



# Oadby and Wigston Borough Council

## TO COUNCILLOR:

G S Atwal  
T Barr  
L A Bentley  
G A Boulter  
J W Boyce

M L Darr  
B Dave  
Mrs L Eaton  
B Fahey  
D A Gamble (Vice-Chair)

J Kaufman  
K J Loydall  
Mrs S B Morris (Chair)  
R E R Morris

Dear Councillor et al,

I hereby summon you to attend a meeting of the **POLICY, FINANCE AND DEVELOPMENT COMMITTEE** to be held at the Council Offices, Station Road, Wigston on **TUESDAY, 29 MARCH 2016** at **7.00 PM** for the transaction of the business set out in the Agenda below.

Yours faithfully

Council Offices  
Wigston  
17 March 2016

Mark Hall  
Chief Executive

## AGENDA

## PAGE NO'S

1. **Apologies for Absence**
2. **Appointment of Substitutes**
3. **Declarations of Interest**

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

4. **Reading, Confirmation and Signing of Minutes**

To read, confirm and sign the minutes of the previous meetings in accordance with Rule 17 of Part 4 of the Constitution.

- |   |                |
|---|----------------|
| a) <b>Minutes of the Previous Meeting held on 02 February 2016</b>      | <b>1 - 11</b>  |
| b) <b>Minutes of the Extraordinary Meeting held on 18 February 2016</b> | <b>12 - 15</b> |
| 5. <b>Action List Arising from the Meeting held on 02 February 2016</b> | <b>16</b>      |
| 6. <b>Petitions and Deputations</b>                                     |                |

To receive any Petitions and, or, Deputations in accordance with Rule 24 of Part 4 of the Constitution.

<b>a) Oadby Swimming Pool Site Petition</b>	<b>17 - 26</b>
<b>b) Oadby Swimming Pool Site e-Petition</b>	<b>27 - 35</b>
<b>7. Internal Audit Progress Report 2015/16 and Audit Plan 2016/17</b>	<b>36 - 78</b>
<b>8. External Audit Report on Grant Claims and Returns and the External Audit Plan 2016/17</b>	<b>79 - 103</b>
<b>9. Residents' Forum Budget Position and Allocation Requests</b>	<b>104 - 108</b>
<b>10. Provision of Advice and Information Services in the Borough</b>	<b>109 - 112</b>
<b>11. Draft Health and Safety Policy</b>	<b>113 - 133</b>
<b>12. Equality Assessments</b>	<b>134 - 137</b>
<b>13. Social Media Policy</b>	<b>138 - 141</b>
<b>14. Update on Open Spaces and Land Matters Across the Borough</b>	<b>142 - 146</b>
<b>15. Melton Local Plan - Emerging Options (Draft Plan)</b>	<b>147 - 148</b>
<b>16. North West Leicestershire District Council Gypsy and Traveller Site Allocation Consultation Document</b>	<b>149 - 150</b>

**MINUTES OF A MEETING OF THE POLICY, FINANCE AND DEVELOPMENT COMMITTEE  
HELD AT THE COUNCIL OFFICES, STATION ROAD, WIGSTON ON TUESDAY, 2  
FEBRUARY 2016 COMMENCING AT 7.00 PM**

<b><u>IN ATTENDANCE:</u></b>		
Chair - Councillor Mrs S B Morris Vice-Chair - Councillor D A Gamble		
<b>COUNCILLORS (11):</b>		
G S Atwal T Barr L A Bentley G A Boulter	J W Boyce M L Darr B Dave R F Eaton	B Fahey J Kaufman K J Loydall
<b>OFFICERS IN ATTENDANCE (3):</b>		
S J Ball	Mrs A E Court	M Hone
<b>OTHERS IN ATTENDANCE (1):</b>		
T Ridout		

Min Ref.	Narrative	Officer Resp.
61.	<p><b><u>APOLOGIES FOR ABSENCE</u></b></p> <p>An apology for absence was received from Councillors R E R Morris and Mrs L Eaton.</p> <p>An announcement was made by the Chair informing Members of the recent passing of the late Denis 'Elwyn' Elliott who was known to this Council for his philanthropic work in trust for The Mayor's Charities.</p>	
62.	<p><b><u>APPOINTMENT OF SUBSTITUTES</u></b></p> <p>Councillor R F Eaton substituted for Councillor Mrs L Eaton.</p>	
63.	<p><b><u>DECLARATIONS OF INTEREST</u></b></p> <p>None.</p>	
64.	<p><b><u>MINUTES OF THE PREVIOUS MEETING HELD ON 27 OCTOBER 2015</u></b></p> <p><b>RESOLVED THAT:</b></p> <p>The minutes of the previous meeting of the Committee held on 27 October 2015 be taken as read, confirmed and signed.</p>	
65.	<p><b><u>ACTION LIST ARISING FROM THE MEETING HELD ON 27 OCTOBER 2015</u></b></p> <p>Councillor J W Boyce requested an update from Officers in respect of targets met in relation to the 'Actions to be Taken' (at page 12).</p>	

	<p>Interim Chief Financial Officer (Section 151 Officer) reported that ‘Minute Ref. 42 - Internal Audit Progress Report 2015/16’, ‘Minute Ref. 44 - Overall Budget Position - April to August 2015’ and ‘Minute Ref. 47 - Overall Budget Position - Resident Forum Budget Position and Allocation Requests’ had been duly actioned.</p> <p>The Director of Services reported that in respect of ‘Minute Ref. 57 - Social Media Policy’, a meeting with the Strategic and Creative Marketing Director at Big Sound Marketing Ltd had not been possible and, as such, the report would be brought before the next meeting of this Committee on 29 March 2016.</p> <p><b>RESOLVED THAT:</b></p> <p>The Action List be noted by Members.</p>	
66.	<p><b><u>PETITIONS AND DEPUTATIONS</u></b></p> <p>None.</p>	
67.	<p><b><u>INTERNAL AUDIT - PROGRESS REPORT 2015/16</u></b></p> <p>The Committee gave consideration to the report and appendices (at pages 13 - 36) as jointly-delivered by the Interim Chief Financial Officer (Section 151 Officer) and Chief Internal Auditor at CW Audit Services, Mr Tim Ridout, which should be read together with these minutes as a composite document.</p> <p>The Interim Chief Financial Officer stated that the Internal Audit Progress Report for 2015/16 (“the report”) confirmed the sound financial-standing of the Council citing that significant levels of assurance were received across the Council’s Council Tax, Benefits and Fraud Investigation service-areas. It was said that there were concerns over the ability of service-area managers to implement the report’s outstanding recommendations as agreed (at page 16 - 33). However, he assured Members that significant improvement would be made in this respect ahead of March 2016.</p> <p>The Chief Internal Auditor directed Members’ attention to particularly significant and noteworthy sections and paragraphs contained in the appendix (at pages 14 - 36). He reported that three reviews had been completed since the previous meeting of this Committee on 27 October 2015 (at page 15). He stated that each review had a positive outcome, and the attendant assurance given, that was reflective of a helpful Council workforce in delivering a good end-result. It was noted that although there were several high-risk/priority issues that were six-months overdue for implementation, most notably regarding Health and Safety (H&amp;S), updates had been received by managers and implementation dates have been revised accordingly. The Chief Internal Auditor stated that CW Audit Services would continue to work with the Senior Management Team (SMT) in order to realise the report’s full implementation.</p> <p>Councillor D Dave expressed his discontent with the comments and concerns raised by the Internal Auditors as contained in the report. With reference to ‘Health and Safety - Policy and Procedures’ (at page 17) citing</p>	

that 'the current policy does not fulfil the legal requirements', the Member noted the seriousness and longevity of the issue and enquired as to whether the Council was complying with H&S legislation.

The Director of Services / Monitoring Officer advised that an experienced, permanent Health and Safety Officer had been in-post since November 2015 who was in the process of drafting a new Health and Safety Policy due to be brought before the next meeting of this Committee on 29 March 2016. The Officer was said to have no serious concerns regarding the Council's current H&S Policy and was presently implementing a new Fire Safety Evacuation Process and completing Fire Safety Warden training.

The Chief Internal Auditor advised that discussions with SMT were being held on a monthly-basis to ascertain how best the Internal Audit Plans 2014/15 and 2015/16 were to be achieved as outlined in sections 5 and 6 of the report (at pages 34 – 26).

With reference to 'Health and Safety - Training and Awareness' (at page 18) citing the need to produce a 'documented training needs assessment' and that 'some training had been carried out', Councillor B Dave stated that the provision of immediate training was required. He enquired as to whether the Council had carried out any such assessment and what H&S training has been provided to which members of staff and elected-Members, its nature and when it was delivered.

The Chair advised that the provision of H&S training was an operational matter and, as such, the information requested by the Member could neither be presently given at this meeting nor in the level of detail requested.

Councillor J W Boyce acknowledged the concerns raised by Councillor B Dave. It was said that careful consideration was required in order to adequately address any non-conformities in the policy. The Member stated what it was reasonable to request a report as to the number staff and Members who have received training upon a particularly H&S subject over a defined time-period. The Member sought an assurance from Officers as to whether the Council was currently compliant with H&S legislation and, or, that it would be compliant within the preceding six-week period.

The Director of Services / Monitoring Officer confirmed that such a report would be provided to Members and sought to clarify that reference to 'the current policy [not fulfilling] legal requirements' was a management update. It was advised that a Health and Safety Working Group was currently being commissioned and tasked to address any policy non-conformities. She reported that none of the interim successive H&S Officers had expressed that this Council was at either at serious or immediate risk.

With reference to 'Void Property Management - Budgetary Control' (at page 21) citing the need to 'set and monitor the costs etc.', Councillor D Dave enquired as to why such void properties were not being monitored on a monthly-basis.

The Director of Services / Monitoring Officer referred Members to the 'Community Services Update' report addressing the subject-matter in question as delivered by the Interim Community Services Manager at a meeting of the Service Delivery Committee held on 19 January 2016. An

action arising from that meeting (i.e. an evaluation of voids) was said to provide a more detailed response to the Member's enquiry in due course.

Councillor J W Boyce acknowledged that although there were nine outstanding high-risk/priority issues, he directed Members' attention to the so-said importance of such an internal audit process. He stated that significant assurances were required to ensure that the matters in-hand were to be resolved by the next meeting of this Committee and, or, where that was not possible, that an action plan be devised addressing the long-term risks whilst taking into consideration reasonable output.

Councillor G A Boulter reiterated that the internal audit process was an investigatory tool used by the Council so to identify any problem-areas and to respond accordingly.

The Director of Services / Monitoring Officer added that access to the audit-recommendation tracking system had been granted to Heads of Service and/or Interim Managers (to whom the issues identified have been respectively assigned) so that the necessary management updates can be made ahead of the next meeting of this Committee.

With reference to 'Equalities - Equality Impact Assessment (EIA)' (at page 22) citing that EIA's were 'not being completed', Councillor D Dave enquired as to why EIA's had not been undertaken in respect of a number of new and, or, revised policies.

The Chair stated that no new policies had recently been received by this Committee and that of those policies that had been previously received, each were to her understanding accompanied by an EIA.

The Director of Services / Monitoring Officer sought to clarify that the response to the EIA recommendation (at page 22) was made by the Head of Corporate Resources approximately one-year previously (i.e. on the 31 March 2015). Subject to clarification, she stated that all policies received in recent months have had a completed EIA and that she would revert back to the Member in due course with a more conclusive answer. It was said that although it was the position of this Council to aspire to best practice in terms of EIA's, she advised that the legal requirements in respect of same had, to the best of her knowledge, been relaxed.

Councillor J W Boyce requested that a report be brought to the next meeting of this Committee on the 29 March 2016 outlining the conditions upon which an EIA is (or is not) required and that a set of relevant indicators (viz. applicable, not applicable) be appended to all reports, documents etc. henceforth so to provide for greater clarity upon the same.

The Chief Internal Auditor stated that the review in question was undertaken two-years ago and, as such, any response should have due regard to its obtaining context and perpetual-nature. He stated that any assurance given to could assume the form of a reconciliation process that would effectively sign-off the review as closed.

Councillor D Dave sought to refer an exempt item before Members' at a previous meeting of this Committee.

	<p>The Director of Services / Monitoring Officer advised the Member that the item so referred to was one raised under, and that remained subject to, exempt provisions as defined in the respective paragraph(s) of Part 1 of Schedule 12A of the Local Government Act 1972 (Exempt Information) and, as such, subject to the Chair discretion, could only be referred to if the Committee were to go into closed session.</p> <p>Councillor J W Boyce requested that the Committee go into a short recess.</p> <p>The Chair permitted the Member's request.</p> <p>The Committee went in to recess at 7:35 pm.</p> <p>The Committee came out of recess at 07:39 pm.</p> <p>Councillor J W Boyce moved the recommendation contained in the report.</p> <p><b>RESOLVED THAT:</b></p> <p>The content of the progress report for 2015/16 be noted by Members.</p> <table data-bbox="279 869 606 969"> <tr> <td><b>Votes For</b></td> <td>10</td> </tr> <tr> <td><b>Votes Against</b></td> <td>0</td> </tr> <tr> <td><b>Abstentions</b></td> <td>3</td> </tr> </table>	<b>Votes For</b>	10	<b>Votes Against</b>	0	<b>Abstentions</b>	3	
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68.	<p><b><u>EXTERNAL AUDIT - ANNUAL AUDIT LETTER 2014/15</u></b></p> <p>The Committee gave consideration to the report and appendices (at pages 37 - 46) as delivered by the Interim Chief Financial Officer (Section 151 Officer) which should be read together with these minutes as a composite document.</p> <p>The Interim Chief Financial Officer stated that the Annual Audit Letter for 2014/16 ("the Letter") prepared by external auditors KPMG confirmed the Council's positive achievements in comparative terms of value for money vis-a-vis the cost, quality and impact on the community of Council services. The Letter was reported to certify that all financial statements were carefully and properly prepared, attaching significant assurance to the accounts as a true and accurate record of the Council's expenditure and service-delivery. The Council was also said to have successfully submitted its statutorily-required Whole of Government Accounts Return to the Department for Communities and Local Government confirming the Council's robust financial management. The Interim Chief Financial Officer reported one concern in respect of the difficulties auditors experienced arising from delays in responding to requests for explanatory information which in turn incurred an additional cost of £7,016.00. He stated that discussions were held with Officers (in respect of the Closing Programme for 2015/16) to identify these issues and was confident that they would not re-occur in the future.</p> <p>Councillor J W Boyce moved the recommendation contained in the report.</p> <p><b>UNANIMOUSLY RESOLVED THAT:</b></p> <p>The content of the report be noted by Members.</p>							

69.

**OVERALL GENERAL FUND REVISED FINANCIAL POSITION 2015/16 AND DRAFT BUDGET 2016/17**

The Committee gave consideration to the report and appendices (at pages 47 - 63) as delivered by the Interim Chief Financial Officer (Section 151 Officer) which should be read together with these minutes as a composite document.

The Interim Chief Financial Officer directed Members' attention to particularly significant and noteworthy sections and paragraphs contained in the report (at pages 47 - 55) that would in turn be brought before the next meeting of the Council on 18 February 2016 for resolution, namely:

- 4.2** It was said that owing to the non-availability of the Council Tax Freeze Grant from 2016, an increase in Council Tax of the maximum rate of 1.99% (short of triggering a Local Council Tax Referendum) was to be proposed to Council. This increase was said to be in line with that of the other District and Borough Council's in Leicestershire, while the County Council was likely to approve an increase of 3.99% (including 2% which had to be spent on adult social care).
- 4.1** It was said that despite the aforesaid increase of 1.99%, local authorities were still likely to experience economic difficulties due to an increase in service-demands vis-a-vis a reduction in local governments' financial settlements that will see the phasing out of the Local Government Revenue Support Grant (RSG) by 2020. The implications for this Council was said to be a year-on-year reduction of approximately £400,000 per annum. He noted that the intended devolution of powers from central to local government by 2020 allowing local authorities to retain 100% of local business rates was unlikely to raise sufficient additional revenue to offset the loss of RSG because the Borough would not be able to stimulate sufficient economic growth commensurate to what is needed to offset the RSG revenue losses.
- 5.2.** It was reiterated that given the consequential impact on local government resourcing, the Council would need to reassess future-funding levels in line with the Council's strategic objectives and focus on the delivery of front-line services and to make these, and other service areas, more efficient as part of cost-consolidating exercise: the resolution by Council on the 08 December 2015 in respect of suspending parts of the HR Policy was cited as an example of means to deliver an approximate saving of between £120,000 - £150,000.
- 16.** It was said in view of the aforesaid budgetary-constraints, an amount of £145,000 to be applied from the Council's General Fund Reserves (GRF) was needed to bridge the financial gap. It was added that although the Council's GRF sat at a healthy c. £800,000, Members should be mindful that any sum borrowed from the same would not mitigate the need for this Council to find further savings.

The Interim Chief Financial Officer acknowledged the challenges ahead faced by this Council although stated that he was confident that the necessary efficiency-savings could be achieved in accordance with the proposals outlined in the report. He assured Members that given the government's recent announcement(s) as to the medium-term financial settlement for local authorities for the next five years, prudent and forward-



thinking plans could now be prepared and implemented in advance to provide for greater resilience in the years to ahead.

With reference to Appendix 1 - 'General Fund Budget Summary 2016/17' (at page 56), Councillor B Dave enquired as to whether the level of the Council's financial reserves in respect of Capital Financing was 10% of the Council's net-budget and whether this percentile represented the norm.

The Interim Chief Financial Officer advised that the increase in the same was a result of the Council's recent renewing of its refuse vehicles fleet, for which the borrowing costs would need to be carried for the next 6-7 years before a decrease is realised.

With reference to Appendix 5 - 'Movement Between Original and Revised Budget 2015/16' (at page 57), Councillor B Dave requested that the format in which the figures are presented be simplified to render the information more accessible. With reference to 'Council Reserves at 21 March 2016' (at page 62), the Member further enquired as to whether the GRF of +£1 million was included in the Reserve or was an addition.

The Interim Chief Financial Officer advised Appendix 5 outlined a list of reserves identified for special purposes, and that the approximate figure of £1 million was in effect unallocated. He stated that, in accordance with government guidelines, it was not advisable to have too-high reserves and therefore the application of £145,000 to help bridge the funding gap for 2016/17 was prudent.

With reference to Appendix 3 - 'Changes in Budget Between 2015/16 and 2016/17' (at page 59), Councillor B Dave enquired as to whether any risk analysis has been undertaken if the efficiency targets as outlined in the appendix cannot be met.

The Interim Chief Financial Officer advised the 'Stage 1' was currently being delivered and removed from the base-salary structure considering the normal turnover of staff. 'Stage 2' was said to be underway in respect of costs associated with agency, placement or contract workers. 'Stage 3' was said to be under current evaluation in respect of consolidating service-costs whilst retaining good service-delivery across front-line services. It was acknowledged that although the restructuring scheme outlined may not be possible before 01 April 2016, in order to manage the risks involved, the use of the Equilibrium Reserve could be used but upon the understanding and obligation that the Council repay any sum borrowed the following financial year: to do otherwise was said to expose the Council to the risk of service failure. The prudent course of action, therefore, reported to achieve restructuring aims was through natural wastage, the aversion of dislocating services and incurring redundancy costs.

Councillor J W Boyce opined that the Council's 25-year record of strong financial management would allow Members to deal with a difficult financial settlement and manage the delivery of a balanced budget.

Councillor J W Boyce moved the recommendations contained in the report.

**RESOLVED THAT:**

	<p>(i) The content of the progress report for 2015/16 be noted by Members;</p> <p>(ii) The overall revised General Fund revenues budget position for 2015/16 (Appendices 1 and 2) be approved;</p> <p>(iii) The overall draft General Fund revenue budget for 2016/17, subject of a further and full report to the Council on 18 February 2016 (Appendix 1 and 3), be recommend in principle to the Council;</p> <p>(iv) The overall draft Capital programme for 2016/17, subject of a further and full report to the Council on 18 February 2016 (Appendix 5), be recommend in principle to the Council and the forward programme to 2018/19 be noted by Members;</p> <p>(v) The use of reserves as outlined in Appendix 1 be approved; and</p> <p>(vi) The Council to remain in the Business Rate Pool for 2016/17 be agreed.</p> <p><b>Votes For</b>                    10  <b>Votes Against</b>                0  <b>Abstentions</b>                    3</p>	
70.	<p><b><u>DRAFT HRA BUDGET AND HOUSING CAPITAL PROGRAMME 2016/17</u></b></p> <p>The Committee gave consideration to the report (at pages 64 - 67) as delivered by the Interim Chief Financial Officer (Section 151 Officer) which should be read together with these minutes as a composite document.</p> <p>The Interim Chief Financial Officer summarised the update in respect of the progress made in implementing the Housing Revenue Account's (HRA) 30 year business plan, noting a number of changes to central government policy impacting on the HRA going forward. This was said to include, amongst other things outlined at paragraph 3.3 of the report (at page 64), a new social housing policy affecting the rent convergence mechanism by reducing rents by 1% per annum for the next four years with a move to return to rent convergence thereafter. Nonetheless, it was said that the Chartered Institute of Housing deemed the HRA Business Plan to be fully viable albeit marginally affected insofar the challenges faced by the Council to potentially invest less in housing-stock and to carry out maintenance works. The Interim Chief Financial Officer emphasised however that non-dwelling rents were not subject to the aforementioned regime and, as such, service charges and garage rents were to increase by CPI + 1% and that the same would be communicated to the Council's social tenants.</p> <p>The Chair moved the recommendations contained in the report.</p> <p><b>UNANIMOUSLY RESOLVED THAT:</b></p> <p>(i) A 1% rent decrease in dwellings rent as detailed in Section 4 of the report be recommended to the Council; and</p> <p>(ii) A 1.1% rent increase in service charges and garages rent as detailed in Section 5 of the report be recommended to the Council.</p>	
71.	<p><b><u>RESIDENT FORUM OUTTURN BUDGET POSITION AND ALLOCATION REQUESTS</u></b></p> <p>The Committee gave consideration to the report and appendices (at pages 68 - 72) as delivered by the Interim Chief Financial Officer (Section 151 Officer) which should be read together with these minutes as a composite</p>	

	<p>document.</p> <p>The Chair requested that the allocation request of £500 in favour of the Oadby and Wigston Civic Orchestra in support of its commemorative event in 2016 (as approved at a meeting of the South Wigston Residents' Forum held on 10 November 2015) be added to the 'Approved Spending' report at appendix 1 (at page 70).</p> <p>Councillor J W Boyce moved that the Interim Chief Financial Officer be granted delegated authority to add the aforementioned allocation request.</p> <p>The Chair moved the recommendations contained in the report.</p> <p><b>UNANIMOUSLY RESOLVED THAT:</b></p> <ul style="list-style-type: none"> <li>(i) The position of the Resident Forums' budget(s) be noted by Members;</li> <li>(ii) The allocation requested by the Resident Forums as set out be approved; and</li> <li>(iii) The Interim Chief Financial Officer be granted delegated authority to add an allocation request of £500 in favour of the Oadby and Wigston Civic Orchestra.</li> </ul>	
72.	<p><b><u>CUSTOMER SERVICES TRANSFORMATION</u></b></p> <p>The Committee gave consideration to the report (at pages 73 - 76) as delivered by the Director of Services which should be read together with these minutes as a composite document.</p> <p>The Director of Services reported that the statistics showing the number of full enquires fielded by the Customer Services Centre (CSC) had increased by 40% since its opening on 12 October 2015. A significant increase of 235% in turnaround times for quick enquires in like-for-like terms (between January 2015 - January 2016) was said to have been achieved owing to the added provision of additional self-service access points. It was said that the CSC had received overwhelming levels of positive feedback from service-users. This transformation was said to reinforce the Interim Chief Financial Officer's earlier comments insofar it was this Council's ongoing aspiration to continue to change the ways in which it operates to secure the best utilisation of resources to the betterment of the Borough's residents. The Director of Services advised the second phase of the transformation project was to commence imminently and was to deliver the several new scheme as outlined in the report at 3.6. (at page 74).</p> <p>The Director of Services stated that the overall transformation costs had already been factored-in: however, Members were asked to note at 3.6. of the report (at page 75) the potential of an added financial implication of £2,800 for the renewal of additional software licences should the TCA partnership fail to deliver within timeframes.</p> <p>The Director of Services sought to add to the report's recommendations that Members be minded to approve the £2,800 for the aforementioned reason.</p> <p>The Chair commended the positive outlook of the report and requested that a decision be taken to issue a press release in respect of the same.</p>	

	<p>Councillor J W Boyce commended the Council's achievements in being able to provide a new-and-improved service to the residents of the Borough on a cost-effective basis during austere economic times. He welcomed the report and again congratulated all those Officers involved in CSC transformation process.</p> <p>Councillor J W Boyce moved the recommendation contained in the report and the further recommendation to approve an additional amount of £2,800 in respect of the possible renewal additional software licences.</p> <p><b>UNANAMIOUSLY RESOLVED THAT:</b></p> <p>(i) The information provided with the report be noted by Members; and  (ii) An addition of £2,800 be approved in respect of the possible renewal additional software licences.</p>	
73.	<p><b><u>LOCAL DEVELOPMENT SCHEME (LDS)</u></b></p> <p>The Committee gave consideration to the report and appendices (at pages 77 - 105) as delivered by the Director of Services which should be read together with these minutes as a composite document.</p> <p>With reference to 'Regulation 19/20 Consultation (preferred options)' under the heading 'Timetable' in the appendix (at page 103), the Director of Services advised that this ought to read 'Regulation 18' and Local Development Scheme document shall be amended to such effect ahead of its full publication.</p> <p>The Chair moved the recommendation contained in the report.</p> <p><b>UNANAMIOUSLY RESOLVED THAT:</b></p> <p>The Local Development Scheme for publication be approved.</p>	
74.	<p><b><u>PUBLIC REALM WORKS WITHIN THE BOROUGH</u></b></p> <p>The Committee gave consideration to the report (at pages 106 - 107) as delivered by the Director of Services which should be read together with these minutes as a composite document.</p> <p>The Director of Services summarised the proposals in respect of the proposed Public Realm Improvements to Wigston and South Wigston town centres as outlined at paragraph(s) 3.1 - 3.8. in the report (at pages 106 – 107).</p> <p>The Chair moved the recommendation contained in the report.</p> <p><b>UNANAMIOUSLY RESOLVED THAT:</b></p> <p>The spending of approximately £11,000 - £13,500 on public realm improvements to Wigston town centre and the installation of a digital display screen in South Wigston town centre as detailed in this report to be funded from the remaining money in the Council's Public Realm Reserve be approved.</p>	

**THE MEETING CLOSED AT 8.18 PM**



**CHAIR**

**TUESDAY, 29 MARCH 2016**

# Agenda Item 4b

**MINUTES OF AN EXTRAORDINARY MEETING OF THE POLICY, FINANCE AND DEVELOPMENT COMMITTEE HELD AT THE COUNCIL OFFICES, STATION ROAD, WIGSTON ON THURSDAY, 18 FEBRUARY 2016 COMMENCING AT 6.00 PM**

<p><b><u>IN ATTENDANCE:</u></b></p> <p>Chair - Councillor Mrs S B Morris Vice-Chair - Councillor D A Gamble</p> <p><b>COUNCILLORS (10):</b></p> <table border="0"> <tr> <td>G S Atwal</td> <td>B Dave</td> <td></td> </tr> <tr> <td>G A Boulter</td> <td>Mrs L Eaton</td> <td>K J Loydall</td> </tr> <tr> <td>J W Boyce</td> <td>B Fahey</td> <td>R E R Morris</td> </tr> <tr> <td>M L Darr</td> <td>J Kaufman</td> <td></td> </tr> </table> <p><b>OFFICERS IN ATTENDANCE (2):</b></p> <table border="0"> <tr> <td>S J Ball</td> <td>Mrs A E Court</td> </tr> </table> <p><b>OTHERS IN ATTENDANCE (1):</b></p> <p>B Whitaker</p>	G S Atwal	B Dave		G A Boulter	Mrs L Eaton	K J Loydall	J W Boyce	B Fahey	R E R Morris	M L Darr	J Kaufman		S J Ball	Mrs A E Court
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J W Boyce	B Fahey	R E R Morris												
M L Darr	J Kaufman													
S J Ball	Mrs A E Court													

Min Ref.	Narrative	Officer Resp.
75.	<p><b><u>APOLOGIES FOR ABSENCE</u></b></p> <p>An apology for absence was received from Councillors L A Bentley and T Barr.</p>	
76.	<p><b><u>APPOINTMENT OF SUBSTITUTES</u></b></p> <p>None.</p>	
77.	<p><b><u>DECLARATIONS OF INTEREST</u></b></p> <p>None.</p>	
78.	<p><b><u>OPEN-SPACE LAND KNOWN AS OADBY GRANGE COUNTY PARK</u></b></p> <p>The Committee gave consideration to the reports and appendices (at pages 1- 2 and 3 - 25) as jointly-delivered by the Director of Services and Mr Benjamin Whitaker, Chartered Surveyor at Andrew Granger &amp; Co, which should be read together with these minutes as a composite document.</p> <p>Mr Whitaker directed Members' attention to particularly significant and noteworthy paragraphs contained in his report (at pages 3 -24) regarding the land at Oadby Country Park, Oadby. He summarised the instructions given and the subsequent assessments undertaken in respect of both the lease area (at paragraphs 3) and the whole site (at paragraphs 4) with reference to their respective locations, descriptions and uses. He further summarised the condition of the whole site (at paragraph 5), maintenance issues (at paragraphs 6) and miscellaneous matters (at paragraph 7).</p>	<p><b>AC MHo</b></p>

Mr Whitaker reported that the agent for the landowner had made several comments on the report, namely that:

- (i) the floor-relief basin had been designed to redirect water to the brook via the weir (at paragraph 4.1.2);
- (ii) the pasture fields on site were not, nor have been, rented out to accommodate horses (at paragraph, 4.1.4);
- (iii) the collapsed bridge was a culvert which the Council sought to retain to allow access to the woodland (at paragraph 5);
- (iv) no WW2 ammunitions or undetonated bombs were, to the best of his knowledge, present on site nor did any creators or excavations suggest so (at paragraph 6.4);
- (v) the resurfacing of the car park and access track with tarmac and the erection of gates did not feature in any original discussions (at paragraph 6.1).

Mr Whitaker stated that the flood-relief basin and the associated works thereto posed the largest liability to the Council. The remainder of the site was said to be relatively straight-forward to control and maintain. With reference to the breakdown of anticipated costs for both the lease area (at page 24) and whole site (at page 25), he concluded that a large capital sum was nevertheless required in order to bring the land upto a reasonable standard for public admission and that the Council should proceed with the lease area of the land as opposed to the purchase of the whole site.

Councillor B Dave requested clarification as to whether recommendation 2.2 of the report (at page 1) referred to renegotiations in respect of the whole site or lease area.

The Director of Services advised that recommendation 2.2 sought to take account of the significant added costs, as outlined in Mr Whitaker's report, primarily in respect of the whole site whilst keeping the option open to renegotiate with the landowners. She directed Members to first consider whether they wished to either continue with the purchase of the whole site or part-lease of the same.

The Member enquired as to whether any renegotiations, in respect of both the whole site and lease area, sought to maintain the status quo of current discussions with the necessary financial adjustments made or to substitute an entirely new agreement.

The Director of Services stated that any renegotiations would seek the landowners to bring the condition of the land upto a reasonable standard for public admission.

Councillor J W Boyce suggested that Members should not be minded to resolve recommendation 2.1 given the further information now available on the same which has since casted doubt on to the Committee's earlier resolution of the 22 July 2014. He considered recommendation 2.2 to be the more sensible of the two, allowing for a "doughnut" shaped lease area including a commuted sum and stipulations regarding the condition of the site as decided some 10-years previously under the agreement pursuant to the Town and Country Planning Act 1990, section 106 (the "s.106 agreement"). The Member acknowledged the long history and reasons why this item of business could not have been concluded earlier on the part of

the landowner.

Councillor B Dave expressed his discontent as to the longevity of the matter and the tardiness of the approximate 16-year negotiation process. He stated that, on a comparative ward-by-ward basis, the Oadby Woodlands ward required some parkland provision or recreational facilities as was originally intended by the s.106 agreement. The Member suggested that recommendation 2.1 ought to be considered and noted that the added cost-factor involved in purchasing the whole site could be met by the sum received under the s.106 agreement.

Councillor J W Boyce acknowledged that had the works in accordance with the s.106 agreement been undertaken within a reasonable timescale, the lease area would have ideally been realised much earlier. He noted that the report brought before this Committee in July 2014 proposing, in the alternative, the purchase of the whole site did not adequately address the financial and, moreover, risk implications in doing so. He further emphasised that the sums received under one s.106 agreement could not in law be conflated with another obtaining to different development site in the Borough. He stated that original plan should to be implemented and swiftly.

Councillor J W Boyce moved recommendation 2.2 as set out in the report.

The Director of Services advised that under the s.106 agreement it was intended that once the Council had obtained the lease, a Management Maintenance Plan was to be prepared in consultation with the landowners from which any commuted sum was then to be calculated accordingly. It was stated that no sum received has been specified in the unilateral undertaking. She further emphasised that any sum received under any such agreement was highly prescriptive to the area to which it relates and that s.106 funds were not an open-pot to indiscriminately invest in open-areas.

Councillor G S Atwal enquired as to the potential of any farmland income generated from sub-leasing the land.

Mr Whitaker advised that a rate of £60 per acre, per annum (totalling £1,500 per annum) was achievable.

Councillor J Kaufman welcomed the opportunity for a public debate. He sought clarification as to whether the anticipated costs in respect of the whole site and lease area were £16,000 and £13,000, respectively (≠ £3,000). He further enquired as the value of the capital sum in respect of the flood-relief basin and the associated works.

Mr Whitaker answered affirmatively. He estimated the sum to be approximate £20,000.

The Member raised a concern as to the contradictory information he had received upon the subject-matter over the preceding six months. He stated that both recommendations required careful consideration upon their financial feasibility.

Councillor G A Boulter stated that the original plan regarding the "doughnut" lease area did not present any foreseeable problems. The Member raised concerns as to the significant financial and risk implications in inheriting



	<p>responsibility the floor-relief basin. He further anecdotally-noted that WW2 ammunitions were present on the land. It was said that the land had not been hitherto adopted owing to failures on the landowners' part to complete the necessary maintenance works in a timely manner. The Member also warned Members to be mindful as to the landowners' possible motives for disposing with the land that may in later years burden this Council.</p> <p>Councillor G A Boulter seconded recommendation 2.2 as set out in the report.</p> <p>The Director of Services advised that the commuted sums under recommendations 2.1 and 2.2 effectively amounted to a 10-year vis-a-vis 30-year plus period of ongoing maintenance, respectively: the latter was said to require no input of additional resources from the Council.</p> <p>With reference to paragraph 6.2 of the report (at page 7), Councillor D A Gamble stated that there was no evidence to suggest that local residents had blocked the outfall weir and that fish had not been present for approximately 10-years. The Member further questioned the necessity for perimeter fencing. He noted that there were also protected-species of water voles on the site. It was said that the weir was approximately 2-foot lower than the bank sited near to row of residential houses. The walkways on site were also said to be in A poor state of repair and required extensive maintenance work.</p> <p>Mr Whitaker advised that the recommendation to erect perimeter fencing was primarily a health and safety consideration.</p> <p><b>RESOLVED THAT:</b></p> <p>Delegated authority to the Director of Services and Chief Financial Officer (Section 151 Officer), in consultation with the Chair of this Committee, to enter into renegotiations with the landowner's agents be authorised.</p> <table> <tr> <td><b>Votes For</b></td> <td>11</td> </tr> <tr> <td><b>Votes Against</b></td> <td>1</td> </tr> <tr> <td><b>Abstentions</b></td> <td>0</td> </tr> </table>	<b>Votes For</b>	11	<b>Votes Against</b>	1	<b>Abstentions</b>	0	
<b>Votes For</b>	11							
<b>Votes Against</b>	1							
<b>Abstentions</b>	0							

**THE MEETING CLOSED AT 6.44 PM**

  
 .....  
**CHAIR**  
 .....  
**TUESDAY, 29 MARCH 2016**  
 .....

# Agenda Item 5

## POLICY, FINANCE AND DEVELOPMENT COMMITTEE

### ACTION LIST

ARISING FROM A MEETING HELD ON TUESDAY, 02 FEBRUARY 2016

<b>Min Ref.</b>	<b>Title</b>	<b>Action To Be Taken</b>	<b>Officer</b>	<b>Target Date</b>	<b>On Target</b>
<b>67.</b>	Internal Audit - Progress Report 2015/16	To receive the New Health and Safety Policy at the next meeting of the Committee.	<b>AC/PE</b>	<b>Mar-16</b>	Yes
<b>67.</b>	Internal Audit - Progress Report 2015/16	To receive a Health and Safety Training Report at the next meeting of the Committee.	<b>AC/PE</b>	<b>Mar-16</b>	Yes
<b>67.</b>	Internal Audit - Progress Report 2015/16	To receive an EIA Report (including confirmation of number of policies with an EIA attached) at the next meeting of the Committee.	<b>AC/VQ</b>	<b>Mar-16</b>	Yes
<b>71.</b>	Resident Forum Outturn Budget Position and Allocation Requests	To add the South Wigston Resident's Forum allocation request of £500 in favour of the Oadby and Wigston Civic Orchestra.	<b>MHo</b>	<b>Mar-16</b>	Yes
<b>72.</b>	Customer Services Transformation	To prepare a press release in respect of the positive Customer Services Transformation progress.	<b>AC</b>	<b>Mar-16</b>	Yes

IT IS PROPOSED TO BUILD "AFFORDABLE HOUSING" ON THE SITE OF ELLIS PARK ETC WHICH HAS BEEN GIVEN TO THE PEOPLE OF OADBY FOR RECREATIONAL PURPOSES. PLEASE SIGN THE PETITION

Agenda Item 6a

# Oadby Swimming Pool Site Petition

We the undersigned petition Oadby and Wigston Borough council to Retain ownership of the Oadby Swimming Pool Site on Ellis Park for a recreational use.

Name	Address	Date	Signed
H.M. Stacey	[REDACTED]	29.12.15	H.M. Stacey
S.E. Baldwin		"	S.E. Baldwin
A NOONE		- - -	[Signature]
M. Turner		29.12.15	[Signature]
M GEE		29.12.15	Margaret M GEE
S. EDMOND		"	S.O Edmond
B McDonald		29.12.15	B McDonald
D. HULFORD		29.12.15	J.M. Hulford
J Frost		29.12.15	Janie Frost
M Smalley		29/12/15	MV Smalley
A HAYNES		29/12/15	A HAYNES
J THURSTON		29/12/15	J.P. Thurston
R Waite		29/12/15	R. Waite
D. Waite		29/12/15	[Signature]
G Beagley		29/12/15	G Beagley
R MORRIS		29/12/15	R Morris
A. MORRIS		29/12/15	[Signature]
P NORTON		29/12/15	P Norton
M. Kirk-Terrar		29/12/15	M Kirk-Terrar
A. HAUGHTY		30.12.15	A.A. Haughty
B W McLean	30.12.15	B W McLean	

REDACTED



Printed and promoted by Matthew Luke of Oadby and Wigston Branch Labour Party, both of 21 Hornbeam Close, Oadby, LE2 4EQ. No personal details provided on this petition will be used for the purposes of Party Political Campaigning.

E.S. Hulford

[REDACTED]

30.12.15 [Signature]

# Oadby Swimming Pool Site Petition

We the undersigned petition Oadby and Wigston Borough council to Retain ownership of the Oadby Swimming Pool Site on Ellis Park for a recreational use.

Name	Address	Date	Signed
T. Yarney	REDACTED	29/12/2015	T. Yarney
O Phipps		29/12/15	O Phipps
S. Handsworth		29/12/15	S.H. Handsworth
V. BURGESS		29/12/15	Vivienne Burgess
R. Aldwinckle		29.12.15	Rosemary Aldwinckle
P. Nyman		29.12.15	P. Nyman
A - MARLOW-LO		29.12.15	A. Marlow-Lo
P. Towers		29/12/15	P. Towers
B. Felber		29/12/15	B. Felber
D. Felber		29/12/15	D. Felber
D. HUMPLEBY		29/12/15	D. Humpleby
H. Johnson		30/12/15	H. Johnson
B.N Shaw		30/12/15	B.N Shaw
G. MANSHIP		31/12/15	G. Manship
G. Crofts		2/1/16	G. Crofts
R. HARLES		2/1/16	R. Harles
A. Bennett		2/1/16	A. Bennett
P.D. Hoff		4/1/16	P.D. Hoff
J.M. Palmer	4/1/16	J.M. Palmer	
J. Clements	6/1/16	J. Clements	



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# Oadby Swimming Pool Site Petition

We the undersigned petition Oadby and Wigston Borough council to Retain ownership of the Oadby Swimming Pool Site on Ellis Park for a recreational use.

Name	Address	Date	Signed
CJELLIS	[REDACTED]	2-2-16	<i>CJ Ellis</i>
CE AUSER		2-2-16	<i>C E Auser</i>
M. Auser		"	<i>M. Auser</i>
R LLOYD		4/2/16	<i>R Lloyd</i>
M Hunt		5/2/16	<i>M Hunt</i>
MR. C.T.A. STEPHENS		Oadby 5/2/16	<i>C.T.A. Stephens</i>
G. MERRY		06/02/16	<i>G Merry</i>
S. PATER		6-12/16	<i>S Pater</i>
H BROWN		07/02/16	<i>H Brown</i>
BLOUSEL		7/2/16	<i>Blousel</i>
P. OYLER		8/2/16	<i>P Oyle</i>
Y. Kamata		8/2/16	<i>Y Kamata</i>
Deane		9-2-16	<i>Deane</i>
D. LOWE		9-2-16	<i>D. Lowe</i>
G. Marshall		9-2-16	<i>G Marshall</i>
M Barry		9-2-16	<i>M Barry</i>
Bence Taylor		9/2/16	<i>Bence Taylor</i>
J. COOPER		9-2-16	<i>J Cooper</i>
A. STEWART	9-2-16	<i>A Stewart</i>	



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# Oadby Swimming Pool Site Petition

We the undersigned petition Oadby and Wigston Borough council to Retain ownership of the Oadby Swimming Pool Site on Ellis Park for a recreational use.

Name	Address	Date	Signed
A. Robert	REDACTED	23/1/16	<i>[Signature]</i>
N. Holden		23/1/16	<i>[Signature]</i>
TOWER		24/1/16	<i>[Signature]</i>
J Diney		24/1/16	<i>[Signature]</i>
S. Little		25/1/16	<i>[Signature]</i>
S. CHANDRA		25/1/16	<i>[Signature]</i>
Ed. KEYWOOD		25-1-16	<i>[Signature]</i>
Sue ELEY		25/1/16	<i>[Signature]</i>
Samantha Flowers		26/1/16	<i>[Signature]</i>
Clive Lorne		26/1/16	<i>[Signature]</i>
Val Flowers		26/1/16	<i>[Signature]</i>
CAREY BROWN		26/1/16	<i>[Signature]</i>
DEBORAH ANN SMITHLEY		28.11.16	<i>[Signature]</i>
Neil PATEL		26/1/16	<i>[Signature]</i>
Walter Shree		27/1/16	<i>[Signature]</i>
Susan Hawke		29/1/16	<i>[Signature]</i>
ANKUSH		29/1/16	<i>[Signature]</i>
Suresh Vaidyanathan		30/1/16	<i>[Signature]</i>
Narmada Vaghekar		30/1/16	<i>[Signature]</i>
Rishi Kojur		30/1/16	<i>[Signature]</i>



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# Oadby Swimming Pool Site Petition

We the undersigned petition Oadby and Wigston Borough council to Retain ownership of the Oadby Swimming Pool Site on Ellis Park for a recreational use.

Name	Address	Date	Signed
S. ROBINSON	REDACTED	4/1/16	<i>[Signature]</i>
N. WIGLEY		4/1/16	<i>[Signature]</i>
P. COOK		4/1/16	P. M. COOK
C. DAVIES		4/1/16	<i>[Signature]</i>
R. Turner		4/1/16	R Turner
R. Williamson		4/1/16	<i>[Signature]</i>
Y. Brykka-Mae		4/1/16	<i>[Signature]</i>
E. Hardbourn		4/1/16	<i>[Signature]</i>
M. P. Scott		4-1-16	M SCOTT
M. Mansley		4.1.16	<i>[Signature]</i>
PAUL MEE		4/1/16	<i>[Signature]</i>
H. MARSHALL		4/1/16	H. Marshall
R. M. L. KEMP		4/1/16	<i>[Signature]</i>
J. MASON		4/1/16	<i>[Signature]</i>
N. STAESMAN		4/1/16	<i>[Signature]</i>
D. CALVER		4/1/16	<i>[Signature]</i>
<i>[Signature]</i>		4/1/16	<i>[Signature]</i>
P. A. Lukker		4/1/2016	PAZ
L. OXSPRING		4/1/16	<i>[Signature]</i>
J. Broegen		4/1/16	<i>[Signature]</i>



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# Oadby Swimming Pool Site Petition

We the undersigned petition Oadby and Wigston Borough council to Retain ownership of the Oadby Swimming Pool Site on Ellis Park for a recreational use.

Name	Address	Date	Signed
CAROL HOLLIS	REDACTED	4/1/16	C+DOL
JAMES LANGTRY		5/1/16	JL
John Connor		5/1/16	J Connor
S. LAWSON		5/1/16	S. Lawson
M. Kilgallen		5/1/16	MK
I. COY		5.1.16	I Coy
M. Kestelhe		5.1.16	M.A.E
SARABH		6/1/16	Sarabh
JIV LAW		6/1/16	Jiv Law
AMY STONES		7.1.16	Amy Stones
G. DAVANT		14/1/16	G. Davant
b.b. GWINN		14.1.16	b.b. Gwinnt
Kirsty Pearson		14.1.16	K Pearson
SINOU WHITFIELD		14.1.16	Sinou Whitfield
M. BELLING		14.1.16	M. Belling
Shane Lightban		14.1.16	Shane Lightban
S. SOUL		15.1.16	S. Soul
C. SHAW		15.1.16	C. Shaw
D. EARP	16.1.16	D. Earp	



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# Oadby Swimming Pool Site Petition

We the undersigned petition Oadby and Wigston Borough council to Retain ownership of the Oadby Swimming Pool Site on Ellis Park for a recreational use.

Name	Address	Date	Signed
Garry Leach	REDACTED	16-1-16	Garry Leach
P. Dumbrey		16-1-16	<del>P. Dumbrey</del>
D. Jenkins		16-1-16	D. Jenkins
C. Wade		16-1-16	C. Wade
A. Wade		16-1-16	<del>A. Wade</del>
R. Green		17-1-16	R. Green
S. Wilson		17/1/16	S. Wilson
Gilly Chubb		19/1/16	G. Chubb
G. S. S. S. S. S.		20/1/16	G. S. S.
J. Frite		21/1/16	J. Frite
M. Frite		21/1/16	M. Frite
Paul Jackson		21/1/16	Paul Jackson
P. Morris		" " "	P. Morris
A. J. Powie		" " "	A. J. Powie
S. Chamberlain		21/1/16	S. Chamberlain
M. H. H.		22/1/16	M. H. H.
W. Jones		22/1/16	W. Jones
J. S. DHAMI		22/1/16	J. S. Dhani
V. CHAPMAN		22/1/16	V. Chapman
I. Wakefield		23/1/16	I. Wakefield



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# Oadby Swimming Pool Site Petition

We the undersigned petition Oadby and Wigston Borough council to Retain ownership of the Oadby Swimming Pool Site on Ellis Park for a recreational use.

Name	Address	Date	Signed
Charlotte Johnson	REDACTED	6/1/16	CP Johnson
Barbara Johnson		6/6/16	
Cecile Pratt		7.1.16	
Roy Allum		7/1/16	Roy Allum
Margaret Carruthers		12/1/16	M Carruthers
<del>as [unclear]</del>		<del>[unclear]</del>	
J. JOHNSON		20-1-16	J Johnson
S NOSELEY		22-1-16	S HANNONSELEY
T COCKBURN		27-1-16	T C



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# Oadby Swimming Pool Site Petition

We the undersigned petition Oadby and Wigston Borough council to Retain ownership of the Oadby Swimming Pool Site on Ellis Park for a recreational use.

Name	Address	Date	Signed
P Lester	REDACTED	11/2/16	
C. McManus		11/2/16	
SRUEL		11-2-16	
K Hudson		11-2-16	
B MELLOWS		13-2-16	
N OZIVSE		n	



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**No personal details provided on this petition will be used for the purposes of Party Political Campaigning.**

Name	Address	Date	Signed
R Highcock	REDACTED	30 12 15	R Highcock
J. PETCHER		"	J Petcher
A SMITH		"	A Smith
J. A. ...		30.12.15	J. A. ...
N. Munn.		30.10.15	N A Munn.
1 HENNER		31/12/15	1 HENNER
2. Naylor		31/12/16	2. Naylor.
Hj. Highcock		31/12/15	Hj. Highcock
K. REVILL		31/12/15	K Revill,
F. JOHNSON		1/1/16	F Johnson
T BOULDS		1/1/16	T Boulds
→ SANDERS		1/1/16	D Sanders

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# ePetition details

## Oadby Swimming Pool Site, Leicester Road, Oadby

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### We the undersigned petition the council to retain ownership of the Oadby Swimming Pool Site on Ellis Park for a recreational use.

One hundred and seventeen years ago, Mrs Rachel Ellis opened the park in Oadby that still bears her name.

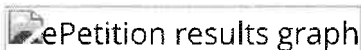
She had given the land in her lifetime to "be held by the Council for the benefit of the inhabitants of the Parish of Oadby".

The Swimming Pool was built upon this park land. It is a discredit to the memory of Mrs Rachel Ellis, and the people of Oadby, to plan any other uses for this land other than that of parks and recreation.

This ePetition ran from 09/12/2015 to 14/02/2016 and has now finished.

#### Final results

Option	Count	Percentage
Agree	227	99.1%
Disagree	2	0.9%



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## ePetition Responses

### Oadby Swimming Pool Site, Leicester Road, Oadby

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#### ePetition responses

- Joanna Luke
- John Hall
- Angela Cooke
- Sheila Hollis
- Katie Mallett
- Jenny Day
- sat singh
- Alistair Hollis
- Gemma Burton
- samantha lunn
- Tom Badger
- Amanpreet Sihota
- Malcolm Goodwin
- Heather Copley
- Paul Bull
- Carola Williams
- Collette Palmer
- Gary Davies
- Julie Hodgett
- John Gosling
- karin fall

- Avtar Singh
- Tanya Sanders
- sue iglesias-hearst
- Darren Verity
- Sian Jones
- Nicky Wilkie
- Jane Mccoy
- Edward Smith
- Kathleen Smith
- Robin Sindall
- Gurpal Atwal
- Sean Caldwell
- Candy Smith
- Frances White
- Steve Cattell
- Maggie Tedd
- Shabeeb Mahboob
- Jonathan Davies
- Phil Franks
- jim gannon
- Julie Smith
- Michelle Sinclair-Tate
- Kevin sleight
- David Barwell
- sarah Bramley
- Elinor Newnham
- Anne Lee
- Carolyn Robson
- Julie Senescall
- Neil Gillett
- Peter Bliss
- Harry Patel
- Ciara McAlwane
- Marie Zarins
- Maggie Warrington
- mark hunt



- Jonathan Costall
- Deborah Houghton
- Nick Price
- Joline Hill
- Graeme Ostah
- Gary Warrington
- Katherine Baxter-Harris
- Barbara Patrick
- Dean Zarins
- Sarah-jane Amalou
- Carole Hudson
- naima contractor
- JOHN PELMORE
- S Ahsan
- Hasina Mahboob
- Lisa Brooks-Lewis
- Eileen Melling
- Julie Harget
- Alison Crawford
- Linda Russell
- Justine Hill
- louise kisby
- Beverley Wallis
- Jason Wade
- Pete McConnell
- Rachel Lawson
- Bob Harget
- Aabida Khan
- Keziah Caldwell
- Joseph Parry
- Jill Everington
- Hannah Snow
- simon parry
- Rebecca Lloyd
- Jane Cowling
- Alan Penter

- Dean Bayley
- Charles Dunkley
- Samantha Gutteridge
- Frank Friedmann
- Gail Sharp
- Maureen Wright
- nicholas conlon
- Martin Ward
- Sarah Franks
- Lynne Burton
- Susan Penter
- Patricia Ellson
- Terence Battle
- Barry Wilford
- Lesley Green
- RUTH SMITH
- Maureen Luff
- David Luff
- WAYNE ILIFFE
- kim JONES
- Michael McLaughlin
- Janet Arnott
- Margaret Lewis
- Josslyn McAuley
- MICHAEL JEFFREY
- Margaret Green
- Julie Daines
- Brian Purkiss
- Elise Mcdade
- David McDade
- Janice Sneath
- Ian Calcutt
- Rachel Purkiss
- Alison Calcutt
- Jon Knight
- Ernest Daines

- BOB BRYARS
- JAN BRYARS
- Lesley Oldershaw
- David Sneath
- Noel Oldershaw
- David Allen
- Kev Oldfield
- tracey hunter
- Margaret Kelly
- Mark Dickinson
- Amanda Weeks
- Finian Heavey
- Stephen Oldfield
- RosemaryAnn Pearson
- Susanna Mason
- Russell Luke
- Sylvia Reid
- Lauren Cresswell
- John Wright
- Darren Woodiwiss
- Claire James
- Katherine parrish
- James Davies
- Deborah Jeffrey
- Jane Shipley
- Claire Aisthorpe
- Angela Oswins
- june harris
- Sue Spare
- Gay Innes
- Adam Krupa
- Jennifer James
- Melanie Berman
- joanne leedham
- Michelle Wright
- Nigel Padfield

- sally howse
- RobertPaul Freer
- Sarah Jones
- Jo Cullen
- Lee Sargent
- JULIA JONES
- Ian Scott
- Jules Martyn
- Victoria Parris
- Grahame Smith
- Lisa Davenport
- Lucie Aldwinckle
- Janet Flawith
- Kym Roberts
- Helen Johnson
- Becciey Sanders
- Rebecca Sanders
- Sue Sprason
- Anita Mottram
- Janice Ward
- Tracey sneath
- Patrick Carruthers
- Andrew Betts
- Joanne Skinner
- tina young
- Sheila Mosley
- Susan Bonnington
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- Jane Turland
- charlotte kucziw
- Linda Killick
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# Agenda Item 7



<b>Policy, Finance and Development Committee</b>	<b>Tuesday, 29 March 2016</b>	<b>Matter for Information and Decision</b>
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**Title:** Internal Audit Progress Report 2015/16 and Audit Plan 2016/17

**Author:** Martin Hone – Interim Chief Financial Officer (Section 151 Officer)

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## 1. Introduction

This report summarises the work of Internal Audit for 2015/16 and details the Internal Audit Plan for 2016/17.

## 2. Recommendations

- 2.1. That Members note the content of the Progress Report for 2015/16
- 2.2. That Members approve the Audit Plan for 2016/17 and note that the Plan is indicative at this stage, and the days that are allocated to each audit may change following the reviews in 2015/16.

## 3. Information

- 3.1. The Internal Audit Plan for 2015/16 totals 254 days and includes 27 reviews planned to be conducted in year. To date in 2015/16 Internal Audit have issued nine final reports and one draft report with thirteen other audits in progress and at various stages of completion. Four audits were agreed to be dropped in order to resource additional work.

The purpose of the Report is to:

- a) Show progress against the Audit Plan
- b) Summarise key findings and conclusions arising from the work performed during the period.

Appendix 1 gives details of the audits completed so far in 2015/16 and provides information on the audit recommendations.

- 3.2. Appendix 2 to this report contains the Internal Audit Plan for 2016/17. The plan included 23 audit assignments programmed over 260 days. Audits are identified by and linked to the Council's business objectives and strategic risks.

### Background Documents:-

Internal Audit 2015/16 Plan

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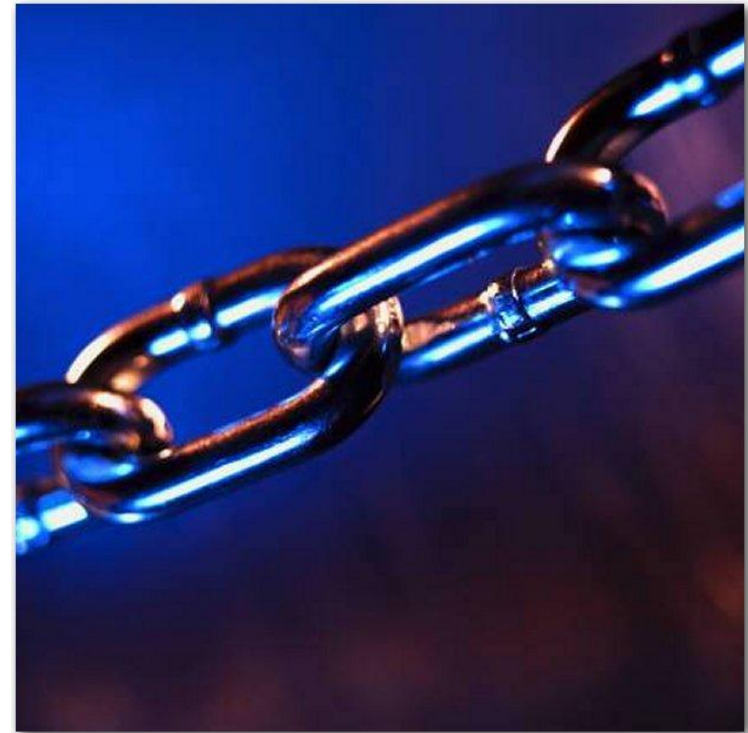
**Tel:** (0116) 257 2891

<b>Implications</b>	
Financial (CR)	No significant implications.
Legal (AC)	No significant implications.
Risk (CR)	The internal audit is a key component of the Council's internal control framework. Outcomes of all internal audit reviews will be considered in the context of the strategic risk register.
Equalities (AC)	No significant implications.

## Oadby & Wigston Borough Council

### Internal Audit Progress Report 2015/16

March 2016





## 1. Introduction

This report summarises the work of Internal Audit for the period to mid-March 2016. The purpose of the report is to update the Committee on progress made in delivering the 2015/16 audit plan and to update in relation to management's implementation of internal audit recommendations..

## 2. Progress summary

The agreed internal audit plan for the 2015/16 year totals 254 days. Section 5 provides details of all of the audit assignments included in the 2015/16 year, together with details of the point in the year at which each assignment was planned for delivery and an update on the current position. The Committee has been advised previously of the rescheduling to the latter part of 2015/16 of various audits, and Section 5 reflects current proposed amended timings.

## 3. Reviews completed

The following reviews have been completed and final reports agreed with management since the last meeting of this Committee.

Review	Status	Level of assurance
Capital Projects 2014/15 (project management)	Final management briefing report issued	Moderate
Housing Rents 2014/15	Final report issued	Moderate
Refuse & Recycling VFM 2014/15	Final management briefing report issued	N/A - Advisory
Safeguarding	Final management briefing report issued	N/A - Advisory
Depot - Income Systems and Asset Controls	Final management briefing report issued	N/A – Advisory

Review	Status	Level of assurance
Main Accounting (General Ledger)	Final report issued	Significant
Members Allowances	Final report issued	Full

At the request of the Committee at its February 2014 meeting, and as subsequently agreed with the Chair of this Committee, to ensure members are provided with further detail only on issues which may warrant their concern, we only report specific findings, recommendations and agreed actions arising from our audits where these relate to matters we deemed to be high risk/priority. The following such issues were reported in relation to the above audits.

### Main Accounting (General Ledger)

#### System Control Objective 3: Access to system functions is restricted to authorised personnel and the security and integrity of the system is maintained.

Expected Control	Audit Finding	Risk	Risk Ranking	Recommendation	Response	Who	When
<b>3.2 Leaver's access to Council's IT system</b>	<p>If a user is denied access to the Council's main ICT system (domain accounts) they would not be able to access Integra. Also inactive domain accounts are automatically disabled after 30 days.</p> <p>We selected a sample of five leavers for the year to November 2015 and requested the outsourced IT department to confirm that the leavers had been deactivated in a timely manner from the Council's main IT system and based on an appropriate authorised request. Despite three requests at the date of reporting accurate information to confirm our request has not been obtained.</p>	<p>Potential for inappropriate access to Council ICT systems.</p> <p>Potential for adverse actions to/on the Council's ICT system.</p> <p>Poor service from Council's IT provider.</p>	2	The Council should seek assurance from its IT provider that all employees who leave are deactivated in a timely manner from the Council's main IT system, based on appropriately documented and authorised requests from management.	ICT to co-ordinate with Human Resources to identify when officers leave the employment of the authority to ensure they are deactivated in a timely manner.	<p>Paul Langham ICT Manager</p> <p>Karen Pollard Interim Head of Corporate Services</p>	Immediately

Expected Control	Audit Finding	Risk	Risk Ranking	Recommendation	Response	Who	When
<b>3.3 Contingency Planning – Finance Department</b>	The Council's IT Manager confirmed that there is a council wide Contingency / DR plan but that it is not finance system/service specific. Initial discussions with the Principal Accountant and Financial Services Manager confirmed that they are not aware of any business continuity plan for the Finance Department and how that would link to the Council wide Contingency / DR Plan. However after enquiries they found that Finance functions are included in the 'Business Continuity Plan 2012'.	Key staff may be unsure of procedures/ responsibilities in an emergency.  Loss of business continuity.	2	It should be ensured that the Principal Accountant and Business Services Manager confirm with the IT Manager their distinct responsibilities in the event of an emergency, to ensure business continuity in the Finance Department. A separate local business continuity plan could then be produced for guidance to finance staff. (This recommendation may also be applicable to other service areas).	Finance functions are included in the 'Business Continuity Plan 2012' which now requires updating.  ICT will update its own contingency plans to include robust proposals for restoration of Finance Systems	Avril Lennox Emergency Planning Lead  Paul Langham ICT Manager	30 June 2016  31 March 2016

### Housing Rents

(NB this review was completed and a draft report issued in October 2015. The response received in full in March 2016, refers to progress made on various areas in the intervening months. The information below needs to be read in this context.

**System Control Objective 3: Arrangements to deal with arrears comply with policy and ensure efficient recovery of outstanding sums.**

Expected Control	Audit Finding	Risk	Risk Ranking	Recommendation	Response	Who	When
<b>3.2 Orchard system</b>	<p>Staff currently in post are seeking to take appropriate recovery action on arrears but are hampered by the current sub-optimal configuration of the rent system, Orchard. The system does not generate prompts to take action in line with the arrears procedure. The system is also not generating prompts for action in line with the next logical step of its own stages. For example, the system does not currently recognise that a Notice Seeking Possession lasts for 12 months and if accounts are cleared and then arrears starts again within 12 months the recovery process should pick up from where it left off. As configured, the system defaults back to letter 1.</p> <p>To manage arrears currently, a manual report is run from the system by the Community Housing Team Leader, who extracts information on accounts.</p> <p>Because arrears were not being chased as effectively as may be desirable in the recent past (see below), officers are sometimes not able to take tenants with arrears to court as there is no evidence that the Council has been working with tenants on arrears levels as required.</p> <p>New tenants have an introductory tenancy period which allows fast track eviction, however the rent system has not been set up to enable fast track eviction to take place as that part of the system database has not been set up properly.</p>	Arrears management becomes an inefficient manual process. Introductory tenancies cannot be monitored effectively.	2	A review of the current operation of the Orchard system should be undertaken. The implementation of the system should be compared to that for other authorities and a re-configuration or purchase of additional modules considered to improve the effectiveness of the system to enable compliance with arrears procedures and introductory tenancies.	<p>This is accepted by the Council. A review of the Orchard system in respect of rent accounting and arrears has begun in December 2015.</p> <p>The review will involve redrafting/streamlining of the rent charging and arrears recovery processes and will establish a framework for performance reporting and monitoring. Also the draft revised processes will be compared/benchmarked against two other local housing providers who use Orchard as their rent and tenancy management system: <b>Hinckley &amp; Bosworth Council &amp; East Midlands Housing Group</b></p> <p>A timetable for carrying out the necessary "critical" changes to the rent charging and arrears recovery processes, together with costs in engaging Orchard Consultancy services will be agreed and where possible implemented by the end of April.</p> <p>Further on-going improvements/changes will be scheduled in for completion during 2016-17 financial year.</p>	<p>Community Housing Team Leader</p> <p>Income Officers</p> <p>Systems Support Coordinator</p>	June 2016

Expected Control	Audit Finding	Risk	Risk Ranking	Recommendation	Response	Who	When
<b><u>3.7 Current Tenant Rent Arrears</u></b>	In the last year and a half (prior to this audit), current tenant rent arrears has increased by 66%, from £136,256.98 in April 2014 to £226,374.76 in September 2015.	Lack of effective arrears management can result in financial loss to the Council.	2	Officers should ensure arrangements in place allow for appropriate management of current tenant arrears.	As a result of the actions described in 3.6 above Rent arrears have reduced from their peak of £252K in July down to £176K currently and is expected to fall further by the end of the financial year.	Community Housing Team Leader  Income officers	Ongoing

**System Control Objective 4: Access to system functions is restricted to authorised personnel and the security and integrity of the system is maintained.**

Expected Control	Audit Finding	Risk	Risk Ranking	Recommendation	Response	Who	When
<b><u>4.1 System administrator access to the rent system</u></b>	Only one member of staff has system administrator access to the Orchard system. If she is on holiday no one can set up new staff or undertake some administrative functions required for the correct operation of the system.	New staff may not be able to access the system, essential administrative tasks may not be performed.	2	Additional staff without housing rent duties should have system administrator access to enable the continued effective operation of the service in the event of staff absence.	This is accepted by the Council.  Arrangements have been made for an additional member of staff to have administrator access and training is being arranged.	Community Safety Manager	April 2016

We also highlighted 2 'high risk' issues in relation to aspects of capital project management in our capital projects review; we have agreed with management that given the commercial aspect of the issues involved it would be inappropriate to include these in a public agenda document.

## 4. Recommendation tracking

We provide a system for tracking the actioning of agreed Internal Audit recommendations, as a management assurance tool for the Council and specifically this Committee. Managers are responsible for updating actions taken and other key information directly on the system. An update for the Committee was provided below for its meeting in February 2016. This referred to all relevant actions agreed and due by 31/12/15. The analysis provided for that meeting is reproduced below. The first table represents the status of agreed actions due to be implemented by that date, the second table the age of the outstanding recommendations (based on the original date due for implementation). The status shown at that time was as advised by the relevant manager/Head of Service and did not imply that Internal Audit had verified the status.

Summary	1 Critical	2 High	3 Medium	4 Low	Total
Due by 31/12/2015	-	24	170	61	255
Implemented	-	15	134	56	205
Closed (effectively implemented or system changed)	-	-	3	2	5
Still to be completed	-	9	33	3	45

Time overdue for actions o/s or not complete	1 Critical	2 High	3 Medium	4 Low	Total
Less than 3 months	-	-	2	-	2
3 – 6 months	-	1	5	1	7
Greater than 6 months	-	8	26	2	36
Total	-	9	33	3	45

As a result of concerns expressed by members and senior management as to the adequacy of the current reported status relating to the 9 level 2 outstanding recommendations and 26 level 3 recommendations outstanding for greater than 6 months, we were asked to provide an independent assessment of progress with these recommendations. To do this we have met and discussed progress with relevant staff and obtained supporting evidence as necessary. Our findings are summarised in the table below with narrative detail provided for each recommendation provided below that.

Summary	1 Critical	2 High	3 Medium	Total
Due by 31/12/2015	-	9	26	35
Implemented	-	2	4	6
Closed (effectively implemented or system changed)	-	-	-	-
Not Implemented	-	-	3	3
Still to be completed – Work in progress	-	7	19	26

In future, managers will continue to be responsible for ensuring the status of all agreed actions are updated on the recommendation tracking system.

### **'High Risk' outstanding issues**

Review	Recommendation	Risk Rating	Current position as confirmed by Audit
13/14 Health & Safety	<u>Policies and Procedures</u>	2	<b><u>Audit Conclusion - Work in progress</u></b> The Health and Safety Officer appointed in December 2015, informed

Review	Recommendation	Risk Rating	Current position as confirmed by Audit
	<p>The Council should approve and make available to members and staff all required health and safety policies and procedures as a matter of urgency taking into account the impact of recruiting a new officer. During the recruitment process consideration should be given to setting up a temporary officer contact for providing members and staff with guidance and assistance on health and safety issues affecting them at the Council.</p>		<p>all staff members of his role by email in January 2016 in creating and implementing health and safety policies and procedures in accordance with the latest legislation Members will be informed of his role and health and safety issues relating to them at a Health and Safety / Equalities briefing being planned for 26 April 2016.</p> <p>He has revised the Health and Safety Policy and this will be submitted for approval at the Policy, Finance and Development Committee on the 29 March 2016.</p> <p>This document will then be made available to all officers and members as soon as practicable either in hard copy or through the intranet. The Lone Working Policy is currently being worked on by the Welfare and Taxation Manager (who is leading on this) and input will be obtained from other service areas in the council to which this policy is particularly pertinent eg Housing and Environment Control.</p> <p>The Fire Safety Policy will be revised after a Fire Safety Evacuation Procedure is completed. The Interim Manager of Corporate Services confirmed that the Council commissioned an external expert to produce a fire risk assessment on Bushloe House. There were no 'red' alerts (serious faults). The findings will inform the areas of the fire safety procedure and policy review.</p> <p>These documents will be completed by the end of May 2016.</p> <p>The Health and Safety Policy makes reference to a number of areas (eg working at heights) where the assessed risk will be prioritised to allow for the drafting of related local procedures which will be added as appendices to the policy. There are currently 12 appendices to the original policy. It is envisaged that this exercise could take up to two years to complete.</p>



Review	Recommendation	Risk Rating	Current position as confirmed by Audit
			Paul Evans Health & Safety Officer Various implementation dates as stated above.
13/14 Health & Safety	<p><u>Training &amp; awareness</u> It should be ensured that a documented training needs assessment for all members and staff which corresponds to their roles and responsibilities is produced as a matter of urgency in order that appropriate training can be identified and linked with current training arrangements to ensure that appropriate health and safety training is provided to all staff and members who need it in a timely manner.</p>	2	<p><b><u>Audit Conclusion - Work in progress</u></b> Members will be informed of safety issues relating to them at a Health and Safety / Equalities briefing being planned for 26 April 2016. A detailed assessment of staff training needs will be compiled following staff appraisals planned for May 2016, and this will include Health and Safety awareness training which was last carried out for all staff in 2013 but in the meantime the following has been implemented:</p> <ul style="list-style-type: none"> <li>• A programme of training has been implemented within the last six months, consisting of: <ul style="list-style-type: none"> <li>○ First Aid at Work Training</li> <li>○ Fire Awareness for potential Fire Wardens</li> <li>○ Manual Handling – for relevant staff</li> <li>○ Sharps training – for relevant staff</li> </ul> </li> <li>• Fire Warden training was carried out for a number of volunteer staff in September 2015.</li> <li>• First Aid at Work training was carried out in October 2015 for Customer Services staff and also refresher training in January 2016.</li> <li>• A revised health and safety induction programme has been introduced in February 2016.</li> <li>• Display Screen Assessments have commenced in a number of service areas.</li> </ul> <p>Paul Evans Health &amp; Safety Officer Ongoing</p>
13/14 Health & Safety	<p><u>Risk assessments</u> It should be ensured that health and</p>	2	<p><b><u>Audit Conclusion - Work in progress</u></b> Risk Assessments for two high risk Council areas, the Depot and Brocks Hill were carried out around mid 2015 and will require re-</p>

Review	Recommendation	Risk Rating	Current position as confirmed by Audit
	<p>safety risk assessments are accurately completed for all areas of the Council as a matter of urgency and the results are used to inform relevant safety action plans and risk registers.</p>		<p>assessing later this year.  Details of these are on the Council's F Drive.  Other potential high risk areas are being identified for direct risk assessments by the H&amp;S Officer eg the Customer Services Centre on Bell Street. A risk assessment was carried out for staff and customer safety. As a result of that, CCTV is being installed as a deterrent and to keep the environment safe.</p> <p>These assessments used to inform safety action plans and or risk registers. This is an ongoing process.</p> <p>An in-house programme of risk assessment training by the Health &amp; Safety Office for line managers and supervisors will be implemented in 2016/2017 in order for risks to be identified and mitigated with the correct control measures.</p> <p>Paul Evans  Health &amp; Safety Officer  Ongoing</p>
13/14 Health & Safety	<p><u>Resources</u>  It should be ensured that sufficient resources are dedicated to achieving compliance with statutory health and safety regulations as soon as possible. Staffing resources should be made available to ensure the completion of the recommended actions at 1.1; 2.1 and 3.1 above, and to price the equipment needs as presented to SMT in January 2014 so that these can either be approved or alternative solutions found.</p>	2	<p><b><u>Audit Conclusion - Implemented.</u></b>  Resources are now in place, in the form of the dedicated Health &amp; Safety Officer, who has now commenced work on the:</p> <ul style="list-style-type: none"> <li>• Health and Safety Group, where issues will be considered by staff and union representatives (Draft TOR obtained). There is a meeting of the group scheduled for 23 March 2016. It is intended at the moment that minutes of the meeting will go to SMT.</li> <li>• Arranging of training in the high risk areas (See above)</li> <li>• Programming of risk assessment training and implementation (See above).</li> </ul> <p>Equipment, principally in the form of first aid, has been ordered.</p>

Review	Recommendation	Risk Rating	Current position as confirmed by Audit
14/15 Void Property Management	<p><u>Void Turnaround</u></p> <p>a) The void property spreadsheet should be amended to calculate void turnaround times and this should be regularly monitored so that any actions required to address performance issues can be taken promptly.</p> <p>b) Reasons for unavoidable overruns should be recorded for future reference.</p>	2	<p><b><u>Audit Conclusion – Implemented</u></b></p> <p>The Void Property Spreadsheet now has a column which allows for the calculation of void turnaround times. There is a Column “Notes” where discrepancies can be noted for monitoring and discussion at the recently introduced weekly meetings as detailed below.</p> <p>A weekly meeting of staff members including the Property Manager and the Housing Team Leader who are involved in void property management has been introduced from 25 January 2016. The meetings are not minuted but the Housing Team Leader issues an A3 print of the latest Void Property spreadsheet to each person attending the meeting, having highlighted missing information (for example) and each member of staff makes notes for action on their respective sheets.</p> <p>The Interim Head of Community has confirmed that the reduction of void turnaround times is one of his key performance measures.</p>
14/15 Void Property Management	<p><u>Budgetary Control</u></p> <p>Management should set and monitor the costs being incurred in relation to void properties and actions taken to minimise these.</p>	2	<p><b><u>Audit Conclusion –Work in progress</u></b></p> <p>The Property Manager stated that an exercise to identify costs solely due to relets (for all relets during 2015/16) is currently underway with assistance from the service accountant in the Finance Section as capital costs and relet costs have been combined during the year and therefore need to be separated out. It is expected that this exercise will be completed by the end of April 2016 and this information will then be used for monitoring to identify areas where costs can be reduced. He further stated that quotes are obtained for repairs to all void properties and these can be based on schedule of rates and agreed hourly labour rates, agreed special works where likely to be higher than these eg extra cleaning for very dirty properties, and, quotes from contractors doing Council capital programme works. This provides a basis for monitoring against when the work contract is awarded.</p> <p>John Stemp – Property Manager 30 April 2016</p>
14/15 Debtors	<u>Aged Debt Analysis – Regular Review</u>	2	<b><u>Audit Conclusion –Work in progress</u></b>

Review	Recommendation	Risk Rating	Current position as confirmed by Audit
	<p>It should be ensured that aged debt reports are run monthly and reviewed by management and appropriate action taken to recover debts, including referral to the council's bailiffs and Legal Services Team if appropriate. Evidence should be retained to confirm this. Periodic reports should be taken to the PFD Committee detailing what the analysed debts levels are and what action is being taken to recover debts. This could be done together with the intended introduction of quarterly debt write off reports to the PFD Committee.</p>		<p>The Interim Accountancy Manager has confirmed that the delay has been due to operational reasons and that:</p> <ul style="list-style-type: none"> <li>• Aged debt reports will be run monthly and service specific aged debt reports will be sent to service heads for review and confirmation by service management of action being taken to recover debts, including referral to the council's Legal Services Team and bailiffs if appropriate. Evidence will be retained to confirm this.</li> <li>• Periodic reports will be taken to the PFD Committee detailing what the analysed debts levels are by service area and what action is being taken to recover debts (as notified to Finance by services). This will be done together with the introduction of quarterly debt write off reports to the PFD Committee.</li> </ul> <p>Chris Raymakers 30 June 2016</p>
14/15 Street Cleansing & Grounds Maintenance	<p><u>Key Service Risks</u></p> <p>It should be ensured that all the risk assessments identified by Audit and/or due for review are reviewed in a timely manner. Additionally new risks to the service should be identified and assessed. Based on the evaluated risks rating undertaken as part of these risk assessments (reviews and additionally identified risks), key service risks should be identified and included in a Risk Register which should then be kept</p>	2	See Response provided for Health and Safety - Risk Assessments above.

Review	Recommendation	Risk Rating	Current position as confirmed by Audit
	under constant review.		
13/14 Equalities	<p><u>Equality Impact Assessments – not being completed</u></p> <p>An EIA should be completed for all Council Policies and Procedures as outlined in the EIA Guidance Notes</p>	2	<p><b><u>Audit Conclusion –Work in Progress</u></b></p> <p>The Interim Manager of Corporate Resources confirmed that there is a folder on the Council’s F Drive in which all Council policies are stored. She stated it is the responsibility of report authors to keep them up to date but due to the level of staff turnover and the absence of key officers across the council in 2015, no one officer can confirm that the folders are up to date. Further she will be raising this matter at the managers meeting on 14<sup>th</sup> March 2016 to find a way of keeping the library of polices up to date, to ensure that they have equality assessments completed.</p> <p>A spreadsheet of council policies is now retained by the Community Engagement Officer. A separate one without authors names will be placed on the internet. This will be reviewed quarterly to ensure that all policies have up to date EIAs undertaken.</p> <p>Karen Pollard Interim Manager of Corporate Resources Veronika Quintyne Community Engagement Officer Ongoing</p>

### **Medium (level 3) risks outstanding for over 6 months**

Review	Recommendation	Risk Rating	Current position as confirmed by Audit
13/14 Equalities	Council's Website – Equality & Diversity:	3	<p><b><u>Audit Conclusion - Implemented.</u></b></p> <p>The Council’s Webpage “Equality &amp; Diversity” lists the following</p>

Review	Recommendation	Risk Rating	Current position as confirmed by Audit
	The Council's website should be updated to make reference to the approved Equality & Diversity Agenda, July 2013		<p>documents in pdf format.</p> <ul style="list-style-type: none"> <li>• The Equality and Diversity Agenda</li> <li>• Equality and Diversity Action Plan</li> </ul> <p>The Interim Manager of Corporate Resources stated that the current Equality Agenda is from 2013 to 2017 and will be updated at that time.</p>
13/14 Equalities	The Equality and Diversity Agenda – Specific and Measurable Targets: Targets should be set for each measurement. These should be specific, measureable, relevant and timely. E.g. by June 2015 95% of all staff and members attend appropriate equality and diversity training.	3	<p><b><u>Audit Conclusion – Work in Progress</u></b></p> <p><b><u>Staff</u></b></p> <p>A training programme relating to Equality Assessments for staff who write reports for committees (including policies and procedures) is set for the 5<sup>th</sup>, 7<sup>th</sup> and 14<sup>th</sup> April 2016.. This training will be provided by the Council's Community Engagement Officer. This should then allow these staff to set specific and measurable targets for their areas of operation.</p> <p><b><u>Members</u></b></p> <p>A briefing session has been arranged on 26<sup>th</sup> April 2016. This will cover both Health and Safety and Equality and Diversity.</p> <p>The Interim Manager of Corporate Resources also stated that the Framework for Equalities which is a measure of the Council's implementation of equality and diversity by addressing the 9 protected characteristics is being developed by the Community Engagement Forum with the first draft to be completed by September 2016.</p> <p>Veronika Quintyne Community Engagement Officer Service Area Heads Community Engagement Forum Ongoing</p>
13/14 Equalities	Compliance with the Equalities Act 2010 should monitored by an	3	<p><b><u>Audit Conclusion –Work in progress</u></b></p> <p>The Interim Manager of Corporate Resources stated that the HR team</p>

Review	Recommendation	Risk Rating	Current position as confirmed by Audit
	appropriate body within the Council and progress should be reported to, and approved by an appropriate Committee.		will be collecting and publishing the equality data around the 9 characteristics of equality data. Reporting on this and reporting on performance against the council's 5 equality objectives will be to the PFD Committee.  Veronika Quintyne Community Engagement Officer March 2016 & September 2016
13/14 Equalities	To comply with the legislation the Council should consider enhancing the type of information presented in its workforce profile to include a profile of staff at different grade, levels and rates of pay, including part-time work etc	3	<b><u>Audit Conclusion – Work in progress</u></b> The Interim Manager of Corporate Resources stated that the HR team will be collecting and publishing the equality data around the 9 characteristics of equality data for its workforce. The data will be available from September 2016 and will be published from September 2017 onwards.  Veronika Quintyne Community Engagement Officer September 2016
13/14 Equalities	The relevant data should be collated and progress against the measures for the equality objectives should be reported on a timely basis.	3	<b><u>Audit Conclusion –Work in progress</u></b> The Interim Manager of Corporate Resources stated that the Community Engagement Officer will be reporting to the next PFD meeting on performance against the council's 5 equality objectives.  Veronika Quintyne Community Engagement Officer March 2016
14/15 Void Property Management	The draft Void Procedures should be finalised, approved and formally issued to staff as soon as possible, particularly given the temporary nature and recent turnaround of staff.	3	<b><u>Audit Conclusion –Work in progress</u></b> The Void Procedures are currently under review. The Property Manager confirmed that the Housing Team Leader is currently making some amendments to the current procedures to reflect changes that have taken place (e.g. staffing and responsibilities and

Review	Recommendation	Risk Rating	Current position as confirmed by Audit
			<p>improvements to processes to drive better performance). This reviewed document will then be agreed by relevant managers at a weekly voids meeting to ensure it is issued before the end of March 2016 and start of new financial year.</p> <p>Chris Welford (Housing Team Leader) 31 March 2016</p>
14/15 Void Property Management	The (void property monitoring) spreadsheet should be completed fully for monitoring purposes.	3	<p><b><u>Audit Conclusion – Implemented</u></b> This is an ongoing process now driven by the recently introduced weekly void property management meetings. Efforts to fill historic gaps in information are also being made where practical and effective to do so.</p>
14/15 Void Property Management	Void Inspection and Record Forms should be fully completed for each property and retained.	3	<p><b><u>Audit Conclusion – Implemented</u></b> The Inspecting Officer currently completes and retains a Void Inspection and Record Form for each property within the individual property pack.</p>
14/15 Void Property Management	<p>a) The void property spreadsheet should include the date of the inspection.</p> <p>b) Notes should be included on the spreadsheet giving reasons for any unavoidable delays.</p> <p>c) The time between the keys being handed in and the inspection should be monitored.</p>	3	<p><b><u>Audit Conclusion – Implemented</u></b></p> <p>(a) The Void Property spreadsheet has the date of inspection recorded and this should agree to the date of inspection on the Void Inspection and Record Form.</p> <p>(b) The “Notes” column on the spreadsheet allows for unavoidable delays to be recorded for monitoring at weekly meetings.</p> <p>(c) The Property Manager confirmed that this is being done and in some cases inspections are being arranged before keys are handed in to reduce relet times. Also being monitored at weekly meetings</p>
14/15 Void Property Management	<p>a) The voids spreadsheet should record post inspection dates.</p> <p>b) The Orchard system should show that post inspections have been carried out before contractors are</p>	3	<p><b><u>Audit Conclusion- Work in progress</u></b></p> <p>a) The voids spreadsheet records post inspection dates. Weekly monitoring meetings are requiring continuous retrospective completion of this column where necessary.</p> <p>b) The Orchard system still does not show that post inspections have</p>



Review	Recommendation	Risk Rating	Current position as confirmed by Audit
	paid.		<p>been carried out before contractors are paid. The ability to add this information to the Orchard System will be examined. In the meantime it was agreed with the Property Manager that the contractor invoice will have to be authorised by the Inspecting Officer to confirm there are no issues affecting payment as a result of the post inspection, before the invoice is paid.</p> <p>John Stemp – Property Manager 31 March 2016</p>
14/15 Private Sector Housing/Disabled Facilities Grants	It should be ensured that when the Private Sector DFG Policy is reviewed, clear and accurate information is included relating to the criteria for prioritising applications.	3	<p><b><u>Audit Conclusion- Work in progress</u></b> The Private Sector DFG Policy is due for a complete review and approval by the Service Delivery Committee and this point will be addressed in the reviewed version. It is intended that the reviewed version will be taken to the SDC in June 2016 for approval.</p> <p>John Stemp – Property Manager 30 June 2016</p>
12/13 Risk Management	An exercise should be undertaken to review all existing partnerships and projects to establish what risk registers are currently in place. A review should then take place to standardise the format of partnership and project risk registers and ensure that all partnerships and projects maintain such registers.	3	<p><b><u>Audit Conclusion –Work in progress</u></b> The Interim Accountancy Manager has confirmed the work is ongoing but due to operational reasons has been delayed</p> <p>Chris Raymakers Revised date 30 June 2016.</p>
12/13 Risk Management	Priority should be given to identifying and implementing a bespoke Risk Management IT package that will allow the Council to develop from a process driven risk management	3	<p><b><u>Audit Conclusion –Work in progress</u></b> The Interim Accountancy Manager has confirmed the work is ongoing but due to operational reasons has been delayed.</p> <p>Chris Raymakers</p>

Review	Recommendation	Risk Rating	Current position as confirmed by Audit
	function to one that is fully embedded.		Revised date 30 June 2016.
13/14 Budgetary Control	Budget holders – training attendance: It should be ensured that all budget holders and other staff with budgetary responsibilities attend budget training sessions.	3	<b><u>Audit Conclusion –Not implemented</u></b> Still outstanding. Issue being reported in the Internal Audit Budgetary Control / MTFS 2015/16 Report. Report in draft at present.
14/15 Budgetary Control/MTFS	a) It should be ensured that there is robust and regular monitoring of the capital programme to ensure that the approved amounts are expended as intended in the 2014/15 financial year, and carry forwards are only considered where no other suitable alternatives are available. b) The forecast capital spend should be reviewed again if necessary to reflect likely level of outturn.	3	<b><u>Audit Conclusion –Work in progress</u></b> The Internal Audit Budgetary Control / MTFS 2015/16 review confirmed that monitoring has been taking place and a request for the carry forward of some budgets was approved by the PFD Committee in February 2016.  The Interim Accountancy Manager has confirmed that more monitoring will continue post year end to ensure that any requests to the PFD Committee in July 2016 to carry forward budgets into 2016/17 are absolutely necessary and accountants will work with departmental project teams to achieve realistic targets for the year.  Chris Raymakers 31 July 2016
13/14 Main Accounting	It should be ensured that the Council's Communication Technology and Disaster Recovery Plan is fully reviewed and tested to confirm its suitability for purpose.	3	<b><u>Audit Conclusion –Not implemented</u></b> Still outstanding. Issue being reported in the Internal Audit 2015/16 Main Accounting Report Level 2.  Chris Raymakers Revised March 2016 & June 2016 implementation dates.
14/15 Main Accounting	Prompt removal of leavers from financial systems access:  a It should be ensured that HR provide timely notification of leavers to	3	<b><u>Audit Conclusion –Work in progress</u></b> The Interim Accountancy Manager has confirmed that Finance would co-ordinate with Human Resources to identify when officers leave the employment of the authority. He expected the movement of agency staff on to permanent contracts will greatly facilitate this once it has

Review	Recommendation	Risk Rating	Current position as confirmed by Audit
	<p>the IT provider to assist with the prompt removal of leavers from the domain accounts.</p> <p>b) The IT provider should delete all leavers in a timely manner upon notification from HR.</p>		<p>been completed and regular meetings with HR commence. This should then ensure that the IT provider is notified of such leavers in a timely manner to remove them from the Council's system and to confirm such action to HR / Finance in a timely manner.</p> <p>Chris Raymakers/Karen Pollard 30 June 2016</p>
14/15 Creditors	<p>Mismatch report analysis (re invoices which do not match the purchase orders to which they relate):</p> <p>Management should review the matter further to determine if there is an underlying ongoing problem in the service areas identified relating to staff awareness of/compliance with ordering procedures. Appropriate action should be taken to resolve the matter.</p>	3	<p><b><u>Audit Conclusion –Work in progress</u></b> The Interim Accountancy Manager has confirmed the Integra upgrade completed February 2016 should resolve these issues. He stated that monitoring will be undertaken to confirm the resolution of issues.</p> <p>Chris Raymakers 30 June 2016</p>
11/12 Corporate Governance: Tenon review-Pest Control service review	<p>a) Management should report the financial benchmarking data that compares the service to other local Authorities in Leicestershire to the Senior Management Team and the Service Delivery Committee.</p> <p>b) Management should also undertake a value for money review of the Pest Control Service to ensure that the Council is managing this area in the most economic and effective manner.</p>	3	<p><b><u>Audit Conclusion –Work in Progress</u></b> Pest Control income was considered and included as part of the 2016/17 budget setting process and included in the PFD Committee approved Fees &amp; Charges for 2016/17. The cost to benefits of the provision of this service will be kept under review for the first half of the 2016/17 financial year and a paper will be taken to the PFD Committee in October 2016 when the proposed Fees &amp; Charges for 2017/18 will be taken for approval, recommending discontinuing the service if this is deemed necessary.</p> <p>Stephen Glazebrook Interim Community Manager October 2016</p>

Review	Recommendation	Risk Rating	Current position as confirmed by Audit
12/13 Building Control	<p>Management should consider</p> <p>a) review and cleansing of system data to ensure all data is up to date and as accurate as possible</p> <p>b) visiting a small sample of higher risk sites where no inspections have been carried out as work has not been reported as started, to ensure this position is accurate. Taking any necessary steps to regularize matters where b) identifies unreported and thus uninspected works.</p>	3	<p><b><u>Audit Conclusion –Work in Progress</u></b></p> <p>(a)The Interim Planning &amp; Building Control Manager stated a meeting to discuss and agree the process and timing of the first phase of the data cleansing exercise is scheduled with IDOX for early April 2016. This should result in the agreement of the various phases required (timing and process) to get the exercise completed.</p> <p>(b) The Interim Planning &amp; Building Control Manager stated the reported finding is no longer an issue – the service is not attempting to “capture” BR applications that have now expired or been completed. He stated that the team does write inviting the applicant to apply for a final inspection and Completion Certificate in all such cases. However many do not respond when asked and it is only later when (say) a future purchasers Solicitor seeks such a Certificate that the issue re-emerges.</p> <p>Tony Boswell Interim Planning &amp; Building Control Manager April 2016</p>
13/14 Legal Services/Corporate Legal Compliance Arrangements	<p>New, Amended and Revised Statutory Duties, Powers and Legal requirements: Action should be taken to ensure that legislative and other changes are addressed by the Council on a timely basis and can be implemented for the date that such changes come into force.</p> <p>The Council's website should be updated to include accurate information on changes to legislation.</p>	3	<p><b><u>Audit Conclusion –Work in Progress</u></b></p> <p>The Director of Services confirmed that the future programme of planned legislative changes will be kept under review to ensure that any which will/ may impact on the Council and its activities are identified and the likely impact assessed, implemented and communicated as appropriate to ensure timely compliance.</p> <p>Anne Court Director of Services Immediate</p>
14/15 Street Cleansing and	Efficient working: It should be ensured that	3	<p><b><u>Audit Conclusion – Work in Progress</u></b></p> <p>Purchase of equipment will continue demonstrate the consideration of</p>

Review	Recommendation	Risk Rating	Current position as confirmed by Audit
Grounds Maintenance	consideration is given to the maximisation of the efficient and effective use of staff and equipment (including procurement) across the Clean and Green Team and other Council Teams.		efficiency issues eg the purchase of refuse trucks for approximately £1m in the last financial year. Efforts have been made to harmonise the working contracts for staff in the Clean and Green Team and Refuse and Recycling Team with direct input from the HR Team but this has stalled at the moment. Efforts will be made to progress this issue. Brian Kew, Operations Manager Ongoing
14/15 Street Cleansing and Grounds Maintenance	Key risks: staff training:  It should be ensured that training records are maintained to confirm that all staff in the Clean and Green Team are receiving appropriate training to carry out their duties.	3	<b><u>Audit Conclusion – Work in Progress</u></b> Staff are being provided with training – see Health & Safety Training and Awareness above. A training matrix with staff training, specialist training, qualifications and licences eg HGV is still currently under development.  Brian Kew, Operations Manager September 2016
14/15 Street Cleansing and Grounds Maintenance	Cleanliness Service Standards – Targets: The Council should introduce specific cleaning performance targets for monitoring and reporting against.	3	<b><u>Audit Conclusion – Work In Progress</u></b> All staff have been trained on the Cleanliness Standards A – D previously used in NI195. All areas are to be restored to the A standard after being visited. Areas are subject to spot checks by foremen/supervisors.  A reporting mechanism on performance has not yet been devised due to current lack of resources. Brian Kew, Operations Manager Ongoing
14/15 Street Cleansing and Grounds Maintenance	The specific responsibilities for dealing with dog fouling and flytipping within each of the Clean and Green Team and the Environmental Health Team should be clearly defined	3	<b><u>Audit Conclusion – Work In Progress</u></b> Specific responsibilities for each team will be defined, documented and implemented through the corporate wide Enforcement Team meetings.  David Lingard

Review	Recommendation	Risk Rating	Current position as confirmed by Audit
	agreed and documented for reference.		Community Safety & Tenancy Manager June 2016
14/15 Street Cleansing and Grounds Maintenance	<p>Service Requests – Review &amp; Monitoring: All the default notices for public requests recorded on the Contender System or received via email should be completed by the operative to confirm that it has been actioned successfully, with the time and date recorded when it was actioned. The name of the operative should be recorded to identify them. The completed default notice should be returned to the Depot as soon as practically possible and reviewed by a foreman before it is closed it on the Contender System or filed away in the case of an email request.</p> <p>On a quarterly basis the time to action all public requests received should be analysed to determine whether the 4 hour target is being met and to investigate any anomalies.</p> <p>Periodic reports on the number of requests received and successfully dealt with during the 4 hour time target should be provided to senior management.</p>	3	<p><b><u>Audit Conclusion – Not Implemented</u></b></p> <p>The Customer Services Team at Bell Street now receive and input public requests on the Dash System to which the foremen at The Depot have access. Such requests generate an action report which is printed by the foremen and issued to operatives to deal with (within 4 hours for emergencies).</p> <p>On completion of the task the action report is completed by the operative to confirm the time the matter was resolved and returned to the foremen to close the request on Dash.</p> <p>Due to current lack of resources, monitoring of performance against the 4 hour target has not been possible.</p>

## 5. 2015/16 Internal audit plan

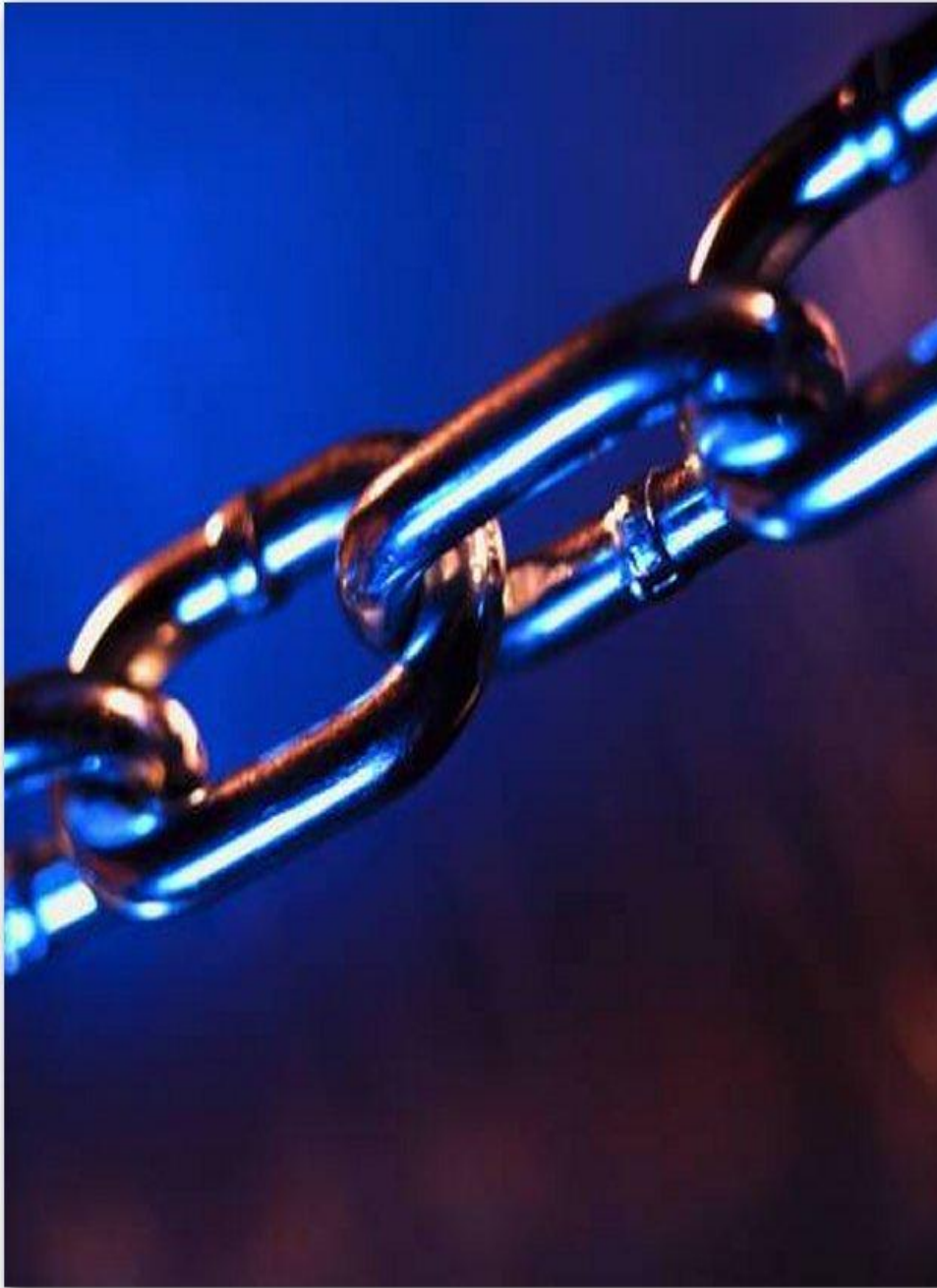
Review	Scheduled Start*	Status	Level of assurance
Budgetary Control/Medium Term Financial Strategy	January 2016	Draft report issued	
Main Accounting	January 2016	Final report issued	<b>Significant</b>
Financial Systems – key controls review	January 2016	In progress	
Risk Management and assurance	March 2016	Scoping	
Strategic Procurement / Shared Services / Service Review – VFM / Income Generation – Fees and Charges	In progress – fee and charges review	In progress	
Building Control VFM	March 2016	Scoping	
Environmental Health/Licensing/Land Charges	Agreed to be dropped to resource additional follow up work for this Committee, reported above.		
Payroll & Expenses	March/April 2016	Scoping	
Human Resources	March/April 2016	Scoping	
Legal Services/corporate legal compliance arrangements	March/April 2016	Scoping	
Members allowances	January 2016	Final report issued	<b>Full</b>
Council Tax	October 2015	Final report issued	<b>Significant</b>
Business Rates	October 2015	Final report issued	<b>Significant</b>

Review	Scheduled Start*	Status	Level of assurance
Benefits	October 2015	Final report issued	<b>Significant</b>
Benefit Fraud Investigation	October 2015	Final report issued	<b>Significant</b>
Housing Repairs & Maintenance	April 2016	Scoping	
Safeguarding - Children & Young People	Late July 2015 start	Final (management briefing) report issued	<b>N/A - Advisory</b>
Voluntary Sector / Grant aid	Dropped from plan to resource agency staffing-pre-employment checks review		
Housing Landlord services	April 2016	Scoping	
Community Safety/Anti-Social Behaviour	October 2015 onwards	In progress	
Greening the Borough	Agreed to be dropped to resource additional follow up work for this Committee, reported above.		
Leisure Centres/Leisure Development	April 2016 onwards	Scoping	
Health & Safety		Following up as part of current follow-up work referred to in this report	<b>N/A</b>
Transport/Vehicle Repairs	Dropped from plan to resource depot controls review		
Additional: Housing Benefit case review for management	June 2015	Completed	<b>N/A</b>
Additional review – depot income/asset controls	September 2015	Final (management briefing) report issued	<b>N/A - advisory</b>



Review	Scheduled Start*	Status	Level of assurance
Additional review – agency staffing pre-employment checks	October 2015	Final (management briefing) report issued	<b>N/A - advisory</b>

- Timings either agreed with management where relevant or proposed by us.



cw audit services

## **Oadby & Wigston Borough Council**

Internal Audit Plan 2016 - 2017

March 2016

Getting value from your service

# 1. Introduction

## General background

This document sets out a proposed plan of Internal Audit coverage for the period April 2016 to March 2017. The plan of work has been driven by the requirements of the Public Sector Internal Audit Standards (PSIAS) released by HM Treasury in December 2012, which were applicable from 1<sup>st</sup> April 2013, the Accounts & Audit Regulations (2015) and guidance relating to the Annual Governance Statement, which the work of Internal Audit supports and informs. The proposed plan supports an opinion based on an assessment of the design and operation of the internal control environment and the adequacy and effectiveness of control noted from our risk based audits carried out during the year. It follows therefore that the focus of the audit plan is critical to ensuring the right level of assurance to the Council.

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### The aim of the plan is to:

- **Deliver a risk focused audit programme** - through a detailed risk assessment across the organisation and at component level
- **Be proactive and forward looking** - by looking at what risks the Council faces and trying to minimise these through our work.
- **Add value** – by providing practical, value-added recommendations, in areas of significant risk, by working where relevant with other functions (e.g. risk management and anti-fraud) and trying to save resources / enhance controls where possible.
- **Provide assurance to management and the ‘Audit’ Committee** - as key stakeholders, we will work closely with management and the Policy, Finance & Development Committee with regard to your assurance needs.

## Internal Audit Charter and Standards

The PSIAS requires us to explicitly detail the purpose, authority and responsibility of our internal audit activity in a formally documented Internal Audit Charter, which is included as Appendix 2 to this document. **The PSIAS require the Charter to be approved by the Audit Committee (ie Policy, Finance & Development Committee), and accordingly this approval is sought alongside agreement of the proposed Internal Audit strategy.**

In conducting our work as your Internal Auditors we are required to adhere to a set of standards as outlined in the PSIAS. We consider that compliance with these standards is a key element of our Internal Audit service in accordance with our contract with you, and maintain quality procedures to ensure compliance.

We believe that we have established suitable arrangements to enable us to comply with the standards. We will, however, report any instances of non-compliance should they arise, as soon as we become aware of them.

## 2. Developing the plan

Our plan of work is designed to support the annual Head of Internal Audit Opinion. The required basis for forming this opinion is as follows:

- An assessment of the design and operation of the overall internal control environment, governance and risk management arrangements; and
- An assessment of the adequacy and effectiveness of controls, based upon the results of our risk based audit assignments that are reported during the course of year.

It follows that an effective risk based audit plan, focusing the resource into areas of principal risk is essential.

### **Risk Assessment**

The plan has been prepared in consultation with the management team. It has been informed by:

- A review of the risks contained within the Council's Risk Register and Annual Governance Statement.
- Discussions with management team members to identify key auditable areas based on an assessment of current and future issues and risks.
- Our understanding of the challenges to the Council to deliver its objectives within the current economic environment and changes in local government legislation.

On the basis of this process we have identified a number of priority areas (see section 3) and these have been scheduled for attention in the

resulting Internal Audit Plan which is detailed at Appendix One. We will, however, continue to review the audit plan on an ongoing basis in response to developments and initiatives. If additional risks arise or change in priority during the year the audit plan will be reconsidered with management and, subject to Committee approval, amended to ensure that audit resources remain focused on the key risk areas.

### 3. Linking our plan to your strategic risks

The following table sets out the proposed areas of work for the 2016/17 financial year linked through to your business objectives/risk and showing the supporting rationale for that work and a summary outline of the work to be undertaken.

Area	Rationale - Links to Objectives/Risks	Work outline
<b>CORPORATE REVIEWS/RESOURCES - FINANCE, PROCUREMENT &amp; ICT</b>		
Budgetary Control and Medium Term Financial Strategy	Key financial system - financial strategy and management key in time of reducing government funding.	Review of key controls, to include budget setting, approval, adjustment and monitoring.
Main Accounting	Key financial system, underpinning delivery and monitoring/reporting of financial management.	Review of key controls, to include control account reconciliations, journal entries and interfaces with other key systems.
Financial Systems – creditors, debtors, treasury management, income management and cash receipting	Key financial systems governing payment to suppliers, income raising and collection (debt and cash), and management of investments and borrowing – material and fundamental systems for the Council’s financial resilience.	Review of these key systems to provide assurance on effectiveness of controls. Extended coverage on debtors and income management to assure on completeness of invoicing and income raising and enable specific focus on identified areas of income.
Anti Fraud & Corruption-targeted fraud prevention/detection work	The Council is at risk of fraud in a range of areas; national guidance in 2012 set out expectations on the Council with regard to addressing these risks.	To provide support with regard to anti-fraud reviews and arrangements to address fraud risks. Specialist trained counter-fraud advice and support – key policy review, anti-fraud culture awareness.
Strategic Procurement / Shared Services Value for Money	Delivery of value for money in key procurements and shared service arrangements is very important in supporting the delivery of Council objectives and ensuring best use of resources.	Review on a risk-assessed basis of key procurement exercises / key shared service arrangements, to consider value for money and effectiveness.
Income Generation/fees and charges	Given the continuing funding challenges faced by the Council, the optimising of income from discretionary fees and charges is an important element in ensuring ongoing financial resilience and stability.	Work to benchmark fees and charges against similar authorities and highlight opportunities for maximising income.
Cash Receipting system implementation – project support and assurance	The Council plans to implement a new cash receipting system in 2016/17, which will represent an important project regarding one of the Council’s fundamental financial systems.	To provide project assurance and related advisory support in relation to this project.
Grant Aid - VFM	The Council provides grant aid to various voluntary sector bodies and is seeking assurance on the value for money of these arrangements.	To assure on arrangements to obtain value for money from grant aid.
<b>REGULATION &amp; REGENERATION</b>		
Food Hygiene	Important public-facing service supporting public health objectives	Review to assure on the adequacy and efficiency of premises inspections/visits and ensuing Council action.
<b>CORPORATE RESOURCES</b>		
Payroll & Expenses	Key financial system covering payment of salaries/wages and expenses. Processing of the payroll is outsourced.	Review of key controls to assure on effective operation of the payroll function and oversight of the outsourced service contract.
Workforce – procurement of agency staffing	Agency staffing continues to be important to the Council in terms of ensuring adequate staffing resource and providing flexibility in staffing to meet changing requirements.	To assure on the cost-effectiveness of procurement and use of agency staffing.

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Area	Rationale - Links to Objectives/Risks	Work outline
<b>CUSTOMER SERVICES</b>		
Council Tax	Key financial system requiring regular assurance. Increased risk of non-collection given localisation of Council Tax and impact on certain types of benefit/claimants.	Review of key controls to include maintenance of property register, liability, reconciliations to valuation list, exemptions, discounts, benefits, billing and debt recovery and to highlight potential areas for improvement.
Business Rates	Key financial system requiring regular assurance. Increased risks and opportunities arising from business rates retention changes.	Review of key controls, to include maintenance of property register, liability, reconciliation to valuation list, exemptions, discounts, benefits, billing and debt recovery and to highlight potential areas for improvement.
Benefits	Key financial system of great importance to local population, requiring regular assurance.	Review of fundamental financial and public-facing system.
<b>COMMUNITY</b>		
Housing Rents	Key revenue source to the Council and key element of HRA Business Plan	Review of key controls to ensure that rent is collected fully, securely and in a timely manner.
Housing investment and repairs	The service delivers material capital projects which represent a major financial commitment and investment in the housing stock of the Council, and also delivers planned and responsive maintenance to the housing stock.	To provide assurance, on a risk-assessed basis, of management controls in place to ensure probity and value for money in this important service..
Void property management	Timely and efficient management and reletting of empty properties is key to the cost-effective use of the Council's housing stock, maximising rental income and provision of a good quality service to tenants.	To provide assurance on the efficiency and effectiveness of the arrangements for managing empty properties.
<b>OPERATIONS/ ENVIRONMENTAL DEVELOPMENT</b>		
Brocks Hill Centre and Country Park	The centre and country park represent a valuable venue and natural resource for the borough and surrounding areas and provide a source of income for the Council through cafe, shop and facilities bookings.	To assess and test controls around the management of the venue ie security, income collection, bookings management.
Health & Safety-'depot' services	The Council has a legal duty to ensure the health and safety of its employees, clients and service users of various types, and to assess and address relevant risks. 'Depot' services eg refuse, recycling, street cleaning represent some of the higher risk services in this context.	To provide assurance on the robustness of the Council's policies and procedures and their implementation in these key services, regarding health and safety and addressing related risks.
Vehicle fleet procurement and management	The procurement of new vehicles for refuse collection services was a significant project for the service. Sound, efficient and effective management of the vehicle fleet is an important driver in the delivery of key services eg refuse collection, street cleaning.	Post-project review to assure on the effectiveness of project management and also of management of the vehicle fleet.

## 4. Reporting and relationships

### 4.1 Reporting Lines

The Internal Audit Charter attached at Appendix 2 outlines the reporting lines and relationships for this engagement, essentially setting out the accountability of the Chief Internal Auditor to the Chief Executive, but noting that operationally in practice this accountability is delegated to the Director of Services and Chief Finance Officer. The Chief Internal Auditor also has direct right of access to the Policy, Finance & Development Committee and the Chairman where required. This is also embodied in the Council's Financial Regulations.

### Audit Reporting

#### Periodic and Assignment Reporting

Final reports relating to individual audit assignments will be reported to the relevant operational manager and Head of Service and be signed off by the management team prior to submission to the Policy, Finance & Development Committee (where relevant), which will also receive a progress update at each meeting detailing progress against the plan, a summary of assignment opinions issued to date and an update in relation to the implementation of audit recommendations.

#### Annual Head of Internal Audit Opinion

In line with the PSIAS and expected professional practice, we will issue a formal audit opinion taking account of:

- An assessment of the design and operation of the overall internal control environment, governance and risk management arrangements; and
- An assessment of the adequacy and effectiveness of controls, based upon the results of our risk based audit assignments that are reported during the course of year.

This opinion will be formally recorded in the Internal Audit Year End Report and presented to the Policy, Finance & Development Committee. In addition to this formal opinion we will also bring to the attention of the Chief Executive and the Policy, Finance & Development Committee any Significant Internal Control Issues that we feel should be declared in your Annual Governance Statement.

## **4.2 Third Party Audit Arrangements**

As your Internal Auditors we are required to agree with you the arrangements for forming an appropriate opinion where either you operate key systems on behalf of other organisations, or key systems are being operated by other organisations on your behalf. We recognise that the Council operates within a number of different partnership arrangements and procures and contracts various services, and we will pay due regard to these arrangements in relation to any parties to whom the Council needs to provide assurance; and any key systems provided by third parties for which the Council must obtain appropriate audit assurance.

## **4.3 Relationships with external bodies**

### **External Audit**

We will agree a protocol of joint working arrangements supported by a regular programme of update meetings with External Audit. We will use these meetings to report on progress against our plan and as an opportunity to discuss any significant issues arising from our work.

### **Other Review Bodies**

Where we intend to place formal reliance on the work of any other review body e.g. external auditor, we will undertake an appropriate audit or quality assurance exercise to ascertain the level of assurance that we can derive from that work.

### **Counter Fraud**

You are required to carry out counter fraud activities, to ensure sound stewardship of public funds. We will liaise as necessary with your counter fraud officers, sharing relevant audit findings and identifying joint programmes of work where appropriate.

## **4.4 Additional Services/Ad-hoc Work**

The PSIAS requires us to define the potential role that we may have in providing ad hoc consultancy work. In providing such a service we would seek to apply the professional skills of Internal Audit through a systematic and disciplined evaluation of the policies, procedures and operations that you have put in place to ensure the achievement of your objectives. We believe that our status as Internal Auditors ensures that we can deliver such work in an independent and objective manner.



## 5. Delivery

### 5.1 The Core Audit Team

The Audit Plan will be delivered by the following team:

<b>Team Role</b>	<b>Team Member</b>	<b>Qual</b>	<b>Role</b>
Chief Internal Auditor	Tim Ridout	CCAB	Tim will manage and oversee the audit team and plan
Audit Manager	Anand Persaud	CCAB	Anand will deliver complex reviews and supervise a team of experienced auditors in delivering the core plan.

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### 5.2 Profiling Delivery

We will agree a programme of delivery for the audit plan with management team and Heads of Service and report on delivery against this profile through our regular progress reports to Policy, Finance and Development Committee.

**Tim Ridout**  
**Chief Internal Auditor**

## Internal Audit Plan – 2016/2017

Area	Audit Assignment	2016/17
Resources – Finance, Procurement & ICT	Budgetary Control/Medium Term Financial Strategy	8
	Main Accounting	8
	Creditors	8
	Debtors	10
	Treasury Management	6
	Income Management & Cash Receipting	10
	Anti Fraud & Corruption-targeted fraud prevention/detection work	10
	Strategic Procurement / Shared Services / Service Review - VFM	12
	Income Generation/fees and charges	12
	Cash Receipting system implementation	8
	Grant Aid – Value for money review	10
	<b>Sub-total</b>	<b>102</b>
Regulation & Regeneration	Food Hygiene	8
	<b>Sub-total</b>	<b>8</b>
Corporate Resources	Payroll & Expenses	8
	Workforce – Procurement of agency staffing	8
	<b>Sub-total</b>	<b>16</b>

Area	Audit Assignment	2016/17
Customer Services	Council Tax	10
	Business Rates	10
	Benefits	10
	<b>Sub-total</b>	<b>30</b>
Community	Housing Rents	10
	Housing – investment / repairs and maintenance	12
	Void Property Management	12
	<b>Sub-total</b>	<b>34</b>
Operations/Environmental Development	Brocks Hill	6
	Health & Safety – ‘Depot Services’	10
	Vehicle procurement and management	10
	<b>Sub-total</b>	<b>26</b>
Follow Up	Recommendation Tracking	5
	Follow Up Reviews	14
	<b>Sub-total</b>	<b>19</b>
Management & Advice	Audit Needs Assessment, Planning & Annual Report	5
	Policy, Finance & Development Committee/External Audit/Senior Team meetings	10
	Contract Management & ad hoc advice	10
	<b>Sub-total</b>	<b>25</b>
<b>Total</b>		<b>260</b>

## INTERNAL AUDIT CHARTER

### 1. DEFINITION

Internal Audit is an independent and objective appraisal service within the organisation:

- Internal Audit primarily provides an independent and objective opinion to the Accountable Officer (Chief Executive), the Council and the Policy, Finance & Development Committee on the degree to which risk management, internal control and governance arrangements support the achievement of the organisation's agreed objectives. In addition, Internal Audit's findings and recommendations are beneficial to line management in the audited areas. Risk management, internal control and governance comprise the policies, procedures and operations established to ensure the achievement of objectives, the appropriate assessment of risk, the reliability of internal and external reporting and accountability processes, compliance with applicable laws and regulations, and compliance with the behavioural and ethical standards set for the organisation.
- Internal Audit also provides an independent and objective consultancy service specifically to help line management improve the organisation's risk management, control and governance arrangements. The service applies the professional skills of Internal Audit through a systematic and disciplined evaluation of the policies, procedures and operations that management have put in place to ensure the achievement of the organisation's objectives, and through recommendations for improvement. Such consultancy work contributes to the opinion, which Internal Audit provides on risk management, control and governance. Approval for any significant additional consulting services not already included in the audit plan will be sought from the Policy, Finance & Development Committee prior to accepting the engagement.

### 2. STANDARDS AND ETHICS

Internal Audit acknowledges the mandatory nature of the Definition of Internal Audit, the Code of Ethics and the Standards contained in the Public Sector Internal Audit Standards. Internal Audit shall also work in accordance with any performance measures agreed with the Audit Committee.

### 3. INDEPENDENCE, OBJECTIVITY AND CONFLICTS OF INTEREST

All internal audit activities shall remain free of influence by any element in the organisation, including matters of audit selection, scope, procedures, frequency, timing, or report content to permit maintenance of an independent and objective mental attitude necessary in rendering reports. Internal Auditors shall have no executive or direct operational responsibility or authority over any of the activities they review.

Individual auditors will have an impartial, unbiased attitude, characterised by integrity and an objective approach to work, and should avoid conflicts of interest. Individual auditors must declare any conflict of interest to the Head of Internal Audit. Any conflicts of interest encountered by the Head of Internal Audit must be declared to the Section 151 Officer. Internal Auditors will have regard to the Committee on Standards of Public Life's Seven Principles of Public Life.

### 4. AUTHORITY and ACCOUNTABILITY

Internal Audit derives its authority from the Council, the Accountable Officer and Policy, Finance & Development Committee. The Head of Internal Audit reports on a functional basis to the Council via the Policy, Finance & Development Committee. For administrative purposes, the Head of Internal Audit reports to the Section 151 Officer and Director of Services. The Head of Internal Audit has a direct right of access to the Chair of the Policy, Finance & Development Committee and the Chair

of the organisation if deemed necessary. The Policy, Finance & Development Committee shall have regular private meetings with the Head of Internal Audit. The Policy, Finance & Development Committee approves all Internal Audit plans and may review any aspect of its work.

## **5. INTERNAL AUDIT TEAM**

The Head of Internal Audit is responsible for ensuring the team is adequately staffed and that there is access to the full range of knowledge, skills, qualifications and experience to deliver the Internal Audit Plan in line with the Public Sector Internal Audit Standards. The team will undertake regular assessments of professional competence through an on-going appraisal and development programme (i.e. Personal Development Plans and Continuing Professional Development) with training provided where necessary. Auditors also have responsibilities for applying due professional care when performing their duties. The Head of Internal Audit must hold a professional qualification.

If the Head of Internal Audit, Chief Executive, Section 151 Officer or the Policy, Finance & Development Committee consider that the level of Internal Audit resources or the terms of reference in any way limit the scope of Internal Audit, or prejudice the ability of Internal Audit to deliver a service consistent with the definition of internal auditing, they should advise the Council accordingly.

## **6. SCOPE**

The Head of Internal Audit is responsible for developing and maintaining an Internal Audit Strategy for providing the Chief Executive, economically and efficiently, with objective evaluation of, and opinions on, the effectiveness of the organisation's risk management, control and governance arrangements. The Head of Internal Audit's opinion is a key element of the framework of assurance the Chief Executive needs to inform the completion of the Annual Governance Statement. This strategy will be realised through the delivery of considered and approved annual plans. These will systematically review and evaluate risk management, control and governance which comprises the policies, procedures and operations in place to:

- Establish, and monitor the achievement of, the organisations objectives.
- Identify, assess and manage the risks to achieving the organisations objectives.
- Ensure the economical, effective and efficient use of resources.
- Ensure compliance with established policies (including behavioural and ethical expectations), procedures, laws and regulations.
- Safeguard the organisation's assets and interests from losses of all kinds, including those arising from fraud, irregularity or corruption.
- Ensure the integrity and reliability of information, accounts and data, including internal and external reporting and accountability processes.

Internal Audit's planning will embrace risk management, control and governance processes of the organisation including all its operations, resources, services and responsibilities for other bodies.

## **7. APPROACH**

To ensure delivery of its objectives, Internal Audit will develop and implement an Audit Strategy. This will be prepared each year and will describe arrangements for the delivery of the internal audit service based upon knowledge of the organisation's objectives, risk assessment, and appropriate management consultation. The allocation of resources between assurance and consultative work will be set out. A detailed Annual Operational Plan will be prepared designed to implement the audit strategy. The audit strategy and annual plans shall be prepared to support the audit opinion to the Accountable Officer on the risk management, internal control and governance arrangements within the organisation. Both the strategy and annual plans will be approved by the Policy, Finance & Development Committee and reported to the Council.

## 8. REPORTING

Internal Audit will report formally to the Policy, Finance & Development Committee through the following:

An annual report will be presented to confirm completion of the audit plan and will include the Head of Internal Audit opinion provided for the Accountable Officer that will support the Annual Governance Statement. The Head of Internal Audit opinion will:

- a) State the overall adequacy and effectiveness of the Trust's risk management, control and governance processes;
- b) Disclose any qualification to that opinion, together with the reasons for the qualification;
- c) Present a summary of the audit work undertaken to formulate the opinion, including reliance placed on work by other assurance bodies;
- d) Draw attention to any issues internal audit judge as being particularly relevant to the preparation of the Annual Governance Statement;
- e) Compare work actually undertaken with the work which was planned and summarise performance of the internal audit function against its performance measures criteria; and
- f) Comment where necessary on compliance with the Public Sector Internal Audit Standards and internal quality assurance arrangements.

For each Policy, Finance & Development Committee meeting a progress report will be presented to summarise progress against the plan. The findings arising from individual audit reviews will be reported in accordance with the Committee's requirements. The Committee members will be provided with copies of individual audit reports for each assignment undertaken unless the Head of Internal Audit is or has been advised otherwise. The reports will include an action plan with target dates for completion.

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Following the closure of fieldwork, Internal Audit will discuss findings with operational/local managers. Operational/Local management will receive draft reports which will include the action plans they have agreed following the discussion of findings. A copy of the draft report will also be provided to the relevant Executive Director. The draft report will give an "assurance" opinion on the area reviewed. The draft report will also indicate action ratings for individual report findings and recommendations.

Operational management will be required to respond to the draft report, stating their agreement or otherwise to the content of the report, identifying action, staff with responsibility for implementation and the dates by which action will be taken. Final reports inclusive of management comments will be issued by Internal Audit to the relevant Executive Director within 5 working days of management responses being received. The final report will be placed on the agenda for the next available Policy, Finance & Development Committee, if this is required by the Committee.

Internal Audit will make provision to review the implementation of agreed action within the agreed timescales. However, where there are issues of particular concern provision maybe made for follow up review within the same financial year. Issue and clearance of follow up reports shall be as for other assignments referred to above.

## **9. IRREGULARITIES, FRAUD AND CORRUPTION**

It is the responsibility of management to maintain systems that ensure organisation's resources are utilised in the manner and on activities intended. This includes the responsibility for the prevention and detection of fraud and other illegal acts.

Internal Audit shall not be relied upon to detect fraud or other irregularities. However, Internal Audit will give due regard to the possibility of fraud and other irregularities in work undertaken. Additionally, Internal Audit shall seek to identify weaknesses in control that could permit fraud or irregularity.

If Internal Audit discovers suspicion or evidence of fraud or irregularity, this will immediately be reported to the organisation's Counter Fraud Specialist in accordance with the organisation's Counter Fraud Policy & Fraud Response Plan.

## **10. RELATIONSHIPS**

In order to maximise its contribution to the Council's overall framework of assurance, Internal Audit will work closely with the organisation's Director of Services and the Section 151 Officer in planning its work programme. Co-operative relationships with line management enhance the ability of internal audit to achieve its objectives effectively. Audit work will be planned in conjunction with management as far as possible, particularly in respect of the timing of audit work.

Internal Audit will meet regularly with the external auditor to consult on audit plans, discuss matters of mutual interest, discuss common understanding of audit techniques, method and terminology, and to see opportunities for co-operation in the conduct of audit work. In particular, internal audit make available their working files to the external auditor for them to place reliance upon the work of Internal Audit where appropriate

The Head of Internal Audit will establish a means to gain an overview of other assurance providers' approaches and output as part of the establishment of an integrated assurance framework. In addition the Head of Internal Audit shall make provision to form an opinion where key systems are being operated by organisation's outside of the remit of the Accountable Officer, or through a shared or joint arrangement.

## **11. ACCESS**

Internal Audit shall have the authority to access all the organisation's information, documents, records, assets, personnel and premises that it considers necessary to fulfil its role. This shall extend to the resources of the third parties that provide services on behalf of the organisation. All information obtained during the course of a review will be regarded as strictly confidential to the organisation and shall not be divulged to any third party without the prior permission of the Accountable Officer. However, open access shall be granted to the organisation's external auditors. In any instances of conflict this will be referred for resolution to the Section 151 Officer, Chief Executive or Chair of Policy, Finance & Development Committee as appropriate.

## **12. QUALITY ASSURANCE**

The work of internal audit is controlled at each level of operation to ensure that a continuously effective level of performance, compliant with the Public Sector Internal Audit Standards is being achieved. The Head of Internal Audit will establish a quality assurance programme designed to give assurance through internal and external review that the work of internal audit is compliant with the Public Sector Internal Audit Standards and to achieve its objectives. A commentary on compliance against the Standards will be provided in the annual audit report to Audit Committee.

**13. APPROVAL, REVIEW AND INTERPRETATION OF THE CHARTER**

This Internal Audit Charter shall be reviewed annually and approved by the Audit Committee\*.

\* The Public Sector Internal Audit Standards require the Charter to be approved by the Board, however, for the Public Sector the following definition of Board is provided: *Audit Committee – the governance group charged with independent assurance of the adequacy of the risk management framework, the internal control environment and the integrity of financial reporting*





<b>Policy, Finance and Development Committee</b>	<b>Tuesday, 29 March 2016</b>	<b>Matter for Information</b>
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**Title:** External Audit Report on Grant Claims and Returns and the External Audit Plan 2016/17

**Author:** Martin Hone – Interim Chief Financial Officer (Section 151 Officer)

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## 1. Introduction

This report serves two functions, firstly to summarise the findings from the External Auditors Certification of Grants and Returns 2014/15 Report which includes the Auditors assessment of the Council’s arrangements for preparing claims and returns. Secondly, to inform Members of the external audit plan for the 2015/16 accounts. The report also provides brief information on any returns that have been amended or qualified.

## 2. Recommendations

That Members note the contents of the report.

## 3. Information

The attached at Appendix 1 of this report from KPMG provides details of the External Auditors opinions on the processes adopted by the Council in respect of the management of its grant claims and returns. In 2014/15 the External Auditor reviewed the Council grant claims and returns with a total value of £9.6M.

KPMG, the Council’s appointed external auditor, is responsible for completing all aspects of the audit required for the certification of claims and returns. This includes delivering the annual report on certification work which is attached as an Appendix.

The Council has adequate arrangements for preparing its grants and returns and supporting the audit certification work. All grants and returns were submitted on a timely basis and had been correctly identified as requiring certification in line with the certification instruction index issued by the Audit Commission. The Council keeps adequate records in relation to grants and returns which were accurate and sufficient. New procedures have been put in place to increase the checking of the claims and suitable training given to staff which should mean that the returns are accurately returned to the Government in future.

The Auditor has noted that a minor adjustment is required on the Housing Benefit Subsidy Claim reducing the total claim by £187, very small adjustment when compared to other authorities. The auditor issued an unqualified opinion on the Pooling of Housing Capital Receipts but drew attention to the conditions for grants to RSL for schemes which meet the new build 1-4-1 requirements.

The External Audit plan 2015/16 is attached at appendix 2 to the report. The report details the approach that the auditors will adopt when examining the Council’s financial statements and carrying out Value for Money Arrangements work

4. The Public Sector Audit appointments set an indicative fee for the Council for the Benefits Subsidy Audit in 2014/15 at £11,460 while the scale fee for the main financial statements 2015/16 audit is £42,784. Appropriate budget provision has been made for this work in the Council's annual budgets.

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<b>Implications</b>	
Financial (CR)	As contained in the report.
Legal (AC)	No significant implications.
Risk (CR)	The external audit is a key component of the Council's system of control and governance.
Equalities (AC)	No significant implications.



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# KPMG Annual Report on grants and returns work 2014/15

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Oadby and Wigston Borough Council

February 2016

**The contacts at KPMG in connection with this report are:**

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■ Headlines	2
■ Summary of reporting outcomes	3
■ Summary of certification work outcomes	4
■ Fees	5
■ Recommendations	6

This report is addressed to the Authority and has been prepared for the sole use of the Authority. We take no responsibility to any member of staff acting in their individual capacities, or to third parties. We draw your attention to the Statement of Responsibilities of auditors and audited bodies, which is available on Public Sector Audit Appointment's website ([www.psaa.co.uk](http://www.psaa.co.uk)).

External auditors do not act as a substitute for the audited body's own responsibility for putting in place proper arrangements to ensure that public 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.

We are committed to providing you with a high quality service. If you have any concerns or are dissatisfied with any part of KPMG's work, in the first instance you should contact John Cornett, the engagement lead to the Authority, who will try to resolve your complaint. If you are dissatisfied with your response please contact the national lead partner for all of KPMG's work under our contract with Public Sector Audit Appointments Limited, Andrew Sayers, by email to [andrew.sayers@kpmg.co.uk](mailto:andrew.sayers@kpmg.co.uk) After this, if you are still dissatisfied with how your complaint has been handled you can access PSAA's complaints procedure by emailing [generalenquiries@psaa.co.uk](mailto:generalenquiries@psaa.co.uk), by telephoning 020 7072 7445 or by writing to Public Sector Audit Appointments Limited, 3rd Floor, Local Government House, Smith Square, London, SW1P 3HZ.

<p>Introduction and background</p>	<p><b>This report summarises the results of work we have carried out on the Council’s 2014/15 grant claims and returns.</b></p> <p><b>This includes the work we have completed under the Public Sector Audit Appointment certification arrangements, as well as the work we have completed on other grants/returns under separate engagement terms. The work completed in 2014/15 is:</b></p> <ul style="list-style-type: none"> <li>■ Under the Public Sector Audit Appointment arrangements we certified one claim – the Council’s 2014/15 Housing Benefit Subsidy claim. This had a value of £9.3 million.</li> <li>■ Under separate assurance engagements we certified 1 return as listed below: <ul style="list-style-type: none"> <li>– Pooling of Housing Capital Receipts return. This had a value of £312,025.</li> </ul> </li> </ul>	
<p>Certification results</p>	<p><b>Our certificate on the Council’s Housing Benefit Subsidy claim was unqualified.</b></p> <p><b>Our work on the other grant assurance engagements resulted in the following reports:</b></p> <ul style="list-style-type: none"> <li>■ An unqualified assurance statement, drawing attention to a lack of clarity regarding the ability to use retained capital receipts to finance new housing schemes, specifically where HCA funding has also been received for these. Your officers are to seek further clarification from CLG regarding this issue.</li> </ul>	<p><b>Pages 3 – 4</b></p>
<p>Page 83  Audit adjustments</p>	<p><b>Adjustments were necessary to the Council’s Housing Benefit Subsidy claim.</b></p> <ul style="list-style-type: none"> <li>■ The Housing Benefits Subsidy receivable was reduced by £183 as a result of errors identified in the reconciliation process. This compares to adjustments made last year of +£167.</li> </ul>	<p><b>Pages 3 – 4</b></p>
<p>Fees</p>	<p><b>The indicative fee for our work on the Council’s 2014/15 Housing Benefit Subsidy was set by Public Sector Audit Appointments at £9,120. The actual fee for this work was £10,079. The fee increase resulted from additional testing required and is still subject to determination by PSAA.</b></p> <p><b>Our fees for the other ‘assurance’ engagements were subject to agreement directly with the Council and were:</b></p> <ul style="list-style-type: none"> <li>■ Certification of Pooling of Housing Capital Receipts return, £3,500.</li> </ul>	<p><b>Page 5</b></p>

Overall, we carried out work on 2 grants and returns:

- 1 required no qualification to our audit certificate but an amendment to the claim; and
- 1 was unqualified

Detailed comments are provided overleaf.

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Detailed below is a summary of the reporting outcomes from our work on the Council's 2014/15 grants and returns, showing where either audit amendments were made as a result of our work or where we had to qualify our audit certificate or assurance report.

A qualification means that issues were identified concerning the Council's compliance with a scheme's requirements that could not be resolved through adjustment. In these circumstances, it is likely that the relevant grant paying body will require further information from the Council to satisfy itself that the full amounts of grant claimed are appropriate.

	Comments overleaf	Qualified	Significant adjustment	Minor adjustment	Unqualified
<b>Public Sector Audit Appointments arrangements</b>					
■ Housing Benefit Subsidy	1				
<b>Other assurance engagements</b>					
■ Pooling of Housing Capital Receipts return	2				

This table summarises the key issues behind each of the adjustments or qualifications that were identified on the previous page.

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Ref	Summary observations	Amendment
1	<p><b>Housing Benefit Subsidy Claim</b></p> <p>Six sets of additional testing were undertaken:</p> <ul style="list-style-type: none"> <li>• 3 of these related to errors found in 2013/14, where additional testing was undertaken to establish whether these had recurred in 2014/15. Further errors were found in 2 of the additional sets of testing, and further testing will be undertaken on these next year.</li> <li>• 2 additional sets of testing related to errors found in the initial testing. These related to deductions from earned income, and to the calculation of non dependent earnings.</li> <li>• 1 additional set of testing related to a national issue with the Council's IT system, Academy. Your officers were able to demonstrate that this had been addressed throughout the year, and at year end there were only 3 cases which had not been corrected. Review of these found that in all cases subsidy had been correctly awarded.</li> </ul>	- £183
2	<p><b>Pooling of Housing Capital Receipts Return</b></p> <ul style="list-style-type: none"> <li>■ We drew CLG's attention to a lack of clarity regarding the ability to use retained capital receipts to finance new housing schemes, specifically where HCA funding has also been received for these. Your officers are to seek further clarification from CLG regarding this issue.</li> <li>■ We have made a recommendation regarding the processes adopted when considering the use of retained capital receipts.</li> </ul>	£0

Our fees for the Housing Benefit Subsidy claim are set by Public Sector Audit Appointments.

Our fees for other assurance engagements on grants/returns are agreed directly with the Council.

The overall fees we charged for carrying out all our work on grants/returns in 2014/15 was £15,919.

### Breakdown of fees for grants and returns work

Breakdown of fee by grant/return		
	2014/15 (£)	2013/14 (£)
Housing Benefit Subsidy claim	12,419	9,152
Pooling of Housing Capital Receipts (PSAA)	0	578
Pooling of Housing Capital Receipts (non PSAA)	3,500	0
<b>Total fee</b>	<b>15,919</b>	<b>9,730</b>

### Public Sector Audit Appointments certification arrangements

Public Sector Audit Appointments set an indicative fee for our work on the Council's Housing Benefit Subsidy claim in 2014/15 of £11,460. Our actual fee was higher than the indicative fee at £12,419, and this compares to the 2013/14 fee for this claim of £9,152. The increase in fee resulted from two sets of additional testing required, and increased time spent on reviewing and agreeing the reconciliations with the Benefits Manager.

The main reasons for the fee exceeding the original estimate were:

- Errors identified resulting in six sets of additional testing

The additional fee is still subject to final determination by PSAA.

### Grants subject to other assurance engagements

The fees for our assurance work on other grants/returns are agreed directly with the Council. Our fees for 2014/15 were as agreed with the Authority. In 2014/15 the Pooling of Housing Capital Receipts return fell outside of the PSAA grant regime, and fees were therefore agreed locally. £3,000 was the standard fee charged by KPMG for this work, but an additional £500 fee was agreed to reflect the additional work on the use of retained capital receipts.



We have given each recommendation a risk rating and agreed what action management will need to take.

### Priority rating for recommendations

<p><b>1</b> Issues that are fundamental and material to your overall arrangements for managing grants and returns or compliance with scheme requirements. We believe that these issues might mean that you do not meet a grant scheme requirement or reduce (mitigate) a risk.</p>	<p><b>2</b> Issues that have an important effect on your arrangements for managing grants and returns or complying with scheme requirements, but do not need immediate action. You may still meet scheme requirements in full or in part or reduce (mitigate) a risk adequately but the weakness remains in the system.</p>	<p><b>3</b> Issues that would, if corrected, improve your arrangements for managing grants and returns or compliance with scheme requirements in general, but are not vital to the overall system. These are generally issues of best practice that we feel would benefit you if you introduced them.</p>
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Issue	Implication	Recommendation	Priority	Comment	Responsible officer and target date
<b>Pooling of Housing Capital Receipts</b>					
<p><b>Use of retained capital receipts</b> Our review of a capital grant to a Housing Association which the Council wished to set against the retained capital receipts showed that Officers had not reviewed the scheme, or gained information from the Housing Association about the scheme.</p>	<p>Review found that the scheme did not meet the requirements of the agreement with the Department of Communities and Local Government for the use of retained capital receipts. Failure to ensure that all agreement conditions are met could result in the Council being unable to apply the retained receipts to eligible schemes within the required deadlines.</p>	<p><b>1</b> Check that all the agreement requirements are met when considering whether to fund capital housing schemes (either in house or by an external provider), to ensure that the correct funding decisions are made.</p>	<p><b>2</b></p>	<p>In future an assessment of whether the scheme meets the required criteria will be carried out both prior to it being entered into as well as after completion</p>	<p>Interim Head of Community / Interim Accountancy Manager  Immediately</p>



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# External Audit Plan 2015/2016

Oadby and Wigston Borough Council

March 2016

## Financial Statement Audit



There are no significant changes to the Code of Practice on Local Authority Accounting in 2015/16, which provides stability in terms of the accounting standards the Authority need to comply with.

### Materiality

Materiality for planning purposes has been based on last year's expenditure and set at **£400,000**.

We are obliged to report uncorrected omissions or misstatements other than those which are 'clearly trivial' to those charged with governance and this has been set at **£20,000**.

### Significant risks

Those risks requiring specific audit attention and procedures to address the likelihood of a material financial statement error have been identified as:

- Revenue Recognition;
- Management override of controls; and
- Accounting for capital expenditure on leisure centres.

**See pages 3 to 5 for more details.**

## Value for Money Arrangements work



The National Audit Office has issued new guidance for the VFM audit which applies from the 2015/16 audit year. The approach is broadly similar in concept to the previous VFM audit regime, but there are some notable changes:

- There is a new overall criterion on which the auditor's VFM conclusion is based; and
- This overall criterion is supported by three new sub-criteria.

Our risk assessment regarding your arrangements to secure value for money have identified the following VFM significant risks:

- Financial resilience in the local and national economy.

**See pages 6 to 9 for more details.**

## Logistics



Our team is:

- Tony Crawley – Director
- Yola Geen – Manager
- Owen Campbell – Assistant manager

More details are on **page 12**.

Our work will be completed in four phases from December 2015 to September 2016 and our key deliverables are this Audit Plan and a Report to those charged with Governance as outlined on **page 11**.

Our scale fee for the audit is £42,784 (£57,045 2014/2015). See **page 10**.

## Background and Statutory responsibilities

This document supplements our Audit Fee Letter 2015/16 presented to you in April 2015, which also sets out details of our appointment by Public Sector Audit Appointments Ltd (PSAA).

Our statutory responsibilities and powers are set out in the Local Audit and Accountability Act 2014 and the National Audit Office's Code of Audit Practice.

Our audit has two key objectives, requiring us to audit/review and report on your:

- *Financial statements (including the Annual Governance Statement):* Providing an opinion on your accounts; and
- *Use of resources:* Concluding on the arrangements in place for securing economy, efficiency and effectiveness in your use of resources (the value for money conclusion).

The audit planning process and risk assessment is an on-going process and the assessment and fees in this plan will be kept under review and updated if necessary.

## Acknowledgements

We would like to take this opportunity to thank officers and Members for their continuing help and co-operation throughout our audit work.

## Financial Statements Audit

Our financial statements audit work follows a four stage audit process which is identified below. Appendix 1 provides more detail on the activities that this includes. This report concentrates on the Financial Statements Audit Planning stage of the Financial Statements Audit.



## Value for Money Arrangements Work

Our Value for Money (VFM) Arrangements Work follows a five stage process which is identified below. Page 6 provides more detail on the activities that this includes. This report concentrates on explaining the VFM approach for the 2015/16 and the findings of our VFM risk assessment.



## Financial Statements Audit Planning

Our planning work takes place during January and February. This involves the following key aspects:

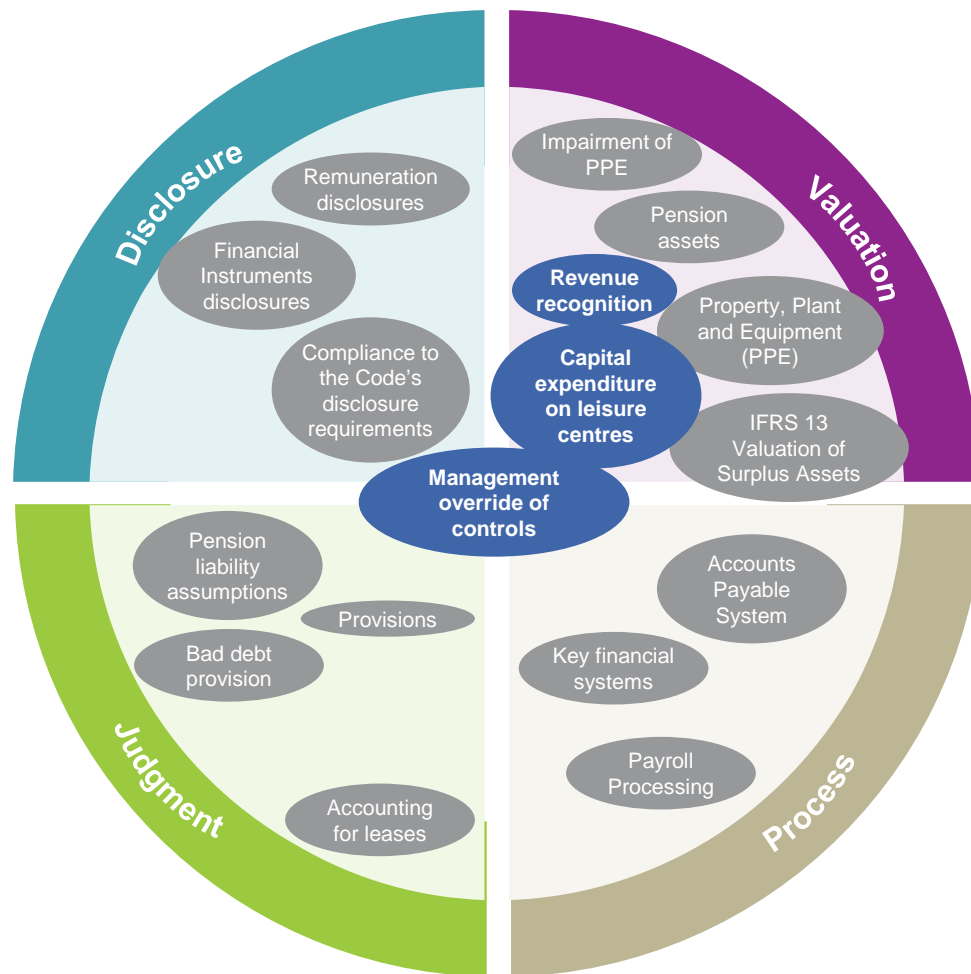
- Risk assessment;
- Determining our materiality level; and
- Issuing this audit plan to communicate our audit strategy.

### Risk assessment

Professional standards require us to consider two standard risks for all organisations. We are not elaborating on these standard risks in this plan but consider them as a matter of course in our audit and will include any findings arising from our work in our ISA 360 Report.

- **Management override of controls** – Management is typically in a powerful position to perpetrate fraud owing to its ability to manipulate accounting records and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. Our audit methodology incorporates the risk of management override as a default significant risk. In line with our methodology, we carry out appropriate controls testing and substantive procedures, including over journal entries, accounting estimates and significant transactions that are outside the normal course of business, or are otherwise unusual.
- **Fraudulent revenue recognition** – We do not consider this to be a significant risk for local authorities as there are limited incentives and opportunities to manipulate the way income is recognised. We therefore rebut this risk and do not incorporate specific work into our audit plan in this area over and above our standard fraud procedures.

The diagram opposite identifies significant risks and other areas of audit focus, which we expand on overleaf. The diagram also identifies a range of other areas considered by our audit approach.



Keys: ● Significant risk ● Example other areas considered by our approach



### Significant Audit Risks

Those risk requiring specific audit attention and procedures to address the likelihood of a material financial statement error.

#### Accounting for capital expenditure on leisure centres

- The Authority's expenditure on the construction of a new leisure centre and refurbishment and expansion of another continues in 2015/16.. The budgeted cost of this project for this year is approximately £7.1m. The project makes up half of the Authority's total budgeted capital expenditure for the financial year.
- We will continue to review the Authority's accounting treatment of:
  - the recognition of expenditure on both the new build and refurbishment;
  - the de-recognition of the previous assets where applicable; and
  - the transfer of the Wigston leisure centre from assets under construction to operational assets.
- The transactions required will affect: Property, Plant and Equipment; the Comprehensive Income and Expenditure Statement; the Movement in Reserves Statement; and Unusable Reserves.

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## Materiality

We are required to plan our audit to determine with reasonable confidence whether or not the financial statements are free from material misstatement. An omission or misstatement is regarded as material if it would reasonably influence the user of financial statements. This therefore involves an assessment of the qualitative and quantitative nature of omissions and misstatements.

Generally, we would not consider differences in opinion in respect of areas of judgement to represent 'misstatements' unless the application of that judgement results in a financial amount falling outside of a range which we consider to be acceptable.

Materiality for planning purposes has been set at £400k, which equates to 1.5 percent of gross expenditure for 2014-15.

We design our procedures to detect errors in specific accounts at a lower level of precision.

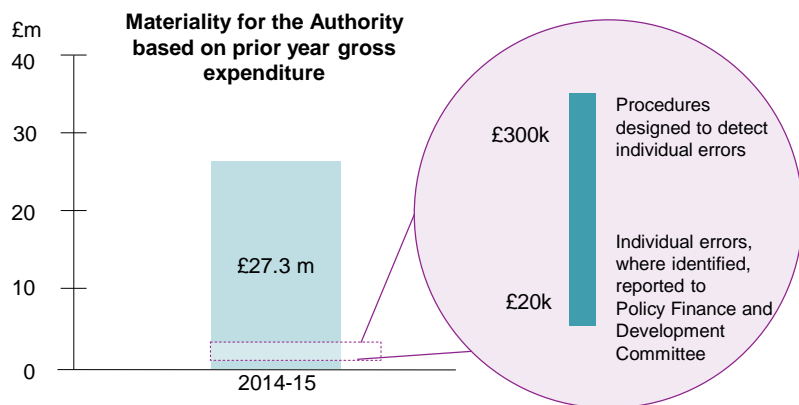
## Reporting to the Policy, Finance and Development Committee

Whilst our audit procedures are designed to identify misstatements which are material to our opinion on the financial statements as a whole, we nevertheless report to the Policy, Finance and Development Committee any unadjusted misstatements of lesser amounts to the extent that these are identified by our audit work.

Under ISA 260(UK&I) 'Communication with those charged with governance', we are obliged to report uncorrected omissions or misstatements other than those which are 'clearly trivial' to those charged with governance. ISA 260 (UK&I) defines 'clearly trivial' as matters that are clearly inconsequential, whether taken individually or in aggregate and whether judged by any quantitative or qualitative criteria.

In the context of the Authority, we propose that an individual difference could normally be considered to be clearly trivial if it is less than £20k.

If management have corrected material misstatements identified during the course of the audit, we will consider whether those corrections should be communicated to the Policy, Finance and Development Committee to assist it in fulfilling its governance responsibilities.



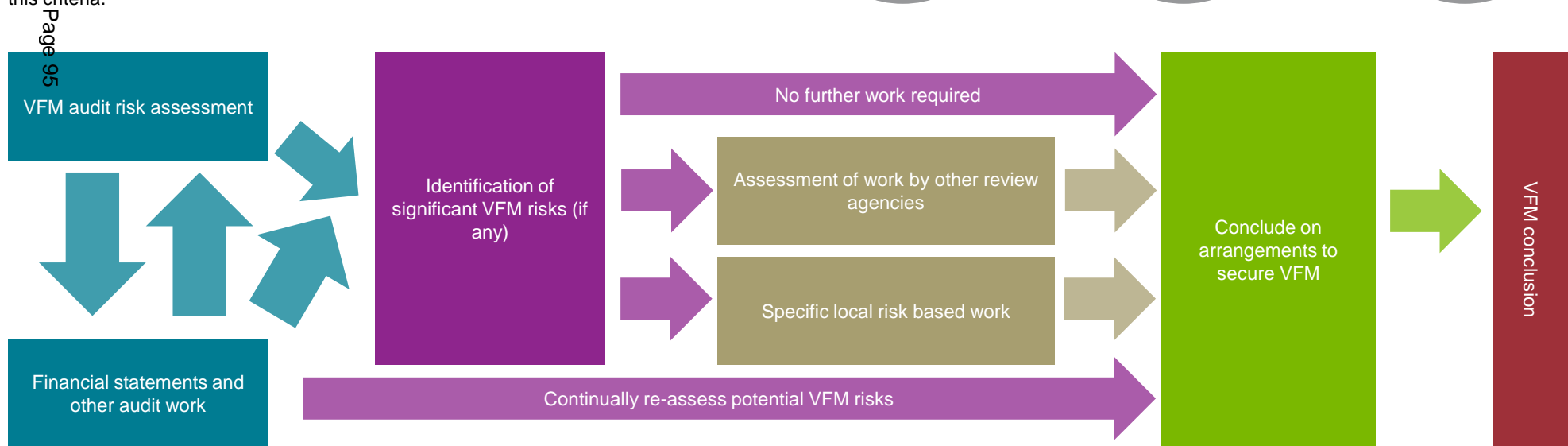
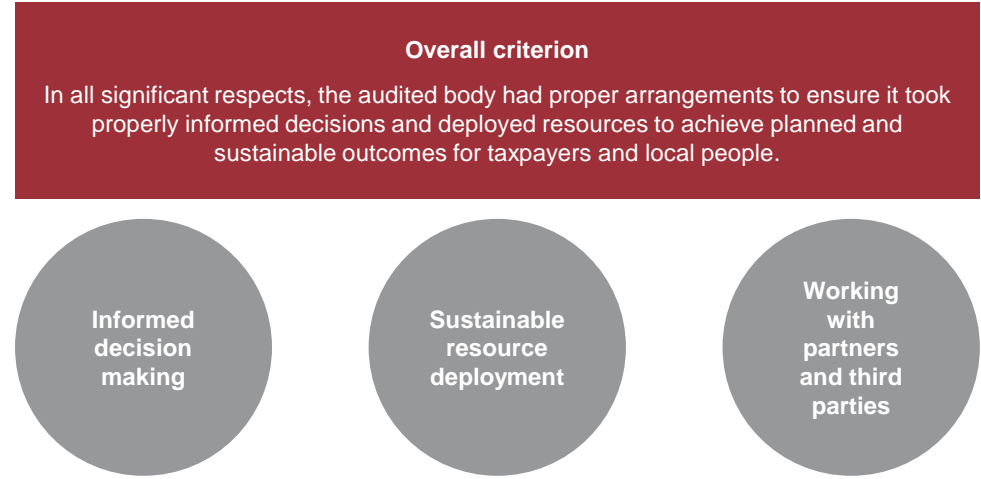


## Background to approach to VFM work

The Local Audit and Accountability Act 2014 requires auditors of local government bodies to be satisfied that the authority 'has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources'.

This is supported by the Code of Audit Practice, published by the NAO in April 2015, which requires auditors to 'take into account their knowledge of the relevant local sector as a whole, and the audited body specifically, to identify any risks that, in the auditor's judgement, have the potential to cause the auditor to reach an inappropriate conclusion on the audited body's arrangements.'

The VFM approach is fundamentally unchanged from that adopted in 2014/2015 and the process is shown in the diagram below. However, the previous two specified reporting criteria (financial resilience and economy, efficiency and effectiveness) have been replaced with a single criteria supported by three sub-criteria. These sub-criteria provide a focus to our VFM work at the Authority. The diagram to the right shows the details of this criteria.





VFM audit stage	Audit approach
<b>VFM audit risk assessment</b>	<p>We consider the relevance and significance of the potential business risks faced by all local authorities, and other risks that apply specifically to the Authority. These are the significant operational and financial risks in achieving statutory functions and objectives, which are relevant to auditors' responsibilities under the <i>Code of Audit Practice</i>.</p> <p>In doing so we consider:</p> <ul style="list-style-type: none"> <li>■ The Authority's own assessment of the risks it faces, and its arrangements to manage and address its risks;</li> <li>■ Information from the Public Sector Auditor Appointments Limited VFM profile tool;</li> <li>■ Evidence gained from previous audit work, including the response to that work; and</li> <li>■ The work of other inspectorates and review agencies.</li> </ul>
<b>Linkages with financial statements and other audit work</b>	<p>There is a degree of overlap between the work we do as part of the VFM audit and our financial statements audit. For example, our financial statements audit includes an assessment and testing of the Authority's organisational control environment, including the Authority's financial management and governance arrangements, many aspects of which are relevant to our VFM audit responsibilities.</p> <p>We have always sought to avoid duplication of audit effort by integrating our financial statements and VFM work, and this will continue. We will therefore draw upon relevant aspects of our financial statements audit work to inform the VFM audit.</p>
<b>Identification of significant risks</b>	<p>The Code identifies a matter as significant '<i>if, in the auditor's professional view, it is reasonable to conclude that the matter would be of interest to the audited body or the wider public. Significance has both qualitative and quantitative aspects.</i>'</p> <p>If we identify significant VFM risks, then we will highlight the risk to the Authority and consider the most appropriate audit response in each case, including:</p> <ul style="list-style-type: none"> <li>■ Considering the results of work by the Authority, inspectorates and other review agencies; and</li> <li>■ Carrying out local risk-based work to form a view on the adequacy of the Authority's arrangements for securing economy, efficiency and effectiveness in its use of resources.</li> </ul>

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VFM audit stage	Audit approach
<p>Assessment of work by other review agencies</p> <p>and</p> <p>Delivery of local risk based work</p>	<p>Depending on the nature of the significant VFM risk identified, we may be able to draw on the work of other inspectorates, review agencies and other relevant bodies to provide us with the necessary evidence to reach our conclusion on the risk.</p> <p>If such evidence is not available, we will instead need to consider what additional work we will be required to undertake to satisfy ourselves that we have reasonable evidence to support the conclusion that we will draw. Such work may include:</p> <ul style="list-style-type: none"> <li>■ Meeting with senior managers across the Authority;</li> <li>■ Review of minutes and internal reports;</li> <li>■ Examination of financial models for reasonableness, using our own experience and benchmarking data from within and without the sector.</li> </ul>
<p>Concluding on VFM arrangements</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 97</p>	<p>At the conclusion of the VFM audit we will consider the results of the work undertaken and assess the assurance obtained against each of the VFM themes regarding the adequacy of the Authority's arrangements for securing economy, efficiency and effectiveness in the use of resources.</p> <p>If any issues are identified that may be significant to this assessment, and in particular if there are issues that indicate we may need to consider qualifying our VFM conclusion, we will discuss these with management as soon as possible. Such issues will also be considered more widely as part of KPMG's quality control processes, to help ensure the consistency of auditors' decisions.</p>
<p>Reporting</p>	<p>On the following page, we report the results of our initial risk assessment.</p> <p>We will report on the results of the VFM audit through our ISA 260 Report. This will summaries any specific matters arising, and the basis for our overall conclusion.</p> <p>If considered appropriate, we may produce a separate report on the VFM audit, either overall or for any specific reviews that we may undertake.</p> <p>The key output from the work will be the VFM conclusion (i.e. our opinion on the Authority's arrangements for securing VFM), which forms part of our audit report.</p>



### Significant VFM Risks

Those risks requiring specific audit attention and procedures to address the likelihood that proper arrangements are not in place to deliver value for money.

#### Financial Resilience and Capacity

The Government's Autumn Statement and Spending Review confirmed their intention to move to a different funding system over the next few years – with less reliance on Revenue Support Grant and an increasing dependence on business rate income as a major source of income. That, together with likely significant reductions in New Homes Bonus funding from 2017/18 means that the Council, like most of local government, faces a challenging future. The Authority's Medium Financial Strategy, last updated in October 2015, covering the period to 2018/19 showed deficits for the years 2016/17 to 2018/19, with a closing General Fund balance of only £58k in 2018/19. The Authority will need to ensure that it continues to deliver efficiencies and moves forward its workstreams for generating income and service design and transformation. It is against this backdrop that we will assess the arrangements the Council has in place to achieve efficiency savings against a worsening national picture.

The Authority set its final General Fund 2016/17 budget in February 2016, with a net revenue budget of £6.4 million, £600k lower than the figure included within the latest MTFS. The Authority has identified £633k of efficiency targets to support this budget, which forecasts the use of £145k of general revenue reserves. Work is currently in hand to further update the MTFS.

Following the July 2015 budget, which introduced a 1% per annum rent reduction for tenants over the next four years, the Authority reviewed its HRA business plan to assess the impact of these reductions. The updated plan showed that the plan was still viable, but that HRA balances would drop to their minimum sustainable level and remain there until around 2013.

We will meet regularly with the interim S151 Officer and key staff to understand the financial position, assess the resilience of the Authority and monitor the progress in achieving the efficiency target.

### Whole of government accounts (WGA)

We are required to review your WGA consolidation and undertake the work specified under the approach that is agreed with HM Treasury and the National Audit Office. Deadlines for production of the pack and the specified approach for 2015/16 have not yet been confirmed.

### Elector challenge

The Local Audit and Accountability Act 2014 gives electors certain rights. These are:

- The right to inspect the accounts;
- The right to ask the auditor questions about the accounts; and
- The right to object to the accounts.

As a result of these rights, in particular the right to object to the accounts, we may need to undertake additional work to form our decision on the elector's objection. The additional work could range from a small piece of work where we interview an officer and review evidence to form our decision, to a more detailed piece of work, where we have to interview a range of officers, review significant amounts of evidence and seek legal representations on the issues raised.

The costs incurred in responding to specific questions or objections raised by electors is not part of the fee. This work will be charged in accordance with the PSAA's fee scales.

### Our audit team

Our audit team will be led by Tony Crawley. Appendix 2 provides more details on specific roles and contact details of the team.

### Reporting and communication

Reporting is a key part of the audit process, not only in communicating the audit findings for the year, but also in ensuring the audit team are accountable to you in addressing the issues identified as part of the audit strategy. Throughout the year we will communicate with you through meetings with the finance team and the Corporate Governance Committee. Our communication outputs are included in Appendix 1.

### Independence and Objectivity

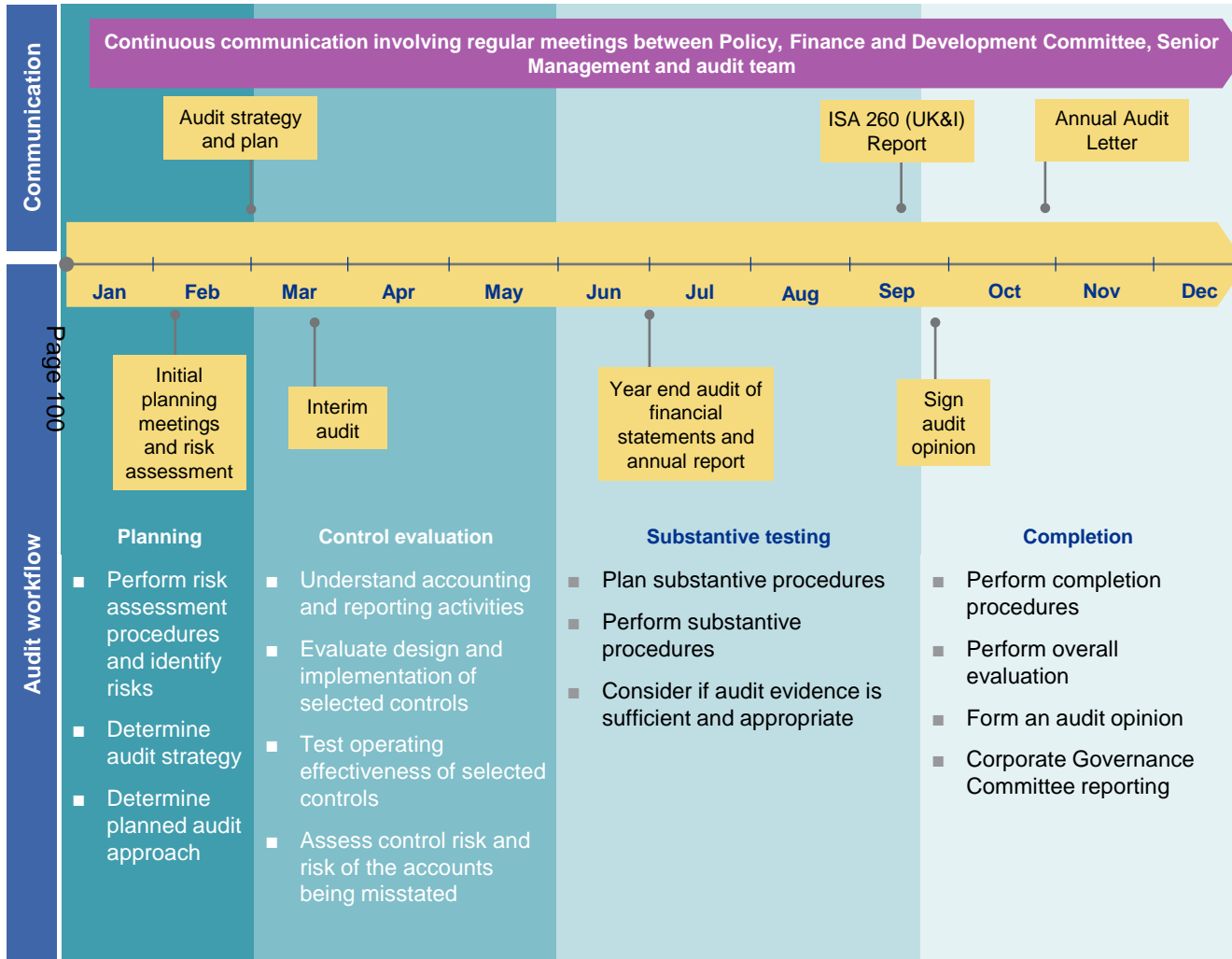
Auditors are also required to be independent and objective. Appendix 3 provides more details of our confirmation of independence and objectivity.

### Audit fee

*Our Audit Fee Letter 2015/2016* presented to you in April 2015 first set out our fees for the 2015/2016 audit. This letter also sets out our assumptions. We are currently considering the additional fee that will be required to complete our work regarding the significant risk identified relating to leisure capital expenditure. We will agree any fee variation with your Interim Chief Finance Officer, before submitting it to PSAA for approval.

The planned audit fee for 2015/16 is £42,784. This is a reduction in audit fee, compared to the 2014/15 scale fee, of £14,261 (25%).

Our audit fee includes our work on the VFM conclusion and our audit of the Authority's financial statements.



## Driving more value from the audit through data and analytics

Technology is embedded throughout our audit approach to deliver a high quality audit opinion. Use of Data and Analytics (D&A) to analyse large populations of transactions in order to identify key areas for our audit focus is just one element. We strive to deliver new quality insight into your operations that enhances our and your preparedness and improves your collective 'business intelligence.' Data and Analytics allows us to:

- Obtain greater understanding of your processes, to automatically extract control configurations and to obtain higher levels assurance.
- Focus manual procedures on key areas of risk and on transactional exceptions.
- Identify data patterns and the root cause of issues to increase forward-looking insight.

We anticipate using data and analytics in our work around key areas such as accounts payable and journals. We also expect to provide insights from our analysis of these tranches of data in our reporting to add further value from our audit.



Your audit team has been drawn from our specialist public sector assurance department. The Audit Manager was part of the Oadby and Wigston Borough Council audit last year.



<b>Name</b>	Tony Crawley
<b>Position</b>	Director
	<p>'My role is to lead our team and ensure the delivery of a high quality, valued added external audit opinion.</p> <p>I will be the main point of contact for the Policy, Finance and Development Committee and Chief Executive.'</p>

**Tony Crawley**

Director  
 0116 2566067  
 Tony.Crawley@KPMG.co.uk



<b>Name</b>	Yola Geen
<b>Position</b>	Manager
	<p>'I provide quality assurance for the audit work and specifically any technical accounting and risk areas.</p> <p>I will work closely with director to ensure we add value.</p> <p>I will liaise with the Interim Chief Finance Officer and Head of Internal Audit.</p>

**Yola Geen**

Manager  
 0116 2566091  
 Yola.Geen@KPMG.co.uk



<b>Name</b>	Owen Campbell
<b>Position</b>	Assistant Manager
	<p>'I will be responsible for the on-site delivery of our work and will supervise the work of our audit assistants.'</p>

**Owen Campbell**

Assistant Manager  
 07464 980307  
 Owen.Campbell@KPMG.co.uk

### Independence and objectivity

Professional standards require auditors to communicate to those charged with governance, at least annually, all relationships that may bear on the firm's independence and the objectivity of the audit engagement partner and audit staff. The standards also place requirements on auditors in relation to integrity, objectivity and independence.

The standards define 'those charged with governance' as 'those persons entrusted with the supervision, control and direction of an entity'. In your case this is the Corporate Governance Committee.

KPMG LLP is committed to being and being seen to be independent. APB Ethical Standard 1 Integrity, Objectivity and Independence requires us to communicate to you in writing all significant facts and matters, including those related to the provision of non-audit services and the safeguards put in place, in our professional judgement, may reasonably be thought to bear on KPMG LLP's independence and the objectivity of the Engagement Lead and the audit team.

Further to this auditors are required by the National Audit Office's Code of Audit Practice to:

- Carry out their work with integrity, independence and objectivity;
- Be transparent and report publicly as required;
- Be professional and proportional in conducting work;
- Be mindful of the activities of inspectorates to prevent duplication;
- Take a constructive and positive approach to their work;
- Comply with data statutory and other relevant requirements relating to the security, transfer, holding, disclosure and disposal of information.

PSAA's Terms of Appointment includes several references to arrangements designed to support and reinforce the requirements relating to independence, which auditors must comply with. These are as follows:

- Auditors and senior members of their staff who are directly involved in the management, supervision or delivery of PSAA audit work should not take part in political activity.

- No member or employee of the firm should accept or hold an appointment as a member of an audited body whose auditor is, or is proposed to be, from the same firm. In addition, no member or employee of the firm should accept or hold such appointments at related bodies, such as those linked to the audited body through a strategic partnership.
- Audit staff are expected not to accept appointments as Governors at certain types of schools within the local authority.
- Auditors and their staff should not be employed in any capacity (whether paid or unpaid) by an audited body or other organisation providing services to an audited body whilst being employed by the firm.
- Auditors appointed by the PSAA should not accept engagements which involve commenting on the performance of other PSAA auditors on PSAA work without first consulting PSAA.
- Auditors are expected to comply with the Terms of Appointment policy for the Engagement Lead to be changed on a periodic basis.
- Audit suppliers are required to obtain the PSAA's written approval prior to changing any Engagement Lead in respect of each audited body.
- Certain other staff changes or appointments require positive action to be taken by Firms as set out in the Terms of Appointment.

### Confirmation statement

We confirm that as of March 2016 in our professional judgement, KPMG LLP is independent within the meaning of regulatory and professional requirements and the objectivity of the Engagement Lead and audit team is not impaired.





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This report is addressed to the Authority and has been prepared for the sole use of the Authority. We take no responsibility to any member of staff acting in their individual capacities, or to third parties. We draw your attention to the Statement of Responsibilities of auditors and audited bodies, which is available on Public Sector Audit Appointment's website ([www.psaa.co.uk](http://www.psaa.co.uk)).

External auditors do not act as a substitute for the audited body's own responsibility for putting in place proper arrangements to ensure that public 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.

We are committed to providing you with a high quality service. If you have any concerns or are dissatisfied with any part of KPMG's work, in the first instance you should contact Tony Crawley the engagement lead to the Authority, who will try to resolve your complaint. If you are dissatisfied with your response please contact the national lead partner for all of KPMG's work under our contract with Public Sector Audit Appointments Limited, Andrew Sayers, by email to [Andrew.Sayers@kpmg.co.uk](mailto:Andrew.Sayers@kpmg.co.uk). After this, if you are still dissatisfied with how your complaint has been handled you can access PSAA's complaints procedure by emailing [generalenquiries@psaa.co.uk](mailto:generalenquiries@psaa.co.uk) by telephoning 020 7072 7445 or by writing to Public Sector Audit Appointments Limited, 3rd Floor, Local Government House, Smith Square, London, SW1P 3HZ.

# Agenda Item 9



<b>Policy, Finance and Development Committee</b>	<b>Tuesday, 29 March 2016</b>	<b>Matter for Decision</b>
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**Title: Residents' Forum Budget Position and Allocation Requests**

**Author: Martin Hone - Interim Chief Financial Officer (Section 151 Officer)**

## 1. Introduction

This report is to update Members as to the financial position on the Local Residents Forums at 29 February 2016 and give an indication of the amount of unallocated balances.

## 2. Recommendations

- 2.1. That Members should note the position of the Forum's budget
- 2.2. That Members approve the allocation requested by the Forums as set out below.

## 3. Information

- 3.1. The attached report (Appendix 1) shows the financial position for the three Local Residents Forums at 29 February 2016. The report shows the actual spend at the end of February for each scheme approved by the forums. Once a scheme is complete any under spend on that scheme is placed back into the spending pot for future allocation. Members should take note of the current position when considering requests for funding.

<b>Forum</b>	<b>Original Allocation</b>	<b>Budgets Allocated</b>	<b>Unused Balances for Reallocation</b>	<b>Total Unallocated Funds</b>	<b>Spend to 29 February 2016</b>
	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>
Wigston	230,000	208,772	10,492	31,720	188,793
South Wigston	115,000	107,890	7,436	14,546	89,489
Oadby	230,000	203,052	11,494	38,442	177,932
	<b>575,000</b>	<b>519,714</b>	<b>29,422</b>	<b>84,708</b>	<b>456,214</b>

- 3.2. The Oadby Residents Forum met on the 1 March at which it was requested:

- 3.2.1 A bus shelter be erected on Howden Road, Oadby at a cost of £3,500;
- 3.2.2. That a grant of £1,380 be given to St Peters parish Church to fund the clock motor and winding mechanism; and
- 3.2.3. That two waste bins were purchased and placed in Coombe park at a total cost of £900.

- 3.3. The South Wigston Residents Forum met on the 8 March at which it was requested

that a plaque be purchased and installed at South Wigston Station.

**3.4.** The Wigston Residents Forum met on the 14 March, at which the following request were made:

**3.4.1.** That a seat be purchased and fitted in the bus shelter near to the health centre at a cost of £250; and

**3.4.2.** That a grant of £400 be given to the Wigston Civic Society to purchase four trees for planting in the Willow Avenue area.

**Email:** chris.raymakers@oadby-wigston.gov.uk

**Tel:** (0116) 257 2891

<b>Implications</b>	
Financial (CR)	Members should bear in mind the financial position of each Forum when considering whether to approve future schemes.
Legal (AC)	No significant implications.
Risk (CR)	No significant implications.
Equalities (AC)	No significant implications.

<b>SOUTH WIGSTON RESIDENT FORUM</b>	<b>Approved amount</b>	<b>Actual amount spent at 29/02/16</b>	<b>Completed projects - balance available for reallocation</b>	<b>Progress Report</b>
	<b>£</b>	<b>£</b>		
<b>Total allocated budget</b>	<b>115,000</b>	<b>115,000</b>		
<b>Approved spending</b>				
Christmas Decorations	17,000	17,974	974	Job Complete balance to be re-allocated
William Gunning Park Fence	10,000	5,050	(4,950)	Quotations came in less than budget. Job Complete
Fairfield Road Bus Shelters	9,160	9,060	(100)	Job Complete balance to be re-allocated
Gloucester Crescent Bus Shelters	2,000	400	(1,600)	Job Complete balance to be re-allocated
Planters/ Litter bins (Policy 31st March 09)	5,000	3,807	(1,193)	Job Complete balance to be re-allocated
Planters, hanging baskets etc particularly for Blaby Road (Forum 24/6/09)	10,000	0	0	Delayed due to other capital works. Will start shortly
Bus Shelters 2010-11	2,000	2,000	0	Job Complete
Information Boards 2010-11	1,600	1,600	0	Job Complete
Saffron Road bus shelter	2,500	2,460	(40)	Job Complete balance to be re-allocated
William Gunning Park additional equipment	5,000	4,400	(600)	Job Complete balance to be re-allocated
Christmas Capers 2012	4,000	4,000	0	Job Complete
Flagpole at Blaby Road Park (PFD July 13)	490	423	(67)	Job complete
S Wigston Chamber of Commerce to buy Christmas Lighting (PFD July 13)	12,500	12,640	140	Job Complete
S Wigston Chamber of Commerce for Christmas Capers (PFD July 13)	4,000	4,000	0	Job Complete
Rascals Mother and Toddler Group (PFD Feb 2014)	590	590	0	Job Complete
S Wigston Chamber of Commerce for Christmas Capers (PFD March 14)	4,000	4,000	0	Job Complete
Mobile Speed Awareness Sign (PFD Feb 15)	3,000	2,663	0	Job Complete
Grant to Community First Response (PFD March 15)	2,000	2,000	0	Job Complete
S Wigston Traders 2 events in Christmas Capers (PFD March 15)	4,200	4,200	0	Job Complete
S Wigston Traders Provision of Festive Lights (PFD March 15)	3,150	3,522	0	Job Complete
Grant to the Oadby and Wigston Lions (PFD March 15)	1,000	1,000	0	Job Complete
Grant to Family Foodies Project (PFD July 15)	2,000	2,000	0	Job Complete
South Wigston Market Traders Community Newsletter (PFD Oct 15)	500	0		
Phoenix Therapies Grant (PFD Oct 15)	1,700	1,700	0	
Civic Orchestra Commemorative Event (PFD Feb 16)	500	0	0	
<b>Total committed</b>	<b>107,890</b>	<b>89,489</b>	<b>(7,436)</b>	
<b>Completed projects - balance available for reallocation</b>	<b>7,436</b>			
<b>Funds remaining</b>	<b>14,546</b>			

<b>WIGSTON RESIDENT FORUM</b>	<b>Approved amount</b>	<b>Actual amount spent at 29/02/16</b>	<b>Completed projects - balance available for reallocation</b>	<b>Progress Report</b>
	<b>£</b>	<b>£</b>	<b>£</b>	
<b>Total allocated budget</b>	<b>230,000</b>	<b>230,000</b>		
<b>Approved spending</b>				
St. Wistan's Church Path	15,000	11,908	(3,092)	Quotations came in less than budget. Job Complete
Peace Memorial Park Interpretation Sign	4,000	2,852	(1,148)	Job Complete balance to be re-allocated
Christmas Decorations	30,000	30,000	0	Job Complete
Peace Memorial Park Bins	1,860	1,860	0	Job Complete
Provision of seats within Wigston Meadows - Junior Play Area	3,700		(3,700)	Project not going forward - money to be reallocated
All Saints Church	45,000	47,000	2,000	Job Complete balance to be re-allocated
Wigston Club for Young People	2,000	2,000	0	Job Complete
Additional Christmas Lighting - Wakes Road, etc	5,000	5,000	0	Job Complete
Bus Shelters - Rolleston Road	10,000	8,395	(1,605)	Job Complete balance to be re-allocated
Planters (Policy 31st March 09)	5,000	5,156	156	Job Complete
Room of Remembrance Re-rendering external walls (R&R 30th June 09)	6,252	3,807	(2,445)	Quotations came in less than budget. Job Complete balance to be re-allocated
Replacement CCTV camera at the opening of Bell Street (Forum 9/9/09)	1,000	1,000	0	Job Complete
Bell Street - Additional planters	6,000	6,000	0	Job Complete
Bus Shelters 2010-11	5,000	4,459	(541)	Job Complete balance to be re-allocated
Information Boards 2010-11	4,000	4,000	0	Job Complete
Horsewell Lane - Multiplay Unit	3,200	3,200	0	Job Complete
Horsewell Lane - Bench	5,820	5,820	0	Job Complete
Bell Street Public Art Work (PFD Cttee Sept 12/Jan 13)	600	600	0	Job Complete
Grant to Lions for Community Work (PFD July 13)	850	840	(10)	Job Complete
Mobile Vehicle Activated Sign (PFD July 13)	1,000	1,000	0	Job Complete
Grant to Wigston Traders for Purchase of Festive lights (PFD March 2013)	3,000	2,663		Job now commenced.
Grant to little Hill Residents Forum for Mowers (PFD Oct 13)	10,000	10,344	344	Job Complete
15 Grit Bins positioned around Wigston (PFD Feb 2014)	540	540	0	Job Complete
Friends of Peace Memorial Park (Peace Sculpture) (PFD Feb 2014)	3,200	2,800	(400)	Job Complete
Grant to Wigston Traders for Purchase of Festive lights (PFD March 2014)	750	750	0	Job Complete
Grit Bins to be placed in Mere Road area (PFD March 2014)	17,000	16,999	(1)	Job Complete
All Saints Church War Memorial(PFD 28 Oct 14)	600	600	0	Job Complete
Replacement Bus Shelter Seats (PFD 28 Oct 14)	4,000	0	0	
Grant to Community First Response (PFD March 15)	1,000	950	(50)	Job Complete
Grant to the Oadby and Wigston Lions (PFD March 15)	1,000	1,000	0	Job Complete
Grant to All Saints Church re Bell Tower Lighting (PFD March 15)	1,000	1,000	0	Job Complete
Bus Shelter with seating Paddock Street (PFD March 15)	1,200	0	0	
Grant to Friends of Brocks Hill (PFD July 15)	4,000	2,625	0	Order has been placed
Bus Shelter Horsewell Lane (PFD July 15)	1,000	1,000	0	Job Complete
Phoenix Therapies Grant for Bi-Polar Group (PFD Feb 16)	3,000	2,625	0	Order has been placed
Civic Orchestra Commemorative Event (PFD Feb 16)	1,700	0	0	
	500	0	0	
<b>Total committed</b>	<b>208,772</b>	<b>188,793</b>	<b>(10,492)</b>	
<b>Completed projects - unused balance available for reallocation</b>	<b>10,492</b>			
<b>Funds remaining</b>	<b>31,720</b>			

OADBY RESIDENT FORUM	Approved amount	Actual amount spent at 29/02/16	Completed projects - balance available for reallocation	Progress Report
	£	£	£	
<b>Total allocated budget</b>	<b>230,000</b>	<b>230,000</b>		
<b>Approved spending</b>				
Christmas Decorations	17,000	17,000	0	Job Complete
East Street Car Park Improvements	12,400	12,255	(145)	Job Complete balance to be re-allocated
Florence Wragg Way Bus Shelters	6,400	4,830	(1,570)	Job Complete balance to be re-allocated
Benches at Chestnut Avenue	900	150	(750)	Job Complete balance to be re-allocated
Wickham Road Artwork	575	430	(145)	Job Complete balance to be re-allocated
Sandhurst Street Car Park Wall	3,840	3,842	2	Job Complete
Bus Shelters Briar Walk, Burton's Corner, Ashtree Road	9,600	8,498	(1,102)	Job Complete balance to be re-allocated
Information Boards - Fludes Lane and Coombe Park	3,000	1,500	(1,500)	Job Complete balance to be re-allocated
Uplands Park Play Area	20,000	20,000	0	Job Complete
Coombe Park Play Equipment	4,500	4,426	(74)	Job Complete balance to be re-allocated
Brocks Hill Springer	900	792	(108)	Job Complete balance to be re-allocated
Rosemead Park See Saw & Safety Surface	4,500	2,092	(2,408)	Project Changed from Roundabout to See Saw to save money - Job Complete balance to be re-allocated
Benches for Rosemead Park, Uplands Park and Coombe Park	2,700	2,700	0	Job Complete
Bridge at Fludes Lane (P&R Aug 07)	3,000	2,530	(470)	Job Complete balance to be re-allocated
Litter Bins - Coombe Rise, A6 and Ashtree Road, London Road, Lowcroft Drive.	1,200	1,712	512	Job Complete
Iliffe Avenue Play Area	20,000	19,941	(59)	Job Complete balance to be re-allocated
Planters (Policy 31st March 09)	7,927	7,015	(912)	Job Complete balance to be re-allocated
Mobile CCTV camera (R&R 30th June 09)	11,000	11,000	0	Job Complete
Bridge over Brook at Coombe Park	3,000	1,150	(1,850)	Job Complete balance to be re-allocated
Installation of lockable gates at Coombe Park - Dec 09	1,398	1,446	48	Job Complete
Installation of two litter bins at Coombe Park- Dec 09	700	700	0	Job Complete
Chicken Ally development	6,000	6,584		Work to be started end of May 2016
Play Equipment (Uplands)	4,000	3,900	(100)	Job Complete balance to be re-allocated
Bus Shelters 2010-11	4,000	4,000	0	Job Complete
Information Boards 2010-11	3,200	3,200	0	Job Complete
Bus shelter seating (various sites)	1,020	990	(30)	Job Complete balance to be re-allocated
Bus Shelter - Severn Rd / Windrush Dv junction	4,000	2,860	(1,140)	Job Complete balance to be re-allocated
Adult play equipment surrounds - Uplands Park	2,000	0		Scheme on Hold - Pending assessment of ground conditions
St Peters Church Hall access ramp	5,000	5,000	0	Job Complete
War Memorial Refurbishment	3,000	3,084	84	Job Complete
Uplands Park footpaths	8,000	7,191		Tree planting to be done to complete scheme
Rosemead Drive Kerb Improvements	1,000	785	(215)	Job Complete balance to be re-allocated
Multi-Cultural Event contribution	500	0		Payment not yet been made
Grant to Oadby Traders to buy Festive Lights (PFD July 13)	5,000	5,480	480	Job Complete
Ellis Park Bench replacement 3 benches (PFD July 13)	1,950	1,950	0	Job Complete
Grant to Pride of the Borough for tree works (PFD Oct 13)	650	650	0	Job Complete
6 Grit Bins positioned around Oadby (PFD Oct 13)	1,200	1,200	0	Job Complete
Local Bus Stop - Briar Walk (PFD Feb 2014)	180	185	5	Job Complete
Grant Oadby Traders to buy Festive Lights (PFD July 14)	5,000	4,953	(47)	Job Complete
Grant to Oadby Stakeholders for WWI Commemorative Banner (PFD July 14, Oct 14 and Feb 15)	4,562	4,562	0	Job Complete
Bench at Burtons Courner (PFD Feb 15)	1,000	0	0	
Grant to Community First Response (PFD March 15)	2,000	2,000	0	Job Complete
Grant to Friends of Brocks Hill (PFD July 15)	1,000	1,000	0	Job Complete
Ellis Park drinking fountain/notice board refurbishment (PFD July 15)	1,800	0	0	Work to be carried out July 2016
Litter Bin placed on Uplands Park nr Manor Rd School (PFD July 15)	450	0	0	awaiting confirmation of exact location
Oadby Market Traders Festive Lights Grant (PFD Oct 15)	1,000	0	0	
Grant to Friends of Brocks Hill (PFD Feb 16)	1,000	0	0	
<b>Total committed</b>	<b>203,052</b>	<b>183,582</b>	<b>(11,494)</b>	
<b>Completed projects - unused balance available for reallocation</b>	<b>11,494</b>			
<b>Funds Remaining</b>	<b>38,442</b>			



<b>Policy, Finance and Development Committee</b>	<b>Tuesday, 29 March 2016</b>	<b>Matter for Information and Decision</b>
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**Title:** **Provision of Advice and Information Services in the Borough**

**Author:** **Stephen Glazebrook - Interim Community Services Manager**

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## 1. Introduction

The Council currently has an interim arrangement with the Citizen's Advice Bureau (CAB) and Helping Hands for the provision of advice services within the Borough. The arrangement which started on 4 January 2016 runs until the end of May 2016 and the purpose of this report is to establish a more long term solution which will provide a free advice and information service for residents within the Borough of Oadby and Wigston.

## 2. Recommendations

It is recommended that CAB and Helping Hands be appointed to provide advice and information services to the residents of Oadby and Wigston for a period of 3 years at a total cost of £55,000 per year commencing on 1 June 2016.

## 3. Information

- 3.1. The joint proposal from CAB and Helping Hands is attached at Appendix A.
- 3.2. A breakdown of the range of issues jointly dealt with by both organisations combined during the period 4 January until 11 March 2016 is attached at Appendix B. Members will note that a total of 1427 issues were dealt with involving 631 clients.
- 3.3. Due to the specialist nature of the services involved it is unlikely that there other organisations that can provide the range and breadth of services required locally and members should note that an exemption approval has been obtained to depart from the Contract Procedure Rules.
- 3.4. The proposal from CAB and Helping Hands is seeking a 3 year contract with a further one year extension but this cannot be granted as it is above the OJEU threshold for the provision of services which currently stands at £172,514.

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**Tel:** (0116) 257 2674

<b>Implications</b>	
Financial (CR)	CR1 - The costs can be accommodated within existing budgets.
Legal (AC)	CR6 - An exemption approval has been obtained to depart from the contract procedure rules.
Risk (SG)	CR4 - Providing a free comprehensive advice service will contribute to the well being of residents in the Borough

Equalities (AC)	It will provide equal access to advice services for all residents and translation services are available when necessary.
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## Joint Proposal by The Helping Hands Community Trust and Citizens Advice LeicesterShire to Provide Advice Services within the Borough of Oadby & Wigston

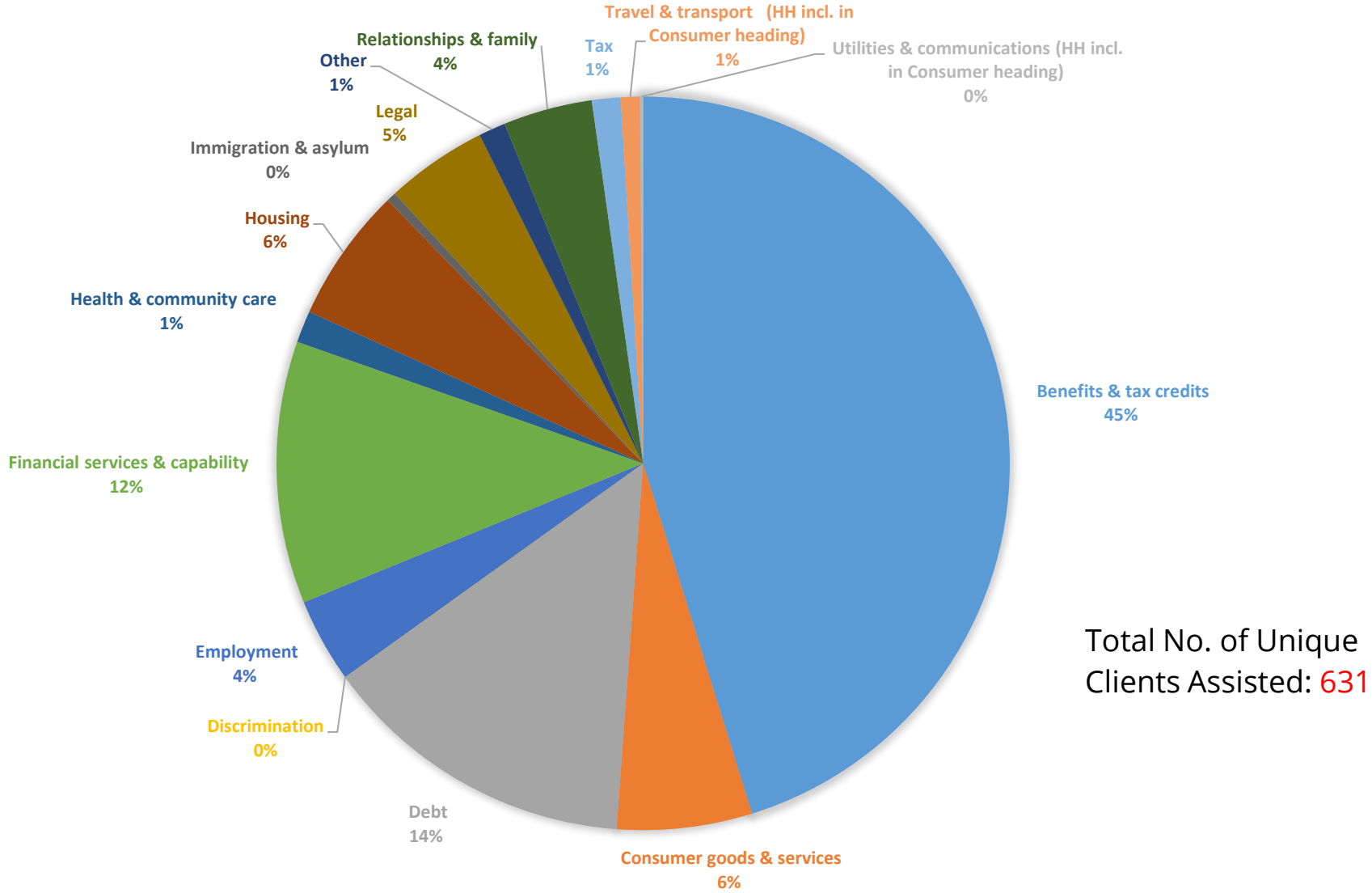
The Helping Hands Community Trust and Citizens Advice LeicesterShire have agreed to work collaboratively to provide a joint, free advice and information service for use by residents within the Borough of Oadby & Wigston, utilising and recognising the expertise and experience of both organisations.

### The proposal

- We will develop a single, branded service entitled '*Oadby & Wigston Advice Service*'
- We will provide an accessible advice and information service 9.00am - 4.30pm, 5 days per week across the Borough with provision to include the following support channels:
  - Face to face
  - Telephone
  - Online
  - Outreach Service
- We will work towards the introduction of the following, which will be jointly managed by both organisations:
  - 0300 telephone number (at local call rate)
  - Email address
  - Website
  - Online appointment diary
- We estimate that the *Oadby & Wigston Advice Service* will support **2000** individual clients per year with **4000** issues including, but not limited to, welfare benefits, employment, debt, housing, legal advice and immigration. The service will also provide support for appeals, tribunals and advocacy as well as offering access to complimentary specialist services such as Money Advice, Macmillan and Pension Wise.
- Governance will be provided through:
  - 6 weekly operational managers meetings
  - 6 monthly senior management meetings
  - Reporting mechanisms will be developed to enable joint quarterly reports and statistical returns to be published
  - Additional meetings will take place as and where required
- We are seeking a 3 year contract from 1<sup>st</sup> June 2016 at £55,000 per annum, split equally between both organisations
  - with an option to extend the terms of the contract by 1 year from 1<sup>st</sup> June 2019; and by a further 1 year from 1<sup>st</sup> June 2020

16<sup>th</sup> March 2016

BREAKDOWN OF THE 1427 ISSUES DEALT WITH BY HELPING HANDS COMMUNITY TRUST AND CITIZENS ADVICE LEICESTERSHIRE IN OADBY & WIGSTON(4TH JAN - 11TH MARCH 2016)



Total No. of Unique Clients Assisted: **631**



<p><b>Policy, Finance and Development Committee</b></p>	<p><b>Tuesday, 29 March 2016</b></p>	<p><b>Matter for Decision</b></p>
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**Title:** **Draft Health and Safety Policy**

**Author:** **Paul Evans - Health and Safety Officer**

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## **1. Introduction**

- 1.1. The Health and Safety Policy attached at Appendix A is a revision to the policy that was previously approved at this Committee on the 25 March 2014, and is a framework to ensure that the Council meets its statutory duties in relation to health and safety. An Equality Assessment has been carried out for this policy.
- 1.2. At this Committee's meeting on the 2 February 2015, the Progress Report by Internal Audit was considered and it referred to the importance of ensuring staff had access to this policy.
- 1.3. Information on health and safety training will also form part of this report.

## **2. Recommendations**

- 2.1. The Committee approves and adopts the Health and Safety policy.
- 2.2. The Committee notes the position on health and safety training.
- 2.3. The Director of Services be given delegated authority, in consultation with the Chair to make any changes to the policy in light of legislation or other changes in circumstances.

## **3. Information**

- 3.1. The Council has a statutory duty to ensure that its employees, the public (including visitors to the Council's facilities), councillors and contractors are provided with a safe working environment. The examination of hazards, analysis of risks and mitigations to control the risks will be developed from this policy.
- 3.2. The Policy clearly sets out the Council's Health and Safety Statement of intent, outlining what the Council intends to deliver in terms of health and safety, as well as identifying the roles and responsibilities at all levels and what is expected of them.
- 3.3. A Health and Safety Group was due to meet on the 23 March with representatives from all service areas, trade unions, property maintenance and the Health and Safety Officer. The items for discussion will be the Health and Safety Policy; fire evacuation; display screen assessment and accident statistics. The Group is to meet every three months.
- 3.4. A programme of health and safety training has been implemented within the last six months, consisting of:
  - Manual Handling – for relevant staff;

- Sharps training – for relevant staff;
- Fire Warden training was carried out for a number of volunteer staff in September 2015 and also Fire Awareness for potential Fire Warden;
- First Aid at Work training was carried out in October 2015 for Customer Services staff and also refresher training in January 2016;
- A revised health and safety induction programme has been introduced in February 2016; and
- Display Screen Assessments have commenced in a number of service areas.

Further training in the form of health and safety awareness and risk assessments will be programmed in for this financial year.

- 3.5.** The Fire Evacuation plan for this building is currently being finalised. The development of this plan will result in new and revised signage, evacuation routes to be displayed in offices and corridors, and a new assembly point to be constructed near the rear car park. The evacuation plans for other council facilities will then follow on.

There was a fire drill on the 2 March with the evacuation proceeding relatively smoothly. Work is in progress on the use of the in/out boards and making them easier to operate.

- 3.6.** This policy, when approved, will be available on the Councils intranet and also in hard copy for staff without access to email facilities.
- 3.7.** It is the intention that the Statement will be reviewed annually and at that time a report will be made on the performance of health and safety at the Council. This report will cover data monitoring such as accident statistics, and other areas of work such as safety audits, fire safety, progress with e-learning and other training initiatives.

**Background Documents:-**

Report to Policy Finance and Development Committee of 25 March 2014  
 Health and Safety at Work etc Act 1974  
 Managing for Health and Safety (HSG65)

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<b>Implications</b>	
Financial (CR)	No significant implications.
Legal (PE)	Breach of Health and Safety Regulations is a criminal offence and can result in the Council being prosecuted by the Health and Safety Executive and if found guilty being fined or individuals imprisoned.
Risk (PE)	CR4 - Reputational damage. CR6 - Reputation governance. CR7 - Failure to respond to a significant incident.
Equalities (PE)	No significant implications.

# OADBY & WIGSTON BOROUGH COUNCIL HEALTH & SAFETY POLICY MARCH 2016

DRAFT

TU approval	GMB: Unison:
Committee approval	Policy Finance and Development Committee
Author	Paul Evans
EIA	Completed



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# PART 1: Health and Safety Statement

## The Council will:

- Eliminate reduce and control the risks associated with our premises and undertakings (i.e. any activity/task or responsibility carried out by the Council whatsoever). We will provide suitable and sufficient resources to meet the requirements of current health and safety legislation.
- Monitor health and safety performance regularly and will revise our health and safety policy as required. We will seek to improve the health, safety and welfare of our employees, the public (including visitors to our premises), members and contractors through a system of continuous improvement.
- Co-operate with any persons on our premises to ensure they are aware of any risks to their staff and other people posed by our activities. That we are aware of any risks to our employees, the public (including visitors to our premises), members and contractors from their activities, and that we comply with the relevant requirements of fire legislation.
- Carry out suitable and sufficient assessments of the risks arising from our premises, substances and undertakings. We will implement such actions as are required to reduce the risks to an acceptable level, with regard to relevant legislation. Risk assessments will be reviewed regularly and revised, as required, and specific risk assessments will be conducted.
- Consult with our staff, as appropriate, on issues relating to health and safety.
- Ensure that all work equipment is maintained in a safe and efficient condition, with regular checks and inspections, including statutory examination, provide personal protective equipment as and when required
- Provide suitable induction training for all new employees, visitors, members and contractors
- Ensure that the premises are maintained in a safe and efficient condition, with respect to health, safety and welfare.
- Provide suitable and sufficient training for our employees to enable them to work safely and effectively, and to ensure they are competent and confident in the work they carry out.
- Ensure everyone, whilst at work, has a duty to take reasonable care of their own health and safety, to take reasonable care of the health and safety of others who may be affected by their acts or omissions; to co-operate so that the employees can all comply with our statutory provisions; not to misuse or interfere with anything provided in the interests of health and safety.

Mark Hall  
Chief Executive .....

John Boyce  
Leader of the Council .....

Dated: .....

On behalf of Oadby and Wigston Borough Council ("the Council")

## PART 2: Introduction

The Council recognises that health and safety are management responsibilities that rank equally with professional and service responsibilities.

The purpose of this policy is to provide a framework around which a safe and healthy working environment can be maintained by good working practices concerning health and safety of the employees, public (including visitors to our premises), members and contractors within the Council.

Whilst legislation exists to enforce good standards of health and safety, all employees, the public (including visitors to our premises), members and contractors, should recognise their responsibility and actively ensure that all health and safety policies are adhered to.

## PART 3: Roles and Responsibilities:

### **Elected Members of the Council**

It is the responsibility of Elected Members to ensure that:

- Health and safety risks and considerations are assessed during decision making
- That suitable resources and strategic direction are available to discharge the Council's health and safety responsibilities.
- Monitor, via reports, the overall performance of the Council's health and safety management systems.
- Fully approve, support and endorse health and safety policy.

### **Chief Executive Officer (CEO)**

The Chief Executive Officer will take overall responsibility for health & safety across the Council, and lead in setting corporate policy and direction.

### **Senior Management Team (SMT)**

The functions and activities of the Council are in practice divided into a number of main services, managed by the Senior Management Team (SMT) which consists of the Chief Executive, Chief Finance Officer and Director of Services.



Responsibility for health and safety matters including the effective implementation of the Council's Health and Safety Policy lies with the Senior Management Team. Responsibility includes consideration of reports; ensuring arrangements are in place to ensure safe working conditions and avoidance of hazards, positive health & safety culture and the implementation of policy

It is the responsibility of Senior Management Team to ensure that:

- Strategic direction and oversight of corporate health and safety strategies and policies are made
- Robust health and safety management systems, arrangements and procedures exist in each service area.
- Employees are made aware of the contents of this health and safety policy, including amendments, as and when they are made, and have access to a copy of this policy.
- Ensure that adequate funds and other resources are allocated to enable the effective implementation of all legislative requirements.
- Ensure so far as is reasonably practicable, that Contractors and Sub Contractors working for or on behalf of the Council meet the minimum legislative standards as set out in accordance with the Health & Safety Policy.
- The health and safety policy is reviewed regularly and revised as necessary.
- Heads of Service, Line Managers and other supervisory staff are fully aware of their health and safety responsibilities, including those described within this health and safety policy.
- Heads of Service, Line Managers and other supervisory staff have sufficient training and experience to discharge their health and safety responsibilities.
- Heads of Service, Line Managers and other supervisory staff are kept up to date with respect to relevant health and safety legislation.
- Adequate consultation and communication takes place with the workforce on all matters concerning health and safety.
- Suitable and sufficient training is identified and provided for all employees.
- Suitable and sufficient assessments of the risks arising from the premises and the undertakings of the Council are completed by competent persons and are reviewed regularly and revised as necessary.
- Competent persons are appointed to provide health and safety assistance and advice.

### **Heads of Service**

Heads of Services are responsible for ensuring the requirements of the Health and Safety Policy are implemented within their particular Service Areas. In particular the Heads of Service will ensure to: -

- Support SMT in meeting their health and safety responsibilities and show clear leadership and commitment to health and safety, in order to promote a positive health and safety culture.

- Recognise their responsibilities delegated from SMT to maintain, so far as is reasonably practicable, the highest standards with regard to the health, safety and welfare of all Council employees and others that may be affected by the Council's activities.
- Ensure that sufficient funds and other resources are allocated to enable the effective implementation of all legislative requirements.
- Ensure the development of health and safety documentation for their service that meet, as a minimum, the requirements of Health & Safety law, as well as corporate policies and standards. In particular Heads of Service will ensure suitable and sufficient risk assessments are carried out for all operations and activities within their control, to ensure that risk is adequately managed.
- Ensure that health and safety performance is monitored throughout their Service Area and strive for continual improvement
- Recognise their responsibility to provide a safe and healthy working environment for employees and visitors to Council premises, taking all reasonable steps, and in particular ensuring the provision of: -
  - Safe articles, plant, tools, equipment and systems of work.
  - Safe arrangements are in place for the use, handling, storage and transportation of substances.
  - Safe premises used by employees and members of the public that does not present a hazard to the users or occupants.
  - Sufficient information, instruction, training and supervision are provided to all employees.
  - Safe access and egress to/from the workplace.
  - Adequate health and welfare facilities on all sites where the Council is operating or has an undertaking.
- When procuring Contractors and Sub Contractors for Services for which they are responsible, ensure so far as is reasonably practicable that those persons working for or on behalf of the Council meet the minimum legislative and corporate standards as set out in accordance with the Health and Safety Policy
- Ensure that all new technology, plant, tools and equipment are safe to use, and all articles and substances are managed in a responsible manner to minimise the risk of injury and/or ill health, and implement any control measures necessary to manage that risk.
- Ensure that adequate health and safety related training is provided for their employees, arranged in liaison with the Health and Safety Officer.
- Ensure that work activities are regular reviewed in line with the Council requirements and that all reasonably practicable measures to manage risk are implemented.

- Make arrangements for or follow corporate requirements for health surveillance initiatives wherever necessary.
- Ensure adequate consultation and communication takes place with the workforce on all matters concerning health and safety, which includes the involvement of recognised Trade Union and non-Unionised Employees.
- Suitable arrangements are made for contact with external organisations such as the emergency services.
- Details of all accidents, ill health, near misses and employee safety concerns are recorded and are investigated as appropriate. And all notifiable/reportable accidents, diseases and dangerous occurrences (RIDDOR) are reported to the relevant enforcing authority.
- Suitable arrangements are made for first aid, including appointment of first aiders, provision of first aid kits, etc.
- Suitable arrangements are made for fire, including appointment of fire wardens, provision of fire training, equipment, etc.
- Health and safety monitoring records are completed in the required frequencies by relevant employees.

#### **Team Leaders and other Supervisory Staff**

Day-to-day responsibility for managing health and safety and producing suitable risk assessments lies with Unit & line managers, supervisors or any other person who organises work for others under their control. In particular supervisory staff will:-

- Recognise their responsibilities delegated from their Head of Service to maintain, so far as is reasonably practicable, the highest standards with regard to the health, safety and welfare of all Council employees.
- Implement the Council's policy for the promotion of health, safety and welfare throughout their unit or team.
- Co-ordinate resources and ensure that suitable and sufficient risk assessments have been undertaken and reviewed on a regular basis, either by themselves or by nominated competent persons for all workplaces and work activities together with the implementation of safe systems of work, where necessary. Line managers must also ensure that the findings of all risk assessments are communicated to their employees.
- Ensure all employees are provided with the guidance notes and codes of safe working practice relating to their work together with adequate instruction, training and supervision.

- Recognise their responsibility, in conjunction with their Head of Service, to provide a safe and healthy working environment for employees paying particular attention to: -
  - Safe articles, plant, tools, equipment and systems of work.
  - Safe arrangements are in place for the use, handling, storage and transportation of substances.
  - Sufficient information, instruction, training and supervision to enable employees under their management to avoid hazards and contribute positively to their own health and safety at work.
  - Adequate health and welfare facilities are available on all sites where the Council is operating or has an undertaking.
- When procuring Contractors and Sub Contractors for day to day services/part services and/or for contracts procured on behalf of another service provider, ensure so far as is reasonably practicable that those contractors meet the legislative standards set in the Council's Health and Safety policy
- Ensure that all new technology, plant, tools and equipment are safe to use, all articles and substances are managed in a responsible manner to minimise the risk of ill health, and identify and implement any control measures necessary to manage that risk.
- Report all accidents/incidents involving their employees or others injured as a result of their activities, as well as 'near-misses' involving dangerous or defective plant, tools, articles or equipment, to the Health and Safety Officer, on the appropriate form. In the event of an accident, Supervisors are responsible for conducting suitable accident/incident investigation following any accident in a timely manner and reviewing relevant risk assessments to ensure adequate preventative action is taken to prevent any reoccurrence.
- Assist their Head of Service to identify and arrange any training necessary to achieve an improving safety standard, and to maintain awareness amongst all levels of management and employees of their respective obligations and responsibilities under the Health and Safety at Work etc. Act 1974.

## **Employees**

All employees have an important part to play in protecting themselves and others. Health and safety responsibilities are based on legal obligations and employees need to make themselves aware of how this impacts on them in the workplace. Any breaches of health and safety arrangements will be subject to the Council's formal employment procedures. In particular all employees will:-

- Ensure that they understand the contents of the Council's Health and Safety Policy, a copy of which is available to all employees, and accept health and safety as an essential part of their work.
- Be aware of and undertake the duty of care imposed upon himself/herself to have due regard for the safety of themselves and others affected by their actions, under the Health and Safety at Work etc Act 1974.
- Keep all tools, plant, equipment and protective clothing issued for personal use in good condition and utilise it in conjunction with other safety controls in accordance with the information, instruction and training provided.
- Immediately report all accidents/incidents, as well as 'near-misses' involving dangerous or defective plant, tools, articles or equipment, to a manager or the Health and Safety Officer, provide written witness statements where necessary and co-operate with any accident/incident investigation.
- Develop a personal concern for safety, be diligent in accident prevention, fire prevention and hazard spotting, and set an example to new workers in the adopted safe systems of working practice
- Follow any laid down emergency procedures in the event of serious imminent dangers, such as emergency evacuations.
- Suggest ways of eliminating hazards and improving health and safety by reporting concerns and suggestions to their Head of Service, Line Manager or Health and Safety Officer.
- Ensure attendance at any training or learning event concerning health and safety and in particular instructions given for the use of equipment and other resources

## **Health and Safety Officer (H&SO)**

The Health and Safety Officer will be responsible for the distribution of information for effective management systems on health and safety matters. This professional role is essentially advisory and is intended to assist the Council, SMT, Managers, partners and employees to carry out their responsibilities under the Health and Safety at Work etc Act 1974.

The Health and Safety Officer will also be responsible for monitoring and reviewing the arrangements for the management of corporate health, safety and welfare matters as follows: -

- To act as the lead officer for all internal health and safety issues
- To compile, develop and maintain compliant health and safety policies and procedures and ensure effective communication of these to the workforce.
- To promote a positive health and safety culture and to secure the effective implementation of policy.
- To plan for health and safety; setting objectives, priorities and performance standards for consideration by SMT. This will include an annual Performance Report and Corporate Health and Safety Action Plan.
- To review, monitor and take action in relation to health and safety performance and to effectively audit systems in order to ensure that health and safety management arrangements are in operation.
- To ensure accident and incident reporting procedures are maintained, results analysed and reported; undertake or support internal investigations when necessary and reports sent to the HSE or other body as required by legislation
- To ensure emergency procedures are in place for First Aid and Fire and ensure that evacuation drills are practised.
- To liaise with external bodies e.g. Fire Authority, Health and Safety Executive, Police, Trade Unions and other Local Authorities for the effective implementation of the Council's Health and Safety Policy.
- To inform management and employees of any relevant changes in legislation and ensure health and safety documents are updated.
- To liaise with Human Resources and the Council's Occupational Health providers as necessary
- To arrange, develop and deliver health and safety training as necessary.
- To assist the appropriate Head of Service in ensuring that Contractors with whom the Council is involved meet the required standards laid down in health and safety legislation and the Council's Health and Safety Policy.

## **All Persons**

It is the responsibility of all persons i.e. visitors, partners, contractors to ensure:

- To take reasonable care of their own health and safety and that of others affected by their acts and omissions.
- Not to interfere with or misuse, intentionally or recklessly, anything provided in the interests of health and safety.

- To co-operate with the Council (or its representatives) so that it may fulfil its legal duties.
- To set a good example in relation to health and safety.
- To act in accordance with any specialist training received (such as first aid, fire safety, etc.).
- To report to management any dangerous work situation and any shortcomings in our safety arrangements so that appropriate remedial action can be undertaken.
- To take health and safety and duty of care extremely seriously.

## PART 4: Arrangements

### **Training:**

In order to effectively manage health and safety, the Council will give high priority to ensure employees at all levels are provided with information, instruction and training. The Council is committed to make available resources to support the training requirements of an employee in health and safety matters.

Line Managers will ensure that service area and individual training needs will be identified following staff appraisals risk assessments and action plans.

Line Managers will ensure any related training that has been identified in the completed risk assessment, will be arranged as soon as practicable.

If any further health and safety related training has been identified the Health and Safety Officer must be consulted..

### **Policies, Procedures and Guidelines:**

Policies, Procedures and Guidelines will be made available to all employees and contractors of the Council.

### **Risk Assessments:**

There is a legal requirement for risk assessments to be conducted and it is the responsibility of each Head of Service in consultation with the Health and Safety Officer to ensure these assessments are carried out. Such assessments will identify significant risks and specify the control measures required. Where the risks have been identified as significant, then the assessment must be made in writing.

Notwithstanding the need for general risk assessments, specific regulations require an assessment to be made. With some examples given below:

- Work environments, activities and equipment.
- Control of Substances Hazardous to Health (COSHH).
- Manual handling.
- First aid needs.
- Vibration.
- Display screen equipment.

- Use of personal protective equipment.
- Noise.
- Fire.
- Working at height
- Persons at special risk
- Asbestos
- Lone working
- Driving at work

All assessments must be of a suitable and sufficient nature and are therefore required to be conducted by competent persons, from within the workplace, who are aware of the hazards involved in the tasks or workplaces and can call upon specialist advice when faced with unfamiliar risks. These specific assessments will form subject policies that will be appended to this Policy

Assessments will be reviewed every two years and, where necessary, modified at planned regular intervals dependent on the nature of risks encountered. The assessments will also be reviewed and modified at other times,:

- following changes in legislation.
- where changes are made to the way the task is done.
- following an incident or near miss.

## PART 5: Monitoring and Review

This policy will be reviewed by the Health and Safety Group, SMT and the Policy, Finance and Development Committee on an annual basis.

~~~





## Equality Assessment

### Part 1 - Initial screening

|                                 |          |                                                                      |
|---------------------------------|----------|----------------------------------------------------------------------|
| <b>Name of Policy/Function:</b> |          | This is <b>new</b>                                                   |
|                                 | <b>Y</b> | This is a <b>change</b> to an existing policy                        |
|                                 |          | This is an <b>existing</b> policy, Function, not previously assessed |
|                                 |          | This is an existing policy/function for <b>review</b>                |

|                          |               |
|--------------------------|---------------|
| <b>Date of screening</b> | 08 March 2016 |
|--------------------------|---------------|

#### 1. Briefly describe its aims & objectives

To implement a Health and Safety Policy that will ensure the health, safety, welfare and security of employees, employees of other organisations working with the Council and the general public. To identify, eliminate, reduce and control the risks associated with our facilities and undertakings.

The Council will provide suitable and sufficient resources to meet the requirements of Health and Safety legislation.

Health and Safety performance will be monitored regularly and the Policy will be reviewed and revised as required.

#### 2. Are there external considerations? (Legislation/government directive etc)

Health and Safety at Work etc Act 1974

Managing for Health and Safety

Approved codes of practice, statutory instruments and associated legislation

#### 3. Who are the stakeholders and what are their interests?

All Council employees, all employees of other organisations working with and for the Council, councillors and the general public.

All stakeholders have an interest in their own and others health, safety, welfare and security.

#### 4. What outcomes do we want to achieve and for whom?

To prevent accidents and cases of work-related ill health by managing the health and safety of risks in the workplace.

To maintain safe and healthy working conditions and to provide and maintain plant, equipment and machinery, and ensure safe storage/use of substances.

To engage and consult with employees on health and safety.

**5. Has any consultation/research been carried out?**

The draft Health and Safety Policy will be discussed at the Health and Safety Group and any comments will be considered for inclusion in the document.

A Health and Safety Policy is a legal requirement under the Health and Safety at Work Act, and this revision takes into account previous versions and good practice.

**6. Are there any concerns at this stage which indicate the possibility of**

**inequalities/negative impacts?** (Consider and identify any evidence you have -equality data relating to usage and satisfaction levels, complaints, comments, research, outcomes of review, issues raised at previous consultations, known inequalities) If so please provide details.

**No**

**7. Could a particular group be affected differently in either a negative or positive way?**

**(Positive – It could benefit, Negative – It could disadvantage, Neutral – neither positive nor negative impact or Not sure?)**

|                                    | Type of impact, reason & any evidence                                                                                                                                                   |
|------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Disability                         | <b>Positive, a risk assessment of the workplace must be carried out for employees with disabilities and any areas identified that are additional requirements would be provided</b>     |
| Race (including Gypsy & Traveller) | <b>Neutral</b>                                                                                                                                                                          |
| Age                                | <b>Positive, a risk assessment of the workplace must be carried out for employees who are young persons and any areas identified that are additional requirements would be provided</b> |
| Gender Reassignment                | <b>Neutral</b>                                                                                                                                                                          |
| Sex                                | <b>Neutral</b>                                                                                                                                                                          |
| Sexual Orientation                 | <b>Neutral</b>                                                                                                                                                                          |
| Religion/Belief                    | <b>Neutral</b>                                                                                                                                                                          |
| Marriage and Civil Partnership     | <b>Neutral</b>                                                                                                                                                                          |

|                         |                                                                                                                                                                                               |
|-------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Pregnancy and Maternity | <b>Positive, a risk assessment of the workplace must be carried out for employees who are pregnant or returning from maternity leave and any actions would be taken to address any issues</b> |
|-------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

**8. Could other socio-economic groups be affected e.g. carers, ex-offenders, low incomes, homeless?**

**No**

**9. Are there any human rights implications?**

Yes/No (if yes please explain)  
**Yes, the Council has a duty of care to ensure that the workplace is a safe and healthy environment**

**10. Is there an opportunity to promote equality and/or good community relations?**

Yes/No (if yes how will this be done?)  
**No**

**11. If you have indicated a negative impact for any group is that impact legal (not discriminatory under anti-discrimination legislation)?**

Yes/No (please explain)  
**No**

**12. Is any part of this policy/service to be carried out wholly or partly by contractors?**

Yes/No  
**Yes**

**13. Is a Part 2 full Equality Assessment required?**

|                         |
|-------------------------|
| Yes/No<br><br><b>No</b> |
|-------------------------|

**14. Date by which a Part 2 full Equality Assessment is to be completed with actions.**

|     |
|-----|
| N/A |
|-----|

**Please note that you should proceed to a Part 2, the full Equality Impact Assessment if you have identified actual, or the potential to cause, adverse impact or discrimination against different groups in the community.**

We are satisfied that an initial screening has been carried out and a full equality assessment is / is not required\* (please delete as appropriate).

Completed by Paul Evans, Health and Safety Officer  
(Policy/Function/Report written)

Date 08 March 2016

Countersigned by .....Date.....  
(Head of Service)

Screened by:.....Date:.....

Please forward an electronic copy to:veronika.quintyne@oadby-wigston.gov.uk  
(Community Engagement Officer)

Equality Assessments shall be published on the Council website with the relevant and appropriate document upon which the equality assessment has been undertaken.



## Equality Assessment

### Part 2 – Full Equality Assessment

**15. Summarise the likely negative impacts for relevant groups identified in the screening process** (sections 7-8, start to think about possible alternatives)

**16. What consultation/involvement activities have taken place or will need to take place with groups/individuals from each relevant equality group?**

**17. What other research has been or will need to be carried out to help you with the assessment?**

**18. Results of research/consultation** (what does it tell you about the negative impacts?)

## 19. Conclusions & Action Planning

You should explain what and how negative impacts have been reduced or removed and how positive impacts are to be improved or included.

Your final decisions or recommendations may include making immediate changes, stopping or proceeding with a new policy, justifying a decision or adding objectives/targets to the service development plan/equality scheme (long term changes).

You could use the template below to record your conclusions/actions. You should also make reference to any additional monitoring or research that is still required, or was not retrievable at the point of assessment, but will be required in subsequent reviews or in order to complete actions.

| Equality Group                                                                | Details of possible disadvantage or negative impact | Action to be taken to address the disadvantage or negative impact | Lead Officer | Timescale |
|-------------------------------------------------------------------------------|-----------------------------------------------------|-------------------------------------------------------------------|--------------|-----------|
| Age                                                                           |                                                     |                                                                   |              |           |
| Disability (physical, visual, hearing, learning, disabilities, mental health) |                                                     |                                                                   |              |           |
| Gender/ Transgender                                                           |                                                     |                                                                   |              |           |
| Marriage and Civil Partnership                                                |                                                     |                                                                   |              |           |
| Race/ ethnicity                                                               |                                                     |                                                                   |              |           |
| Religion or belief                                                            |                                                     |                                                                   |              |           |
| Sexual orientation                                                            |                                                     |                                                                   |              |           |
| Other socially excluded groups (low literacy, socio-economic etc)             |                                                     |                                                                   |              |           |
| Other factors that may lead to inequality                                     |                                                     |                                                                   |              |           |

**20. How will you monitor, evaluate and check the policy in the future?**

**21. When will a review take place?**

**In accordance with the Policy document, where appropriate or subject to legislative change).**

**Please complete**

We are satisfied that a full assessment has been carried out.

Completed by .....Date.....  
( Policy/Function/Report written)

Countersigned by .....Date.....  
(*Head of Service*)

Screened by:.....Date:.....  
(*Community Engagement Officer*)

Please forward an electronic copy to: [veronika.quintyne@oadby-wigston.gov.uk](mailto:veronika.quintyne@oadby-wigston.gov.uk)  
(*Community Engagement Officer*)

Equality Assessments shall be published on the Council website with the relevant and appropriate document upon which the equality assessment has been undertaken.

# Agenda Item 12



|                                                  |                               |                               |
|--------------------------------------------------|-------------------------------|-------------------------------|
| <b>Policy, Finance and Development Committee</b> | <b>Tuesday, 29 March 2016</b> | <b>Matter for Information</b> |
|--------------------------------------------------|-------------------------------|-------------------------------|

**Title:** Equality Assessments (EA's)

**Author:** Veronika Quintyne – Community Engagement Officer

---

## 1. Introduction

The purpose of this report is to provide Members with information regarding Equality Assessments (EA's).

## 2. Recommendations

That Members note the contents of the report regarding how to access EA's.

## 3. Information

### 3.1. What is an Equality Assessment?

An Equality Assessment is a tool for identifying the potential impact of the council's strategies, policies, services plans and functions on its customers and staff.

Equality Assessment's can anticipate the equality consequences of particular policy/service initiatives and ensure that as far as possible, any negative consequences for a particular group or sector of the community are eliminated, minimised or counterbalanced by other measures.

Equality Assessments are therefore essentially about service improvements and can help staff provide and deliver excellent services to customers by making sure that these reflect the needs of the community.

A toolkit has been produced to help managers undertake comprehensive and robust Equality Assessments of all their core services or functions, plans, strategies, policies, procedures and practices.

Please note that throughout this document the term „policy/service“ will be used to abbreviate for “functions, strategies, policies, plans, procedures and practices”.

**Equality Assessments are a relevant tool to evaluating the service we delivered to meet customer' need.**

The Equality Act 2010 brings together the three existing equality duties on race, disability and gender into new single Equality Duty. The new single Equality Duty covers the 9 protected characteristics of:

- Race;
- Gender;



- Disability;
- Age;
- Sexual Orientation;
- Religion/Belief;
- Pregnancy and maternity explicitly; and
- Gender re-assignment.

The Equality Duty requires all public authorities to have “**due regard**” to:

- Eliminate unlawful discrimination;
- Advance equality of opportunity; and
- Foster good relations between people who share a protected characteristic and those who do not.

The Council must assess which of its policies and services are relevant to the various equality strands, and set out how they will monitor policies/services for any adverse impact on equality.

For this we use an Equality Assessment form which includes an Initial Screening an EA Action Plan section has been circulated to all staff responsible for carrying out equality assessments.

A Toolkit is also used to assess whether the policies that guide our work, the procedures we operate and the day-to-day working practices we have developed are likely to have a positive or negative impact on different groups within Oadby and Wigston. Having made this assessment officers can take action to **prevent** direct and indirect discrimination and **promote** positive community relations.

A selection of relevant Equality Assessments from 2009 to 2015 are posted on the Council’s website.( see the link attached).A schedule of Equality Assessments is also regularly updated by the Council’s Community Engagement Officer. Access to this is by request. Not all Equality Assessments are required to be published under Equality Guidance. They are accessible by request.

In carrying out Equality Assessments good practice includes an assessment of needs and impact on other communities of interest which include (but is not exclusive to):

- gypsy and traveller communities;
- people with caring responsibilities;
- asylum seeker and refugee communities;
- migrant workers and other new arrivals;
- looked after children;
- deprived or disadvantaged communities (i.e. inequalities in health or education); and
- social inclusion and community cohesion.

### **3.2. Who is responsible for carrying out Equality Assessments?**

EA’s should be an integral part of policy development and in line with the statutory requirement, the Council must conduct EA’s as soon as a relevant new policy, function or service is considered. The ownership and responsibility for an EA lies at Head of

Service level. Service Managers and frontline staff are important in the assessment process as they will not only be involved in implementing the necessary actions identified following an assessment but also helping to integrate and mainstream equalities into service planning.

EA's will help us drive forward the equalities agenda locally and with our partners. The benefits of equality assessments include:

- Helping to identify whether we are excluding certain groups from our policies/ services; helping to identify any unmet need
- Helping to identify direct or indirect discrimination;
- Assisting us in considering alternative policies or measures or other ways of providing a service that might address any adverse impact;
- Helping to mainstream equality into our policies and practices; and
- Helping us to target resources more effectively.

A list of all Equality Assessments published by the Council can be found at the following link below.

[https://www.oadby-wigston.gov.uk/pages/equality\\_impact\\_assessments](https://www.oadby-wigston.gov.uk/pages/equality_impact_assessments)

There are a total of 23 EA's that have been completed against Policies and published. Further completed EA's will be published shortly. New EA's will be completed and published as per the guidance outlined in this report.

Most notably, where a substantial change has taken place with regard to a change of policy, service, planning etc it should undergo an initial review and in some cases a full review.

To support this three staff training days are planned for 2016. These are focussed on the authors of Equality Assessments.

The dates are: April 5<sup>th</sup>, April 7<sup>th</sup> and April 14<sup>th</sup> 2016.

#### **Background Documents:-**

The Equality and Human Rights Commission Information Guide on Equality Impact Assessments:

[http://www.equalityhumanrights.com/sites/default/files/documents/PSD/equality\\_impact\\_assessment\\_guidance\\_quick-start\\_guide.pdf](http://www.equalityhumanrights.com/sites/default/files/documents/PSD/equality_impact_assessment_guidance_quick-start_guide.pdf)

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| <b>Implications</b> |                              |
|---------------------|------------------------------|
| Financial (CR)      | No significant implications. |
| Legal (AC)          | No significant implications. |
| Risk (AC)           | No significant implications. |

|                 |                             |
|-----------------|-----------------------------|
| Equalities (VQ) | As contained in the report. |
|-----------------|-----------------------------|

# Agenda Item 13



|                                                  |                               |                                            |
|--------------------------------------------------|-------------------------------|--------------------------------------------|
| <b>Policy, Finance and Development Committee</b> | <b>Tuesday, 29 March 2016</b> | <b>Matter for Information and Decision</b> |
|--------------------------------------------------|-------------------------------|--------------------------------------------|

**Title:** **Social Media Policy**

**Author:** **Anne Court – Director of Services and Monitoring Officer**

---

## **1. Introduction**

This report follows on from the report that was before this committee on 27 October 2015 which gave an over view of a proposed social media policy and plan. A resolution by members to approve the proposals within that as a basis for a social media policy was deferred. The reason for the deferment was for clarification particularly on how the Council can build a twitter audience and integration with other Council social media platforms. The main objective of this report is now with the additional information (at paragraphs 3.3 and 3.6) provided, to seek approval to initiate the consultant's proposed project as detailed below.

Mark Vigil of Big Sound Marketing will be attending the meeting to provide any further explanation and a proposed plan of action for implementation.

## **2. Recommendations**

That Members approve the proposals within the report as the basis for a social media policy.

## **3. Information**

In 2015 at a presentation on how the increased use of social media can benefit the Council, the following were identified by members as key elements of any proposed policy:-

- Strong endorsement that social media would be an important part of external communications moving forward; and
- Emphasis on the importance the required safeguards and the need to create operational documents for staff and members on acceptable and recommended usage.

### **3.1. Why Social Media?**

- To raise awareness for Oadby & Wigston Borough Council, allowing them to engage with the local residents whilst create a platform on which the two can communicate with each other to maximise all aspects of the Borough including safety, inclusion and community spirit.
- Create an online presence with a clear strategy, on which residents of all ages and backgrounds can communicate with the council to improve their community.
- Connect with the local people through social media, making this one of the primary tools through which to engage with, hear from and communicate any news to residents and other stakeholders.

- This can be taken forward as part of the ongoing Customer Services Transformation project.

### **3.2. The Council's Current Online Presence**

Unlike press releases and blog posts, social media has the added bonus of updating residents as and when things happen, such as events, closures and good news. The Council's current use social media in the following ways:

- OWBC Twitter account: A successful Twitter account with 593 followers to date. The account covers mostly local news and updates within the Borough, such as car park closures and road blocks. The account also engages the online audience in Council initiatives; and
- Brocks Hill Country Park's official Facebook Page: The official page covers the surrounding area, predominantly highlighting local events. With 1,874 likes, the Facebook account is receiving a good standard of engagement.

### **3.3. Compatibility With Other Council Platforms**

As set out in 3.2 above, there are areas of the Council or its affiliates who are already on social media so the question needs answering how integration will work across the various social media platforms. It is proposed:-

- Brocks Hill Country Park page should continue being managed as it currently is , by Brock's Hill direct;
- This gives an opportunity for the Council to share its content on its own media platform;
- The Youth Council Twitter activity should continue as it currently run
- Members of the Youth Council will not have access to the Council's Twitter account; and
- It will be at the discretion of the Council's social media users to share Youth Council content as appropriate through the Council's main pages.

### **3.4. Objectives for Developing Social Media**

- Create a clear and precise tone of voice for the social media accounts which will reflect how the residents want their Council to be; Confident, approachable, understanding, focussed on the residents.
- Nominate a specific representative (or group of representatives) to post on behalf of the Council.
- Promote the Council and share positive news stories, upcoming events and Council initiatives.
- Focus on customer service. Engage with residents and promote a two way channel for them to contact the Council and comment on certain issues, events and opinions.
- Share content such as; news stories, photos, videos, newsletters, announcements, events etc.

### **3.5. Suggest Social Media Platforms**

- Facebook
- LinkedIn
- Twitter

### **3.6. Building a social media audience**

A number of techniques can be employed to build a strong media audience. These will be included as part of the training of social media representatives within the Council as to how they can support audience building techniques through their own activity:-

#### **Twitter**

- A high quality profile
- Regular posting of high quality engaging content
- Engagement campaign: asking questions, encouraging retweets and interactions for example by using the right hashtags which our audience care about and a targeted following

#### **Facebook**

- Initially paid advertising can be a cost effective and targeted way of quickly building a relevant audience
- A high quality profile
- Use of appropriate hashtags (#'s) (effective to a lesser extent than Twitter but still considered worthwhile)
- Regular posting of high quality engaging content
- Engagement campaigns: asking questions, encouraging, for example, "likes" and "shares"

#### **LinkedIn**

- Promoting the page internally
- Offering LinkedIn workshops to those interested in making more of their profile and LinkedIn functionality
- Posting relevant content and encouraging Council employees to "like" and "share" this content

### **3.7. Safeguarding and Social Media Policies**

- Social media will need to align with the existing acceptable use policy from both an IT and HR point of view.
- As one of the first steps of the social media project, the existing acceptable use policy will be reviewed to ensure it has a robust policies in place to prevent misuse and inappropriate use of social media.

### **3.8. Reporting and Measurement**

- Central to the success of social media is regular measurement and reporting. Regular statistics to show engagement levels, audience numbers and suggested actions on how to improve moving forward will be provided.

**Email:** anne.court1@oadby-wigston.gov.uk

**Tel:** (0116) 257 2602

| <b>Implications</b> |                                                                                                                                |
|---------------------|--------------------------------------------------------------------------------------------------------------------------------|
| Financial (MHo)     | No significant financial implications known at present, which can if necessary be met through the management of change reserve |
| Legal (AC)          | No significant implications.                                                                                                   |
| Risk (AC)           | CR4 - Reputational damage if misused.                                                                                          |
| Equalities (AC)     | No significant implications.                                                                                                   |

# Agenda Item 14



**Policy, Finance and  
Development  
Committee**

**Tuesday, 29 March  
2016**

**Matter for Information  
and Decision**

**Title: Update On Open Spaces and Land Matters Across the Borough**

**Author: Anne Court – Director of Services and Monitoring Officer**

---

## **1. Introduction**

This report updates Members on the position with some ongoing matters relating to Open Spaces and other areas of land across the Borough.

## **2. Recommendations**

That Members:

- 2.1.** Note the completion of the adoption of the open space play area at Florence Wragg way, Oadby as shown on the attached appendix A and the adoption of a further piece of open space at Hill Field, Oadby as shown on the attached appendix B.
- 2.2.** Note the position with the sale of the Sports Ground at Leicester Road, Countesthorpe to Blaby District Council.
- 2.3.** Note the receipt of £15,000 for the grant of rights of access over the Council owned access strip as shown on the attached appendix C for the construction and ongoing operation of the Solar Farm at Leicester Road, Countesthorpe.

## **3. Information**

### **3.1. Open spaces at Florence Wragg Way and Hill Field, Oadby**

Further to the report to this Committee on 27 October 2015, the transfer by way of gift from the developer to the Council has been completed. Earlier in July last year it was identified through the updating of the Council's land ownership records that this area of land, which the Council maintains together with the play area within it had not been formally transferred into the Council's ownership, following completion of the housing development some years ago.

As the above transfer was underway, a further small area of public open space in the centre of the housing development at Hill Field, Oadby, (within a very short distance of the above) was identified as an area to be maintained by the Council for consistency of maintenance. The developer, David Wilson Homes has agreed to gift the piece of land to the Council.

### **3.2. Sports Ground, Leicester Road, Countesthorpe**

The transfer of this land to Blaby District Council as previously approved by this Committee will be completed in the next few weeks. The transfer is in the sum of £200,000 with an overage provision included within the contract that the Council receives 50% of the development value should the land be developed during the next



50 years.

### 3.3. Grant of Rights of Access to Land at Leicester Road, Countesthorpe at the rear of the Archery Field

The area of privately owned land at the rear of the Archery Field and adjacent to the above Sports Ground on Leicester Road, Countesthorpe is being developed as a Solar Farm, following the grant of planning permission in November 2015. The access strip off Leicester Road is within the Council's ownership, a Deed of Grant of Rights to the developer has been entered into for site access for the construction and maintenance of the Solar Farm for the sum of £15,000.

#### Background Documents:-

Report to Policy, Finance and Development Committee of 22 July 2014

Report to Policy, Finance and Development Committee of 27 October 2015

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**Tel:** (0116) 257 2602


| Implications    |                                                                                           |
|-----------------|-------------------------------------------------------------------------------------------|
| Financial (CR)  | The revenue costs of ongoing maintenance are already included in the General Fund budget. |
| Legal (AC)      | No significant implications.                                                              |
| Risk (AC)       | CR5 - Effective utilisation of assets.                                                    |
| Equalities (AC) | No significant implications.                                                              |

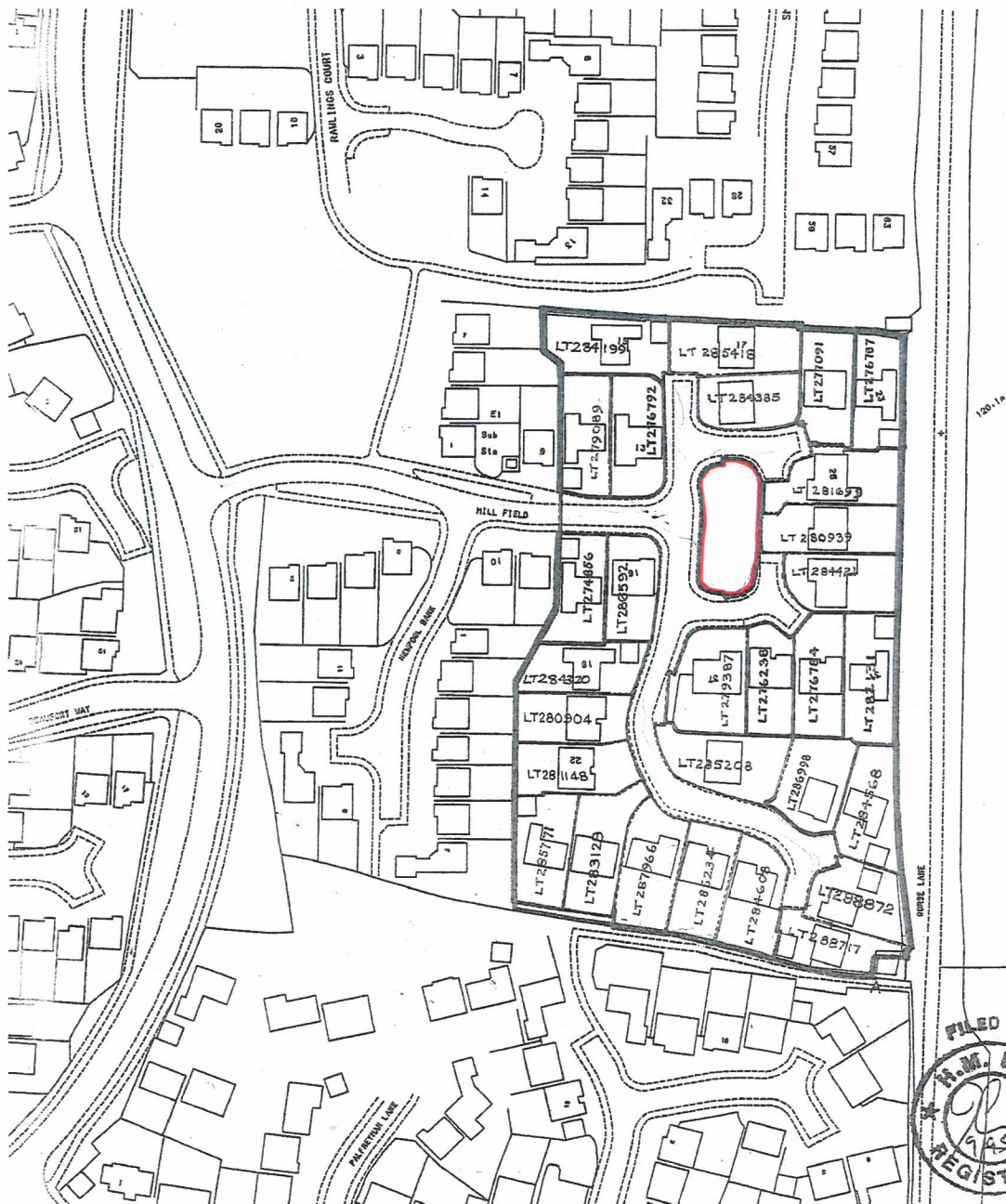


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# APPENDIX B

|                                   |                            |                                 |                        |                                                                                     |
|-----------------------------------|----------------------------|---------------------------------|------------------------|-------------------------------------------------------------------------------------|
| H.M. LAND REGISTRY                |                            | TITLE NUMBER<br><b>LT267106</b> |                        |  |
| ORDNANCE SURVEY<br>PLAN REFERENCE | SP6499                     | SECTION                         | D                      |                                                                                     |
| COUNTY LEICESTERSHIRE             | DISTRICT OADBY AND WIGSTON |                                 | © Crown Copyright 1995 |                                                                                     |

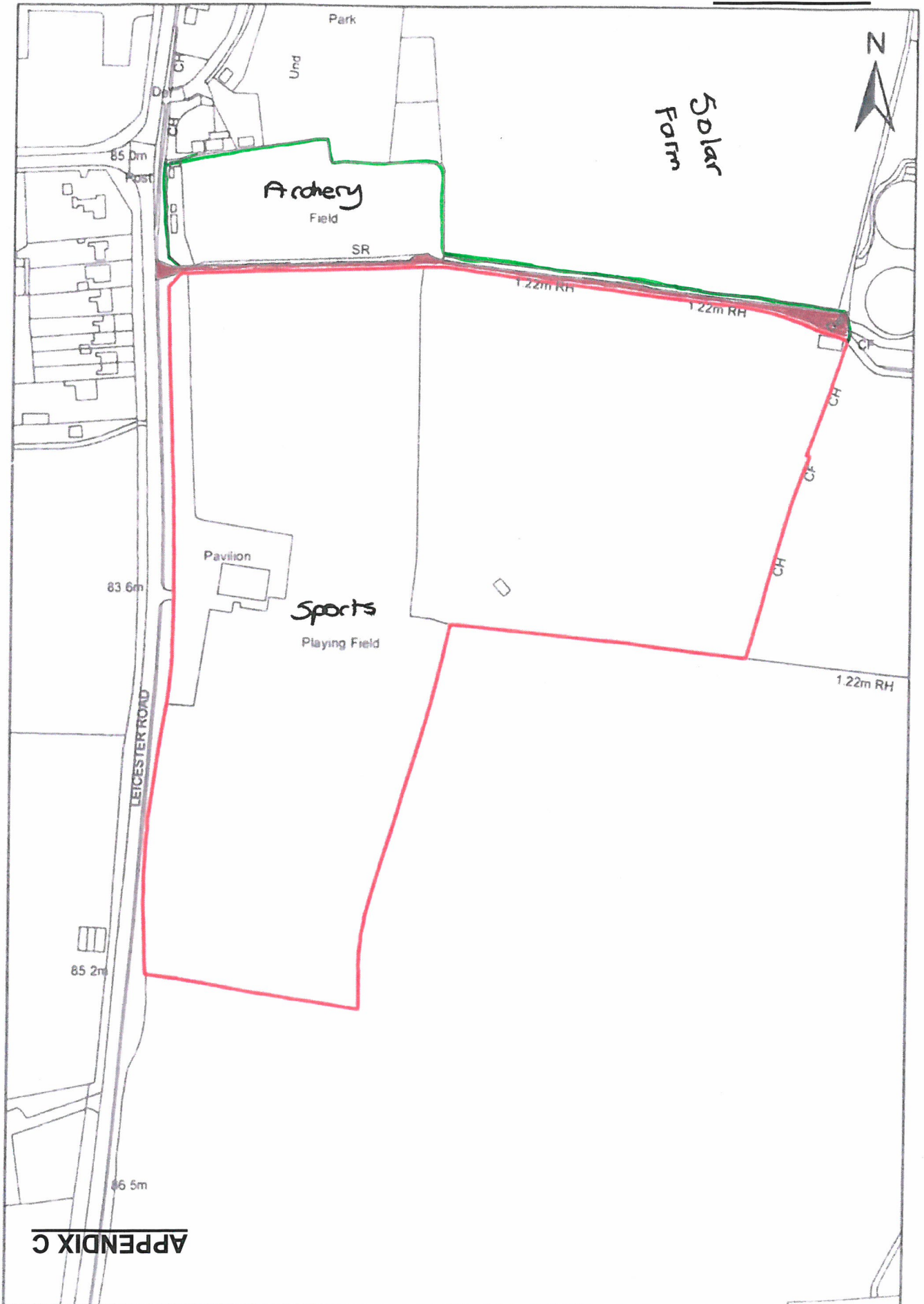


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**APPENDIX B**



Meadows Sports Ground, Leicester Road, Counties **APPENDIX C**



**APPENDIX C**



|                                                          |                                   |                            |
|----------------------------------------------------------|-----------------------------------|----------------------------|
| <b>Policy, Finance and<br/>Development<br/>Committee</b> | <b>Tuesday, 29 March<br/>2016</b> | <b>Matter for Decision</b> |
|----------------------------------------------------------|-----------------------------------|----------------------------|

**Title:** **Melton Local Plan – Emerging Options (Draft Plan)**

**Author:** **Anne Court - Director of Services and Monitoring Officer  
Adrian Thorpe - Planning Policy and Regeneration Manager**

---

## 1. Introduction

Melton Borough Council has prepared a draft Local Plan covering the 2011 to 2036. This report sets out the proposed comments of Oadby and Wigston Borough Council on the draft Local Plan.

## 2. Recommendations

It is recommended that Members note the comments set out in paragraphs 3.1 to 3.6 of this report as Oadby and Wigston Borough Council's formal response to Melton Borough Council's consultation on its Local Plan.

## 3. Information

- 3.1 The Borough of Melton is located within the Leicester and Leicestershire Housing Market Area and as such Melton Borough Council and Oadby and Wigston Borough Council have a duty to co-operate over the preparation of each other's Local Plan under the 'Duty to Co-operate'.
- 3.2 The Melton Local Plan Development Strategy makes provision for the development of at least 6,125 homes between 2011 and 2036. This is consistent with the Objectively Assessed Need for the Borough of Melton of 245 dwellings per annum as identified in the 2014 Strategic Housing Market Assessment. It is also consistent with the Memorandum of Understanding that has been signed by all Council's in the Leicester and Leicestershire Housing Market Area on this matter.
- 3.3 The Development Strategy also makes provision for 51 hectares of employment land between 2011 and 2036. It distributes housing and employment growth across the Borough with the Melton Mowbray Main Urban Area identified as the priority location for growth. This is supplemented by more limited amounts of growth in the more rural parts of the Borough.
- 3.4 **Policy SS2 Development Strategy is consistent with the evidence base relating to the wider Leicester and Leicestershire Housing Market Area and as such, is supported by Oadby and Wigston Borough Council.**
- 3.5 The Local Plan includes a policy that demonstrates Melton Borough Council's commitment to meeting its requirements for housing, employment and other development and infrastructure. It states that where monitoring identifies significant and persistent shortfalls in the delivery of housing and employment, poor spatial distribution or there are changes to the objectively assessed need for development, the Council will consider an early review of the Local Plan to identify alternative

development sites.

- 3.6** Whilst monitoring is one factor that might identify such issues, changes to the wider Housing Market Area evidence base, the Leicester and Leicestershire Strategy Growth Plan and/or the ability of other planning authorities in the Housing Market Area to meet their own Objectively Assessed Need could also lead to a position whereby Melton Borough Council would need to consider an early review of its Local Plan. **Therefore, Oadby and Wigston Borough Council would wish to see these factors identified in *Policy SS6 – Alternative Development Strategies and Local Plan Review*, in addition to monitoring.**

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**Tel:** (0116) 257 2645

| <b>Implications</b> |                                                                                                                                                                                                                                                                               |
|---------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Financial (CR)      | No significant implications.                                                                                                                                                                                                                                                  |
| Legal (AC)          | No significant implications.                                                                                                                                                                                                                                                  |
| Risk (AT)           | CR3 Political Dynamics - The Duty to Co-operate requires all Council's in the Leicester and Leicestershire Housing Market Area to co-operate over strategic planning matters. The Strategic Planning Group and Member Advisory Group are in place to facilitate this process. |
| Equalities (AC)     | No significant implications.                                                                                                                                                                                                                                                  |



|                                                          |                                   |                            |
|----------------------------------------------------------|-----------------------------------|----------------------------|
| <b>Policy, Finance and<br/>Development<br/>Committee</b> | <b>Tuesday, 29 March<br/>2016</b> | <b>Matter for Decision</b> |
|----------------------------------------------------------|-----------------------------------|----------------------------|

**Title:** **North West Leicestershire District Council Gypsy and Traveller Site Allocation Consultation Document**

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## 1. Introduction

- 1.1 North West Leicestershire has published a Consultation Paper in relation to the preparation of a new Gypsy and Traveller Site Allocation Development Plan Document for North West Leicestershire district.

## 2. Recommendations

- 2.1 It is recommended that Members note the comments set out in paragraph 3.3 of this report as Oadby and Wigston Borough Council's formal response to the Gypsy and Traveller Site Allocation Consultation Paper.

## 3. Information

- 3.1 North West Leicestershire District Council is preparing a new Local Plan. The Plan will cover the period to 2031. North West Leicestershire, like all local planning authorities, has a duty to assess, identify and plan to meet the district's housing needs including those of Gypsies, Travellers and Travelling Showpeople. They intend to plan for the needs of Gypsies, Travellers and Travelling Showpeople through the production of a specific Gypsy and Traveller Site Allocations Development Plan Document (DPD) separate from the Local Plan. The DPD will identify new sites for Gypsies, Travellers and Travelling Showpeople in a sustainable way with the aim of balancing the accommodation needs of these groups and the protection of the natural and built environment. The consultation document seeks views on how they might best meet these needs.
- 3.2 The approach North West Leicestershire has set out in the consultation document follows the guidance contained in Planning Policy for Traveller Sites (DCLG August 2015). North West Leicestershire is using the Leicestershire, Leicester and Rutland Gypsy and Traveller Needs Assessment Refresh (2013) as the evidence for the need for Gypsy and Traveller pitches and Showpeople plots in the district between 2012 to 2031. However, they acknowledge that in light of the revised definition of "traveller" and Travelling showpeople" in Planning Policy for Traveller Sites the assessment of the number of pitches and plots required could change. They make reference to the collaborative work currently being undertaken with other authorities in the Leicester and Leicestershire Housing Market Area to update pitch and plot target evidence. This would see the production of a new Gypsy and Traveller Needs Assessment for the majority of the Housing Market Area (Hinckley and Bosworth is undertaking its own study). Oadby and Wigston Borough Council is one of the authority partners in this evidence gathering study.

**3.3** Oadby and Wigston Borough Council acknowledge and support North West Leicestershire District Council's present proposed approach to meeting the needs of Gypsies, Travellers and Travelling Showpeople as it reflects current national guidance. However, once new evidence of local needs emerges through the production of a new Gypsy and Traveller Needs Assessment, North West Leicestershire District Council will need to plan for the appropriate level of need as evidenced by this new study. It should be explicitly stated in paragraph 3.3 of North West Leicestershire District Council's consultation document that it will use the updated evidence study to inform the pitch and plot targets to be contained in the proposed Gypsy and Traveller Site Allocation Development Plan Document.

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| <b>Implications</b> |                                                                                                                                                                                                                                                                               |
|---------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Financial (CR)      | No significant implications.                                                                                                                                                                                                                                                  |
| Legal (AC)          | No significant implications.                                                                                                                                                                                                                                                  |
| Risk (AT)           | CR3 Political Dynamics – The Duty to Co-operate requires all Council's in the Leicester and Leicestershire Housing Market Area to co-operate over strategic planning matters. The Strategic Planning Group and Member Advisory Group are in place to facilitate this process. |
| Equalities (AC)     | No significant implications.                                                                                                                                                                                                                                                  |