



TO COUNCILLOR:

E R Barr
L A Bentley
G A Boulter
J W Boyce
Mrs K M Chalk

M L Darr
B Dave
R F Eaton
D A Gamble (Vice-Chair)
J Kaufman

Mrs L Kaufman
Dr T K Khong
Mrs S B Morris (Chair)
R E R Morris

Dear Sir or Madam

I hereby **SUMMON** you to attend a meeting of the **POLICY, FINANCE AND DEVELOPMENT COMMITTEE** to be held at the **WALTER CHARLES CENTRE, WIGSTON ROAD, OADBY** on **TUESDAY, 1 MAY 2018** at **7.00 PM** for the transaction of the business set out in the Agenda below.

Yours faithfully

Council Offices
Wigston
20 April 2018

Mrs Anne E Court
Chief Executive (Interim)

<u>ITEM NO.</u>	<u>AGENDA</u>	<u>PAGE NO'S</u>
1.	Apologies for Absence	
2.	Appointment of Substitutes To appoint substitute Members in accordance with Rule 4 of Part 4 of the Constitution.	
3.	Declarations of Interest Members are reminded that any declaration of interest should be made having regard to the Members' Code of Conduct. In particular, Members must make clear the nature of the interest and whether it is 'pecuniary' or 'non-pecuniary'.	
4.	Minutes of the Previous Meeting held on 06 February 2018 To read, confirm and sign the minutes of the previous meeting in accordance with Rule 17 of Part 4 of the Constitution.	1 - 8
5.	Action List Arising from the Meeting held on 06 February 2018 To read, confirm and note the Action List arising from the previous meeting.	9 - 11
6.	Petitions and Deputations To receive any Petitions and, or, Deputations in accordance with Rule 24 of Part	



4 of the Constitution.

7. External Audit Plan 2017/18	12 - 39
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For more information, please contact:

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**MINUTES OF THE MEETING OF THE POLICY, FINANCE AND DEVELOPMENT COMMITTEE
HELD AT THE COUNCIL OFFICES, STATION ROAD, WIGSTON ON TUESDAY, 6 FEBRUARY
2018 COMMENCING AT 7.05 PM**

PRESENT

Councillor Mrs S B Morris (Chair)
Councillor D A Gamble (Vice Chair)

COUNCILLORS

E R Barr
L A Bentley
G A Boulter
J W Boyce
M L Darr
B Dave
R F Eaton
J Kaufman
Mrs L Kaufman
Dr T K Khong
R E R Morris

OFFICERS IN ATTENDANCE

S J Ball (Senior Democratic Services Officer / Legal Officer)
D M Gill (Head of Law & Governance / Monitoring Officer)
S Hinds (Director of Finance & Transformation / Section 151 Officer)
C Raymakers (Head of Finance, Revenues and Benefits)
J Stemp (Community Property Manager)

OTHERS IN ATTENDANCE

A Persaud (Audit Manager, CW Audit Services)

50. APOLOGIES FOR ABSENCE

An apology for absence was received from Councillors Mrs K M Chalk and R E Fahey.

51. APPOINTMENT OF SUBSTITUTES

None.

52. DECLARATIONS OF INTEREST

None.

53. READING, CONFIRMATION AND SIGNING OF MINUTES

53a. MINUTES OF THE PREVIOUS MEETING HELD ON 31 OCTOBER 2017

By affirmation of the meeting, it was

RESOLVED THAT:

**The minutes of the previous meeting of the Committee held on 31 October 2017
be taken as read, confirmed and signed.**

53b. MINUTES OF THE EXTRAORDINARY MEETING HELD ON 23 JANUARY 2018

By affirmation of the meeting, it was

RESOLVED THAT:

The minutes of the extraordinary meeting of the Committee held on 23 January 2018 be taken as read, confirmed and signed.

54. ACTION LIST ARISING FROM THE MEETING HELD ON 31 OCTOBER 2017

By affirmation of the meeting, it was

RESOLVED THAT:

The Action List be noted by Members.

55. PETITIONS AND DEPUTATIONS

None.

56. INTERNAL AUDIT PROGRESS REPORT 2017/18

The Committee gave consideration to the report and appendix (at pages 13 - 27) as jointly-delivered and summarised by the Director of Finance & Transformation / Section 151 Officer and the Audit Manager at CW Audit Services, Mr Anand Persaud, which should be read together with these minutes as a composite document.

The Community Property Manager provided the Committee with a further verbal update in relation to the 'high risk' outstanding issues marked '16/17 Housing Repairs and Maintenance' and '16/17 Housing Void Property Management' of the Appendix (at pages 20 - 22). A summary of the up-to-date position is filled together with these printed minutes at Annex A. In brief, it was reported that further progress had been made in those areas and of those issues verbally reported on at the previous meeting in October 2017, these had either been fully completed or were still subject to work in progress.

The Committee noted with concern that the systems currently in place to manage and monitor the budgets for void properties provided less than robust controls in terms of consistency or means to identify value for money. Officers advised that in line with the objective requirements set out in the Contract Procedures Rules, future levels of control would be greatly improved with the introduction of an appropriately benchmarked Schedule of Rates and ad-hoc reviews of rates by Officers. It was also recommended by Members that the periodic testing of local hourly rates and the publishing of Officers' decisions would also help to improve budgetary outcomes.

It was raised by Members and advised upon by Officers that in respect of reviews of repair works undertaken, due to limited resources and capacity, follow-up inspections were either limited to larger and, or, high-value jobs or otherwise triggered on a risk-basis following information or feedback received. It was said that contractors were called back to address any known defects and that works undertaken were subject to quality guarantees. For smaller repair jobs, Members recommended that customer satisfaction forms be circulated by the contractor and before the works commenced.

The Committee noted that no response had been recorded against the 'high risk' outstanding issue marked '14/15 Street Cleansing and Grounds Maintenance' (at page 19)

and requested that this issue either be resolved by, or an update be provided for and the responsible Officer attend, the next meeting of the Committee.

The Committee also heard that budgetary and other financial training sessions were to be arranged for Members and Officers, particularly those in second-tier management and upwards, via the Council's e-learning platform, Learning Pool.

By affirmation of the meeting, it was

UNANIMOUSLY RESOLVED THAT:

The content of the Progress Report for 2017/18 be noted by Members.

57. INTERNAL AUDIT OPERATIONAL PLAN 2018/19

The Committee gave consideration to the report and appendix (at pages 28 - 44) as jointly-delivered and summarised by the Director of Finance & Transformation / Section 151 Officer and the Audit Manager at CW Audit Services, Mr Anand Persaud, which should be read together with these minutes as a composite document.

It was raised by the Committee and advised upon by Officers that the days allocated to each audit assignment for 2018/19 were estimations and, therefore, subject to +/- variation once the work requirements for each had been scoped out accordingly.

It was also highlighted that the number of days allocated did not necessarily indicate the level of inherent risk involved, but an estimate of the time it would physically take to complete each assignment according to its work demands, and that "risks" were adjudged against controls if such controls were found not to be operational.

By affirmation of the meeting, it was

UNANIMOUSLY RESOLVED THAT:

The Operational Plan for 2018/19 be approved by Members.

58. MEDIUM TERM FINANCIAL STRATEGY (MTFS) UPDATE

The Committee gave consideration to the report (at pages 45 - 59) as delivered and summarised by the Director of Finance & Transformation / Section 151 Officer which should be read together with these minutes as a composite document.

The Committee noted the uncertainties faced by the Council and ability to forward-plan its finances beyond 2019/20 given the unprecedented financial pressures posed by central government and the constant ebb and flow of funding assumptions. It acknowledged that budget-setting was now, in practice, a year-round process of near constant test, challenge and refinement throughout which the authority was open to consider any and all available options so to keep its financial position viable.

The Committee requested that a communication apolitically-framed be released to inform residents about the Council's financial settlement and budget implications.

The Committee also recognised the significance of the forward-looking investments made by of the Council, and the multiple existing and emerging projects and offerings which had, and were to contribute to, a more balanced economic outlook. This was said to also include the transformation of Customer Services, the Council's Strategic Asset Review, the

investment at Parklands Leisure Centre and Brocks Hill Visitor Centre and the wholly-owned housing company, Bushloe Developments.

In respect of the possible creation of parishes with the Borough, it was expressed by Members that although the collection of parish precepts was a potential and additional income stream, the threat to residents and to local democracy would be profound should, for whatever reason, the Council itself experience service failure.

In respect of New Homes Bonuses (NHB's), it was reported that given a slow direction of growth within the Borough, the MTFs was predicated on worst-case scenario planning regarding NHB's. However, it was hopeful that, once the Council's emerging Local Plan and Strategic Growth Plan for Leicester/shire were adopted in the near future, subsequent development would come online and positively impact on budgets.

It was raised by Members and accepted by Officers that the cleaning contract would not, owing to operational reasons, deliver the savings anticipated and that questions surrounding its variation to enable the scaling back of contract requirements and, commensurately, the contract price remained unanswered. As such, an update was to be circulated to all Members regarding the contract's capacity to be varied and the Internal Auditor was to carry out a review of the letting and monitoring of the same.

The Committee further noted that whilst a 98.5% Council Tax collection rate target was laudable, and although based on existing collection performance, being overly optimistic could result in a detrimental effect and, therefore, should be raised as a discussion point at the next meeting of County Treasurers and kept under review.

By affirmation of the meeting, it was

UNANIMOUSLY RESOLVED THAT:

- (i) Subject to a further report to Full Council on 22 February 2018, the overall draft Medium Term Financial Strategy and budget for 2018/19 and 2019/20 be recommended in principle to Council;**
- (ii) The levels of Reserves (as set out at paragraph 11 of the report) be approved; and**
- (iii) The provisional outturn figure for 2017/18 be noted.**

59. COMMITTEE BUDGET REVENUE AND CAPITAL REVIEW (APR - NOV 2017)

The Committee gave consideration to the report and appendix (at pages 60 - 64) as delivered and summarised by the Head of Finance, Revenues and Benefits which should be read together with these minutes as a composite document.

The Committee requested that the sizeable £350k budget allocation in respect of the Compulsory Purchase Order at 41 Canal Street, South Wigston, which was understood to be based on historical figurework, be revisited and reviewed.

The Committee further requested that, in view of the ongoing technical issues besetting the same at various meetings, the amplified speech system and hardware installed in the Council Chamber be retested and repaired or, if necessary, replaced.

The Committee was also advised that the forthcoming internal reconfiguration of the reception area at Bushloe House was to accommodate two new meeting rooms and a new interview room, the latter to comply with the requirements of the Police and Criminal Evidence Act 1984 for the holding of recorded interviews under caution.

By affirmation of the meeting, it was

UNANIMOUSLY RESOLVED THAT:

The current position be noted by Members.

60. CAPITAL PROGRAMME 2018/19

The Committee gave consideration to the report (at pages 65 - 68) as delivered and summarised by the Head of Finance, Revenues and Benefits which should be read together with these minutes as a composite document.

The Committee was advised that Members' approval was sought in only relation to the indicative amount(s) of funding as outlined in the report and that those capital schemes that had not yet been approved by the relevant Committee would be subject to Committee approval before spend could commence. It was also stated that each capital scheme to be reported to Full Council on 22 February would feature the capital cost and a brief narrative explanation of the scheme, highlighting which Council priorities they supported and any ongoing revenue implications, and that the programme for 2018/19 was to be monitored via a Project Management Board, and reported to Committee on a quarterly basis, following industry best practice.

It was raised by Members and accepted by Officers that the £135k recorded against 'Ervins Lock - Pedestrian Footbridge' at paragraph 3.4 of the report (at page 66) represented the entire project allocation as part of the growth expenditure account, which included the carry forwards from previous financial years. A breakdown of the financials regarding the £250k allocation recorded against 'Blaby Road Park Pavilion', and whether this included the £30k grand contribution made to the Elliott Hall Youth and Community Centre in South Wigston, was also requested by Councillor R E R Morris and was to be brought to the meeting of the Full Council on 22 February.

It was further raised by Members and ensured by Officers that clarification in respect of an approved project for the installation of outdoor gym equipment at Uplands Park in Oadby, regarding details as to whether the allocation was to be funded as part of the capital programme, contributions secured under section 106 Agreement or the Oadby Residents' Forum budget, would be provided to the Chair of the Committee, the Chair of the Forum and Councillor J Kaufman outside the meeting accordingly.

The Committee also requested that all future reports include a laypersons breakdown of indicative project funding and information identifying the source(s) of the funding.

It was moved by the Chair, seconded by Councillor J W Boyce and

UNANIMOUSLY RESOLVED THAT:

- (i) The indicative funding for schemes put forward for 2018/19 (as outlined in paragraph 3.4 of the report) be approved; and**
- (ii) The indicative for Schemes to be carried forward from 2017/18 (as outlined in paragraph 3.5 of the report) be approved.**

61. COLLECTION AND WRITE-OFF OF MISCELLANEOUS DEBTORS

The Committee gave consideration to the report (at pages 69 - 71) as delivered and summarised by the Head of Finance, Revenues and Benefits which should be read together with these minutes as a composite document.

By affirmation of the meeting, it was

UNANIMOUSLY RESOLVED THAT:

The contents of the report be noted by Members.

62. RESIDENT FORUM OUTTURN BUDGET POSITION AND ALLOCATION REQUESTS

The Committee gave consideration to the report and appendices (at pages 72 - 76) as delivered and summarised by the Head of Finance, Revenues and Benefits which should be read together with these minutes as a composite document.

The Committee was advised that the grant request received from Age UK (Oadby & Wigston) had been reported to this Committee as it fell outside the scope of the new and approved third-sector and community support (TSCS) funding procedure which going forward was to be rigorously applied in considering all future funding requests.

The Committee also raised concerns regarding the general lack of available and up-to-date information, and communication from Officers, on the timescales involved and the progress made on approved Resident Forums' projects. This was said to have resulted in Members being ill-informed when attempting to answer enquires from residents. Noting these concerns, Officers assured the Committee that all future reports would include further and meaningful information as requested by Members.

It was further emphasised by Members that the Residents' Forums could only advise and recommend on the direction of Council spending and that the proper processes regarding the administration, monitoring and sign-off/governance arrangements of TSCS funding must be respected. It was requested that guidance on the same be disseminated to the Forums and that all future funding requests provide sufficient information and assurances so that informed decisions could be made thereon.

It was moved by Councillor J W Boyce, seconded by Councillor L A Bentley and

RESOLVED THAT:

- (i) The current position of the Forums' Budgets be noted; and**
- (ii) A grant of £5,500 to Age UK (Oadby & Wigston) for the period of one-year be approved.**

Votes For	12
Votes Against	0
Abstentions	1

THE MEETING CLOSED AT 9.05 PM



.....
Vice-Chair
.....

Tuesday, 01 May 2018
.....

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Internal Audit Progress Report 2017/18

Verbal Update of the Community Property Manager

- **Housing Repairs and Market Testing - We are currently investigating options including adopting the National Schedule of Rates and will report back early in the New Year.**

Procurement Overview Report has been prepared in draft and as at 05/02/18 is having some further detail added. This has a wider remit but includes this item. A formal quote is awaited for purchasing the National Schedule of Rates books, initially as a means to test value for money on a sample basis while decisions are made and implemented on future procurement. Full adoption of the schedule of rates and associated products is one possibility but has resource implications both in terms of initial costs and ongoing operating costs e.g. in measuring of jobs to apply the schedule rates.

- **Rechargeable Repairs - There is now a consistent approach to re-charging tenants and the Maintenance Officer meets regularly with the Customer Services Team to agree and sign off recharges**

These are now being raised on a regular monthly basis. The maintenance officer post referred to was a temporary assignment which ended early when the post holder gave notice and left at the end of January having been off sick all that month. No replacement is being recruited pending the outcome of the current Communities Team restructuring exercise. Orchard records are currently being checked to see there have been no omissions in raising these invoices. Temporary arrangements have been put in place to authorise raising invoices and the latest monthly batch have just been received.

- **Post Inspection of Empty Properties - 100% of void properties are now taking place in accordance with the 2014 Policy and appropriate records are being maintained. We also post inspect repairs over the value of £2000**

There was an action note for this procedure to be reviewed by February 2018. This review has taken place and the procedure is being moved onto a risk based approach i.e. no longer carrying out random inspections but instead aligning inspections to bandings of the new contract procedural rules and where specific issues have been raised e.g. customer complaints. Inspections being carried out under contract to check the quality of work under the main Gas Safety and Servicing contract have also been brought within the remit of this procedure.

- **Void Turnaround Times are within the target of 20 days and there are no undue delays, any exceptions however are recorded**

We continue to meet these targets and the improved standard of record keeping. Re-let turnover is currently very low which has helped over recent weeks when there has been no maintenance officer.

- **Contractor performance data - This is work still in progress and we are testing new working procedures which we hope to implement from the beginning of the new financial year 2018/19.**

We will be concluding this work over the coming weeks.

- **Market testing of Void Work costs - We are currently carrying out a benchmarking exercise to compare our costs with the market and consideration is being given to procuring a separate voids contract in 2018/19 which may provide better value for money.**

It has proved difficult to find comparative data in terms benchmarking and there are always issues of whether comparisons are actually like for like. A representative from Housemark did visit some months ago to promote their service (which is much wider than just for re-let costs) but it was decided not to proceed with this as the requirements for producing data would be too onerous given resources available and we were not convinced of the benefit this would achieve. Future procurement and test of value for money is included in the report referred to under the first bullet point above.

- **Budgetary Control Variations to orders are now being monitored and managed effectively.**

This statement is correct but there is an underlying issue in terms of the accuracy of initial commitment being entered onto the system. A meeting is due to take place with the customer services team where data will be provided and further guidance given.

All of the updates have now been entered on to the Audit System and we will ensure that in the future they are updated in a timely manner to reflect the accurate positions.

POLICY, FINANCE AND DEVELOPMENT COMMITTEE

ACTION LIST

Arising from the Meeting held on Tuesday, 06 February 2018

Min. Ref.	Item of Business	*Details of Action <i>Action Due Date</i>	Responsible Officer(s)' Initials	Status / Update
56.	Internal Audit Progress Report 2017/18	The issue marked '14/15 Street Cleansing and Grounds Maintenance' in the Appendix (page 19) be resolved by, or an update be provided for and the responsible Officer attend, the next meeting of the Committee. <i>Due by Jul-18</i>	MHo BK	On Target to Complete (See Below)
		This will be actioned in conjunction with the presentation of the next quarterly report by the Internal Audit Function.		
58.	Medium Term Financial Strategy (MTFS) Update	A communication apolitically-framed be released to inform residents about the Council's current financial settlement and budget implications thereof. <i>Due by Jun-18</i>	SH JH	On Target to Complete (See Below)
		An updated financial position will be published in the next edition of Letterbox. Communications with the press around the 'factual' position regarding the Council's finances occurred post full Council on the 22nd February 2018.		
58.	Medium Term Financial Strategy (MTFS) Update	An update to be provided to all Members regarding the cleaning contract's capacity to be varied. <i>Due by Jul-18</i>	MHo DG	On Target to Complete
		This will be circulated once the draft Internal Audit report has been produced (see Action below).		
58.	Medium Term Financial Strategy (MTFS) Update	The Internal Auditor to carry out a review of the letting and monitoring of cleaning contract. <i>Due by Jul-18</i>	SH AP	Ongoing (See Below)
		Audit of the Cleaning Contract is ongoing and the findings will be reported as per the usual Internal Audit reporting process.		
58.	Medium Term Financial Strategy (MTFS) Update	The 98.5% Council Tax collection rate target be discussed at the next meeting of County Trea-	SH CR	Complete (See Below)

		<p>surers and be kept under review.</p> <p style="text-align: center;"><i>Due by Apr-18</i></p>		
		<p>The Council Tax collection rate was discussed at the Leicestershire Treasurers Association. The County Council acknowledges the collection rates from all districts.</p>		
59.	Committee Budget Revenue and Capital Review (Apr - Nov 2017)	<p>The £350k budget allocation for the Compulsory Purchase Order at 41 Canal Street, South Wigston be revisited / reviewed.</p> <p style="text-align: center;"><i>Due by Apr-18</i></p>	<p>SH MHo CR</p>	<p>Complete (See Below)</p>
		<p>The budget for this has been reviewed and has been amended to reflect the current position. This will be reported as part of the year-end outturn report and carry forward requests.</p>		
59.	Committee Budget Revenue and Capital Review (Apr - Nov 2017)	<p>The amplified speech system and hardware in the Council Chamber be retested and repaired or, if necessary, replaced.</p> <p style="text-align: center;"><i>Due by Mar-18</i></p>	<p>SH DR</p>	<p>Complete</p>
60.	Capital Programme 2018/19	<p>A breakdown of the financials regarding the £250k allocation at 'Blaby Road Park Pavilion', and whether this included the £30k grand contribution made to the Elliott Hall Youth and Community Centre in South Wigston, be also provided to Councillor R E R Morris and brought to the Full Council meeting on 22 February.</p> <p style="text-align: center;"><i>Due by Feb-18</i></p>	<p>SH CR</p>	<p>Complete (See Below)</p>
		<p>The full and final financial situation regarding Blaby Road Park Pavilion did not form part of the Council agenda on 22 February as it is reported as part of the Capital Outturn and Carry Forward Requests report. This was explained at Full Council.</p>		
60.	Capital Programme 2018/19	<p>All future reports to include a laypersons breakdown of indicative project funding and information identifying the source(s) of the funding.</p> <p style="text-align: center;"><i>Due by Ongoing</i></p>	<p>SH CR</p>	<p>Complete and Ongoing</p>
62.	Resident Forum Outturn Budget Position and Allocation Requests	<p>All future reports to include further and meaningful information regarding the timescales involved and the progress made on approved</p>	<p>MHo CR</p>	<p>Complete and Ongoing</p>

		Resident Forums' projects. <i>Due by Ongoing</i>		
62.	Resident Forum Outturn Budget Position and Allocation Requests	Further guidance on the third- sector and community support funding procedure be disseminated to the Forums. <i>Due by Apr-18</i>	SH VQ	Complete

* | All actions listed are those which are informally raised by Members during the course of debate upon a given item of business which do not form part of - but may be additional, incidental or ancillary to - any motion(s) carried. These actions are for the attention of the responsible Officer(s).

Agenda Item 7



Policy, Finance and Development Committee	Tuesday, 01 May 2018	Matter for Information
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Title: External Audit Plan 2017/18

Author(s): Stephen Hinds (Director of Finance & Transformation / Section 15 Officer)

1. Introduction

This report details the Council's External Audit Plan (attached at the Appendix) to cover the audit of the 2017/18 Accounts and Financial Statements.

2. Recommendation(s)

That Members note the contents of the report.

3. Information

3.1. The Audit Plan sets out the work that the Council's appointed external auditors KPMG propose to do for the audit of Accounts and Financial Statements and provide an opinion of use of resources and a value for money (VFM) conclusion for 2017/18.

3.2. The Audit Plan includes:

- their audit approach;
- their VFM audit approach; and
- details of their audit team deliverables, timeline and fees.

3.3. The indicative fee for this work is £42,784. The appropriate provision has been made for the costs of audit work in the Council's budget.

Background Documents:

None.

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Tel: (0116) 257 2681

Implications External Audit Plan for 2017/18	
Finance	The implications are as set out in the report.
Stephen Hinds (Director of Finance & Transformation / Section 151 Officer)	
Legal	There are no implications directly arising from this report. The report is satisfactory.
David Gill (Head of Law & Governance / Monitoring Officer)	
Corporate Risk(s) (CR)	<input checked="" type="checkbox"/> Other Corporate Risk(s)
Stephen Hinds (Director of Finance & Transformation / Section 151 Officer)	External audit is a key component of the Council's control and governance framework.
Corporate Priorities (CP)	<input checked="" type="checkbox"/> Not Applicable
Stephen Hinds (Director of Finance & Transformation / Section 151 Officer)	
Vision & Values (V)	<input checked="" type="checkbox"/> Accountability (V1)
Stephen Hinds (Director of Finance & Transformation / Section 151 Officer)	<input checked="" type="checkbox"/> Teamwork (V3)
	<input checked="" type="checkbox"/> Customer Focus (V5)
Equalities & Equality Assessment(s) (EA)	There are no implications directly arising from this report.
Stephen Hinds (Director of Finance & Transformation / Section 151 Officer)	<input checked="" type="checkbox"/> Not Applicable (EA)



External Audit Plan 2017/18

**Oadby and Wigston
Borough Council**

March 2018

Summary for Policy, Finance and Development Committee

Financial statements

There are no significant changes to the Code of Practice on Local Authority Accounting ("the Code") in 2017/18, which provides stability in terms of the accounting standards the Authority need to comply with. Despite this, the deadline for the production and signing of the financial statements has been significantly advanced in comparison to year ended 31 March 2017. We recognise that the Authority has advanced its own accounts production timetable in prior years so as to align with the new deadlines. As a result, we do not feel that this represents a significant risk, although it is still important that the authority manages its closedown process to meet the earlier deadline.

In order to meet the revised deadlines it will be essential that the draft financial statements and all prepared by client documentation is available in line with agreed timetables. Where this is not achieved there is a significant likelihood that the audit report will not be issued by 31 July 2018.

Materiality

Materiality for planning purposes has been set at **£500,000**.

We are obliged to report uncorrected omissions or misstatements other than those which are 'clearly trivial' and this has been set at **£25,000**.

Significant risks

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

- **Valuation of Property, Plant and Equipment (PPE)** – The Authority operates a cyclical revaluation approach which sees all land and buildings physically revalued every five years, with interim desktop revaluation completed between each physical revaluation. The Code requires that all land and buildings be held at fair value. In addition the Authority has had a number of amendments in this area of the financial statements in the previous year. We will consider the way in which the Authority ensures that assets not subject to in-year revaluation are not materially misstated. We will also review the instructions and source of the information provided to, and used by, the valuer to inform the Authority's PPE valuation and undertake appropriate testing to ensure both its completeness and accuracy; and,
- **Pension Liabilities** – The valuation of the Authority's pension liability, as calculated by the Actuary, is dependent upon both the accuracy and completeness of the data provided and the assumptions adopted. We will review the processes in place to ensure accuracy of data provided to the Actuary and consider the assumptions used in determining the valuation.

Summary for Policy, Finance and Development Committee (cont.)

Financial Statements (cont.)

Other areas of audit focus

Those risks with less likelihood of giving rise to a material error but which are nevertheless worthy of additional audit focus have been identified as:

- **Faster Close** – As set out above, the timetable for the production of the financial statements has been significantly advanced with draft accounts having to be prepared by 31 May (2017: 30 June) and the final accounts signed by 31 July (2017: 30 September). We will work with the Authority in advance of our audit to understand the steps being taken to meet these deadlines and the impact on our work; and
- **Provision for Business Rate appeals** – The level of unsettled business rates appeals has not significantly reduced nationally and there is the continuing risk that the amount set aside by the Authority as a provision may not be adequate. We will review the basis of the 2017/18 provision and assess its reasonableness.

See pages 4 to 11 for more details

Value for Money Arrangements work

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

Financial Resilience – The Authority continues to face similar financial pressures and uncertainties to those experienced by others in the local government sector, such as the future of business rate distribution. For 2017/18, the Authority has a balanced budget through the use of planned reserves of £0.150m. The Medium Term Financial Strategy (MTFS) 2018-2020 identifies funding gap on the general fund of £0.410m for 2019/20 and forecasts a reduction in reserve balances of the Housing Revenue Account to £0.300m by 2017/18, the recommended minimum level of reserves. We will review the arrangements the Authority has in place to ensure financial resilience.

See pages 12 to 16 for more details

Logistics

Our team is:

- Tony Crawley – Director
- Sundeep Gill - Manager
- Laura Bedford – Assistant Manager

More details are in **Appendix 2**.

Our work will be completed in four phases from October to July and our key deliverables are this Audit Plan and a Report to Those Charged With Governance as outlined on **page 19**.

Our fee for the 2017/18 audit is £42,784 (£47,534 2016/17) see **page 18**. This fee is in line with the scale fees published by PSAA.

Acknowledgements

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

Introduction

Background and Statutory responsibilities

This document supplements our Audit Fee Letter 2017/18 sent to the Interim Chief Finance Officer in April 2017, 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, the National Audit Office's Code of Audit Practice and the PSAA Statement of Responsibilities.

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

01 | Financial statements:
Providing an opinion on your accounts. We also review the Annual Governance Statement and Narrative Report and report by exception on these; and

02 | 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. Any change to our identified risks will be reported to the Policy, Finance and Development Committee.

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 six stage process which is identified below. Pages 12-15 provide more detail on the activities that this includes. This report concentrates on explaining the VFM approach for 2017/18 and the findings of our VFM risk assessment.



Financial statements audit planning

Financial Statements Audit Planning

Our planning work takes place during October 2017 to January 2018. This involves the following key aspects:

- Determining our materiality level;
- Risk assessment;
- Identification of significant risks;
- Consideration of potential fraud risks;
- Identification of key account balances in the financial statements and related assertions, estimates and disclosures;
- Consideration of management's use of experts; and
- Issuing this audit plan to communicate our audit strategy.

Risk assessment

Auditing 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 260 Report.

01

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.

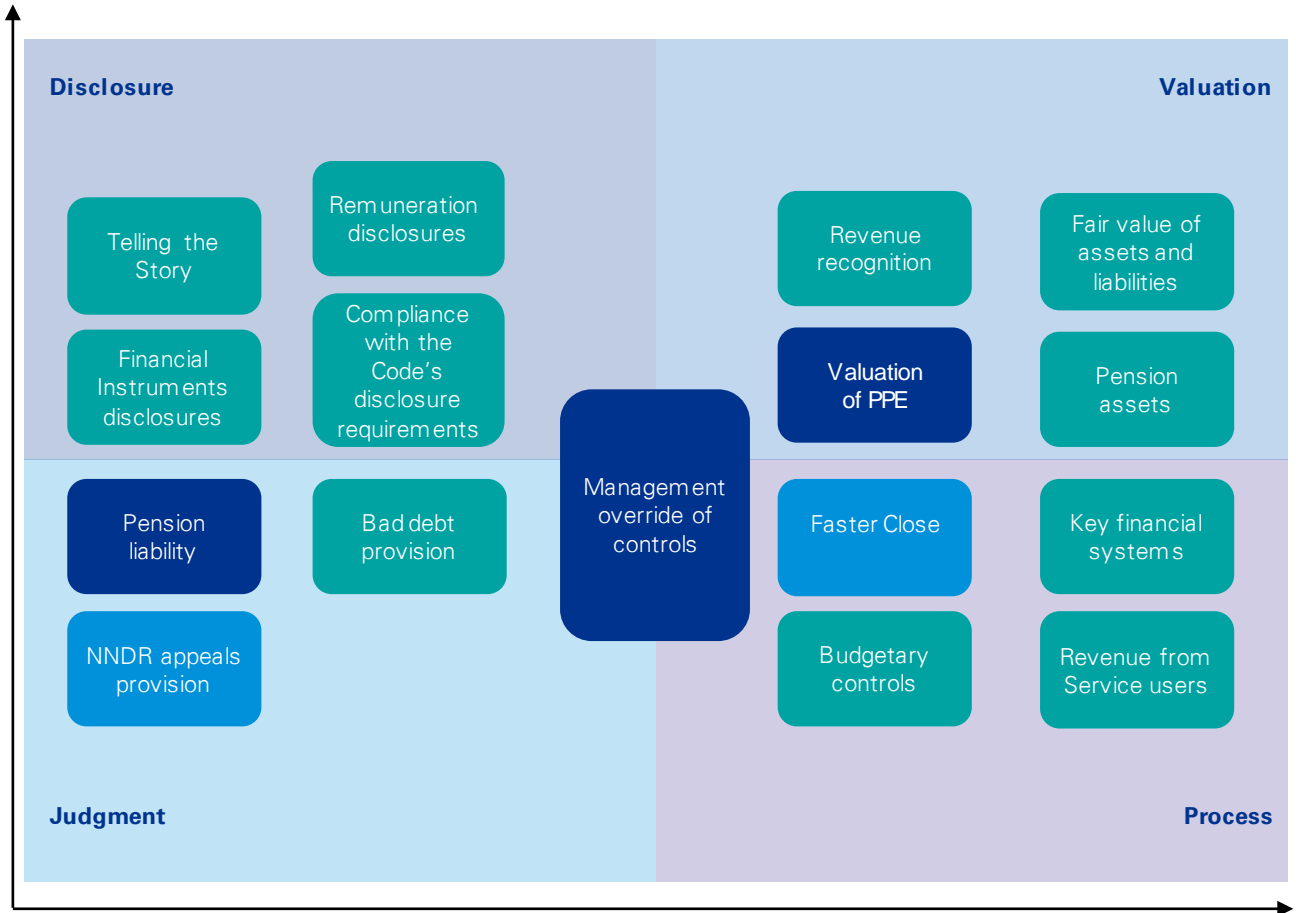
02

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.

Financial statements audit planning (cont.)

The diagram below 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 ■ Other area of audit focus ■ Example other areas considered by our approach

Financial statements audit planning (cont.)

Significant Audit Risks

Those risks requiring specific audit attention and procedures to address the likelihood of a material financial statement error in relation to the Authority.

Risk:	Valuation of PPE <p>The Code requires that where assets are subject to revaluation, their year end carrying value should reflect the appropriate fair value at that date. The Authority has adopted a cyclical revaluation approach, which sees all land and buildings physically revalued every five years, with interim desktop revaluation completed between each physical revaluation. As a result of this, however, individual assets may not be physically revalued for four years. This creates a risk that the carrying value of those assets not physically revalued in the interim years differs materially from the actual year end fair value.</p> <p>Due to the level of amendments required in this area of the financial statements in the previous year, this creates a further risk that the asset values stated in the financial statements may not be accurate.</p>
Approach:	<p>We will consider the instructions and source of the information provided to, and used by, the valuer to inform the Authority's PPE valuation and undertake appropriate testing to ensure both its completeness and accuracy. We will confirm the appropriateness of any amendments made by management to the information received and incorporated into the financial statements.</p> <p>We will review the approach that the Authority has adopted to assess the risk that assets not subject to valuation are materially misstated and consider the robustness of that approach. We will also assess the risk of the valuation changing materially during the year.</p> <p>In addition, we will consider movement in market indices between revaluation dates and the year end in order to determine whether these indicate that fair values have moved materially over that time.</p> <p>In relation to those assets which have been revalued during the year we will assess the valuer's qualifications, objectivity and independence to carry out such valuations and review the methodology used (including testing the underlying data and assumptions).</p>

Financial statements audit planning (cont.)

Significant Audit Risks (cont.)

Risk:	<p>Pension Liabilities</p> <p>The net pension liability represents a material element of the Authority's balance sheet. The Authority is an admitted body of the Leicestershire Pension Fund, which had its last triennial valuation completed as at 31 March 2016. This forms an integral basis of the valuation as at 31 March 2018.</p> <p>The valuation of the Local Government Pension Scheme relies on a number of assumptions, most notably around the actuarial assumptions, and actuarial methodology which results in the Authority's overall valuation.</p> <p>There are financial assumptions and demographic assumptions used in the calculation of the Authority's valuation, such as the discount rate, inflation rates, mortality rates etc. The assumptions should also reflect the profile of the Authority's employees, and should be based on appropriate data. The basis of the assumptions is derived on a consistent basis year to year, or updated to reflect any changes.</p> <p>There is a risk that the assumptions and methodology used in the valuation of the Authority's pension obligation are not reasonable. This could have a material impact to net pension liability accounted for in the financial statements.</p>
Approach:	<p>As part of our work we will review the controls that the Authority has in place over the information sent directly to the scheme actuary. We will also liaise with the auditors of the Pension Fund in order to gain an understanding of the effectiveness of those controls operated by the Pension Fund. This will include consideration of the process and controls with respect to the assumptions used in the valuation. We will also evaluate the competency, objectivity and independence of Hymans Robertson, the scheme actuary.</p> <p>We will review the appropriateness of the key assumptions included within the valuation, compare them to expected ranges, and consider the need to make use of a KPMG Actuary.</p> <p>We will review the methodology applied in the valuation by Hymans Robertson, the scheme actuary.</p> <p>In addition, we will review the overall Actuarial valuation and consider the disclosure implications in the financial statements.</p>

Financial statements audit planning (cont.)

Other areas of audit focus

Those risks with less likelihood of giving rise to a material error but which are nevertheless worthy of audit understanding.

Issue:

Faster Close

In prior years, the Authority has been required to prepare draft financial statements by 30 June and then final signed accounts by 30 September. For years ending on and after 31 March 2018 however, revised deadlines apply which require draft accounts by 31 May and final signed accounts by 31 July.

In order to meet the revised deadlines, the Authority may need to make greater use of accounting estimates. In doing so, consideration will need to be given to ensuring that these estimates remain valid at the point of finalising the financial statements. In addition, there are a number of logistical challenges that will need to be managed. These include:

- Ensuring that any third parties involved in the production of the accounts (including valuers, actuaries and subsidiaries) are aware of the revised deadlines and have made arrangements to provide the output of their work in accordance with this;
- Revising the closedown and accounts production timetable in order to ensure that all working papers and other supporting documentation are available at the start of the audit process;
- Ensuring that the Policy, Finance and Development Committee meeting schedule has been updated to permit signing in July; and
- Applying a shorter paper deadline to the July meeting of the Policy, Finance and Development Committee meeting in order to accommodate the production of the final version of the accounts and our ISA 260 report.

In the event that the above areas are not effectively managed there is a risk that the audit will not be completed by the 31 July deadline.

There is also an increased likelihood that the Audit Certificate (which confirms that all audit work for the year has been completed) may be issued separately at a later date if work is still ongoing in relation to the Authority's Whole of Government Accounts return. This is however not a matter of concern and is not seen as a breach of deadlines.

Approach:

We will continue to liaise with officers in preparation for our audit in order to understand the steps that the Authority is taking in order to ensure it meets the revised deadlines. We will also look to advance audit work into the interim visit in order to streamline the year end audit work.

Where there is greater reliance upon accounting estimates we will consider the assumptions used and challenge the robustness of those estimates.

Financial statements audit planning (cont.)

Other areas of audit focus (cont.)

Those risks with less likelihood of giving rise to a material error but which are nevertheless worthy of audit understanding.

Area:	Provision for Business Rate appeals The level of business rates appeals has not significantly reduced nationally and the Valuation Office Agency (VOA) has revalued the rateable value of business properties on 1 April 2017 to reflect change in the property market. There is a continuing risk that the amounts set aside as provisions may not be reasonable. The Authority's provision is expected to be material (2016/17: £576,000).
Approach:	We will review the basis of the 2017/18 provision and assess its reasonableness by comparing to previous year's provisions and against government guidance.

Financial statements audit planning (cont.)

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.

For the Authority, materiality for planning purposes has been set at £500,000, which equates to 1.87 percent of gross expenditure.

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

Authority Prior Year Gross Expenditure: £26.6 Million

Materiality

£500,000

1.87% of Expenditure

(2016/17: £500,000
2%)



Financial statements audit planning (cont.)

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 £25,000.

If management has 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.

We will report:



Non-Trivial corrected audit misstatements



Non-trivial uncorrected audit misstatements



Errors and omissions in disclosure (Corrected and uncorrected)

Value for money arrangements work

VFM audit approach

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.'

Overall criterion

In all significant respects, the audited body had proper arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people.

The VFM approach is fundamentally unchanged from that adopted in 2016/17 and the process is shown in the diagram below. The diagram overleaf shows the details of the sub-criteria for our VFM work.



Value for money arrangements work (cont.)

Value for Money sub-criteria

Informed decision making

Proper arrangements:

- Acting in the public interest, through demonstrating and applying the principles and values of sound governance.
- Understanding and using appropriate and reliable financial and performance information to support informed decision making and performance management.
- Reliable and timely financial reporting that supports the delivery of strategic priorities.
- Managing risks effectively and maintaining a sound system of internal control.

Sustainable resource deployment

Proper arrangements:

- Planning finances effectively to support the sustainable delivery of strategic priorities and maintain statutory functions.
- Managing and utilising assets to support the delivery of strategic priorities.
- Planning, organising and developing the workforce effectively to deliver strategic priorities.

Working with partners and third parties

Proper arrangements:

- Working with third parties effectively to deliver strategic priorities.
- Commissioning services effectively to support the delivery of strategic priorities.
- Procuring supplies and services effectively to support the delivery of strategic priorities.

Value for money arrangements work (cont.)

VFM audit stage



VFM audit risk assessment

Audit approach

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 *Code of Audit Practice*.

In doing so we consider:

- The Authority's own assessment of the risks it faces, and its arrangements to manage and address its risks;
- Information from the Public Sector Auditor Appointments Limited VFM profile tool;
- Evidence gained from previous audit work, including the response to that work; and
- The work of other inspectorates and review agencies.



Linkages with financial statements and other audit work

Audit approach

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.

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.



Identification of significant risks

Audit approach

The Code identifies a matter as significant '*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.*'

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:

- Considering the results of work by the Authority, inspectorates and other review agencies; and
- 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.

Value for money arrangements work (cont.)

VFM audit stage



Assessment of work by other review agencies, and Delivery of local risk based work

Audit approach

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.

We will also consider the evidence obtained by way of our financial statements audit work and other work already undertaken.

If evidence from other inspectorates, agencies and bodies is not available and our other audit work is not sufficient, we will 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:

- Additional meetings with senior managers across the Authority;
- Review of specific related minutes and internal reports;
- Examination of financial models for reasonableness, using our own experience and benchmarking data from within and without the sector.



Concluding on VFM arrangements

Audit approach

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.

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.



Reporting

Audit approach

On the following page, we report the results of our initial risk assessment.

We will report on the results of the VFM audit through our ISA 260 Report. This will summarise any specific matters arising, and the basis for our overall conclusion.

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.

Value for money arrangements work (cont.)

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.

Risk:	<p>Financial Resilience</p> <p>The Authority continues to face similar financial pressures and uncertainties to those experienced by others in the local government sector, such as the future of business rate distribution. For 2017/18, the Authority has a balanced budget through the use of planned reserves of £0.150m.</p> <p>The Medium Term Financial Strategy (MTFS) 2018-2020 identifies funding gap on the general fund of £0.410m for 2019/20 as a result of increasing cost pressures and reduction in Revenue Support Grant. Potential saving programme have been identified by the Authority and are currently under review.</p> <p>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 2023. The MTFS forecasts a reduction in reserve balances of the Housing Revenue Account to £0.300m by 2017/18, the recommended minimum level of reserves.</p> <p>The Authority needs to have effective arrangements in place for managing its annual budget, generating income and identifying and implementing any savings required to balance its medium term financial plan.</p>
Approach:	<p>As part of our risk based work, we will review the arrangements the Authority has in place to ensure financial resilience, specifically that the Medium Term Financial Strategy has duly taken into consideration the latest available information on factors such as funding reductions, business rate reform, fair funding, salary and general inflation, demand pressures, restructuring costs and sensitivity analysis given the degree of variability in the above factors.</p> <p>We will review the arrangements the Authority has in place to delivery services through partnerships.</p>
VFM Sub-criterion:	<p>This risk is related to the following Value For Money sub-criteria:</p> <ul style="list-style-type: none">— Informed decision making;— Sustainable resource deployment; and— Working with partners and third parties.

Other matters

Whole of government accounts (WGA)

We are required to issue an assurance statement to the National Audit Office confirming the income, expenditure, asset and liabilities of the Authority. Deadlines for completion of this for 2017/18 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.



Other matters

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 Policy, Finance and Development 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 2017/18 sent to Interim Chief Finance Officer in April 2017 first set out our fees for the 2017/18 audit. This letter also set out our assumptions. We have not considered it necessary to seek approval for any changes to the agreed fees at this stage.

Should there be a need to charge additional audit fees then this will be agreed with the Director of Finance and Transformation (s.151 Officer) and PSAA. If such a variation is agreed, we will report that to you in due course.

The planned audit fee for 2017/18 is £42,784, compared to the fee for 2016/2017 of £47,534.

Appendix 1:

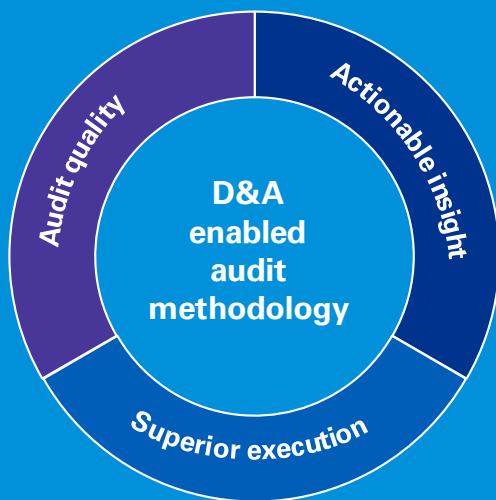
Key elements of our financial statements audit approach

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. Data and Analytics allows us to:

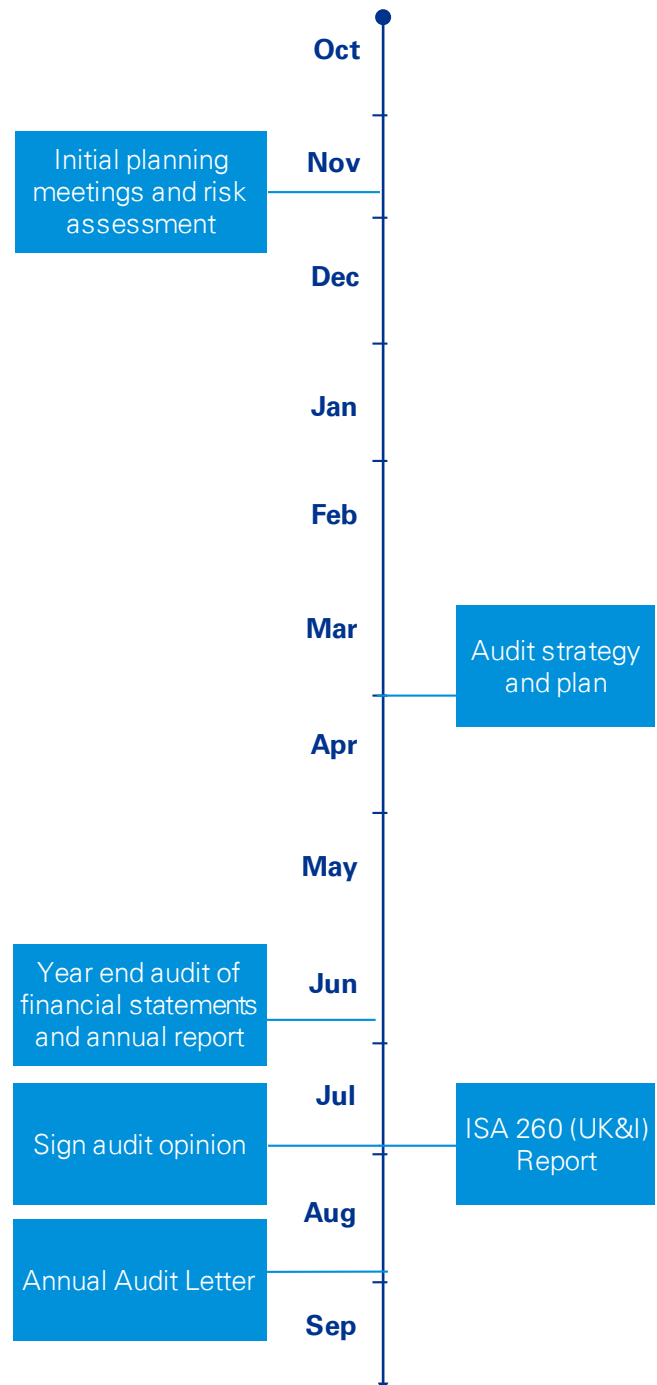
- Obtain greater understanding of your processes, to automatically extract control configurations and to obtain higher levels assurance.
- Focus manual procedures on key areas of risk and on transactional exceptions.
- Identify data patterns and the root cause of issues to increase forward-looking insight.

We anticipate using data and analytics in our work around key areas such as journals.



Communication

Continuous communication involving regular meetings between Policy, Finance and Development, Senior Management and audit team.



Appendix 1:

Key elements of our financial statements audit approach (cont.)

Audit workflow

Planning

- Determining our materiality level;
- Risk assessment;
- Identification of significant risks;
- Consideration of potential fraud risks;
- Identification of key account balances in the financial statements and related assertions, estimates and disclosures;
- Consideration of managements use or experts; and
- Issuing this audit plan to communicate our audit strategy.

Control evaluation

- Understand accounting and reporting activities;
- Evaluate design and implementation of selected controls;
- Test operating effectiveness of selected controls; and
- Assess control risk and risk of the accounts being misstated.

Substantive testing

- Plan substantive procedures;
- Perform substantive procedures; and
- Consider if audit evidence is sufficient and appropriate.

Completion

- Perform completion procedures;
- Perform overall evaluation;
- Form an audit opinion; and
- Policy, Finance and Development Committee reporting.



Appendix 2:

Audit team

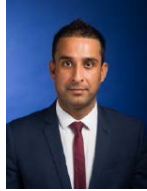
Your audit team has been drawn from our specialist public sector assurance department. Our audit Director and Manager were part of Oadby and Wigston Borough Council audit last year. Laura has joined the audit team this year.



Tony Crawley
Director

Tel: 0116 256 6067
Email: Tony.Crawley@kpmg.co.uk

'My role is to lead our team and ensure the delivery of a high quality, valued added external audit opinion. I will be the main point of contact for the Policy, Finance and Development Committee, Chief Executive and the Director of Finance and Transformation (S151 officer)."



Sundeep Gill
Manager

Tel: 07798 572337
Email: Sundeep.Gill@kpmg.co.uk

'I provide quality assurance for the audit work and specifically any technical accounting and risk areas. I will work closely with Tony Crawley to ensure we add value. I will liaise with the Director of Finance and Transformation (S151 officer) and other Executive Directors.'



Laura Bedford
Assistant Manager

Tel: 07920 502249
Email: Laura.Bedford@kpmg.co.uk

I will also be responsible for the on-site delivery of our work and will supervise the work of our audit assistants.'

Appendix 3:

Independence and objectivity requirements

ASSESSMENT OF OUR OBJECTIVITY AND INDEPENDENCE AS AUDITOR OF OADBY AND WIGSTON BOROUGH COUNCIL

Professional ethical standards require us to provide to you at the planning stage of the audit a written disclosure of relationships (including the provision of non-audit services) that bear on KPMG LLP's objectivity and independence, the threats to KPMG LLP's independence that these create, any safeguards that have been put in place and why they address such threats, together with any other information necessary to enable KPMG LLP's objectivity and independence to be assessed.

In considering issues of independence and objectivity we consider relevant professional, regulatory and legal requirements and guidance, including the provisions of the Code of Audit Practice, the provisions of Public Sector Audit Appointments Ltd's ('PSAA's') Terms of Appointment relating to independence and the requirements of the FRC Ethical Standard and General Guidance Supporting Local Audit (Auditor General Guidance 1 – AGN01) issued by the National Audit Office ('NAO').

This Appendix is intended to comply with this requirement and facilitate a subsequent discussion with you on audit independence and addresses:

- General procedures to safeguard independence and objectivity;
- Independence and objectivity considerations relating to the provision of non-audit services; and
- Independence and objectivity considerations relating to other matters.

General procedures to safeguard independence and objectivity

KPMG LLP is committed to being and being seen to be independent. As part of our ethics and independence policies, all KPMG LLP partners, Audit Directors and staff annually confirm their compliance with our ethics and independence policies and procedures. Our ethics and independence policies and procedures are fully consistent with the requirements of the FRC Ethical Standard. As a result we have underlying safeguards in place to maintain independence through:

- Instilling professional values
- Communications
- Internal accountability
- Risk management
- Independent reviews.

We are satisfied that our general procedures support our independence and objectivity.

Appendix 3:

Independence and objectivity requirements (cont.)

Independence and objectivity considerations relating to the provision of non-audit services

Summary of fees

We have considered the fees charged by us to the authority and its affiliates for professional services provided by us during the reporting period.

We confirm that the non-audit service was approved by the Director of Finance and Transformation.

Facts and matters related to the provision of non-audit service and the safeguards put in place that bear upon our independence and objectivity, are set out in the following table.

Analysis of non-audit work for the year ended 31 March 2018.

Description of scope of services	Potential threats to auditor independence and associated safeguards in place	Value of Services Delivered in the year ended 31 March 2018
Pooling of Housing Capital Receipts claim 2016/17 (performed in 2017/18)	<p>Self-interest: This engagement is entirely separate from the audit through a separate contract. In addition, the statutory audit scale fee was set independently to KPMG by the PSAA. Therefore, the proposed engagement will have no perceived or actual impact on the audit team and the audit team resources that will be deployed to perform a robust and thorough audit.</p> <p>Self-review: The nature of this work is auditing this grant claim. The Pooling of Capital Receipt claim has no impact on the main audit, and was completed after the 2016/17 audit was completed. Therefore this does not impact on our opinion and we do not consider that the outcome of this work threatens to our role as external auditors. Consequently we consider we have appropriately managed this threat.</p> <p>Management threat: This work will be audit work only – all decisions will be made by the Authority.</p> <p>Familiarity: This threat is limited given the scale, nature and timing of the work.</p> <p>Advocacy: We will not act as advocates for the Authority in any aspect of this work. We will draw on our experience in such roles to provide the Authority with a range of approaches but the scope of this work falls well short of any advocacy role.</p> <p>Intimidation: not applicable.</p>	£3,000

No approval is required from PSAA for the non-audit service above as it is below the relevant threshold. In addition, we monitor our fees to ensure that we comply with the 70% non-audit fee cap set by the NAO.

Independence and objectivity considerations relating to other matters

There are no other matters that, in our professional judgment, bear on our independence which need to be disclosed to the Policy, Finance and Development Committee.

Appendix 3:

Independence and objectivity requirements (cont.)

Confirmation of audit independence

We confirm that as of the date of this report, in our professional judgment, KPMG LLP is independent within the meaning of regulatory and professional requirements and the objectivity of the Audit Director and audit staff is not impaired.

This report is intended solely for the information of the Policy, Finance and Development Committee of the authority and should not be used for any other purposes.

We would be very happy to discuss the matters identified above (or any other matters relating to our objectivity and independence) should you wish to do so.

KPMG LLP

KPMG LLP



kpmg.com/uk



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.psa.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. 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 by telephoning 020 7072 7445 or by writing to Public Sector Audit Appointments Limited, 3rd Floor, Local Government House, Smith Square, London, SW1P 3HZ.

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Agenda Item 8



Policy, Finance and Development Committee	Tuesday, 01 May 2018	Matter for Information
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Title: **Key Performance Measures and Reporting 2018/19**

Author(s): **Stephen Hinds (Director of Finance and Transformation)**

1. Introduction

This report is to brief the Committee on the ongoing development with respect to the Authority's performance reporting framework and in particular, the continuing development of the Key Performance Measures for 2018/19.

2. Recommendation(s)

That Members note the contents of the report.

3. Information

- 3.1. As part of the Council's ongoing development to performance management and reporting, 2018/19 sees the next stage in how we measure and report Council performance (alongside the standard finance and statutory reporting framework).
- 3.2. The Council has produced 101 new Key Performance Measures for 2018/19, and these measures relate to each of the Council's five Corporate Objectives.
- 3.3. These measures are "outcome" based measures, meaning that they identify key deliverables for the authority that actively work towards meeting the Corporate Objectives, and will allow for greater accountability and transparency. This will mean that the public, Members and Officers can clearly see how the Council is performing against its objectives, and if it isn't, why it isn't.
- 3.4. These measures will be reported formally to Committee on a quarterly basis as part of a Project and Performance report.

Background Documents:

Appendix - Summary of Service Plans and Key Performance Measures 2018/19

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Implications Key Performance Measures and Reporting 2018/19	
Finance	There are no direct financial implications arising from this report.
Stephen Hinds (Director of Finance and Transformation)	
Legal	The report is satisfactory.
David Gill (Head of Law & Governance / Monitoring Officer)	
Corporate Risk(s) (CR)	<input checked="" type="checkbox"/> No Corporate Risk(s) Identified
Stephen Hinds (Director of Finance and Transformation)	
Corporate Priorities (CP)	<input checked="" type="checkbox"/> All Corporate Priorities (CP1-5)
Stephen Hinds (Director of Finance and Transformation)	The Key Performance Measures for 2018/19 are designed to meet all five corporate priorities.
Vision & Values (V)	<input checked="" type="checkbox"/> Not Applicable
Stephen Hinds (Director of Finance and Transformation)	
Equalities & Equality Assessment(s) (EA)	There are no implications arising from this report.
Stephen Hinds (Director of Finance and Transformation)	<input checked="" type="checkbox"/> Not Applicable (EA)

Objectives for 2018/19

As part of our continuing desire to improve and deliver services that meet our five corporate objectives, the authority has identified key streams of work and programmes that stretch across all aspects of the Council and the services we provide to ensure we achieve these objectives.

2017/18 has been a successful year for the Council, achieving much, such as the developments of Parklands and Brocks Hill, Achieving IIP Level 6 recognition, and we want 2018/19 to build upon this and be our most successful ever.

Improvements to the Customer Service

Targets: IEB4, IEB5, IEB6, IEB7, IEB14, ESP2, ESP18, ESP19, ESP20, ESP21, ESP22, ESP41, ESP42, ESP43

As a Council, we understand how important it is for us to provide services to our residents in the most helpful, effective and efficient means to ensure we provide the services you need in a manner that satisfies you. In effect, we want our residents, local businesses and partner organisations to feel as valued customers, rather than obligations. It is this ethos that the Council is embracing – we want you to feel that you want to deal with us – that we would be your service provider of choice due to our levels of exemplary service and customer satisfaction.

One core development of this is continuing to explore how we can improve our flagship Customer Services Centre in Wigston. We have a target that at least 95% of residents who receive a service through there are satisfied, and this is our key measure. But we are working on various ways in which we can continue to improve this service as we do not want to rest on our laurels and progress. A key area of improvement is the “Cashless” project. Currently, the Customer Services Centre is the only Council facility that accepts cash payments. However, for residents who are not located in Wigston, or unable to visit the centre this situation is troublesome. The council is looking to address this as part of the cashless project – whilst the council is looking to stop accepting cash at the CSC (which will reduce costs and risks), we are looking to maximise the number of places within the borough that residents and businesses will be able to pay the council using cash – eliminating the need to visit the CSC in Wigston. Additionally,

the Council is looking to further develop our channel shift programme, making more resources available on-line and to enable people to utilise these services through our Digital Strategy (alongside our Digital Partners).

Customer Service is not just about how we deal with queries at the Customer Service Centre, but across the Council as a whole. For example, our Housing Service aims to excel in service delivery and the customer experience. Significant work goes into delivering our Housing Stock Capital Programme and this in combination with the Housing Repairs Service, the “Your New Home” Service and “Your Improved Home” paramount importance is given to not only what service is delivered, but also how the service is delivered. It is why the service is aiming to achieve a level of satisfaction of 95% from each service, and will work in a proactive manner to minimise any issues residents experience and ensure a satisfied resident.

Community Involvement

Targets: ESP37, GSP5, WBA13, WBA14, WBA15, WBA16, WBA18, WBA25, IEB1, IEB2, IEB8, IEB9, IEB10, IEB11, IEB12, IEB13

Oadby and Wigston are very proud of the widespread and diverse nature of the communities in the borough and are active in encouraging the community spirit that makes the borough the special place that it is. Work carried out in early 2018 in developing the three neighbourhood forums and funding streams will reap benefits in the years to come and the council will deliver projects recommended by the forums within six months of their approval. By spending 2017/18 in improving the forum governance and support, this will enable the Council to expand our community work during the New Year. Officers will look to encourage residents to get involved in volunteering across the borough, with a target of over 1,500hrs of volunteering to be registered – ranging from helping community groups to keeping our parks being great places to visit. The Council will also develop and publish a Community Engagement Action Plan by October 2018 highlighting how we will continue to develop our community links and how the Council, Communities and Partners can improve engagement and community development beyond the resident forums.

The Council has realigned some of its services to allow them to work more closely and deliver better services. One example of this is our Community Youth Work will work closely with colleagues in Health and Wellbeing, enabling greater time and resources to

improve events such as the popular Sonic Boom event in the summer, where we are targeting an increase of 15% more visitors. Equally, we want more young people to get involved with community events so are encouraging more children and young people to get involved with the Youth Council.

Developing the Borough

Targets: IEB15, BED1, BED2, BED3, BED4, BED5, BED6, ESP1, ESP2, ESP3, ESP4, ESP5, ESP6, ESP7, ESP8, ESP9, WBA1, WBA3

The regeneration of the Borough, both in respect of housing development and economic development is at the forefront of Council strategy. During the spring of 2018, the Local Plan will be consulted upon and inspected by planning inspectorate. This work, alongside the Strategic Growth Plan for Leicestershire that is out for consultation in the spring also, outlines the developmental plan for the borough through to 2031. The Council aims to adopt the Local Plan by September 2018, thereby giving the Council, its residents and those who work here, a clear outline for the future of the borough. During the summer, the Council will produce a Housing Strategy Statement for 2019 onwards, informed by the Local Plan and an assessment of the borough as a whole. This strategy will assist the authority in delivering affordable homes through S106 agreements with developers and give the Council's development company, Bushloe Developments, the guidance it requires to deliver its objectives. The Council will also be able to maintain a rolling five year supply of housing land due to approved Local Plan and informed by the Housing Strategy, and by association will enable the progression of Town Centres Area Action Plan Guidance by March 2019. The Council knows that our town centres provide thriving community hubs, and to continue to attract people to live, work and visit the borough, we need to develop them. Alongside the action plan, we will work to support our town centres by working closely with town centre groups and facilitate the development of key, Council owned sites – with our aim being shop occupancy in each of the three town centres to be in excess of 91% in 2018/19.

From an operational basis, it is important that we get the fundamentals right to enable growth and development. That is why, to enable the determining of planning applications and delivering strategic sites, the Council has set itself challenging targets in determining planning applications. Whilst these targets are set to expedite the process, the levels of quality, accuracy and

customer service will remain at the highest level. This ethos also applies to our Building Control Service –improving the scope of provision we can provide by progressing our joint working arrangements with Blaby District Council, increasing our revenue alongside becoming more customer focussed and meeting their needs alongside our statutory duties.

The Council will create much needed additional cemetery space at Oadby Cemetery by incorporating adjacent land to ensure future provision for the next five years. The Council is also planning to extend the Gardens of Remembrance at Oadby Cemetery and Wigston Cemetery by October 2018. Work will also begin in earnest on the building of the new pavilion on Horsewell Lane Recreation Ground, and Ervins Lock Pedestrian Footbridge will be opened by March 2019.

Transforming the way we work

Targets: ESP10, ESP11, ESP12, ESP13, ESP14, ESP15, ESP16, ESP17, ESP23, ESP24, ESP25, ESP26, ESP27, ESP28, ESP29, ESP30, ESP31, ESP32, ESP33, ESP34, ESP35, ESP36, ESP40, ESP44, ESP47, ESP48, WBA17

Following on from the LGA peer review, and the successful accreditation of the Investors in People Level 6 award, the Council has a core strategy in improving how we work and the services provide. A key element of this relates to the people who work here, how they are supported to deliver services to the best of their abilities, and to also continue to make this a great place to work and be an employer of choice and to this end the Council will produce a People Strategy in the summer of 2018. The Council will also undertake a systematic review of its policies and procedures to guarantee that they are fit for purpose and follow industry best practice.

The council will continue to monitor sickness, focussing on the prevention of sickness absence where possible and thereby improving staff availability and minimising disruption to service provision and reducing costs to the Council. The Council is targeting short-term sickness absence to be below 8 days per year.

The Strategic Asset Review will begin in 2018, undertaking a review of all of the Council's assets – be they buildings or land owned or utilised by the Council. The review will look at the effectiveness of each asset and how they can be 'sweated' for operational

efficiencies, cashable benefits or development opportunities. It is anticipated that the project plan will be published in the summer of 2018, and structured delivery will follow on from that.

Linked into this project, the Council will be introducing improved mobile working across the Council, enabling staff to work from multiple sites and not be tied to their desks. This mobile working enables flexibility, combats the risk of emergencies (for example bad weather or issues with Council facilities) and also reduce the potential office space footprint required for staffing on a day to day basis, all of which means savings can be realised and ploughed back into frontline services.

Central Government intends to introduce a new system of funding local authorities by the end of this Parliament, and this includes the move towards a 75% Business Rate Retention Scheme and the implementation of a fairer funding formula for local government. These changes will have a significant impact on the Council's resources which would in turn potentially have a detrimental impact upon the services we provide and the Council must look to both model these changes and design solutions that could mitigate these risks. The Council has moved to a fluid budget setting process that is flexible to address needs and issues when they come on to the horizon, rather than waiting for a single point in the year to address them. This process continues into the new year and the setting of the MTFS, enabling the savings identified within it ensures the Council has a sound financial footing and is financially resilient, and our processes achieve an unqualified auditor's opinion in relation to the accounts and Value for Money.

The Council will also build on its treasury management approach and utilise active treasury management methods whilst considering alternative treasury investment opportunities, including property funds.

The Council will continue to maximise income through the effective collection of Business Rates and Council Tax whilst reducing former year's arrears across these areas. The newly formed Income Team will work with all areas of the Council to make sure that all income that is due is collected effectively and will work proactively to reduce amounts that are in arrears. The Council aims to collect 98.5% of Council Tax and Business Rates due in this year, and to reduce the total amount of former year's arrears to below 3% of the annual debt in Council Tax and 7.5% in Business Rates.

To support these aims the Council will continue to improve Member engagement and Member knowledge with a variety of initiatives and developments. Based upon Member feedback, the Council is revising its reporting to ensure it contains useful

information, is transparent and it outcome focussed, rather than looking at process and outcomes. The Council is also revising the constitution, enabling our Committee System to be as effective as possible. With respect to the Council's finances, the corporate finance function will brief members through a series of financial briefings, in addition to the current meeting cycle.

Helping those who need it most

Targets: WBA2, WBA8, WBA9, WBA10, WBA11, WBA12, WBA 21, WBA22, WBA23, WBA24

The Council is committed to improving all services, but with Universal Credit coming online in the summer, and the worsening national homelessness crisis, helping those who need help most are at the top of our list. With respect to Homelessness, additional revenue funding has been allocated to support the service and plans are in progress to identify housing solutions, replacing the "bed and breakfast" service that families are receiving due to the lack of suitable accommodation. Belmont House in Wigston is undergoing considerable renovation to enable it to house families who are temporarily homeless and this is due to open in May 2018. The authority will also be assessing the viability of co-ordinating a cross-sector working group to address rough sleeping. The Council believes that the only way rough sleeping can be tackled is by working with voluntary sector partners and pooling resources in a coordinated response. Equally pre-emptive work in addressing this issue, be it the lack of affordable housing or monetary issues for individuals or families, is being addressed with Council-wide efforts to address these issues and trying to prevent homelessness before it arises – a business plan to reduce the number of empty homes in the borough will be produced in December 2018.

In relation to those people who live in our homes, we will continue to work as part of the Lightbulb Partnership to deliver Disabled Facilities Grants. These grants enable residents homes be adapted and converted into places that enable them to live their lives, rather than be a hindrance or obstacle to them. The Council has set an ambitious target of 95% of all Disabled Facilities Grants cases to be assessed, and of those approved, 95% are completed within agreed timescales.

The authority wants to make the claiming of benefits to be a painless and quick to process as possible. That is why the Council has reviewed the way it processes claims and believes that it can reduce the time to process a new benefit claim to less than 15 days,

and process a change in circumstances in less than 8 days. These improvements will mean that not only is the process less onerous and stressful, but people will receive the correct benefits sooner and reduce the chance of errors.

A Green Borough

Targets: IEB3, ESP38, ESP39, ESP45, ESP46, GSP1, GSP3, GSP4, GSP6, GSP7, WBA 4, WBA5, WBA6, WBA7, WBA19, WBA20.

The borough has a proud tradition that despite our geographical location and size, we have some of the best parks in the county and have great facilities for sport and leisure. The development of Parklands Leisure Centre and Brocks Hill Country Park in 2017/18 has added to this and the Council aims for this to continue into 2018/19. We will aim to achieve "Green Flag" status in two of our park, and achieve a regional "In Bloom" award once again in 2018/19 alongside the production of a new Playing Pitch Strategy that will identify how we can improve facilities in the borough (including non-pitch related sports), enabling us to encourage more visitors to the borough and promote our green and safe parks.

Our communities take great pride in the cleanliness of the borough, and our street cleaning teams are aiming to achieve top-quartile performance for cleaning our streets, whilst the Council looks at ways of minimising the impact of littering caused by our current refuse and recycling processes, as well as ways of maximising the amount of waste we can recycle and significantly reduce the amount of plastics sent to landfill within the borough.

The Council will also assess levels of cleanliness across its sites, be it administrative buildings or housing, and develop action plans to improve cleanliness and reduce dog-fouling in particular, enabling a cleaner borough for our residents to enjoy.

The Council has a significant capital programme which it aims to deliver through 2018/19 and beyond. As ever, there is major investment in our housing stock – including the delivery of our Energy Efficiency Strategy that guarantees that all of our housing stock meet or exceed the Government's recommended energy efficiency levels. The Council aims to guarantee all properties are EPC rated, and that all properties are rated "E" or above, ensuring that the energy burden of those properties is reduced, but will also cost the resident's less to heat and power.

Performance Targets for 2018/19

Progress against our Strategic Objectives and Corporate Plan is monitored by the Council's performance monitoring arrangements. The key performance targets detailed in this document will assist in how we are progressing to meet our corporate objectives. The move to outcome based objectives allows for the council to measure against how it is delivering, rather than relying on outputs.

An Inclusive and Engaged Borough

Corporate Reference	Measure/Activity	Target
IEB1	Implement facilities projects requested by Area Forums and maintain facilities in good operational order	Area Forum projects to be delivered within 6 months of Committee approval
IEB2	Publish an updated Local Development Scheme	Publish the Local Development Scheme in October 2018
IEB3	The amount of household waste collected per household in the month	Target of 40% of all collections.
IEB4	Continue to improve customer access to services	Satisfaction with service provided by CSC by residents to exceed 95%
IEB5	Increase the number of online transactions	Number of online transactions to exceed 12,000
IEB6	Number of online transactions submitted by residents will increase	Target increase of 30%
IEB7	The number of face to face and telephone transactions will reduce at the Customer Services Centre	Target decrease for Telephone Transactions of 20% and Face to Face transactions of 15%

IEB8	Provide opportunities for local residents to get involved in Volunteering. Record all hours weekly.	1,580 Weekly volunteering sessions provided. Volunteer hours calculated and referenced in Committee Report.
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Corporate Reference	Measure/Activity	Target
IEB9	Promote and provide opportunities to engage with schools. Monitor number of pupils from each school.	Aim to engage with 900 pupils during the year
IEB10	Community Safety Partnership Strategic Priorities	100% of agreed funding received from PCC
IEB11	Improving engagement with Children and Young People	15% increase in attendance at Supersonic Boom Event
IEB12	Improving engagement with Children and Young People	10% increase in attendance at Youth Council Meetings
IEB13	Improve Community Engagement beyond the Residents' Forums.	Community Engagement Action Plan to be developed and approved by October 2018.
IEB14	Improving customer relations regarding waste collection.	5 working days to respond to resident request.
IEB15	Adoption of new Local Plan to 2031	Adoption of the Local Plan by September 2018

Balanced Economic Development

Corporate Reference	Measure/Activity	Target
BED1	Adoption of new Local Plan to 2031	To Maintain a rolling 5 year supply of housing

		land
BED2	Update Suite of Supplementary Planning Documents and Guidance	Adoption of the Town Centres Area Action Plan Guidance by March 2019
BED3	Update Suite of Supplementary Planning Documents and Guidance	Adoption of the Developer Contributions Supplementary Planning Document by March 2019

Corporate Reference	Measure/Activity	Target
BED4	Support our town centres by working closely with town centre groups and facilitating the development of key Council owned sites	Wigston Shop Occupancy – 91% or above
BED5	Support our town centres by working closely with town centre groups and facilitating the development of key Council owned sites	Oadby Shop Occupancy – 91% or above
BED6	Support our town centres by working closely with town centre groups and facilitating the development of key Council owned sites	South Wigston Shop Occupancy – 91% or above

Effective Service Provision

Corporate	Measure/Activity	Target
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Reference		
ESP1	Determining Applications and Delivery of Strategic Sites	Determination of Major Planning Applications within 91 days
ESP2	Determining Applications and Delivery of Strategic Sites	Determination of Minor Planning Applications within 56 days
ESP3	Determining Applications and Delivery of Strategic Sites	Determination of Other Applications within 56 days
ESP4	Creation of additional Cemetery space	Extend Garden of Remembrance at Oadby Cemetery by October 2018
ESP5	Creation of additional Cemetery space	Incorporate the adjacent former scout hut land into Oadby Cemetery by March 2019
ESP6	Creation of additional Cemetery space	Extend Garden of Remembrance at Wigston Cemetery by October 2018

Corporate Reference	Measure/Activity	Target
ESP7	Implement projects requested by Area Forums and maintain facilities in good operational order	To receive £51,600 income from the hire of our Pavilions and Community Centres between 1st April 2018 to 31st December 2019
ESP8	Building Control Shared Service	To implement a Building Control shared service by 1st April 2018
ESP9	Planning Enforcement and Appeals	An appeal success rate of 70% or higher between 1st April 2018 to 31st December 2019
ESP10	Investors In People Award (see detailed action plan - agreed at Change Management Committee 17th January 2018)	Maintaining progress with the employment standard as a demonstration of good practice. (December 2018)
ESP11	Review Job Evaluation Scheme	To ensure that staff and managers have confidence in the process (December 2018)
ESP12	Have a People Strategy that will enable to authority to progress to being a top rated council and an employer of choice	Develop a People Strategy that is approved by June 2018
ESP13	Have a People Strategy that will enable to authority to progress to being a top rated council and an employer of choice	Implement programme of work (TBC once People Strategy has been approved)
ESP14	To improve the timeliness of staff recruitment.	30 calendar days from advertisement published to job offer being made.
ESP15	Increase staffing availability through reduced sickness.	Short-term sickness days average less than 8 days.
ESP16	Improve availability of staff to minimise service delivery interruptions	Turnover reduced to 11 days per person.

ESP17	Review of Council’s Policies and Procedures	All policies to be reviewed and revised in four batches. To be completed by March 2019.
ESP18	Become a “cashless” authority.	Move to “cashless” by December 2018

Corporate Reference	Measure/ Activity	Target
ESP19	Become a “cashless” authority.	Expected income received by the Council will not drop due to the move to being cashless
ESP20	Become a “cashless” authority.	Reduction in resources required to manage payments.
ESP21	Redesigning the Customer Service Experience	Complete service review of CSC (November 2018)
ESP22	Redesigning the Customer Service Experience	Implement recommendations of review (March 2018)
ESP23	Set budget for 2019/20	Set budget for Council approval (February 2019)
ESP24	Maintain and improve the External Auditor’s opinion of the authority	Achieve unqualified opinions on the Statement of Accounts: with minimal errors, and an unqualified opinion in relation to Value for Money

ESP25	Continue to improve the value for money of Council services	Achieve the savings targets as stated in the Medium Term Financial Strategy (March 2019)
ESP26	Procure new Insurance Contract for the Council.	New Insurance policy in place by 30 th September 2018.
ESP27	Improve financial awareness of elected Members	Deliver two briefings during the financial year (March 2019).
ESP28	Successful implementation of Universal Credit	Amounts of Housing Benefits overpayments reduced to below £650k

Corporate Reference	Measure/Activity	Target
ESP29	Continue to maximise income through effective collection processes.	Council Tax collection rate of 98.5%
ESP30	Continue to maximise income through effective collection processes.	NNDR Collection rate of 98.5%
ESP31	Continue to maximise income through effective collection processes.	Reduce former years areas on Council Tax to below 3% of the annual debt.
ESP32	Continue to maximise income through effective collection processes.	Reduce former year's arrears on NNDR to below 7.5% of the annual debt.
ESP33	Continue to maximise income through effective collection processes.	Percentage of arrears over 90 days against total annual debt to below 15%

ESP34	Improve payments to Creditors	95% of creditors paid within 30 days of receipt of invoice.
ESP35	Improve payments to Creditors	Average payment time for a creditors invoice is 15 days or less.
ESP36	Produce and test internal department Business Continuity plans.	9 plans completed and tested. 1 overarching plan completed by December 2018
ESP37	Community Safety Partnership Strategic Priorities	100% of agreed outcomes with PCC achieved
ESP38	Energy Efficiency Strategy	Energy Efficiency Strategy approved by Senior Management Team by September 2018

Corporate Reference	Measure/Activity	Target
ESP39	Energy Efficiency Strategy	Energy Efficiency Strategy delivered – Key Target to be set post April 2018
ESP40	Council Housing Stock Programme	Deliver agreed Capital Programme
ESP41	Improve Customer Satisfaction with the services delivered by the Housing Service	Customer Satisfaction with the Housing Repairs Service at 95%
ESP42	Improve Customer Satisfaction with the services delivered by the Housing Service	Customer Satisfaction with the “Your New Home” service at 95%

ESP43	Improve Customer Satisfaction with the services delivered by the Housing Service	Customer Satisfaction with the "Your Improved Home" service at 95%
ESP44	Flexible Working Policy	Pilot 6 month Flexible Working Policy across the council (April 2018)
ESP45	Strategic Asset Review	Deliver Strategic Asset Review Project Plan (June 2018)
ESP46	Improving the condition of the Council's administrative facilities	Target to be set once Strategic Asset Project begins
ESP47	Improving the level of service received by residents in relation to refuse collection.	To reduce the number of missed refuse collections to 30 or below.
ESP48	Staff are fully aware and understand their statutory responsibilities	100% of Staff complete mandatory training on Learning Pool

Green and Safe Places

Corporate Reference	Measure/Activity	Target
GSP1	Update Suite of Supplementary Planning Documents and Guidance	Adoption of the Conservation Areas Supplementary Planning Document by March 2019

GSP2	Improving Tenancy Agreement to allow greater flexibility for the tenant and Council	New Tenancy Agreement approved and implemented by March 2019
GSP3	To provide a cleaner borough for our residents to enjoy.	Assess the levels of Dog Fouling across Housing sites and develop action plan to minimise any problem. December 2018
GSP4	Improve fire safety on Council Owned Housing Sites.	95% of Communal Housing areas are clear of dangerous or hazardous obstructions at all times.
GSP5	Improve Council's involvement in reducing Anti-Social Behaviour and it's causes	ASB Action Plan to be developed and approved by June 2018
GSP6	Green Flags for our parks	Achieve Green Flags in Brocks Hill Country Park and Peace Memorial Park
GSP7	"In Bloom" awards	Achieve regional "In Bloom" award winner status within the borough

Wellbeing for All

Corporate Reference	Measure/Activity	Target
WBA1	To build a replacement Pavilion at Horsewell Lane Recreation Ground	To start on site by 30 th November 2018
WBA2	Section 106 Legal Agreements	Number of Affordable Homes delivered
WBA3	Ervins Lock Pedestrian Footbridge	Opening of the Footbridge by March 2019
WBA4	To provide improved sporting facilities in the Borough	To have a plan developed by July 2018
WBA5	Review the Playing Pitch Strategy	Publish the Playing Pitch Strategy by February 2019
WBA6	The amount of recycling as a percentage of total waste collected for the month	50%
WBA7	Achieve top-quartile performance for Street Cleaning (detritus)	Rated in the Top Quartile (Target to be determined once results are available in early 2018/19)
WBA8	Improve Council facilities to accommodate temporary homeless families.	Belmont House to be operational August 2018.
WBA9	Reduce rough sleeping across the borough by working with voluntary sector partners.	Assess viability of a cross-sector working group to address roughsleeping. Report to Council in December 2018.
WBA10	Sheltered Housing Lifeline details	Attempted contact with 100% of relevant tenants

WBA11	Continue to improve the way we provide Benefits	Average time taken to process changes in circumstances is 8 days or less.
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Corporate Reference	Measure/Activity	Target
WBA12	Continue to improve the way we provide Benefits	Time taken to process new Benefit Claims once all of the information has been provided is 15 days or less.
WBA13	Provide opportunities for local residents to get active, in line with Contract Specifications.	Stretch target of 929,000 footfalls from April 2018 to March 2019.
WBA14	Provide a range of activities to engage with children during holiday periods.	800 activities over February, Easter, Summer and October half term holidays
WBA15	Provide targeted interventions for local residents to improve their health and wellbeing, in line with funding agreement	Draw down external funding of over £60,000 for the benefit of local residents
WBA16	Improve Council's involvement in reducing Anti-Social Behaviour and its causes	100% of agreed targets and milestones in ASB Action Plan achieved.
WBA17	Percentage of Council staff and Elected Members who have undertaken relevant safeguarding training.	100% of relevant Council Staff and Elected Members undertake training
WBA18	Improve Community Engagement beyond the Residents' Forums.	100% of agreed targets and milestones in Community Engagement Action Plan achieved.
WBA19	Improve EPC ratings of Council Properties	100% Properties EPC Rated
WBA20	Improve EPC ratings of Council Properties	All Properties are rated E and above

WBA21	Delivering Disabled Facilities Grants through the Lightbulb Project	95% of cases assessed
WBA22	Delivering Disabled Facilities Grants through the Lightbulb Project	95% of approved cases completed
WBA23	Supporting Homeless Residents	Average waiting time of 5 working days for homelessness appointments (March 2019)
WBA24	Reducing the number of empty homes	Produce a business plan to reduce the number of empty homes (December 2018)
WBA25	Provide a range of physical activities at our leisure facilities	8,801 people attend physical and sports activities at our facilities

Agenda Item 9



**Policy, Finance and
Development
Committee**

**Tuesday, 01 May
2018**

**Matter for
Information and
Decision**

Title: Annual Review of Health and Safety 2017/18

Author(s): Paul Evans (Health and Safety Officer)

1. Introduction

- 1.1. Attached to this report at **Appendix 1** is the Council's Health and Safety Annual Report which provides a summary of the Council's health and safety performance during the year April 2017 to early March 2018.
- 1.2. The Annual Report is structured in such a way as to reflect Health and Safety Executive guidance. It summarises the Council's health and safety policies, procedures and activities which have taken place over the last year.
- 1.3. The Health and Safety Policy and Statement is also attached at **Appendix 2** for approval. There are minor changes to the policy; by the addition of the titles of 'Interim Chief Executive and Directors' and 'Heads of Service'. The document will be re-signed if approved.

2. Recommendation(s)

- 2.1. That Members approve the Annual Health and Safety Plan (as set out at Appendix 1).
- 2.2. That Members approve the Health and Safety Policy (as set out at Appendix 2).

3. Information

- 3.1. At the meeting of this Committee on the 28 March 2017, the report on health and safety stated that the policy and statement will be reviewed annually and also a report was presented on the performance for the previous year. At that meeting, Members requested that the Annual Plan incorporate additional information on accident investigations; near misses; ranking system and accident recording.
- 3.2. Managing corporate risk is a key issue for all organisations in the public, private and voluntary sectors. Risks can take on many forms and organisations need to have systems in place to manage those risks. One key risk area is the health and safety of the Council's employees, of its contractors, service users and members of the public, who may be affected by its activities.

Effective management of health and safety risks will help the Council to:

- maximise the well-being and productivity of our employees;
 - maintain the well-being of contractors, service users and members of the public
 - stop people getting injured, ill or killed by the work they do for the Council;
 - prevent damage to the Council's reputation in the eyes of service users, suppliers, other stakeholders and the wider community and public realm;
 - avoid damaging effects on certain financial areas.
- 3.3. The Annual Report includes appropriate health and safety information on the Council's

activities and performance. This demonstrates to our stakeholder's the Council's commitment to effective health and safety risk management and performance monitoring, to support our desire to continuously improve.

Background Documents:

Report to Policy Finance and Development Committee of 28 March 2017 (accessible at <http://moderngov.oadby-wigston.gov.uk/mqAi.aspx?ID=9093>)

Health and Safety at Work etc. Act 1974 (accessible at <https://www.legislation.gov.uk/ukpga/1974/37>)

Managing for Health and Safety (HSG65) (accessible at <http://www.hse.gov.uk/pUbns/priced/hsg65.pdf>)

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Tel: (0116) 257 2608

Implications Annual Review of Health and Safety	
Finance Chris Raymakers (Head of Finance, Revenues & Benefits)	There are no implications directly arising from this report.
Legal David Gill (Head of Law & Governance / Monitoring Officer)	The report is satisfactory.
Corporate Risk(s) (CR) Paul Evans (Health and Safety Officer)	<input checked="" type="checkbox"/> Reputation Damage (CR4) If the Council comes into disrepute due to accidents in the work environment, there could be: <ul style="list-style-type: none"> • negative public opinion that is hard to reverse • unwanted attention from pressure groups • a media grilling <input checked="" type="checkbox"/> Regulatory Governance (CR6) New laws and regulations require sound corporate governance practices to protect the council against liabilities. <input checked="" type="checkbox"/> Failure to Respond to a Significant Incident (CR7) HSE involvement that could lead to fines.
Corporate Priorities (CP) Paul Evans (Health and Safety Officer)	<input checked="" type="checkbox"/> Effective Service Provision (CP2) Health and safety is essential within the workplace for effective service provision and staff wellbeing. <input checked="" type="checkbox"/> Green & Safe Places (CP4) Systems and processes that are managed for health and safety purposes lead to safe and green places.
Vision & Values (V) Paul Evans (Health and Safety Officer)	<input checked="" type="checkbox"/> Accountability (V1) All staff are accountability for their own, their colleagues and the public's health and safety.
Equalities & Equality Assessment(s) (EA) Paul Evans (Health and Safety Officer)	<input checked="" type="checkbox"/> Not Applicable (EA) A health and safety policy and monitoring of the same ensures that staff are treated equally.

OADBY & WIGSTON BOROUGH COUNCIL



Oadby & Wigston
BOROUGH COUNCIL

HEALTH AND SAFETY ANNUAL REPORT 2017 TO 2018

Produced by Paul Evans
Health and Safety Officer
1 March 2018

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1. Introduction and Overview

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

The purpose of the Council's health and safety 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.

This is the second health and safety annual report brought to this Committee and covers the period from April 2017 to early March 2108 (and will be described in this Annual Report as 'financial year 2017/18').

2. Corporate Governance

Elected Members of the Council shall ensure that suitable resources are made available and take necessary strategic direction to discharge the Council's health and safety responsibilities and monitor, via reports, the overall performance of the Council's health and safety management systems.

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

Senior Management Team (SMT) which currently consists of the Interim Chief Executive and the Director of Finance & Transformation are responsible for the management of risks at a corporate level.

Heads of Service are responsible for managing the risks created by their service area's activities. In particular they should ensure that work related hazards are identified and risk assessments are undertaken and that these are communicated to all relevant parties, monitored and updated.

Team Leaders and other Supervisory Staff have day-to-day responsibility for managing health and safety of the people under their control.

Employees will take reasonable care of their own health and safety and that of others affected by their acts or omissions.

Health and Safety Officer (H&SO) will be responsible for the distribution of information for effective management systems on health and safety matters.

3. Statistical Information

Regulatory Interventions: There have been no regulatory interventions this financial year either from the Health and Safety Executive or the Leicestershire Fire & Rescue Service.

Auditing Activity: The Council's Internal Auditor, CW Audit has not carried out audits on health & safety this financial year. The audits carried out by the Health and Safety Officer are given in detail in section 6 but principally comprised building security and assistance to the property team on fire issues due to the Grenfell tower disaster.

Accident Statistics: The table below show the number of accidents at each Council owned location and 'elsewhere'. Accidents categorised as 'elsewhere' are normally staff from the depot that have accidents on site whilst collecting refuse/ recycling or undertaking grounds maintenance or street cleansing works.

Table 1: Staff Accidents via location

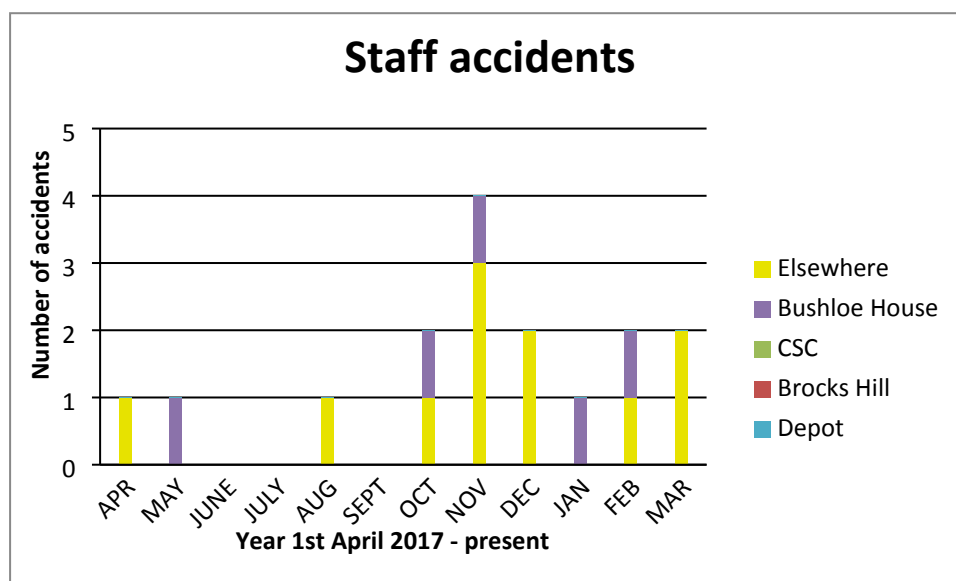


Table 1 above shows 16 accidents occurring in 2017/18 for staff related activities. The first six months only had three accidents whereas the later months had thirteen accidents. The majority of accidents were slips trips and falls (mostly due to the inclement weather) and cuts from waste contained within refuse & recycling sacks). In 2016/17 there were 14 accidents. Further comparisons with last year to this year revealed a reduction in accidents at

Bushloe House but an increase from 5 to 11 for Operation and Street Scene staff. The increase is due to cuts from sharp objects contained within refuse sacks; slips, trips & falls (especially in inclement weather) and could also be because of a raised awareness in reporting procedures.

Accidents reported at Brocks Hill have not been included this year. This is due to an agreement with the head of Health and Leisure and the H&SO that only 'staff' accidents should be included within the document.

Accident investigations into the above resulted in:

- improvements to the visibility of a section of staircase
- removal of certain types of crockery
- changes to the way drivers exit vehicles whilst undertaking waste management duties
- consideration of changes to glove procurement
- assisting in the decision making process for the procurement of heavier gauge plastic recycling sacks

Near Misses are included within the Health and Safety Policy for employees to report and for supervisory staff to undertake investigations. Only one near miss has been reported this financial year which resulted in changes to how a cupboard in a heavily used area is filled and emptied.

Accidents (RIDDOR): The Council has had two reportable accidents so far this financial year. One accident in the early part of the year resulted in the closure of the zip wire play area at Brocks Hill after a risk assessment found it was not fit for purpose. The removal was subsequently reported to the Service Delivery Committee. The other reportable accident concerned a member of the Operation and Street Scene staff who received a cut from object(s) placed within a black refuse sack resulting in a number of days off work. This type of incident should reduce if wheeled bins are introduced.

4. Partnerships

The Health and Safety Officer attends the Leicester, Leicestershire and Rutland Safety Advisers Group meetings where technical information is discussed.

5. Joint Consultation

The Health and Safety Group has been meeting for over two years since its first meeting in March 2016. Attendees are from various teams within the Council and also represent all key buildings. Representation is also from the trade unions, senior management and the Health and Safety Officer. There is regular discussion on accidents; fire evacuation procedure; risk assessments; lone working and other important elements. All agenda items and notes of the meetings are available for staff on the Intranet.

At the time of writing this report it is intended that the Staff Group and the Health and Safety Group be combined into one – the suggested name at present is the ‘Staff and Wellbeing Group’. The intention of this new group is not only to consider health and safety items but also health initiatives, workplace wellbeing etc. The next meeting of the Health and Safety Group will be in late March where this proposal will be discussed.

6. Key Activities 2017/18

The Health and Safety Policy was submitted to this Committee in March 2017 and approved.

The non-exhaustive list below shows a number of areas that the Health and Safety Officer has been involved in this financial year:

- Fire evacuations have been successfully carried out at Bushloe House, Customer Services, the depot and Brocks Hill over the last twelve months. Revised fire evacuation plans have been produced for all the above properties. Revised plans will be produced for Bushloe House after the building work near reception is complete.
- Events such as the Grenfell tower fire and other national incidents resulted in assisting the property team on fire risk assessments (FRA); and also building security assessments. None of the council’s housing stock had similar type of cladding that was at Grenfell. However, due to the seriousness of the situation and potential risk to the public, FRA’s were carried out on the residential blocks of flats; action work plans developed and maintenance/ improvement works are being carried out on a priority list by the property team. Similarly, maintenance works to Bushloe House is programmed to improve building security.
- The risk assessments at the depot have been revised and updated where necessary. A handbook of safe working practices for all operational staff based on these risk assessments has been produced. All depot staff received a copy earlier this year and it is also available on the intranet.
- The vehicle that clinical waste was collected in was inspected and required improvements to bring it up to standard; which were subsequently carried out.
- The Learning Pool module ‘Introduction to Health and Safety’ has been introduced as a compulsory module for all staff with a deadline for completion of 31 March 2018
- The health and safety knowledge bank on the intranet is updated on a regular basis principally with the inclusion of the lone worker policy and minor improvements to forms.

- Accident investigations that are undertaken are analysed and changes to operating procedures are made where appropriate (see section 3 for further details of improvements that have been made.)
- The annual display screen equipment (DSE) assessments for staff have been undertaken and recorded by managers and their teams. Staff are now more aware of working with DSE: some have acquired footrests and replacement chairs; others new workstations. Workstation exercises to reduce muscular aches and pains for staff to undertake were added to the intranet in October of last year.
- The Customer Alert System (previously known as the corporate warning system) was introduced to managers and staff. Incidents that have occurred principally at Customer Services are recorded on the system with two currently categorised.
- The Lone Working Policy and Procedure was approved at this Committee in July 2017. Training with lone workers has been carried out earlier this year by a representative of the Suzy Lamplugh Trust. Heads of Service have introduced lone working as an agenda item (and indirectly the customer alert system) at their team meetings to consider risks that their staff may become involved in.
- First Aid training and re-training has been undertaken for staff at the three main council sites.
- In depth risk assessment on the new area of Finance & Transformation following the building works has resulted in fire escape routes more clear than previously, rationalisation of electrical sockets and leads and extract fan checks.
- Responses to previous internal audit reports on health and safety based on the Action Plans have been carried out that have improved procedures for health and safety management at the depot.
- Audit of works to the Boulter Crescent Community Flat following a risk assessment process and planning the improvements in have improved the safety and welfare of staff and public who use the facility
- Working with the Human Resources Team on: revising and updating the drug and alcohol policy in order to make management and staff responsibilities more clear; working time changes to the public cleansing team to improve lone worker safety and the health at work day that was successfully undertaken in March 2018.

7. Risks

The high level risks associated with the council's business are shown in the table below, along with a brief description. Risks that were very high – such as the health and safety policy or the fire risk assessment at Bushloe House are now 'below the line' as work has been undertaken over the last two years to reduce the risk to manageable proportions.

Risks that are 'above the line' will be worked on over the year, i.e.,

- Risk assessment training will be via a learning pool module that will be 'written' and introduced for all staff
- To ensure that the Health and Safety Group continues to meet quarterly in order to coordinate health and safety issues at the council . Any reductions in meeting frequencies will infer a downgrading in health and safety importance.
- To have adequate accident investigations that are carried out by supervisory staff or the H&SO and to ensure that appropriate changes are made to protocols to reduce accident reoccurrence
- Any injuries or near misses to the Operation and Street Scene workforce due to the implementation of the clear sacks (comingled collections) and continued use of the black refuse sacks will be carefully monitored. Comparisons can then be made in the future if wheeled bins are introduced..

L I K E L I H O O D	A	Very High				
	B	High		8		
	C	Significant		6	5, 7	
	D	Low		3, 4		
	E	Very Low			1	2
	F	Almost Impossible				
		Negligible	Marginal	Critical	Catastrophic	
		1	2	3	4	

IMPACT

Risk No.	Description
1	First Aid – ensuring numbers and competencies are up to date
2	Fire Risk assessments are updated and evacuation procedures are regular
3	Health and Safety Policy (and annual report) updated annually
4	Awareness training on health and safety carried on annually (and Inductions)

5	Risk Assessment training
6	To ensure the Health and Safety Group meets quarterly
7	Accident Investigations
8	Refuse & Recycling collection methods – accident monitoring on sack use

8. Action Plan 2018/19

The main focus in 2018/19 will be:

- Monitoring the Lone Worker system, including communication devices
- The Customer Alert System
- Accident investigations for managers
- Updating the drug and alcohol policy
- Producing a Learning Pool module on risk assessments
- Safe systems of work within the depot workshop
- Other areas as suggested by the Health and Safety Group
- Stress management
- Assisting the Operation & Street Scene service – changes to refuse & recycling practices

9. Conclusion

The role of health and safety at both senior management team and by all officers is increasing in importance and in profile. The dissemination of information by emails, Health and Safety Group, Notice Boards and the Intranet is assisting in this process. The use of Learning Pool, initially with the 'Introduction to Health and Safety module' and future ones has also brought health and safety to a much wider audience within the Council.

The work in 2018/19 will build on these foundations and lead to more informed officers on their role within health and safety culture.

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**OADBY & WIGSTON BOROUGH COUNCIL**



**Oadby & Wigston**  
BOROUGH COUNCIL

**Health and Safety Policy**  
**March 2018**

## Contents

- Health and Safety Statement
- Introduction
- Roles and Responsibilities
- Risk Assessments
- Personal Protective Equipment
- Monitoring and Review

## General Statement of Health and Safety Policy

The Council recognises that good health and safety management supports the delivery of our services to the people of Oadby and Wigston. Oadby and Wigston Borough Council is committed to providing and maintaining a healthy and safe working environment for all its employees, and in ensuring that their work does not adversely affect the health and safety of other people such as service users, visitors and contractors.

In order to achieve this aim the Council has the following key objectives:

- as a minimum, to comply with requirements of relevant legislation;
- to identify hazards (the potential for harm), assess risks (the likelihood of that harm being realised) and manage those risks from our premises and works;
- to provide suitable induction training for all new employees, visitors, members and contractors;
- to ensure that employees (and others as appropriate) are adequately informed of the identified risks and where appropriate receive instruction, training and supervision;
- to consult with employees on health and safety matters;
- to provide and maintain safe and healthy premises and work equipment;
- to provide a safe working environment;
- to ensure that employees are competent to do their tasks, providing training and personal protective equipment where necessary;
- to ensure that contractors are competent to manage the health and safety aspects of their work;
- to maintain appropriate health and safety management systems and arrangements;
- to monitor and review the effectiveness of the safety management systems and arrangements and where appropriate implement improvements.

Anne Court  
*Interim Chief Executive*

Councillor John Boyce  
*Leader of the Council*

Date:

Date:

## 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.

## Roles and Responsibilities

**Elected Members of the Council** shall ensure that suitable resources are made available and take necessary strategic direction to discharge the Council's health and safety responsibilities and monitor, via reports, the overall performance of the Council's health and safety management systems.

**Chief Executive Officer (CEO)** will take overall responsibility for health & safety across the Council and lead in setting corporate policy and direction.

**Senior Management Team (SMT)** which consists of the Interim Chief Executive, Director of Finance & Transformation and Interim Director of Services are responsible for the management of risks at a corporate level. They should ensure that:

- robust health and safety management systems, arrangements and procedures exist in each service area that are aligned to the corporate health and safety policy and any subordinate policies or procedures that affect the entire council.
- ensuring appropriate consultation with staff on health and safety matters takes place with assistance from the Health and Safety Officer
- their managers are competent in health and safety management techniques
- they are involved in the investigation of major accidents or incidents of corporate significance

**Heads of Service** are responsible for managing the risks created by their service area's activities. In particular they should ensure that:

- SMT are supported 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.
- adequate resources are available to manage risks
- work related hazards are identified and risk assessments are undertaken and that these are communicated to all relevant parties, monitored and updated
- health and safety documentation is produced for risks specific to their service areas
- When procuring contractors and suppliers ensure that suitable risk assessments and method statements are provided prior to work commencing

**Team Leaders and other Supervisory Staff** have day-to-day responsibility for managing health and safety of the people, activities, sites, plant, materials under their control or who organise work for others.

- Ensure that risk assessments have been undertaken and reviewed on a regular basis, controls are implemented and they are communicated to relevant persons.

- Provide suitable personal protective equipment or other control measures identified in the risk assessments
- Ensure staff under their control cooperate with measure provided for their health and safety
- Consult with staff on health and safety matters
- Ensure that facilities, plant, tools and equipment are safe and all records are maintained
- Monitor health and safety performance
- Investigate all accidents/incidents/ 'near-misses', record findings and review
- Ensure that training is identified and arranged

**Employees** will take reasonable care of their own health and safety and that of others affected by their acts or omissions. Any breaches of health and safety arrangements will be subject to the Council's formal employment procedures. In particular all employees will:

- Co-operate with the council's management to enable risks to be controlled and achieve compliance with legislation
- 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 and to not intentionally misuse it.
- Report to a manager or the Health and Safety Officer any health and safety problem which they cannot deal with themselves or any limitation they consider to be in the health and safety policy
- Report to a manager any accident or near miss incident

**Health and Safety Officer (H&SO)** will be responsible for the distribution of information for effective management systems on health and safety matters. This professional role is essentially advisory. 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 support SMT, managers, team leaders and supervisory staff to meet their health and safety responsibilities
- 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 and internal investigations are undertaken
- To liaise with enforcement agencies on the council's behalf
- To advise on relevant changes in legislation
- Facilitate the Health and Safety Group

## **Risk Assessments**

The Council's policy is to ensure that all significant tasks, jobs and operations within the Council's undertaking are subject to suitable and sufficient risk assessment. The risk assessments must be a thorough, careful and systematic evaluation of work tasks, situations or premises which identify all significant hazards and associated risks so that suitable precautions can exist and consideration be given to implementation of further measures to reduce the hazards to the lowest practicable level. The Council accepts this is a fundamental risk management process within the Authority.

All members of staff must play their part in the implementation of risk assessment by adhering to the procedures in place to ensure the protection of all persons affected by the Council's undertakings. Additionally, employees must report any significant changes in their work methods or equipment that may alter the status of any existing risk assessments to their Manager.

## **Personal Protective Equipment**

- Systems of work shall be selected which avoid the use of PPE wherever reasonably practicable. PPE shall be regarded as the last resort to protect against risks to Health and Safety.
- PPE shall be supplied free of charge to all employees. Service areas are responsible for obtaining and paying for PPE required by their staff, to include any storage and maintenance required.
- Heads of Service must identify the need for any PPE in a suitable and sufficient risk assessment. The risk assessment should identify:
  - that the equipment is appropriate to risk and working conditions;
  - that it does not increase risks or place any unreasonable demands on the user's health and ability to work safely;
  - it adjusts/fits properly;
  - compatibility of different items of PPE used together.
- Staff must be properly informed and trained in the use of PPE.
- All PPE must be maintained and stored properly in accordance with supplier's instructions.
- Staff must follow instructions on when/how to use PPE if the need has been identified.
- Staff must treat PPE supplied to them with care and report defects immediately.

## **Monitoring and Review**

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

~\*~



# Agenda Item 10



**Policy, Finance and  
Development  
Committee**

**Tuesday, 01 May  
2018**

**Matter for  
Information and  
Decision**

**Title: Resident Forum Budget Position and Allocation Requests**

**Author(s): Chris Raymakers (Head of Finance, Revenues and Benefits)**

## 1. Introduction

This report sets out grant requests from the Residents' Forums and other outside bodies as well as updating Members on the current financial position of the Forums.

This will be the final Forum Expenditure report in this form. Going forward, the reporting and allocation of funding will follow that approved at Full Council on 5 December 2017 in the report entitled 'Third Sector and Community Support Funding'.

## 2. Recommendation(s)

- 2.1 That Members note the position of the Forums' budget.
- 2.2 That Members approve the requests from the Residents' Forums detailed below.

## 3. Information

- 3.1. The attached report (as set out in the appendix) shows the financial position for the three Residents' Forums at 31 March 2018.

The report shows the actual spend at the end of March 2018 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.

| <b>Forum</b>  | <b>Original<br/>Allocation</b> | <b>Budgets<br/>Allocated</b> | <b>Unused<br/>Balances for<br/>Reallocation</b> | <b>Total<br/>Unallocated<br/>Funds</b> | <b>Spend to 31<br/>March 2018</b> |
|---------------|--------------------------------|------------------------------|-------------------------------------------------|----------------------------------------|-----------------------------------|
|               | <b>£</b>                       | <b>£</b>                     | <b>£</b>                                        | <b>£</b>                               | <b>£</b>                          |
| Wigston       | 259,200                        | 218,382                      | 10,492                                          | 51,310                                 | 198,071                           |
| South Wigston | 129,600                        | 114,370                      | 7,626                                           | 22,856                                 | 95,894                            |
| Oadby         | 259,200                        | 224,564                      | 11,911                                          | 46,547                                 | 203,995                           |
|               | <b>648,000</b>                 | <b>557,316</b>               | <b>30,029</b>                                   | <b>120,713</b>                         | <b>497,582</b>                    |

- 3.2. All three Forums were held during February and March 2018, during which six requests for funding were made. Each scheme has to meet at least one of the Council's Priorities, which are

- An Inclusive and Engaged Borough (IEB)
- Effective Service Provision (ESP)
- Balanced Economic Development (BED)
- Green and Safe Places (GSP)
- Wellbeing for All (WFA)

Oadby Residents Forum met on the 28 February and submitted the following requests:

1. Oadby Community Response Group to receive £1,575 for a leaflet explaining to the residents of Oadby how to prepare for an emergency. The leaflet would be delivered to 8,500 residencies in Oadby and would complement work being carried out by the Council in its Emergency Planning function (WFA);
2. That the Council installs the refurbished bench and seating area on Florence Wragg Way at a cost of £450. This is the only bench on the route from the Borough to Waitrose (WFA/GSP); and
3. That the Council place the Sandhurst school commemorative stones at Burton's Corner in an appropriate setting with interpretation panels for those using the area. Estimated cost of the project would be around £1,000 (GSP).

South Wigston Residents Forum met of the 7 March and submitted the following request:

1. That a bus shelter be erected near Gloucester Crescent and Cornwall Road. The cost would be approximately £4,000. This location was identified by local residents and will address the need to wait for public transport in inclement weather (WFA/GSP).

Wigston Residents Forum met of the 14 March and submitted the following requests:

1. That the Council place a litter bin on Barford Close at a cost of approximately £450. This will encourage residents and visitors to dispose of their litter and lead to an improvement in the cleanliness of the environment (GSP); and
2. An award of a further £300 to purchase a defibrillator to be installed on Bell Street, outside Sainsbury's. This will be provided and fitted by the Council. (GSP/WFA).

#### **4. Grant Requests**

There are no grants to voluntary organisation for this Committee to approve.

#### **Background Documents:**

None.

**E-mail:** chris.raymakers@oadby-wigston.gov.uk

**Tel:** (0116) 257 2891

| <b>Implications</b>   Resident Forum Outturn Budget Position and Allocation Requests |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|--------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Finance</b>                                                                       | The implications are as set out in the report.                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>Chris Raymakers</b><br>(Head of Finance, Revenues and Benefits)                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Legal</b>                                                                         | The report is satisfactory                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>Dave Gill</b><br>(Head of Law & Governance / Monitoring Officer)                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Corporate Risk(s) (CR)</b>                                                        | <input checked="" type="checkbox"/> <b>Decreasing Financial Resources (CR1)</b><br>Financial resources are reducing while the Government's austerity programme continues.<br><input checked="" type="checkbox"/> <b>Reputation Damage (CR4)</b><br>Poor financial stewardship will lead to reputational damage for the Council.<br><input checked="" type="checkbox"/> <b>Regulatory Governance (CR6)</b><br>Financial Management forms are an integral part of the governance of the Authority. |
| <b>Chris Raymakers</b><br>(Head of Finance, Revenues and Benefits)                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Corporate Priorities (CP)</b>                                                     | <input checked="" type="checkbox"/> <b>An Inclusive and Engaged Borough (CP1)</b><br>All Council Priorities are underpinned by sound financial management.<br><input checked="" type="checkbox"/> <b>Effective Service Provision (CP2)</b><br><input checked="" type="checkbox"/> <b>Balanced Economic Development (CP3)</b><br><input checked="" type="checkbox"/> <b>Green &amp; Safe Places (CP4)</b><br><input checked="" type="checkbox"/> <b>Wellbeing for All (CP5)</b>                   |
| <b>Chris Raymakers</b><br>(Head of Finance, Revenues and Benefits)                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Vision &amp; Values (V)</b>                                                       | <input checked="" type="checkbox"/> <b>"A Strong Borough Together" (Vision)</b><br>All Council Values are underpinned by sound financial management.<br><input checked="" type="checkbox"/> <b>Accountability (V1)</b><br><input checked="" type="checkbox"/> <b>Customer Focus (V5)</b>                                                                                                                                                                                                         |
| <b>Chris Raymakers</b><br>(Head of Finance, Revenues and Benefits)                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Equalities &amp; Equality Assessment(s) (EA)</b>                                  | There are no implications arising from this report.                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Chris Raymakers</b><br>(Head of Finance, Revenues and Benefits)                   | <input checked="" type="checkbox"/> <b>Not Applicable (EA)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                   |

| <b>OADBY RESIDENT FORUM</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>Approved amount</b>                                                                | <b>Actual amount spent at 31/03/18</b>                                              | <b>Completed projects - balance available for reallocation</b>     | <b>Progress Report</b>                                                                                                                   |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|--------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | £                                                                                     | £                                                                                   | £                                                                  |                                                                                                                                          |
| Original Allocation<br>Allocation PFD committee 28 March 2017<br><b>Total allocated budget</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | 230,000<br>29,200<br><b>259,200</b>                                                   | £<br><br><b>259,200</b>                                                             |                                                                    |                                                                                                                                          |
| <b>Spend at 1 April 2017</b><br><br>Litter Bin placed on Uplands Park nr Manor Rd School (PFD July 15)<br>Litter bins - Coombe Park (PFD March 16)<br>Grant Oadby and Wigston First Responders - Jackets (PFD Feb 17)<br>Grant to 7Events - Defibrillator (PFD Feb 17)<br>Oadby Traders Christmas lights switch-on, hire of stage set up (delegated auth)<br>Litterbins to be placed on A6 outside Waitrose in both directions (delegated auth)<br>Refurbishment of bench on Florence Wragg Way (delegated auth)<br><b>Schemes currently requiring completion</b> | <b>218,934</b><br><br>450<br>900<br>180<br>250<br>2,800<br>900<br>150<br><b>5,630</b> | <b>198,515</b><br><br>450<br>900<br>180<br>250<br>2,800<br>900<br>0<br><b>5,480</b> | <b>(11,911)</b><br><br>0<br>0<br>0<br>0<br>0<br>0<br>0<br><b>0</b> | 0 Job Complete<br>0 Job Complete<br>0 Job Complete<br>0 Job Complete<br>0 Job Complete<br>0 Job Complete<br>Scheme about to be commenced |
| <b>Total committed</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <b>224,564</b>                                                                        | <b>203,995</b>                                                                      | <b>(11,911)</b>                                                    |                                                                                                                                          |
| <b>Completed projects - unused balance available for reallocation</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <b>11,911</b>                                                                         |                                                                                     |                                                                    |                                                                                                                                          |
| <b>Funds Remaining</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <b>46,547</b>                                                                         |                                                                                     |                                                                    |                                                                                                                                          |

| <b>WIGSTON RESIDENT FORUM</b>                                          | <b>Approved amount</b> | <b>Actual amount spent at 31/03/18</b> | <b>Completed projects - balance available for reallocation</b> | <b>Progress Report</b>                             |
|------------------------------------------------------------------------|------------------------|----------------------------------------|----------------------------------------------------------------|----------------------------------------------------|
|                                                                        | <b>£</b>               | <b>£</b>                               | <b>£</b>                                                       |                                                    |
| Original Allocation                                                    | 230,000                |                                        |                                                                |                                                    |
| Allocation PFD committee 28 March 2017                                 | 29,200                 |                                        |                                                                |                                                    |
| <b>Total allocated to Wigston Forum</b>                                | <b>259,200</b>         | <b>259,200</b>                         |                                                                |                                                    |
| <b>Schemes Complete at 1 April 2017</b>                                | <b>209,672</b>         | <b>194,948</b>                         | <b>(10,492)</b>                                                |                                                    |
| Civic Orchestra Commemorative Event (PFD Feb 16)                       | 500                    | 500                                    | 0                                                              | Job Complete                                       |
| Seat to be Placed in Bus Shelter near the health centre (PFD March 16) | 250                    | 250                                    | 0                                                              | Job Complete                                       |
| Litterbin at Horsewell lane (PFD July 16)                              | 400                    | 400                                    | 0                                                              | Job Complete                                       |
| Refurbishment of Marrome Square (PFD July 16)                          | 5,000                  | 0                                      |                                                                | Work to commence after consultation with residents |
| Grant Oadby and Wigston First Responders - Jackets (PFD Feb 17)        | 180                    | 180                                    | 0                                                              | Job Complete                                       |
| Grant to Little Hill Residents Assoc - leaf Blower (PFD Feb 17)        | 187                    | 187                                    | 0                                                              | Job Complete                                       |
| Grant to Girls Guides Assoc - Purchase of a shed (PFD Feb 17)          | 300                    | 300                                    | 0                                                              | Job Complete                                       |
| Sheila Mitchell Pavilion - New Cooker (PFD March 17)                   | 400                    | 358                                    | 0                                                              | Job Complete                                       |
| The Wigston Pinfold refurbished trough project (delegated auth)        | 873                    | 385                                    | 0                                                              | Part Payment made                                  |
| Little Hill Residents Association - 12 Laurel Bushes (delegated auth)  | 420                    | 420                                    | 0                                                              | Job Complete                                       |
| Wigston Lions - Gazeboe Banners (delegated auth)                       | 200                    | 143                                    | 0                                                              | Part Payment made                                  |
| <b>Schemes currently requiring completion</b>                          | <b>8,710</b>           | <b>3,123</b>                           | <b>0</b>                                                       |                                                    |
| <b>Total committed</b>                                                 | <b>218,382</b>         | <b>198,071</b>                         | <b>(10,492)</b>                                                |                                                    |
| <b>Completed projects - unused balance available for reallocation</b>  | <b>10,492</b>          |                                        |                                                                |                                                    |
| <b>Funds remaining</b>                                                 | <b>51,310</b>          |                                        |                                                                |                                                    |

| <b>SOUTH WIGSTON RESIDENT FORUM</b>                                    | <b>Approved amount</b> | <b>Actual amount spent at 31/03/18</b> | <b>Completed projects - balance available for reallocation</b> | <b>Progress Report</b>                           |
|------------------------------------------------------------------------|------------------------|----------------------------------------|----------------------------------------------------------------|--------------------------------------------------|
|                                                                        | <b>£</b>               | <b>£</b>                               |                                                                |                                                  |
| Original Allocation                                                    | 115,000                |                                        |                                                                |                                                  |
| Allocation PFD committee 28 March 2017                                 | 14,600                 |                                        |                                                                |                                                  |
| <b>Total allocated budget</b>                                          | <b>129,600</b>         | <b>129,600</b>                         |                                                                |                                                  |
| <b>Schemes Complete at 1 April 2017</b>                                | <b>111,890</b>         | <b>94,489</b>                          | <b>(7,401)</b>                                                 |                                                  |
| <b>Schemes currently requiring completion</b>                          |                        |                                        |                                                                |                                                  |
| South Wigston Market Traders Community Newsletter (PFD Oct 15)         | 500                    | 500                                    | 0                                                              | Funds about to be released                       |
| Civic Orchestra Commemorative Event (PFD Feb 16)                       | 500                    | 500                                    | 0                                                              | Job Complete                                     |
| Oadby and Wigston Civic Society plaque at Train Station (PFD March 16) | 450                    | 225                                    | (225)                                                          | Job Complete - remaining balance returned to pot |
| Grant for Step-Out Project (PFD July 16)                               | 400                    | 400                                    | 0                                                              | Funds about to be released                       |
| Grant Oadby and Wigston First Responders - Jackets (PFD Feb 17)        | 180                    | 180                                    | 0                                                              | Job Complete                                     |
| Litter bins to be placed on Saffron Road (delegated auth)              | 450                    | 0                                      | 0                                                              | Exact location to be determined                  |
| <b>Subtotal</b>                                                        | <b>2,480</b>           | <b>1,805</b>                           | <b>(225)</b>                                                   |                                                  |
| <b>Total committed</b>                                                 | <b>114,370</b>         | <b>96,294</b>                          | <b>(7,626)</b>                                                 |                                                  |
| <b>Completed projects - balance available for reallocation</b>         | <b>7,626</b>           |                                        |                                                                |                                                  |
| <b>Funds remaining</b>                                                 | <b>22,856</b>          |                                        |                                                                |                                                  |

# Agenda Item 11



|                                                  |                             |                               |
|--------------------------------------------------|-----------------------------|-------------------------------|
| <b>Policy, Finance and Development Committee</b> | <b>Tuesday, 01 May 2018</b> | <b>Matter for Information</b> |
|--------------------------------------------------|-----------------------------|-------------------------------|

**Title:** Digital Strategy for the Leicestershire Districts ICT Partnership

**Author(s):** Jacky Griffith (Head of Customer Service & Transformation)

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## 1. Introduction

This report introduces a Digital Strategy for the Leicestershire Districts ICT Partnership.

## 2. Recommendation(s)

That Members note the contents of the report.

## 3. Information

3.1. The Council currently obtains network and IT infrastructure support through the Leicestershire ICT Partnership (LICTP), which is hosted by Hinckley and Bosworth Borough Council (HBBC) and includes Oadby and Wigston Borough Council (OWBC), Blaby District Council (BDC), Melton Borough Council (MBC) and the Leicestershire Revenues and Benefits Partnership (LRBP).

3.2. A Digital Strategy has been drawn up by the partners setting out the LICTP's vision and objectives for 2018 until 2022. The seven key objectives of the Strategy are to:

1. Create communities who are digital by choice to enable our customers to have easier access to services that meet their expectations.
2. Support a well-equipped, agile workforce with the right skills, tools and abilities to provide efficient and effective services to meet our customer requirements.
3. Empower our residents, businesses and workforce to make the most of digital opportunities.
4. Facilitate and promote the delivery of improved digital infrastructure for our residents and businesses.
5. Build safe, secure and strong connected communities by improving access to digital services and infrastructure.
6. Drive efficiency in the development and delivery of effective digital services.
7. Work with partners to maximise the potential benefits of digital opportunities.

3.3. The objectives of this Strategy will be delivered through the implementation of a supporting action plan currently being drafted by the member authorities in the LICTP.

3.4. The action plan will identify the available resource and will describe the forward plan of actions, aimed at delivering the objectives set out in the Digital Strategy.

### Background Documents:

Appendix - Digital Strategy for Leicestershire Districts ICT Partnership (2018-2022)

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| <b>Implications</b>   Digital Strategy for the Leicestershire Districts ICT Partnership                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|----------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Finance</b><br><b>Chris Raymakers</b><br>(Head of Finance and Revenues and Benefits)                  | There are no implications directly arising from the report.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>Legal</b><br><b>David Gill</b><br>(Head of Law & Governance / Monitoring Officer)                     | There are no implications directly arising from the report. The report is satisfactory.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Corporate Risk(s) (CR)</b><br><b>Jacky Griffith</b><br>(Head of Customer Service & Transformation)    | <input checked="" type="checkbox"/> <b>Decreasing Financial Resources (CR1)</b><br>More efficient ways of delivering services will help to mitigate against budgetary constraints.<br><input checked="" type="checkbox"/> <b>Key Supplier/Partnership Failure (CR2)</b><br>As a member of a shared services partnership, OWBC has greater resilience and opportunity to deliver on IT initiatives.<br><input checked="" type="checkbox"/> <b>Reputation Damage (CR4)</b><br>The absence of a cohesive strategy meeting residents' expectations regarding the use of digital services could lead to reputational damage to the Council.<br><input checked="" type="checkbox"/> <b>Organisational/Transformational Change (CR8)</b><br>The digital strategy will support organisational change and effective delivery of services. |
| <b>Corporate Priorities (CP)</b><br><b>Jacky Griffith</b><br>(Head of Customer Service & Transformation) | <input checked="" type="checkbox"/> <b>An Inclusive and Engaged Borough (CP1)</b><br>Enabling communities to make the most of the digital age.<br><input checked="" type="checkbox"/> <b>Effective Service Provision (CP2)</b><br>The digital strategy will support the organisation in identifying improvements in service delivery to provide the most cost effective services.                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>Vision &amp; Values (V)</b><br><b>Jacky Griffith</b><br>(Head of Customer Service & Transformation)   | <input checked="" type="checkbox"/> <b>"A Strong Borough Together" (Vision)</b><br>We will work to ensure our residents and business are able to access Council services digitally.<br><input checked="" type="checkbox"/> <b>Accountability (V1)</b><br>We will routinely identify digital opportunities as part of our standard service.<br><input checked="" type="checkbox"/> <b>Respect (V2)</b><br>We will keep pace with our customers' expectations through a clear strategy to introduce digital technologies that make it easier for customers to access council services digitally.<br><input checked="" type="checkbox"/> <b>Teamwork (V3)</b><br>We will work together to develop safe and secure communities.                                                                                                      |



|                                                                      |                                                                                                                                                                                                                                                                                                                                                     |
|----------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                      | <input checked="" type="checkbox"/> <b>Innovation (V4)</b><br>Ambition and innovation is embedded in the partnership's approach to delivering its digital strategy.<br><input checked="" type="checkbox"/> <b>Customer Focus (V5)</b><br>Our customers will be able to access the services they need through the most appropriate channel for them. |
| <b>Equalities &amp; Equality Assessment(s) (EA)</b>                  | There are no implications directly arising from the report.                                                                                                                                                                                                                                                                                         |
| <b>Jacky Griffith</b><br>(Head of Customer Service & Transformation) | <input checked="" type="checkbox"/> <b>Not Applicable (EA)</b>                                                                                                                                                                                                                                                                                      |

# A Digital Strategy for the Leicestershire Districts ICT Partnership



## Introduction

We live in rapidly changing times with our view of the world increasingly being seen through a digital lens. Social media, smartphones and the internet are creating a new future that is not just about technology but also about social, cultural and business change.

As a Shared Services Partnership we play a major role in introducing and managing the new technologies that not only support our councils but are also demanded by our customers who are already used to communicating,

shopping, banking and organising their lives using digital channels and platforms, and making sure they have the confidence to do this in a safe and secure way.

To keep pace with our customers' expectations we need to have a clear strategy to introduce, manage and use digital technologies that make it easier than ever before for our residents to access council services digitally.

We will deliver the objectives of this Strategy through the implementation of a supporting action plan.



## The Vision for 2018 - 2022

**'We will enable communities and councils to make the most of the digital age.'**

## Our objectives

1

Create communities who are digital by **CHOICE** to enable our customers to have easier access to services that meet their expectations

- We will routinely identify digital opportunities as part of our standard service
- Ambition and innovation is to be embedded in our approach
- We will be delivering our work against a single view driven by the customer



2

Support a **WELL EQUIPPED**, agile workforce with the right skills, tools and abilities to provide efficient and effective services to meet our customer requirements

- We will develop and improve our service by analysing the problem and finding the right technology, not by changing our working to fit technology
- Our workers will have the right skills and tools to do their job wherever they need it
- We will have access to the right documentation at the right time to support our work
- We will be maximising the potential of our data (including data sharing)

3

**EMPOWER** our residents, businesses and workforce to make the most of digital opportunities



- Our workforce, members and residents will have had opportunities to learn and develop digital skills and have the confidence to use them
- Our future residents, businesses and customers will be able to access the services they need through the most appropriate channel for them



4

Facilitate and promote the delivery of improved digital **INFRASTRUCTURE** for our residents and businesses



- We will encourage the development of a robust and reliable infrastructure to support mobile connectivity
- We will influence the availability of accessible and high quality broadband and Wi-Fi
- We will support the development of digital high streets
- We will create and maintain customer portals where customers can use self-serve technologies

5

Build **SAFE, SECURE** and **STRONG**, connected communities by improving access to digital services and infrastructure



- We will work together to develop safe and secure communities
- We will create opportunities to develop the skills, capability and confidence within our communities
- We will embed volunteering
- We will create and support virtual communities (addressing social isolation)



6

Drive **EFFICIENCY** in the development and delivery of effective digital services.



- We will take every opportunity to consolidate applications, services and infrastructure
- We will embrace and adopt investment opportunities in new technologies e.g. cloud
- We will introduce automation to expedite the efficient delivery of routine services and processes

7

**WORKING WITH PARTNERS** to maximise the potential benefits of digital opportunities

- We will take every opportunity to work with other partners
- We will be responsive to working with different partners to deliver our objectives
- We will seek to identify new partners to work with who are able to contribute to our vision.



|                                                  |                             |                               |
|--------------------------------------------------|-----------------------------|-------------------------------|
| <b>Policy, Finance and Development Committee</b> | <b>Tuesday, 01 May 2018</b> | <b>Matter for Information</b> |
|--------------------------------------------------|-----------------------------|-------------------------------|

**Title:** **The Real Living Wage under TUPE Arrangements**

**Author(s):** **Karen Pollard (Head of People & Performance)**

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**1. Introduction**

This report is in response to an action raised at the Full Council meeting held on 22 February 2018. It is to assess the viability of requiring employers to honour the Council’s commitment to pay the Real Living Wage (RLW) when services are contracted out and staff transferred under the Transfer of Undertaking (Protection of Employment) Regulations 2006 (as amended) (TUPE) arrangements.

**2. Recommendation(s)**

- 2.1. That Members note the contents of the report; and
- 2.2. That Members note that the decision about the implementation and payment of the Real Living Wage forms part of the Pay Policy Statement which is agreed annually.

**3. Information**

- 3.1. On 15 March 2013, Members resolved to implement the RLW and have continued to do so every year since. The decision to pay the RLW is part of the annual Pay Policy Statement which is presented to Council before the end of each financial year and is not included in permanent terms and conditions for employees. This therefore offers no protection for staff when they transfer out to other organisations under TUPE.
- 3.2. The annual option to approve the implementation and pay of the RLW gives the Council the flexibility around the budget-making process and budget-setting.
- 3.3. The RLW is currently £8.75 per hour. This figure is reviewed every November and is applied the following April. The pay settlement for 2018/19 takes the minimum hourly rate for Council employees to £8.82. This is in excess of the RLW. Any employees subject to a TUPE transfer now would be protected at a higher rate than the RLW.

**Background Documents:**

Report to Council on 22 February 2018

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| <b>Implications</b>   The Real Living Wage under TUPE Arrangements   |                                                                            |
|----------------------------------------------------------------------|----------------------------------------------------------------------------|
| <b>Finance</b>                                                       | The implications are as set out in the report.                             |
| <b>Chris Raymakers</b><br>(Head of Finance, Revenues & Benefits)     |                                                                            |
| <b>Legal</b>                                                         | The report is satisfactory.                                                |
| <b>David Gill</b><br>(Head of Law & Governance / Monitoring Officer) |                                                                            |
| <b>Corporate Risk(s) (CR)</b>                                        | <input checked="" type="checkbox"/> <b>No Corporate Risk(s) Identified</b> |
| <b>Karen Pollard</b><br>(Head of People & Performance)               |                                                                            |
| <b>Corporate Priorities (CP)</b>                                     | <input checked="" type="checkbox"/> <b>Not Applicable</b>                  |
| <b>Karen Pollard</b><br>(Head of People & Performance)               |                                                                            |
| <b>Vision &amp; Values (V)</b>                                       | <input checked="" type="checkbox"/> <b>Not Applicable</b>                  |
| <b>Karen Pollard</b><br>(Head of People & Performance)               |                                                                            |
| <b>Equalities &amp; Equality Assessment(s) (EA)</b>                  | There are no implications arising from this report.                        |
| <b>Karen Pollard</b><br>(Head of People & Performance)               | <input checked="" type="checkbox"/> <b>Not Applicable (EA)</b>             |