



TO COUNCILLOR:

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

M L Darr
R F Eaton
Mrs L Eaton JP
D A Gamble (Chair)
Miss P V Joshi

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

Dear Sir or Madam

I hereby **SUMMON** you to attend a meeting of the **POLICY, FINANCE AND DEVELOPMENT COMMITTEE** to be held at the **COUNCIL CHAMBER - COUNCIL OFFICES, STATION ROAD, WIGSTON** on **TUESDAY, 11 JUNE 2019** at **7.00 PM** for the transaction of the business set out in the Agenda below.

Yours faithfully

Council Offices
Wigston
03 June 2019

Mrs Anne E Court
Chief Executive

<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 26 of Part 4 of the Constitution and the Substitution Procedure Rules.	
3.	Declarations of Interest	
	Members are reminded that any declaration of interest should be made having regard to the Members' Code of Conduct. In particular, Members must make clear the nature of the interest and whether it is 'pecuniary' or 'non-pecuniary'.	
4.	Minutes of the Previous Meeting	1 - 5
	To read, confirm and sign the minutes of the previous meeting in accordance with Rule 19 of Part 4 of the Constitution.	
5.	Action List Arising from the Previous Meeting	6
	To read, confirm and note the Action List arising from the previous meeting.	
6.	Petitions and Deputations	



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

- 7. Internal Audit Annual Report & Opinion (2018/19) 7 - 23**
Report of the Deputy Chief Executive
- 8. Provisional Financial Outturn Position (2018/19) 24 - 28**
Report of the Head of Finance, Revenues and Benefits
- 9. Housing Capital Programme: 2018/19 Year End Outturn and 2019/20 Proposed Programme 29 - 34**
Report of the Interim HRA Capital Programme Manager
- 10. Section 106 Open Space, Sport and Recreation Contributions (September 2018 - May 2019) 35 - 44**
Report of the Planning Policy Officer
- 11. Annual Review of Health and Safety (2018/19) 45 - 59**
Report of the Health and Safety Officer
- 12. Exclusion of the Press and Public**
The press and public are likely to be excluded from the remainder of the meeting in accordance with Section 100(A)(4) of the Local Government Act 1972 (Exempt Information) during consideration of the item(s) below on the grounds that it involves the likely disclosure of exempt information, as defined in the respective paragraph(s) 3 of Part 1 of Schedule 12A of the Act and, in all the circumstances, the public interest in maintaining the exempt item(s) outweighs the public interest in disclosing the information.
- 13. Leicestershire ICT Partnership (LICTP) Contracted Service 60 - 63**
Report of Jacky Griffith (Head of Customer Service & Transformation)

For more information, please contact:

Democratic Services

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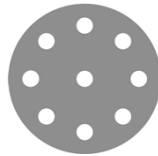
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Agenda Item 4

MINUTES OF THE MEETING OF THE POLICY, FINANCE AND DEVELOPMENT COMMITTEE HELD AT THE COUNCIL OFFICES, STATION ROAD, WIGSTON ON TUESDAY, 26 MARCH 2019 COMMENCING AT 7.00 PM

PRESENT

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

COUNCILLORS

L A Bentley	H E Loydall	(Left 7.30 pm)
G A Boulter	K J Loydall	(Left 7.30 pm)
J W Boyce	Samia Z Haq	(Left 7.30 pm)
Mrs L M Broadley	Lynda Eaton JP	(Left 7.30 pm)
F S Broadley		
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)
Mrs A E Court	(Chief Executive / Head of Paid Service)
S Hinds	(Director of Finance & Transformation / Section 151 Officer)
A Thorpe	(Head of Planning, Development & Regeneration)
S Tucker	(Democratic & Electoral Services Manager)

OTHERS IN ATTENDANCE

G Patterson	(External Auditor, Grant Thornton)
T Ridout	(Internal Auditor, CW Audit Services)

64. APOLOGIES FOR ABSENCE

An apology for absence was received from Councillor E R Barr.

65. APPOINTMENT OF SUBSTITUTES

None.

66. DECLARATIONS OF INTEREST

None.

67. MINUTES OF THE PREVIOUS MEETING

By affirmation of the meeting, it was

UNANIMOUSLY RESOLVED THAT:

The minutes of the meeting of the previous Committee held on 5 February 2019

be taken as read, confirmed and signed.

68. ACTION LIST ARISING FROM THE PREVIOUS MEETING

By affirmation of the meeting, it was

UNANIMOUSLY RESOLVED THAT:

The Action List arising from the meeting of the previous Committee held on 5 February 2019 be read, confirmed and noted.

69. PETITIONS AND DEPUTATIONS

None.

70. PROPOSED CORPORATE PLAN (2019-2024)

It was moved by the Chair, seconded by the Vice-Chair and

UNANIMOUSLY RESOLVED THAT:

Under Rule 22.1 of the Constitution, the Council's Rules of Procedure, specifically Rule 4.4, be suspended for the duration of the ensuing item of business only to allow Members who do not ordinarily sit on the Committee to otherwise be entitled to vote and take part in the discussion thereon.

The Committee received the report as set out on pages 9-46 of the agenda, which asked it to consider and approve the proposed Corporate Plan 2019-2024, to be implemented from 1 April 2019.

The Chief Executive provided the Committee with a brief overview of the Plan, which had been modified to take account of feedback received by Change Management Committee at its meeting on 5 March 2019.

The Committee welcomed the Plan and stated that it was appropriate that the Council should set out a comprehensive vision for the next 5 years accompanied by realistic targets. In particular, Members felt that the Plan outlined a range of positive aspirations, in contrast to the somewhat negative political mood nationally.

A Member of the Committee suggested that with the Council being a major purchaser of goods and services in the Borough, the Plan should demonstrate a clearer commitment under the Localism Act to procure local services as far as possible to ensure investment stays within the community. It was confirmed by Officers that whilst the Council's has a Procurement Strategy that deals with this area, a line could be inserted into the Plan reaffirming the position.

A Member of the Committee noted the commitments made in the Plan to deliver redevelopment projects at Paddock Street and Sandhurst Street, and suggested that in order to ensure that parking capacity is maintained there should be a Car Park Strategy agreed before any development is permitted to commence. Other Committee Members disagreed with the view that such a strategy should be in place at the beginning of the process, as the Council had already committed to retaining existing levels of parking provision and did not wish to see this reduced. Instead, it was suggested that the strategy for parking provision in these developments would arise and evolve out of discussions with the developer(s) at the design stage.

A Member of the Committee welcomed the commitment in Corporate Objective Three to 'Providing Excellent Services' but noted that there was no target in place whereby the commitment to investing in the Council's workforce was to be measured. It was also suggested that a commitment should be made to ensuring appropriate Member development through a coordinated training programme.

A motion to amend the Corporate Plan was put to the vote and it was

UNANIMOUSLY RESOLVED THAT:

A target be introduced to the Corporate Plan to measure the Council's commitment to investing in its workforce, and a further commitment be made to ensuring appropriate Member training and development.

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

UNANIMOUSLY RESOLVED THAT:

- (i) The new proposed Corporate Plan for the period 2019 to 2024 be approved and implemented as from 1 April 2019; and**
- (ii) The Corporate Plan be a working document with at least an annual review by the Policy, Finance and Development Committee on the progress of the Plan's key objectives and whether there needs to be any amendments to the Plan as it evolves.**

71. EXTERNAL AUDIT PLAN (2018/19)

The Committee received the report as set out on pages 47-63 of the agenda, which asked it to note the details of the Council's External Audit Plan covering the 2018/19 Accounts and Financial Statements.

Mr Grant Patterson from Grant Thornton provided the Committee with a brief overview of the report.

A Member of the Committee noted that the services of Grant Thornton had been procured at a significantly reduced fee in comparison to the previous provider, and therefore sought reassurance that this would not translate into a reduced level of service than that delivered under the previous contract. Mr Patterson provided an assurance that through efficient and established working practices, Members could be confident of service delivery being maintained whilst providing value for money.

It was moved by the Chair, seconded by the Vice-Chair and

UNANIMOUSLY RESOLVED THAT:

The contents of the report and appendix be noted.

72. INTERNAL AUDIT OPERATIONAL PLAN (2019/20)

The Committee received the report as set out on pages 64-89 of the agenda, which asked it to approve the Internal Audit Operational Plan for 2019/20.

Mr Tim Ridout, Chief Internal Auditor at CW Audit Services provided the Committee with a brief summary of the report.

A Member of the Committee noted that it was unclear what the colours used in the Strategic Risk Register at Appendix 2 were intended to denote. The Director of Finance and Transformation confirmed that a revised version of the Risk Register with clearer colours and a legend explaining each of their meanings was now available on the web version of the agenda on the Council's website.

It was moved by the Chair, seconded by the Vice-Chair and

UNANIMOUSLY RESOLVED THAT:

The Internal Audit Operational Plan for 2019/20 be approved.

73. REGULATION OF INVESTIGATORY POWERS ACT 2000 (RIPA) POLICY (MARCH 2019)

The Committee received the report as set out on pages 90-149 of the agenda, which asked it to approve and adopt updated policies in relation to directed surveillance and covert human intelligence sources on the use of powers under the Regulation of Investigatory Powers Act 2000 (RIPA).

The Democratic & Electoral Services Manager provided the Committee with a brief summary of the report.

A Member of the Committee noted that in respect of the draft Standards and Ethical Indicators Report template, the Committee would receive details of the number recommendations made to improve governance policies/procedures, as well as the number of these recommendations successfully implemented. It was suggested that in order for Members to divulge this information more clearly, the report template should include a recommendation tracker to keep the Committee informed of progress made in implementing recommendations, along with commentary/explanation for any recommendations not implemented.

It was moved by the Chair, seconded by the Vice-Chair and

UNANIMOUSLY RESOLVED THAT:

- (i) The contents of the report and appendices be noted;**
- (ii) The Directed Surveillance Policy be approved; and**
- (iii) The Covert Human Intelligence Sources Policy be approved.**

74. NAMING OF NEW PAVILION BUILDING, HORSEWELL LANE

The Committee received the report as set out on pages 150-152 of the agenda, which asked it to agree the proposed name for the new pavilion building at Horsewell Lane, along with names for the large and small community rooms within the building.

It was moved by L A Bentley, seconded by the Chair and

UNANIMOUSLY RESOLVED THAT:

- (i) The new pavilion building at Horsewell Lane be named the 'Thythorn Hill Community and Sports Centre';**
- (ii) The large community room within the new pavilion building be named the 'Jean Crane Hall'; and**
- (iii) The small community room within the new pavilion building be named**

the 'Dan Shirley' room.

75. SERVICE DELIVERY UPDATE (MARCH 2019) (VERBAL UPDATE)

The Committee received a brief verbal report from the Chair of Service Delivery Committee, detailing the progress made on a number of projects since the last meeting of the Committee in January 2019.

It was requested that a full report concerning the new Housing Tenancy Agreement be taken to the next meeting of Full Council on 16 April 2019 for approval.

It was moved by the Chair, seconded by the Vice-Chair and

UNANIMOUSLY RESOLVED THAT:

The contents of the verbal update be noted.

THE MEETING CLOSED AT 8.15 PM



Chair

Tuesday, 11 June 2019

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Agenda Item 5

POLICY, FINANCE AND DEVELOPMENT COMMITTEE

ACTION LIST

Arising from the Meeting held on Tuesday, 26 March 2019

No.	Minute Ref. / Item of Business	*Action Details / Action Due Date	Responsible Officer(s)' Initials	Action Status
1.	70. – Proposed Corporate Plan (2019-2024)	A target be introduced to the Corporate Plan to measure the Council's commitment to investing in its workforce, and a further commitment be made to ensuring appropriate Member training and development. <i>Due by Jun-19</i>	AnCo StHi	Ongoing
2.	73. – Regulation of Investigatory Powers Act 2000 (RIPA) Policy (March 2019)	A recommendation tracker be added to the Standards and Ethical Indicators Report template to keep the Committee informed of progress made in implementing recommendations, along with commentary, explanation for any recommendations not implemented. <i>Due by Jun-19</i>	DaGi	Ongoing
3.	75. – Service Delivery Update (March 2019) (Verbal Update)	A full report concerning the new Housing Tenancy Agreement be taken to the next meeting of Full Council on 16 April 2019 for approval. <i>Due by Apr-19</i>	AdTh StNa	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).



Policy, Finance and Development Committee	Tuesday, 11 June 2019	Matter for Information
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Report Title: **Internal Audit Annual Report & Opinion (2018/19)**

Report Author(s): **Stephen Hinds (Deputy Chief Executive)**

Purpose of Report:	As part of the Council’s corporate governance arrangements, the Annual Internal Audit Report is submitted to Policy, Finance & Development Committee. The purpose of the Internal Audit Annual Report (Appendix 1) is to report the key outcomes arising from the work of Internal Audit for 2018/19 and to provide an audit opinion on the adequacy and effectiveness of the Council’s arrangements for governance, risk management and internal control.
Report Summary:	The report states that “significant assurance” can be given to the Council as there is a generally sound system of internal control.
Recommendation(s):	A. That the report included on the audit opinion and the adequacy and effectiveness of the Council’s arrangements for governance, risk management and internal control (as set out at Appendix 1 to this report) be noted; and B. That the conclusion that the Council has an effective internal service be endorsed.
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	Stephen Hinds (Deputy Chief Executive) (0116) 257 2681 stephen.hinds@oadby-wigston.gov.uk Mark Watkins (Head of Internal Audit, CW Audit) (0121) 612 3871 mark.watkins@cwaudit.org.uk
Corporate Objectives:	Providing Excellent Services (CO3)
Vision and Values:	Not applicable.
Report Implications:-	
Legal:	There are no implications arising from this report.
Financial:	There are no implications directly arising from this report.
Corporate Risk Management:	Decreasing Financial Resources (CR1) Key Supplier/Partnership Failure (CR2) Reputation Damage (CR4) Effective Utilisation of Assets/Buildings (CR5) Regulatory Governance (CR6) Increased Fraud (CR10)
Equalities and Equalities Assessment (EA):	There are no implications arising from this report. EA not applicable.

Human Rights:	There are no implications arising from this report.
Health and Safety:	There are no implications arising from this report.
Statutory Officers' Comments:-	
Head of Paid Service:	The report is satisfactory.
Chief Finance Officer:	As the author, the report is satisfactory.
Monitoring Officer:	The report is satisfactory.
Consultees:	None.
Background Papers:	<ul style="list-style-type: none"> • Local Government Act 1972 • The Accounts and Audit (England) Regulations 2011 • Code of Practice for Internal Audit in Local Government (2006)
Appendices:	1. Internal Audit Annual Report & Opinion 2018/19

1. Information

- 1.1 The Internal Audit Annual Report & Opinion (2018/19) as attached at **Appendix 1** provides an overall summary of the work undertaken for the whole year in relation to the 2018/19 approved Annual Audit Plan.
- 1.2 Internal Audit progress reports are presented to every meeting of the Policy, Finance & Development Committee so Members can be kept up-to-date with Internal Audit work and findings.
- 1.3 The Audit Opinion forms part of the Council's Annual Governance Statement. This report also meets requirements to report on the review of the effectiveness of Internal Audit and to feed results into the Annual Governance Statement.
- 1.4 The Internal Audit opinion states that "significant assurance" can be given that there is a generally sound system of internal control designed to meet the organisations objectives and that controls have generally been applied consistently. However, some weakness in the design and/or inconsistent application of controls could put the achievement of particular objectives at risk that have yet to be addressed. This is highlighted on page 6 of the Internal Audit Annual Report.
- 1.5 Under the Local Government Act 1972, section 151 and the Accounts and Audit (England) Regulations 2011 (as amended), the Council has a responsibility to maintain an adequate and effective Internal Audit function. At Oadby & Wigston Borough Council, this responsibility is delivered by CW Audit Services.
- 1.6 In responding to this requirement, the Internal Audit service works to best practice as set out in the 2006 Code of Practice for Internal Audit in Local Government in the UK which is published by the Chartered Institute of Public Finance and Accountancy (CIPFA).

Oadby & Wigston Borough Council

Internal Audit Annual Report & Opinion 2018/19

May 2019



cw audit
audit and assurance services

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1 Introduction

This annual report provides my opinion (see section 2) as the Head of Internal Audit to Oadby & Wigston Borough Council. It also summarises the activities of Internal Audit for the period 1st April 2018 to 31st March 2019.

The Council is required by the Accounts & Audit Regulations 2015 to “to undertake an adequate and effective internal audit of its accounting records and of its system of internal control, taking into account public sector internal auditing standards or guidance”. The Public Sector Internal Audit Standards (PSIAS) require the Head of Internal Audit to provide a written report to those charged with governance, to support the Annual Governance Statement, AGS), setting out:

- An opinion on the overall adequacy and effectiveness of the organisation’s control environment ;
- Disclose any qualifications to that opinion, together with the reasons for that qualification;
- Present a summary of the work carried out by Internal Audit during the year from which the opinion is derived, including any reliance that is being placed upon third party assurances;
- Draw attention to any issues the Head of Internal Audit deems particularly relevant to the Annual Governance Statement (AGS)
- Consider delivery and performance of the Internal Audit function against that planned;
- Comment on compliance with these Standards and the results of any quality assurance programme.

The Council should consider my opinion, together with management assurances, its own knowledge of the organisation and assurances received throughout the year from other review bodies (such as External Audit) when producing its AGS.

My opinion takes into account the range of individual opinions arising from risk-based audit assignments that have been reported throughout the year. An internal audit plan was developed to provide you with independent assurance on the adequacy and effectiveness of systems of control across a range of financial and organisational areas. **A summary of the work we have performed and delivery against the plan is provided in section 3.**

Alongside the delivery of the operational internal audit work, we have met regularly with Council management to ensure any issues regarding our performance can be highlighted and any necessary action taken to resolve these. Following each audit, management are also requested to provide feedback on the service received. No significant issues or concerns regarding the internal audit service have been raised to date.

I have discussed and agreed this Annual Report and Head of Internal Audit Opinion with management. Further detailed findings, conclusions and recommendations in the areas covered by our internal audit plan are detailed within the progress reports and individual assignment reports that have been issued to the Policy, Finance & Development Committee (acting as the Audit Committee) during the year.

2 Annual Head of Internal Audit Opinion

Roles and responsibilities

The organisation is responsible for establishing and maintaining appropriate risk management processes, control systems, accounting records and governance arrangements.

Internal Audit provides an independent and objective opinion to the organisation on the control environment and plays a vital part in advising the organisation whether these arrangements are in place and operating correctly.

The Annual Governance Statement (AGS) is an annual statement that recognises, records and publishes an authority's governance arrangements.

In accordance with PSIAS, the Head of Internal Audit (HoIA) is required to provide an annual opinion, based upon and limited to the work performed, on the overall adequacy and effectiveness of the organisation's risk management, control and governance processes (i.e. the organisation's system of internal control). This is achieved through a risk-based plan of work, agreed with management and approved by the Audit Committee, which should provide a reasonable level of assurance, subject to the inherent limitations described below.

The opinion does not imply that Internal Audit have reviewed all risks and assurances relating to the organisation. The opinion is substantially derived from the conduct of risk-based plans. As such, it is one component that the organisation takes into account in making its AGS.

The Head of Internal Audit Opinion

My opinion is set out as follows:

1. Overall opinion;
2. Basis for the opinion;

My **overall opinion** is that **significant** assurance can be given that there is a generally sound system of internal control, designed to meet the organisation's objectives, and that controls are generally being applied consistently. However, some weakness in the design and/or inconsistent application of controls put the achievement of particular objectives at risk.

The basis for forming my opinion is as follows:

1. An initial assessment of the design and operation of the underpinning risk management framework and supporting processes; and
2. An assessment of the range of individual opinions arising from risk-based audit assignments contained within internal audit risk-based plans that have been reported throughout the year. This assessment has taken account of the relative materiality of these areas and management's progress in respect of addressing control weaknesses.
3. Any reliance that is being placed upon third party assurances.

3 Work undertaken during the year

Summary of assurances provided

During the course of the year we have conducted work to provide assurance over financial, governance and operational systems. Appendix One summarises the assurance levels we have given.

Delivery of the plan

An internal audit plan for 2018/19 was developed to provide you with independent assurance on the adequacy and effectiveness of systems of control across a range of financial and organisational areas. To achieve this our internal audit plan was divided into two broad categories; work on the financial systems that underpin your financial processing and reporting and then broader risk focused work driven essentially by principal risk areas agreed with management. A summary of work undertaken is included below:

- During the year we have undertaken reviews of your core financial systems and given significant assurance with regard to the management of risk in these areas and full assurance in the case of Payroll.
- Key income and expenditure systems such as Council Tax, Business Rates and Benefits have been subject to detailed audit review. Once again, controls were found to be operating effectively.

- We have undertaken a number of pieces of work on areas of principal risk. We were able to provide significant assurance for a number of these audits, such as ICT Disaster Recovery, GDPR and Legal Compliance. There were however some audits where we were only able to provide moderate or limited assurance and a summary of the issues highlighted in these areas is provided in the following paragraphs.

It is my view, taking account of the respective levels of assurance provided for each audit review, an assessment of the relevant weighting of each individual assignment and the extent to which agreed actions have been implemented, that you have a generally sound system of internal control.

We are pleased to report that our work has not highlighted any weaknesses that should be regarded as Significant Internal Control Issues that would require disclosure within your AGS. We did however identify some weaknesses in control that caused us to limit the level of assurance we could give in the following areas:

Performance Management:

- Our review highlighted that the current approach to corporate performance management continues to develop, with significant progress having been made in recent times. The recently-introduced key performance indicators are however operating alongside pre-existing arrangements to report to members in detail on service level performance. Plans to further develop the approach in 2019/20 will provide opportunity to rationalise this situation and make the process more efficient, whilst aiming to still provide members with adequate and appropriate information on performance, including on actions to address areas/indicators where performance is not as planned. The review also highlighted opportunities for improving the process of defining, validating and reporting on indicators.

Risk Management:

- Whilst this review was able to confirm that key risk areas are subject to review and reporting through the Council's existing governance structure, we have highlighted the need for an approved risk management framework, strategy or policy to govern and formalise required approaches and processes for managers and staff to follow in relation to identifying, documenting and reporting on risks and their management.

Project Management:

- The Council has made good progress from a position where no project management arrangements were in place to the current situation, whereby processes that are based on the widely recognised PRINCE2 methodology have recently been introduced. Thus, although there was limited evidence available of recently introduced controls being implemented in projects that commenced prior to 2018/19, opportunity now exists for projects to be more tightly controlled in the future. Recommendations have been made to develop the role of the Projects & Procurement Officer; develop guidance for project managers to facilitate application of the Council's project management processes; ensure that organisations implementing projects on behalf of the Council apply appropriate project management arrangements and formalise activities of Corporate Project Board through the introduction of Terms of Reference and minute taking of meetings.

Capital Programme:

- This audit was completed early in the 2018/19 year and focussed on capital projects that were included in the 2017/18 programme, as well as those that commenced in prior years. The audit highlighted a number of weaknesses in the previous processes for managing the capital programme and capital projects, which were reported to the September 2018 PFD Committee. We are pleased to report that a recent follow-up exercise has confirmed that significant improvements have been made in the processes for managing the capital programme in line with the recommendations made in this report.

Cyber Security:

- This review identified a number of areas where controls could be improved to ensure OWBC and the LICTP remain resilient to cyber-attacks. Recent review of the on-line recommendation tracking system indicates that 12 of the 17 recommendations made have now been implemented, with action being progressed in the remaining 5. Independent confirmation of this self-assessment on the current status of the audit recommendations made will be undertaken through the delivery of a follow-up exercise to be undertaken during 2019-20.

Taxi & Hackney Carriage Licensing:

- The original audit, which was reported in July 2018, highlighted a number of weaknesses with regard to how the taxi licensing service controls and documents individuals, operators and vehicles. We are pleased to report that the results of a recent follow up exercise has confirmed that action to address these weaknesses has either already been implemented, or is in the process of being implemented.

Housing Repairs & Voids:

- The main issue that contributed to the moderate assurance opinion we provided in our January 2019 report on housing repairs and voids related to the need to ensure that contract for repairs and refurbishments are subject to competitive tendering in accordance with contract procedure rules, including where aggregate spend with contractors over a period of time exceeds quotation or tendering thresholds. We are pleased to report a recent response received from the Head of Built Environment that good progress has been made in addressing the recommendations we made to address control weaknesses in this area.

Food Safety:

- The original audit, which was reported in October 2018, highlighted a number of areas in which practices followed by the Food Safety Team needed to be strengthened to ensure that food vendors throughout the Borough are properly regulated and risks to public health are minimised. A recent follow-up exercise has confirmed that necessary actions to improve the control environment have been implemented.

Third party assurances

In arriving at our overall Annual Head of Internal Audit Opinion, we have not sought to place reliance on any third party assurances.

Following up of actions arising from our work

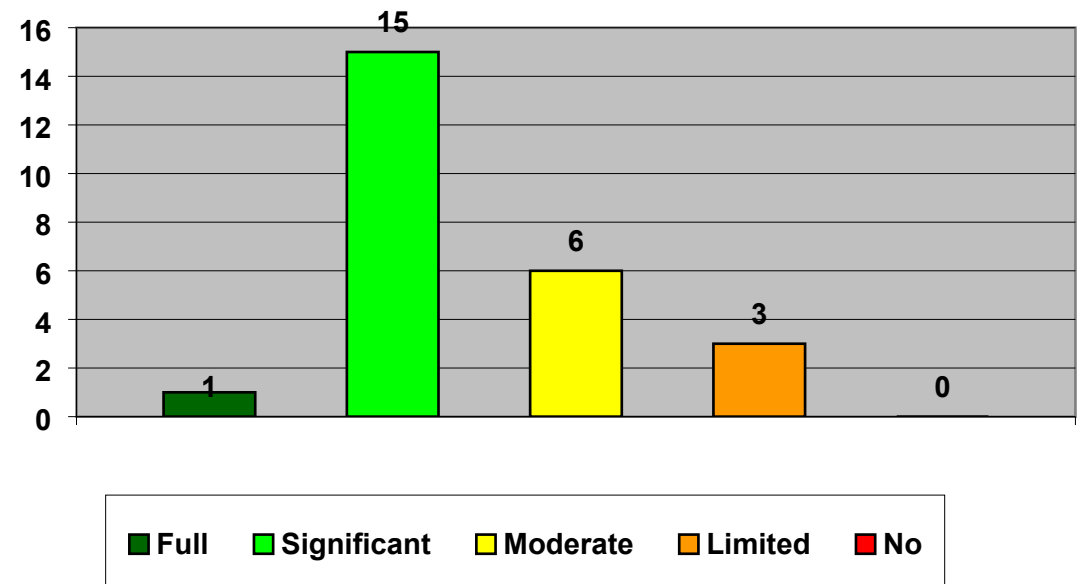
All recommendations and agreed actions are subject to an ongoing recommendation tracking process that is facilitated by CW Audit Services, but completed by the relevant managers responsible for implementing the recommendations. This is undertaken on a self-assessment basis, but is supplemented by our independent follow-up reviews where this is deemed necessary (for example following the issuance of a limited or moderate assurance report). A summary of the recommendation tracking results for the 2018/19 year is included as Appendix 2 to this report. In addition elements of our work involve annual coverage of key areas of control for the organisation, such as in relation to key financial systems, and in such cases we also routinely follow up previously-agreed actions at each review.

4 Quality Assurance

All audits have been conducted in accordance with the requirements of the Public Sector Internal Audit Standards (PSIAS), which includes evidenced review by senior management of all audit files and reports produced. I can confirm that there have been no issues of non-compliance with the PSIAS during the course of the year. CW Audit's systems and processes for complying with PSIAS were confirmed as appropriate to need by an external assessment that was carried out in April 2018. I can confirm that all audits completed during 2018/19 were carried out in accordance with these systems and processes.

Levels of Assurance – Individual Audit Assignments

Description of audit	Assurance level
Performance Management	Moderate
Risk Management	Moderate
Project Management & Assurance	Moderate
Capital Programme	Limited
Cleaning Contract	Moderate
Procurement	Significant
Budgetary Control / MTFS	Significant
General Ledger	Significant
Creditor Payments	Significant
Debtors	Significant
Treasury Management	Significant
Income Management & Cash Receipting	Significant
Cyber Security	Moderate
IT Disaster Recovery	Significant
Payroll & Expenses	Full
Taxi & Hackney Carriage Licensing	Limited
GDPR	Significant
Legal Compliance	Significant
Council Tax	Significant
Business Rates	Significant
Benefits/Council Tax Support	Significant
Housing Rents	Significant
Homelessness	Significant
Housing Repairs & Voids	Moderate
Food Safety	Limited

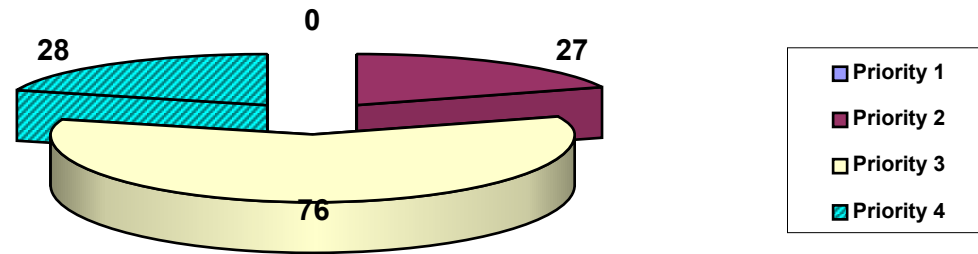


Level of assurance	Criteria
Full	No significant risk issues identified.
Significant	Exposure to levels of risk that may only impair the effectiveness of the system or process under review.
Moderate	Exposure to levels of risk that render some elements of the system's control environment undeliverable.
Limited	Exposure to unacceptable level of risk that could have a serious impact upon the system or process under review.
No	Exposure to unacceptable levels of risk that could have a serious impact upon the organisation as a whole.

Summary of Internal Audit Recommendations

Recommendations made in 2018/19

Priority	Number
1	0
2	27
3	76
4	28
Total	131

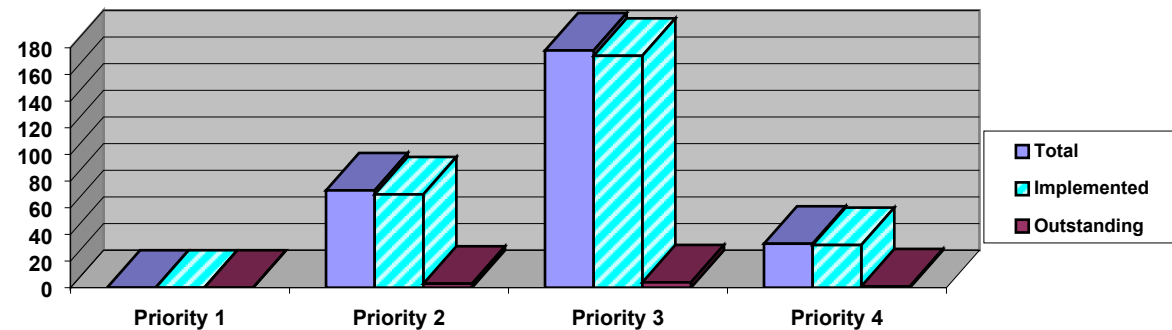


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Current status of all recommendations due for implementation by 31st March 2019

(N.B. including recommendations made from 2015/16 to 2018/19, but excluding 2018/19 recommendations that fall due for implementation after 31st March 2019)

Priority	Number	Implemented	Outstanding
1	0	n/a	n/a
2	73	70	3
3	178	174	4
4	33	32	1
Total	284	276	8



Definition of our risk rankings

Risk ranking	Assessment rationale
1	The system has been subject to high levels of risk that have, or could, prevent the system from meeting its objectives, and which may also impact on the delivery of one or more of the organisation's strategic objectives.
2	The system has been subject to high levels of risk that have, or could, prevent the system from meeting its objectives, but which are unlikely to impact on any of the organisation's strategic objectives.
3	The system has been subject to medium levels of risk that have, or could, impair the system from meeting its objectives.
4	The system has been subject to low levels of risk that have, or could, reduce its operational effectiveness.

Agenda Item 8



Policy, Finance and Development Committee	Tuesday, 11 June 2019	Matter for Information and Decision
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Report Title: **Provisional Financial Outturn Position (2018/19)**

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

Purpose of Report:	This report gives a summary of the overall Council outturn position for the financial year 2018/19 including the effect on reserves as at 31 March 2018.
Report Summary:	The Council retains a solid financial base on which to operate with the General Fund Balance at £0.6m, which is around 10% of its net Budget and the HRA increasing its general reserve to £1.083. Other earmarked revenue reserves have fallen slightly to £2.6m.
Recommendation(s):	A. That the report and overall provisional outturn positions for the financial year 2018/19 for both the General Fund and Housing Revenue Account be noted; and B. That all approved capital schemes from 2018/19 which are still ongoing be carried forward to be completed in 2019/20.
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	Anne Court (Chief Executive / Head of Paid Service) (0116) 257 2602 anne.court1@oadby-wigston.gov.uk Stephen Hinds (Deputy Chief Executive) (0116) 257 2681 stephen.hinds@oadby-wigston.gov.uk Chris Raymakers (Head of Finance, Revenues and Benefits) (0116) 257 2891 chris.raymakers@oadby-wigston.gov.uk
Corporate Objectives:	Providing Excellent Services (CO3)
Vision and Values:	Accountability (V1) Respect (V2) Teamwork (V3) Innovation (V4) Customer Focus (V5)
Report Implications:-	
Legal:	There are no implications arising from this report.
Financial:	The implications are as set out at paragraphs 2-5 of this report.
Corporate Risk Management:	Decreasing Financial Resources / Increasing Financial Pressures (CR1) Reputation Damage (CR4) Regulatory Governance (CR6)
Equalities and Equalities	There are no implications arising from this report.

Assessment (EA):	EA not applicable
Human Rights:	There are no implications arising from this report.
Health and Safety:	There are no implications arising from this report.
Statutory Officers' Comments:-	
Head of Paid Service:	The report is satisfactory.
Chief Finance Officer:	The report is satisfactory.
Monitoring Officer:	The report is satisfactory.
Consultees:	None.
Background Papers:	None.
Appendices:	None.

1. Introduction

- 1.1 The provisional outturn for the year shows the Council's General Fund has broken even during the year, while the Housing Revenue Account (HRA) is underspent against the budget. The draft annual financial statements have been prepared and signed off by the Section 151 Officer before the statutory deadline of 31 May. The final audit process carried out by the Council's external auditors, Grant Thornton LLP, has not yet started and the accounts will be subject to a report by them at the meeting of this committee in July.

2. The General Fund

- 2.1 The Council's provisional outturn on the General Fund is £6,186,000. This was against a budget of £6,834,000 and revised budget of £6,529,000. Overall funding was £5,913,145 which was less than originally budgeted, and which was due to slower growth in business rates than expected.

2.2 Outturn Table

(Continued overleaf)

	Original Budget 2018/19	Revised Budget 2018/19	Actual Spent 2018/19	Variance Under /(Over) Spend 2018/19
Services	£000's	£000's	£000's	£000's
Finance Revenues and Benefits	1,573	158	(363)	521
Corporate Services	104	419	445	(26)
Customer Services	0	1,173	1,180	(7)
Planning and Regeneration	1,228	1,337	1,365	(28)
Operational Services and Street Scene	1,644	1,403	1,443	(40)
Leisure and Well Being	348	121	(23)	144
Law and Governance	1,084	840	890	(50)
Senior Management Team	0	332	546	(214)
Net Service Expenditure	5,981	5,783	5,483	300
Capital Financing	853	746	703	43
Total Net Expenditure	6,834	6,529	6,186	343
Transfer to/(from) Reserves	(435)	(130)	(273)	143
Net Expenditure	6,399	6,399	5,913	486
Financing	6,399	6,399	5,913	486
Transfer (from)/to Balances	0	0	0	0

- 2.3 The budget that Council approved in February 2018 set an ambitious savings target totalling £435,000 in order to bring expenditure down to funding levels and to mitigate the amount coming out of balances. Considerable savings have been made as follows:

Expenditure Type	Service	£'000
Salaries	All Services	250
Garden Waste Income	Operations and Street Scene	137
Non Domestic Rates at Oadby Pool	Leisure and Wellbeing	25
Swimming Pool Contract	Leisure and Wellbeing	61
Good Debt collection Performance	Finance Revenues and Benefits	70

3. Housing Revenue Account

- 3.1. The Housing Revenue Account has made a surplus in 2018/19. This is principally due to a smaller capital programme than budgeted for, meaning that the revenue contributions to capital funding which were expected to be applied were not required this year.

(Continued overleaf)

	2018/19			
	Original Budget	Revised Budget	Outturn	Variance Under/(over)
	£'000	£'000	£'000	£'000
Supervision and Management	1,568	1,568	1,634	(66)
Repairs and Maintenance	1,414	1,414	1,016	398
Depreciation	1,273	1,273	1,287	(14)
Total Expenditure	4,255	4,255	3,937	318
Rental Income	(4,881)	(4,881)	(4,929)	48
Net Expenditure	(626)	(626)	(992)	366
Capital Charges and Appropriations	626	961	544	417
(Surplus)/Deficit on the HRA	0	335	(448)	783
Balance on the HRA b/f	(635)	(635)	(635)	0
Balance on the HRA c/f	(635)	(300)	(1,083)	783

3.2. The other main areas of savings are as follows:

3.2.1. Staffing - The Housing Department have also made savings within the salaries budget which has yielded £80,000 in 2018/19

3.2.2. Debt collection – Despite the commencement of the ‘full service’ for Universal Credit rent arrears have been kept under control resulting in savings on bad debts of £65,000

3.2.3. Rental Income – rental income is higher than budgeted for due to good practice in a number of areas;

- Void turnaround has been improved from previous years resulting in shorter periods when houses are not let.
- Good practice in debt collection has meant fewer write-offs than anticipated
- Also there have been two fewer Right to Buy Sales than originally budgeted.

3.3. This puts the Housing Revenue Account in a solid position at the end of 2018/19 despite recent pressures from Government policy which have reduced rents in each of the last 3 years.

4. Reserves Position

4.1. The following table sets out the resources available to the Council to meet its expenditure plans and other financial commitments as at 31 March 2019.

(Continued overleaf)

		<u>2018/19</u>	<u>2017/18</u>
		£'000	£'000
Revenue Reserves			
	General Fund	600	600
	Housing Revenue Account	1,083	635
Other Resources			
	Usable Capital Receipts	1,326	1,018
	General Earmarked Reserves	1,450	1,948
	HRA Earmarked Reserves	1,179	719

4.2. Overall the level of reserves has remained stable however this is principally due to underspends within the HRA Capital Programme. Overall the Council has a solid reserve base and is in a stable position to move forward.

5. Capital Programme

	<u>2018/19</u>		
Capital Programme	Total Budget	Outturn	Variance Under/(over)
	£'000	£'000	£'000
General Fund	4,170	3,040	1,130
HRA	1,882	838	1,044
Total Expenditure	6,052	3,878	2,174
Funded by			
Capital Receipts		201	
Government Grants		0	
Borrowing		2,396	
External Funding		417	
Revenue & Reserves		26	
Major Repairs Allowance		838	
Total Funding		3,878	

5.1 Any Schemes which are ongoing and unfinished will be completed in 2019/20 and members are asked to approve the carry forward of these at this committee. A full updated capital programme will be brought before this committee at the next meeting.



Policy, Finance and Development Committee	Tuesday, 11 June 2019	Matter for Information and Decision
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Report Title: **Housing Capital Programme: 2018/19 Year End Outturn and 2019/20 Proposed Programme**

Report Author(s): **Neil Barks (Interim HRA Capital Programme Manager)**

Purpose of Report:	The purpose of this report is to advise the Committee of the 2018/19 financial year end out-turn for the housing capital programme and to seek approval for the headline programmes of work that will be included in the 2019/20 housing capital programme.
Report Summary:	<p>The report provides a summary of the financial investment in projects and programmes made through the housing capital programme during the financial year 2018/19.</p> <p>It also highlights the financial investment in ongoing projects and programmes of works to be carried forward from 2018/19 into the financial year 2019/20.</p> <p>The report concludes by seeking approval for the headline investment schemes that will form the basis of the 2019/20 housing capital programme.</p>
Recommendations:	<p>A. That Committee notes the Housing Capital Programme Year End Outturn for 2018/19 (as set out in the report);</p> <p>B. That Committee approves the headline proposals for the 2019/20 Housing Capital Programme (as set out in the report); and</p> <p>C. That Committee approves the increase in value of the contract to deliver the Kitchen and Bathroom Replacement Programme (as set out in the report).</p>
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	<p>Stephen Hinds (Deputy Chief Executive) (0116) 257 2682 stephen.hinds@oadby-wigston.gov.uk</p> <p>Adrian Thorpe (Head of Built Environment) (0116) 257 2645 adrian.thorpe@oadby-wigston.gov.uk</p> <p>Neil Barks (Interim HRA Capital Programme Manager) (0116) 257 2644 neil.barks@oadby-wigston.gov.uk</p>
Corporate Objectives:	<p>Building, Protecting and Empowering Communities (CO1)</p> <p>Growing the Borough Economically (CO2)</p> <p>Providing Excellent Services (CO3)</p>
Vision and Values:	<p>"A Stronger Borough Together" (Vision)</p> <p>Accountability (V1)</p> <p>Respect (V2)</p>

	Teamwork (V3) Customer Focus (V5)
Report Implications:-	
Legal:	There are no implications directly arising from this report.
Financial:	The implications are as set out in this report.
Corporate Risk Management:	Decreasing Financial Resources / Increasing Financial Pressures (CR1) Effective Utilisation of Assets / Buildings (CR5) Regulatory Governance (CR6) Reputation Damage (CR4) Key Supplier / Partnership Failure (CR2)
Equalities and Equalities Assessment (EA):	There are no implications directly arising from this report. EA not applicable
Human Rights:	There are no implications directly arising from this report.
Health and Safety:	There are no implications directly arising from this report.
Statutory Officers' Comments:-	
Head of Paid Service:	The report is satisfactory.
Chief Finance Officer:	The report is satisfactory.
Monitoring Officer:	The report is satisfactory.
Consultees:	None.
Background Papers:	<ul style="list-style-type: none"> • Report entitled 'Medium Term Financial Strategy and Budget (2019/20)' to Full Council on 21 February 2019 • Report Entitled 'Community Services Update (Q4 2018/19)' to Service Delivery Committee on 4 June 2019
Appendices:	None.

1. Introduction

- 1.1 The Council currently owns 1,215 homes and 199 communal garages. These assets probably have a combined value in excess of £140m and the Council's housing capital programme covers the improvements and upgrades to this housing stock to maintain these assets, meet the Decent Homes Standard and other legislative requirements, and to improve estates and the environments in which our tenants live.
- 1.2 The total revised housing capital programme budget for the financial year 2018/19 was £1,882,000. The actual year end expenditure as at 31 March 2019, including accruals, was £840,800. A summary of how this money was spent is provided in paragraphs 2 and 3 of this report.
- 1.3 It is proposed that the £1,041,200 that was not spent in 2018/19 is carried forward into the financial year 2019/20. The projects and programmes of work that this investment will be used to undertake is summarised in paragraph 4 of this report.

- 1.4 On 21 February 2019, Full Council approved a housing capital programme investment for 2019/20 of £1,500,000. A headline summary of the projects and programmes of works that it is proposed that this funding is used for is provided in paragraph 5 of this report. This includes a summary of the combined proposed housing capital expenditure during 2019/20 of £2,541,200 (including the 2018/19 carry forward).

2 Projects Completed in 2018-019

- 2.1 During the financial year there were three 'one-off' housing capital projects that were completed at a combined cost of £366,167. These were:

Fire Safety Works at Marriott House – Actual Spend £198,211

- 2.2 A programme of fire safety works to this sheltered housing scheme in Oadby was completed in March 2019 and successfully handed over in April 2019. This included the replacement of flat entrance doors, kitchen glazed panels onto common areas, communal fire doors and side panels and the compartmentalisation of the roof space to the block.

Conversion of 14 Junction Road – Actual Spend £135,127

- 2.3 Work to convert a three bedroom maisonette located on the third and fourth floor of this block in Wigston, into a one bedroom third floor flat and a two bedroom fourth floor flat was completed in March 2019 and successfully handed over in April 2019

Upgrade of Garage Block at Churchill Close – Actual Spend £32,829

- 2.4 Work to refurbish the lower ground floor of this two storey car park in Oadby to reopen the facility for local residents ahead of the introduction of new town centre parking restrictions was completed in November 2018. A standalone CCTV system was also installed as part of this project as a deterrent against vandalism.

3 Programmes of Work Completed in 2018/019

- 3.1 In addition to these 'one-off' projects an investment of £350,905 was made in ongoing annual programmes to improve the quality of Council homes in the Borough. This included investment in major voids to achieve the decent homes standard (£150,589), central heating and boiler replacements (£83,113), front and rear door replacements (£20,095), major adaptations to homes occupied by tenants with a disability (£80,628) and the installation of car hard-standings (£16,480).

- 3.2 It is proposed that budgetary provision is allocated within the 2019/20 housing capital programme as outlined in paragraph 5 of this report to continue to invest in these annual programmes.

4 Proposed Carry Forward Summary

- 4.1 The £1,041,200 that was not spent as part of the 2018/19 housing capital programme is already committed to improvement programmes or has been allocated to known investment requirements. It is therefore proposed that this money is carried forward and incorporated within the 2019/20 housing capital programme.

- 4.2 It is however, anticipated that the majority of the works to be carried out with the money carried forward will have been completed by 31 August 2019, and a breakdown of these programmes of works is provided below:

Timber Window Replacement Programme – Carry Forward £152,200

- 4.3 This programme is for the replacement of timber windows, doors, cladding and roofline elements to properties on Aylestone Lane, Gibson Close, Gladstone Street, Kings Drive and William Peardon Court in the Wigston area of the Borough. Phase One of this works programme to replace front and rear entrance doors to individual properties and the main entrance door and fire doors at William Peardon Court was completed in 2018/19 at a cost of £20,704.
- 4.4 A contract to complete the remaining works as part of the second phase was awarded to Graham Holmes Astraseal in April 2019 and it is anticipated that works will commence in May 2019 and be completed by 31 July 2019 within the costs that is proposed to be carried forward.

Kitchen and Bathroom Replacement Programme – Carry Forward £493,100

- 4.5 Procurement for the delivery of this programme was completed through an OJEU compliant Efficiency East Midlands (EEM) procurement framework as reported to Service Delivery Committee on 29 January 2019.
- 4.6 The contract was awarded to Mathews & Tannert and this programme covers kitchen and bathroom replacements and associated improvement works as required to the 126 Council owned properties contained within the geographical parameters of the area known as the 'Wigston Triangle'
- 4.7 Stock condition surveys were completed to 73 of these properties in February and March 2019 and the first phase of the programme commenced on 1 April 2019 and includes the following work to be completed by 31 August 2019:
- 38 kitchen replacements;
 - 15 bathroom replacements;
 - 45 boiler replacements;
 - 12 consumer unit replacements;
 - 58 periodic electrical tests and associated works;
 - 3 electrical rewires;
 - 65 loft insulation installations.
- 4.8 The second phase of works to the remaining 53 Council owned properties within the 'Wigston Triangle' will follow on from the first phase and it is anticipated that this will be completed by 30 September 2019 and the total cost of investment in phases one and two will be funded from the £493,100 carried forward.
- 4.9 It is also proposed that annual programmes of similar improvement works are included in future housing capital programmes from 2019/20 and as a consequence the value of the contract awarded to Matthews & Tannert will exceed £500,000. This Committee will therefore need to approve the increased value of this contract in line with the Council's Contract Procedure Rules.

Communal Heating System at William Peardon Court – Carry Forward £256,900

- 4.10 The first phase of works, to replace the communal boilers to this sheltered housing scheme in Wigston was completed in November 2018. Procurement of the second phase to replace the individual heating systems to each flat resulted in tender submissions that were deemed to be cost prohibitive. As a consequence the specification for works has subsequently been re-visited and revised significantly. Re-procurement for the works commences on 7 May 2019 and will be completed and a contractor appointed by 31 May 2019. Subject to a successful appointment it is anticipated that all works will be completed by 31 July 2019.

Heating, Ventilation and Insulation – Carry Forward £41,600

- 4.11 Ellipse Energy Limited were appointed in March 2019 to install External Wall Insulation, loft insulation and other associated energy efficiency improvements to four properties in Wigston. The appointment was completed following a mini-competition exercise through the relevant EEM procurement framework.
- 4.12 Works commenced to all four properties on 25 April 2019 and is scheduled to be completed on 31 May 2019.

Fire Doors Chartwell House Walkways – Carry Forward £34,900

- 4.13 A recent Fire Risk Assessment (FRA) report identified a requirement for the replacement of 34 fire doors to walkways and open stairwells in this block in Oadby, with an estimated expenditure requirement at that time of £31,255.32. Installation of the doors has however, been delayed pending ratification of the necessary testing and certification of composite fire doors as a result of a Government review following the Grenfell Tower fire. It is hoped that this issue will be resolved and installation work completed during the first six months of the 2019/20 financial year which will be funded by the money that it is proposed to carry forward.
- 4.14 It is proposed in the 2019/20 housing capital programme to incorporate this works within a single annual budget for fire safety works that will cover all work arising from FRAs as they are carried out.

Major Adaptations – Carry Forward £18,800

- 4.15 At the end of the 2018/19 financial year all major adaptations recommended by the County Council's Occupational Health Team had been completed. Whilst there is no current waiting list a budget is required to respond to ongoing recommendations as they are received and the £34,900 that is proposed to be carried forward will contribute towards the funding of the 2019/20 programme.

Central Heating & Boiler Replacements – Carry Forward £40,200

- 4.16 This budget has historically been allocated annually for the replacement of boilers and heating systems that fail each year on an 'unforeseen' basis. The Council's records indicate that there are circa 500 properties with boilers that were installed prior to 2006 and are therefore beyond or coming towards the end of the industry standard expectancy of 15 years before becoming due for replacement.
- 4.17 It is proposed that a three year planned programme to replace all boiler over 15 years old commences from 2019/20 and the £40,200 that is proposed to be carried forward will contribute towards the funding of the 2019/20 programme.

Car Hardstandings – Carry Forward £3,500

- 4.18 A total of five hardstanding installations to individual properties were completed during the financial year with a further two commissioned with works due to commence and be completed in April 2019. These two schemes will be paid for by the £3,500 that it is proposed to be carried forward from this budget.

5 Housing Capital Programme 2019/20 Summary

- 5.1 At its meeting in February 2019 Full Council approved new budgetary provision of £1,500,000 for the 2019/20 housing capital programme. With a carry forward of

£1,041,200 from the 2018/19 as outlined in paragraph 3 of this report the combined housing capital programme budgetary allocation for this financial year is £2,541,200.

5.2 A headline summary of how this money will be invested during 2019/20 is provided in the table below:

Programme	Carry Forward from 2018/19	New Budget 2019/20	Budget + Carry Forward 2019/20
Heating & Boiler Replacements	£40,200	£209,800	£250,000
Front & Rear Entrance Doors	£0	£100,000	£100,000
Car Hard Standings	£3,500	£16,500	£20,000
Major Voids/Upgrade Works	£0	£150,000	£150,000
Major Adaptations	£18,800	£81,200	£100,000
FRA Safety Works	£34,900	£115,100	£150,000
Timber Replacement Programme	£152,200	£0	£152,200
External Wall Insulation Programme	£41,600	£0	£41,600
William Peardon Court Heating	£256,900	£0	£256,900
Kitchen and Bathroom Programme	£493,100	£406,900	£900,000
Housing Block Improvements	0	£320,500	£320,500
Asset Management Systems Upgrades	0	£100,000	£100,000
HRA Total	£1,041,200	£1,500,000	£2,541,200



Policy, Finance and Development Committee	Tuesday, 11 June 2019	Matter for Information
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Report Title: **Section 106 Open Space, Sport and Recreation Contributions (September 2018 – May 2019)**

Report Author(s): **Emma Brackenbury (Planning Policy Officer)**

Purpose of Report:	<p>This report is to inform Members of the latest position regarding projects that could be funded through financial off site Section 106 Open Space, Sport and Recreation Contributions.</p> <p>The report also clarifies the mechanism that is in place in relation to the identification of open space, sport and recreation infrastructure requirements and the identification of S106 funding.</p>
Report Summary:	<p>This report builds on the Section 106 Open Space, Sport and Recreation Contributions report that was noted by Members at Service Delivery Committee on 11 September 2018. It provides an up to date list of potential CIL compliant open space, sport and recreation infrastructure projects which could be funded through relevant Section 106 Contributions.</p> <p>All projects notified to Officers since the previous Service Delivery Committee have been assessed by the Council’s Section 106 Officer Working Group and those which comply with the Community Infrastructure Levy (CIL) regulations, have been added to the list.</p>
Recommendation(s):	<p>A. Members note the current position regarding potential and current CIL compliant open space, sport and recreation infrastructure projects (as set out at Appendices 1-4 t this report); and</p> <p>B. Members note that the projects will be progressed in line with the Council’s Capital Programme process.</p>
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	<p>Stephen Hinds (Deputy Chief Executive) (0116) 257 2681 stephen.hinds@oadby-wigston.gov.uk</p> <p>Adrian Thorpe (Head of Built Environment) (0116) 257 2645 adrian.thorpe@oadby-wigston.gov.uk</p> <p>Jamie Carr (Planning Policy Manager) (0116) 257 2652 jamie.carr@oadby-wigston.gov.uk</p> <p>Emma Brackenbury (Planning Policy Officer) (0116) 257 2668 emma.brackenbury@oadby-wigston.gov.uk</p>
Corporate Objectives:	Building, Protecting and Empowering Communities (CO1)

Vision and Values:	"A Stronger Borough Together" (Vision) Innovation (V4) Customer Focus (V5)
Report Implications:-	
Legal:	There are no implications arising from this report.
Financial:	The financial implications are contained in the report and any schemes which are subsequently approved will be added to the capital programme.
Corporate Risk Management:	Effective Utilisation of Assets / Buildings (CR5) Economy / Regeneration (CR9)
Equalities and Equalities Assessment (EA):	There are no implications arising from this report. EA not applicable
Human Rights:	There are no implications arising from this report.
Health and Safety:	There are no implications arising from this report.
Statutory Officers' Comments:-	
Head of Paid Service:	The report is satisfactory.
Chief Finance Officer:	The report is satisfactory.
Monitoring Officer:	The report is satisfactory.
Consultees:	None.
Background Papers:	<ul style="list-style-type: none"> • Developer Contributions Supplementary Planning Document (2019) (accessible at Developer Contributions Supplementary Planning Document - Oadby and Wigston Borough Council)
Appendices:	<ol style="list-style-type: none"> 1. Current Section 106 Projects (Fully Funded) 2. Current Section 106 (Funding Partially Allocated) 3. Current Section 106 Projects (Funding Not Allocated) 4. Completed Section 106 Projects (Since Last Report)

1. Section 106 Projects

- 1.1 The Council has in place a Developer Contributions Supplementary Planning Document. This Supplementary Planning Document (SPD) enables the Council to negotiate a range of financial contributions, including those towards off site infrastructure relating to open space, sport and recreation when granting planning permission for new housing developments of 11 or more dwellings, where provision is not made on site. The specific details of a financial contribution is set out in a Section 106 Agreement that accompanies the planning permission. The financial contribution normally includes both a capital and revenue element.
- 1.2 There are several key 'rules' that the Council must abide by when accruing and spending a financial contribution. These 'rules' are based on the Legislation, Guidance and Regulations relating to Section 106 Agreements. 'Rules' include but are not limited to;

- The contribution(s) must be spent on infrastructure that is necessary to mitigate the impact of the new development; directly related to the development; and, reasonable in scale and kind;
- The Council should identify what the financial contribution will be spent on at the time of negotiating the Section 106 Agreement;
- The Council can only 'pool' financial contributions arising from a maximum of 5 separate S106 Agreements towards a single project; and
- The Council must spend the financial contribution within the timeframe set out in the S106 Agreement (usually 5 years, unless otherwise stated).

- 1.3 In order to ensure that the Council meets these rules, a Section 106 Officer Working Group has been established and is tasked with regularly reviewing the Council's position to ensure that all matters relating to the pooling and spending of financial contributions is done so in accordance with the appropriate Legislation.
- 1.4 It is particularly important that the Council has in place a 'current' list of potential open space, sport and recreation infrastructure projects that are CIL compliant. This list will then be taken into account by the Council when negotiating financial contributions with developers and / or applicants. In the negotiations, the Council will work with the developer and / or applicant to identify the most relevant infrastructure project(s) on the list that a financial contribution could relate to in order to mitigate the impact of the proposed new development. Where possible and appropriate, an infrastructure project with some funding already allocated to it will be given a higher priority.
- 1.5 The current list of Section 106 projects that are fully funded through Section 106 Contributions is attached at **Appendix 1**. The current list of projects where funding is being compiled through Section 106 Contributions is at **Appendix 2**. Any project where currently no funding is available through Section 106 Contributions is at **Appendix 3**. These lists will be reported to this Committee every 6 months. The projects are listed in no priority order. The list sets out; the project; the estimated total cost; the amount of S106 funding currently allocated to it; and, the current stage of implementation.
- 1.6 Please note that the new pavilion at Horsewell Lane has not been included in the projects list as it is reported separately. For the latest updates on Horsewell Lane, please see the Facilities Service Delivery Update report.
- 1.7 Members are invited to suggest additional open space, sport and recreation infrastructure projects to add to the list at any time by email to planningpolicy@oadby-wigston.gov.uk. Requests may arise, for example, through the Residents Forums. The request will then be considered by the Section 106 Officer Working Group to ensure that it meets the necessary rules associated with S106 funding. If it meets the rules it will be added to the list, for Member consideration at a subsequent meeting of this Committee.
- 1.8 It is important to clarify that once a project is added to the list, it cannot be delivered until the necessary funding has been identified in line with the process explained earlier. Due to this, it may take several years to fully accrue all of the funding required to deliver the project. As explained in paragraph 1.2, the Council is able to pool financial contributions arising from a maximum of 5 separate developer contributions (sometimes referred to as 'planning obligations') towards a single item of open space, sport and recreation infrastructure. Should an infrastructure project become more urgent during this period, then it will need to be removed from the list and considered through the Council's Capital Programme process.
- 1.9 Once the capital element of a S106 Agreement has been spent, the revenue element is transferred into the Council's revenue budget, to ensure that the Council can maintain

the additional piece(s) of infrastructure for a period (usually) of 20 years. A list of the completed projects since the last report is at **Appendix 4**.

- 1.10 It should also be noted that in addition to **Appendix 1 to 3**, the Council also has an Infrastructure Delivery Plan (IDP) that has a live list of strategic and larger local infrastructure projects. Also the Council's Playing Pitch Strategy (PPS) has a number of projects included. Whilst not all of these projects in the IDP and PPS will come forwards via S106 and not all relate to open space, sport and recreation, where they do they tend to form larger, more strategic projects that may require larger sums of money from various sources of funding.

CURRENT SECTION 106 PROJECTS (FULLY FUNDED)

Site Name	Settlement	Description of Project	Estimated Cost	Funding Available/ Allocated	Stage of Implementation
<p><u>Park Projects</u> – Enhancements and new provision within the schemes include but are not limited to, new play equipment, new adult fitness equipment, new trees and new benches. The current list of park projects identified is:</p>					
William Gunning Park	South Wigston	Provision of new play equipment.	£6,000.00	£6,086.00	Funding allocated. Project eligible for inclusion in the Council's Capital Programme and to be delivered by 31 March 2020.
William Gunning Park	South Wigston	Provision of new litter bins.	£1,000.00	£1,000.00	Funding Allocated. Project eligible for inclusion in the Council's Capital Programme and to be delivered by 31 March 2020.
Blaby Road Park	South Wigston	Provision of new adult fitness equipment.	£20,000.00	£28,266.99	Funding allocated. Project to be delivered through the Council's Capital programme 2019/2020
<p><u>Street Trees</u> – To provide additional street trees in areas of the Borough with poor tree coverage. Locations and suitable tree specimens will be confirmed by the Council's Arboricultural Officer, however current suggestions are:</p>					
Brabazon Road and New Street.	Oadby	Planting of new street trees.	£6,000.00	£6,000.00	Funding Allocated. Project to be completed by the Council's Arboriculturist by March 2020 due to planting season.
Florence Wragg Way Play Area	Oadby	Provision of new street trees.	£1,000.00	£1,000.00	Funding Allocated. Project to be completed by the Council's Arboriculturist by March 2020 due to planting season.
Launceston Road.	Wigston	Planting of new street trees.	£850.00	£873.00	Funding Allocated. Project to be completed by the Council's Arboriculturist by March 2020 due to planting season.
Welford Road.	Wigston	Planting of new street trees.	£1,600.00	£1,627.66	Funding Allocated. Project to be completed by the Council's Arboriculturist by March 2020 due to planting season.
Ervins Lock.	South	Planting of new street trees.	£1,600.00	£1,746.00	Funding Allocated. Project to be

	Wigston				completed by the Council's Arboriculturist by March 2020 due to planting season.
Gloucester Crescent	South Wigston	Planting of new street trees.	£3,000.00	£3,000.00	Funding Allocated. Project to be completed by the Council's Arboriculturist by March 2020 due to planting season.
Dorset Avenue.	South Wigston	Planting of new street trees.	£3,000.00	£3,000.00	Funding Allocated. Project to be completed by the Council's Arboriculturist by March 2020 due to planting season.

CURRENT SECTION 106 PROJECTS (FUNDING PARTIALLY ALLOCATED)

Site Name	Settlement	Description of Project	Estimated Cost	Funding Available/ Allocated	Stage of Implementation
<u>Park Projects</u> – Enhancements and new provision within the schemes include but are not limited to, new play equipment, new adult fitness equipment, new trees and new benches. The current list of park projects identified is:					
Willow Park	Wigston	Provision of new adult fitness equipment.	£20,000.00	£13,538.59	Funding partially allocated. Waiting for remaining funding to be identified.

CURRENT SECTION 106 PROJECTS (FUNDING NOT ALLOCATED)

Site Name	Settlement	Description of Project	Estimated Cost	Funding Available/Allocated	Stage of Implementation
Park Projects – Enhancements and new provision within the schemes include but are not limited to, new play equipment, new adult fitness equipment, new trees and new benches. The current list of park projects identified is:					
Ellis Park	Oadby	Provision of new play equipment	£45,000.00	£0.00	Waiting for funding to be identified.
Ellis Park	Oadby	Provision of new park trees.	£1,500.00	£0.00	Waiting for funding to be identified.
Florence Wragg Way Play Area	Oadby	Provision of new adult fitness equipment.	£20,000.00	£0.00	Waiting for funding to be identified.
Iliffe Park	Oadby	Provision of new park benches.	£1,350.00	£0.00	Waiting for funding to be identified.
Uplands Park	Oadby	Provision of new park benches.	£3,900.00	£0.00	Waiting for funding to be identified.
Brocks Hill Country Park	Oadby	Provision of new play equipment.	£45,000.00	£0.00	Waiting for funding to be identified.
Freer Park	Wigston	Provision of new play equipment.	£45,000.00	£0.00	Waiting for funding to be identified.
Freer Park	Wigston	Provision of new Football/Basketball Equipment to use at Freer Park.	£5,000.00	£0.00	Waiting for funding to be identified.
Horsewell Lane Park	Wigston	Provision of new park benches.	£3,900.00	£0.00	Waiting for funding to be identified.
Meadows Open Space	Wigston	Provision of new park trees.	£1,000.00	£0.00	Waiting for funding to be identified.
Willow Park	Wigston	Provision of new park trees.	£750.00	£0.00	Waiting for funding to be identified.
Willow Park	Wigston	Provision of new notice	£5,550.00	£0.00	Waiting for funding to be identified.

		boards.			
Willow Park	Wigston	Provision of new litter bins.	£4,500.00	£0.00	Waiting for funding to be identified.
Willow Park	Wigston	Provision of new park benches.	£6,500.00	£0.00	Waiting for funding to be identified.
Blaby Road Park	South Wigston	Provision of new notice boards.	£5,550.00	£0.00	Waiting for funding to be identified.
Blaby Road Park	South Wigston	Provision of new litter bins.	£4,500.00	£0.00	Waiting for funding to be identified.
Pochins Bridge Open Space	South Wigston	Provision of new adult fitness equipment.	£20,000.00	£0.00	Waiting for funding to be identified.
William Gunning Park	South Wigston	Provision of new adult fitness equipment.	£20,000.00	£0.00	Waiting for funding to be identified.
William Gunning Park	South Wigston	Provision of new park benches.	£2,600.00	£0.00	Waiting for funding to be identified.
William Gunning Park	South Wigston	Installation of new land drainage.	Estimated cost not currently available.	£0.00	Waiting for funding to be identified.

COMPLETED SECTION 106 PROJECTS (SINCE LAST REPORT)

Site Name	Settlement	Description of Project	Value of Project	Stage of Implementation
Blaby Road Park	South Wigston	Provision of a Dog Walking Shelter.	£3,811.00	Completed
Uplands Park	Oadby	Adult Fitness Equipment	Funded through the Capital Programme	Completed



Policy, Finance and Development Committee	Tuesday, 11 June 2019	Matter for Information and Decision
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Report Title: **Annual Review of Health and Safety (2018/19)**

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

Purpose of Report:	The purpose of this report is to approve the Health and Safety Annual Report for 2018/2019 and also the revised Health and Safety Policy and Statement.
Report Summary:	<p>The Health and Safety Annual Report (as set out at Appendix 1) is a summary of the Council's health and safety performance during the period 2018 to 2019. It provides information on accidents, risks, key activities and proposals for last financial year.</p> <p>The Health and Safety Policy and Statement (as set out at Appendix 2) has been updated with minor modifications.</p>
Recommendation(s):	<p>A. That the Health and Safety Annual Report (2018/19) (as set out in Appendix 1) be approved; and</p> <p>B. That the Health and Safety Policy and Statement (April 2019) (as set out in Appendix 2) be approved.</p>
Senior Leadership, Head of Service, Manager, Officer and Other Contact(s):	<p>Anne Court (Chief Executive / Head of Paid Service) (0116) 257 2602 anne.court1@oadby-wigston.gov.uk</p> <p>Karen Pollard (Head of People) (0116) 257 2727 karen.pollard@oadby-wigston.gov.uk</p> <p>Paul Evans (Health and Safety Officer) (0116) 257 2608 paul.evans@oadby-wigston.gov.uk</p>
Corporate Objectives:	<p>Building, Protecting and Empowering Communities (CO1) Growing the Borough Economically (CO2) Providing Excellent Services (CO3)</p>
Vision and Values:	<p>"A Stronger Borough Together" (Vision) Accountability (V1) Teamwork (V3)</p>
Report Implications:-	
Legal:	The implications are as set out at paragraph 2 of this report.
Financial:	There are no implications directly arising from this report.
Corporate Risk Management:	<p>Reputation Damage (CR4) Regulatory Governance (CR6)</p>
Equalities and Equalities	There are no implications arising from this report.

Assessment (EA):	EA not applicable
Human Rights:	There are no implications arising from this report.
Health and Safety:	The implications are as set out in this report and the appendices.
Statutory Officers' Comments:-	
Head of Paid Service:	The report is satisfactory.
Chief Finance Officer:	The report is satisfactory.
Monitoring Officer:	The report is satisfactory.
Consultees:	None.
Background Papers:	<ul style="list-style-type: none"> • Report entitled 'Annual Review of Health and Safety 2017/18' to Policy Finance and Development Committee on 1 May 2018 • Health and Safety at Work etc. Act 1974 • Managing for Health and Safety (HSG65)
Appendices:	<ol style="list-style-type: none"> 1. Health and Safety Annual Report (2018/19) 2. Health and Safety Policy and Statement (April 2019)

1. Background

- 1.1 Attached to this report at **Appendix 1** is the Council's Health and Safety Annual Report 2018 to 2019 which provides a summary of the Council's health and safety performance during the year April 2018 – March 2019.
- 1.2 As in previous years, 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 from the one that was agreed last year. The document will be re-signed when approved.

2. Information

- 2.1 At the meeting of this Committee on the 1 May 2018, 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.
- 2.2 At that meeting members requested that this Annual Plan incorporate additional information on comparing year on year on accidents, accident locations and near misses. Statistics on accidents at Parklands Leisure Centre & Wigston Pool and Fitness Centre were to be reported to the Service Delivery Committee by the Head of Community and Wellbeing.
- 2.3 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.
- 2.4 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; and
- avoid damaging effects on certain financial areas.

2.5 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.

OADBY & WIGSTON BOROUGH COUNCIL



Oadby & Wigston
BOROUGH COUNCIL

HEALTH AND SAFETY ANNUAL REPORT (2018/19)

Produced by Paul Evans
Health and Safety Officer
1 May 2019

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 third health and safety annual report brought to this Committee and covers the period from April 2018 to March 2019 (and will be described in this Annual Report as financial year 2018/19).

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 Leadership Team (SLT) which consists of the Chief Executive, Deputy Chief Executive, Monitoring Officer and the Chief Financial Officer 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.

Managers, 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 has been one intervention from the Health and Safety Executive regarding the incident at Willow Park in July 2018, where there will be no further action. There have been no interventions by the Leicestershire Fire & Rescue Service.

Auditing Activity: The audits carried out by the Health and Safety Officer are given in detail in section 6. Internal Audit has not carried out one on health & safety in 2018/19. The most recent one concerned updating and reviewing depot risk assessments (also see Section 6)

Accident Statistics: The two tables below show the number of accidents at each council location and 'elsewhere' for 2017/18 and 2018/19. 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.

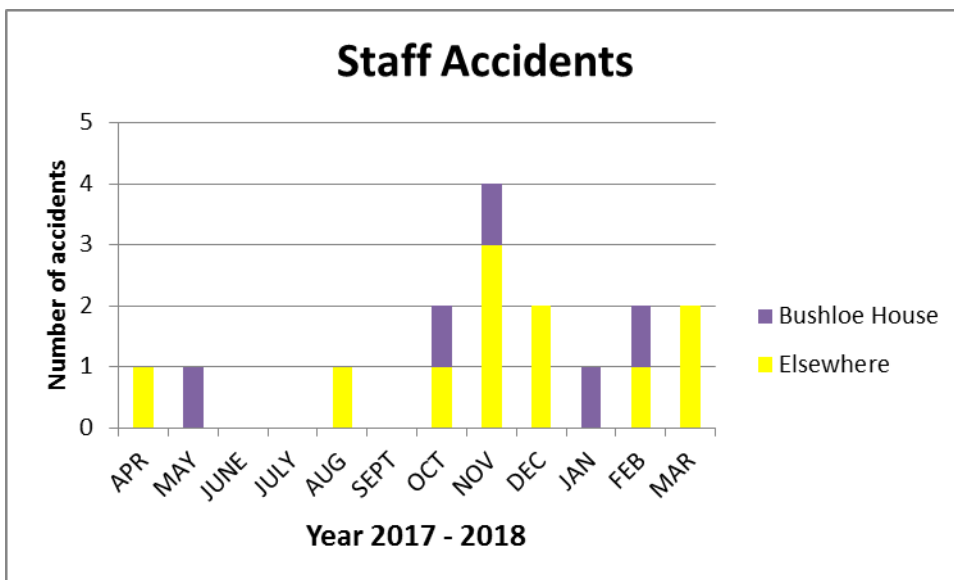


Table 1: Staff Accidents via location 2017/18

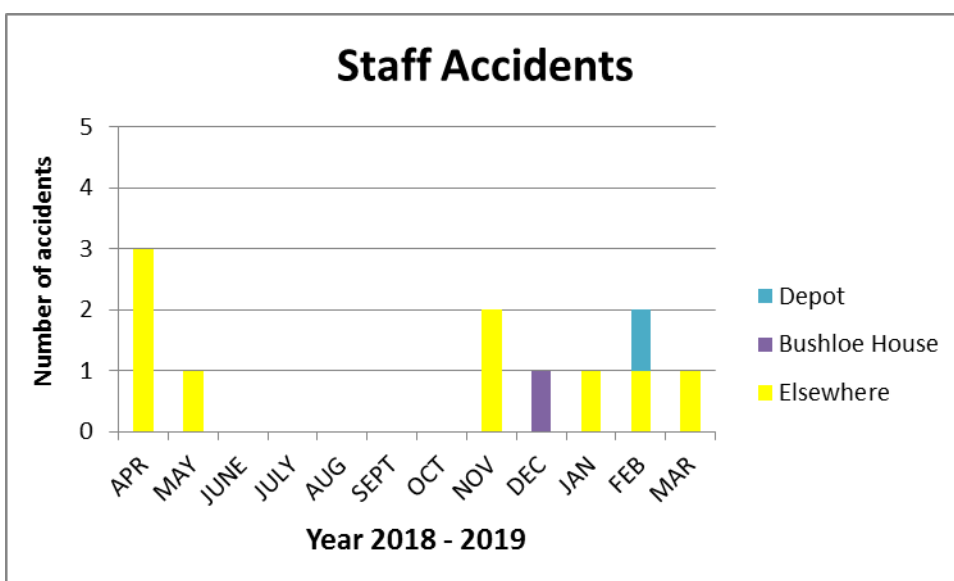


Table 2: Staff Accidents via location 2017/18

For 2018/19 the accidents at Bushloe House and the depot were due to fixtures and fittings becoming loose and or at the end of their useful life. Of the nine accidents at 'elsewhere', seven were due to lifting plastic refuse sacks which caused cuts (glass, tin cans), back pain and other musculoskeletal injuries. The other two were due to when wheeled bins were in use – one traffic accident and one musculoskeletal injury due to the incorrect use of the bin.

In 2017/18 the majority of 'elsewhere' accidents were due to injuries sustained in the collection of plastic sacks for recycling and household waste.

Accident investigations into the above resulted in:

- Window fittings at Bushloe House checked and refitted where appropriate
- A number of fixtures at the depot disposed of
- Reduction in musculoskeletal injuries because of the introduction of wheeled bins

Near Misses

Despite the reporting of near misses being that much easier, as they can now be completed on line, only one has been reported in 2018/19. This resulted in works at Bushloe House that would remove the probability of the incident reoccurring. Staff have been informed of the importance of reporting incidents, especially by information contained within the Learning Pool health and safety module.

Accidents (RIDDOR): The Council has had two reportable accidents in 2018/19, both in November 2018. One accident concerned a member of staff who was injured whilst moving a wheeled bin and the other was concerned with the traffic accident referred to earlier. Due to the type of the traffic injury, the Health and Safety Executive (HSE) considered the health and safety processes of the refuse and recycling service. At present the HSE are satisfied with the management of the health and safety processes at the depot.

4. Partnerships

The Leicester, Leicestershire and Rutland Safety Advisers Group has not met for over twelve months, but regular dialogue is undertaken via email.

5. Joint Consultation

The health, safety and maintenance sub group has been meeting for over a year and reports into the Health and Wellbeing Group. The meetings cover all aspects of health and safety and also maintenance issues that have a link to safety. Fire evacuation, lone working and depot welfare facilities are some of the areas that have been discussed and worked on.

6. Key Activities 2018/19

The Health and Safety Policy was submitted to this Committee in May 2018 and approved.

The non-exhaustive list below shows a number of areas that the Health and Safety Officer has been involved in financial year 2018/19:

- Fire evacuations have been successfully carried out at Bushloe House, Customer Services and the depot over the last twelve months. Revised fire evacuation plans have been produced for Bushloe House because of the building work at reception
- 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 issued to all depot staff last year. It is currently being updated to reflect a number of changes, principally because of the introduction of wheeled bins
- Accident investigations undertaken at the depot
- Monitoring the customer alert system
- Display Screen Assessments are now carried out by managers on an annual basis. A small number of in-depth work station assessments have been carried with staff who have individual areas of concern
- A 'homeworking' risk assessment has been made available on the intranet for staff to use
- A trial of lone working equipment is currently being undertaken for staff who could potentially be at risk in their day to day work
- The 'Report It' procedure is now available on the intranet and is a much easier way of reporting accidents, incidents and near misses
- Commenting on health and safety submissions by contractors carrying out housing maintenance schemes
- The large majority of work in 2018/19 has been involved with the inspection of a number of the council's land ownings – the majority being parks and open spaces. The inspections revealed a number of minor health and safety issues that are being dealt with by the operational teams
- Working with the HR team to inform staff via the intranet of wellbeing activities (stress, work station exercises etc.)
- Supporting the Health at Work Day

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 monitoring of accidents on the use of refuse sack collection methods is now linked with risk (7). The introduction of wheeled bins has considerably reduced accidents associated with refuse sacks – cuts, sprains etc.

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

- Risk assessment training via the Learning Pool module and training sessions
- To ensure that the health, safety and maintenance group continues to meet quarterly in order to coordinate health and safety issues at the council
- 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
- To ensure that the high risk land holdings are inspected annually

L I K E L I H O O D	A	Very High				
	B	High				
	C	Significant		6	5, 7, 8	
	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, Safety and Maintenance Group meets quarterly
7	Accident Investigations
8	Council land holdings – inspections and maintenance work undertaken

8. Action Plan 2019/20

The main focus in 2019/20 will be:

- Introduction of a lone working monitoring system
- Re-visiting the Learning Pool module on risk assessments, which will be mandatory for staff to undertake every two years
- Health and safety booklets for depot staff, agency staff and volunteers and 'tool box' talks to inform staff
- Risk assessments at the depot in a variety of areas
- Re-inspection of the council land holdings

9. Conclusion

The role of health and safety at both Senior Leadership Team and by all officers is increasing in importance and in profile. The dissemination of information by the health and wellbeing groups and especially the Intranet is assisting in this process.

The work in 2019/20 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 and Statement (April 2019)

Policy Version Number:

Policy Author: Paul Evans

Committee Approval:

TU Approval:

Unison:

GMB:

EIA:

Date of Policy Review: May 2019

1

## Contents

- General Statement of Health and Safety Policy
- 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. The 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, volunteers 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, volunteers, 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  
*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), volunteers, 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 Leadership Team (SLT)** which consists of the Chief Executive, Deputy Chief Executive, Monitoring Officer and Chief Financial Officer 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:

- SLT 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

**Managers, Team Leaders and other Supervisory Staff** have day-to-day responsibility for managing health and safety of the people, activities, sites, plant, and 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, near miss or 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 SLT, 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, Safety and Maintenance sub-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 (PPE)**

- 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 and volunteers 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.

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# Agenda Item 13

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

(Document is Restricted)