35.1	39.5	30.1	28.4	30.9	26.8	30.9	32.2	35.2	34.8	31.9	-	-	-	Triplicate Site with 89, 90 and 91 - Annual data provided for 91 only
90	448277	291869	43.4	33.0	44.3	26.3	28.2	28.8	26.4	30.3	32.5	34.9	35.9	37.9	-	-	-	Triplicate Site with 89, 90 and 91 - Annual data provided for 91 only
91	453914	306109	47.3	36.3	42.7	29.9	28.6	30.7	26.5	31.3	29.5	32.1	37.7	38.8	33.8	25.7	-	Triplicate Site with 89, 90 and 91 - Annual data provided for 91 only

DT ID	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing )	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Annual Mean: Raw Data	Annual Mean: Annualised and Bias Adjusted <(x.x)>	Annual Mean: Distance Corrected to Nearest Exposure	Comment
93	453813	306106	43.9	35.5	41.0	28.2	26.1	25.6	21.7	27.8	23.5	32.2	30.0	34.8	30.9	23.5	-	
94	454930	302529	-	23.4	34.7	-	17.7	-	19.2	24.7	24.4	22.3	27.0	29.7	24.8	18.8	-	
95	454178	302627	39.3	26.9	32.3	20.3	21.1	26.7	20.1	21.6	25.4	25.3	28.0	32.5	26.6	20.2	-	
96	462115	295374	47.4	41.5	44.7	27.0	32.9	41.4	34.3	34.7	38.7	45.4		42.9	39.2	29.8	-	
97	455695	300824	38.8	32.3	46.9	35.7	25.4	32.1	30.4	36.4	18.4	35.6	39.8	31.2	33.6	25.5	-	
98	453957	302912	34.5	27.1	29.8	18.3	18.6	21.8	20.1	20.8	20.2	23.6	25.6	21.5	23.5	17.9	-	
99	453219	303310	38.3	23.7	34.7	20.6	20.6	20.9	20.8	23.0	23.6	26.7	31.5	21.9	25.5	19.4	-	
100	453933	305973	30.0	16.7	18.7	15.5	10.2	10.3	10.3	14.1	18.4	14.9	16.3	26.2	16.8	12.8	-	
101	449094	294690	27.0	17.4	34.6	25.4	20.5	22.0	21.5	28.8	28.0	22.3	21.3	24.9	24.5	18.6	-	
102	453960	305928	34.0	20.9	31.3	22.9	20.1	22.0	18.9	25.0	27.5	23.0	27.3	31.7	25.4	19.3	-	
103	454109	305725	27.8	29.8	36.9	29.7	24.9	25.9	19.5	27.9	29.5	25.6	27.4	28.4	27.8	21.1	-	
104	454062	305692	32.8	21.6	30.7	-	-	-	16.9	18.3	21.2	25.1	27.8	32.7	25.2	19.2	-	
105	454065	305665	-	25.5	28.3	22.0	18.1	-	13.3	21.4	22.1	21.2	26.7	23.5	22.2	16.9	-	
106	453422	299556	23.5	15.0	22.2	13.7	8.3	11.1	9.8	14.4	14.7	13.3	11.6	19.2	14.7	11.2	-	
107	453422	299595	22.3	11.1	20.4	12.3	9.9	10.7	9.3	14.2	13.7	12.4	14.1	14.7	13.8	10.5	-	
108	452907	300156	31.7	16.0	35.5	23.0	17.8	20.2	20.7	27.1	28.5	23.8	24.9	29.9	24.9	18.9	-	
109	452916	300156	44.0	28.8	35.7	18.7	24.4	26.8	25.3	27.2	27.3	29.9	34.3	29.5	29.3	22.3	-	
110	452986	300097	38.2	30.7	42.5	28.3	23.0	29.0	27.1	28.8	31.3	25.6	38.4	39.2	31.8	24.2	-	
111	452992	300094	43.5	28.4	40.8	27.5	22.8	27.7	32.3	35.4	33.1	30.9	31.4	37.4	32.6	24.8	-	
112	453113	300009	49.5	46.5	56.6	40.0	44.4	48.7	45.5	49.6	48.6	50.4	46.9	54.7	48.5	36.8	-	
113	453292	299879	40.3	31.6	46.0	34.1	24.2	28.1	28.2	33.8	32.5	27.2	30.7	37.1	32.8	24.9	-	

DT ID	X OS Grid Ref (Easting)	Y OS Grid Ref (Northing )	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Annual Mean: Raw Data	Annual Mean: Annualised and Bias Adjusted <(x.x)>	Annual Mean: Distance Corrected to Nearest Exposure	Comment
114	453292	299876	52.7	46.6	52.1	43.4	37.5	40.6	39.0	47.9	46.0	37.4	41.9	42.3	44.0	33.4	-	
115	453432	299745	55.1	40.8	52.7	30.8	-	44.2	39.7	43.8	45.2	41.0	44.1	47.9	44.1	33.5	-	
116	453463	299731	59.2	36.8	38.3	27.7	29.3	33.4	33.8	31.8	37.2	34.9	33.8	34.4	35.9	27.3	-	
117	454122	305701	56.1	43.4	57.3	31.8	37.1	44.4	40.5	48.7	46.2	44.4	47.4	49.1	45.5	34.6	-	
118	453673	299475	77.5	56.6	76.3	65.8	52.7	52.9	53.6	61.9	54.9	44.1	36.0	47.2	56.6	<b>43.0</b>	22.5	House set back 22.4m from roadside where diffusion tube is located.
119	453850	299288	-	36.5	54.8	41.8	34.3	-	36.1	43.4			41.7	47.5	42.0	33.0	-	
120	453834	299303	36.1	-	35.6	24.2	17.9	24.0	19.4	24.4	28.0	26.4	27.6	27.3	26.4	20.1	-	
AT1	454173	297603	26.0	16.4	23.8	15.5	-	12.4	9.9	15.4	16.4	16.1	34.2	25.4	19.2	14.6	-	
AT2	454356	298548	25.7	17.8	23.2	19.0	0.7	-	12.1	17.7	17.3	9.4	19.2	24.2	16.9	12.9	-	
AT3	453939	298947	24.6	16.0	22.0	17.1	13.0	15.9	11.7	16.3		16.0	18.0	6.5	16.1	12.2	-	
AT4	452944	303000	20.4	11.8	35.6	13.1	9.1	9.3	8.7	13.4	13.6	12.9	16.4	14.9	14.9	11.3	-	
AT5	453982	303197	31.1	19.0	32.3	13.0	14.0	14.5	13.2	17.3	18.7	20.1	20.9	21.2	19.6	14.9	-	
AT6	453973	305842	24.4	16.4	16.5	14.1	12.7	14.6	12.7	16.0	18.4	16.3	21.6	25.9	17.5	13.3	-	
AT7	455214	302616	29.2	19.4	-	12.8	12.3	13.4	10.9	13.1	16.7	17.5	16.1	23.3	16.8	12.8	-	
AT8	455251	302600	33.4	21.8	27.2	13.5	10.4	13.3	10.6	14.8	17.1	17.9	21.8	32.1	19.5	14.8	-	
AT9	455827	301842	41.4	28.3	21.2	20.0	19.2	20.1	15.6	20.7	21.7	26.3	28.5	33.3	24.7	18.8	-	
AT10	453012	298723	32.2	25.7	18.4	14.1	14.0	16.1	13.9	14.8	14.9	21.5	26.4	28.5	20.0	15.2	-	
AT11	455311	301428	21.3	14.9	27.3	12.5	8.8	12.1	9.9	12.4	14.0	12.0	15.7	13.8	14.6	11.1	-	
AT12	455233	300417	25.8	31.7	21.6	24.3	28.6	29.6	27.2	28.8	32.4	28.3	33.4	35.9	29.0	22.0	-	
AT13	455035	300372	38.1	24.6	24.5	24.6	20.7	21.1	18.0	25.6	26.9	22.0	23.9	31.2	25.1	19.1	-	
AT14	455934	296288	29.5	19.7	-	13.0	12.0	13.2	11.0	12.9	15.3		18.0	20.7	16.5	12.6	-	

- ☒ All erroneous data has been removed from the NO<sub>2</sub> diffusion tube dataset presented in Table B.1
- ☒ Annualisation has been conducted where data capture is <75% and >25% in line with LAQM.TG22
- ☐ Local bias adjustment factor used
- ☒ National bias adjustment factor used
- ☒ Where applicable, data has been distance corrected for relevant exposure in the final column.
- ☒ Blaby District Council confirm that all 2022 diffusion tube data has been uploaded to the Diffusion Tube Data Entry System.

**Notes:**  
Exceedances of the NO<sub>2</sub> annual mean objective of 40µg/m<sup>3</sup> are shown in **bold**.  
NO<sub>2</sub> annual means exceeding 60µg/m<sup>3</sup>, indicating a potential exceedance of the NO<sub>2</sub> 1-hour mean objective are shown in **bold and underlined**.  
See Appendix C for details on bias adjustment and annualisation.



## **Appendix C: Supporting Technical Information / Air Quality Monitoring Data QA/QC**

Over 2022 monitoring increased in the areas of Enderby, Glenfield, and Stoney Stanton to inform concerns based on monitored levels in previous years.

Monitoring in Enderby increased both within and outside the AQMA to understand how concentrations vary across the area.

Additional diffusion tubes in Enderby (15) and Glenfield (4) were introduced as part of the CDTCA project and at the end of the project in March 2023, eight diffusion tubes in Enderby and four in Glenfield were removed. Three additional diffusion tubes were also introduced in Stoney Stanton.

A review of diffusion tubes is conducted annually and takes into consideration areas of local concern as well as factors which may influence levels, such as increases in traffic levels.

### **New or Changed Sources Identified Within Blaby District During 2022**

BDC has not identified any new sources relating to air quality within the reporting year of 2022. It is possible that there are greater volumes of vehicles on the roads, contributing to the small increases in measured NO<sub>2</sub> concentrations.

BDC remain dedicated to understanding the sources behind the exceedances recorded.

Background monitoring will continue in relation to developments which may have an impact on Air Quality across the district. Furthermore, the “Particulates Matter” Air Quality Grant Project will enable a greater insight into potential sources of PM<sub>2.5</sub>.

### **Additional Air Quality Works Undertaken by Blaby District Council During 2022**

BDC has not completed any additional major works within the reporting year of 2022 regarding the development of action plan measures or the declaration, amendment, or revocation of an AQMA. Diffusion tube monitoring increased in specific areas of the district

to inform levels recorded in 2021. A number of these tubes have since been removed due to low monitored levels.

## QA/QC of Diffusion Tube Monitoring

During the 2022 monitoring year all diffusion tubes were changed in accordance with the 2022 DEFRA calendar ( $\pm 2$  days) and no tubes were exposed for prolonged periods outside of the guidance.

The supplier in 2022 was SOCOTEC for both provision and analysis of the diffusion tubes. Preparation was conducted with the use of acetone:triethanolamine (50:50) in water. SOCOTEC analyses the tubes in line with their UKAS schedule and complies with guidance set out by DEFRA.

In relation to the AIR PT intercomparison scheme, SOCOTEC currently hold the highest accreditation of 'Satisfactory Laboratory'. This is the first monitoring year in which BDC has used SOCOTEC as the supplier.

## Diffusion Tube Annualisation

Diffusion tubes with a data capture of less than 75% (but more than 25%) require annualisation to offer a more representative analysis of air quality for the particular site/s. This process was necessary for DT119 which had a data capture of 66%. This can be attributed to missing samplers across the monitoring year. Details on the process and calculations of annualisation can be found in Table C.1.

Annualisation was performed within the Diffusion Tube Data Processing Tool (DTDPT) following DEFRA guidance. The background stations utilised were:

- Coventry Allesley
- Coventry Binley Road
- Leicester A594 Roadside
- Leicester University

all of which had the requisite data capture in accordance with the guidance.

**Table C.1 – Annualisation Summary (concentrations presented in  $\mu\text{g}/\text{m}^3$ )**

Site ID	Annualisation Factor 1 Coventry Allesley	Annualisation Factor 2 Coventry Binley Road	Annualisation Factor 3 Leicester A594 Roadside	Annualisation Factor 4 Leicester University	Average Annualisation Factor	Raw Data Annual Mean	Annualised Annual Mean
DT119	1.0297	1.0211	1.0518	1.0338	1.0341	42.0	43.4
CM1	0.64	0.9791	1.2208	0.7833	0.9073	24.0	21.7

### Diffusion Tube Bias Adjustment Factors

The diffusion tube data presented within the 2022 ASR have been corrected for bias using an adjustment factor. Bias represents the overall tendency of the diffusion tubes to under or over-read relative to the reference chemiluminescence analyser. LAQM.TG22 provides guidance with regard to the application of a bias adjustment factor to correct diffusion tube monitoring. Triplicate co-location studies can be used to determine a local bias factor based on the comparison of diffusion tube results with data taken from  $\text{NO}_x/\text{NO}_2$  continuous analysers. Alternatively, the national database of diffusion tube co-location surveys provides bias factors for the relevant laboratory and preparation method.

Blaby District Council have applied a national bias adjustment factor of 0.76 to the 2022 monitoring data. A local bias correction factor of 1.42 was calculated utilising the triplicate set at CM6, through use of the DTDPT.

Following careful consideration of the guidance in TG22 (see below) and advice from the LAQM helpdesk, a decision was made to use the national bias adjustment factor, chosen from the 03/23 DEFRA National Diffusion Tube Bias Adjustment Factor Spreadsheet for SOCOTEC Didcot as the supplier.

Due to the uncertainty behind the elevated concentrations, it did not appear representative to apply the local factor to the network of monitoring across the district until further investigations have been conducted.

A summary of bias adjustment factors used by BDC over the past five years is presented in Table C.2.

With the consideration and regard of Box 7.13 of TG22, the following analysis has been conducted:

- Tube exposure time (one week, two weeks, one month) – **monthly changes**
- Length of the monitoring study – **calendar year**

- QA/QC of the chemiluminescence analyser – **serviced 6 monthly, calibrations fortnightly**
- QA/QC of diffusion tubes – **triplicate set results do have a degree of variation**
- Siting of the co-location study – **with the CMS**

**Cases where the combined bias adjustment factor may be more representative:**

- Where the survey consists of tubes exposed over a range of settings, which differ from the co-location site, e.g. the co-location site is in a very exposed setting and the tubes being assessed are on a building façade in a canyon-like street. **Tubes and co-location study are in the same setting.**
- Where the co-location study is for less than nine months in line with the Defra Calendar, although the diffusion tube monitoring is for a longer period. **Co-location study and diffusion tube monitoring are for the same period.**
- Where the automatic analyser has been operated using local, rather than national QA/QC procedures – **local QA/QC procedures used**
- Where data capture from the automatic analyser is less than 90%, or there have been problems with data quality – **data capture is above 90%**
- For co-location sites with “poor” precision or laboratories with predominately “poor” precision, as set out on the LAQM Support Helpdesk website – **precision is good**

**Table C.2 – Bias Adjustment Factor**

Monitoring Year	Local or National	If National, Version of National Spreadsheet	Adjustment Factor
2022	National	03/23	0.76
2021	National	03/22	0.77
2020	National	03/21	0.77
2019	National	09/20	0.78
2018	National	06/19	0.95

**Table C.3 – Local Bias Adjustment Calculation**

	Local Bias Adjustment Input 1	Local Bias Adjustment Input 2	Local Bias Adjustment Input 3	Local Bias Adjustment Input 4	Local Bias Adjustment Input 5
Periods used to calculate bias	12				
Bias Factor A	1.43 (1.24 - 1.7)				
Bias Factor B	-30% (-41% - -19%)				
Diffusion Tube Mean ( $\mu\text{g}/\text{m}^3$ )	33.8				
Mean CV (Precision)	4.5%				
Automatic Mean ( $\mu\text{g}/\text{m}^3$ )	48.4				
Data Capture	98%				
Adjusted Tube Mean ( $\mu\text{g}/\text{m}^3$ )	48 (42 - 57)				

**Notes:**

A single local bias adjustment factor has been calculated however a national bias adjustment factor has been applied to the 2022 diffusion tube results.

**NO<sub>2</sub> Fall-off with Distance from the Road**

Wherever possible, monitoring locations are representative of exposure. However, where this is not possible, the NO<sub>2</sub> concentration at the nearest location relevant for exposure has been estimated using the Diffusion Tube Data Processing Tool/NO<sub>2</sub> fall-off with distance calculator available on the LAQM Support website. Where appropriate, non-automatic annual mean NO<sub>2</sub> concentrations corrected for distance are presented in Table B.1.

Distance correction should be considered at any monitoring site where the annual mean concentration is greater than  $36\mu\text{g}/\text{m}^3$  and the monitoring site is not located at a point of relevant exposure. This was necessary for DT118 located in AQMA6, which recorded a concentration of  $43\mu\text{g}/\text{m}^3$ . However, this DT is located close to the roadside and the nearest receptor is set back from the main road and distance correction was necessary to report a more representative concentration at point of exposure.

DT112 is also included in the table below, however this monitoring site was chosen to understand the relative contributions of the B582 and M69 motorways.

There are no relevant receptors and therefore the NAQO is not directly applicable.

Details of the calculation for distance are presented below in Table C.4.

**Table C.4 – NO<sub>2</sub> Fall off With Distance Calculations (concentrations presented in  $\mu\text{g}/\text{m}^3$ )**

Site ID	Distance (m): Monitoring Site to Kerb	Distance (m): Receptor to Kerb	Monitored Concentration (Annualised and Bias Adjusted)	Background Concentration	Concentration Predicted at Receptor	Comments
112	0.2	295.2	36.8	-	-	There are no nearby receptors. Monitoring site chosen to understand the relative contributions of the B582 and M69.
118	0.5	22.9	43.0	12.7	22.5	DT is located close to the roadside and the nearest receptor (residential property) is set back from the main road.

## QA/QC of Automatic Monitoring

Local Site Operator (LSO) duties are carried out fortnightly for automatic monitoring sites by members of the Environmental Services Team.

Data validation and ratification is conducted fortnightly by the same LSO's allowing for screening erroneous readings. Monitoring station data and performance is checked daily through a back-office system.

Data is ratified as per the Automatic and Urban Rural Network (AURN) recommended procedures. During calibrations, a zero reading is taken from the equipment using either a gas of known concentration, or by the use of scrubbers.

Span gas of a known concentration is then applied to the system to ensure consistency in measured pollutant concentrations. The zero and span readings are then used to adjust any offset of the baseline of the data through application of a correction factor.

A linear two-point regression is then applied to the data linking the calibrations and adjusting any analyser offset.

Data is available to view through the [Air Quality - Monitoring in Blaby District | Tableau Public](#) webpage.

### **PM<sub>10</sub> and PM<sub>2.5</sub> Monitoring Adjustment**

CM1 directly monitors PM<sub>10</sub> and a factor of 1.3 has been applied to the data to give gravimetric equivalent levels.

CM5 provides direct monitoring of PM<sub>2.5</sub> concentrations. Concentrations can also be derived from CM1 PM<sub>10</sub> data using the latest DEFRA correction factors. A national correction factor has been used as there are no sites which measure both PM<sub>10</sub> and PM<sub>2.5</sub>. A breakdown of the calculation is presented below.

Step 1:

- PM<sub>10</sub> monitored concentration = 11.7 µg/m<sup>3</sup>
- Nationally derived factor (roadside) = 6.4 µg/m<sup>3</sup>

Step 2:

- $11.7 - 6.4 = 5.3$  µg/m<sup>3</sup> estimated annual mean of PM<sub>2.5</sub>

### **Automatic Monitoring Annualisation**

Where less than 75% (but > 25%) of the data set is available, the continuous monitoring station data has been annualised as per Technical Guidance LAQM.TG (22). This procedure was necessary for CM1, due to a data capture of 64%. The following background stations were used:

- Coventry Allesley
- Coventry Binley Road
- Leicester A594 Roadside
- Leicester University

Guidance from TG22 was utilised for assistance in correctly annualising CM1, following additional advice from the DEFRA LAQM helpdesk. Details and a summary of the annulisation can be found in Table C.1.

### **NO<sub>2</sub> Fall-off with Distance from the Road**

Wherever possible, monitoring locations are representative of exposure. However, where this is not possible, the NO<sub>2</sub> concentration at the nearest location relevant for exposure has been estimated using the NO<sub>2</sub> fall-off with distance calculator available on the LAQM Support website. Where appropriate, non-automatic annual mean NO<sub>2</sub> concentrations corrected for distance are presented in Table B.1.

No automatic NO<sub>2</sub> monitoring locations within BDC required distance correction during 2022.



## Appendix D: Map(s) of Monitoring Locations and AQMAs

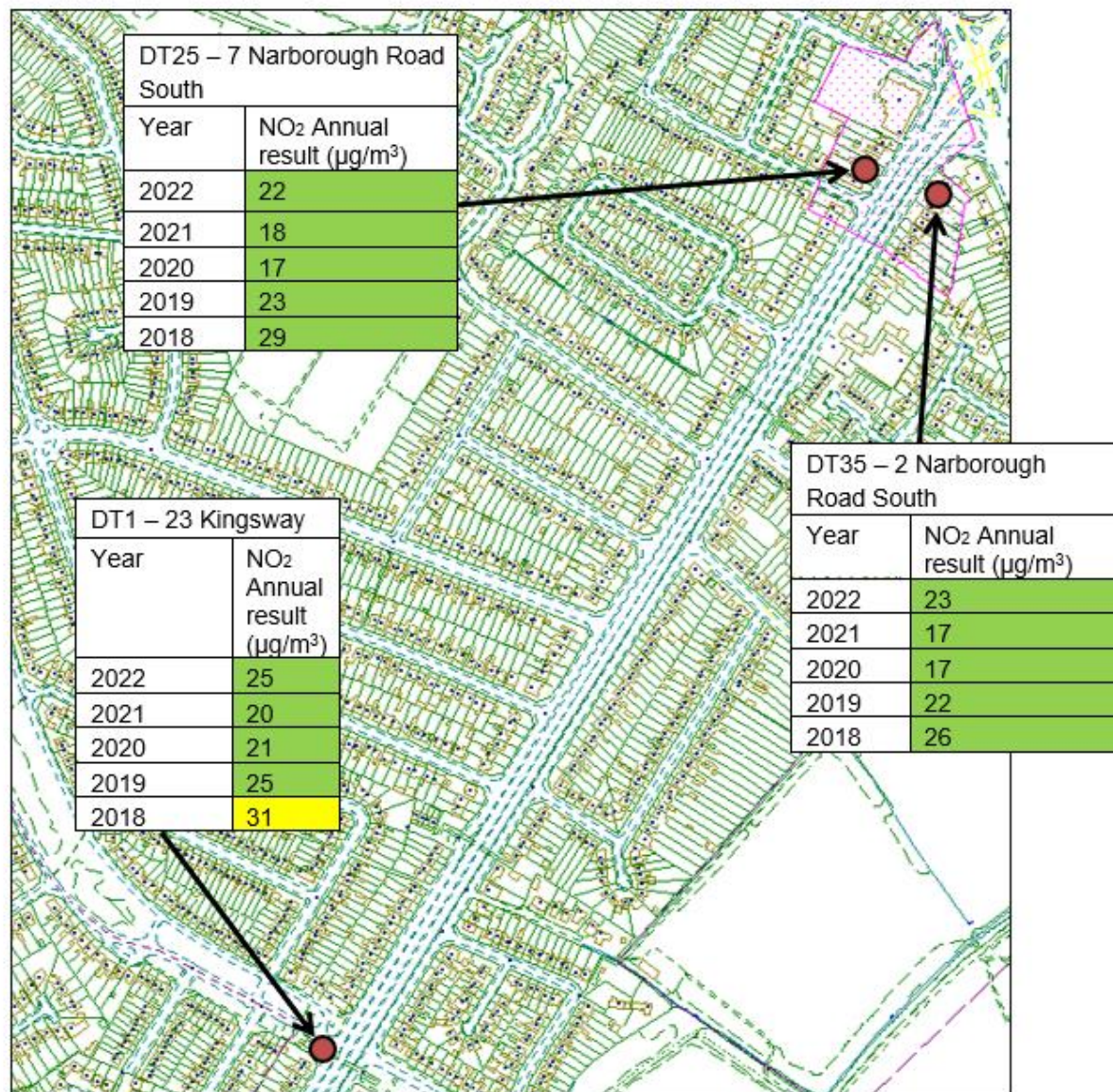
An assessment of 2022 results in the context of past data has been carried out for the following areas:

- [Figure 1 - AQMA 1 A5460 Narborough Road South](#)
- [Figure 2 - AQMA 2 M1 corridor in Enderby and Narborough](#)
- [Figure 3 - AQMA 3 M1 corridor between Thorpe Astley and Leicester Forest East](#)
- [Figure 4 - AQMA 4b Enderby Road, Whetstone](#)
- [Figure 5 - AQMA 6 Mill Hill, Enderby](#)
- [Figure 6 - Enderby \(out of AQMA\)](#)
- [Figure 7 - Lubbesthorpe Road, Braunstone Town](#)
- [Figure 8 - Sharnford Hill, Sharnford](#)
- [Figure 9 - Glenfield Village](#)
- [Figure 10 - New Bridge Road and Windsor Avenue, Glen Parva](#)
- [Figure 11 - Stoney Stanton Village](#)
- [Figure 12 - Sapcote Village](#)
- [Figure 13 - Elmesthorpe Railway Bridge](#)
- [Figure 14 - Thorpe Astley](#)
- [Figure 15 - Desford Road, Kirby Muxloe](#)
- [Figure 16 - Aston Firs, near Sapcote](#)
- [Figure 17 - Main Street, Kilby](#)
- [Figure 18 - Active Travel Tubes](#) in Narborough, Enderby, Braunstone Town, Glenfield, Leicester Forest East, Thorpe Astley, and Whetstone

Maps showing the monitoring locations and corresponding average annual nitrogen dioxide concentrations ( $\mu\text{g}/\text{m}^3$ ) are shown in Figures 1 to 17.

Active Travel Tubes are presented separately below.

## AQMA 1 – A5460 Narborough Road South

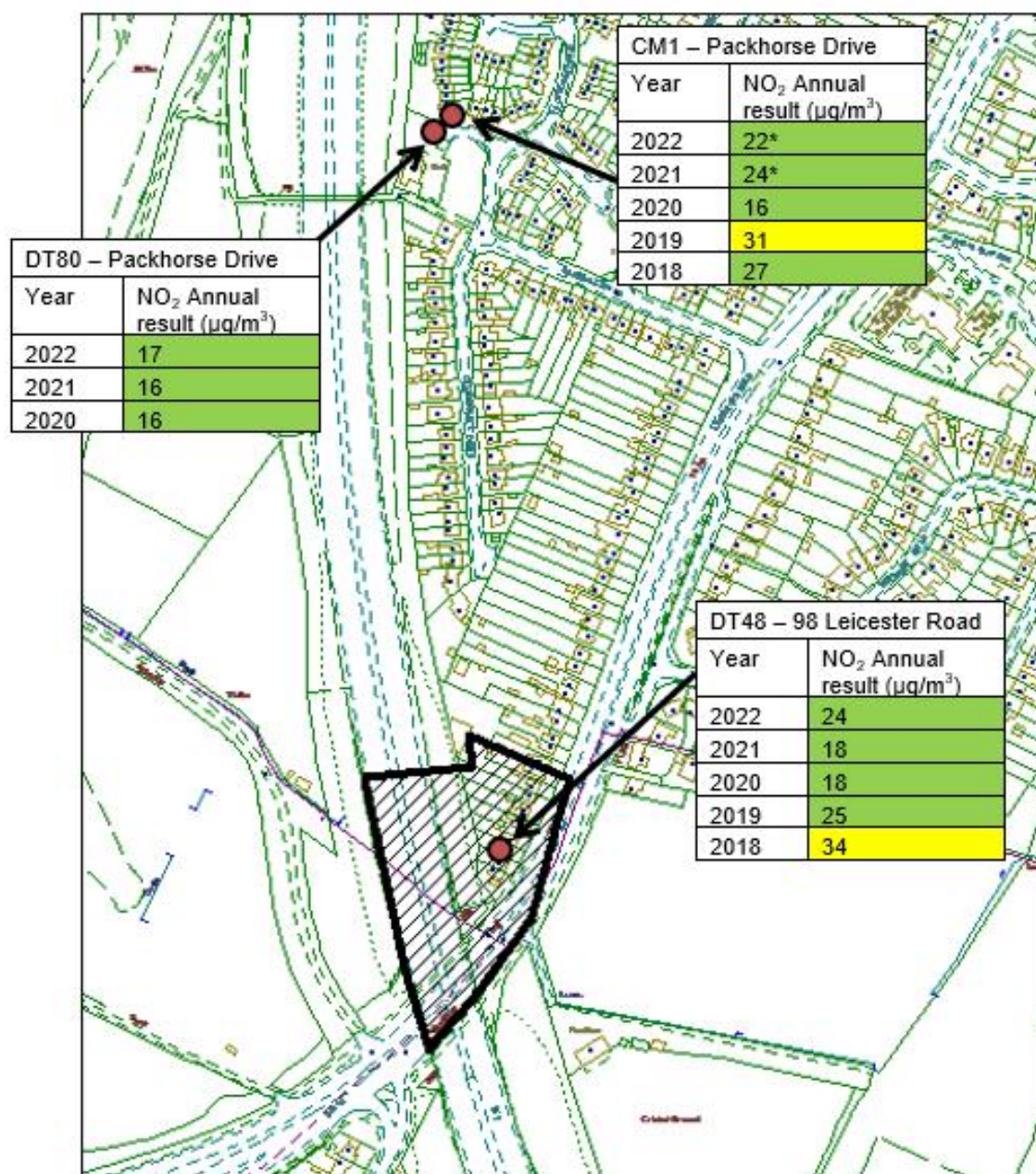


**Figure 1:** Map showing the locations and results of diffusion tubes in AQMA 1, including Narborough Road South and parts of Braunstone Town. AQMA boundary represented by pink outline. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

NO<sub>2</sub> concentrations in the area have shown small increases from 2021. All sites within and outside the AQMA are below the national objective. AQMA1 will be revoked due to ongoing compliance.



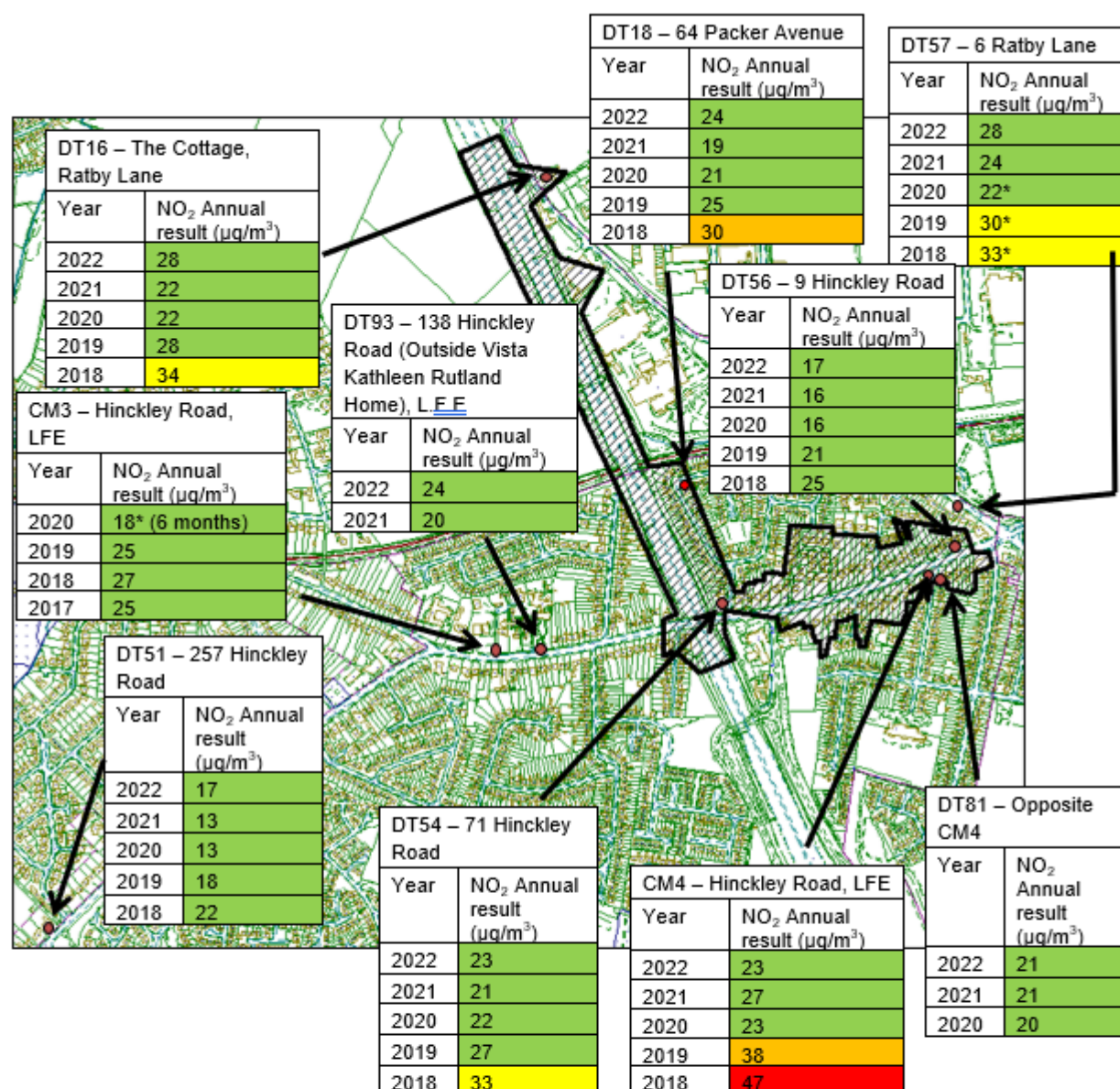
## AQMA 2 – M1 corridor in Enderby and Narborough



**Figure 2:** Map showing the locations and results of diffusion tubes and continuous monitoring stations in AQMA 2, along a corridor of the M1 between Enderby to the north and Narborough to the south. AQMA boundary represented by black outline. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

Concentrations within the AQMA have increased yet remain below the national air quality objective. NO<sub>2</sub> levels at CM1 (outside the AQMA) show a small reduction, although this figure has been subject to annualisation. AQMA 2 will be revoked due to ongoing compliance.

## AQMA 3 – M1 corridor between Thorpe Astley and Leicester Forest East

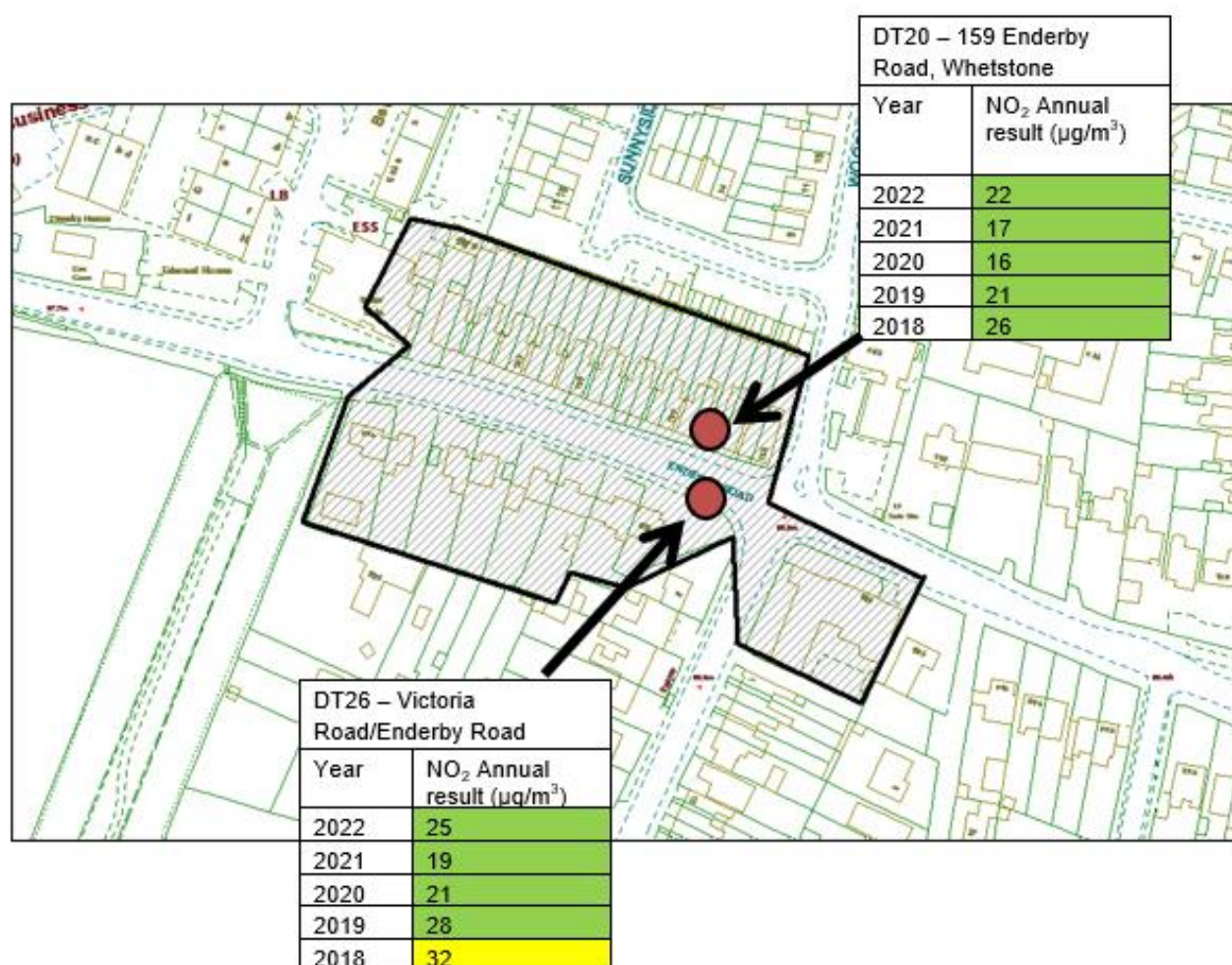


**Figure 3:** Map showing the locations and results of diffusion tubes and continuous monitoring stations in AQMA 3, along a corridor of the M1 between Thorpe Astley and Leicester Forest East. AQMA boundary represented by black outline. Results have been rounded to nearest whole number. \* represents a result that has been annualised and/or distance corrected. 40 µg/m<sup>3</sup> is the air quality objective for this pollutant. © Crown copyright. All rights reserved.

NO<sub>2</sub> concentrations remain consistent within the NAQO. Increases are noted in the southern extent of the AQMA, particularly at DT16 and DT57, both of which are at roadside of busy routes. All concentrations are below the national air quality objective for the pollutant showing small changes from 2021.



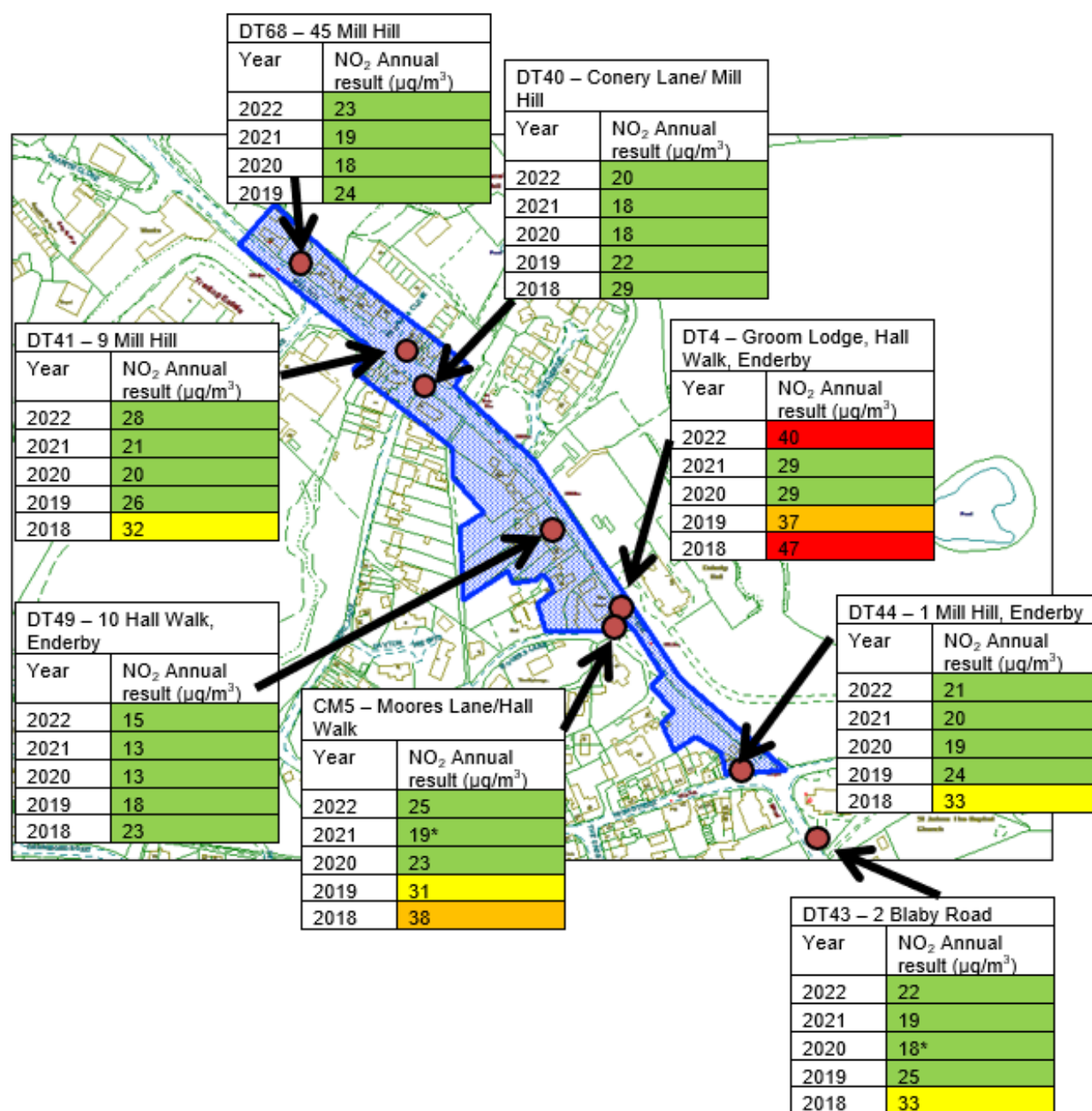
## AQMA 4B – Enderby Road, Whetstone



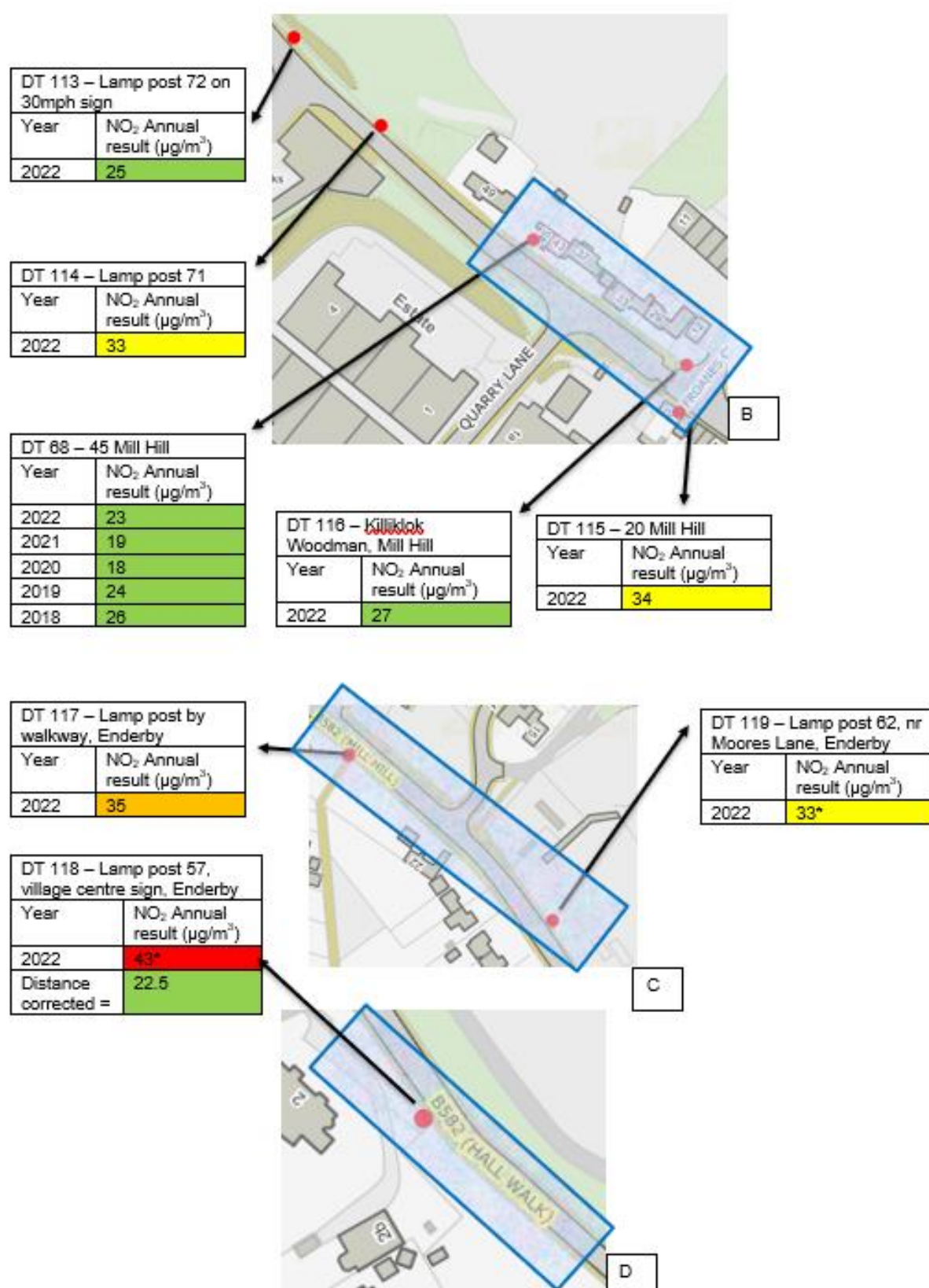
**Figure 4:** Map showing the locations and results of diffusion tubes in AQMA 4B, along Enderby Road in Whetstone. AQMA boundary represented by black outline. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

Concentrations within the AQMA have shown a small increase from 2021 and sit well below national air quality objective. The AQMA will be revoked due to ongoing compliance. Monitoring will continue but be reduced to one diffusion tube (DT20) for 2023.

## AQMA 6 – Mill Hill, Enderby

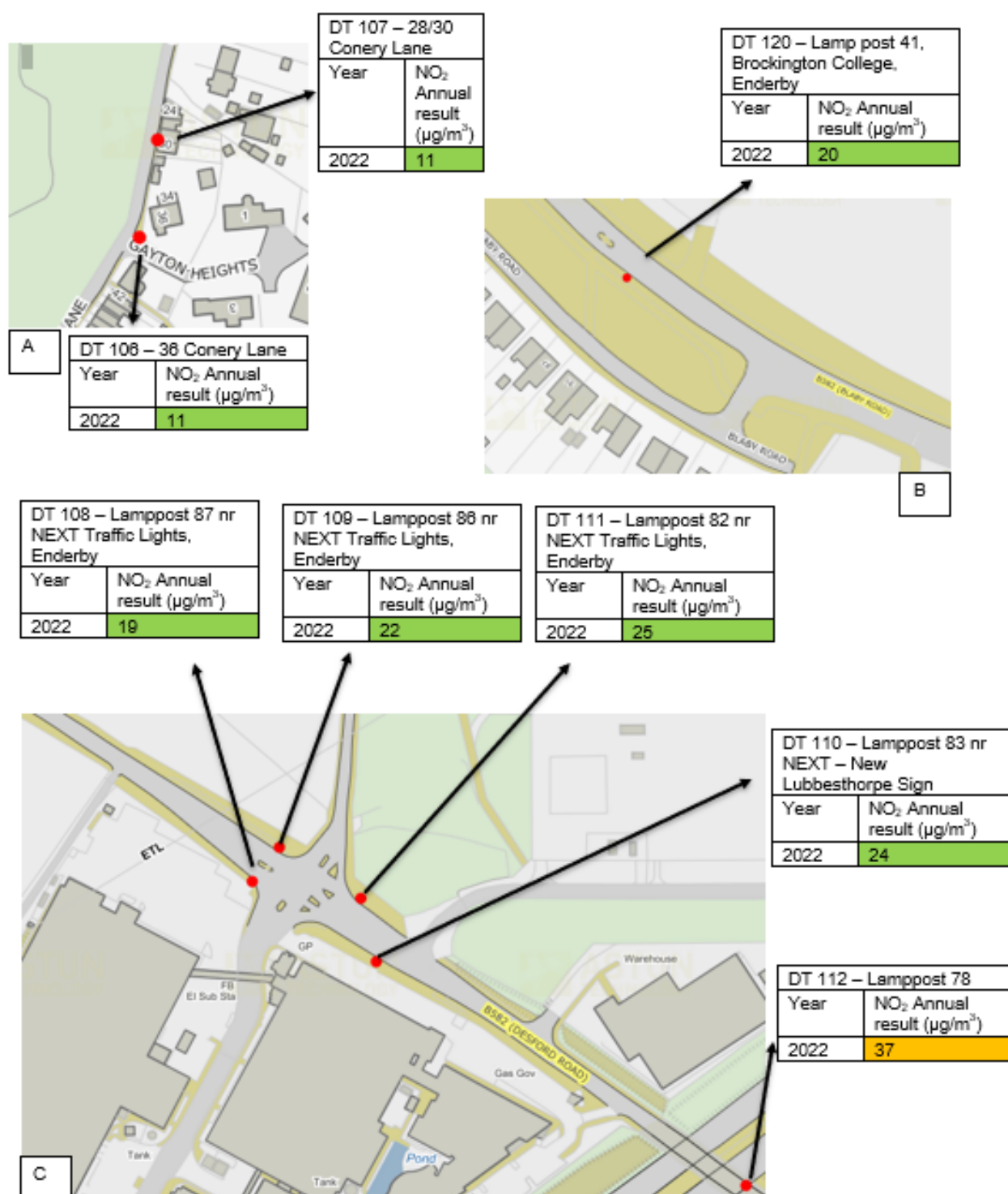


**Figure 5a:** Map showing the locations and results of diffusion tubes and continuous monitoring stations in AQMA 6, along Mill Hill in Enderby. AQMA boundary represented by blue outline. Results have been rounded to nearest whole number. \* represents a result that has been annualised and/or distance corrected. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.



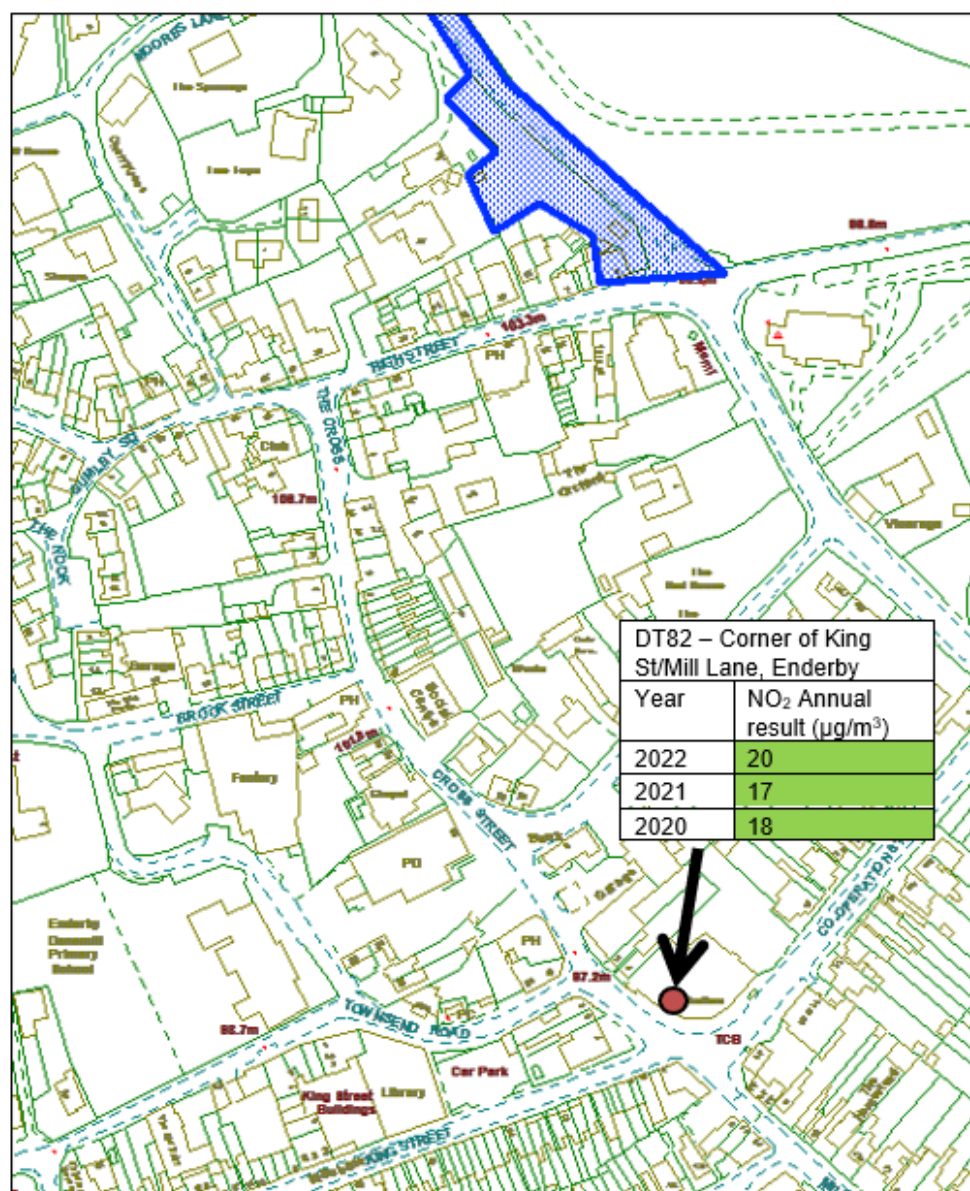


## Enderby (out of AQMA)



**Figure 6a, b and c:** Map showing the locations and results of diffusion tubes and continuous monitoring stations in AQMA 6, along Mill Hill in Enderby. AQMA boundary represented by blue outline. Results have been rounded to nearest whole number. \* represents a result that has been annualised and/or distance corrected. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

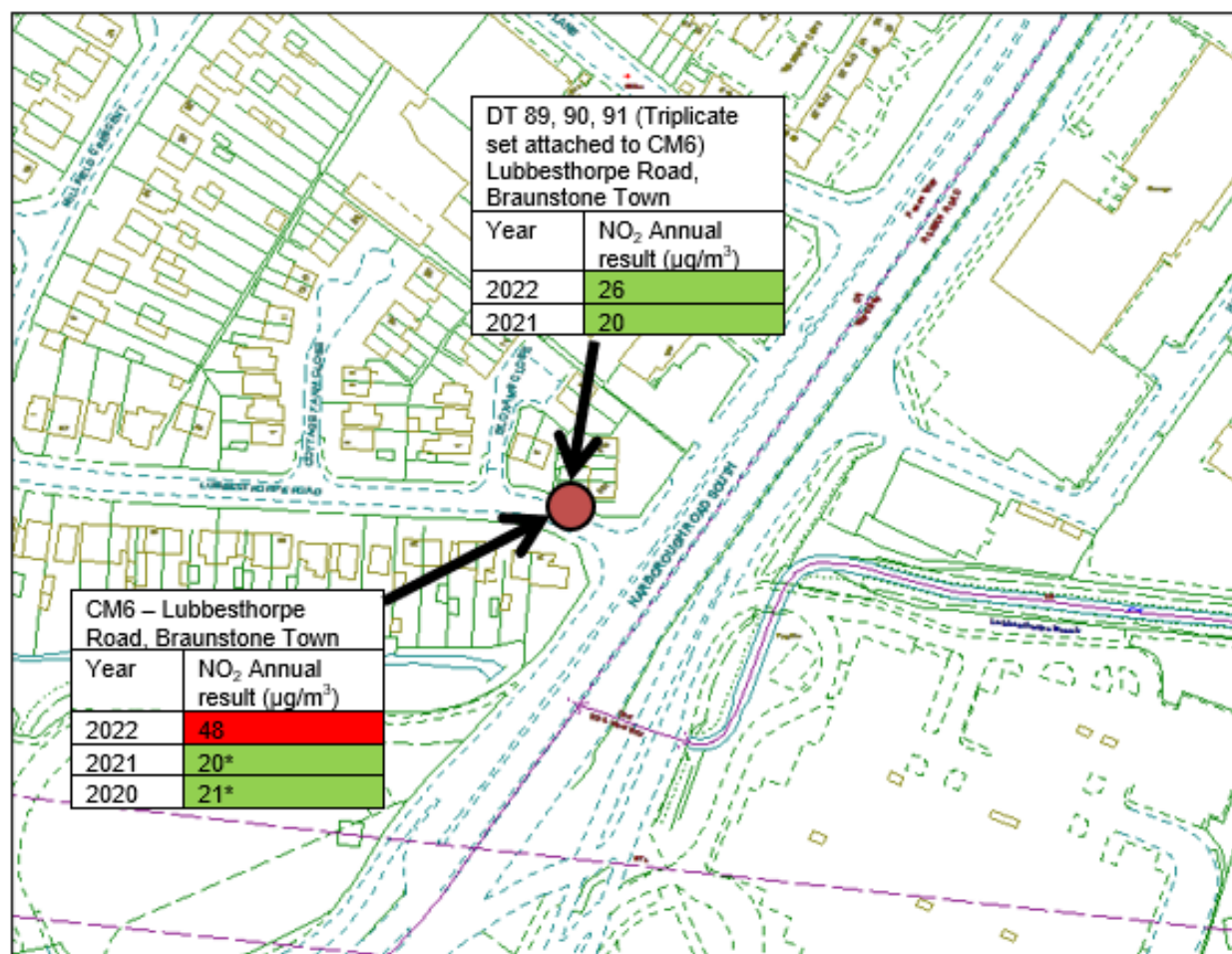




**Figure 6d:** Map showing the locations and results of diffusion tubes in Enderby village. AQMA 6 boundary is visible to the north. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

NO<sub>2</sub> concentrations in outside the AQMA show a range of concentrations however remain below the national air quality objective for this pollutant. Figures 6a, b and c illustrate tubes introduced in 2022. Monitoring locations in Figure 6c are not in proximity to any receptors but rather to inform a wider understanding of concentrations within the area. Results in Enderby village (figure 6d) remain low and below the objective level.

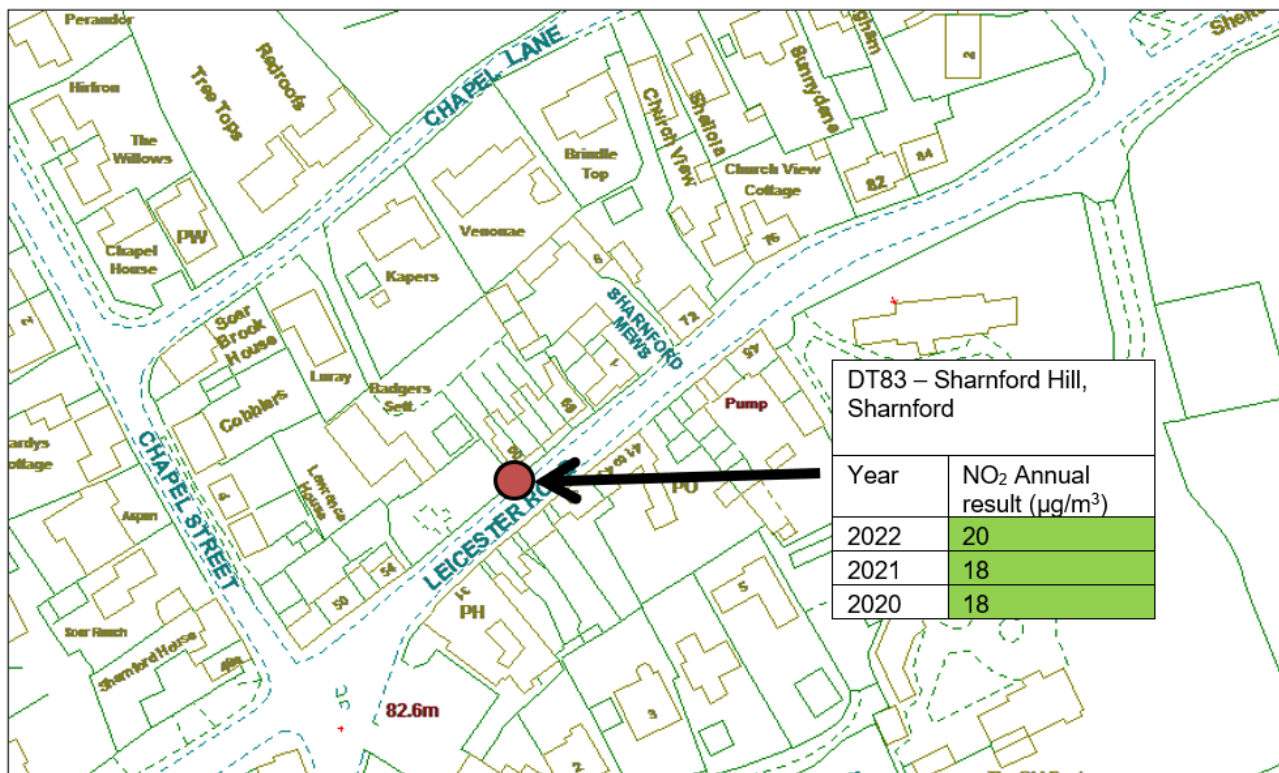
## Lubbesthorpe Road, Braunstone Town



**Figure 7:** Map showing the location of a continuous monitoring station and triplicate set of diffusion tubes in Braunstone Town. Fosse Park is visible to the south. Results have been rounded to nearest whole number and annualised. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights

This image represents the monitoring station (CM6) and accompanying triplicate set of diffusion tubes. Concentrations of NO<sub>2</sub> at CM6 have shown an increase in comparison to 2021, however without the requirement for annualisation. This exceedance will be investigated further and an AQMA will be declared. The triplicate set has also shown a small increase in concentrations however has not exceeded the national objective. Data was used from the triplicate set to calculate a local bias correction factor and is detailed further in the QA/QC section.

## Sharnford Hill, Sharnford



**Figure 8:** Map showing the locations and results of diffusion tubes in Sharnford. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

NO<sub>2</sub> concentrations in Sharnford have shown little change and again remain below the national air quality objective.



## Glenfield Village

DT95 – 5 Main Street, Glenfield	
Year	NO <sub>2</sub> Annual result (µg/m <sup>3</sup> )
2022	20
2021	16

DT85 – 14 The Square, Glenfield	
Year	NO <sub>2</sub> Annual result (µg/m <sup>3</sup> )
2022	15
2021	14
2020	13

DT84 – Outside Glenfield Travel	
Year	NO <sub>2</sub> Annual result (µg/m <sup>3</sup> )
2022	28
2021	22
2020	21

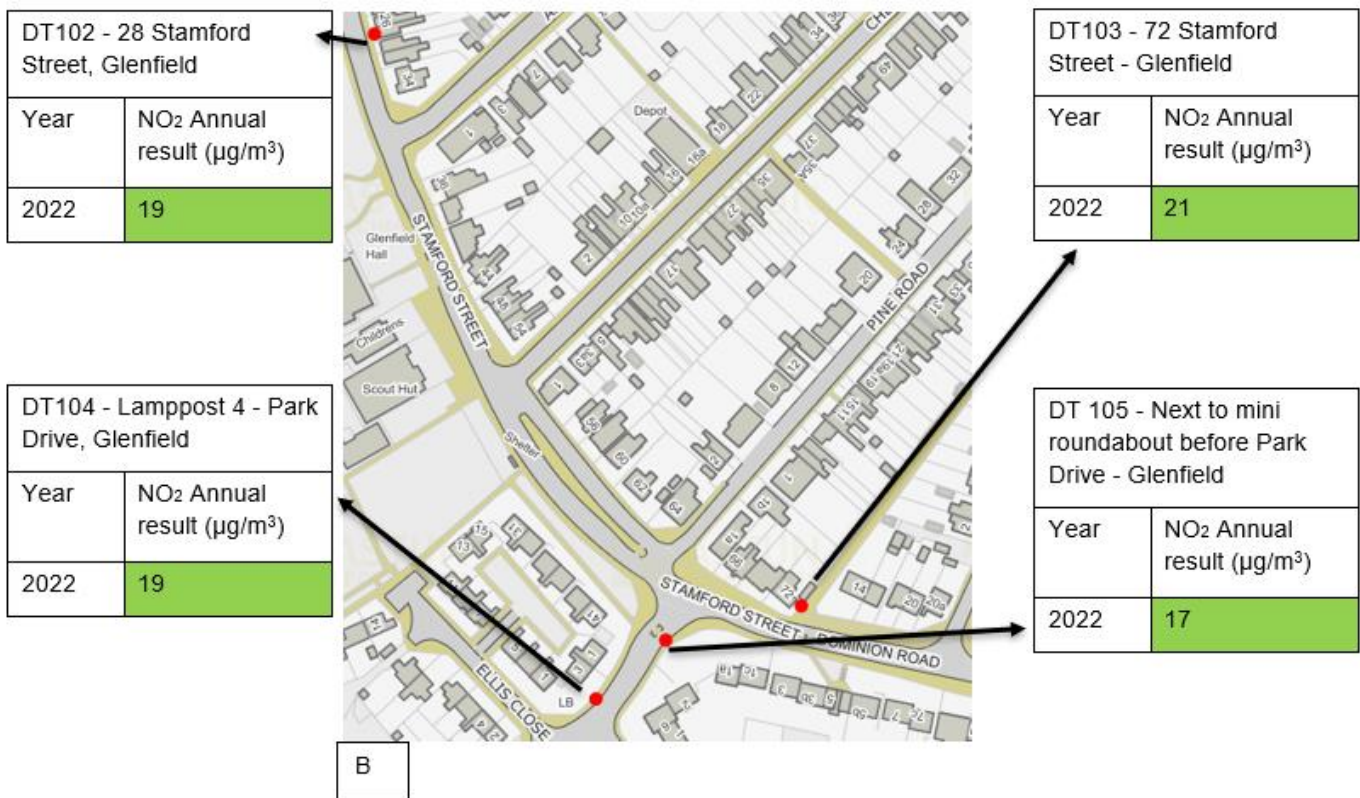


A

DT65 – 11 Stamford Street, Glenfield	
Year	NO <sub>2</sub> Annual result (µg/m <sup>3</sup> )
2022	31
2021	26
2020	26
2019	33
2018	42

DT94 – 19 Stamford Street, Glenfield	
Year	NO <sub>2</sub> Annual result (µg/m <sup>3</sup> )
2022	19
2021	15

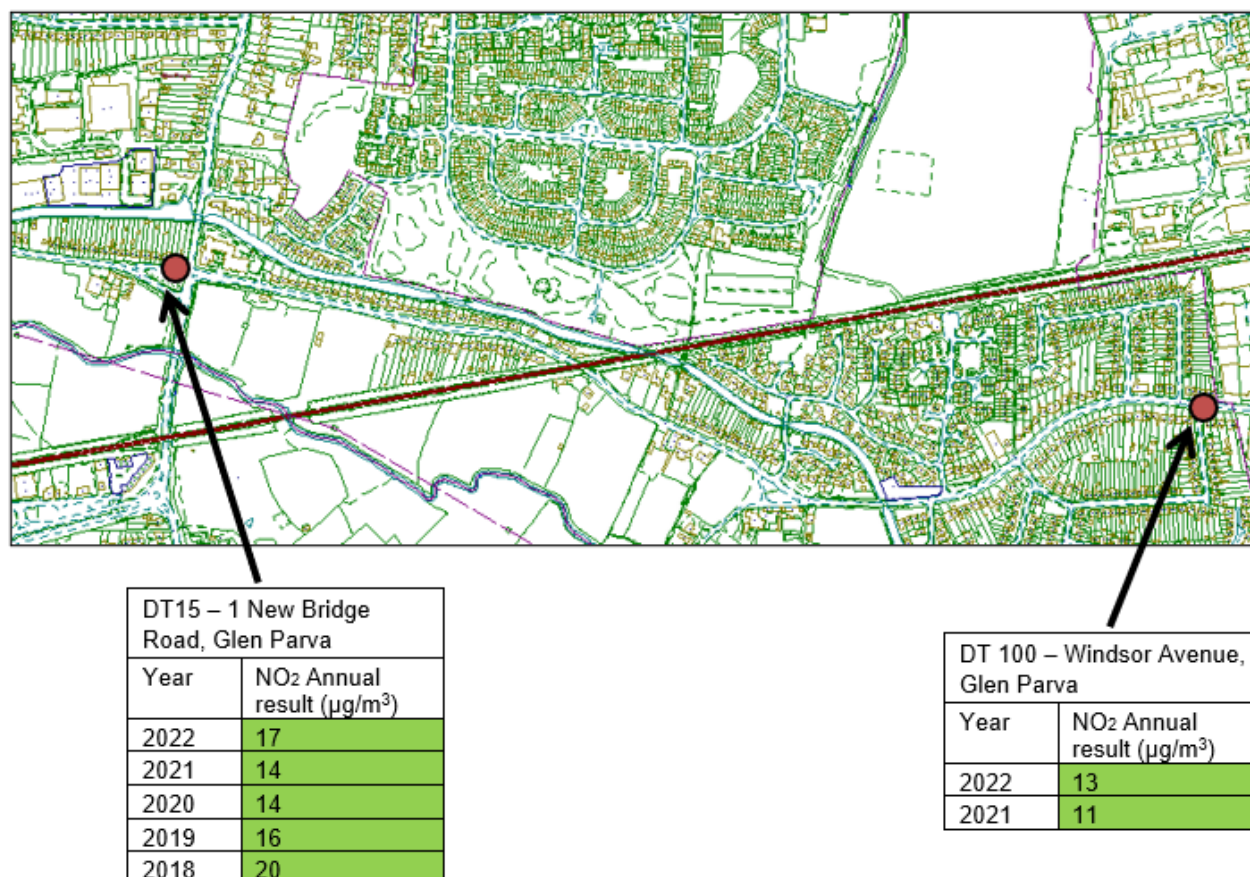
CM7 – Blaby 3	
Year	NO <sub>2</sub> Annual result (µg/m <sup>3</sup> )
2022	19
2021	20
2020	21* (6 months)



**Figure 9a and 9b:** Map showing the locations and results of diffusion tubes and continuous monitoring stations in Glenfield. Note the result for CM7 in 2020 is based on 6 months of data only. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

CM7 was relocated here in 2020 and produced a similar annual figure in 2021 and 2022. Four additional DTs were installed in 2022 as part of the countdown to clean air project to assess any extent of NO<sub>2</sub> emissions. All monitoring results are below national air quality objectives.

## New Bridge Road and Windsor Avenue, Glen Parva



**Figure 10:** Map showing the locations and results of diffusion tubes in Glen Parva. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

Monitoring in Glen Parva continues to produce concentrations well below national air quality objectives and consistent with the previous years. DT100 was introduced on Windsor Avenue to provide some baseline and to assess any impact of the Fosse Way HMP development. Initial results here suggest concentrations around background level and monitoring will continue.



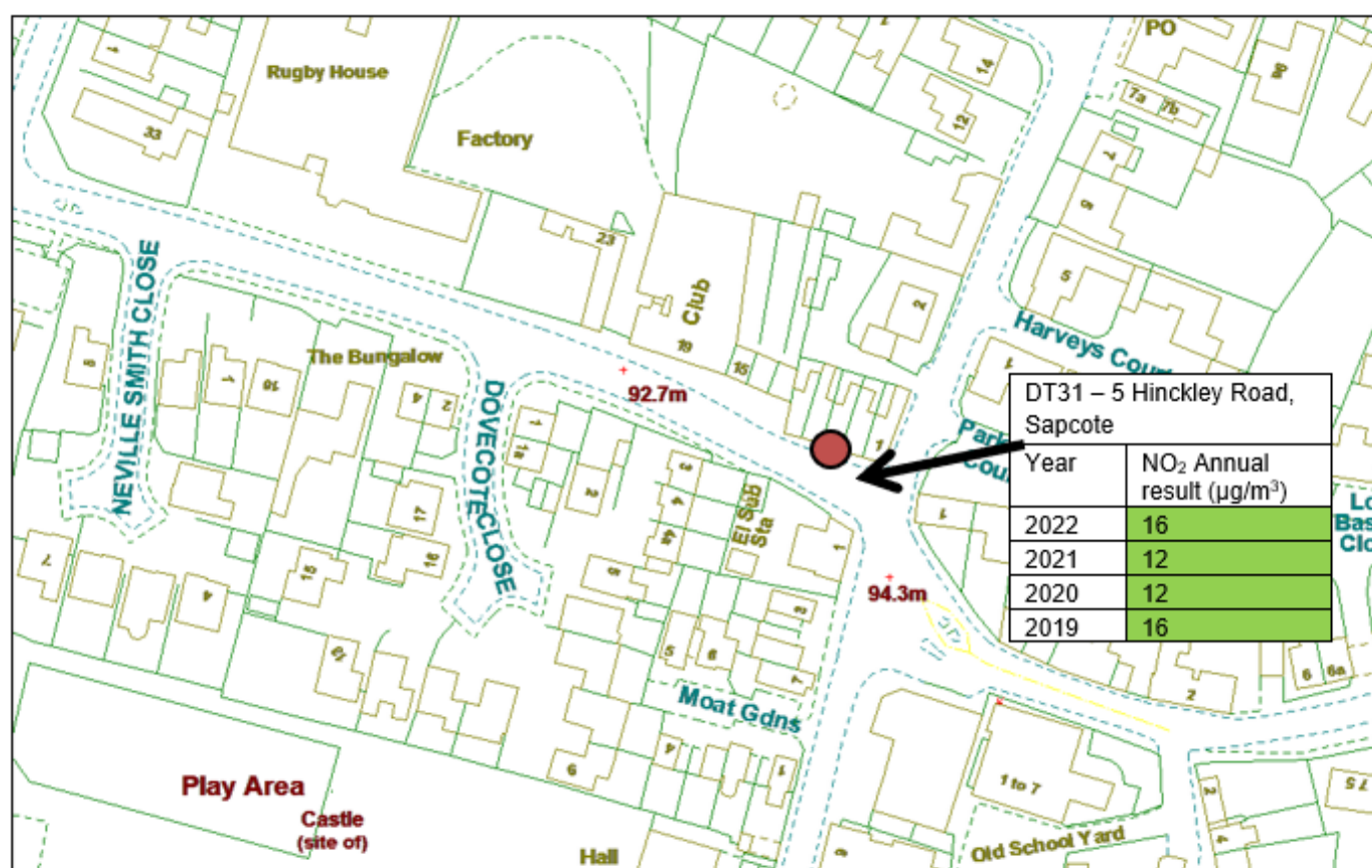
## Stoney Stanton Village



**Figure 11:** Map showing the locations and results of diffusion tubes in Stoney Stanton. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

Stoney Stanton is another area of interest for the Council, with particular emphasis on the mini roundabout in the village centre. The addition of three DTs here represents an increase in monitoring to assess the extent of any NO<sub>2</sub> emissions. All monitoring points report concentrations well below national air quality objectives in the monitoring year. Monitoring will continue to assess the extent of levels.

## Sapcote Village

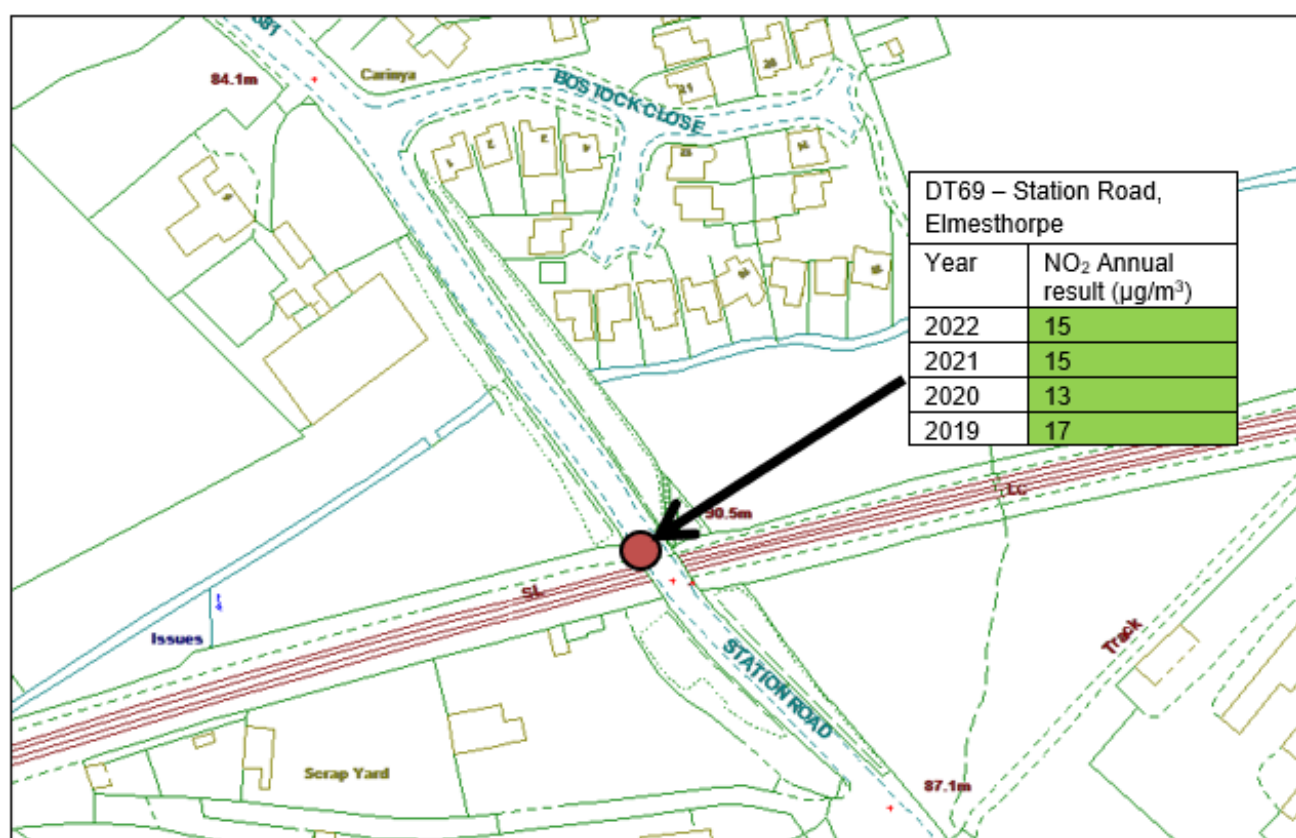


**Figure 12:** Map showing the locations and results of diffusion tubes in Sapcote. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

Monitoring in Sapcote has reported very low concentrations of NO<sub>2</sub>. Monitoring was reduced within this area owed to the consistent low levels. The current monitoring will be important in assessment of the proposed Hinckley National Rail Freight Interchange development.



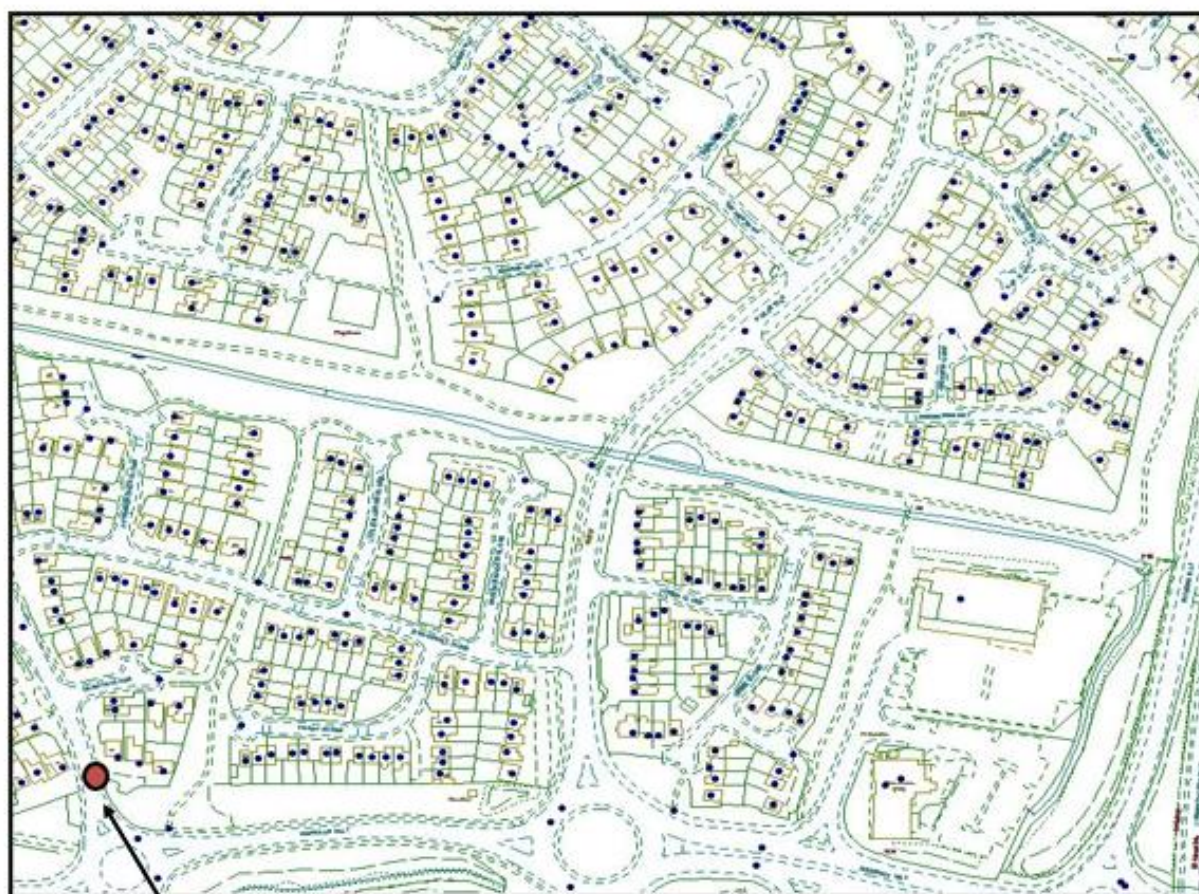
## Elmesthorpe Railway Bridge



**Figure 13:** Map showing the locations and results of diffusion tubes near Elmesthorpe. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

Concentrations at the railway bridge reported no increase to 2021 and remains below levels seen in previous years. This tube will again be important with regards to assessment of the Hinckley National Rail Freight Interchange, with emphasis on railway emissions and monitoring will continue to obtain background readings.

## Thorpe Astley

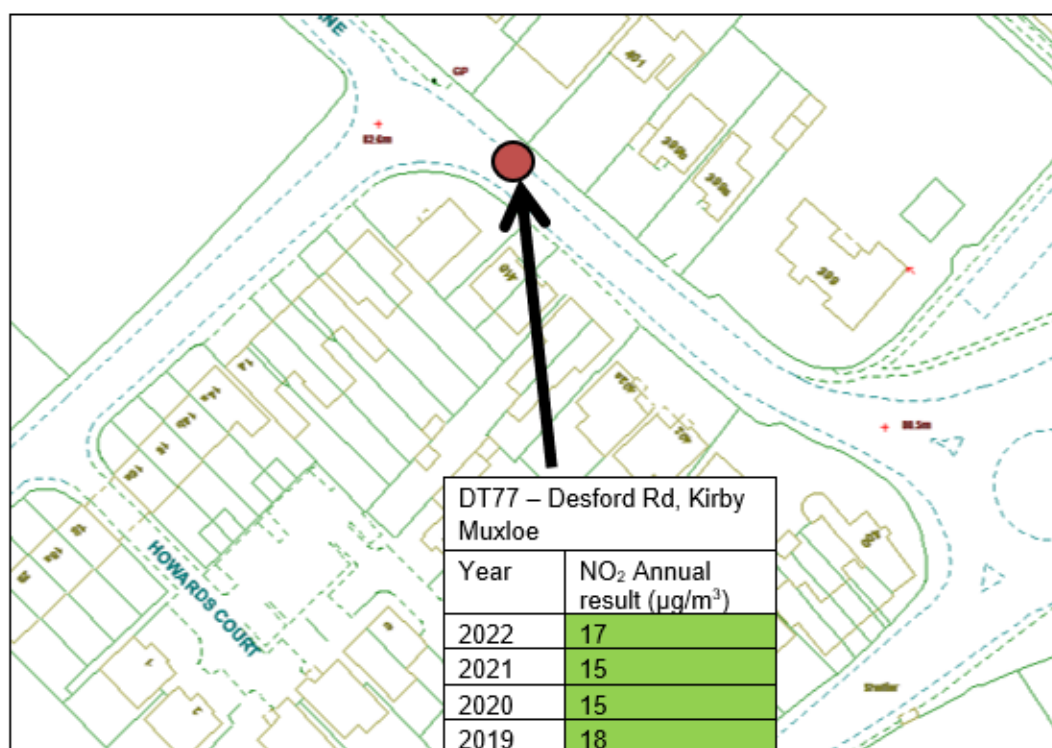


DT99– 5 Murby Way, Thorpe Astley	
Year	NO <sub>2</sub> Annual result (µg/m <sup>3</sup> )
2022	19
2021	18

**Figures 14:** Maps showing the locations and results of diffusion tubes in Thorpe Astley. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

All monitoring points in Thorpe Astley report low NO<sub>2</sub> concentrations below national air quality objectives. Monitoring was also reduced within this area due to the low consistent levels, with monitoring remaining at DT99.

## Desford Road, Kirby Muxloe

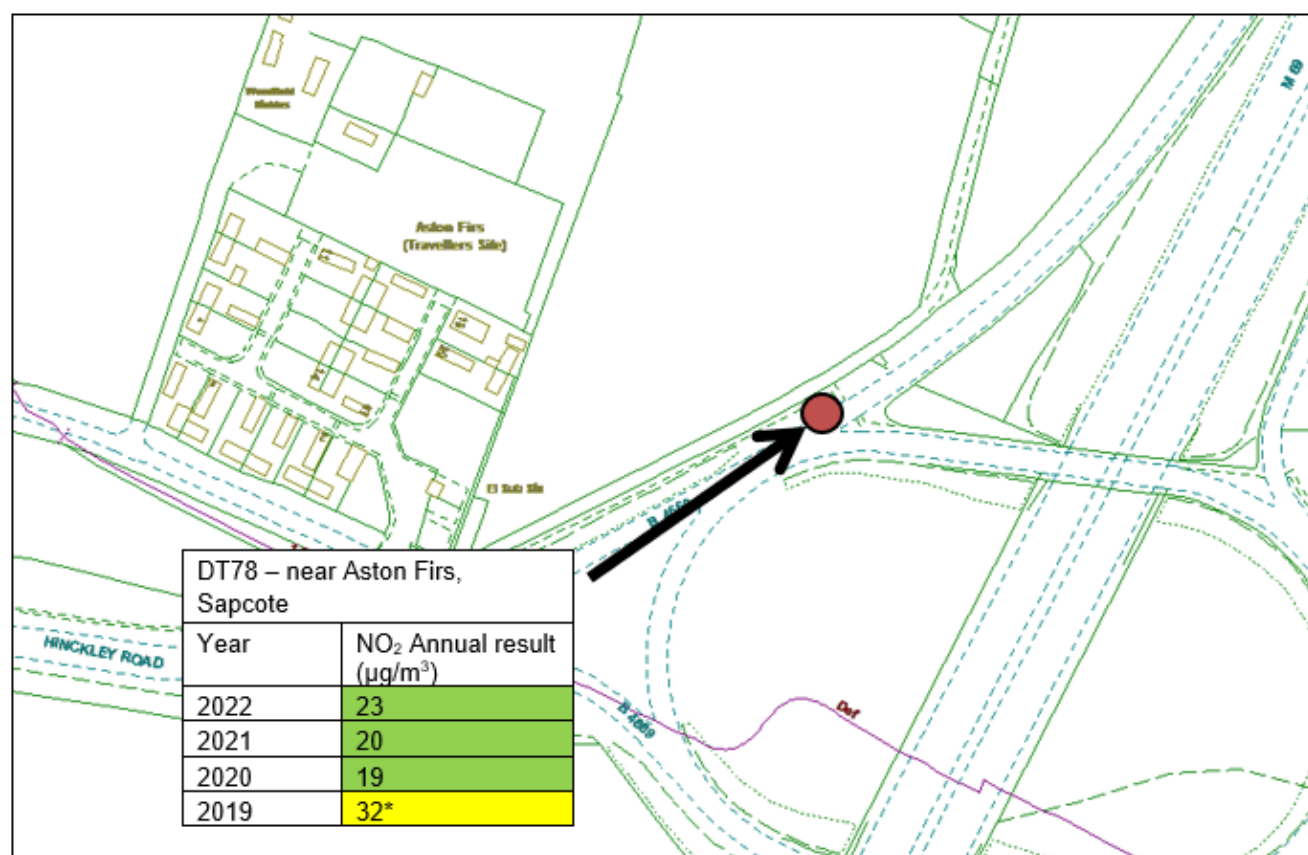


**Figure 15:** Map showing the locations and results of diffusion tubes along Desford Road in Kirby Muxloe. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

Desford Road monitoring has continued in 2022 due to local development and reports concentrations well below national air quality objectives. It is likely that monitoring will continue here due to the commencement of a development nearby.



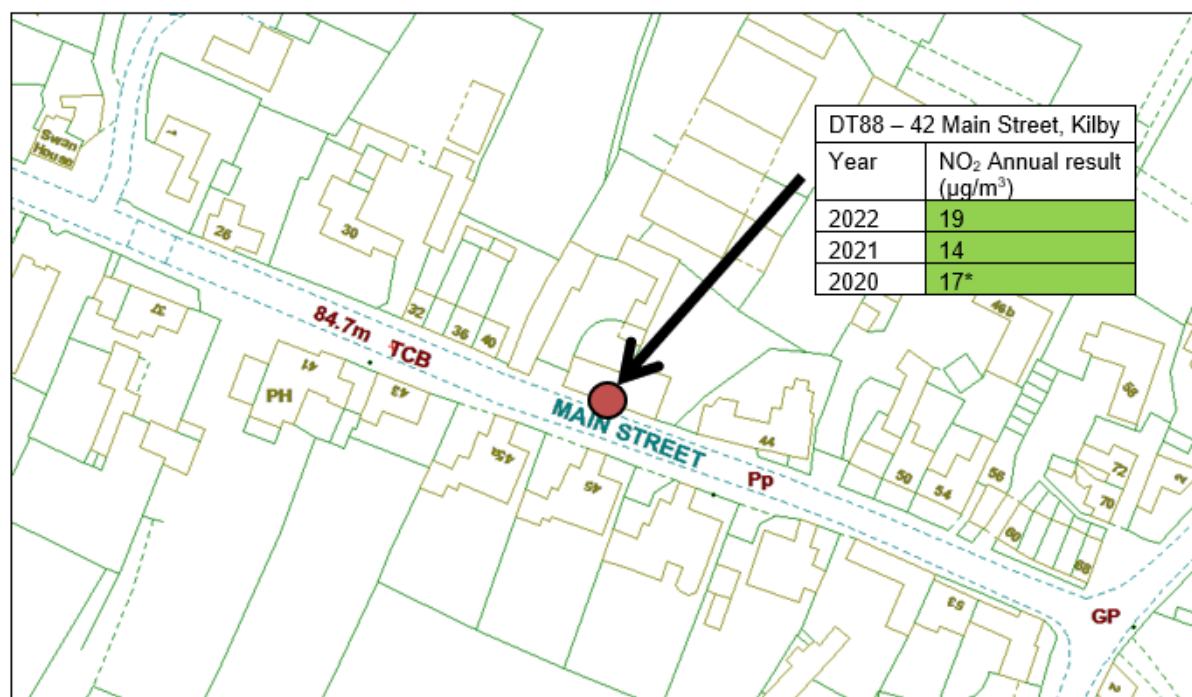
## Aston Firs, near Sapcote



**Figure 16:** Map showing the locations and results of diffusion tubes near Aston Firs in Sapcote. The M69 can be seen to the east. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

Monitoring near Aston Firs caravan site reported low concentrations of NO<sub>2</sub> in 2022, below national air quality objectives. This DT will be important in assessment of the proposed Hinckley National Rail Freight Interchange development due to its close proximity to the proposed site and M69 junction improvements. Previous years data have provided a good baseline for associated air quality assessments.

## Main Street, Kilby

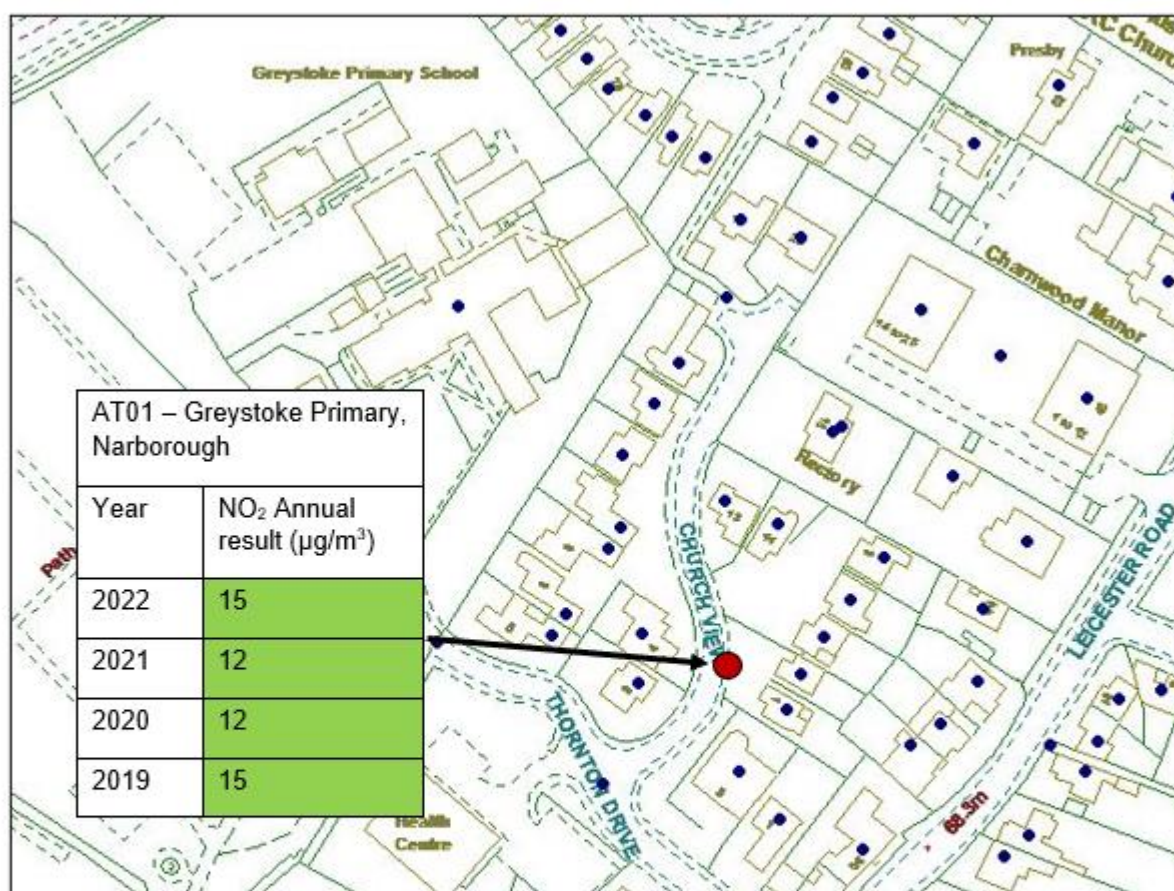


**Figure 17:** Map showing the locations and results of diffusion tubes in Kilby. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

Monitoring in Kilby continued in 2022 and levels remain below the national air quality objective for the pollutant. Monitoring will continue to inform initial concerns.

## Active Travel Tubes:

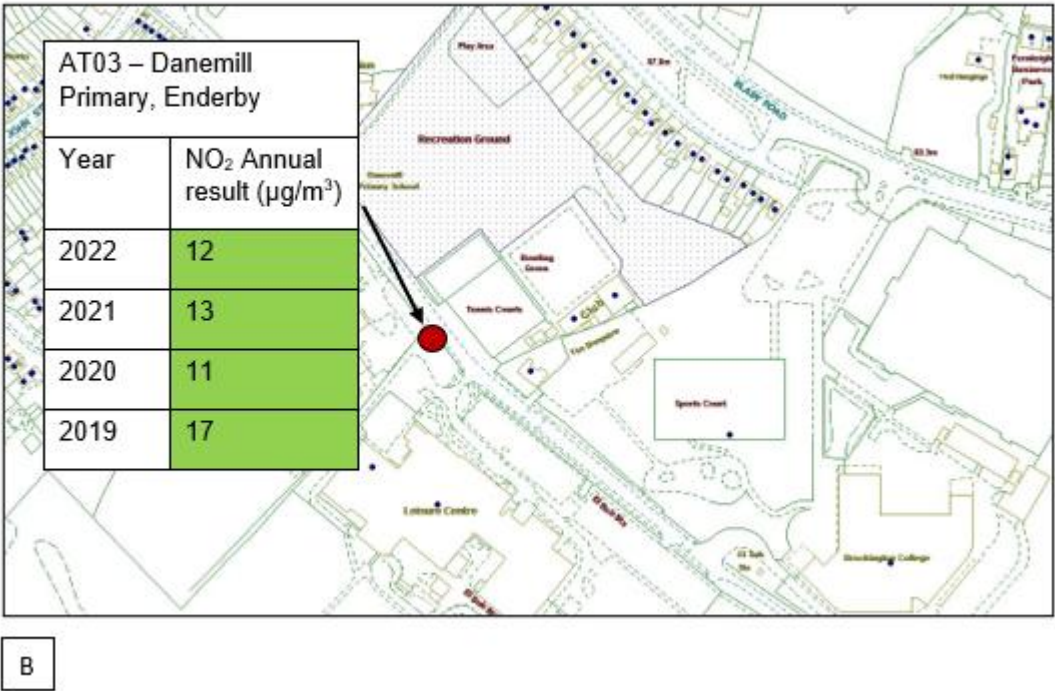
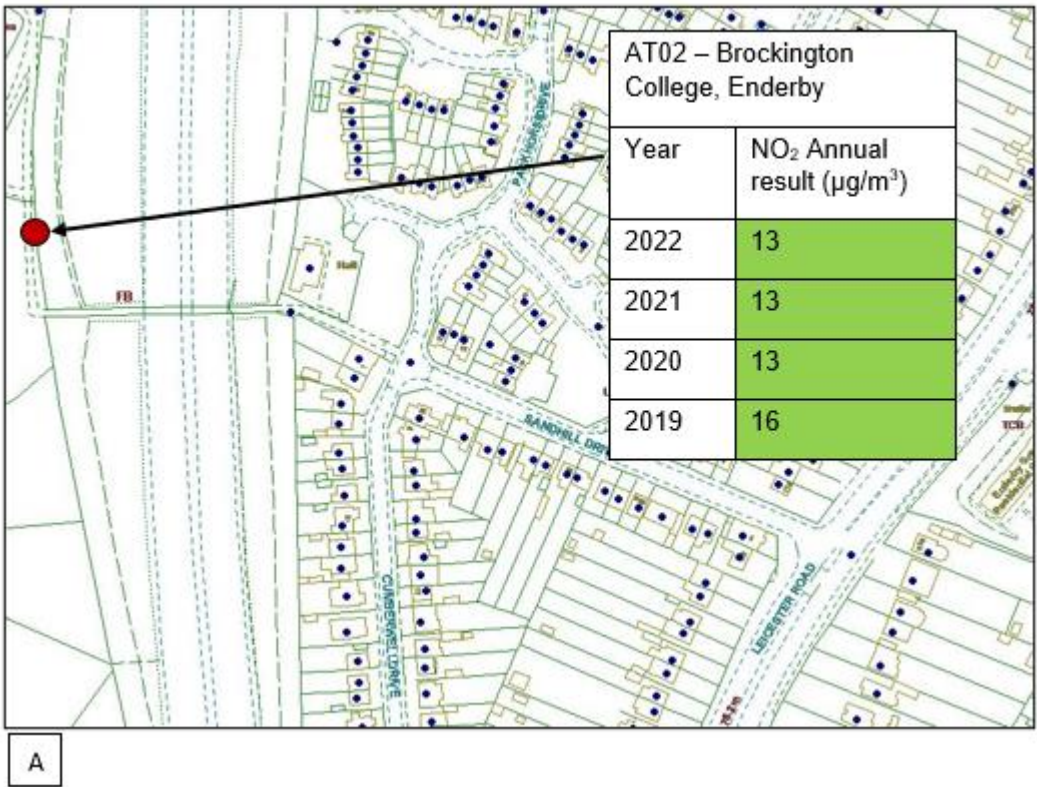
### Narborough:

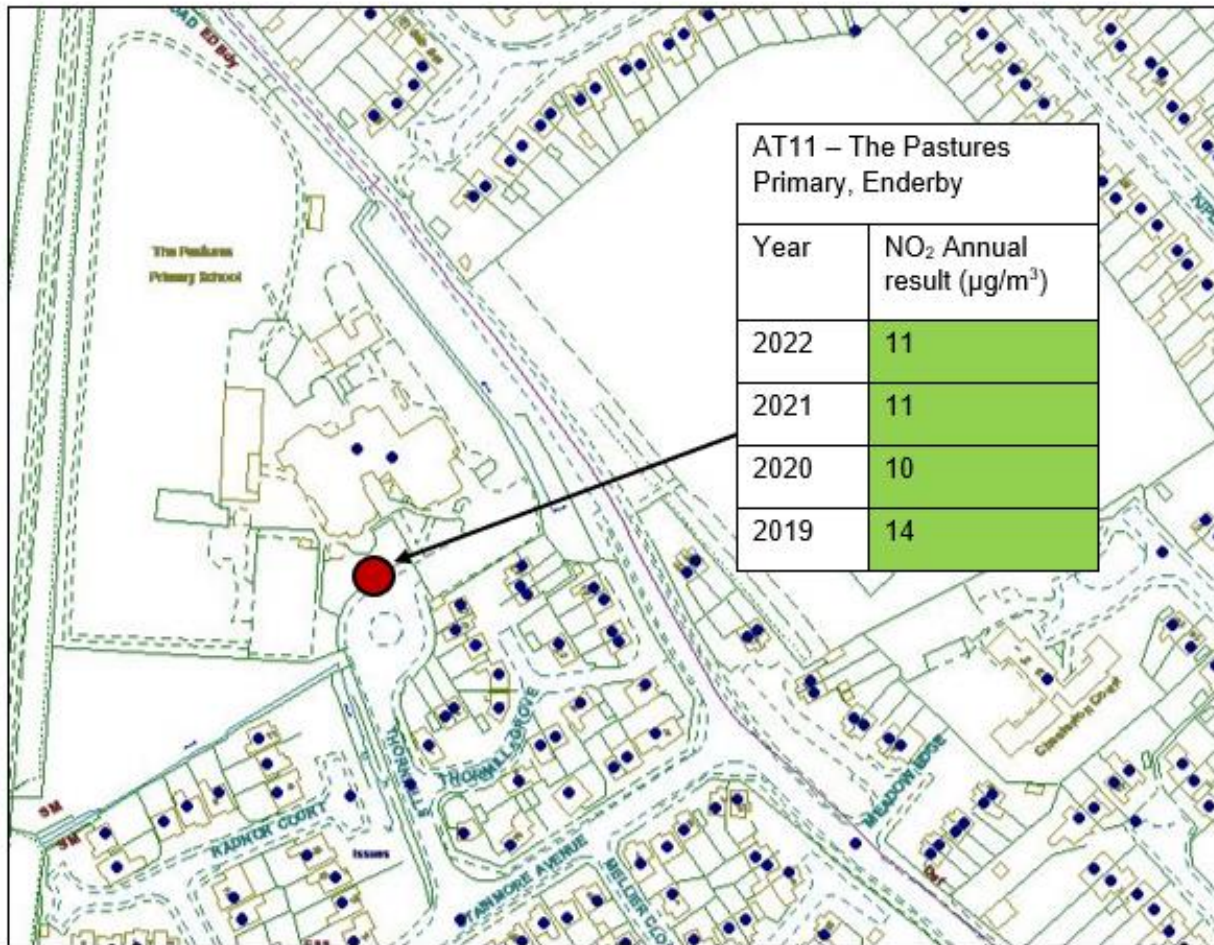


**Figure 1:** Map showing the locations and results of active travel (AT) diffusion tubes in Narborough, including a nearby primary school. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.



Enderby:



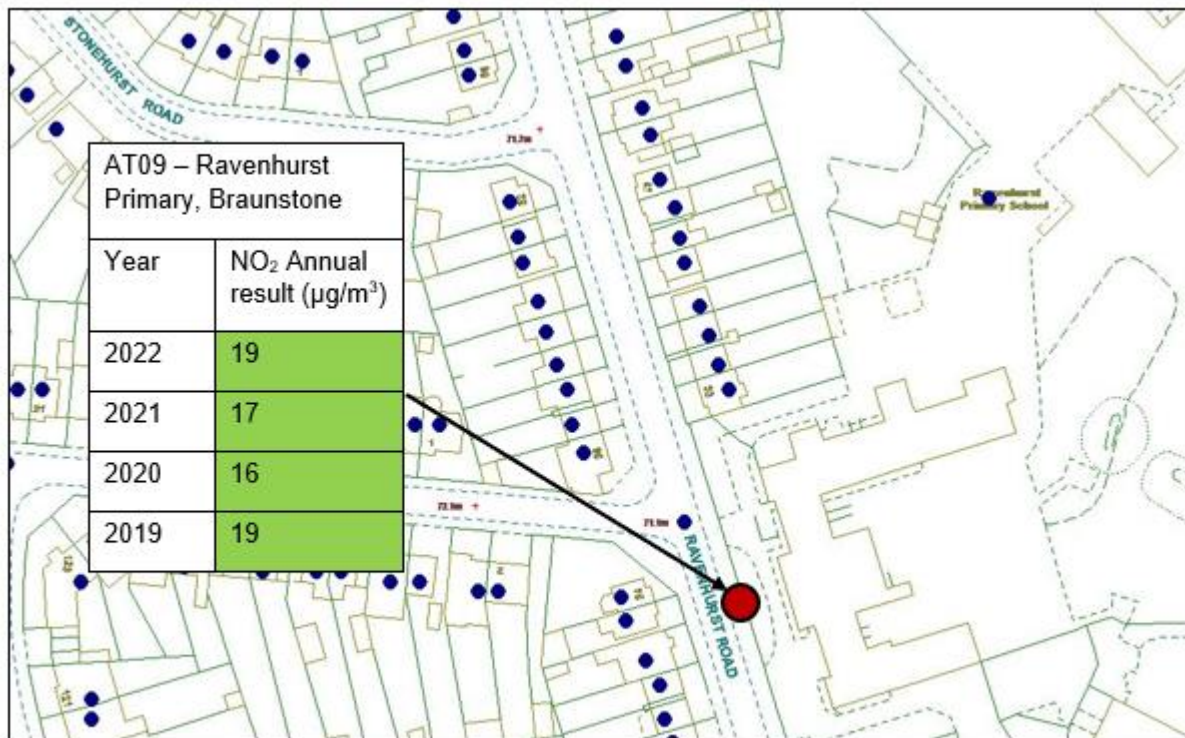


C

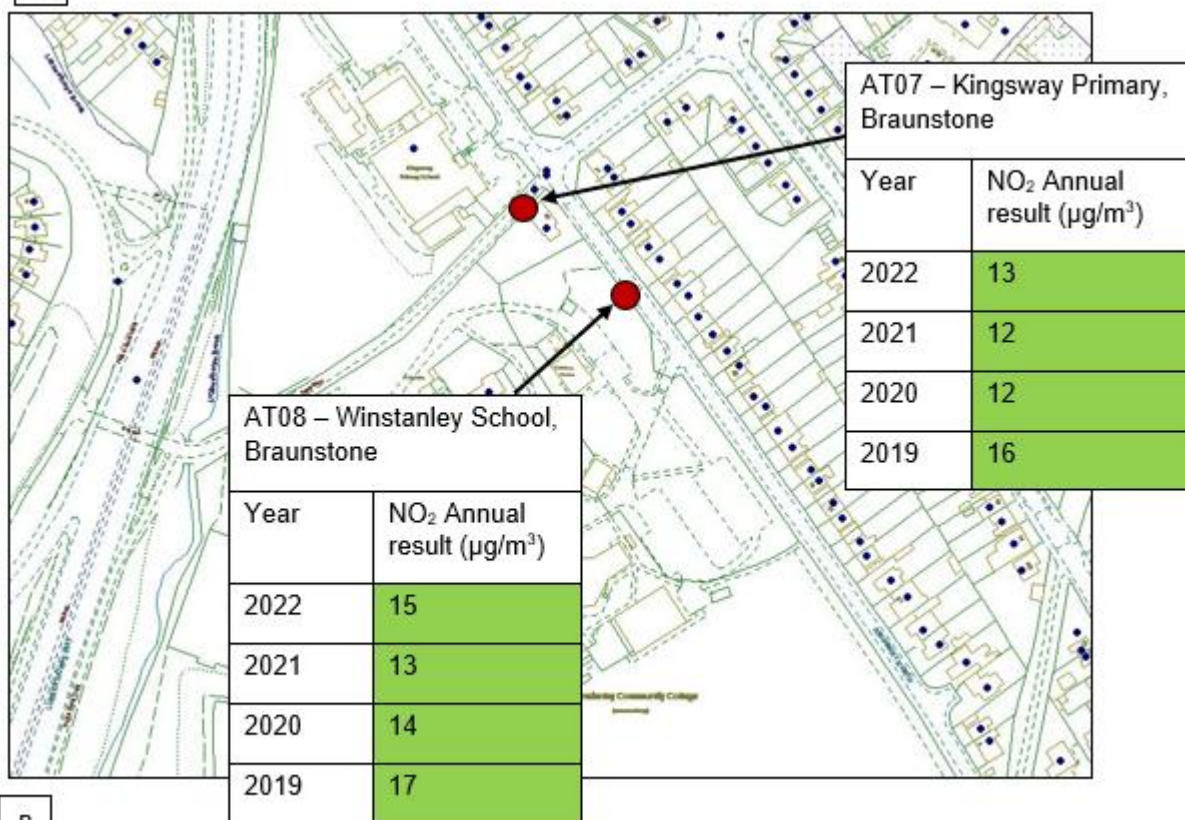
**Figure 2a, b and c:** Maps showing the locations and results of active travel (AT) diffusion tubes in Enderby, including nearby college (top) and primary schools (middle, bottom). Results have been rounded to nearest whole number.  $40 \mu\text{g}/\text{m}^3$  is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.



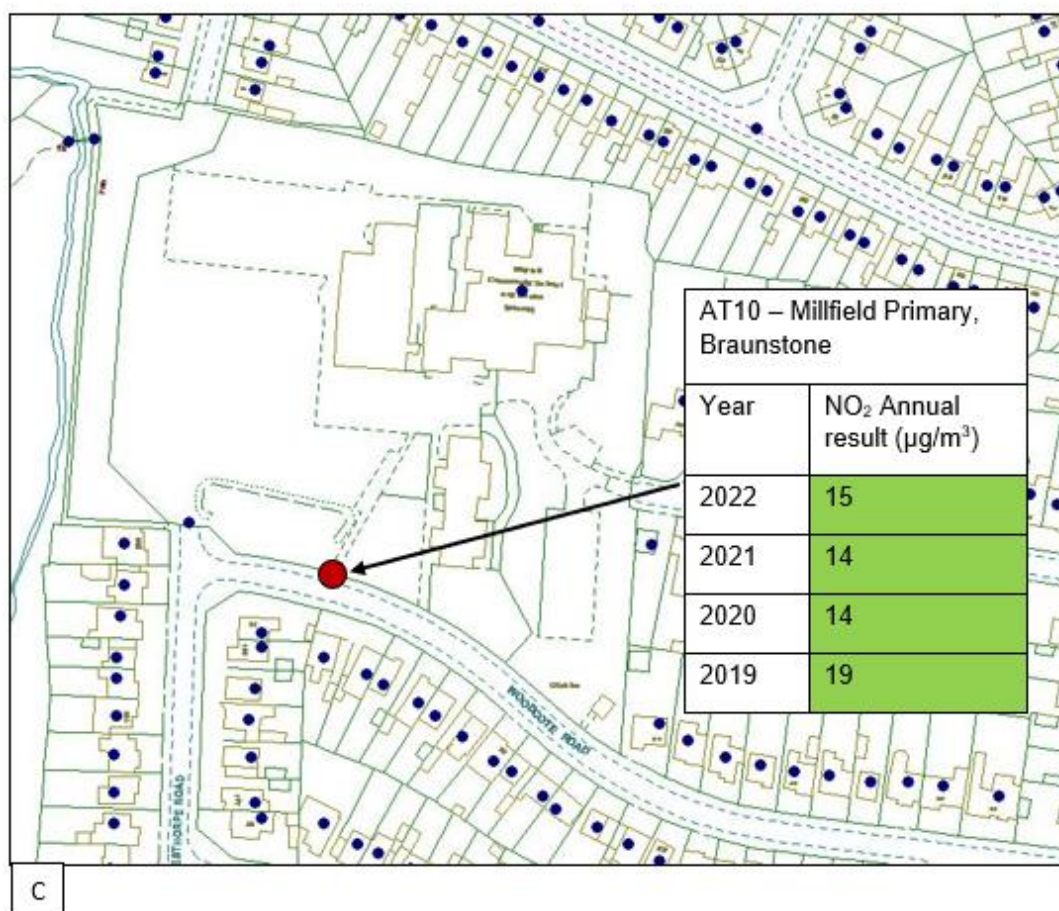
## Braunstone Town:



A



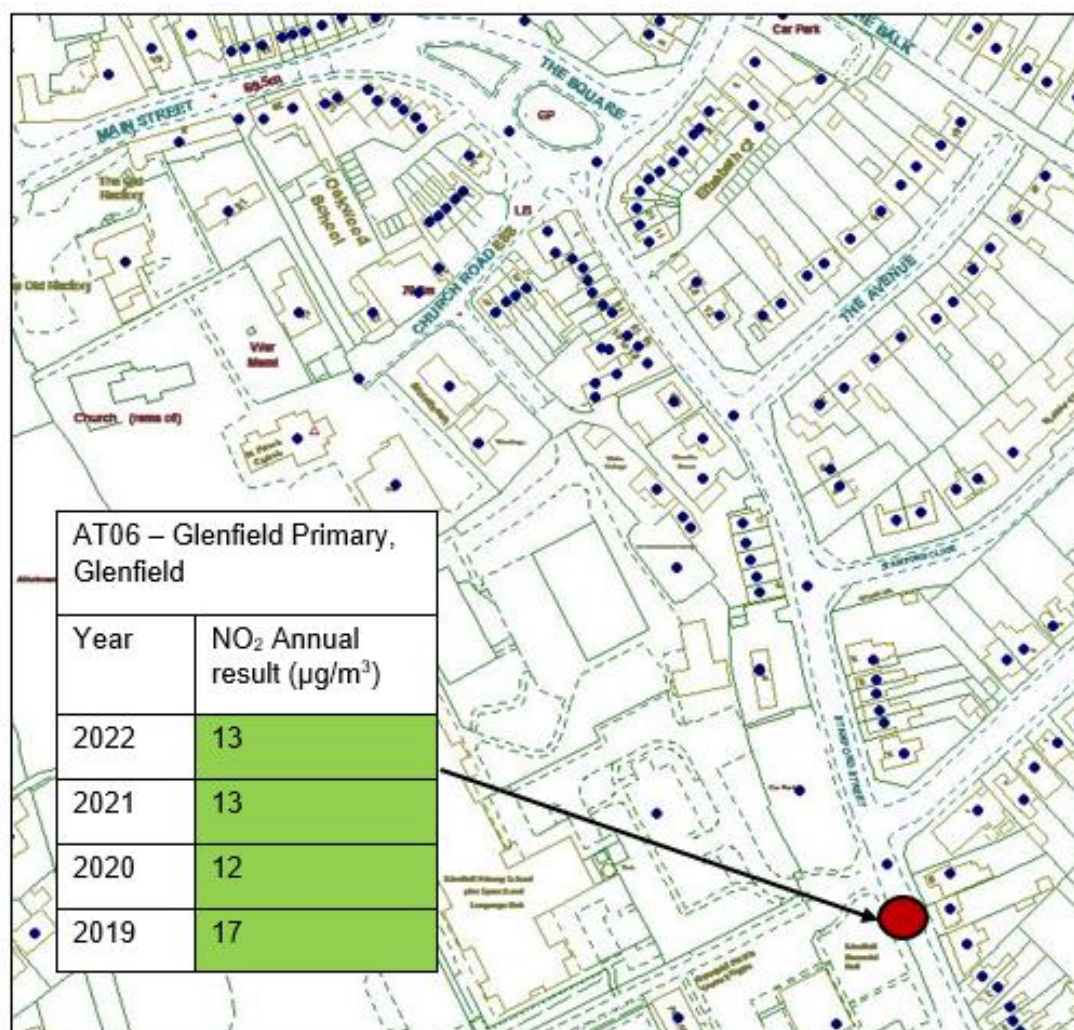
B



**Figure 3a, b and c:** Maps showing the locations and results of active travel (AT) diffusion tubes in Braunstone Town, including nearby primary and secondary schools. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

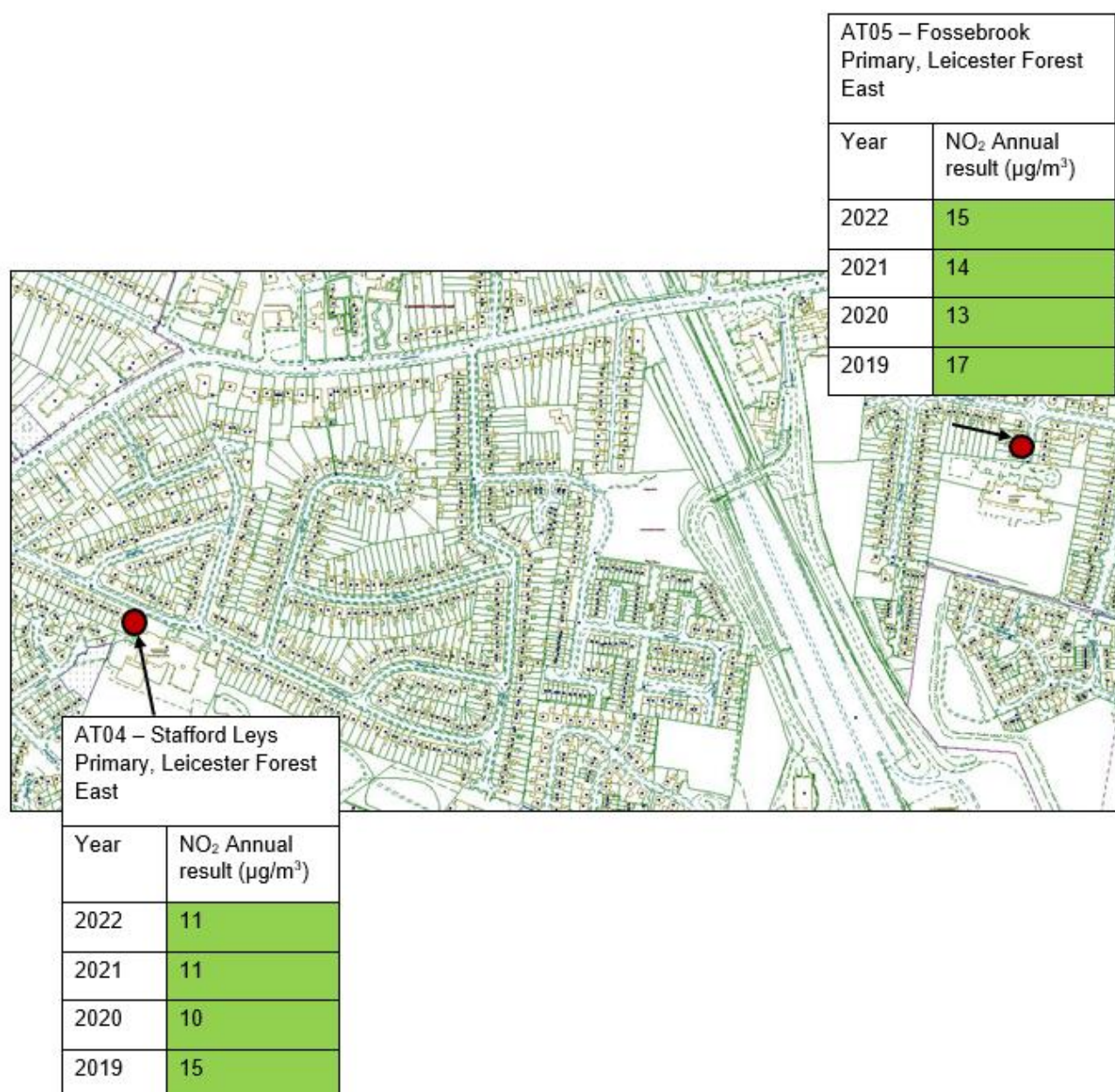


## Glenfield:



**Figure 4:** Map showing the location and results of active travel (AT) diffusion tubes in Glenfield, including a nearby primary school. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

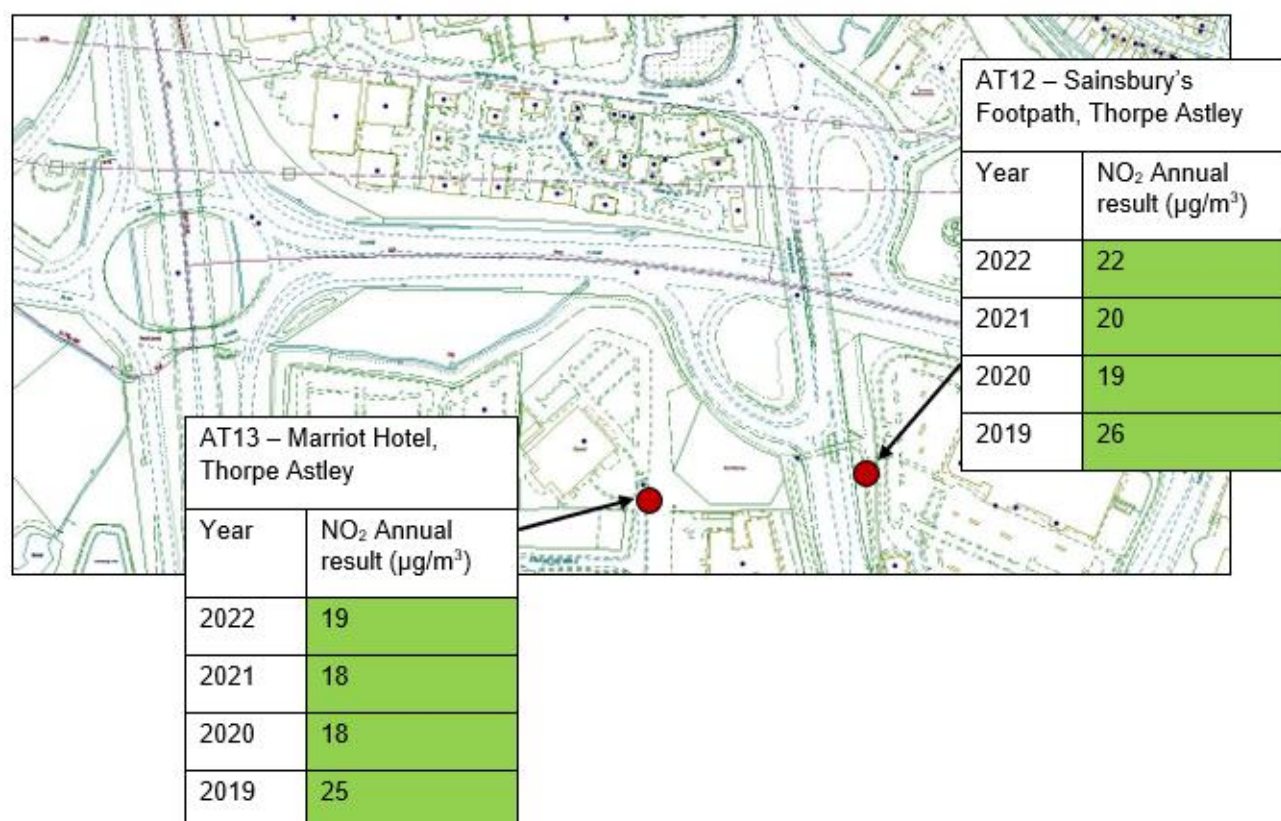
## Leicester Forest East:



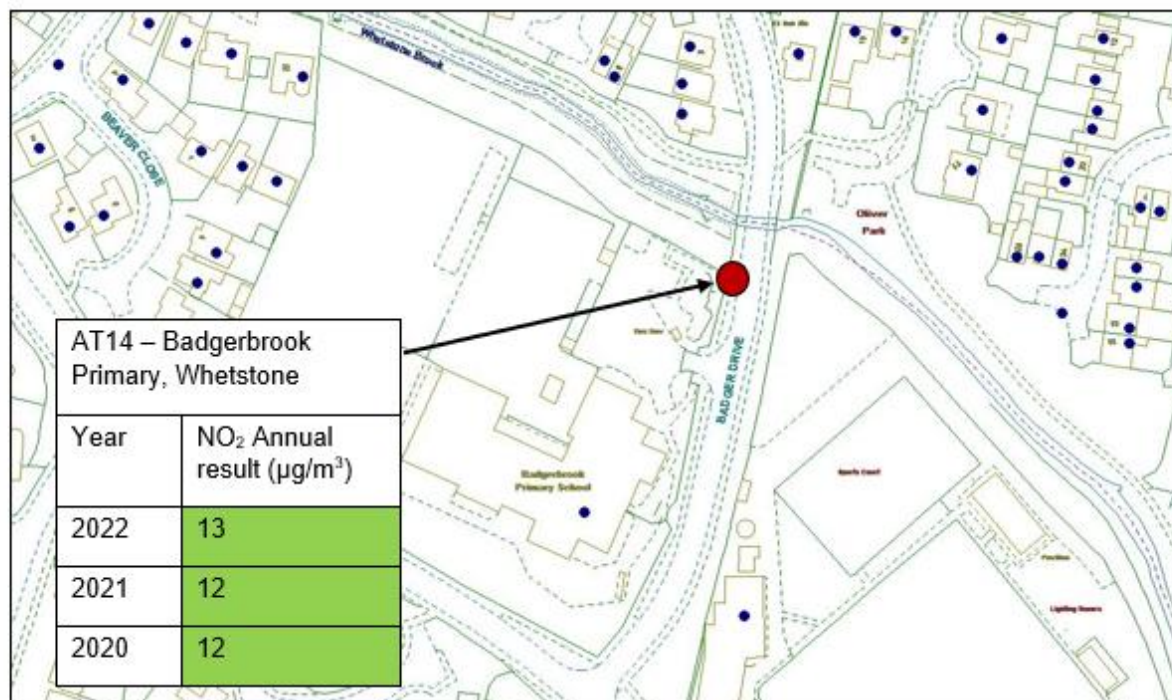
**Figure 5:** Map showing the locations and results of active travel (AT) diffusion tubes in Leicester Forest East, including nearby primary schools. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.



## Thorpe Astley:



**Figure 6:** Map showing the locations and results of active travel (AT) diffusion tubes in Thorpe Astley, including a hotel and a footpath used by local workers. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

**Whetstone:**

**Figure 7:** Map showing the location and results of active travel (AT) diffusion tubes in Whetstone, including a nearby primary school. Results have been rounded to nearest whole number. 40 µg/m<sup>3</sup> is the national air quality objective for this pollutant. © Crown copyright. All rights reserved.

## Appendix E: Summary of Air Quality Objectives in England

**Table E.1 – Air Quality Objectives in England<sup>7</sup>**

Pollutant	Air Quality Objective: Concentration	Air Quality Objective: Measured as
Nitrogen Dioxide (NO <sub>2</sub> )	200µg/m <sup>3</sup> not to be exceeded more than 18 times a year	1-hour mean
Nitrogen Dioxide (NO <sub>2</sub> )	40µg/m <sup>3</sup>	Annual mean
Particulate Matter (PM <sub>10</sub> )	50µg/m <sup>3</sup> , not to be exceeded more than 35 times a year	24-hour mean
Particulate Matter (PM <sub>10</sub> )	40µg/m <sup>3</sup>	Annual mean
Sulphur Dioxide (SO <sub>2</sub> )	350µg/m <sup>3</sup> , not to be exceeded more than 24 times a year	1-hour mean
Sulphur Dioxide (SO <sub>2</sub> )	125µg/m <sup>3</sup> , not to be exceeded more than 3 times a year	24-hour mean
Sulphur Dioxide (SO <sub>2</sub> )	266µg/m <sup>3</sup> , not to be exceeded more than 35 times a year	15-minute mean

<sup>7</sup> The units are in microgrammes of pollutant per cubic metre of air (µg/m<sup>3</sup>).

## Glossary of Terms

Abbreviation	Description
AQAP	Air Quality Action Plan - A detailed description of measures, outcomes, achievement dates and implementation methods, showing how the local authority intends to achieve air quality limit values'
AQMA	Air Quality Management Area – An area where air pollutant concentrations exceed / are likely to exceed the relevant air quality objectives. AQMAs are declared for specific pollutants and objectives
ASR	Annual Status Report
AURN	Automatic Urban and Rural Network
BDC	Blaby District Council
CDTCA	Count Down To Clean Air
Defra	Department for Environment, Food and Rural Affairs
DMRB	Design Manual for Roads and Bridges – Air quality screening tool produced by National Highways
DT	Diffusion Tube
DTDPT	Diffusion Tube Data Processing Tool
EU	European Union
FDMS	Filter Dynamics Measurement System
LAQM	Local Air Quality Management
LSO	Local Site Operator
NAQO	National Air Quality Objective
NO <sub>2</sub>	Nitrogen Dioxide
NO <sub>x</sub>	Nitrogen Oxides
PM	Particulate Matter
PM <sub>10</sub>	Airborne particulate matter with an aerodynamic diameter of 10µm or less
PM <sub>2.5</sub>	Airborne particulate matter with an aerodynamic diameter of 2.5µm or less
QA/QC	Quality Assurance and Quality Control
SO <sub>2</sub>	Sulphur Dioxide



## References

- Local Air Quality Management Technical Guidance LAQM.TG22. August 2022.  
Published by Defra in partnership with the Scottish Government, Welsh Assembly Government and Department of the Environment Northern Ireland.
- Local Air Quality Management Policy Guidance LAQM.PG22. August 2022.  
Published by Defra in partnership with the Scottish Government, Welsh Assembly Government and Department of the Environment Northern Ireland.

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## Appendix B: Map of Proposed Declaration of AQMA 7

As considered in the 2023 Annual Status Report, The following AQMA is proposed to be declared:

- AQMA 7: Lubbesthorpe Road and Narborough Road South Service Road Junction (Figure 1)

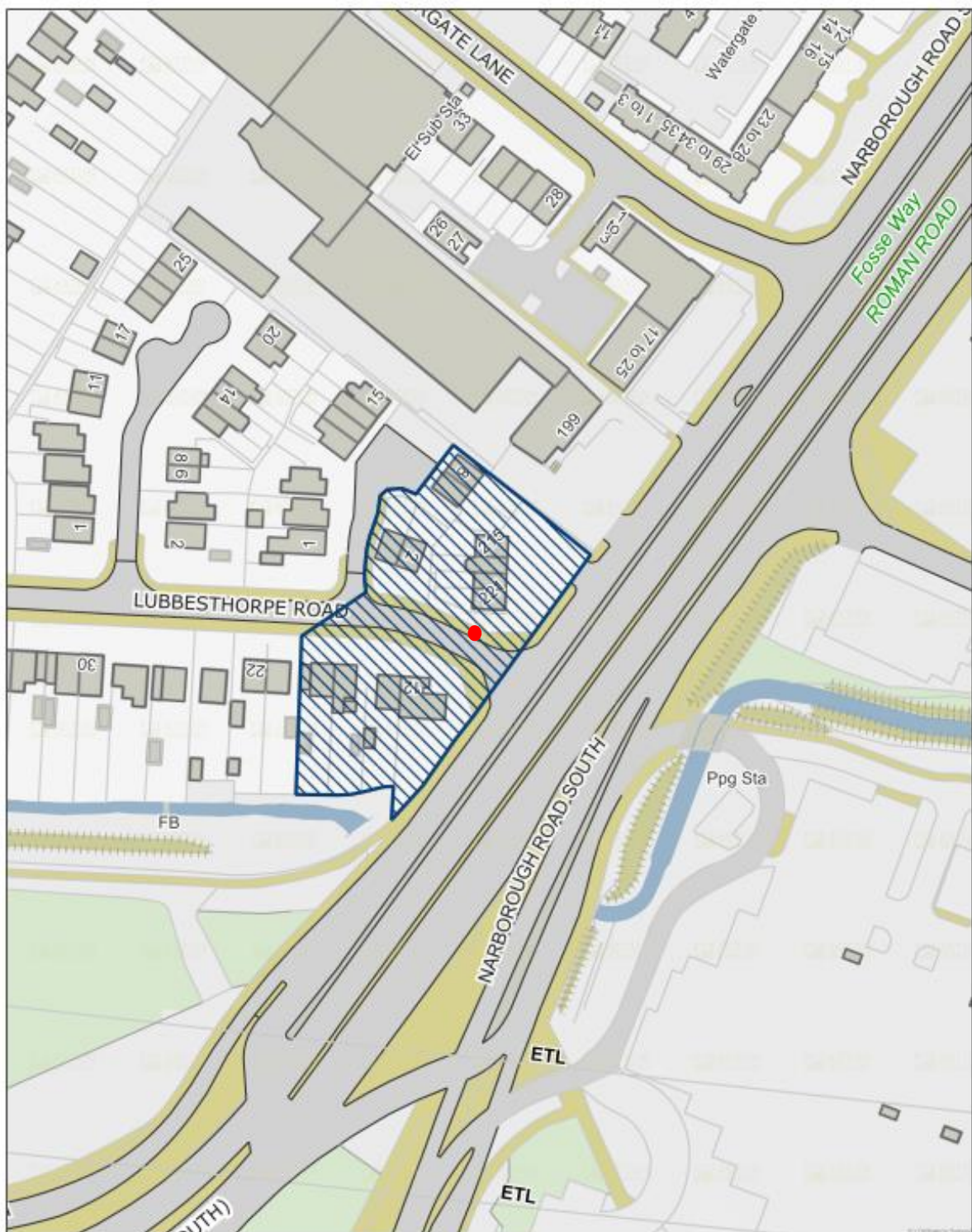


Figure 1: The blue shaded area represents the proposed area of declaration for AQMA 7 around the vicinity of exceedance at CM6 (location represented by red circle).

## Blaby District Council

### Cabinet Executive

**Date of Meeting** 10 July 2023

**Title of Report** **Industrial Action Update Report**

This is a Key Decision and not on the Forward Plan

This is an Urgent Report.

**Lead Member** **Cllr. Terry Richardson - Leader of the Council**

**Report Author** Chief Executive

**Corporate Priority** People Strategy

#### **1. Explanation for Urgency**

- 1.1 This report has not been included in the last Forward Plan. It is a Key Decision. The matter has become apparent since the publication of the Forward Plan the strike action is imminent requiring urgent actions to be put into place. Therefore it is impracticable to defer the decision on this report until after the operative date of the next Forward Plan on which it could appear. Accordingly the General Exception Procedure contained in Part 4 Section 2 Paragraph 9 of the Constitution has been invoked to enable its consideration. The Scrutiny Commissioners have been informed and a public notice has been published on the Council's website and displayed at the Council Offices.

#### **2. What is this report about?**

- 2.1 This report provides an update on the industrial action involving those employees who are members of the GMB union. It outlines our stance to the current strikes and highlights any impacts

#### **3. Recommendation(s) to Cabinet Executive**

- 3.1 Members of Cabinet are asked to note the report.

#### **4. Reason for Decisions Recommended**

- 4.1 To ensure members are informed on the industrial action, impact on our communities and supportive of approach being taken.

## **5. Matters to consider**

### **5.1 Background**

In March we were notified by the GMB union that they would be balloting their members on proposed strike action after submitting a local pay claim. The ballot took place and we were notified of the outcome which was to strike. The Council challenged the outcome of this ballot and the GMB proceeded to re-run this ballot. We were notified of the result of this second ballot in June and the outcome was to strike. Leading up to this point discussions with the Regional Organiser and local representatives had taken place however, no evidence or request was received to properly engage with the mechanisms that are in place to resolve such disputes and we are disappointed with the approach taken by the GMB.

We sought legal advice on the approach and as a result of this sent a letter asking for further information about the ballot, highlighting they had not complied with the GMB agreed guidance on industrial disputes and emphasised the National pay bargaining process which we are committed to. At the time of writing this report we have not received a response to the other issues raised in our legal letter.

We were notified in June that they intended to strike on 4 consecutive Wednesdays: the 28<sup>th</sup> June, 5<sup>th</sup>, 12<sup>th</sup> and 19<sup>th</sup> July. This will obviously impact on those residents in our area that receive Wednesday collections. As members are aware a comprehensive plan was developed as to how best to respond on strike days and to try to limit the impact on our residents.

We value our staff and understand that inflation has had, and continues to have, a significant impact on them. We are supporting our workforce as best we can through financial advice, signposting to support agencies and our mental health support programmes. We have had a regular senior management presence at the depot to ensure excellent communication, support our work force, both those who are striking and those who have chosen not to, and to ensure we have an open dialogue about this with our staff.

We are committed to national bargaining and believe this is the best option for our staff. In National bargaining the Local Government Association agree the pay rises for our staff and liaise with the unions on a national basis including the GMB. In 22/23 a £1925 pay rise was given to staff, this was not a one off but added to their salaries going forwards. In 23/24 the same amount was offered to staff up to grade 9, this has been rejected by the unions and negotiations are ongoing.

Our local GMB have requested a 15% increase in pay on top of what ever is agreed nationally. This is an unreasonable request as the national bargaining is not complete and salary increases are unknown. In addition. A further 15% on top of the national pay would have to be applied to all staff due to equal pay requirements and as such is unaffordable. As stated above we are committed to National Bargaining and our stance has been we

will not negotiate locally, as a local pay agreement would not be in the interests of our staff and also does not reflect the contractual arrangements we have with our staff.

However, we have referred to our normal processes around job evaluation which are open to our staff and the unions to request. In addition we have undertaken benchmarking and shared the result with the union. In comparison to those we benchmarked against our salaries for the roles concerned are reflective of market rates and sit in the middle bracket.

## 5.2 Proposal(s)

That Cabinet note the report and the current position.

## 5.3 Relevant Consultations Senior Leadership Team

## 5.4 Significant Issues

There are legal requirements around how industrial action is dealt with which we have complied with. We have sought legal advice on the GMB approach and are awaiting their response to our communication regarding this. Those on strike are considered a protected characteristic so cannot be discriminated against and we are ensuring this is not the case in our response.

This local pay claim seeks to change the terms and conditions not just of the GMB's workers at this depot, but all workers at the depot and all workers on NJC terms at the Council. Under existing arrangements, they all have their pay determined by national collective agreement. In these circumstances, what the GMB is asking for is that all these workers have their terms determined by a different route. This may amount to a breach of these other individuals' employment contracts (which incorporate a different collective mechanism for determining pay).

A further consequence is that by seeking to bypass the national collective agreement and the collective process for determining pay for these other employees, this could cause the Council to be in breach of s.145B TULR(C)A 1992 and opening up the Council to considerable liability.

## 6. What will it cost and are there opportunities for savings?

- 6.1 There will be costs incurred as a result of the strike but also savings that are realised for not having to pay staff that are on strike for the days of action they take. Further financial information will be provided following the strikes taking place and the certainty around costs is not available at the time of writing the report.

## **7. What are the risks and how can they be reduced?**

### **7.1**

Current Risk	Actions to reduce the risks
Service Disruption	Operational plans are in place to try to limit the impact for our residents, however, there will be disruption to services as a result of the strikes.
Staff morale	Communications plan developed. Enhanced communication with staff impacted by the strikes. Senior management engaging with impacted services to provide support.
Cost	Financial options being worked through
Poor communication	Communication plan in places and signed off.

## **8. Environmental impact**

8.1 There are no environmental impacts arising from this report.

## **9. Other options considered**

9.1 Report is for noting, the only other option considered would be to agree a local pay rise, as outlined above there is significant costs involved in this approach, it is considered not to be in the best interests of the workforce and is not in line with our existing contractual arrangements with our staff

## **10. Other significant issues**

10.1 In preparing this report, the author has considered issues related to Human Rights, Legal Implications, Human Resources, Equalities, Public Health Inequalities, and Climate Local and there are no areas of concern.

10.2 Significant issues relating to human resources and legal and human rights have been addressed at paragraph 5.4.

## **11. Appendix**

11.1 None

## **12. Background paper(s)**

None.

## **13. Report author's contact details**

Julia Smith	Chief Executive and Head of Paid Service
Julia.smith@blaby.gov.uk	0116 272 7576



## Blaby District Council

### Cabinet Executive

<b>Date of Meeting</b>	10 July 2023
<b>Title of Report</b>	<b>Financial Performance 2022/23</b> This is a Key Decision and is on the Forward Plan.
<b>Lead Member</b>	<b>Cllr. Maggie Wright - Finance, People &amp; Performance (Deputy Leader)</b>
<b>Report Author</b>	Finance Group Manager
<b>Corporate Priority</b>	Medium Term Financial Strategy (MTFS)

#### 1. What is this report about?

- 1.1 This report sets out details of the Council's financial performance against the General Fund revenue budget, Business Rates Retention, Council Tax, and the Capital Programme for the year ended 31<sup>st</sup> March 2023.

#### 2. Recommendation(s) to Cabinet Executive

- 2.1 That the financial performance for 2022/23 is accepted.
- 2.2 That the debts listed in paragraph 4.5 are approved for write-off.
- 2.3 That the "Covid Support Reserve" is redesignated as the "Contractual Losses Support Reserve" and £445,000 of the current balance is transferred to General Fund balances.

#### 3. Reason for Decisions Recommended

- 3.1 The unaudited accounts for 2022/23 were published on 31<sup>st</sup> May, with Blaby being amongst only 30% of authorities to meet the statutory deadline. Whilst the accounts are still subject to external audit, it is important to give Members early sight of the outturn to assist with the financial planning process.
- 3.2 The debts listed in paragraph 4.5 are considered to be uncollectable and the amounts involved are above the limit up to which they may be written off by the Executive Director (Section 151) and Portfolio Holder.
- 3.3 In response to Scrutiny's recommendations concerning the administration's budget proposals for 2023/24, it was agreed that earmarked reserves would be reviewed at year end to assess whether they are still required or adequately reflect the purpose for which they are held.

## **4. Matters to consider**

### **4.1 Background**

The Council's net expenditure for 2022/23 is summarised by Portfolio in Appendix A, with a more detailed breakdown of the main variances shown below.

When the Quarter 3 budget review report was presented to Cabinet Executive in February 2023, the forecast outturn was that a contribution from balances of £715,058 would be required. This was on the back of various cost pressures arising out of the current economic climate, including increased fuel prices, the war in the Ukraine, spiralling inflation, and various key income streams struggling to recover to pre-pandemic levels. At that point it was recognised that there was a risk that some of the more demand-led income streams could fail to improve by the end of the financial year. By year end, further updates resulted in a slight reduction in the contribution from balances from £715,058 to £652,958.

However, despite this challenging economic environment, the Council has managed to achieve a slight surplus for 2022/23, resulting in a contribution to balances of £20,535. This surplus has arisen due, primarily, to vacant posts during the financial year, and investment income performing significantly better than budgeted as interest rates have continued to rise. Although this is a positive outcome for 2022/23, it should be noted that the economic climate is still creating a great deal of uncertainty and there are a number of ongoing cost pressures that may affect the Council's financial position in 2023/24.

The first of these is that the annual pay award has yet to be agreed for all employees and there is a strong likelihood that the budgeted pay award of 3% will be insufficient. For every 1% that the pay award exceeds the budget, the cost will be approximately £145,000. Whilst vacant posts may reduce the financial impact, they create additional pressure on the rest of the workforce and can affect service delivery standards unless filled quickly.

In addition to this, many of our key income streams, such as planning, building control, and car parking fees, have not returned to pre-pandemic levels. There is also a continuing high demand for temporary accommodation which results in pressure on the Housing Service and, in financial terms, on housing benefit subsidy recoverable.

The most significant variances against the revised budget are set out in the following paragraph.

## Expenditure Variances

The variances against the revised budget are detailed below. These have been adjusted to reflect unspent budgets carried forward to 2023/24, and contributions to earmarked reserves.

	Note	Variance (£)	
<b><u>Reduced Expenditure</u></b>			
Establishment	1	(466,299)	
Revenue Funding of Capital Expenditure	2	(145,281)	
Local Plan	3	(59,233)	
Revenues & Benefits IT Costs	4	(54,531)	
Homelessness Costs	5	(54,470)	
Economic Development	6	(40,080)	
Legal Fees	7	(39,913)	
Training Costs	8	(36,281)	
Interest Payable	9	(32,161)	
Planning Consultants Fees	10	(23,064)	
Purchase of Domestic Bins	11	(20,614)	
			(971,927)
<b><u>Additional Income</u></b>			
Investment Income		(378,213)	
Building Control Partnership Contributions	12	(115,874)	
New Burdens Funding - Business Grants	13	(101,453)	
New Burdens Funding - Council Tax Energy Rebate	13	(34,288)	
New Burdens Funding - Test and Trace	13	(31,674)	
			(661,502)
<b><u>Increased Expenditure</u></b>			
Housing Benefit Payable net of Subsidy	14	315,773	
Enderby Road Industrial Estate	15	134,071	
Bad Debt Provision and Write-offs	16	42,531	
Treasury Management Consultancy – MRP Policy	17	40,000	
Fuel	18	34,849	
			567,224
<b><u>Reduced Income</u></b>			
Building Control		215,498	
Planning		95,388	
Car Parks		82,250	
Land Charges		34,111	
			427,247
Other minor variances			34,535
<b>Net Variance</b>			<b>(673,493)</b>

## Notes re variances

1. Establishment – in the wake of the pandemic, the Council continues to experience significant turnover in its workforce, although on the whole recruitment difficulties have eased. Nevertheless, vacancies across the board but particularly noticeable in Neighbourhood Services, and Environmental Services, have resulted in a considerable underspend against the establishment budget, even after allowing for the pay award. Additional resource was added to the budget early in the financial year towards the management restructure exercise, but delays in recruiting also contributed to the underspend.
2. Linked to underspends in the capital programme, mainly the Walk and Ride Blaby project funded from the business rates pilot. Funding for these projects is already allowed for in earmarked reserves.

3. Provision for consultancy costs, training, and legal fees not required in year. Funding for these items is held within the Local Plan Reserve and is likely to be needed in future financial years, as the Local Plan is developed.
4. Comprises two elements – sundry IT purchases, and software maintenance. The former was largely brought forward from 2021/22 on the back of additional funding received and in anticipation of additional requirements due to various government schemes in play. Not all of this money was required, and those schemes have now closed. The saving against software maintenance is due to the contract for the new system, including document management system, being finalised later than anticipated.
5. Although bed and breakfast accommodation costs exceeded the budget by £85,000, the Council was able to recover a larger than expected proportion through housing benefit. See also note 14.
6. Budget brought forward from 2021/22 and not needed.
7. Provision for external legal fees not required.
8. Includes approximately £12,000 in respect of corporate training and post entry training provisions, plus various other service-specific training budgets not used.
9. Interest payable fell within budget due to no external borrowing being taken up in year.
10. This budget covers professional support in respect of forestry advice, archaeological and ecological advice, conservation and historic buildings, and various other one-off work in relation to, e.g., planning appeals.
11. The Council makes budget provision for purchasing bins for new properties or to replace lost and damaged bins. The amount required will vary according to demand and growth in the district.
12. See paragraph covering the Leicester Building Control Partnership below.
13. New burdens funding is generally provided by the government to cover administrative costs arising from new initiatives. This has been quite substantial over the last three financial years due to the introduction of various measures during the pandemic and, more recently, the energy bill support scheme. By taking this funding into balances we recognise that internal resource was used to deliver these initiatives, in addition to some low-level external costs. All these schemes are now closed and no further associated costs are anticipated.
14. Linked to homelessness and the provision of bed and breakfast accommodation. There has been considerable pressure on the Housing team to provide temporary accommodation for homeless families and individuals. Whilst we have been quite successful in recovering much of the cost through housing benefit, there is a knock-on impact on our ability to reclaim those costs through housing benefit subsidy. This is because there is a rent cap in place that limits the amount of subsidy recoverable, and as a result in recent years we have seen a widening gap between the amount of benefit paid and the amount that we can recoup from government. This will need to be factored into the budget setting process going forward.

15. Increased costs in relation to the management and maintenance of the industrial estate, in particular when units become vacant. The Council has seen an increase in the number of vacant units in the last year, leading to additional fees payable to the managing agent, business rates payable on vacant units, and unrecoverable repair costs.
16. Based on a review of outstanding debts on 31<sup>st</sup> March 2023. Most of the balance shown in the table (£36,005) relates to historic rent deposits given to customers to assist them in securing rented accommodation.
17. Fee payable to our treasury advisors, Link, for services rendered in reviewing and putting together a proposal around the calculation of Minimum Revenue Provision (MRP).
18. Additional costs linked to the higher margin payable in respect of HVO.

### Key Income Streams

The following table provides an analysis of the performance of the Council's key income streams during the year:

	<b>Approved Budget (£)</b>	<b>Revised Budget (£)</b>	<b>Actual Income (£)</b>	<b>Variance against Approved Budget (£)</b>	<b>Variance against Revised Budget (£)</b>
Planning Fees	(560,000)	(560,000)	(464,613)	95,388	95,388
Building Control Fees	(1,237,000)	(1,237,000)	(1,021,502)	215,498	215,498
Land Charges	(247,000)	(247,000)	(212,889)	34,111	34,111
External Investment Interest	(100,000)	(400,000)	(778,213)	(678,213)	(378,213)
Refuse and Recycling	(1,691,000)	(1,688,000)	(1,675,049)	15,951	12,951
Car Parks	(160,000)	(245,500)	(163,250)	(3,250)	82,250
Leisure Income	(460,000)	(300,550)	(327,649)	132,351	(27,099)
<b>Total</b>	<b>(4,455,000)</b>	<b>(4,678,050)</b>	<b>(4,643,165)</b>	<b>(188,164)</b>	<b>34,886</b>

**NB: brackets indicate excess income.**

Some of our key income streams have failed to recover from the pandemic, and this situation has now been exacerbated by the current economic crisis. As inflation reached double figures during 2022/23, the impact was felt on demand for our services with Building Control and Land Charges, which had previously held up well during the pandemic, seeing reduced take-up. Only investment income has significantly outperformed the budget due to the combined effect of higher interest rates and a level of cash flow inflated by on account grant payments from government.

The above table does not show the full picture in respect of the Building Control Partnership or the Car Park Account, further detail on which is provided later in this report.

### Carry Forward of Unspent Budgets

As part of the closedown process an exercise has been undertaken to identify where it is reasonable to carry forward unspent budgets from 2022/23 to the new financial year. As a rule, this applies to one-off project related budgets, which are usually externally funded. A total of £3,604,756 has been carried forward to 2023/24, of which £3,255,290 relates specifically to external funding, which is ring fenced and cannot be used for anything other than what it is initially intended for. Included within this amount are two significant grants from DEFRA (Particulates Matter and Let's Go Electric) for £728,822, and the Better Care Fund (Lightbulb Green Grants) for £675,000, as well as unspent UK Shared Prosperity Fund monies.

### Leicestershire Building Control Partnership

The table below provides a summary of the partnership account for 2022/23.

	Original Budget £	Final Outturn £	Variance £
Employee Costs	1,219,800	1,166,971	(52,829)
Transport Costs	51,300	50,957	(343)
Supplies and Services	30,800	15,485	(15,315)
Blaby Overheads and Support Services	61,100	61,100	0
Total Expenditure	1,363,000	1,294,512	(68,488)
Total Income	(1,237,000)	(1,021,502)	215,498
<b>Net Expenditure</b>	<b>126,000</b>	<b>273,010</b>	<b>147,010</b>
Partner Contributions	(99,314)	(215,187)	(115,873)
<b>Cost to Blaby</b>	<b>26,686</b>	<b>57,823</b>	<b>31,137</b>

The cost-of-living crisis had a clear impact on demand for the Building Control Partnership's services and, consequently, the income achieved during the year was much reduced compared to the target set in the business plan. The loss in income was offset to some degree by vacancies within the team, and other non-salary related expenses. The agreement that partners signed up to is that any losses will be shared in accordance with the application data from the previous three years. Therefore, although a total loss of £147,010 was returned, Blaby's share of that loss was limited to £31,137.

## Car Parking Account

The following table sets out the net position in relation to the car parking account in 2022/23.

	Revised Budget £	Final Outturn £	Variance £
Premises Costs	103,441	112,019	8,578
Supplies and Services	60,914	37,031	(23,883)
Enforcement Contract	55,186	38,972	(16,214)
Overheads and Support Services	82,814	98,703	15,889
Capital Financing Costs	22,740	22,740	0
<b>Total Expenditure</b>	<b>325,095</b>	<b>309,465</b>	<b>(15,630)</b>
Contributions towards Expenses	(1,500)	0	1,500
Fees and Charges	(245,500)	(163,250)	82,250
Penalty Charge Notices	(30,000)	(21,635)	8,365
<b>Total Income</b>	<b>(277,000)</b>	<b>(184,885)</b>	<b>92,115</b>
<b>Net (Surplus)/Deficit</b>	<b>48,095</b>	<b>124,580</b>	<b>76,485</b>

The car parking account has moved further away from the target of breaking even, largely because of the shortfall in income during 2022/23. Although parking charges were increased from 5<sup>th</sup> October 2022, and overall income has increased as a result, car park usage has still not returned to the level it was at before the pandemic. Neighbouring authorities are known to have experienced similar reductions in car park income since the pandemic.

## Earmarked Reserves

In addition to the General Fund balance the Council also maintains several Earmarked Reserves. Some of these are set aside for specific purposes whilst others have been created to mitigate the uncertainties that still surround local government funding and to support Spend to Save opportunities. A detailed breakdown of the movement on Earmarked Reserves appears at Appendix B. The overall balance on Earmarked Reserves has decreased from £14,080,669 at the beginning of the financial year to £12,735,996 on 31<sup>st</sup> March 2023. However, it should be noted that £1,516,792 of the year-end balance is technically not available for use. This is the balance set aside, as described in the following paragraph – Business Rates Retention – to mitigate the Collection Fund deficit on 31<sup>st</sup> March 2023.

As part of the 2023/24 budget setting process, Scrutiny recommended that unspent earmarked reserves are reviewed to determine whether they are all still required. Cabinet's response was that earmarked reserves are routinely reviewed at each year end, when they are assessed to ensure that they are still required and/or they are reflective of the purpose for which they are maintained. This review has been undertaken by the Executive Director (Section 151) and, whilst most reserves are still needed, it is considered that the "Covid Support Reserve" should be repurposed to act as a reserve to mitigate the contractual losses arising from the revised Leisure Management contract, with any balance being returned to General Fund balances.



On 19<sup>th</sup> July 2022, Council was presented with a report setting out the new contractual arrangements for the management of the leisure centres. This included a revised management fee proposal amounting to £4,413,055 which, when compared to the amount included in the Medium-Term Financial Strategy (MTFS) at that time, resulted in a reduction in contract income of £253,975. Due to positive financial performance for 2022/23, there was no need to support the General Fund from earmarked reserves. However, it is proposed that the “Covid Support Reserve” is redesignated as the “Contractual Losses Support Reserve”, and £255,000 of the current balance is retained to offset future losses against the MTFS. The balance of £445,000 would consequently be returned to General Fund balances.

#### General Fund Balances

As a result of the outturn referred to above, £20,535 has been added to the General Fund balance. This leaves a year-end balance of £4,619,444, representing 35.91% of the budgeted net revenue expenditure for 2022/23, but only 29.90% when considering planned contributions to support the budget in 2023/24. The Council’s upper limit, set as part of its policy on reserves, is 35%.

#### 4.2 Business Rates Retention

When setting the budget for 2022/23 it was expected that business rates income would be approximately £50.3m, of which Blaby’s share would be £20.1m (40%). This allowed for ongoing retail relief to certain businesses although at a much-reduced level compared to the two previous years. There was also the COVID-19 Additional Relief Fund (CARF) for which Section 31 grant funding was carried over from 2022/23, and this amounted to £2.3m, which was paid to businesses that met the Council’s criteria in 2022/23.

The outturn income from business rates in 2022/23 was £51.2m of which Blaby’s share was just under £20.5m. The difference between the budgeted NNDR income and the outturn position flows through the Collection Fund, resulting in a reduction to the deficit. This will then be taken into account when setting the budget for 2024/25. Out of the income share of £20.1m, the Council is required to pay a tariff to central government (£14.5m) and a levy on growth (£2.9m – including an adjustment to the 2020/21 levy), giving a net income from business rates of £2.7m. This is supplemented by Section 31 grant compensation in respect of various reliefs implemented by government (£2.8m). The Council also has to make good its share of the estimated deficit at 31<sup>st</sup> March 2022, which equates to a further £2.8m, although this is covered by the Section 31 Grant Reserve. A further £0.7m was added to the NNDR Income Reserve to bring the net of all NNDR-related transactions to the £4.7m estimated when the budget was set.

The following table below shows the main variances between the estimated position on the NNDR1 return, and the final outturn.

	<b>NNDR 1</b> <b>£</b>	<b>NNDR 3</b> <b>£</b>	<b>Variance</b> <b>£</b>
Gross Rates Payable	(59,956,228)	(57,555,344)	2,400,884
Transitional Arrangements	0	(276,095)	(276,095)
Mandatory Reliefs	2,699,337	2,882,614	183,277
Discretionary Reliefs	84,694	88,028	3,334
Unoccupied Property	1,500,000	688,322	(811,678)
Discretionary Relief funded by S31 Grant	1,786,317	3,028,994	1,242,677
<b>Net Rates Payable</b>	<b>(53,885,880)</b>	<b>(51,143,481)</b>	<b>2,742,399</b>
Provision for Bad Debts/Write-offs	539,000	(234,917)	(773,917)
Provision for Appeals	2,964,000	(155,000)	(3,119,000)
Transitional Protection Payments	0	276,095	276,095
Cost of Collection Allowance	104,065	102,129	(1,936)
<b>Non-Domestic Rating Income</b>	<b>(50,278,815)</b>	<b>(51,155,174)</b>	<b>(876,359)</b>

Gross rates payable were £2.4m lower than forecast but this was largely due to the impact of the CARF applied to the accounts of eligible businesses. This is reflected in the amount of discretionary relief funded by S31 grant in the table above. Caution was exercised when completing the NNDR1 return in respect of the potential for businesses to close due to the pressures of the cost-of-living crisis. Ultimately, though, this did not materialise to the extent that was expected. The bad debt provision for arrears was reduced at year end, in light of the collection experience during the year, and the level of arrears outstanding at year end. Similarly, a review of outstanding appeals at 31<sup>st</sup> March 2023, together with the threat of potential appeals coming forward, concluded that the existing provision was broadly sufficient given that a new rating list was introduced on 1<sup>st</sup> April 2023.

In overall terms, the Business Rates Collection Fund has moved from a deficit of £11,035,638 on 31<sup>st</sup> March 2022 to a reduced deficit of £3,238,781 on 31<sup>st</sup> March 2023. Blaby's share of that deficit is £1,295,511 (£4,414,254 on 31<sup>st</sup> March 2022).

Due to the way in which local authorities are required to account for business rates income, the year-end deficit will not be felt until 2023/24 and beyond. The Council has already allowed for an estimated deficit of £1,313,331, when setting the 2023/24 budget; the difference between the estimated deficit and actual deficit will be brought into account in the 2024/25 budget setting process. There is a balance of £1,516,792 remaining in the Section 31 Grant Reserve, which will cover Blaby' share of the actual deficit on 31<sup>st</sup> March 2023.

#### 4.3 Council Tax

The Council Tax Collection Fund has moved from a deficit of £730,652 on 31<sup>st</sup> March 2022 to a deficit of £829,079 at the end of 2022/23. This represents an in-year deficit of £98,427. The outturn position was not as good as than anticipated when setting the 2023/24 budget (£453,150). This is because the net debit was lower than expected, and bad debts written off in the last quarter also had a negative impact on the final position.

Blaby's share of the deficit on 31<sup>st</sup> March 2023 is £117,574 compared with the previous year deficit share of £104,874.

Accounting for council tax is similar to NNDR, in that any difference between the estimated income and the outturn income flows through the Collection Fund in the form of a surplus or deficit. That surplus or deficit will then be factored in when setting the 2024/25 budget.

#### 4.4 The Capital Programme

In 2022/23 the Council spent £2,331,693 on Capital schemes, compared with the latest Capital Programme budget of £7,781,175. This represents an underspend of £5,449,482 or 70.04% against planned capital expenditure, of which £5,439,203 has been carried forward to 2023/24 to enable the schemes to be completed.

Appendix C shows expenditure against the budget by scheme.

<b><u>Capital Expenditure:</u></b>	<b>Approved Budget £</b>	<b>Revised Budget £</b>	<b>Actual Outturn £</b>	<b>(Under)/ Overspend £</b>
Invest to Save Schemes	0	2,721,917	199,175	(2,522,742)
Essential/Contractual Schemes	1,690,500	2,738,108	1,159,610	(1,578,498)
Desirable Schemes	0	220,000	20,000	(200,000)
Externally Funded Schemes	700,000	2,071,531	952,908	(1,118,623)
Other Schemes	12,000	7,685	0	(7,685)
Contingency Budget	50,000	21,934	0	(21,934)
<b>Total Capital Expenditure</b>	<b>2,452,500</b>	<b>7,781,175</b>	<b>2,331,693</b>	<b>(5,449,482)</b>
<b><u>Financed by:</u></b>				
Borrowing	1,118,500	4,665,760	910,265	(3,755,495)
Capital Receipts	534,000	387,495	135,837	(251,658)
Earmarked Reserves	0	264,714	224,514	(40,200)
Revenue Contributions	100,000	153,171	43,005	(110,166)
External Funding	700,000	2,310,035	1,018,072	(1,291,963)
<b>Total Capital Financing</b>	<b>2,452,500</b>	<b>7,781,175</b>	<b>2,331,693</b>	<b>(5,449,482)</b>

The main variances against budget are as follows:

- Regeneration Property - £2,500,000 approved by Council in November 2022. No appropriate opportunities for investment arose during 2022/23.
- Disabled Facilities Grants (DFGs) – Underspend of £758,526. Expenditure has increased in comparison to recent years, but this is largely due to the impact of inflation on labour and materials prices. There is still a waiting list with Adult Social Care occupational therapists to undertake assessments.
- Refurbishment of vacant units at industrial estate - £450,000. Planned to commence in March 2023 to let the units to a prospective new tenant by 1<sup>st</sup> April. Discussions with the prospective tenant continued and agreement

made for the start date to be extended so that more extensive works could be undertaken to make the units fit for purpose before letting.

- Section 106 Contributions - £289,617: A total of £243,715 was carried forward from 2021/22 with additional contributions to the value of £125,194 being allocated to various community projects during the financial year. Projects to the value of £79,292 were completed by 31st March 2023 with the remaining balance being carried forward for completion in 2023/24.
- Replacement Boiler at the Council Offices - £234,838: Delayed whilst the specification was reviewed to try to reduce costs. This proved to be unsuccessful, and works are now underway.
- Bouskell Park Car Park Improvements - £200,000: Latest estimates suggest that the proposed works would cost double the amount budgeted. To be deferred pending the outcome of the Parks and Open Spaces Strategy.

#### 4.5 Irrecoverable Debts

The following debts are presented for write-off subject to the approval of Cabinet Executive. None of the debt is considered to be recoverable for the reasons set out below.

Debt Category	Amount (£)	Reason for Write-off
Council Tax	64,104	Whitegate Stables: site closed
Council Tax	9,927	Individual Voluntary Arrangement awarded
Council Tax	9,166	Debt Relief Order granted
Council Tax	39,061	Recovery action exhausted
Business Rates	8,303	Business in liquidation
HB Overpayment	28,813	Declared bankrupt
HB Overpayment	2,267	Local Authority error
<b>Total</b>	<b>161,641</b>	

All of the above debts have been taken into account when setting the bad debt provision as at 31<sup>st</sup> March 2023.

Council tax and business rate write-offs are charged to the Collection Fund and will flow through the surplus or deficit for the year. Blaby's share of the cost of writing off the debt is approximately 12% for council tax and 40% for business rates. These debts are already provided for within the Collection Fund bad debt provisions.

Housing benefit overpayments, when written-off, are charged against the bad debt provision in place.

## 5. What will it cost and are there opportunities for savings?

### 5.1 Financial implications are detailed in the main body of this report.

## **6. What are the risks and how can they be reduced?**

### **6.1**

<b>Current Risk</b>	<b>Actions to reduce the risks</b>
That the unaudited accounts are misstated and require amendment	The accounts are subject to independent examination by the Council's external auditors, Ernst & Young (EY). Due to delays in the audit process, the accounts for 2020/21 and 2021/22 have not yet been concluded. Any revisions to those years accounts may have a corresponding impact on the 2022/23 accounts. The Council are awaiting confirmation of the date that the audit of the 2021/22 and 2022/23 accounts will take place. The deadline for publication of the audited accounts is by 30 <sup>th</sup> September 2023. If any amendments are required as a result of the audit, financial implications will be reported back to Cabinet Executive at the earliest opportunity following publication.

## **7. Other options considered**

### **7.1** None.

## **8. Environmental impact**

### **8.1** No direct impact arising from this report.

## **9. Other significant issues**

### **9.1** In preparing this report, the author has considered issues related to Human Rights, Legal Matters, Human Resources, Equalities, Public Health Inequalities, and Climate Local and there are no areas of concern.

## **10. Appendix**

### **10.1** Appendix A – General Fund Revenue Account: Performance against Budget

### **10.2** Appendix B – Earmarked Reserves

### **10.3** Appendix C – Capital Expenditure against Budget

## **11. Background paper(s)**

### **11.1** None.

## **12. Report author's contact details**

Nick Brown Finance Group Manager  
Nick.Brown@blaby.gov.uk 0116 272 7625

**OUTTURN SUMMARY BY PORTFOLIO 2022/23**
**APPENDIX A**

	Approved Budget 2022'23 £	Revised Estimate 2022'23 £	Outturn 2022'23 £	Variance vs Revised £
<u>Expenditure by Portfolio:</u>				
Finance, People & Performance	2,960,187.00	3,247,432.00	2,635,010.91	(612,421.09)
Housing, Community & Environmental Services	3,281,802.00	3,911,990.00	2,621,855.81	(1,290,134.19)
Health, Wellbeing, Community Engagement & Business Support	4,614,827.00	4,027,813.00	2,400,613.21	(1,627,199.79)
Leader	1,728,722.00	1,778,071.00	1,665,928.10	(112,142.90)
Neighbourhood Services & Assets	5,135,841.00	5,823,593.00	5,231,202.46	(592,390.54)
Planning Delivery, Enforcement & Corporate Transformation	1,916,804.00	2,778,792.82	2,021,550.99	(757,241.83)
	19,638,183.00	21,567,691.82	16,576,161.48	(4,991,530.34)
<u>Central Items:</u>				
Revenue Contributions towards Capital Expenditure	100,000.00	412,800.00	267,519.14	(145,280.86)
Minimum Revenue Provision	1,173,162.00	389,373.00	389,373.00	0.00
Other Appropriations & Accounting Adjustments	(7,426,799.00)	(5,635,397.00)	(4,948,356.29)	687,040.71
Contribution to/(from) Earmarked Reserves	(230,940.00)	(3,225,468.00)	557,137.64	3,782,605.64
	13,253,606.00	13,508,999.82	12,841,834.97	(667,164.85)
<u>Financed By:</u>				
NNDR	(3,158,352.00)	(3,063,563.00)	(2,683,699.00)	379,864.00
Contributions from NNDR Reserves	(2,145,760.00)	(1,726,457.00)	(2,001,811.00)	(275,354.00)
S31 Grant - Business Rates Compensation	(2,214,888.00)	(2,728,979.00)	(2,818,854.00)	(89,875.00)
NNDR (Surplus)/Deficit	2,768,199.00	2,768,199.00	2,766,263.00	(1,936.00)
<i>Sub-total: Total NNDR-related Transactions</i>	<i>(4,750,801.00)</i>	<i>(4,750,800.00)</i>	<i>(4,738,101.00)</i>	<i>12,699.00</i>
New Homes Bonus	(1,020,820.00)	(1,020,820.00)	(1,020,820.00)	0.00
Lower Tier Services Grant	(867,225.00)	(867,225.00)	(867,225.00)	0.00
Services Grant	(153,747.00)	(153,747.00)	(153,747.00)	0.00
Levy Account Surplus Grant	0.00	0.00	(18,704.00)	(18,704.00)
Revenue Support Grant	0.00	0.00	(323.00)	(323.00)
BDC Demand on Collection Fund	(6,106,661.00)	(6,106,661.00)	(6,106,661.00)	0.00
Council Tax (Surplus)/Deficit	43,211.00	43,211.00	43,211.00	0.00
	(12,856,043.00)	(12,856,042.00)	(12,862,370.00)	(6,328.00)
Overspend/(Underspend) for year	397,563.00	652,957.82	(20,535.03)	(673,492.85)
Contribution to/(from) General Fund Balances	(397,563.00)	(652,957.82)	20,535.03	673,492.85

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**NOTES TO THE FINANCIAL STATEMENTS 2022/23**

**APPENDIX B**

**TRANSFERS TO/FROM EARMARKED RESERVES**

	GL Code	Balance at 31/03/21 £	Reallocated Reserves £	Contributions from I&E A/c £	Utilisation of Balances £	Balance at 31/03/22 £	Reallocated Reserves £	Contributions from I&E A/c £	Utilisation of Balances £	Balance at 31/03/23 £
Leisure Centre Renewals Fund	9999/VBA	(79,364)	0	0	17,004	(62,361)	0	(11,246)	0	(73,607)
Computer Room Environment	9999/VBB	(128,018)	(140,000)	0	12,611	(255,407)	0	0	114,567	(140,840)
Licensing Reserve	9999/VBC	(27,868)	0	0	0	(27,868)	0	0	0	(27,868)
Insurance Reserve Fund	9999/VBD	(100,000)	0	0	0	(100,000)	0	0	0	(100,000)
Blaby Plan Priorities Reserve	9999/VBJ	(563,607)	(200,000)	0	310,940	(452,667)	0	0	86,843	(365,824)
General Reserve Fund	9999/VBK	(1,697,764)	0	0	0	(1,697,764)	0	(50,000)	85,454	(1,662,310)
Ongoing Projects Reserve	9999/VBM	(2,179,548)	0	(2,697,123)	1,953,608	(2,923,063)	0	(3,599,422)	2,759,644	(3,762,841)
Elections Reserve	9999/VBQ	(92,463)	0	(29,481)	0	(121,944)	0	(20,000)	0	(141,944)
Choice Based Lettings Reserve	9999/VBR	(952)	0	0	0	(952)	0	0	0	(952)
New Homes Bonus Reserve	9999/VBT	(41,327)	0	0	0	(41,327)	0	0	0	(41,327)
COVID Support Reserve	9999/VBU	0	(700,000)	0	0	(700,000)	0	0	0	(700,000)
Economic Development Initiatives	9999/VBX	(50,000)	0	0	0	(50,000)	0	0	0	(50,000)
Provision - ERIE Sinking Fund	9999/VCA	(41,717)	0	0	7,063	(34,654)	0	0	7,877	(26,777)
Community Rights Reserve	9999/VCB	(48,724)	0	0	0	(48,724)	0	0	0	(48,724)
Hardship Reserve	9999/VCD	(250,000)	0	(75,000)	0	(325,000)	0	0	0	(325,000)
Parish New Homes Bonus Reserve	9999/VCE	(881)	0	0	0	(881)	0	0	0	(881)
NNDR Income Reserve	9999/VCF	(1,702,174)	0	0	0	(1,702,174)	0	(751,752)	0	(2,453,926)
Flexible Working Reserve	9999/VCG	(94,678)	(100,000)	0	32,000	(162,678)	0	0	0	(162,678)
Local Plan Reserve	9999/VCJ	(483,595)	0	0	0	(483,595)	0	(40,000)	67,289	(456,306)
Lottery Reserve	9999/VCK	(20,712)	0	(5,855)	5,435	(21,132)	0	(5,334)	0	(26,466)
IT System Replacement Reserve	9999/VCL	(71,315)	0	0	16,900	(54,415)	0	0	14,600	(39,815)
Property Fund Reserve	9999/VCM	(50,656)	0	(37,806)	0	(88,462)	0	(40,000)	0	(128,462)
Tax Income Guarantee Reserve	9999/VCN	(1,379,731)	0	0	1,379,731	0	0	0	0	0
S31 Grant Reserve	9999/VCO	(9,488,745)	0	0	5,218,390	(4,270,355)	0	0	2,753,563	(1,516,792)
Huncote Major Emergency Reserve	9999/VCP	0	(500,000)	0	76,567	(423,433)	(100,000)	0	72,590	(450,843)
Court Fees Income Reserve	9999/VCQ	0	0	(31,813)	0	(31,813)	0	0	0	(31,813)
		(18,593,838)	(1,640,000)	(2,877,079)	9,030,248	(14,080,669)	(100,000)	(4,517,754)	5,962,427	(12,735,996)
Less Earmarked Reserves set aside to meet the Collection Fund Deficit		4,270,355				4,270,355				1,516,792
<b>Usable Earmarked Reserves</b>		<b>(14,323,484)</b>				<b>(9,810,314)</b>				<b>(11,219,204)</b>

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**CAPITAL PROGRAMME 2022/23 - QUARTER ENDED 31ST MARCH 2023**

	Original Capital Programme 2022/23 £	Budgets Brought Forward from 2021/22 £	Additions and Transfers £	Project completed Saving realised £	Latest Capital Programme 2022/23 £	Capital Expenditure to 31/03/23 £	Variance as at 31/03/23 £
<b><u>Invest to Save Schemes</u></b>							
Regeneration Property	0	0	2,500,000	0	2,500,000	0	2,500,000
Huncote Landfill Gas Works to facilitate early re-opening	0	0	95,775	0	95,775	95,775	0
Installation of LED Lighting at Council Offices	0	25,492	0	0	25,492	22,000	3,492
Revenues & Benefits - Document Management & MyView	0	100,650	0	0	100,650	81,400	19,250
<b>Sub Total - Invest to Save Schemes</b>	<b>0</b>	<b>126,142</b>	<b>2,595,775</b>	<b>0</b>	<b>2,721,917</b>	<b>199,175</b>	<b>2,522,742</b>
<b><u>Essential/Contractual Schemes</u></b>							
Refurbishment of Vacant Units, Enderby Road Industrial Estate	0	0	450,000	0	450,000	0	450,000
Huncote Landfill Gas Remedial Works	0	0	204,955	0	204,955	204,955	0
Walk & Ride Blaby	180,000	0	(40,000)	0	140,000	0	140,000
Extension of Enderby Leisure Centre Car Park	150,000	0	40,000	0	190,000	0	190,000
Capital Grants Programme	54,500	14,574	(16,496)	0	52,578	51,949	629
Blaby Town Centre Improvements	0	81,626	0	0	81,626	53,024	28,602
Blaby Town Centre Toilets	100,000	0	69,801	0	169,801	53,411	116,390
Conversion of the Old Bank, Narborough	0	38,282	0	0	38,282	1,686	36,596
Works to Landfill Gas Monitoring System, Pavilion	0	10,794	137	0	10,931	0	10,931
Replacement of Air Quality Analysers	10,000	28,854	0	0	38,854	9,211	29,643
Income Management System	20,000	0	0	0	20,000	0	20,000
Financial Management System	0	4,030	0	0	4,030	3,187	843
HR & Payroll System	0	250,000	(100,000)	0	150,000	0	150,000
End User Device Replacement	0	24,805	0	0	24,805	24,805	0
Network Refresh	0	57,000	0	0	57,000	39,401	17,599
Data Centre	0	118,000	0	0	118,000	114,567	3,433
Office 365 Consultancy	0	38,000	(32,000)	0	6,000	1,139	4,861
Network Upgrades - Phase 2	46,000	0	(46,000)	0	0	0	0
ICT Security Upgrades	107,000	0	(95,850)	0	11,150	11,150	0
Fleet Vehicle Replacement Programme	500,000	53,897	(457,195)	0	96,702	96,702	0
Vehicle CCTV & Tracking Upgrade	47,000	0	0	0	47,000	0	47,000
Resurfacing of Main & Overflow Car Parks, Fosse Meadows	150,000	0	0	0	150,000	149,996	4
Entrance & Path Improvements at the Osiers, Braunstone	10,000	0	0	0	10,000	9,984	16
Regrade and dress pathway, Whetstone Way, Whetstone	10,000	0	0	0	10,000	10,000	0
Regrade and dress pathway at Whistle Way, Narborough	10,000	0	0	0	10,000	9,991	9
Crow Mills: Steps Fencing & Paths Upgrade	19,000	0	0	0	19,000	19,000	0
Regrade and dress pathway, Countesthorpe Country Park	10,000	0	0	0	10,000	9,990	10
Improvements to Footpaths at the Osiers, Braunstone	0	15,000	0	0	15,000	15,000	0
Fosse Meadows - Gates, Fencing and Footpaths	13,000	0	0	0	13,000	13,000	0
Performance Management System	0	17,000	(17,000)	0	0	0	0
Replacement of Corporate GIS System	0	18,120	0	0	18,120	14,600	3,520
Replacement Plan Printer	0	0	11,850	0	11,850	11,850	0
Council Offices - Green Heating Solution	0	111,934	128,066	0	240,000	5,162	234,838
Council Offices - Work Stations Upgrades	0	17,296	0	0	17,296	0	17,296
Refurbishment of Council Offices	250,000	50,000	(100,000)	0	200,000	129,348	70,652
Resurfacing of Car Parks	0	91,268	1,734	0	93,002	93,002	0
Renovation of the Ice House, Bouskell Park, Blaby	0	1,649	0	0	1,649	0	1,649
Active Blaby Website Enhancement	4,000	3,477	0	0	7,477	3,500	3,977
<b>Sub Total - Essential &amp; Contractual Schemes</b>	<b>1,690,500</b>	<b>1,045,606</b>	<b>2,002</b>	<b>0</b>	<b>2,738,108</b>	<b>1,159,610</b>	<b>1,578,498</b>
<b><u>Desirable Schemes (subject to affordability)</u></b>							
Green Community Grants	0	3,504	16,496	0	20,000	20,000	0
Car Park and bridge improvements, Bouskell Park, Blaby	0	200,000	0	0	200,000	0	200,000
<b>Sub Total - Desirable Schemes</b>	<b>0</b>	<b>203,504</b>	<b>16,496</b>	<b>0</b>	<b>220,000</b>	<b>20,000</b>	<b>200,000</b>
<b><u>Externally Funded Schemes</u></b>							
Disabled Facilities Grants	630,000	1,116,455	(137,077)	0	1,609,378	850,852	758,526
Housing Support Grants	30,000	23,244	0	0	53,244	22,764	30,480
Empty Property Grants & Loans	0	28,049	0	(28,049)	0	0	0
Air Quality Action Plan	0	7,734	(7,734)	0	0	0	0
Hardware for IER Implementation	0	3,057	(3,057)	0	0	0	0
CCTV cameras, Blaby Town Centre & Narborough Station	40,000	0	0	0	40,000	0	40,000
Section 106-backed Schemes	0	243,715	125,194	0	368,909	79,292	289,617
<b>Sub Total - Externally Funded Schemes</b>	<b>700,000</b>	<b>1,422,254</b>	<b>(22,674)</b>	<b>(28,049)</b>	<b>2,071,531</b>	<b>952,908</b>	<b>1,118,623</b>
<b><u>Other Schemes</u></b>							
Land Charges & Customer Portal	0	26,675	0	(26,675)	0	0	0
iDox Software Upgrade	0	390	0	0	390	0	390
Enabling Microsoft Teams	0	9,969	0	(9,969)	0	0	0
Council Offices - New Exterior Lighting and Signage	0	1,542	0	0	1,542	0	1,542
Council Offices - Replacement of Fire Escape Doors	0	5,753	0	0	5,753	0	5,753
Update to Social Prescribing System	12,000	0	0	(12,000)	0	0	0
Asset Management Group Contingency	50,000	0	(28,066)	0	21,934	0	21,934
<b>Sub Total - Other Schemes</b>	<b>62,000</b>	<b>44,329</b>	<b>(28,066)</b>	<b>(48,644)</b>	<b>29,619</b>	<b>0</b>	<b>29,619</b>
<b>TOTAL CAPITAL PROGRAMME 2022/23</b>	<b>2,452,500</b>	<b>2,841,835</b>	<b>2,563,533</b>	<b>(76,693)</b>	<b>7,781,175</b>	<b>2,331,693</b>	<b>5,449,482</b>

**CAPITAL PROGRAMME 2022/23 - QUARTER ENDED 31ST MARCH 2023**

	Original Capital Programme 2022/23 £	Budgets Brought Forward from 2021/22 £	Additions and Transfers £	Project completed Saving realised £	Latest Capital Programme 2022/23 £	Capital Expenditure to 31/03/23 £	Variance as at 31/03/23 £
<b>FINANCED BY:</b>	Original Capital Programme 2022/23 £	Budgets Brought Forward from 2021/22 £	Additions and Transfers £	Project completed Saving realised £	Latest Capital Programme 2022/23 £	Capital Expenditure to 31/03/23 £	Variance as at 31/03/23 £
Borrowing	1,118,500	600,931	2,968,298	(21,969)	4,665,760	910,265	3,755,495
Capital Receipts	534,000	438,873	(558,703)	(26,675)	387,495	135,837	251,658
Capital Grants & Contributions	700,000	1,425,831	184,204	0	2,310,035	1,018,072	1,291,963
Capital Reserves	0	324,763	(32,000)	(28,049)	264,714	224,514	40,200
Revenue Funded Capital Expenditure	100,000	51,437	1,734	0	153,171	43,005	110,166
<b>TOTAL FUNDING</b>	<b>2,452,500</b>	<b>2,841,835</b>	<b>2,563,533</b>	<b>(76,693)</b>	<b>7,781,175</b>	<b>2,331,693</b>	<b>5,449,482</b>

## Blaby District Council

### Cabinet Executive

<b>Date of Meeting</b>	10 July 2023
<b>Title of Report</b>	<b>Treasury Management Outturn 2022/23</b> This is not a Key Decision and is on the Forward Plan
<b>Lead Member</b>	<b>Cllr. Maggie Wright - Finance, People &amp; Performance (Deputy Leader)</b>
<b>Report Author</b>	Finance Group Manager
<b>Corporate Priority</b>	Medium Term Financial Strategy (MTFS)

#### 1. What is this report about?

- 1.1 The report reviews the Council's treasury management activities undertaken during the 2022/23 financial year and gives details of the prudential and treasury indicators for the same period.

#### 2. Recommendation(s) to Cabinet Executive and Council

- 2.1 That the treasury management activities for 2022/23 are approved.
- 2.2 That the prudential and treasury indicators for 2022/23 are approved.

#### 3. Reason for Decisions Recommended

- 3.1 The regulatory framework governing treasury management activities includes a requirement that the Council should produce an annual review of treasury activities undertaken in the preceding financial year. It must also report the performance against the approved prudential indicators for the year.
- 3.2 This report fulfils the requirement above and incorporates the needs of the Prudential Code to ensure adequate monitoring of capital expenditure plans and the Council's prudential indicators. The treasury strategy and prudential indicators for 2022/23 were contained in the report approved by Council on 24<sup>th</sup> February 2022.

#### 4. Matters to consider

- 4.1 Background

The Council is required to produce an annual treasury management review of activities and the actual prudential and treasury indicators for 2022/23 by

regulations issued under the Local Government Act 2003. This report meets the requirements of both the Chartered Institute of Public Finance Accountants' (CIPFA) Code of Practice on Treasury Management (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Prudential Code).

During 2022/23 the minimum reporting requirements were that the full Council should receive the following reports:

- an annual treasury strategy in advance of the year (Cabinet Executive 21<sup>st</sup> February 2022, Council 24<sup>th</sup> February 2022)
- a mid-year treasury update report (Cabinet Executive 7<sup>th</sup> November 2022, Council 22<sup>nd</sup> November 2022)
- an annual review following the end of the year describing the activity compared to the strategy (this report)

The regulations place responsibility on Members for the review and scrutiny of treasury management policy and activities. This report is important, in that respect, as it provides details of the outturn position for treasury activities and highlights compliance with the Council's policies previously approved by Members.

The Council has complied with the requirement under the Code to give prior scrutiny to all of the above treasury management reports by the Cabinet Executive and/or Scrutiny Commission before they were reported to the full Council. Member training on treasury management issues is undertaken on an ad hoc basis as required. It is proposed to arrange for refresher training during 2023/24.

## 4.2 Capital Expenditure and Financing

The Council undertakes capital expenditure on long-term assets which may either be:

- Financed immediately through the application of capital or revenue resources (e.g., capital receipts, grants, revenue contributions), which has no resultant impact on the Council's borrowing need; or
- Financed through borrowing if insufficient resources are available, or a decision is taken not to apply resources.

The actual capital expenditure forms one of the main prudential indicators. The following table summarises the capital expenditure and financing for the year. A more detailed analysis is provided at Appendix A.

	<b>2021/22 Actual £</b>	<b>2022/23 Budget £</b>	<b>2022/23 Actual £</b>
Capital Expenditure	2,146,862	7,781,175	2,331,693
Financed in year	1,702,743	(3,115,415)	(1,421,427)
<b>Unfinanced Capital Expenditure</b>	<b>444,119</b>	<b>4,665,760</b>	<b>910,266</b>

### 4.3 The Council's Overall Borrowing Need

The Council's underlying need to borrow for capital expenditure is termed the Capital Financing Requirement (CFR). This figure is a gauge of the Council's indebtedness. The CFR results from the capital activity of the Council and resources used to pay for the capital spend. It represents the 2022/23 unfinanced capital expenditure (see above table), and prior years' net or unfinanced capital expenditure which has not yet been paid for by revenue or other resources.

Part of the Council's treasury activities is to address the funding requirements for this borrowing need. Depending on the capital expenditure programme, the treasury service organises the Council's cash position to ensure that sufficient cash is available to meet the capital plans and cash flow requirements. This may be sourced through borrowing from external bodies, (such as the Government, through the Public Works Loan Board [PWLB], or the money markets), or utilising temporary cash resources within the Council.

The Council's underlying borrowing need (CFR) is not allowed to rise indefinitely. Statutory controls are in place to ensure that capital assets are broadly charged to revenue over the life of the asset. The Council is required to make an annual revenue charge, called the Minimum Revenue Provision (MRP) to reduce the CFR. This is effectively a repayment of the borrowing need. This differs from the treasury management arrangements which ensure that cash is available to meet capital commitments. External debt can also be borrowed or repaid at any time, but this does not change the CFR.

The total CFR can also be reduced by:

- the application of additional capital financing resources, (such as unapplied capital receipts); or
- charging more than the statutory revenue charge (MRP) each year through a Voluntary Revenue Provision (VRP).

The Council's 2022/23 MRP Policy, (as required by DLUHC Guidance), was approved as part of the Treasury Management Strategy Report for 2022/23 on 24<sup>th</sup> February 2022. However, on 20<sup>th</sup> September 2022, Council approved a change to the MRP Policy which means that the charge to revenue will, from 1<sup>st</sup> April 2023, be based on a weighted average annuity-based calculation rather than on a straight-line basis.

The Council undertook no new borrowing during 2022/23. Although there was a borrowing need to fund the capital programme, there are still sufficient reserves and balances available to enable the Council to effectively borrow internally. Since borrowing rates continued to be considerably higher than investment rates during 2022/23 this has led to net revenue savings.



The table below highlights the gross borrowing position against the CFR. The CFR represents a key prudential indicator. It includes finance leases that appear on the balance sheet, and which increase the Council's borrowing need. However, no borrowing is required to cover finance leases as there is a borrowing facility included in the contract.

	<b>31<sup>st</sup> March 2022 Actual £</b>	<b>31<sup>st</sup> March 2023 Budget £</b>	<b>31<sup>st</sup> March 2023 Actual £</b>
Opening Balance	14,666,611	13,965,132	13,965,132
Add Unfinanced Capital Expenditure	444,119	4,758,467	910,266
Less MRP	(1,145,597)	(389,373)	(389,373)
<b>Closing Balance</b>	<b>13,965,132</b>	<b>18,334,226</b>	<b>14,486,025</b>

Borrowing activity is constrained by prudential indicators for gross borrowing and the CFR, and by the authorised limit.

It is important to ensure that borrowing is prudent over the medium term and that it is only undertaken for capital purposes. Therefore, the Council needs to make sure that, except in the short term, its gross external borrowing does not exceed the total of the CFR in the preceding year (2022/23) plus the estimates of any additional CFR for the current year (2022/23) and next two financial years. Effectively this means that the Council is not borrowing to support revenue expenditure. This indicator also allows the Council some flexibility to borrow in advance of its immediate need where it is appropriate to do so. The table below highlights the Council's gross borrowing position against the CFR. The Council has complied with this prudential indicator.

	<b>31<sup>st</sup> March 2022 Actual £</b>	<b>31<sup>st</sup> March 2023 Budget £</b>	<b>31<sup>st</sup> March 2023 Actual £</b>
CFR	13,965,132	18,334,226	14,486,025
Gross Borrowing	8,597,179	7,685,096	6,385,096
<b>(Under)/Over Funding of CFR</b>	<b>(5,367,953)</b>	<b>(10,649,130)</b>	<b>(8,100,929)</b>

**The Authorised Limit** – this is the affordable borrowing limit required by Section 3 of the Local Government Act 2003. Once it has been set, the Council does not have the power to borrow above this level. The table below demonstrates that the Council has maintained gross borrowing within the authorised limit during 2022/23.

**The Operational Boundary** – this is the expected borrowing position for the year. Periods where the actual position is either above or below the boundary are acceptable subject to the authorised limit not being breached.

**Actual financing costs** as a proportion of net revenue stream – this indicator identifies the trend in the cost of capital (i.e., borrowing, and other long term obligation costs net of investment income), against the net revenue stream.

	<b>2022/23</b>
Authorised limit	£23,000,000
Maximum gross borrowing position during the year	£8,597,179
Operational boundary	£20,700,000
Average gross borrowing position	£8,106,193
Financing costs as a proportion of net revenue stream	6.78%

#### 4.4 The Treasury Position at 31<sup>st</sup> March 2023

The Council's treasury management debt and investment position is organised by the treasury management service to ensure adequate liquidity for revenue and capital activities, security for investments and to manage risks within all treasury management activities. Procedures and controls to achieve these objectives are well established both through Member reporting detailed in the summary, and through officer activity detailed in the Council's Treasury Management Practices. At the end of 2022/23 the Council's treasury position was as follows:

	<b>Principal at 31<sup>st</sup> March 2022</b>	<b>Rate/ Return</b>	<b>Average Life</b>	<b>Principal at 31<sup>st</sup> March 2023</b>	<b>Rate/ Return</b>	<b>Average Life</b>
PWLB Debt	£6,141,780	2.24%	17.1 years	£5,929,939	2.24%	16.1 years
Market Debt	£2,000,000	1.75%	0.8 years	0	n/a	n/a
<b>Total debt</b>	<b>£8,141,780</b>	<b>2.12%</b>	<b>14.8 years</b>	<b>£5,929,939</b>	2.24%	16.1 years
Capital Financing Requirement	£13,965,132			£14,486,025		
<b>Over/(under) borrowing</b>	<b>(£5,823,352)</b>			<b>(£8,556,086)</b>		
Short Term investments	(£35,560,000)	0.36%		(£25,456,000)	3.98%	
Long Term Investments	(£1,093,910)	3.46%		(£844,874)	4.84%	
Net debt	(£28,512,130)			(£34,856,960)		

Other long-term liabilities, such as finance leases, are excluded from the table above.

The interest rates in the table above are based on the loans and investments outstanding at the year end and are not necessarily the same as the average rate payable during the financial year.

The maturity structure of the debt portfolio was as follows:

	<b>31<sup>st</sup> March 2022 £</b>	<b>31<sup>st</sup> March 2023 £</b>
Less than one year	2,211,841	216,500
Between one and two years	216,500	855,837
Between two and five years	1,713,439	857,602
Between five and ten years	0	0
Over ten years	4,000,000	4,000,000
	<b>8,141,780</b>	<b>5,929,939</b>

<b>Investment Portfolio</b>	<b>31<sup>st</sup> March 2022 £</b>	<b>31<sup>st</sup> March 2022 %</b>	<b>31<sup>st</sup> March 2023 £</b>	<b>31<sup>st</sup> March 2023 %</b>
Banks	23,560,000	0.29%	17,373,000	3.95%
Local Authorities	0	0.00%	2,000,000	2.90%
Money Market Funds	12,000,000	0.49%	8,083,000	4.03%
Property Fund	1,093,910	3.46%	844,874	4.84%

The return on the Lothbury Property Fund comprises both rental income and interest income gross of fees.

#### 4.5 The Strategy for 2022/23

##### Investments

Investment returns picked up throughout the course of 2022/23 as central banks, including the Bank of England, realised that inflationary pressures were not transitory, and that tighter monetary policy was called for.

Starting in April 2022 at 0.75%, Bank Rate moved up in stepped increases of either 0.25% or 0.5%, reaching 4.25% by the end of the financial year, with the potential for a further one or two increases in 2023/24.

The sea-change in investment rates meant local authorities were faced with the challenge of pro-active investment of surplus cash for the first time in over a decade, and this emphasised the need for a detailed working knowledge of cashflow projections so that the appropriate balance between maintaining cash for liquidity purposes, and “laddering” deposits on a rolling basis to lock in the increase in investment rates as duration was extended, became an on-going feature of the investment landscape.

With bond markets selling off, equity valuations struggling to make progress and, latterly, property funds enduring a turbulent fourth quarter in 2022, the more traditional investment options, such as specified investments (simple to understand, and less than a year in duration) became more actively used.

Meantime, through the autumn, and then in March 2023, the Bank of England maintained various monetary policy easing measures as required to ensure specific markets, the banking system and the economy had appropriate levels of liquidity at times of stress.

Nonetheless, whilst the Council has taken a cautious approach to investing, it is also fully appreciative of changes to regulatory requirements for financial institutions in terms of additional capital and liquidity that came about in the aftermath of the Great Financial Crisis of 2008/9. These requirements have provided a far stronger basis for financial institutions, with annual stress tests by regulators evidencing how institutions are now far more able to cope with extreme stressed market and economic conditions.

#### Borrowing

During 2022/23, the Council maintained an under-borrowed position. This meant that the capital borrowing need, (the Capital Financing Requirement), was not fully funded with loan debt as cash supporting the Council's reserves, balances and cash flow was used as an interim measure. This strategy was prudent as investment returns were initially low and minimising counterparty risk on placing investments also needed to be considered.

A cost of carry generally remained in place during the year on any new long-term borrowing that was not immediately used to finance capital expenditure, as it would have caused a temporary increase in cash balances; this would have incurred a revenue cost – the difference between (higher) borrowing costs and (lower) investment returns. As the cost of carry dissipated, the Council sought to avoid taking on long-term borrowing at elevated levels (>4%) and has focused on a policy of internal and temporary borrowing, supplemented by short-dated borrowing (<3 years) as appropriate.

The policy of avoiding new borrowing by running down spare cash balances has served well over the last few years. However, this has been kept under review to avoid incurring higher borrowing costs in the future when the Council may not be able to avoid new borrowing to finance capital expenditure and/or the refinancing of maturing debt.

Against this background and the risks within the economic forecast, caution was adopted with the treasury operations. The Strategic Director (Section 151) therefore monitored interest rates in financial markets and adopted a pragmatic strategy based upon the following principles to manage interest rate risks:

- if it had been felt that there was a significant risk of a sharp **fall** in long and short-term rates, (e.g., due to a marked increase of risks around relapse into recession or of risks of deflation), then long term borrowings would have been postponed, and potential rescheduling from fixed rate funding into short term borrowing would have been considered.
- if it had been felt that there was a significant risk of a much sharper **rise** in long- and short-term rates than initially expected, perhaps arising from an acceleration in the start date and in the rate of increase in central rates in the USA and UK, an increase in world economic activity or a sudden increase in inflation risks, then the portfolio position would have been re-appraised. Most likely, fixed rate funding would have been drawn whilst

interest rates were lower than they were projected to be in the next few years.

Interest rate forecasts were initially suggesting only gradual rises in short, medium, and longer-term fixed borrowing rates during 2022/23 but by August it had become clear that inflation was moving up towards 40-year highs, and the Bank of England engaged in monetary policy tightening at every Monetary Policy Committee meeting during 2022, and into 2023, either by increasing Bank Rate by 0.25% or 0.5% each time. Currently the CPI measure of inflation is still above 10% in the UK but is expected to fall back towards 4% by year end. Nonetheless, there remain significant risks to that central forecast.

#### 4.6 Borrowing Outturn

Due to investment concerns, both counterparty risk and comparatively low investment returns, no borrowing was undertaken during the year. As a result, gross borrowing has fallen from £8,141,780 to £5,929,939 on 31<sup>st</sup> March 2023. The movement is summarised in the following table:

	£
<b>Balance at 1<sup>st</sup> April 2022</b>	<b>8,141,780</b>
New borrowing in year	0
Loans repaid in year	(2,211,841)
<b>Balance at 31<sup>st</sup> March 2023</b>	<b>5,929,939</b>

The total interest payable in 2022/23, excluding finance leases, was £167,745 (£175,318 in 2021/22), and the average interest rate payable was 2.14% (2.12% in 2021/22). The slight increase in the interest rate payable is reflective of a non-PWLB loan with a rate of 1.76% being repaid in January 2023.

#### **Borrowing in advance of need:**

The Council has not borrowed more than, or in advance of its needs, purely to profit from the investment of the extra sums borrowed.

#### **Rescheduling:**

No rescheduling was done during the year as the average 1% differential between PWLB new borrowing rates and premature repayment rates made rescheduling unviable.

#### 4.7 Investment Outturn

The Council's investment policy is governed by guidance issued by the Department for Levelling Up, Housing and Communities (DLUHC), which has been implemented in the annual investment strategy approved by the Council on 24<sup>th</sup> February 2022. This policy sets out the approach for choosing investment counterparties and is based on credit ratings provided

by the three main credit rating agencies, supplemented by additional market data (such as rating outlooks, credit default swaps, bank share prices etc.).

The investment activity during the year conformed to the approved strategy with one exception, that being that the £8m counterparty limit in respect of deposits in HSBC Call Account was exceeded on one occasion during January 2023. The Council experienced no liquidity difficulties during the financial year.

Interest on in house investments amounted to just £778,213 (£56,018 in 2021/22), significantly above even the revised budget, due to continuing rate rises and cash flow balances remaining high. The average rate of return for 2022/23 was 3.98% well in excess of the average of 0.36% achieved in 2021/22.

In addition to this the Council achieved a return of £40,892 interest and rental income on its property fund investment during 2022/23, equivalent to 4.84% for the year (3.46% in 2021/22). The statutory override in place until 31st March 2023, which prevents fluctuations in the fund value from having to be charged to the General Fund, has been extended for a further two years. The Council has set up an earmarked reserve as a mitigation against changes in fund value that may occur after the statutory override is removed.

After a strong recovery post-pandemic, the fund value has again been hit by the fall in property values experienced in the second half of 2022/23. By 31<sup>st</sup> March 2023, the fund value had consequently fallen to £0.845m, a reduction of £0.249m from the previous year, and considerably lower than the original £1m invested in the fund.

In recent weeks, the Council has been notified by Lothbury that it is suspending the fund, following receipt of a large number of redemption requests. The exact reason for this is unknown but other funds are experiencing a similar situation. One possibility is that pension funds are looking to get out of the property market and into more liquid funds. The waiting list for redemptions has now reached approximately 70% of the value of the fund, and the Council has been advised to submit a redemption request of its own. This is to ensure that the Council is in an equivalent position to other organisations seeking a redemption, and not left in an even worse position if all of those organisations do pull out their money. Lothbury is expected to propose a new funding strategy and it remains to be seen whether this will be enough to encourage investors to remain in the fund.

**5. What will it cost and are there opportunities for savings?**

5.1 Not applicable.

**6. What are the risks and how can they be reduced?**

6.1

Current Risk	Actions to reduce the risks
That external borrowing might not be undertaken at the most advantageous rate	Treasury officers maintain regular contact with the Council's advisors, Link Treasury Services, who monitor movements in interest rates on our behalf. The aim is always to drawdown loans when interest rates are at their lowest point.
Credit risk – the risk that other parties might fail to pay amounts due, e.g., deposits with banks etc	The Annual Investment Strategy sets the criteria through which the Council decides with whom it may invest. The lending list is updated regularly to reflect changes in credit ratings.
Liquidity risk – the Council might not have sufficient funds to meet its commitments	Daily monitoring of cash flow balances. Access to the money markets to cover any short-term cash shortfall.
Refinancing and maturity risk – the risk that the Council might need to renew a loan or investment at disadvantageous interest rates	Monitoring of the maturity profile of debt to make sure that loans do not all mature in the same period. Monitoring the maturity profile of investments to ensure there is sufficient liquidity to meet day to day cashflow needs.
That the Lothbury Property Fund might collapse	The Council has submitted a redemption request with the intention of protecting its current position as far as possible. At this point in time, it is not certain what the future holds for the fund, but Lothbury are looking at alternative funding strategies. An earmarked reserve is in place to mitigate any potential fluctuations in the fund value, although it does not cover the full value of the initial investment.

**7. Other options considered**

7.1 None. It is a legislative requirement that the Council receives an annual report covering its treasury activities for the financial year.

**8. Environmental impact**

8.1 No environmental impact directly arising from this report.



**9. Other significant issues**

- 9.1 In preparing this report, the author has considered issues related to Human Rights, Legal Matters, Human Resources, Equalities, Public Health Inequalities, and Climate Local and there are no areas of concern.

**10. Appendix**

- 10.1 Appendix A – Prudential and Treasury Indicators

**11. Background paper(s)**

- 11.1 None.

**12. Report author's contact details**

Nick Brown	Finance Group Manager
Nick.Brown@blaby.gov.uk	0116 272 7625

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## **PRUDENTIAL AND TREASURY INDICATORS**

### **1. Capital Expenditure and Financing**

This indicator shows the capital expenditure plans for the year and demonstrates how those plans are financed.

	<b>2021/22 Actual £</b>	<b>2022/23 Budget £</b>	<b>2022/23 Actual £</b>
<b>Capital Expenditure</b>			
S106-backed schemes	388,162	368,909	79,292
Strategic Property Investment	0	2,500,000	0
Other schemes	1,758,700	4,912,266	2,259,401
<b>Total Capital Programme</b>	<b>2,146,862</b>	<b>7,781,175</b>	<b>2,331,693</b>
<b>Financed by:</b>			
Capital receipts	(285,983)	(387,495)	(135,837)
Capital grants and contributions	(983,853)	(2,310,035)	(1,018,071)
Capital reserves	(357,455)	(264,714)	(224,514)
Revenue contributions	(75,452)	(153,171)	(43,005)
<b>Total Financing</b>	<b>(1,702,743)</b>	<b>(3,115,415)</b>	<b>(1,421,427)</b>
<b>Borrowing Requirement</b>	<b>444,119</b>	<b>4,665,760</b>	<b>910,266</b>

### **2. Capital Financing Requirement**

The Capital Financing Requirement (CFR) is a measure of the Council's underlying need to borrow for capital purposes. It will increase as the Council incurs capital expenditure which cannot be met from other resources, but this will be partially offset by revenue repayments for the year (the Minimum Revenue Provision).

	<b>2021/22 Actual £</b>	<b>2022/23 Budget £</b>	<b>2022/23 Actual £</b>
CFR as at 1 <sup>st</sup> April	14,666,611	13,965,132	13,965,132
Capital Expenditure in Year	2,146,862	7,668,928	2,331,693
Financing in Year	(1,702,744)	(2,910,461)	(1,421,427)
Minimum Revenue Provision	(1,145,597)	(389,373)	(389,373)
<b>CFR as at 31<sup>st</sup> March</b>	<b>13,965,132</b>	<b>18,334,226</b>	<b>14,486,025</b>

### **3. Ratio of Financing Costs to Net Revenue Stream**

This indicator identifies the trend in the cost of capital (borrowing and other long term obligation costs, net of investment income) against the net revenue stream.

	<b>2021/22 Actual</b>	<b>2022/23 Budget</b>	<b>2022/23 Actual</b>
Ratio	11.23%	7.03%	6.78%

#### 4. The Portfolio Position

The table below compares the Council's actual external debt, including other long-term liabilities such as finance leases, with the CFR. This indicator also acts as a limit to borrowing activity. Gross external debt should not, except in the short term, exceed the total of CFR in the preceding year plus the estimated additional CFR for 2023/24 and the next two financial years. This allows some limited flexibility for borrowing in advance of need. No difficulties are envisaged in complying with this indicator for the current or future financial years.

	<b>2021/22 Actual £</b>	<b>2022/23 Budget £</b>	<b>2022/23 Actual £</b>
<b>External Debt</b>			
Debt at 1 <sup>st</sup> April	8,349,066	8,141,780	8,141,780
Finance Leases at 1 <sup>st</sup> April	455,619	455,399	455,399
Borrowing	0	1,300,000	0
Repayments	(207,506)	(2,212,082)	(2,212,083)
<b>Debt at 31<sup>st</sup> March</b>	<b>8,597,179</b>	<b>7,685,096</b>	<b>6,385,096</b>
<b>CFR (as above)</b>	<b>13,965,132</b>	<b>18,334,226</b>	<b>14,486,025</b>
<b>Under/(Over) Borrowing</b>	<b>(5,367,953)</b>	<b>(10,649,130)</b>	<b>(8,100,929)</b>

#### 5. Operational Boundary for External Debt

This is the limit which external debt is not normally expected to exceed. In most cases this would be a similar figure to the CFR but may be lower or higher depending on the levels of actual debt.

	<b>2021/22 Actual £</b>	<b>2022/23 Budget £</b>	<b>2022/23 Actual £</b>
Borrowing	8,141,780	20,200,000	5,929,939
Other Long-Term Liabilities	455,399	500,000	455,157
<b>Total</b>	<b>8,597,179</b>	<b>20,700,000</b>	<b>6,385,096</b>

#### 6. Authorised Limit for External Debt

A further key prudential indicator represents a control on the maximum level of borrowing. This is the limit beyond which external debt is prohibited. It reflects the level of external debt which, while not desired, could be afforded in the short term, but is not sustainable in the longer term.

	<b>2021/22 Actual £</b>	<b>2022/23 Budget £</b>	<b>2022/23 Actual £</b>
Borrowing	8,141,780	22,444,400	5,929,939
Other Long-Term Liabilities	455,399	555,600	455,157
<b>Total</b>	<b>8,597,179</b>	<b>23,000,000</b>	<b>6,385,096</b>

## 7. Treasury Management Limits on Activity

There are three debt related treasury activity limits. The purpose of these is to manage risk and reduce the impact of any adverse movement in interest rates. However, if these are too restrictive, they will impair the opportunities to reduce costs and/or improve performance. The indicators are:

- Upper limits on variable interest rate exposure. This identifies a maximum limit for variable interest rates based upon the debt position net of investments.
- Upper limits on fixed interest rate exposure. This is similar to the previous indicator and covers a maximum limit on fixed interest rates.
- Maturity structure of borrowing. These gross limits are set to reduce the Council's exposure to large, fixed rate sums falling due for refinancing, and are required for upper and lower limits.

	2021/22 Actual	2022/23 Budget	2022/23 Actual
Maturity structure of fixed interest rate borrowing:			
Under 12 months	27.17%	100.00%	3.65%
12 months to 2 years	2.66%	100.00%	14.43%
2 years to 5 years	21.04%	100.00%	14.46%
5 years to 10 years	0.00%	100.00%	0.00%
10 years and above	49.13%	100.00%	67.46%

## 8. Investments Greater Than 365 Days

This limit is set with regard to the Council's liquidity requirements and to reduce the need for early sale of an investment and is based on the availability of investments after each year-end.

	2021/22 Actual £	2022/23 Budget £	2022/23 Actual £
Principal sums invested > 365 days	1,093,910	6,000,000	844,874

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## Blaby District Council

### Cabinet Executive

<b>Date of Meeting</b>	10 July 2023
<b>Title of Report</b>	<b>Annual Governance Statement 2022/23</b> This is not a Key Decision and is on the Forward Plan
<b>Lead Member</b>	<b>Cllr. Maggie Wright - Finance, People &amp; Performance (Deputy Leader)</b>
<b>Report Author</b>	Executive Director (Section 151 Officer)
<b>Corporate Priority</b>	All Priorities: A Place to Live; A Place to Work; A Place to Visit; People Strategy; Medium Term Financial Strategy (MTFS)

#### 1. What is this report about?

- 1.1 This report sets out the Annual Governance Statement for 2022/23. The Annual Governance Statement provides a review of the Council's governance arrangements that were in place for 2022/23 and also puts forward an assurance table and actions to further improve the Council's governance arrangements for 2023/24 for consideration and approval

#### 2. Recommendation(s) to Cabinet Executive

- 2.1 That the Annual Governance statement in respect of 2022/23 financial year, as attached to this report, be approved.

#### 3. Reason for Decisions Recommended

- 3.1 It is a requirement of the Account and Audit Regulations 2015 for the local authority to prepare and approve an Annual Governance Statement.

#### 4. Matters to consider

##### 4.1 Background

Local government bodies are responsible for ensuring that their business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The development of the Annual Governance Statement helps to ensure proper arrangements are in place to meet that responsibility.



The Accounts and Audit Regulations set out the statutory framework for the financial management of local authorities and incorporate the requirements for compliance with proper accounting practices. Within the context of the statutory framework the production of an “Annual Governance Statement” has been assigned “proper practice” status.

The Council undertakes an annual review of its governance arrangement to ensure continuing compliance with best practice as set out in the guidance.

The governance statement itself allows authorities to report publicly on the extent to which they have complied with their own code, on an annual basis, including how they have monitored and evaluated the effectiveness of their governance arrangements in the year and on any planned changes in the coming period. English local authorities are required to publish the statement each year.

In 2017 the Cabinet Executive approved and adopted an updated Local Code of Corporate Governance together with the associated reporting arrangements in relation to governance to ensure that best practice be adhered to. This is detailed at Appendix B and was updated to comply with the 2016 Edition of the Chartered Institute of Public Finance & Accountancy (CIPFA) and Solace “Delivering Good Governance in Local Government Framework”.

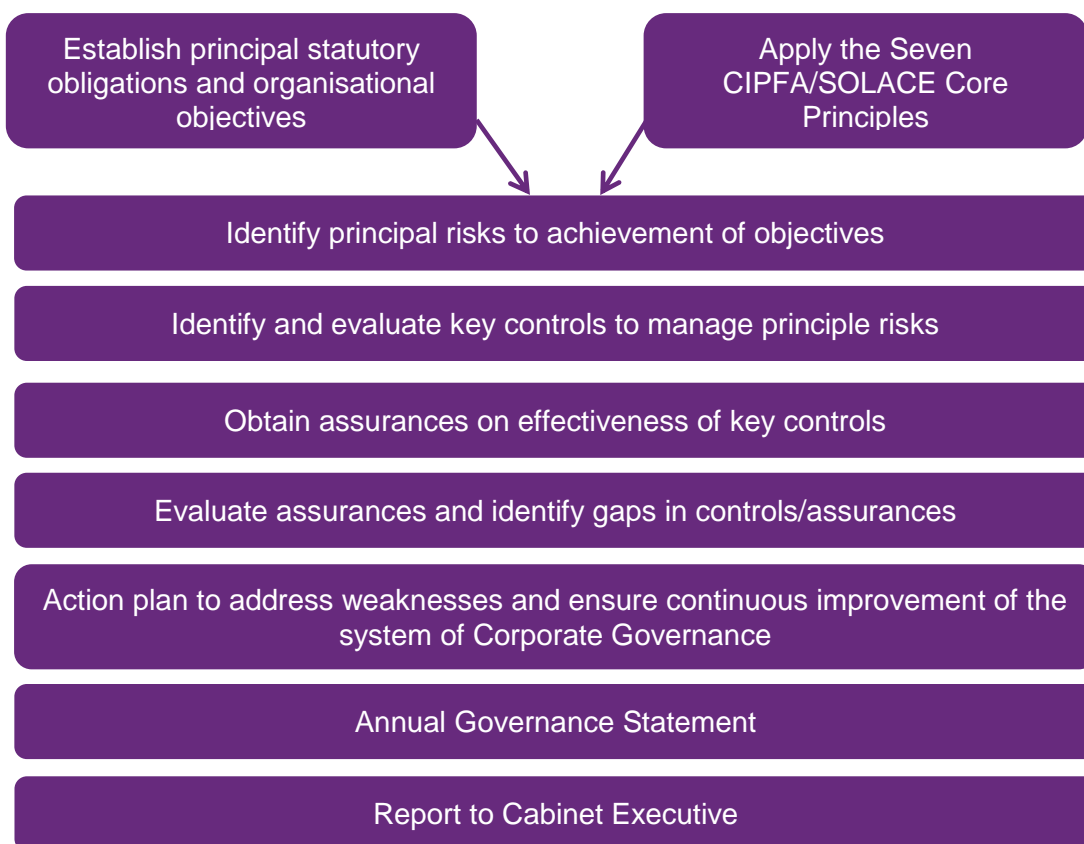
The Local Code of Corporate Governance has been reviewed again this year; it is felt that it is still fit for purpose and needs no further amendment.

#### 4.2 Proposal(s)

A review of the systems of governance in respect of 2022/23 financial year has been carried out and the findings summarised in the review of effectiveness section of the Annual Governance Statement.

The assurance review is attached at Appendix C and identifies examples of assurances in respect of those governance arrangements which are key to mitigate against significant risks to the achievement of the corporate objectives of the Council. Areas where further improvements can be made can be identified from the analysis. The chart overleaf sets out the annual governance review framework adopted by the Council.

### Review of Annual Governance Statement and the Assurance Gathering Process



#### 4.3 Relevant Consultations

Members of the Senior Leadership Team and the Senior Internal Auditor have been consulted during the process of carrying out the internal corporate assurance review.

The results from the review, set out in the Annual Governance Statement at Appendix A, has confirmed that the Council's governance arrangements and internal control environment remain sound. There are no governance matters of significant concern which require further immediate action.

#### External Auditors Review

The external audit of the draft statement of accounts for the year ended 31<sup>st</sup> March 2023 has not yet been completed by our external auditors EY LLP, due to resourcing constraints. There is therefore no opinion available to include within this report.

#### 4.4 Significant Issues None

## 5. What will it cost and are there opportunities for savings?

5.1 There are no financial implications of this report.

## 6. What are the risks and how can they be reduced?

6.1 There are no risks associated with this report. The reporting of the Annual Governance Statement itself assists in reducing risk across the Council.

## 7. Other options considered

7.1 Not to produce a separate report on the Annual Governance Statement for the Cabinet Executive. This option was dismissed given it of utmost importance that the Cabinet Executive are fully informed and assured by the completion of the Corporate Assurance Review and the production of the Governance Statement.

## 8. Environmental impact

8.1 There are no environmental impacts associated with this report.

## 9. Other significant issues

9.1 In preparing this report, the author has considered issues related to Human Rights, Legal Matters, Human Resources, Equalities, Public Health Inequalities, and Climate Local and there are no areas of concern.

9.2 There are no significant issues.

## 10. Appendix

## 10.1 Appendix A – Annual Governance Statement

## 10.2 Appendix B – Local Code of Corporate Governance

### 10.3 Appendix C – Assurance and Evidence Matrix

## 11. Background paper(s)

- 11.1 • Delivering Good Governance in Local Government Framework – CIPFA/SOLACE 2016
- Delivering Good Governance in Local Government Guidance Notes for English Authorities CIPFA/SOLACE 2016

## 12. Report author's contact details

Sarah Pennelli Executive Director (S151 Officer)  
Sarah.Pennelli@Blaby.gov.uk 0116 272 7650

## ANNUAL GOVERNANCE STATEMENT – 2022/2023

### Scope of Responsibility

Blaby District Council is responsible for ensuring that its business is conducted in accordance with the law and to proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. Blaby District Council also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, Blaby District Council is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, including arrangements for the management of risk.

Blaby District Council has approved a Local Code of Corporate Governance, which is consistent with the principles of the CIPFA/SOLACE Framework Delivering Good Governance in Local Government. A copy of the authority's code is on our web-site or can be obtained from the Finance Division at the Council Offices in Narborough. This statement explains how Blaby District Council has complied with the Code and also meets the requirements of the Accounts and Audit Regulations 2015 in relation to the preparation and approval of an Annual Governance Statement.

### Significant Events

#### Covid-19 Pandemic Recovery

During the pandemic it was necessary for the Council to ensure governance arrangements were appropriate given the changed manner of working and to continue to respond to the demands of our community. The impact during 2022/23 year had diminished, however the Council continued to manage the lasting impacts, develop and benefit from the changes in working practice that had arisen.

Measures taken by the Council included:

- Ability for office based staff to work remotely was supported with further investment into IT equipment.
- The agile manner in which staff now work was formalised in a 'Way we Work' document.
- Member meetings were held through a combination of virtual and face to face meetings.
- Contractual arrangements with leisure providers were revised taking into account the changed position following the pandemic.

Our methods of working have developed into a hybrid of a combination of remote and face to face working and governance arrangements continued to be in place with officers and members communicating through virtual means in addition to face to face contact where required.

The Council's ability to work in partnership has been evident throughout with enhanced engagement with partners through the Leicester, Leicestershire and Rutland Local Resilience Forum and this has continued as the recovery phase progressed and other significant events developed.

Further reference is made within this document regarding measures specifically taken relating to the pandemic or lasting implications where appropriate.

## Emergency Situation relating to Huncote Leisure Centre Site

In November 2021 during routine work to install landfill gas mitigation equipment contractors found elevated levels of landfill gas onsite. As a result, a decision was taken to close the site as a precautionary measure.

An emergency situation was declared by Blaby District Council and the situation has been ongoing since that date and continued into 2022/23.

Measures taken by the Council have included:

- Initial closure of the site until levels of landfill gas emission reduced and further equipment installed to allow extraction and venting of the emissions in the longer term.
- Communication with local residents, the Parish Council, partners and users of the site to ensure understanding and compliance with the site closure.
- Taking the decision to provide a sum of £500,000 from the General Fund balances for any works necessary to make the site safe. An additional £100,000 was added to this in April 22.
- Assessment of the site uses and the opening of the Leisure Centre, car park and adjoining parish field in October 2022

As at the end of March 2023 parts of the site remain closed until the remaining works necessary are carried out in order to allow the re-opening of the field and footpaths to the rear of the centre.

## Emergency Situation Ukraine Crisis and UK Support Programme

With the Russian invasion of the Ukraine in February 2022 potential support measures offered by the UK began to be released during March 2022. Blaby responded to this engaging with partners through the Leicester, Leicestershire and Rutland Local Resilience Forum to put plans in place to support the UK schemes.

Blaby took measures along with partners to:

- Carry out the assessment of sponsors' homes to ensure they were safe for their Ukrainian guests.
- Ensure that our Housing Team had capacity to deal with homeless families who arrived under the Family Visa scheme.
- Employ a dedicated officer to signpost and assist refugees

## Cost of Living Crisis

The Council monitored the development of the cost of living crisis and put in place measures to help mitigate the impact on our residents. In September 2022 the Council released a Position Statement on the Council's Response to the Cost of Living Crisis which detailed the measures put in place, these were:

- Appointment of a Cost-of-Living Support Officer to ensure our residents could access all the support they were entitled to.
- Working closely with all partners including Leicestershire County Council, Citizens Advice Bureau and Department of Work and Pensions (DWP) to maximise available support.
- Communicating through a wide range of channels all the available advice, guidance and support.
- Utilising our Hardship Fund, Hardship Reserve Fund and Council Tax Support Fund to provide any needed support as well as signposting to the County Council Household Support Fund.

- Continuing to support our community Food Banks in complying with best practice guidance where possible, providing assistance where appropriate and facilitating the sharing of local information through quarterly forums.
- Providing cost-of-living grants which our community groups can apply for to support them in covering their rising costs.
- Hosting Job Fairs to highlight job opportunities and to help residents into employment.

The Council continues to look for opportunities to support those in our district during the ongoing cost of living crisis.

## **The purpose of the governance framework**

The governance framework comprises the systems, processes, culture and values, by which the Council is directed and controlled and its activities through which it accounts to, engages with and leads the community. It enables the Council to monitor the achievements of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services.

The systems of internal control are a significant part of that framework and are designed to manage risk to a reasonable level. They cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The systems of internal control are based on an ongoing process designed to identify and prioritise the risks to the achievement of Blaby District Council's policies, aims and objectives; to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically.

The governance framework has been in place at Blaby District Council for the year ended 31 March 2023 and will continue to be in place up to the date of approval of the Statement of Accounts.

## **The Governance Framework**

The Authority's vision is set out in the Blaby District Plan which was developed with officers, Members and stakeholders in the district. The control environment encompasses the strategies, policies, plans, procedures, processes, structures, attitudes, and behaviours required to deliver good governance to all.

## **Communicating the Authority's Vision**

The Blaby District Plan was adopted by Council on the 19 January 2021 and has set our Vision, Values and Priorities for the District spanning 2021-2024. Our priorities are grouped under the three key themes based on the District being "a great place to live, work and visit".

This document encompasses our ambitions and, with partners, how we will deliver these to the community. It recognises the need for actions and support that is required to aid the recovery of our district following the pandemic. The Blaby Plan comprises of our Corporate Plan, our Medium-Term Financial Strategy (MTFS) and our People Strategy. It is not just a list of things we want to achieve but also details how we have planned all our resources, both financial and staffing to deliver these.

Alongside the new Blaby District Plan, priorities for the People Strategy and MTFS have been developed. An updated MTFS was produced alongside the annual budget setting process to ensure attention was drawn to the possible financial risk and impact associated with the changes to Business Rates and the Fair Funding Review.

## **Translating the vision into objectives for the authority and its partnerships**

The Council's objectives reflect the overall vision and are detailed in a series of critical activities which are regularly planned. It had been recognised that in some areas it is not always evident how these formed part of individual goals for staff and this was an area identified for improvement through enhancement of the staff PDA process and linkages into the vision and the Blaby District Plan and development of the Performance Framework. During this year a new system to record and track both the corporate plan and service plans has been developed. The following section lists the key elements of the systems and processes that comprise the Council's governance framework with a commentary setting out how the Council's arrangements comply with each of the principles in the CIPFA/SOLACE Framework - Delivering Good Governance in Local Government as follows:

### **Principle A – Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law**

The Council has adopted the national Code of Conduct for Members supported by the Audit and Standards Committee which monitors issues in relation to standards of behaviour. The Audit Committee and the Standards Committee were brought together as one Committee in May 2019. It was renamed the Audit and Governance Committee in May 2022. The Code of Conduct for Members was approved by Council in December 2021 and was adopted as of 1 April 2022.

There is a separate officer code of conduct.

The roles and responsibilities of the Cabinet Executive, the Non-executive members, the Scrutiny Commission and the Senior Leadership Team are set out in the Council's Constitution which provides a comprehensive framework for the management of the authority's business. This is supported by a formal Scheme of Delegation, based on a delegation by exception principle. A Member/Officer protocol ensures effective and appropriate communication between the paid establishment and elected Members. The Cabinet Executive has previously approved a recommendation from the Member Development Steering Group to adopt a comprehensive "Members Roles and Responsibilities" paper which sets out role profiles and the required skills and knowledge for the various roles Members fulfil in discharging their responsibilities.

Council policies are produced in accordance with the principles set out in the Constitution and recommended for approval following review by the Senior Leadership Team. Decision making which falls within the policy and budgetary framework rests with the Cabinet Executive whilst those decisions falling outside the framework are reserved to full Council. The call-in procedure enables the Scrutiny Commission to review decisions made by the Cabinet Executive. Day to day decision making is carried out by appropriate officers in accordance with the Scheme of Delegated Powers (which is based on a delegation by exception principle) and in accordance with the Financial Regulations. These arrangements all contribute to the economic, efficient and effective operation of the Council. The whole suite of standing orders, financial regulations and scheme of delegation are reviewed and updated as required through regular reports to Council.

### **Ensuring effective arrangements are in place for the discharge of the monitoring officer function**

The "Monitoring Officer" function was carried out by the same individual throughout the year. Initially this was on an interim basis with the individual holding the post of Democratic Services, Scrutiny and Governance Manager, having responsibility for legal matters. This arrangement was made permanent at the Council meeting of 24<sup>th</sup> May 2022 following the individual being appointed as the Corporate Services Group Manager. The Monitoring Officer position reported to the post holder of the Executive Director position throughout the year, however, the Monitoring Officer



meets directly with the Chief Executive on a monthly basis and has ability to report directly to him/her any concerns he/she may have as Monitoring Officer.

### **Ensuring effective arrangements are in place for the discharge of the Head of Paid Service function**

The “Head of Paid Service” role is undertaken by the Council’s Chief Executive. The Executive Director (Section 151 Officer) has responsibility for all HR matters and this position reports to the Chief Executive position.

### **Undertaking the core functions of an Audit Committee, as identified in CIPFA’s Audit Committees – Practical Guidance for Local Authorities**

The Council has an established Audit Committee (the Audit and Governance Committee) whose remit and functions are based on the guidance set out in a CIPFA publication which identifies best practice in relation to roles and responsibilities. The Committee meets quarterly and receives regular reports from both the Section 151 Officer, Finance Group Manager and the Audit Manager. Arrangements are in place for the Audit Manager to report independently to the Audit Committee should he/she feel it appropriate to do so.

### **Ensuring compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful**

The Council ensures compliance with established policies, procedures, laws and regulations through various channels. Two statutory officers (the Section 151 Officer and the Monitoring Officer) have responsibility for ensuring that the Council does not act in an ultra vires manner, supported by the Finance Group Manager and the Council Tax, Income and Debt Manager who facilitate the management and mitigation of risk and the Audit Manager who provides assurance on matters of internal financial control. The Human Resources function, through the use of Performance Development Appraisals, assesses (and provides a means of improving) competencies to ensure that officers are equipped to discharge their duties in accordance with the requirements of the Council.

### **Whistle-blowing and receiving and investigating complaints from the public**

The Council has in place and promotes appropriate whistle blowing policies and procedures which are regularly reviewed and updated where required. A revised Whistle Blowing (Raising Concerns) policy was reviewed and updated in September 2021. Staff are aware of the Whistle Blowing policy and it has been highlighted in Blaby Matters. There is also a well-established and responsive complaints procedure to deal with both informal and formal complaints from its customers and the residents of the District. Regular information relating to performance in respect of complaints (and compliments) is presented to the Senior Leadership Team.

## **Principle B. Ensuring openness and comprehensive stakeholder engagement**

The Blaby District Plan sets out the Authority’s vision, values and priorities, the resources that the Council has to deliver these (within the MTFS) and how we support our officers to deliver the plan within our People Strategy. Objectives are set that link with the priorities and these are monitored through the year by the Senior Leadership Team within the Project Management reporting structure. The authority works closely with other local public bodies, community and voluntary groups via a partnership approach to ensure effective delivery of its services.

We have an active voluntary forum through which the Authority provides support to those in our community whilst engaging with them to understand how we can improve our services.



Engagement with our voluntary community and new/temporary volunteers increased during the pandemic and we have taken measures to ensure we retain connection with these groups.

Customer satisfaction with services is monitored through local and service specific surveys, and electronic means to provide feedback on a range of activities and issues.

The Council produces regular e-newsletters for residents and businesses within the District which, in addition to providing information and advice, seeks to receive the views of the residents on a wide range of issues. During the pandemic the Council moved to electronic means of communication with more regular updates to our residents and this has continued. Targeted service priority consultation exercises are undertaken to inform the future allocation of resources. The Council carries out a bi-annual Residents Survey which includes consultation on potential Council Tax increases and satisfaction levels for a range of Council services. This was carried out in January 2022 with 1804 responses received. A survey, specifically related to the budget and Council Tax increases was carried out in January 2023 with 1,115 responses received with 61% being supportive of a 2.99% increase in Council Tax.

In January 2020 a consultation was carried out asking for resident's views on the priorities to be included within the new Blaby District Plan. 756 responses were received with over 80% of residents agreeing with the proposed priorities. These results went on to inform the Blaby District Plan 2021/2024.

The Council works closely with its 24 Parish Councils. Officers attend a Parish Liaison Group, which has representatives from all other districts and Leicestershire County Council. We regularly send information through to our parishes in relation to funding opportunities.

The Council has established effective Business Breakfast meetings and holds regular meetings with the head teachers of the Academies in the district. It has a Youth Council which has played an active role, this year, in raising awareness about the green agenda, hate crime and vaping; a particular concern that they identified.

The Council held a Youth Conference in February 2023 which was an opportunity for young people to have their say with elected members regarding issues most important to them. The event also provides an insight into what the Youth Council does and the opportunity to take part in a debate as well as attracting new members to join our Youth Council. This year the young attendees created some fantastic material such as hate crime masks and videos, vaping posters and Green Agenda pledges which are being used to form campaigns moving forward. Many also wrote letters to our local MP's about what should be done to reduce vaping among young people.

Engagement with some of our academies and primary schools in the district continued, working with them to explore career opportunities, with a number of events spanning a range of sectors including, construction, tourism, logistics and hospitality.

In order to demonstrate its openness the Authority also publishes:

- A Forward Plan 28 days before the Cabinet Executive meets and provides:
  - a) The public with details of all key, non key and budget and policy framework decisions to be taken by Members over a minimum period of four months ahead
  - b) An aide-memoire for the Council's informal board of senior Members and officers to identify future issues for further discussion
  - c) The Scrutiny Commission with information to consider areas where it may wish to seek involvement in policy development

- Its pay policy
- Council, Cabinet and Committee Reports
- Payments over £250

In order to keep the public informed the Authority proactively prepares appropriate press releases. The Council has an award-winning website which is user friendly and well-designed and the frequent use of social media channels of communication have enabled the Council to reach more of our residents effectively. During this year an independent review of the Council's communication function was carried out to provide insight and highlight any improvements that could be made. The Council's Communication Strategy will be updated in the coming year following the development of the new Blaby District Plan.

Scrutiny of the Council's budget for 2022/23 took place over three meetings in January 2022. These meetings were open to all Members and attendance levels were high.

### **Principle C – Defining outcomes in terms of sustainable economic, social and environmental benefits**

Incorporating good governance arrangements in respect of partnerships and other group working as identified by the Audit Commission's report on the governance of partnerships, and reflecting these in the authority's overall governance arrangements.

The Council participates in a range of joint working arrangements with other bodies, some of which are more significant than others. For those that deliver services to our customers there are service level agreements or contractual arrangements in place to ensure delivery and protect reputational risk. Should there be corporate risks based on partnership arrangements these will be detailed within the corporate risk register. The Council is particularly mindful of the financial and reputational risks that can arise through entering into joint working and collaborative arrangements, including the potential for a detrimental reputation impact on the Council should the partnership fail. It therefore actively supports and encourages an "open book" approach wherever possible.

### **Enhancing the accountability for service delivery and effectiveness of other public service providers**

In 2022/23 work commenced to develop a Community Health and Wellbeing Plan (CHWP) with a working group being formed with membership from Blaby DC, Public Health, Leicestershire County Council, and NHS partners. This has now developed into the Blaby Community Health and Wellbeing Partnership. This Partnership has carried out a needs assessment and worked with stakeholders to prioritise actions arising. The Partnership will continue to oversee the development of action plans, support the delivery of the final CHWP and monitor progress.

Social Prescribing is part of the NHS long-Term Plan to make personalised care business as usual across the health and care system. Social prescribing works for a wide range of people and issues, including people with one or more long term conditions, who need support with their mental health, who are lonely or isolated or who have complex social needs which affect their wellbeing. In Blaby we have a unique set up with our Primary Care Networks which sees Blaby District Council staff seconded into these roles. This arrangement continued for both the North Blaby PCN and the South Blaby and Lutterworth PCN until 31 March 2023.

The Council is a member of the Leicestershire Housing Services Partnership which is made up of local authorities, registered providers and third sector organisations who work to deliver a joint action plan aimed at improving outcomes. One of the positive outcomes from this group has been the success of the bids for the Rough Sleepers Initiative Programme and the Rough Sleepers

Accommodation Programme which have helped to improve options for homeless households across the County at a time of increased homelessness presentations.

The Leicester, Leicestershire and Rutland Chief Housing Officers Group forms part of the Housing Services Partnership and is cognisant of the wider housing impacts and as a partnership are concentrating on:

- Understanding the housing impact of increase levels of household unemployment and financial instability
- Identifying and then meeting (wherever possible) the wider support and complex needs of housing customers
- Effectively supporting staff to maintain positive mental wellbeing and health as well as identifying appropriate training and career opportunities
- Working in partnership with key agencies to improve the housing offer to customers for example health, probation, adult social care
- Working collectively to address increased levels of homelessness and maximising opportunities for funding to deliver appropriate accommodation.
- Supporting initiatives such as the Staying Healthy partnership by enabling safe and healthy homes and preventing homelessness wherever possible

The Chief Housing Officers Group has continued to work well with partners and in particular in relation to the increase in homelessness presentations which have remained high across the County but also in relation to other key housing areas including, Children and Young People, Community Safety, Strategic Housing as well as being reactive to emergency occurrences e.g. accommodating families from the Afghanistan resettlement schemes and the Lithuanian Refugees. Blaby has also led on initiatives such as the bids for the Rough Sleepers Accommodation Programme which have been successful in providing self-contained accommodation for Rough Sleepers or those threatened with Rough Sleeping.

The Council leads on the Lightbulb programme; a transformational project designed to improve and transform housing related support services across the County as well as improving hospital discharge services. Lightbulb has won 3 major accolades: -

- Winning the Local Government Chronicle award for best Public/Public Partnership
- Named the best collaborative working initiative by the Association for Public Service Excellence
- Highly commended at the Home Improvement Agency Awards

In 2022/23 the average time taken for completion of works is at 19 weeks, which is below the locally set 20 week KPI. There continues to be complications within the construction industry; we work hard to mitigate these including using frameworks and procurement and working with local providers.

In 2022/23, there was 2,450 referrals made to the Housing Support Coordinators. This resulted in 6,871 onward referrals for things to make their homes safer, such as smoke alarms. There have been more complex referrals and urgent discharge cases. From the Housing MOTs services were delivered at an average of 27 days duration, which is below the 42 day average of service delivery pre Lightbulb.

Also, in 2022/23 there were 50 applications to the Home Support Grant and 32 applications to the Hospital Discharge Grant. The commissioned pilots via lightbulb continue and provide invaluable insight into needs of residents and the benefits of prevention work. There are a number of schemes being piloted.

- Safe Spaces Project which supports individuals whose property is hoarded.

- The Home Gadgets project which sees technology supplied to help individuals with Dementia or health conditions remain as independent as possible in their own home.
- Housing Occupational therapists – looking at streamlining the hospital discharge process and adaptations.
- Green grant – support to ensure properties are efficient and help future proof for health and cost of living.

Lightbulb continues to seek ways of improving our resident's wellbeing and will be reviewing all pilots during 23/24.

The Council formally merged the Community Safety Partnership (CSP) of both Blaby and Hinckley and Bosworth in April 2016. Together the CSP's across Leicestershire work with the Police, Fire, Probation Services, County Council and Clinical Commissioning Groups to develop and implement strategies to protect local communities from crime and to help people feel safe. Local approaches to deal with issues including antisocial behaviour, drug or alcohol misuse and re-offending are also developed through the joint working.

The Council has over recent years invested considerably to promote the economic development of the district. We have, this year seen the continuation of how our proactive approach to good business development in our district and working in partnership with local business has generated growth, with the Fosse West development being completed and units opened.

The Council leads a Building Control Partnership on behalf of five other local authorities including Harborough, Oadby and Wigston, Hinckley and Bosworth, Melton and Rutland County Council. A governance structure has been set up which includes a Management Board that meets quarterly to review performance of the service, income generation and make decisions on future priorities. Initially the partnership was delivered through a shared service agreement however, in November 2021 a decision was made by Council to operate the Building Control Partnership under delegated authority and this structure has been in place since April 22.

Through a delegation of statutory responsibility, Blaby provides a Local Land Charge service for both Hinckley and Bosworth Borough Council and Oadby and Wigston Borough Council. Through this arrangement Blaby maintains local land charges registers, processes official searches and provides access to the local land charges register under the Environmental Information Regulations for personal searches.

This arrangement has provided resilience in service across all authorities the service being highly commended at the Local Land Charges awards 2019 and shortlisted by Land Data in 2021 and 2022 for Team of the Year.

From April 2023 Blaby District Council is collaborating with neighbouring authority Oadby and Wigston Borough Council to expand its sport, physical activity and community health and wellbeing work. Blaby District Council will undertake work on behalf of Oadby & Wigston Borough Council for Physical Activity and Community Health & Wellbeing. Economies of scale are expected to be achieved by commissioning external providers to run classes across both districts. Alongside this the development of the two Community Health & Wellbeing plans will also provide the opportunity to tackle jointly any gaps in provision or where we have the same health inequalities.

The Council continues to work closely with the academies in our District and meetings cover a wide breadth of matters including: creating workplace opportunities in Blaby District and gaining benefit from developments under construction in our district; workplace health initiatives and creating linkages in our community to promote community safety. This meeting has also facilitated

closer relationships being developed with the academies and both the police, local community groups and officers from children's support services at Leicestershire County Council.

## **Principle D – Determining the interventions necessary to optimise the achievement of the intended outcome**

The Blaby District Plan sets out our ambitions for the Council and sits alongside our Medium-Term Financial Strategy and our People Strategy and these detail how we have planned all our resources, both financial and staffing to deliver these.

The Council's service and financial planning process ensures that resource redirection and allocation is aligned to the priorities emanating from the Blaby District Plan. The Council has in place Contract Standing Orders and Financial Regulations designed to ensure that the Council achieves value for money in discharging its procurement requirements.

The system of internal financial control is based on a framework of regular management information, financial regulations, administrative procedures, management supervision and a system of delegation and accountability.

Development and maintenance of the system is undertaken by the Senior Leadership Team within the Council and its effectiveness is reviewed by either external or internal audit. In particular, the arrangements include:

- The MediumTerm Financial Strategy is now part of the Blaby District Plan but includes a Financial Summary spanning future years which is revised annually.
- A 5 Year Capital Programme including asset investment.
- An effective system of budgetary control.
- The preparation and review of regular and timely financial reports which indicate financial performance against the forecasts.
- Clearly defined capital appraisal, funding and expenditure controls.
- Formal project management disciplines where appropriate
- Performance management reports

The Council continues to embed a "project board" approach to implementing change and transformation. A focus has been placed on project management and the regular monitoring of project delivery with the SLT meeting monthly to review progress and the Council invested in additional resource during this year to enhance this focus. Ultimately this is led by the Chief Executive and will continue to ensure focus is placed on continuing improvement and learning. Members are fully engaged in this process with both a Cabinet Executive portfolio holder having specific responsibility for driving and monitoring the change process. The Scrutiny Commission, through its working groups are actively involved in examining the detail of processes and change reviews.

## **Principle E – Developing the entity's capacity including the capability of its leadership and the individuals within it.**

Members who joined the Council in 2019/20 underwent a comprehensive induction programme and this has continued to be built upon throughout the member's term, with various training sessions to ensure they are fully equipped to fulfil their roles. As the Council prepared for district elections in May 2023 a number of prospective member events were delivered to assist and encourage members of the public to stand for district and parish seats and a full induction programme has been developed to deliver to new Members following the district elections which is built upon in preparation for future use.

## Identifying the development needs of members and senior officers in relation to their strategic roles, supported by appropriate training

The Council fully supports the requirements to ensure that both Members and senior officers have the necessary skill sets to fulfil their strategic role in the organisation. The Council continues to invest in development for officers and managers. All people managers continue to be supported to understand staff wellbeing and manager participation in HR workshops continued virtually and some face to face training has resumed. During the year training on commercial behaviours and development of a business case were delivered and also awareness & training sessions held on subjects such as Safeguarding, raising awareness of ADHD, Dyslexia and autism. A group of officers also attended the East Midlands Challenge Event giving them an insight into issues faced when in strategic roles. During the year 3 apprenticeships were supported with two degree level apprenticeships continuing into the next year. We collaborated with local Councils on an ILM Manager Development programme, with 5 Managers on the first cohort, positive feedback on the skills gained and more cohorts to follow.

The Council delivers specific Member training around planning, local government finance, good governance and the risks and responsibilities that go with their individual roles. This year in particular there has been some training regarding good scrutiny following some improvements identified in the Peer Review which took place at the start of the year. We undertake a full induction programme for new Members and those starting mid-term.

The Council continues to adhere to the principles of the East Midlands Councils Elected Member Development Charter. The Charter provides a set of national standards for authorities to achieve, ensuring elected Members are equipped to have the knowledge and skills to be effective community leaders.

## **Principle F – Managing risks and performance through robust internal control and strong public management**

The Council has invested in putting in place a new clear and coherent framework for managing and monitoring performance. The full benefit of this will be seen in the forthcoming year, however extensive work has been put in place to develop a much improved performance system utilising a system called Pentana. This has recently gone live and in coming months will see access for both officers and members to access performance data.

A Six Monthly Performance Report is presented to Council which provides a summary of progress and performance against the priorities within the Blaby District Plan. This report encompasses a whole Council approach focused on the three priorities; A Place to Live, A Place to Work, A Place to Visit, and it is recognised that all services contribute to the successful delivery of the Council's Plan.

It also includes a selection of statutory indicators and the most up to date comparable data for all English District Councils. This report is also presented at Scrutiny Commission meetings. The responsibility for Performance Management sits with the Portfolio Holder for Finance, Assets and Performance. All Cabinet members provide challenge through our reporting channels.

During this year the Council used the InPhase system to record performance indicators and officers had access to the InPhase performance data in order that monitoring could be carried out across services. InPhase has been replaced for the forthcoming year with the Pentana system, which will be used to report both performance, risk and projects.

The Council has in place a Risk Management Policy and Strategy to ensure that the management of risk, is embedded within the organisation at both the strategic and operational level with both Members and senior officers having specific roles and responsibilities identified. A Corporate



Risk Management Group, headed by the Chief Executive and supported by the performance team provides leadership, whilst the post of Finance Group Manager has specific responsibility to co-ordinate the management of risk across the Council. Both Members and officers are trained so that they are equipped to manage risk in a way appropriate to their duties. Risk assessments are a pre-requisite for all capital project appraisals and form an integral element of Project Plans. The Council utilised a software package (InPhase) in 2022/23 to assist with the management and monitoring of both performance and risks. This included a risk tracking facility to continuously monitor the Council's corporate exposure to areas classified as high risk. Members of the Audit Committee received regular risk monitoring reports. The InPhase system has been replaced by Pentana and will be utilised in 2023/24 onwards.

## **Principle G – Implementing good practices in transparency, reporting and audit to deliver effective accountability**

### **Ensuring the Authority's Financial Management Arrangements Conform with the Governance Requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government**

The CIPFA Statement was originally published in March 2009 in respect of the Role of the Chief Financial Officer in public services as a whole and was considered by the Council's Cabinet Executive in July of that year. The following year a further version was produced which was specifically directed towards Chief Financial Officers serving in local government. The five underlying principles however remained the same. The Council's financial management arrangements conform with the governance requirements as set out in the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2016).

During this year, the Executive Director (S151 Officer) held the position of S151 Officer.

### **Ensuring the authority's assurance arrangements addresses the governance requirements of the CIPFA Statement on the Role of the Head of Internal Audit (2019)**

The Council's internal reporting arrangements are designed to ensure the independence of the internal audit function. Appropriate resources are made available to provide an independent, objective assurance and consulting activity designed to add value and improve the Council's operations. It brings a systemic disciplined approach to evaluating and improving the effectiveness of risk management, control and governance processes. The Audit Manager reports directly to the Council's Audit and Standards Committee on all matters appertaining to audit outcomes.

### **Review of Effectiveness**

Blaby District Council undertakes, on an annual basis, a review of the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by a) the work of the senior managers within the Council who have responsibility for the development and maintenance of the governance environment, b) the Audit Manager's annual report and c) by comments made by the external auditors and other review agencies and inspectorates.

Part of this process is to carry out an assurance review which identifies examples of assurances in respect of those governance arrangements which are key to mitigate against significant risks to the achievement of the corporate objectives of the Council. Whilst a number of actions were identified through this process they don't relate specifically to governance matters, but illustrate the Council's commitment to continuous improvement. The actions are listed in the table below for completeness. The comprehensive detail of the assurance review completed will be presented as

an appendix to the Annual Governance Report which will be considered by Cabinet Executive in July 2023.

Core Principal 1: A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

**Supporting Principle 1 : Behaving with Integrity**

Action – To develop revised PDA documentation to enhance the process and to ensure they are carried out for all staff.

Core Principal B: Ensuring openness and comprehensive stakeholder engagement

**Supporting Principle 2 : Engaging comprehensively with institutional**

Action – Update the Communication Strategy following development of New Blaby District Plan.

**Supporting Principle 3 : Engaging stakeholders effectively, including individual citizens and service users**

Action – Build on the outcomes taken from the review of the Communications function to strengthen the proactive promotion of the Council.

Action – Update the Communication Strategy following development of New Blaby District Plan.

Core Principal C: Defining outcomes in terms of sustainable economic, social, and environmental benefits

**Supporting Principle 1 : Defining outcomes**

Action – Develop the long term Vision for the District and develop the Blaby District Plan for future years.

Action – Embed the new business planning, data intelligence and risk management process that has been implemented during 2022/23 utilising the Pentana system.

**Supporting Principle 2 : Sustainable economic, social and environmental benefits**

Action – Briefing for all members, new and returning regarding Council finance incorporating Fair Funding and Business Rates.

Core Principal D: Determining the interventions necessary to optimise the achievement of the intended outcomes

**Supporting Principle 2 : Planning interventions**

Action – Embed the new business planning, data intelligence and risk management process utilising the Pentana system to report KPI's.

Action – Service Planning and Budget setting to be aligned to ensure resources are in place.

**Supporting Principle 3 : Optimising achievement of intended outcomes**

Action – Budget setting and monitoring to be further developed to ensure that budget is tailored and trimmed.



Core Principal E: Developing the entity's capacity, including the capability of its leadership and the individuals within it

**Supporting Principle 1 : Developing the entity's capacity**

Action- Investigate the use of benchmarking information to enhance the performance framework and support decision making.

Action – Continue to develop workforce policy updates and development and retention initiatives to assist recruitment and retention of staff.

**Supporting Principle 2 : Developing the capability of the entity's leadership and other individuals**

Action – To develop revised PDA documentation to enhance the process and to ensure they are carried out for all staff.

Core Principal F : Managing risks and performance through robust internal control and strong public financial management

**Supporting Principle 1 : Managing risk**

Action – Utilise the new Pentana system to record risks and ensure lower level risks are managed across the organisation.

Action – Update the Risk Management Strategy in 2023.

**Supporting Principle 2 : Managing Performance**

Action – monitor the use of the new Corporate performance framework and reporting system to ensure the authority has an overall view of performance. Investigate the use of benchmarking information to enhance the performance framework further.

**Supporting Principle 3 : Robust internal control**

Action – Consideration of the CIPFA Practical Guidance for Local Authorities and Police (CIPFA, 2022) to ensure compliance with best practice for the Council's Audit & Governance Committee.

**Supporting Principle 5 : Strong public financial management**

Action – Provide training for budget managers to ensure they understand their budget and can re-forecast accurately during the year.

There were no actions from previous years that had not been addressed, however some actions will continue to be built upon in 2023/24.

## Review of Compliance with Financial Management Code 2022/23

The Council carried out a review of compliance with the FM Code in advance of 2022/23. It was considered by the Audit and Standards Committee in July 2021 and the action plan arising from the review approved by Cabinet Executive in September. The document was made available to the public. Whilst the Authority was found to be compliant with many aspects of the FM Code, there were a number of areas that were partially compliant. An action plan was developed and all areas addressed to ensure compliance.

## Role of the Council

The extent of the role of full Council in reviewing and monitoring effectiveness of internal control is set out in Article 4 of the Council's constitution. Article 4 provides that the Council is responsible for setting the policy and budgetary framework.

It is the responsibility of the statutory officers to report to Council on any issues concerning the review of the effectiveness of internal control arrangements where such cases fall outside the delegated power of other decision making bodies of the Council. There have been no issues arising during 2022/23 which have required the full Council to exercise its role.

The Constitution of the Council is subject to a continuous review process and a delegation by exception scheme forms an integral part of the arrangements. The Constitution underwent a revision in 2016/17 and the new version, which was actively reviewed by Members, was approved by Council on 24 May 2016. Amendments to the Constitution are brought before Council throughout the year as part of the continuous review process and annually to ensure it is fit for purpose.

The Council formally reviews its Financial Regulations on a regular basis albeit ongoing updates are implemented as part of the regular reviews of the Constitution.

### Role of Cabinet Executive

The role of the Cabinet Executive is to receive, consider and approve the Annual Governance Statement and to monitor the implementation of any Action Plans arising out of the review of its governance arrangements.

### Role of Audit Committee

A formal Audit Committee, constituted on the basis of the guidance issued by the

Chartered Institute of Public Finance, including the adoption of a “Statement of Purpose”, was established in 2008.

The Audit Committee (The Audit and Corporate Governance Committee) meets on a quarterly basis. It has responsibility for considering the findings of the annual review of the effectiveness of the internal audit function in addition to receiving regular monitoring reports from the Audit Manager. The annual external audit plan is also approved by the Audit Committee.

### Role of Scrutiny Committee

The Council has a well established Scrutiny Commission supported by working panels who are assigned specific projects to be undertaken. The Commission can “call in” a decision which has been made by the Cabinet Executive but not yet implemented, to enable them to consider whether the decision is appropriate.

### Risk Management

The Corporate Risk Group regularly reviews the Risk Management Strategy to ensure its continued relevance to the Council. The reviews also assess performance against the aims and objectives of the Risk Management Strategy.

The Finance Group Manager provides regular progress reports to the Corporate Risk Group and the Senior Leadership Team bringing to their attention any significant risks which have been identified. The Corporate Risk Group/Senior Leadership Team also:

- Reviews the Council's strategic/operational risk registers and associated action plans
- Ensures that the appropriate management action is taken to minimise/eliminate risk

Audit and Corporate Governance Committee review the Strategic Risk Register and mitigating actions regularly. They also have responsibility for reviewing and recommending the Risk Management Strategy at regular intervals.

## Role of Internal Audit

Internal Audit is provided in accordance with the statutory responsibility under Section 151 of the Local Government Act 1972, the Accounts and Audit Regulations and the Public Sector Internal Audit Standards. It is managed on a day to day basis by the Audit Manager who reports to the Executive Director. There is however also an indirect reporting line to the Executive Director (Section 151 Officer) in relation to matters of a technical or professional nature.

Internal Audit objectively examines, evaluates and reports on the adequacy of internal controls and governance as a contribution to the proper, economic and effective use of resources. During 2022/23 this responsibility was carried out following an approved risk based annual audit plan. The Audit Manager produces quarterly progress monitoring reports against the plan to the Audit and Corporate Governance Committee.

The internal reporting process for audit work requires a report of each audit to be submitted to the relevant Group/Corporate Manager and/or Service Manager. The report includes recommendations for improvements that are included within an action plan and require agreement or rejection by the relevant managers. The process also includes regular reviews of recommendations to ensure that they are acted upon. A summary of all audits carried out, including a grading rating which reflects the effectiveness of the controls in place and an analysis of the recommendations is submitted to each quarterly Audit and Corporate Governance Committee meeting.

The Public Sector Internal Audit Standards (PSIAS), introduced on 1 April 2013, and revised in April 2016 and again in 2017, require an external assessment of compliance with the Standards to be carried out at least once every five years.

The assessment was carried out in November 2020 and found that the internal audit function at Blaby District Council conforms with the PSIAS and there were no areas of non-compliance identified. The final report was presented to the Audit and Standards Committee on 1 February 2021 along with an action plan containing minor action points which the Audit Manager is implementing to improve overall compliance with the Standards.

The Shared Service Audit Manager provides an independent opinion on the internal control environment to the Audit and Corporate Governance Committee which then feeds into the Annual Governance Statement process. For the 12 months ended 31 March 2023, based upon the work undertaken by Internal Audit during the year and additional information provided by relevant managers on their responses to audit recommendations, the Audit Manager has formed the opinion that she is able to give **reasonable assurance** on the Council's overall internal control arrangements. To be consistent with our Internal Audit opinion definitions, this means that there is a generally sound system of governance, risk management and control in place. Some issues, non-compliance or scope for improvement were identified which may put at risk the achievement of objectives in the areas audited. This is a positive assurance opinion overall which will be detailed in the report of the Audit Manager's 'Internal Audit Annual Report 2022/2023' which will be presented to the Audit and Governance Committee on 13th July 2023.

All but two internal audit reports issued during 2022/23 were issued with either substantial or reasonable assurance opinions. Both reports were issued with limited assurance opinions and recommendations made within the audits have already been addressed or plans have been put in place to ensure they are addressed. A small number of high priority recommendations were made in respect of all the audit reviews undertaken. These relate to specific systems and/or service areas with the majority of these recommendations already implemented and others in progress. It is not therefore considered necessary to include them in the Annual Governance Statement.

## Other Explicit Review/Assurance Mechanisms

The Corporate Services Group Manager (the “Monitoring Officer”) has a duty to monitor and review the operation of the Constitution to ensure its aims and principles are given full effect. The Constitution underwent a revision in 2016/17 and the new version, which was actively reviewed by Members, was approved by Council on 24 May 2016.

Statements of Assurance are received from senior officers regarding internal control issues in line with the guidance set out in “Delivering Good Governance in Local Government”.

In November 2021 the Council invited the LGA to carry out a Finance Health Check which gave a view of the robustness of the Council’s financial arrangements. The report, received in December 2021, concluded that the Council is well managed financially and has consistently spent within its budget. The report went on to provide a number of recommendations all of which were either completed or have been incorporated into our financial considerations on an ongoing basis.

The Council has continued the engagement with the LGA Peer Review process; the first review being in 2015 followed by a further review in 2018. Both reviews were very positive, described Blaby District Council as “a great council which is performing well with no major concerns. There are many examples of good services and projects with a strong focus on doing the right thing for Blaby’s residents and customers at all levels of the organisation.”

A more recent Peer Review (now referred to as a Corporate Peer Challenge) was performed in March 2022 and was again very positive with the report summarising that “Blaby District Council (BDC) is a well-run local authority; it has a sound financial position, strong leadership, particularly through its Leader and Chief Executive, and committed staff. There is real ownership by members and officers, and everyone wants to do their best for Blaby as a council, place and for its communities.”

The final report was reported to Council in July 2022 alongside an action plan that has been put in place to address recommendations made for improvement. The LGA Peer Challenge team returned to the Council in December 2022 to review the Council’s progress reporting that “Blaby DC is clearly committed to addressing all the CPC’s recommendations and has made excellent progress in doing so. This is all the more impressive, given that the council, like others, is responding to the ongoing challenging, economic environment.”

## Statement of Leader and Chief Executive

We have been advised on the implications of the result of the review of the effectiveness of the governance framework carried out by members of the Senior Leadership Team and that the arrangements continue to be regarded as fit for purpose in accordance with the governance framework.

## Significant governance issues

Whilst there are no significant governance issues to report, nevertheless the Council continues to seek to enhance and strengthen our governance arrangements where improvements can be identified. We will monitor progress made as part of our next annual review.

Signed \_\_\_\_\_  
Leader of the Council  
July 2023

Signed \_\_\_\_\_  
Chief Executive  
July 2023

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## **Local Code of Corporate Governance**

### **Introduction**

Each local authority operates through a governance framework. It is an interrelated system that brings together an underlying set of legislative requirements, governance principles and management processes. Traditionally, local government has conformed in whole or in part and in many different ways to the principles of good governance and has had a sound base on which to build. There has been a strong regulatory framework in existence and robust arrangements for monitoring review.

### **Fundamental Principles of Corporate Governance**

The report of the Committee on the Financial Aspects of Corporate Governance (the Cadbury Report) identified three fundamental principles of corporate governance as:

<b>Openness</b>	An open approach is required to ensure all interested parties are confident in the organisation itself. Being open in the disclosure of information leads to effective and timely action and lends itself to necessary scrutiny.
<b>Integrity</b>	This is described as both straightforward dealing and completeness. It should be reflected in the honesty of an organisation's annual report and its portrayal of a balanced view. The integrity of reports depends on the integrity of those who prepare and present them which, in turn, is a reflection of the professional standards within the organisation.
<b>Accountability</b>	This is the process whereby individuals are responsible for their actions. It is achieved by all parties having a clear understanding of those responsibilities and having clearly defined roles through a robust structure.

The Cadbury Report defined these three principles in the context of the private sector, and, more specifically, of public companies, but they are as relevant to public service bodies as they are to private sector entities.

### **Principles of Conduct in Public Life**

Aspects of corporate governance in the public services have been addressed by the Committee on Standards in Public Life (the Nolan Committee) which was established in 1994 to examine concerns about standards of conduct by holders of public office. Standards of conduct are regarded as one of the key dimensions of good governance. The first report, published in May 1995, identified and defined seven general principles of conduct which should underpin public life, and recommend that all public service bodies draw up codes of conduct incorporating these principles. These principles in public life are:

<b>Selflessness</b>	Holders of public office should take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.
<b>Integrity</b>	Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might influence them in the performance of their official duties.
<b>Objectivity</b>	In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.
<b>Accountability</b>	Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.
<b>Openness</b>	Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and actions and restrict information only when the wider public interest clearly demands.
<b>Honesty</b>	Holders of public office have duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.
<b>Leadership</b>	Holders of public office should promote and support these principles by leadership and example.

The Relevant Authorities (General Principles) Order 2001 outlined three additional principles to those identified by the Nolan Committee. These three are defined below. As part of the new ethical framework, the Local Government Act 2000 (England and Wales) provided for the development of a model code of conduct covering the behaviour of elected members and gave the Secretary of State and the National Assembly for Wales power to develop a set of general principles of conduct.

<b>Respect for Others</b>	Members should promote equality by not discriminating unlawfully against any person, and by treating people with respect, regardless of their age, religion, gender, sexual orientation or disability. They should respect the impartiality and integrity of the authority's statutory officers and its other employees.
<b>Duty to uphold the law</b>	Members should uphold the law, and on all occasions, act in accordance with the trust that the public is entitled to place in them.
<b>Stewardship</b>	Members should do whatever they are able to do to ensure that their authorities use their resources prudently and in accordance with the law.

These ten principles are incorporated into the Council's Constitution.

## **Good Governance Standards for Local Government**

Delivering Good Governance in Local Government Framework 2016 published by the Chartered Institute of Public Finance & Accountancy (CIPFA) in association with Solace defines the principles that should underpin the governance of each local government organisation.

The concept underpinning the Framework is that it is helping local government in taking responsibility for developing and shaping an informed approach to governance, aimed at achieving the highest standards in a measured and proportionate way. The Framework is intended to assist authorities individually in reviewing and accounting for their own unique approach with the overall aim to ensure that:

- Resources are directed in accordance with agreed policy and according to priorities
- There is sound and inclusive decision making
- There is clear accountability for the use of those resources in order to achieve desired outcomes for service users and communities.

### **The Governing Body**

The governing body of an organisation has overall responsibility for directing and controlling that organisation. In local government the governing body is the full Council. For England and Wales, the Local Government Act 2000 introduced new governing structures for all local councils, clarifying responsibility for making decisions and establishing a scrutiny role. Councils such as Blaby, with populations above 85,000 are required to have 'executive arrangements' whereby the executive comprises elected members.

Executive arrangements must include one or more overview and scrutiny committees through which non-executive councillors can question and challenge the policy and performance of the executive and promote public debate. The Local Government and Public Involvement in Health Act 2007 enables them to challenge the policies and practices of certain bodies. Councils also have the power to promote the economic, social and environmental well-being of their areas and to work with other bodies to develop community strategies.

Elected members are collectively responsible for the governance of the Council. The full Council's responsibilities include:

- Agreeing the Council's constitution comprising the key governance documents including the executive arrangements and making major changes to reflect best practice
- Agreeing the policy framework as defined in Article A or the Constitution
- Agreeing the budget

The Cabinet Executive is responsible for :



- All functions and powers other than those reserved to full Council or other bodies and as stated in part 3 of the Council's constitution
- Proposing the budget
- Implementing the policy framework and key strategies
- Its delegation scheme

The Chief Executive advises Councillors on policy and necessary procedures to drive the aims and objectives of the authority. The Chief Executive leads a Senior Leadership Team which is responsible for advising the executive and scrutiny committees on legislative, financial and other policy considerations to achieve the aims and objectives of the authority and is responsible for implementing Council decisions and for service performance.

### **The Local Code of Corporate Governance**

Set out in this document is the Council's proposed updated Local Code of Corporate Governance which is based on the seven core principles adopted for local government from the report of the Independent Commission on Good Governance in Public Services. The seven principles being:-

Principle A - Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law.

Principle B – Ensuring openness and comprehensive stakeholder engagement.

Principle C – Defining outcomes in terms of sustainable economic, social, and environmental benefits.

Principle D – Determining the interventions necessary to optimise the achievement of the intended outcomes.

Principle E – Developing the entity's capacity, including the capability of its leadership and the individuals within it.

Principle F – Managing risks and performance through robust internal control and strong public financial management.

Principle G - Implementing good practices in transparency, reporting, and audit to deliver effective accountability.

## **Principle A - Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law**

The Council is committed to:

### **Behaving with Integrity**

- Ensuring members and officers behave with integrity and lead as a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation.
- Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (The Nolan Principles).
- Leading by example and using these standard operating principles or values as a framework for decision making and other actions.
- Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure they are operating effectively.

### **Demonstrating strong commitment and ethical values**

- Seeking to establish, monitor and maintain the organisation's ethical standards and performance
- Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation
- Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values
- Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation

### **Respecting the rule of law**

- Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations
- Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements
- Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders
- Dealing with breaches of legal and regulatory provisions effectively
- Ensuring corruption and misuse of power are dealt with effectively

## **Principle B – Ensuring openness and comprehensive stakeholder engagement**

The Council is committed to:

### **Openness**

- Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness
- Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided
- Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear
- Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action

### **Engaging comprehensively with institutional stakeholders**

- Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably
- Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively
- Ensuring that partnerships are based on: trust, a shared commitment to change, a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit

### **Engaging stakeholders effectively, including individual citizens and service users**

- Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes.
- Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement
- Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs
- Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account
- Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity
- Taking account of the interests of future generations of tax payers and service users

## **Principle C – Defining outcomes in terms of sustainable economic, social, and environmental benefits**

The Council is committed to:

### **Defining outcomes**

- Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions
- Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer
- Delivering defined outcomes on a sustainable basis within the resources that will be available
- Identifying and managing risks to the achievement of outcomes
- Managing service users expectations effectively with regard to determining priorities and making the best use of the resources available

### **Sustainable economic, social and environmental benefits**

- Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision
- Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints
- Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs
- Ensuring fair access to services

## **Principle D – Determining the interventions necessary to optimise the achievement of the intended outcomes**

The Council is committed to:

### **Determining interventions**

- Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided
- Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts

### **Planning interventions**

- Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets
- Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered
- Considering and monitoring risks facing each partner when working collaboratively including shared risks
- Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances
- Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured
- Ensuring capacity exists to generate the information required to review service quality regularly
- Preparing budgets in accordance with organisational objectives, strategies and the medium term financial plan Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy

### **Optimising achievement of intended outcomes**

- Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints
- Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term
- Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage
- Ensuring the achievement of 'social value' through service planning and commissioning.

## **Principle E – Developing the entity’s capacity, including the capability of its leadership and the individuals within it**

The Council is committed to:

### **Developing the entity’s capacity**

- Reviewing operations, performance use of assets on a regular basis to ensure their continuing effectiveness
- Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority’s resources are allocated so that outcomes are achieved effectively and efficiently
- Recognising the benefits of partnerships and collaborative working where added value can be achieved
- Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources

### **Developing the capability of the entity’s leadership and other individuals**

- Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained
- Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body
- Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other’s authority
- Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by:
  - ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged
  - ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis
  - ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and
- Ensuring that there are structures in place to encourage public participation
- Taking steps to consider the leadership’s own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections
- Holding staff to account through regular performance reviews which take account of training or development needs Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing

## **Principle F – Managing risks and performance through robust internal control and strong public financial management**

The Council is committed to:

### **Managing risk**

- Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making
- Implementing robust and integrated risk management arrangements and ensuring that they are working effectively
- Ensuring that responsibilities for managing individual risks are clearly allocated

### **Managing performance**

- Monitoring service delivery effectively including planning, specification, execution and independent post implementation review
- Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook
- Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible (OR, for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making
- Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement
- Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements )

### **Robust internal control**

- Aligning the risk management strategy and policies on internal control with achieving the objectives
- Evaluating and monitoring the authority's risk management and internal control on a regular basis
- Ensuring effective counter fraud and anti-corruption arrangements are in place
- Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor
- Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body: provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment that its recommendations are listened to and acted upon

### **Managing Data**

- Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data
- Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies
- Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring

### **Strong public financial management**

- Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance
- Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls



## **Principle G – Implementing good practices in transparency, reporting, and audit to deliver effective accountability**

The Council is committed to:

### **Implementing good practice in transparency**

- Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate
- Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand

### **Implementing good practice in reporting**

- Reporting at least annually on performance, value for money and the stewardship of its resources
- Ensuring members and senior management own the results
- Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement)
- Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate
- Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations

### **Assurance and effective accountability**

- Ensuring that recommendations for corrective action made by external audit are acted upon
- Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon
- Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations
- Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement
- Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met

**Annual Governance Statement**

**Assurance Review**

**May 2023**

**Assurance and evidence in support of the Council's annual governance statement  
(Assessment Score 1 – 10 where 10 represents very best value)**

**Core Principal 1: A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law**

<b>Supporting Principle 1 : Behaving with Integrity</b>			
<b>The local code should reflect the requirement of local authorities to:</b>	<b>Examples of evidence:</b>	<b>Assessment Score (1 - 10)</b>	<b>Progress in year and Plans for Improvement</b>
1 Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation.	<ul style="list-style-type: none"> <li>Codes of conduct</li> <li>Individual sign off with regard to compliance with code</li> <li>Induction for new members and staff on standard of behaviour expected</li> <li>Performance appraisals</li> </ul>	9	<p><b>Evidence</b> – induction for new members and staff. Codes of conduct, PDA's.</p> <p><b>Action</b> – To develop revised PDA documentation to enhance the process and to ensure they are carried out for all staff.</p>
2 Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles)	<ul style="list-style-type: none"> <li>Communicating shared values with members, staff, the community and partners</li> </ul>	9	<p><b>Evidence</b> – Blaby District Plan (2021-24) defines values and was revised in Jan 2021, PDA's and staff recruitment have linkages to values.</p> <p><b>Action</b> – To develop revised PDA documentation to enhance the process and to ensure they are carried out for all staff.</p>
3 Leading by example and using these standard operating principles or values as a framework for decision making and other actions	<ul style="list-style-type: none"> <li>Decision making practices</li> <li>Declarations of interests made at meetings</li> <li>Conduct at meetings</li> <li>Shared values guide decision making</li> <li>Develop and maintain an effective standards committee</li> </ul>	9	<p><b>Evidence</b> – Declarations of interest noted, standards committee.</p>

4 Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively	<ul style="list-style-type: none"> <li>• Anti-fraud and corruption policies are working effectively</li> <li>• Up-to-date register of interests (members and staff)</li> <li>• Up-to-date register of gifts and hospitality</li> <li>• Whistleblowing policies are in place and protect individuals raising concerns</li> <li>• Whistleblowing policy has been made available to members of the public, employees, partners and contractors</li> <li>• Complaints policy and examples of responding to complaints about behaviour</li> <li>• Changes/improvements as a result of complaints received and acted upon</li> <li>• Members and officers code of conduct refers to a requirement to declare interests</li> <li>• Minutes show declarations of interest were sought and appropriate declarations made</li> </ul>	9	<b>Evidence</b> – Anti-fraud & corruption policy (reviewed July 2020), register of interests and annual declaration of related parties. Whistleblowing policy (reviewed 2022), which staff are aware of, and have utilised. Complaints policy well established and continually reviewed, improved and reported on.
<b>Supporting Principle 2 : Demonstrating strong commitment to ethical values</b>			
The local code should reflect the requirement of local authorities to:	Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1. Seeking to establish, monitor and maintain the organisation's ethical standards and performance	<ul style="list-style-type: none"> <li>• Scrutiny of ethical decision making</li> <li>• Championing ethical compliance at governing body level</li> </ul>	8	<b>Evidence</b> – Values and induction process for officers and members. Ethos of the Blaby Way documented and communicated to staff and promoted to new members.
2. Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation	<ul style="list-style-type: none"> <li>• Provision of ethical awareness training</li> </ul>	8	<b>Evidence</b> – Values and ethics audit to understand staff understanding of code of conduct.
3. Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values	<ul style="list-style-type: none"> <li>• Appraisal processes take account of values and ethical behaviour</li> <li>• Staff appointments policy</li> <li>• Procurement policy</li> </ul>	9	<b>Evidence</b> – Appraisal process built upon values of the Council. Recruitment process includes elements of Blaby values within process. Procurement policy includes ethical element and is a consideration in award of contracts.

4. Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation	<ul style="list-style-type: none"> <li>Agreed values in partnership working: Statement of business ethics communicates commitment to ethical values to external suppliers</li> <li>Ethical values feature in contracts with external service providers</li> <li>Protocols for partnership working</li> </ul>	9	<b>Evidence</b> – Key partnerships now have robust mechanisms in place to define role and scope of partners. E.g. Community safety, Light Bulb project, Everyone Active, Building Control Partnerships.
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### Supporting Principle 3 : Respecting the rule of law

The local code should reflect the requirement of local authorities to:	Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1. Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations	<ul style="list-style-type: none"> <li>Statutory provisions</li> <li>Statutory guidance is followed</li> <li>Constitution</li> </ul>	9	<b>Evidence</b> - Constitution is adhered to and reviewed regularly.
2. Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements	<ul style="list-style-type: none"> <li>Job description/specifications</li> <li>Compliance with CIPFA's <i>Statement on the Role of the Chief Financial Officer in Local Government</i> (CIPFA, 2015)</li> <li>Terms of reference</li> <li>Committee support</li> </ul>	9	<b>Evidence</b> – Job descriptions and roles of statutory officers is well defined and understood by the organisation. Structure of the SLT ensures statutory officers are included in key decision making etc. Provision of proper officer appointments on an interim basis when appropriate E.g. for interim CE position, S151 and MO positions.
3. Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders	<ul style="list-style-type: none"> <li>Record of legal advice provided by officers</li> </ul>	9	<b>Evidence</b> – proper arrangements in place for legal advice and recording of advice.
4. Dealing with breaches of legal and regulatory provisions effectively	<ul style="list-style-type: none"> <li>Monitoring officer provisions</li> <li>Record of legal advice provided by officers</li> <li>Statutory provisions</li> </ul>	9	<b>Evidence</b> – proper arrangements in place for legal advice and recording of advice, monitoring officer referenced to give advice and ensure Council operates within the law at all times.

5. Ensuring corruption and misuse of power are dealt with effectively	<ul style="list-style-type: none"> <li>• Effective anti-fraud and corruption policies and procedures</li> <li>• Local test of assurance (where appropriate)</li> </ul>	9	<b>Evidence</b> – Whistleblowing policy (reviewed 2022), Anti-fraud & corruption policy (reviewed July 2020).
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## Core Principal B: Ensuring openness and comprehensive stakeholder engagement

Supporting Principle 1 : Openness				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness	<ul style="list-style-type: none"> <li>• Annual report</li> <li>• Freedom of Information Act publication scheme</li> <li>• Online council tax information</li> <li>• Authority's goals and values</li> <li>• Authority website</li> </ul>	10	<b>Evidence</b> – Annual report, FOI requests actively responded to online Council Tax information and award winning website.
2.	Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided	<ul style="list-style-type: none"> <li>• Record of decision making and supporting materials</li> </ul>	9	<b>Evidence</b> – Decisions well documented.
3.	Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear	<ul style="list-style-type: none"> <li>• Decision making protocols</li> <li>• Report pro-formas</li> <li>• Record of professional advice in reaching decisions</li> <li>• Meeting reports show details of advice given</li> <li>• Discussion between members and officers on the information needs of members to support decision making</li> <li>• Agreement on the information that will be provided and timescales</li> <li>• Calendar of dates for submitting, publishing and distributing timely reports is adhered to</li> </ul>	10	<b>Evidence</b> – Decisions well documented with supporting information and advice included. Informal Cabinet sessions that involve Members in the decision making process at an early stage. Pre-meeting briefings prior to major decisions being made by Council. Forward Plan detailing report publication on a timely basis.
4.	Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action	<ul style="list-style-type: none"> <li>• Community strategy</li> </ul>	9	<b>Evidence</b> – Informal and formal consultation carried out in accordance with the consultation strategy, using a variety of means. Consultation used to inform decision making and customer and staff satisfaction surveys carried out

				regularly. High level of service engagement from service users E.g. Bi-annual customer satisfaction survey including budget consultation and priorities within Blaby District Plan.
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Supporting Principle 2 : Engaging comprehensively with institutional stakeholders				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably	<ul style="list-style-type: none"> <li>Communication strategy</li> </ul>	10	<p><b>Evidence</b> – Communication Strategy followed. Communication Strategy developed for individual projects if appropriate.</p> <p><b>Action</b> – Update the Communication Strategy following development of New Blaby District Plan.</p>
2.	Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively	<ul style="list-style-type: none"> <li>Database of stakeholders with whom the authority should engage and for what purpose and a record of an assessment of the effectiveness of any changes.</li> </ul>	9	<p><b>Evidence</b> – Partnership working across the authority is strong, with recognition of this within the CSE award and Peer Review. Partnership working during the pandemic &amp; response to Lithuanian refugees crisis expanded; working closely with partners in the LRF strengthening relationships.</p>
3.	Ensuring that partnerships are based on: trust, a shared commitment to change, a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit	<ul style="list-style-type: none"> <li>Partnership framework</li> <li>Partnership protocols</li> </ul>	9	<p><b>Evidence</b> - Key partnerships have robust mechanisms in place to define role and scope of partners. E.g. Community safety, Light Bulb project and Building Control.</p>



Supporting Principle 3 : Engaging stakeholders effectively, including individual citizens and service users				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes.	<ul style="list-style-type: none"> <li>Record of public consultations</li> <li>Partnership framework</li> </ul>	10	<b>Evidence</b> – Council regularly consult on major changes to service e.g. budget consultation, customer satisfaction survey, refuse & recycling consultation and Council Tax consultations. Council follows a Consultation policy.
2.	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement	<ul style="list-style-type: none"> <li>Communications strategy</li> </ul>	9	<b>Evidence</b> – Communication strategy followed. Officers understand the need to communicate with members and the community. The frequency of communication with the public, staff and members is frequent with electronic methods being utilised.  <b>Action</b> – Build on the outcomes taken from the review of the Communications function to strengthen the proactive promotion of the Council.
3.	Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs	<ul style="list-style-type: none"> <li>Communications strategy</li> <li>Joint strategic needs assessment</li> </ul>	9	<b>Evidence</b> – Council regularly consult on major changes to service e.g. budget consultation, customer satisfaction survey, refuse & recycling consultation and Council Tax consultations. Council follows a Consultation policy.
4.	Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account.	<ul style="list-style-type: none"> <li>Communications strategy</li> </ul>	9	<b>Evidence</b> – Communication Strategy being followed.  <b>Action</b> – Update the Communication Strategy following development of New Blaby District Plan.
5.	Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity	<ul style="list-style-type: none"> <li>Processes for dealing with competing demands within the community, for example a consultation</li> </ul>	9	<b>Evidence</b> – Consultation process structured to improve inclusion with

				varying methods used to gather views from different stakeholder groups.
6.	Taking account of the interests of future generations of tax payers and service users	<ul style="list-style-type: none"> <li>• Reports</li> <li>• Joint strategic needs assessment</li> </ul>	9	<b>Evidence</b> – Active engagement with the youth Council with Councillors taking part in debates with Youth Council – enabling them to understand views of future generations. Utilisation of relationships with academies to understand views of the younger generation, with the Youth Conference providing further engagement.

## Core Principal C: Defining outcomes in terms of sustainable economic, social, and environmental benefits

Supporting Principle 1 : Defining outcomes				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions	<ul style="list-style-type: none"> <li>Vision used as a basis for corporate and service planning</li> </ul>	8	<p><b>Evidence</b> – Blaby District Plan defines the vision for the Council, including values and priorities. Blaby District Plan developed with SLT and SM's for staff to feed into the priorities and plans along with consultation with residents. Plan and priorities are agreed by Council.</p> <p><b>Action</b> – Develop the long term Vision for the District and develop the Blaby District Plan for future years.</p>
2.	Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer	<ul style="list-style-type: none"> <li>Community engagement and involvement</li> <li>Corporate and service plans</li> <li>Community strategy</li> </ul>	9	<p><b>Evidence</b> – Priorities of the Blaby District Plan and consultation of stakeholders regarding the key themes within the Plan.</p>
3.	Delivering defined outcomes on a sustainable basis within the resources that will be available	<ul style="list-style-type: none"> <li>Regular reports on progress</li> </ul>	9	<p><b>Evidence</b> – Monitoring and reporting of progress of initiatives with regular updates to members regarding the financial landscape. The adoption and resourcing of Project Management across the Council now helps to ensure delivery of outcomes with monitoring of progress of projects being done through programme board. Formal governance process in place for management of projects.</p>
4.	Identifying and managing risks to the achievement of outcomes	<ul style="list-style-type: none"> <li>Performance trends are established and reported upon</li> <li>Risk management protocols</li> </ul>	8	<p><b>Evidence</b> – regular performance and risk management reporting.</p> <p><b>Action</b> – Embed the new business planning, data intelligence and risk</p>

				management process that has been implemented during 2022/23 utilising the Pentana system.
5.	Managing service users expectations effectively with regard to determining priorities and making the best use of the resources available	<ul style="list-style-type: none"> <li>An agreed set of quality standard measures for each service element and included in service plans</li> <li>Processes for dealing with competing demands within the community</li> </ul>	9	<b>Evidence</b> - Budget survey and consultation with customers to help set priorities. Service plans developed and proactive at communicating with customers re changes to service.

Supporting Principle 2 : Sustainable economic, social and environmental benefits				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision	<ul style="list-style-type: none"> <li>Capital investment is structured to achieve appropriate life spans and adaptability for future use or that resources (eg land) are spent on optimising social, economic and environmental wellbeing: <ul style="list-style-type: none"> <li>Capital programme</li> <li>Capital investment strategy</li> </ul> </li> </ul>	9	<b>Evidence</b> – Capital programme aligned to corporate priorities and expanded to be 5 year plan. Use of assets considered to achieve the best return/outcomes for residents e.g. Decision to transfer the former depot site for affordable housing, the Grange and further pockets of land that are not deemed strategic utilised to provide housing tenure needed to help address the housing needs.
2.	Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints	<ul style="list-style-type: none"> <li>Discussion between members and officers on the information needs of members to support decision making</li> <li>Record of decision making and supporting materials</li> </ul>	9	<p><b>Evidence</b> – MTFS information giving an up to date long term view. Member briefings to support and inform members before significant decisions are made. Budget Briefing included potential financial impact &amp; risks that the Fair Funding Review and Business Rate Review may pose for the Council.</p> <p><b>Action</b> – Briefing for all members, new and returning regarding Council finance</p>

				incorporating Fair Funding and Business Rates.
3.	Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs	<ul style="list-style-type: none"> <li>Record of decision making and supporting materials</li> <li>Protocols for consultation</li> </ul>	9	<b>Evidence</b> – Consultation strategy and recording of decision making.
4.	Ensuring fair access to services	<ul style="list-style-type: none"> <li>Protocols ensure fair access and statutory guidance is followed</li> </ul>	9	<b>Evidence</b> – Statement of community involvement for planning. Community Network Meetings with Voluntary & Community Sector.

## Core Principal D: Determining the interventions necessary to optimise the achievement of the intended outcomes

Supporting Principle 1 : Determining interventions				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. Therefore ensuring best value is achieved however services are provided	<ul style="list-style-type: none"> <li>• Discussion between members and officers on the information needs of members to support decision making</li> <li>• Decision making protocols</li> <li>• Option appraisals</li> <li>• Agreement of information that will be provided and timescales</li> </ul>	9	<b>Evidence</b> – All reports detail options considered and risks associated with decisions. Members given a pre-meeting briefing where significant decisions are to be taken.
2.	Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts	<ul style="list-style-type: none"> <li>• Financial strategy</li> </ul>	9	<b>Evidence</b> – Consultation exercises undertaken where service changes are proposed to be brought in. Long term financial view considered within the formulation of the Blaby District Plan.

Supporting Principle 2 : Planning interventions				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets	<ul style="list-style-type: none"> <li>Calendar of dates for developing and submitting plans and reports that are adhered to</li> </ul>	10	<b>Evidence</b> – calendar dates agreed in advance, reports published in a timely manner.
2.	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered	<ul style="list-style-type: none"> <li>Communication strategy</li> </ul>	10	<b>Evidence</b> – Communication strategy followed.
3.	Considering and monitoring risks facing each partner when working collaboratively including shared risks	<ul style="list-style-type: none"> <li>Partnership framework</li> <li>Risk management protocol</li> </ul>	10	<b>Evidence</b> – Risk registers kept as part of the project management structure and are kept for major partnership arrangements such as Lightbulb.
4.	Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances	<ul style="list-style-type: none"> <li>Planning protocols</li> </ul>	9	<b>Evidence</b> – Speak to Group leaders – flexible constitution and delegated responsibility.
5.	Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured	<ul style="list-style-type: none"> <li>KPIs have been established and approved for each service element and included in the service plan and are reported upon regularly</li> </ul>	8	<p><b>Evidence</b> – KPI's reported in In-phase, new reporting tool for KPI's developed in Pentana and rolled out to organisation in April 23.</p> <p><b>Action</b> – Embed the new business planning, data intelligence and risk management process utilising the Pentana system to report KPI's.</p>
6.	Ensuring capacity exists to generate the information required to review service quality regularly	<ul style="list-style-type: none"> <li>Reports include detailed performance results and highlight areas where corrective action is necessary</li> </ul>	8	<p><b>Evidence</b> – Where applicable performance is included to give context for decisions to be made.</p> <p><b>Action</b> – Embed the new business planning, data intelligence and risk management process utilising the Pentana system to report KPI's.</p>
7.	Preparing budgets in accordance with organisational objectives, strategies and the medium term financial plan	<ul style="list-style-type: none"> <li>Evidence that budgets, plans and objectives are aligned</li> </ul>	9	<b>Evidence</b> – Budgets aligned to plans to deliver the corporate priorities identified in the Blaby District Plan.

				<b>Action</b> – Service Planning and Budget setting to be aligned to ensure resources are in place.
8.	Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	<ul style="list-style-type: none"> <li>Budget guidance and protocols</li> <li>Medium term financial plan</li> <li>Corporate plans</li> </ul>	9	<b>Evidence</b> – MTFS, information provided with budget setting information and Commercial Strategy and action plan developed. Plans to close financial gap worked on with SLT and Cabinet members.

Supporting Principle 3 : Optimising achievement of intended outcomes				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints	<ul style="list-style-type: none"> <li>Feedback surveys and exit/decommissioning strategies</li> <li>Changes as a result</li> </ul>	9	<b>Evidence</b> – MTFS and budget formulated with strategic view of service priorities and involvement of SLT/Members.
2.	Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term	<ul style="list-style-type: none"> <li>Budgeting guidance and protocols</li> </ul>	9	<p><b>Evidence</b> – Budgets owned by services with well defined budget guidance and support.</p> <p><b>Action</b> – Budget setting and monitoring to be further developed to ensure that budget is tailored and trimmed.</p>
3.	Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage	<ul style="list-style-type: none"> <li>Financial strategy</li> </ul>	10	<b>Evidence</b> – Financial summary of MTFS updated regularly as information is received that changes the funding/settlement picture significantly. Members provided with the financial context in detail during budget scrutiny meetings.
4.	Ensuring the achievement of 'social value' through service planning and commissioning.	<ul style="list-style-type: none"> <li>Service plans demonstrate consideration of 'social value'</li> </ul>	9	<b>Evidence</b> – Social Value considered when procuring services and within decisions E.g. Huncote Leisure Centre



		<ul style="list-style-type: none"> <li>Achievement of 'social value' is monitored and reported upon</li> </ul>		reopening. Social Value agenda being developed through partnerships.
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### Core Principal E: Developing the entity's capacity, including the capability of its leadership and the individuals within it

Supporting Principle 1 : Developing the entity's capacity				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Reviewing operations, performance use of assets on a regular basis to ensure their continuing effectiveness	<ul style="list-style-type: none"> <li>Regular reviews of activities, outputs and planned outcomes</li> </ul>	9	<b>Evidence</b> – Regular reviews of structures, ways of working and performance.
2.	Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's resources are allocated so that outcomes are achieved effectively and efficiently	<ul style="list-style-type: none"> <li>Utilisation of research and benchmarking exercise</li> </ul>	9	<b>Evidence</b> – Data included to inform decisions made.  <b>Action-</b> Investigate the use of benchmarking information to enhance the performance framework and support decision making.
3.	Recognising the benefits of partnerships and collaborative working where added value can be achieved	<ul style="list-style-type: none"> <li>Effective operation of partnerships which deliver agreed outcomes</li> </ul>	9	<b>Evidence</b> – Recognised for partnership working in CSE, Peer Review and in feedback from partners.
4.	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	<ul style="list-style-type: none"> <li>Workforce plan</li> <li>Organisational development plan</li> </ul>	7	<b>Evidence</b> – People Strategy, regular structural reviews and resource planning. Workforce health initiative brought in with officer mental health & wellbeing being a particular priority.

				<b>Action</b> – Continue to develop workforce, policy updates and development and retention initiatives to assist recruitment and retention of staff.
<b>Supporting Principle 2 : Developing the capability of the entity's leadership and other individuals</b>				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained	<ul style="list-style-type: none"> <li>Job descriptions</li> <li>Chief executive and leader pairings have considered how best to establish and maintain effective communication</li> </ul>	10	<b>Evidence</b> – Regular information sharing meetings between the Leader and the CE. Frequent meetings with SLT/Cabinet to share information and discuss proposals for new projects or service changes.
2.	Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body	<ul style="list-style-type: none"> <li>Scheme of delegation reviewed at least annually in the light of legal and organisational changes</li> <li>Standing orders and financial regulations which are reviewed on a regular basis.</li> </ul>	9	<b>Evidence</b> – Regular review of scheme of delegation and financial regulations.
3.	Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority	<ul style="list-style-type: none"> <li>Clear statement of respective roles and responsibilities and how they will be put into practice</li> </ul>	9	<b>Evidence</b> – Clear roles and responsibilities with CE's objectives set and monitored by Members.
4.	<p>Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by:</p> <ul style="list-style-type: none"> <li>ensuring members and staff have access to appropriate induction tailored to their role and that</li> </ul>	<ul style="list-style-type: none"> <li>Access to update courses/ information briefings on new legislation</li> <li>Induction programme</li> </ul>	9	<p><b>Evidence</b> – Continuation of member training with active member development steering group. Succession planning illustrated with senior positions being filled internally and opportunities sought for expansion/diversity of roles.</p> <p>Full induction process and ongoing member training</p>

	<p>ongoing training and development matching individual and organisational requirements is available and encouraged</p> <ul style="list-style-type: none"> <li>ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis</li> <li>ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external</li> </ul>	<ul style="list-style-type: none"> <li>Personal development plans for members and officers</li> </ul> <p>For example, for members this may include the ability to:</p> <ul style="list-style-type: none"> <li>scrutinise and challenge</li> <li>recognise when outside expert advice is required</li> <li>promote trust</li> <li>work in partnership</li> <li>lead the organisation</li> <li>act as a community leader</li> </ul> <ul style="list-style-type: none"> <li>Efficient systems and technology used for effective support</li> <li>Arrangements for succession planning</li> </ul>		<p><b>Evidence</b> – PDA's for Officers and reviews for Members.</p> <p><b>Action</b> - To develop revised PDA documentation to enhance the process and to ensure they are carried out for all staff.</p> <p><b>Evidence</b> – Training for members in preparation for Scrutiny Budget Meetings, use of technology in communication (social media), use of electronic devices and the promotion of communication via electronic means for Members.</p>
5.	Ensuring that there are structures in place to encourage public participation	<ul style="list-style-type: none"> <li>Residents' panels</li> <li>Stakeholder forum terms of reference</li> <li>Strategic partnership frameworks</li> </ul>	9	<p><b>Evidence</b> – Voluntary and Community sector Qtrly meetings, resident lists to be utilised for future input for service changes etc. Use of social media/electronic means to get to wider public audience to gain views and inform residents. Using links with Youth Council to obtain views of young residents.</p>
6.	Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections	<ul style="list-style-type: none"> <li>Reviewing individual member performance on a regular basis taking account of their attendance and considering any training or development needs</li> <li>Peer reviews</li> </ul>	9	<p><b>Evidence</b> – Members performance monitored, Cabinet held to account by the Leader of the Council. Regular Peer reviews.</p>
7.	Holding staff to account through regular performance reviews which take account of training or development needs	<ul style="list-style-type: none"> <li>Training and development plan</li> <li>Staff development plans linked to appraisals</li> </ul>	8	<p><b>Evidence</b> – Staff PDA's, utilisation of capability procedures to manage performance.</p>

		<ul style="list-style-type: none"> <li>Implementing appropriate human resource policies and ensuring that they are working effectively</li> </ul>		<b>Action</b> - To develop revised PDA documentation to enhance the process and to ensure they are carried out for all staff.
8.	Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing	<ul style="list-style-type: none"> <li>Human resource policies</li> </ul>	10	<b>Evidence</b> – People strategy and development of Workforce health initiative. Staff supported through exercise opportunities; external counselling provision and wellbeing opportunities such as mindfulness, menopause group, etc. Managers training centred around staff wellbeing conversations brought in to assist with mental health awareness, and the virtual nature of working. Peer Review feedback on Mental Health provision very positive.

## Core Principal F : Managing risks and performance through robust internal control and strong public financial management

Supporting Principle 1 : Managing risk				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making	<ul style="list-style-type: none"> <li>Risk management protocol</li> </ul>	9	<b>Evidence</b> – Corporate Risk Management system in place with regular monitoring of corporate risks. Lower level risk management system reviewed and implemented to make risk monitoring more effective. <b>Action</b> – Utilise the new Pentana system to record risks and ensure lower level risks are managed across the organisation.
2.	Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	<ul style="list-style-type: none"> <li>Risk management strategy/ policy formally approved and adopted and reviewed and updated on a regular basis</li> </ul>	9	<b>Evidence</b> – Risk Management Strategy in place and updated in 2019.  <b>Action</b> – Update the Risk Management Strategy in 2023.
3.	Ensuring that responsibilities for managing individual risks are clearly allocated	<ul style="list-style-type: none"> <li>Risk management protocol</li> </ul>	9	<b>Evidence</b> – Risk Management system in place with regular monitoring of corporate risks.

Supporting Principle 2 : Managing Performance				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Monitoring service delivery effectively including planning, specification, execution and independent post implementation review.	<ul style="list-style-type: none"> <li>Performance map showing all key activities have performance measures</li> <li>Benchmarking information</li> <li>Cost performance (using inputs and outputs)</li> <li>Calendar of dates for submitting, publishing and distributing timely reports that are adhered to</li> </ul>	8	<b>Evidence</b> – Performance data held on In-phase. Calendar of dates published and reporting dates adhered to. Performance against the Blaby District Plan now monitored through project management process and programme board.  <b>Action</b> – monitor the use of the new Corporate performance framework and

				reporting system to ensure the authority has an overall view of performance. Investigate the use of benchmarking information to enhance the performance framework further.
2.	Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook	<ul style="list-style-type: none"> <li>• Discussion between members and officers on the information needs of members to support decision making</li> <li>• Publication of agendas and minutes of meetings</li> <li>• Agreement on the information that will be needed and timescales</li> </ul>	9	<b>Evidence –</b> Information shared at informal cabinet, pre-meeting briefings, budget scrutiny sessions, scrutiny working groups.
3.	Ensuring an effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible (OR, for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making	<ul style="list-style-type: none"> <li>• The role and responsibility for scrutiny has been established and is clear</li> <li>• Agenda and minutes of scrutiny meetings</li> <li>• Evidence of improvements as a result of scrutiny</li> <li>• Terms of reference</li> <li>• Training for members</li> <li>• Membership</li> </ul>	9	<b>Evidence –</b> Scrutiny role established. Active Scrutiny working groups. Agendas and minutes published. Training ongoing.
4.	Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement	<ul style="list-style-type: none"> <li>• Calendar of dates for submitting, publishing and distributing timely reports that are adhered to</li> </ul>	10	<b>Evidence –</b> Calendar of dates published and reporting dates adhered to
5.	Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements )	<ul style="list-style-type: none"> <li>• Financial standards, guidance</li> <li>• Financial regulations and standing orders</li> </ul>	10	<b>Evidence –</b> Alignment of all financial reporting and processes.

<b>Supporting Principle 3 : Robust internal control</b>				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Aligning the risk management strategy and policies on internal control with achieving the objectives	<ul style="list-style-type: none"> <li>• Risk management strategy</li> <li>• Audit plan</li> <li>• Audit reports</li> </ul>	10	<b>Evidence</b> – Risk management strategy, audit plan and regular audit reports.
2.	Evaluating and monitoring the authority's risk management and internal control on a regular basis	<ul style="list-style-type: none"> <li>• Risk management strategy/ policy has been formally approved and adopted and is reviewed and updated on a regular basis</li> </ul>	10	<b>Evidence</b> – Risk management strategy, reported regularly to Audit & Governance Committee, risks reviewed regularly both corporately and by Audit & Governance Committee.
3.	Ensuring effective counter fraud and anti-corruption arrangements are in place	<ul style="list-style-type: none"> <li>• Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014)</li> </ul>	9	<b>Evidence</b> – compliance with the code. Anti-fraud and anti-corruption, prosecution and sanction policy reviewed in July 2020.
4.	Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor	<ul style="list-style-type: none"> <li>• Annual governance statement</li> <li>• Effective internal audit service is resourced and maintained</li> </ul>	10	<b>Evidence</b> – Annual governance statement, internal audit arrangements externally reviewed in 2020 and found to be compliant. Internal audit actively involved in service improvement.
5.	Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body: provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment that its recommendations are listened to and acted upon	<ul style="list-style-type: none"> <li>• Audit committee complies with best practice. See Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2013)</li> <li>• Terms of reference</li> <li>• Membership</li> <li>• Training</li> </ul>	8	<p><b>Evidence</b> – Audit &amp; Governance Committee compliance.</p> <p><b>Action</b> – Consideration of the CIPFA Practical Guidance for Local Authorities and Police (CIPFA, 2022) to ensure compliance with best practice for the Council's Audit &amp; Governance Committee.</p>

<b>Supporting Principle 4 : Managing Data</b>				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data	<ul style="list-style-type: none"> <li>• Data management framework and procedures</li> <li>• Designated data protection officer</li> <li>• Data protection policies and procedures</li> </ul>	10	<b>Evidence</b> – Policies in place for data management and data protection. Designated data protection officer.

2.	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies	<ul style="list-style-type: none"> <li>• Data sharing agreement</li> <li>• Data sharing register</li> <li>• Data processing agreements</li> </ul>	10	<b>Evidence</b> – Data sharing agreements in place and data processing agreements where necessary.
3.	Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring	<ul style="list-style-type: none"> <li>• Data quality procedures and reports</li> <li>• Data validation procedures</li> </ul>	9	<b>Evidence</b> – Data challenged and audited as part of internal audit processes and decision making.

<b>Supporting Principle 5 : Strong public financial management</b>				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance	<ul style="list-style-type: none"> <li>• Financial management supports the delivery of services and transformational change as well as securing good stewardship</li> </ul>	9	<p><b>Evidence</b> – Finance officers actively involved giving business support to services, with both budget monitoring and production of business case financial information.</p> <p><b>Action</b> – Provide training for budget managers to ensure they understand their budget and can re-forecast accurately during the year.</p>
2.	Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls	<ul style="list-style-type: none"> <li>• Budget monitoring reports</li> </ul>	9	<b>Evidence</b> – regular budget monitoring and updates to Cabinet during the year.



## Core Principal G : Implementing good practices in transparency, reporting, and audit to deliver effective accountability

Supporting Principle 1 : Implementing good practice in transparency				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate	<ul style="list-style-type: none"> <li>Website</li> <li>Annual report</li> </ul>	10	<b>Evidence</b> – Website user friendly, annual report, reports written in 'plain English'.
2.	Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand	<ul style="list-style-type: none"> <li>Website</li> <li>Annual report</li> </ul>	10	<b>Evidence</b> – Website user friendly, annual report, reports written in 'plain English'.

Supporting Principle 2 : Implementing good practices in reporting				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Reporting at least annually on performance, value for money and the stewardship of its resources	<ul style="list-style-type: none"> <li>Formal annual report which includes key points raised by external scrutineers and service users' feedback on service delivery</li> <li>Annual financial statements</li> </ul>	10	<b>Evidence</b> – Annual financial statements. Regular customer satisfaction survey with published results.
2.	Ensuring members and senior management own the results	<ul style="list-style-type: none"> <li>Appropriate approvals</li> </ul>	9	<b>Evidence</b> – Members and SLT review reports and provide approval.

3.	Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement)	<ul style="list-style-type: none"> <li>Annual governance statement</li> </ul>	10	<b>Evidence</b> – Annual governance statement, depth of assurance information.
4.	Ensuring that the Framework is applied to jointly managed or shared service organisations as appropriate	<ul style="list-style-type: none"> <li>Annual governance statement</li> </ul>	10	<b>Evidence</b> – Annual governance statement, application of policies where Blaby works in partnership with other organisations.
5.	Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations	<ul style="list-style-type: none"> <li>Format follows best practice</li> </ul>	9	<b>Evidence</b> – Best practice followed.

Supporting Principle 3 : Assurance and effective accountability				
The local code should reflect the requirement of local authorities to:		Examples of evidence:	Assessment Score (1 - 10)	Progress in year and Plans for Improvement
1.	Ensuring that recommendations for corrective action made by external audit are acted upon	<ul style="list-style-type: none"> <li>Recommendations have informed positive improvement</li> <li>Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2019)</li> <li>Compliance with Public Sector Internal Audit Standards</li> </ul>	10	<b>Evidence</b> – Recommendations from external audit acted upon. Compliance of Internal Audit arrangements.
2.	Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to	<ul style="list-style-type: none"> <li>Recommendations have informed positive improvement</li> </ul>	10	<b>Evidence</b> – Recommendations from internal audit acted upon with internal audit being actively referenced to assist

	governance arrangements and recommendations are acted upon	<ul style="list-style-type: none"> <li>Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2019)</li> </ul> Compliance with Public Sector Internal Audit Standards		with service improvements. Compliance of Internal Audit arrangements.
3.	Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations	<ul style="list-style-type: none"> <li>Recommendations have informed positive improvement</li> </ul>	9	<b>Evidence</b> – Peer review action plan. CSE feedback, LGA Finance Health check action plan, external inspection of internal audit recommendations and continued improvement.
4.	Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement	<ul style="list-style-type: none"> <li>Annual governance statement</li> </ul>	10	<b>Evidence</b> – Strong partnership working with governance arrangements in place E.g Light bulb, Building control Partnership.
5.	Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met	<ul style="list-style-type: none"> <li>Community strategy</li> </ul>	9	<b>Evidence</b> – Work with the voluntary sector and LCC to feed into Community Strategy.

## Blaby District Council

### Cabinet Executive

<b>Date of Meeting</b>	10 July 2023
<b>Title of Report</b>	<b>Appointment of Members to Serve on Outside Bodies – 2023/2024</b>  This is not a Key Decision and is on the Forward Plan
<b>Lead Member</b>	<b>Cllr. Terry Richardson - Leader of the Council</b>
<b>Report Author</b>	Senior Democratic Services & Scrutiny Officer
<b>Corporate Priority</b>	All Priorities: A Place to Live; A Place to Work; A Place to Visit; People Strategy; Medium Term Financial Strategy (MTFS)

#### 1. What is this report about?

- 1.1 To seek approval by Cabinet Executive for appointments to be made to Outside Bodies for appointment or nomination to those bodies listed for 2023/24.

#### 2. Recommendation(s) to Cabinet Executive

- 2.1 That the preferences and changes to appointments to Outside Bodies as proposed at Appendix 1 of this report be approved.
- 2.2 That unless otherwise stated all appointments be held, until the first Cabinet Executive meeting following the Annual Council meeting in 2024.
- 2.3 That all appointments be endorsed as approved duties for the payment of allowances.
- 2.4 That the Constitution be amended accordingly.

#### 3. Reason for Decisions Recommended

- 3.1 It is appropriate to give effect to the wishes of the political groups.

#### 4. Matters to consider

- 4.1 Background

Attached at Appendix 1 is the Schedule of Cabinet Executive Outside Bodies Appointments for 2023-2024. These appointments have been requested by the Leader of the Council and are presented for Cabinet Executive's consideration.

4.2 Proposal(s)

That the preferences and changes to appointments to Outside Bodies as proposed at Appendix 1 of this report be approved.

4.3 Relevant Consultations

The Conservative Group.

4.4 Significant Issues

None.

**5. What will it cost and are there opportunities for savings?**

5.1 Not applicable.

**6. What are the risks and how can they be reduced?**

6.1 None in the context of this report.

**7. Other options considered**

7.1 None in the context of this report.

**8. Environmental impact**

8.1 None.

**9. Other significant issues**

9.1 In preparing this report, the author has considered issues related to Human Rights, Legal Matters, Human Resources, Equalities, Public Health Inequalities, and Climate Local and there are no areas of concern.

**10. Appendix**

10.1 Appendix A – Appendix A – Appointment of Members to Serve on Outside Bodies – 2023/2024

**11. Background paper(s)**

11.1 None.

**12. Report author's contact details**

Sandeep Tiensa	Senior Democratic Services & Scrutiny Officer
Sandeep.Tiensa@blaby.gov.uk	0116 272 7640

**BLABY DISTRICT COUNCIL**  
**APPOINTMENTS TO OUTSIDE BODIES 2023-2024**  
**APPOINTING BODY – CABINET EXECUTIVE**

Name of Organisation	Term of Office	Appointment
East Midlands Councils	Annual	Cllr Terry Richardson
East Midlands Councils (Substitute)	Annual	Cllr Maggie Wright
LGA General Assembly	Annual	Cllr Terry Richardson
LGA General Assembly Substitute	Annual	Cllr Maggie Wright
Leicestershire & Rutland Heritage Forum	Annual	Cllr. Les Phillimore
The A46 Partnership	Annual	Cllr Ben Taylor
The A5 Partnership	Annual	Cllr Ben Taylor
Blaby District Tourism Partnership	Annual	Cllr. Les Phillimore
Leicestershire Safer Communities Strategy Board	Annual	Cllr. Les Phillimore
Strategic Growth Plan - Members' Advisory Group	Annual	Cllr. Terry Richardson

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