



# Oadby and Wigston Borough Council

## TO COUNCILLOR:

|                             |                      |
|-----------------------------|----------------------|
| Mrs S B Morris (Chair)      | D M Carter           |
| Mrs L Eaton (Vice-Chairman) | Miss M V Chamberlain |
| L A Bentley                 | Mrs E M Connell      |
| G A Boulter                 | K J Loydall          |
| J W Boyce                   | R E R Morris         |
| K M A Brown                 | R H Thakor           |

Dear Sir/Madam,

I hereby summon you to attend a meeting of the **SERVICE DEVELOPMENT COMMITTEE** to be held in the Council Offices, Station Road, Wigston, Leicestershire LE18 2DR on **TUESDAY, 13 SEPTEMBER 2011 COMMENCING at 7.00 pm** for the transaction of the business set out in the Agenda below.

Yours faithfully

Council Offices  
Wigston  
5 September 2011

Chief Executive

## AGENDA

Page No's

1. Apologies for absence.
2. Declarations of Substitutions for Committee Members
3. Declarations of Interest
4. Petitions and Deputations
5. Minutes of the previous meeting held on 12 July 2011 (previously circulated)
6. External Audit - Annual Governance Report 2010/11 (Report to follow)
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**Service  
Development  
Committee**

**13 September  
2011**

**Matter for  
Information**

Title: **Internal Audit Reports**

Author: **Tracy Mould Internal Auditor**

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## **1 Introduction**

As part of the corporate governance arrangements, the reports and action plans along with associated risks for all Internal Audit reports will be submitted to the Service Development Committee.

The Council's Section 151 Officer is required to maintain an adequate Internal Audit in order to help ensure the probity of the Council's financial affairs. Each Internal Audit report concludes with an action plan which when implemented will in the opinion of the Council's Auditors RSM Tenon / in-house Internal Auditor improve the financial security of the systems audited.

In most instances items in the action plan will be accepted by the Officer who has to put them into practice. On some occasions however, there may be practical difficulties which cannot be easily overcome, or the risk involved is disproportionately small compared with the resources which would overcome it. In a few cases there will be a disagreement between the Internal Audit and the Officer named in the action plan. In those cases the Section 151 Officer, in consultation with the Management Team would assess the risk and decide what action to take.

## **2 Information**

Reports and recommended action plans are attached as appendices for:-

- Land Charges;
- Key Performance Indicators; and
- Golf Course.

## **3 Financial Implications**

These are included within the attached appendices.

## **4 Recommendations**

That Members note the recommendations and responses contained in the attached reports which have previously been considered by the relevant Officers.

Email: [tracy.mould@oadby-wigston.gov.uk](mailto:tracy.mould@oadby-wigston.gov.uk) Tel: **0116 257 2640**

| <b>Implications</b> |   |
|---------------------|---|
| Health              | No significant impact.  |
| Environment         | No significant impact.  |
| Community Safety    | No significant impact.  |
| Human Rights        | No significant impact.  |
| Equal Opportunities | No significant impact.  |
| Risk Assessment     | The use of audit provides a significant contribution to the mitigation of risk.           |
| Value for Money     | Many audit recommendation can provide efficiencies and therefore greater value for money. |
| Equalities          | No significant impact   |
| Legal               | Audit reports will examine whether any ultra vires activities or procedures exist.        |

OADBY & WIGSTON BOROUGH COUNCIL

Internal Audit Progress Report (2011/12)

Service Development Committee Meeting – 13<sup>th</sup> September 2011

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The matters raised in this report are only those which came to our attention during our internal audit work and are not necessarily a comprehensive statement of all the weaknesses that exist, or of all the improvements that may be required. Whilst every care has been taken to ensure that the information provided in this report is as accurate as possible, based on the information provided and documentation reviewed, no complete guarantee or warranty can be given with regard to the advice and information contained herein. Our work does not provide absolute assurance that material errors, loss or fraud do not exist.

This report is prepared solely for the use of Council Members and senior management of Oadby & Wigston Borough Council. Details may be made available to specified external agencies, including external auditors, but otherwise the report should not be quoted or referred to in whole or in part without prior consent. No responsibility to any third party is accepted as the report has not been prepared, and is not intended for any other purpose.

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## 1. INTRODUCTION

- 1.1 The periodic internal audit plan for 2011/12 was approved by the Resource & Regeneration Committee on the 29<sup>th</sup> March 2011. This report summarises the outcome of work completed to date against that plan, and Appendix A provides cumulative data in support of internal audit performance.
- 1.2 The Internal Audit Plan for 2011/12 is being managed by RSM Tenon. The work required has been split between RSM Tenon Internal Audit staff and the Internal Auditor employed by Oadby & Wigston Borough Council.

## 2. FINAL REPORTS ISSUED

- 2.1 We have finalised three reports relating to the 2011/12 audit plan since the last Committee; these are in the areas of:

1. **Key Performance Indicators;**
2. **Land Charges; and**
3. **Golf Course.**

## 3. WORK IN PROGRESS OR PLANNED

- 3.1 Work in Progress consists of four audits as shown in Appendix A, and which are: Brocks Hill Environmental Centre, Sports Ground, Housing Benefit Sundry Debtor Account, and Inventory.

## 4. FINDINGS FROM INTERNAL AUDIT WORK

- 4.1 We have raised 17 recommendations across the four reviews that are being presented to this Committee; no recommendations have been classified as 'High' Risk, 4 recommendations have been classified as 'Medium' Risk and the remaining 13 recommendations have been classified as 'Low' Risk. Details of the key findings are shown in Appendix B and full copies of the Internal Audit Reports can be provided upon request.
- 4.2 All but one of the recommendations raised have been accepted by management. The one recommendation not accepted was part of the Key Performance Indicators Report and related to NI181. During the audit, it was noted that there had been an input error on this indicator, although this was quickly rectified at the time of discovery by management. As a result, the following recommendation was raised: *To ensure that data has been accurately transferred from the Claims Processing Statistics Report from the Academy system to the manual spreadsheet and independent check of the figures should be introduced. If a full check is not considered to be of benefit a sample check should be considered.*

However, management did not feel that the recommendation was appropriate and therefore was rejected. Managements comments to the recommendation were as follows: *Our figures are for our purposes only not the official figures used by the DWP. We carry out checks on their figures so another layer of checking would create a check of the check of the DWP figures.*

## 5. LIAISON WITH MANAGEMENT

- 5.1 Meetings are held with the Interim Director of Resources and Section 151 Officer on a regular basis, as well as other senior management to discuss the progress of the internal audit work.

## 6. CHANGES TO OUR PLAN

- 6.1 There has been no further need since the last committee meeting to make any changes to our plan.

## APPENDIX A: OPERATIONAL PLAN PERFORMANCE 2011/12 – CURRENT REPORTS

Detailed below is a summary of the work undertaken in 2011/12 to date, showing the levels of assurance given and the number of recommendations arising. Reports being considered at this Committee are shown in **bold and italics**. Definitions with regard to the levels of assurance and the classification of recommendations are provided overleaf.

| Auditable Area                    | Start Date      | Debrief date    | Draft report issued | Responses received | Final report issued | Service Development Committee | Audit approach    | Audit Days       | Assurance level given | Number of Recommendations Made |          |           |           |           |           |
|-----------------------------------|-----------------|-----------------|---------------------|--------------------|---------------------|-------------------------------|-------------------|------------------|-----------------------|--------------------------------|----------|-----------|-----------|-----------|-----------|
|                                   |                 |                 |                     |                    |                     |                               |                   |                  |                       | High                           | Medium   | Low       | In Total  | Agreed    |           |
| <b>Current Reports</b>            |                 |                 |                     |                    |                     |                               |                   |                  |                       |                                |          |           |           |           |           |
| <i>Key Performance Indicators</i> | <i>31/05/11</i> | <i>02/06/11</i> | <i>27/06/11</i>     | <i>01/08/11</i>    | <i>02/08/11</i>     | <i>September 2011</i>         | <i>Risk Based</i> | <i>3</i>         | <i>AMBER/GREEN</i>    | <i>0</i>                       | <i>1</i> | <i>6</i>  | <i>7</i>  | <i>6</i>  |           |
| <i>Land Charges</i>               | <i>07/06/11</i> | <i>17/06/11</i> | <i>07/07/11</i>     | <i>11/08/11</i>    | <i>15/08/11</i>     | <i>September 2011</i>         | <i>Risk Based</i> | <i>6</i>         | <i>GREEN</i>          | <i>0</i>                       | <i>1</i> | <i>5</i>  | <i>6</i>  | <i>6</i>  |           |
| <i>Golf Course</i>                | <i>16/05/11</i> | <i>20/05/11</i> | <i>02/06/11</i>     | <i>19/08/11</i>    | <i>22/08/11</i>     | <i>September 2011</i>         | <i>Risk Based</i> | <i>6</i>         | <i>AMBER/GREEN</i>    | <i>0</i>                       | <i>2</i> | <i>2</i>  | <i>4</i>  | <i>4</i>  |           |
| Pollution Control                 | 11/04/11        | 15/04/11        | 27/04/11            | 19/05/11           | 20/05/11            | July 2011                     | Risk Based        | 7                | GREEN                 | 0                              | 0        | 5         | 5         | 5         |           |
| Corporate Governance              | 11/04/11        | 20/04/11        | 27/04/11            | 20/05/11           | 20/05/11            | July 2011                     | Checklist         | 6                | AMBER/RED             | 0                              | 4        | 4         | 8         | 8         |           |
| Freedom of Information Act        | 23/05/11        | 27/05/11        | 02/06/11            | 21/06/11           | 21/06/11            | July 2011                     | Risk Based        | 5                | GREEN                 | 0                              | 1        | 4         | 5         | 5         |           |
| Contaminated Land                 | 23/05/11        | 27/05/11        | 03/06/11            | 17/06/11           | 20/06/11            | July 2011                     | Risk Based        | 5                | AMBER/GREEN           | 0                              | 3        | 0         | 3         | 3         |           |
| Risk Management                   | 11/04/11        | 04/05/11        | 20/05/11            | 22/06/11           | 24/06/11            | July 2011                     | Checklist         | 6                | AMBER/GREEN           | 0                              | 5        | 4         | 9         | 9         |           |
| <i>Management</i>                 | <i>-</i>        | <i>-</i>        | <i>-</i>            | <i>-</i>           | <i>-</i>            | <i>-</i>                      | <i>-</i>          | <i>25</i>        | <i>-</i>              | <i>-</i>                       | <i>-</i> | <i>-</i>  | <i>-</i>  | <i>-</i>  |           |
|                                   |                 |                 |                     |                    |                     |                               |                   | <b>Sub total</b> | <b>69</b>             |                                | <b>0</b> | <b>17</b> | <b>30</b> | <b>47</b> | <b>46</b> |

| Auditable Area   | Start Date                              | Debrief date | Draft report issued | Responses received | Final report issued | Service Delivery Committee | Audit approach | Audit Days | Assurance level given | Number of Recommendations Made |        |     |          |        |  |
|--|---|--------------|---------------------|--------------------|---------------------|----------------------------|----------------|------------|-----------------------|--------------------------------|--------|-----|----------|--------|--|
|  |   |              |                     |                    |                     |                            |                |            |                       | High                           | Medium | Low | In Total | Agreed |  |
| <i>Work in progress or yet to start (including reports still in draft)</i> |   |              |                     |                    |                     |                            |                |            |                       |                                |        |     |          |        |  |
| Brocks Hill Environmental Centre   | 03/05/11                                | 20/05/11     | 02/06/11            |                    |                     |                            |                | (8)        |                       |                                |        |     |          |        |  |
| Sports Ground  | 18/04/11                                | 26/04/11     | 20/05/11            |                    |                     |                            |                | (7)        |                       |                                |        |     |          |        |  |
| Page 8   | Housing Benefits Sundry Debtor Accounts | 22/06/11     | 26/07/11            | 22/08/11           |                     |                            |                | (6)        |                       |                                |        |     |          |        |  |
|  | Inventory                               | 08/08/11     | 12/08/11            | 22/08/11           |                     |                            |                | (12)       |                       |                                |        |     |          |        |  |
|  | Insurance                               | 19/09/11     |                     |                    |                     |                            |                | (6)        |                       |                                |        |     |          |        |  |
|  | Housing Benefits                        | 26/09/11     |                     |                    |                     |                            |                | (15)       |                       |                                |        |     |          |        |  |
|  | Choice Based Lettings                   | 24/10/11     |                     |                    |                     |                            |                | (7)        |                       |                                |        |     |          |        |  |
|  | Rents                                   | 21/11/11     |                     |                    |                     |                            |                | (15)       |                       |                                |        |     |          |        |  |
|  | Safeguarding Children                   | 28/11/11     |                     |                    |                     |                            |                | (6)        |                       |                                |        |     |          |        |  |
|  | NNDR                                    | 05/12/11     |                     |                    |                     |                            |                | (12)       |                       |                                |        |     |          |        |  |
|  | Council Tax                             | 05/12/11     |                     |                    |                     |                            |                | (12)       |                       |                                |        |     |          |        |  |
|  | Cash Income                             | TBC          |                     |                    |                     |                            |                | (8)        |                       |                                |        |     |          |        |  |
|  | Creditors                               | TBC          |                     |                    |                     |                            |                | (7)        |                       |                                |        |     |          |        |  |
|  | Treasury Management                     | TBC          |                     |                    |                     |                            |                | (7)        |                       |                                |        |     |          |        |  |
| Main Accounting  | TBC                                     |              |                     |                    |                     |                            | (7)            |            |                       |                                |        |     |          |        |  |

| Auditable Area                    | Start Date | Debrief date | Draft report issued | Responses received | Final report issued | Service Delivery Committee | Audit approach | Audit Days       | Assurance level given | Number of Recommendations Made |        |     |          |        |
|-----------------------------------|------------|--------------|---------------------|--------------------|---------------------|----------------------------|----------------|------------------|-----------------------|--------------------------------|--------|-----|----------|--------|
|                                   |            |              |                     |                    |                     |                            |                |                  |                       | High                           | Medium | Low | In Total | Agreed |
| Payroll                           | TBC        |              |                     |                    |                     |                            |                | (6)              |                       |                                |        |     |          |        |
| Bailiff Services                  | TBC        |              |                     |                    |                     |                            |                | (4)              |                       |                                |        |     |          |        |
| Grants – Voluntary Organisations  | TBC        |              |                     |                    |                     |                            |                | (6)              |                       |                                |        |     |          |        |
| Elections                         | TBC        |              |                     |                    |                     |                            |                | (7)              |                       |                                |        |     |          |        |
| Recycling                         | TBC        |              |                     |                    |                     |                            |                | (7)              |                       |                                |        |     |          |        |
| Street Cleansing                  | TBC        |              |                     |                    |                     |                            |                | (6)              |                       |                                |        |     |          |        |
| Pest Control                      | TBC        |              |                     |                    |                     |                            |                | (6)              |                       |                                |        |     |          |        |
| Health & Safety                   | TBC        |              |                     |                    |                     |                            |                | (6)              |                       |                                |        |     |          |        |
| Disabled Facilities Grants        | TBC        |              |                     |                    |                     |                            |                | (6)              |                       |                                |        |     |          |        |
| Attendance and Absence Management | TBC        |              |                     |                    |                     |                            |                | (7)              |                       |                                |        |     |          |        |
| Follow - Up                       | TBC        |              |                     |                    |                     |                            |                | (10)             |                       |                                |        |     |          |        |
| Management                        | -          | -            | -                   | -                  | -                   | -                          | -              | (15)             | -                     | -                              | -      | -   | -        | -      |
|                                   |            |              |                     |                    |                     |                            |                | <b>Sub total</b> | <b>(221)</b>          |                                |        |     |          |        |
|                                   |            |              |                     |                    |                     |                            |                | <b>Total</b>     | <b>290*</b>           |                                |        |     |          |        |

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*\*total days includes an extra three days for Performance Indicator Review which was not part of the originally agreed plan*

**Recommendation Categorisation**

Our findings and recommendations are categorised as follows:

**High (H):** *action is imperative to ensure that the objectives for the area under review are met.*

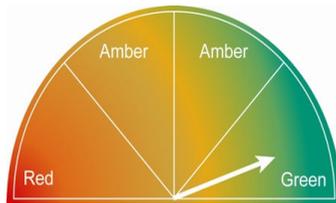
**Medium (M):** *requires action to avoid exposure to significant risks in achieving the objectives for the area under review.*

**Low (L):** *action advised to enhance control or improve operational efficiency.*

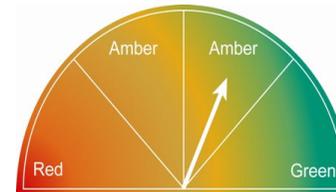
**ASSURANCE OPINIONS**

Our opinion will be graphically represented as a speedometer (see below). We have provided guidelines for each segment of the speedometer to provide the Service Development Committee (or equivalent) with some context behind each of the ratings.

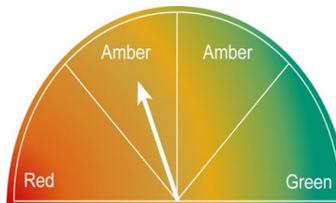
Page 10



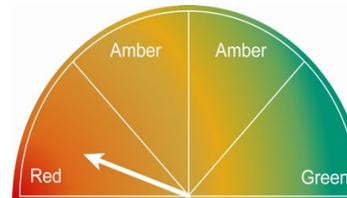
Taking account of the issues identified, the Authority can take substantial assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied and effective.



Taking account of the issues identified, the Authority can take reasonable assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied and effective. However we have identified issues that, if not addressed, increase the likelihood of the risk materialising.



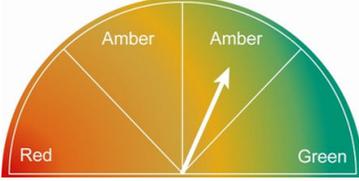
Taking account of the issues identified, whilst the Authority can take some assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied and effective, action needs to be taken to ensure this risk is managed.



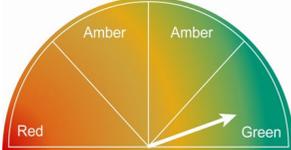
Taking account of the issues identified, the Authority cannot take assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied or effective. Action needs to be taken to ensure this risk is managed.

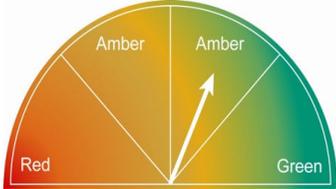
The Amber assurance level is split into two so that we are able to give you a clear indication of whether we consider the assurance to be “above or below the line”. We hope this will help draw attention to those reports where we are highlighting that although not a negative opinion, the Authority does need to take action to ensure the risk is managed. Similarly the above the line amber opinion reflects that although a positive opinion, there is still room for improvement. During the year our progress reports to the Service Development Committee will reflect the opinions given and build up a picture of our findings so that there will be no surprises in our year end annual opinion.

**APPENDIX B: REPORTS FINALISED – SUMMARY OF KEY FINDINGS**

| Summary of Audit Findings  | Assurance Level  | No. of Recs. Made and (Accepted) | No. of Recs. Categorized As High Risk | Final Date for Impl. of All Recs | Responsible Officer(s)  |
|--|--|----------------------------------|---------------------------------------|----------------------------------|---|
| <p><b>1. Key Performance Indicators – (09.11/12)</b></p> <p>An audit involving a review of Performance Indicators was undertaken as part of the approved internal audit periodic plan for 2011/12. As part of this review we were asked by the Policy &amp; Performance Officer to specifically review the following indicators:</p> <ul style="list-style-type: none"> <li>➤ Performance Indicator NI 181 – Time Taken to Process Housing Benefit/Council Tax Benefit</li> <li>➤ Performance Indicator NI 195 – Improved Street and Environmental Cleanliness</li> <li>➤ Best Value Performance 12 – Working days Lost to Sickness Absence</li> </ul> <p>Performance Indicators at the Council are used to evaluate the level of achievement against a set, definable standard for the Council as a whole, or for a particular operational area of the Council.</p> <p>An audit review of Performance Indicators was undertaken to assess the Council’s arrangements to ensure data quality in relation to the National Indicators (NIs) which they are required to report on; as well as a number of Best Value Performance Indicators that have been retained by the Council as existing local indicators (PIs). The review considered whether there are adequate arrangements in place for collecting and validating performance information. In addition, the NIs and PIs were assessed to ensure these were being collated in accordance with the Audit Commission definitions, were correctly calculated and were appropriately supported by documented evidence.</p> |  | <p>7(6)</p>                      | <p>0</p>                              | <p>April 2012</p>                | <p>Acting Head of Client Services (Technical)<br/>Anne Court,<br/>Head of Legal &amp; Licensing</p> |

| Summary of Audit Findings   | Assurance Level | No. of Recs. Made and (Accepted) | No. of Recs. Categorised As High Risk | Final Date for Impl. of All Recs | Responsible Officer(s) |
|---|-----------------|----------------------------------|---------------------------------------|----------------------------------|------------------------|
| <p>This review resulted on one medium risk and 6 low risk recommendations being raised. All were accepted by management apart from one low risk recommendation.</p> <p>The medium risk recommendation raised is detailed below:</p> <ol style="list-style-type: none"> <li><b>BVPI 12</b> - In line with documented guidance the denominator should be calculated using current financial year FTE figures. The calculation should be revisited and re-performed with the updated result presented to Overview and Scrutiny Committee.</li> </ol> |                 |                                  |                                       |                                  |                        |

| Summary of Audit Findings  | Assurance Level   | No. of Recs. Made and (Accepted) | No. of Recs. Categorised As High Risk | Final Date for Impl. of All Recs | Responsible Officer(s)             |
|--|---|----------------------------------|---------------------------------------|----------------------------------|------------------------------------|
| <p><b>2. Land Charges – (10.11/12)</b></p> <p>An audit of Land Charges was undertaken as part of the approved internal audit periodic plan for 2011/12.</p> <p>A local land charges Search is required to inform a prospective purchaser of land or property of the existence of any obligations or charges which are enforceable against successive owners by local authorities or central government.</p> <p>There are two systems of recording Land Searches currently in operation whilst the web based TLC system is being implemented. The Council's web site has pages dedicated to Land Searches, and this provides clear information to the public on this area.</p> <p>A review of searches undertaken demonstrated that the Local Land Searches system was widely understood and a variety of methods and payment methods were used.</p> <p>The review resulted in one medium risk and five low risk recommendations being raised. The medium risk recommendation raised is detailed below:</p> <ol style="list-style-type: none"> <li>The Council's Scale of Charges should be approved by Committee and published on the Council's web site in a timely manner. Prior to Committee approval, management should review all fees for Land Searches, including those for additional queries, to ensure that they are correct. The fees held by NLIS should mirror those charged by the Council where appropriate.</li> </ol> |  | <p>6(6)</p>                      | <p>0</p>                              | <p>August 2011</p>               | <p>Head of Legal and Licensing</p> |

| Summary of Audit Findings   | Assurance Level  | No. of Recs. Made and (Accepted) | No. of Recs. Categorised As High Risk | Final Date for Impl. of All Recs | Responsible Officer(s)          |
|---|--|----------------------------------|---------------------------------------|----------------------------------|---------------------------------|
| <p><b>3. <u>Golf Course – (06.11/12)</u></b></p> <p>An audit of Golf Course was undertaken as part of the approved internal audit periodic plan for 2011/12.</p> <p>The Oadby Golf Club is a municipal course operated by Oadby and Wigston Borough Council on land leased from the Oadby Racecourse. It is 18 holes, par 72 course, set in parkland surrounding the Racecourse; some of the holes are actually within the Racetrack area and as a result, cannot be used on Race days. The course is open to season ticket holders and to pay and play customers and the facility is available every day of the year with the exception of Christmas Day. There is no membership requirement and the Oadby Golf Club, which is based at the course, has no responsibilities towards the management and operation of the course.</p> <p>The review resulted in two medium risk and two low risk recommendations being raised; all of which were accepted by management. The medium risk recommendations raised are detailed below:</p> <ol style="list-style-type: none"> <li>1. Once per year, on an unannounced basis, the Council should assert its right to inspect the Contractors records in order to confirm that the turnover figures, upon which the commission payment to the Council is based, are a true and accurate reflection of the actual turnover of the Cafe. In accordance with the terms of the Contract, the contractor should provide annually an audited statement of account showing the actual turnover at Oadby Golf Course, in order to facilitate an annual check of the actual turnover and therefore, the commission payable.</li> </ol> |  | <p>4(4)</p>                      | <p>4</p>                              | <p>November 2011</p>             | <p>Senior Contracts Manager</p> |

| Summary of Audit Findings   | Assurance Level | No. of Recs. Made and (Accepted) | No. of Recs. Categorised As High Risk | Final Date for Impl. of All Recs | Responsible Officer(s) |
|---|-----------------|----------------------------------|---------------------------------------|----------------------------------|------------------------|
| <p>2. The Council should ensure that any changes to its' Scale of Charges are formally approved and authorisation is minuted by the appropriate Committee. Full consideration of the financial implications of changes to the Scale of Charges should be evidenced. Considerations such as the need to charge round pounds should be fully taken into account when setting the Scale of Charges and should not be the function of cashiering staff.</p> |                 |                                  |                                       |                                  |                        |

# Agenda Item 8



**Service  
Development  
Committee**

**13 September  
2011**

**Matter for Decision**

Title: **European Regional Development Fund  
Project Opportunities for the Council**

Author: **Judith Sturley, Senior Economic Regeneration Officer**

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## **1 Introduction**

- 1.1 This report considers the outcome of a Members seminar at which potential projects that could be submitted under Round 2 of European Regional Development Fund (ERDF) Priority Axis 2 were discussed.

## **2 Background**

- 2.1 The assumption is that there will be at least £1.4million available under ERDF funding for Round 2, which will be available to external bidders as well as offering the Council the opportunity to work up its own proposal(s) for projects, to be submitted as Expressions of Interest in November 2011. On this basis the seminar was arranged to give Members the opportunity to work with officers in considering potential projects.

## **3 Project Proposals**

- 3.1 At this seminar it was agreed that the way forward for the submission of Expressions of Interest was as follows:
- There was strong support for looking at public realm projects in Oadby, Wigston and South Wigston, especially because there is £20,000 of Section 106 monies available from Waitrose to be used in Oadby. Furthermore the County Council has expressed an interest in working up public realm projects. Officers were therefore requested to work with appropriate bodies to formulate public realm projects for all three towns for further consideration.
- (It should be noted however that no more than 23% of the Programme's funding can go towards public realm and such projects must encourage business growth.)
- Officers are to look at three car parks in Wigston, namely Paddock Street, Junction Road and Aylestone Lane, and undertake a brief feasibility study to see whether part of the sites could be suitable for development for either managed office starter units or managed workspace units. This will in no way compromise the Council's commitment to retain free shoppers car parking.

- Officers to work with relevant councillors in respect of establishing the feasibility of the development of the Boy's Club site in Horsewell Lane on the Little Hill Estate for business start-up units

(It should be noted that due to the tight time-scale of the ERDF programme it is only probably feasible to consider the use of Council owned land for workspace starter units or managed office starter unit type projects. However officers were asked to contact the County Council, British Waterways and both the Oadby Village Hall Trust and the Oadby Educational Foundation to establish whether they have any suitable sites in their ownership.)

3.2 A demand survey is to be commissioned in conjunction with the above, to establish the need for workspace starter units and managed office starter units

#### 4 Financial Implications

- ERDF funding amounts to 62.72% of a scheme and therefore the Council needs to consider the issue of match funding
- The precise remaining ERDF funding for Oadby and Wigston will not be known until full applications for Round 1 projects have been submitted and assessed
- Technical support funding will need to be accessed under the provisions of ERDF Priority Axis 3 for demand survey work
- Depending on the project(s) that the Council puts forward there may be ongoing revenue funding to be considered

#### 4 Recommendations

That Members endorse the way forward in the development of project(s) for submission for ERDF funding.

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Tel: 0116 2572 644

| <b>Implications</b> |  |
|---------------------|--|
| Health              | None   |
| Environment         | Potential for improvements to public realm   |
| Community Safety    | None   |
| Human Rights        | None   |
| Equal Opportunities | None   |
| Risk Assessment     | That none of the sites prove to be financially viable or that there is no proven demand for the projects put forward |
| Value for Money     | To be established  |
| Equalities          |  |
| Legal               |  |

# Agenda Item 9



|                            |                          |                            |
|----------------------------|--------------------------|----------------------------|
| <b>Service Development</b> | <b>13 September 2011</b> | <b>Matter for decision</b> |
|----------------------------|--------------------------|----------------------------|

Title: **Oadby & Wigston Community Safety Partnership**

Author: **Sergeant P. Durrant, Lead to Community Safety Partnership  
(seconded from Leicestershire Constabulary)**

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## 1 Introduction

Community Safety Partnerships (CSP) were formed as a result of the Crime and Disorder Act 1998 with the purpose of developing and implementing strategies to tackle crime and disorder, anti social behaviour and the misuse of drugs along with any other behaviour which had an adverse effect on the local environment. It placed the doctrine of partnership working onto a statutory footing, citing certain organisations as “responsible authorities” (s6, Crime and Disorder Act 1998 as amended by s97 & s98 Police Reform Act 2002 and s1, Clean Neighbourhoods & Environment Act 2005).

Those responsible authorities are;

Police Forces  
Police Authority  
Fire Authority  
Local Authorities (including County where applicable)  
Health  
Probation

This report sets out a brief position statement in relation to the effect the CSP has had on reducing crime and disorder in the Borough and proposes a structured way forward that will improve the way it presently works.

## 2 Information

The Oadby and Wigston CSP works towards local priorities which are complimentary to priorities set at County level in terms of crime and disorder. The CSP sets its priorities using an evidence based methodology which is informed by a detailed strategic assessment along with professional opinions from key partners and the opinions of the wider populous, gleaned through consultation. For the year 2011 / 12 the priorities are burglary (dwelling and commercial), anti social behaviour, domestic violence and alcohol misuse.

The new Council elected in May 2011 has identified crime and disorder as a priority for Oadby and Wigston Borough Council and the CSP is the delivery

mechanism for this. Its chair, Councillor K. Loydall has lead a review of the CSP and a number of improvements have been identified, notably around management, support and sustainability.

This review has identified that the key to an effective CSP is the role of the “Community Safety Partnership Manager”. Who would hold the responsibility of representing the Council, supporting the chair, managing the partnership and in turn managing the delivery of the partnership’s priorities. The CSP Manager’s responsibilities would include (not an exhaustive list);

- Supporting the Chair at the CSP meetings
- Line managing the administrative support function
- Budgetary responsibility
- Responsibility for the CSP’s performance
- Furthering the CSP and Council’s interests in the wider arena

In addition to this role some administrative support to the CSP is necessary. This function exists at the present time having been introduced last year. So this would not be a growth area. The administrative support function would include (not an exhaustive list);

- Production of agendas and minutes
- Collation and following up of actions
- Organising CSP representation at appropriate local events
- Facilitation of the CROW (retail theft) radio scheme
- Administering the Community Safety Flat

The CSP has historically existed in isolation from the Council’s main governance stream and as such it is proposed that it will report into the Service Development Committee under the new governance arrangements.

It is clear that the Council and CSP will be subject to continual challenge to deliver in the area of crime and disorder and to that end investment in the CSP at this stage is important. As is maintaining the capability to look at best practice, share it with other partners where necessary and be flexible enough to react to the wider issues. Should the recommendations in this report be adopted it will place the CSP and Council in the best possible position to react to the challenges which it shall certainly face in the future, such as the arrival of the new Police and Crime Commissioners.

The table below gives an example of some of the CSP’s achievements.

| <b>Work Stream</b>    | <b>2010</b>            | <b>2011</b>            |
|-----------------------|------------------------|------------------------|
| Anti Social Behaviour | 620 reported incidents | 383 reported incidents |
| Burglary              | 71 incidents           | 51 incidents           |
| Substance Misuse*     | 0 persons referred     | 7 persons referred     |
| Domestic Violence     | 337 reported incidents | 336 reported incidents |

\*In addition to the number of individuals the Substance Misuse worker is working with she is also now integrated into partner agencies business

Appendix A illustrates the new structure of the CSP.

### **3 Financial Implications**

The CSP has previously been funded by means of an annual grant of approximately £40,000 from County and an annual grant of approximately £20,000 from the Police. In addition to this the Council has allocated around £27,000 to the CSP. Over the next three years the total amount provided from government for CSP funding will be reduced from around £741,000 to around £281,000. It is not yet known if the annual Police grant will continue and if so how much it will be.

As crime and disorder has been adopted as a priority by the Council £50,000 was allocated to crime and disorder this year (2011/12). To make up for the reduction in funding it is anticipated that this will need to be repeated year on year.

### **4 Conclusions**

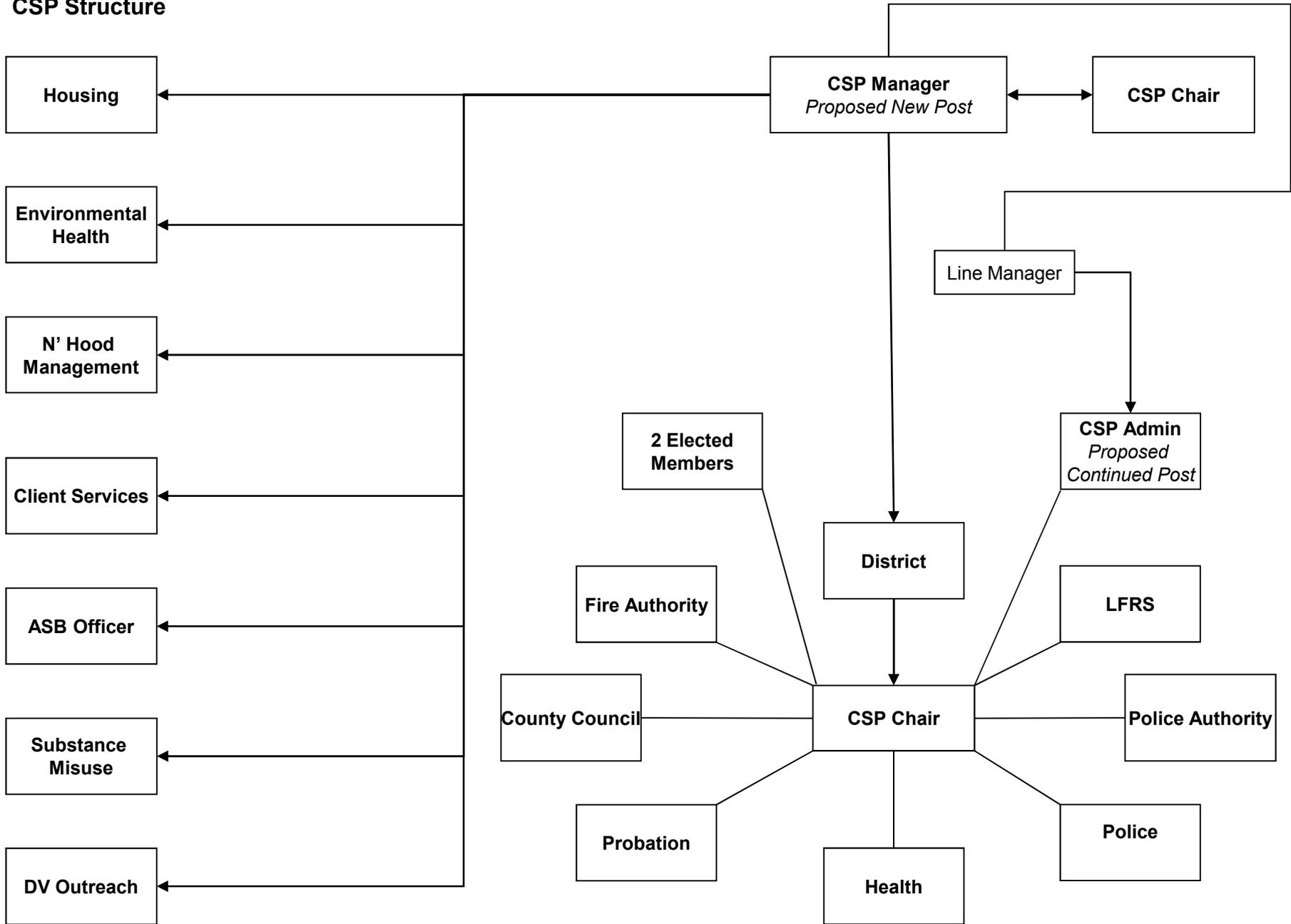
There are clearly some challenging times ahead for the CSP. However it is important that this is viewed in line with the overall corporate context. On that basis, these priorities and financial implications will be subject to a full review by the Chief Executive as part of the overall review of the organisation and will take into account existing commitments and posts such as that of the Community & Safety Housing Organiser and budgetary priorities. This will involve appropriate consultation with potentially affected staff.

### **5 Recommendations that the Members Approve**

1. There will be regular reporting from the CSP to the service development committee
2. The re-structure of the CSP and the appointment of a Community Safety Partnership Manager, subject to the corporate budget process and overall review of the organisation being carried out by the Chief Executive
3. The CSP administrative function is continued subject to the corporate budget process and overall review of the organisation being carried out by the Chief Executive
4. Crime and disorder is identified as a priority in future funding decisions as it is a Council priority.

| <b>Implications</b> |   |
|---------------------|---|
| Health              | No significant impact.  |
| Environment         | No significant impact   |
| Community Safety    | The community safety partnership and therefore its effectiveness is integral to the management and reduction of crime and disorder which is a priority area |
| Human Rights        | No significant impact.  |
| Equal Opportunities | No significant impact.  |
| Risk Assessment     | Failure to adopt the recommendations could lead to the obligations put upon the council by the Crime and Disorder Act 1998 not being met.                   |
| Value for Money     | Failure to adopt the recommendations could lead to public monies being used ineffectively.  |
| Equalities          | No significant impact   |
| Legal               | The council is required by law to discharge the function set out at S.6 of the Crime and Disorder Act 1998.   |

**Appendix A - Proposed CSP Structure**





|                                  |                   |                     |
|----------------------------------|-------------------|---------------------|
| Service Development<br>Committee | 13 September 2011 | Matter for Decision |
|----------------------------------|-------------------|---------------------|

Title: **Governance for Blaby, Oadby and Wigston  
Locality Partnership Group**

Author: Jacky York, Priority Neighbourhoods Manager: John Leach  
Corporate Head Policy and Partnerships Blaby District Council

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## 1 Introduction

In April 2011 following changes to the structure of Oadby and Wigston Borough Council departments and Leicestershire County Council it was agreed to consolidate arrangements for the governance of the Blaby, Oadby and Wigston Locality Partnership Group which manages the locality Sure Start programme.

## 2 Information

The revised terms of reference for the Blaby, Oadby and Wigston are below:

**Blaby, Oadby and Wigston Children’s Extended Services Locality  
Partnership Group**

### 1. Terms of Reference

1.1 The Blaby, Oadby and Wigston children’s Locality Partnership Group is a subgroup of Blaby Together accountable to it at a District level and to Oadby and Wigston Service Development Committee. At a county level the Blaby, Oadby and Wigston Locality Partnership Group is accountable to the Children and Young People’s Board, a subgroup of Leicestershire Together.

1.2 At a local level the Locality Partnership Group will:

- a) oversee the performance management of the Sure Start Children’s Centre programme locally and work collaboratively with local schools in the delivery of extended services
- b) oversee the integrated youth support service strategy and coordinate the allocation of positive activity for young people funding (PAYP) and other 11-19 funding as appropriate
- c) act as the central co-ordinating body for the strategic development of locally delivered services for children and young people
- d) take an overview of the range of services delivered and ensure this is in accordance with the children’s centre performance management framework and the Leicestershire Children and Young People’s Plan
- e) promote the establishment of strong links with all partner agencies,

- having a clear understanding of partners' roles and responsibilities and building robust channels of communication across agencies and services
- f) establish reliable ways of assessing the needs and circumstances of children in the locality and ensure up to date information is available to inform planning and commissioning activities
- g) identify priorities and targets
- h) consider and evaluate options for service delivery from the local commissioning budget
- i) make commissioning recommendations for expenditure approval to the delegated officers of Blaby District Council acting as the agent of Blaby Together and Oadby and Wigston Borough Council Service Development Committee.
- j) consider proposals for integrating services, pooling budgets and resources or linking commissioning at a local level
- k) oversee expenditure from the commissioning budget, monitor and review outcomes from commissioned services or activities
- l) instigate collaborative consultation and participation with children, young people, families and carers
- m) report emerging issues of importance via the relevant groups at district and county levels

## **2. Membership**

2.1 The partnership will be chaired by a representative of Blaby District Council with support and advice from a delegated officer representing Oadby and Wigston Borough Council

2.2 Membership of the Blaby, Oadby and Wigston Locality Partnership Group will be invited from:

- a) Health Visiting and School Nursing Service
- b) Mifwifery
- c) Oadby and Wigston Borough Council
- d) Leicestershire Children and Young People's Service Children's Specialist Care
- e) Representatives of the five school development groups in Blaby, Oadby and Wigston
- f) Representation from the Community Actions in Blaby District and Oadby & Wigston Borough
- g) Leicestershire Early Learning and Childcare Service
- h) Representation from South Leicestershire College
- i) Childrens Centre Co-ordinators
- j) Job Centre Plus
- k) Locality Partnership Co-ordinators
- l) Leicestershire Library Service
- m) Voluntary Action Leicester+shire
- n) Leicestershire Adult Learning Service
- o) Homestart, Blaby, Oadby and Wigston

- p) Schools Sports Partnership
- q) Leicestershire Youth Service
- r) Integrated Youth Support Services Managers
- s) Connexions
- t) Health Improvement Service
- u) Leicestershire Educational Psychology Service

2.3 If the nominated representative is unable to attend any meeting the appointing body will substitute a person of similar standing. Each nominated representative should be able to speak on behalf of their agency or range of services and act as a liaison with other agencies or sector.

2.4 The Locality Partnership Group can invite representation from other agencies as required. With the agreement of the Chair individuals can be invited to attend specific meetings or for specific agenda items.

### **3. Meetings**

3.1 The Blaby, Oadby and Wigston Locality Partnership Group will meet at least twice a term and may hold such other meetings as may be necessary.

3.2 Specific business or tasks may be delegated to smaller subgroups if appropriate for expediency

3.3 Meetings will consider as standing agenda items; progress reports from the Locality Partnership Co-ordinators (whilst in post), finance; information about the commissioning budget and performance management information (in writing or verbal).

### **4. Reports and Recommendations**

4.1 A report will be submitted from the Blaby, Oadby and Wigston Locality Partnership Group every six months to Blaby Together and to Oadby and Wigston Service Development Committee detailing progress in the development of the Sure Start programme in the Borough and District.

4.2 The Locality Partnership Group will make recommendations for expenditure from the locality commissioning budget. Approval that expenditure is in accordance with the recommendations will come from Blaby District council officers acting as agents of Blaby Together and Oadby and Wigston Service Development Committee

4.3 The minutes, recommendations and reports of the Blaby, Oadby and Wigston Locality Partnership Group will be made available to the Assistant Director Strategic Initiatives at Leicestershire County Council Children and Young People's Service and if requested to the Leicestershire Children and Young People's Board.

4.4 A report will be submitted from the Blaby, Oadby and Wigston children's Locality Partnership Group for approval to the Oadby and Wigston Borough Council Service Development Committee detailing the progress of the Sure Start programme in the Locality.

## 5. Conflict of interest

5.1 Any conflict of interest must be declared and representatives of agencies or services must not participate in any decision making or recommendations in relation to commissioning of services.

## 3 Financial Implications

The total cost of the Blaby, Oadby and Wigston Sure Start programme in 2011/12 is £1,013,000 including all commissioned services, infrastructure and management costs. All this expenditure is met through the Leicestershire County Council Early Intervention Grant. There are no costs to Oadby and Wigston Borough Council.

## 4 Recommendations

- (a) Oadby and Wigston Borough Council Service Development Committee agree the terms of reference
- (b) Oadby and Wigston Borough Council Service Development Committee receive six monthly progress reports for the Sure Start programme from the Blaby, Oadby and Wigston Locality Partnership Group

email: Tim Brooke Locality Partnership Co-ordinator [tb1@blaby.gov.uk](mailto:tb1@blaby.gov.uk)  
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John Adsley Locality Partnership Co-ordinator [ja1@blaby.gov.uk](mailto:ja1@blaby.gov.uk)  
Tel: 0116-272-7583

| <b>Implications</b> |  |
|---------------------|--|
| Health              | The Sure Start programme has targets to improve the health outcomes of children in the Locality, particularly for those at risk of health problems                           |
| Environment         | The Sure Start programme has five centres in the Locality which are managed in an environmentally sensitive manner. The work of the programme encourages a greener lifestyle |
| Community Safety    | Within the family support and safeguarding targets of the Sure Start programme there is overlaps with the goals of Community Safety  |
| Human Rights        | All services are compliant with the requirements of the  |

|                     |   |
|---------------------|---|
|                     | Human Rights Act  |
| Equal Opportunities | The programme is subject to equality impact assessment  |
| Risk Assessment     | The accountable body for the Sure Start programme is Leicestershire County Council. The programme represents no financial risk to the Oadby and Wigston Borough Council |
| Value for Money     | The Sure Start programme is inspected by OfSTED. The inspection regime includes value for money   |
| Equalities          | A target for the Sure Start programme is improving outcomes for children at risk of poor educational and social outcomes  |
| Legal               | There is an agreement between Blaby District Council and Oadby and Wigston Borough Council addressing roles in the partnership  |

# Agenda Item 11



**Service  
Development  
Committee**

**13 September  
2011**

**Matter for Decision**

Title: **Youth and Community Worker Proposal**

Author: **Jacky York, Priority Neighbourhoods Manager**

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## **1 Introduction**

- 1.1 This report provides members with a proposal to engage a part time Youth and Community worker for six months from October 1<sup>st</sup> 2011 with a remit to co ordinate and develop the use of the Bobbin Factory youth wing and the Boulter Crescent community flat. In addition the worker would seek to obtain funding and sponsorship for youth and community provision and events.

## **2 Information**

- 2.1 Overview and Scrutiny Committee held on Monday 22<sup>nd</sup> August recommended that the Priority Neighbourhoods Manager investigate the potential to employ a Youth and Community worker in partnership with South Leicestershire College to work with agencies, the community and young people to increase and coordinate the use of the Bobbin Factory youth wing. This would ensure a coordinated and effective approach to provision.
- 2.2 The Priority Neighbourhoods Manager is in the process of completing a Lottery bid for £120,000 to employ a worker at the Boulter Crescent flat. The proposal is to employ a Youth and Community Officer to complete the Lottery application and to extend the remit of the bid to South Wigston in order to engage with the local community to improve and increase youth provision at the Bobbin Factory. The post holder to be seconded from South Leicestershire College. Job description, performance management, action plan targets and line management to be delivered through the Priority Neighbourhoods Manager.
- 2.3 A further remit for the post would be to source grant funding and sponsorship for youth and community projects such as the Supersonicboom event which, this year, was the most successful ever, and to improve community cohesion by involving local residents in volunteering and fund raising initiatives. This year all prizes were acquired through sponsorship, the value of these and other donations equated to £2635. A further £300 was generated by the event some of which was donated to local youth clubs and the Mayor's charity.
- 2.4 To ensure sustainability the role would need to become self funding after the initial six month period and have the potential to bring in additional funds e.g. through the setting up of a residents group at Boulter Crescent and applying for charitable status grants. Regular monitoring of outcomes during the six month period would allow sufficient direction for early future project planning. The post will not continue after the initial period if sufficient funds are not obtained.

### 3 Financial Implications

- 3.1 Figures obtained from Finance indicate a total cost of £5500 including expenses. This would be sourced through the combination of various funds available within the Community and Cultural Development and Youth Budgets.

#### Budgets available for Youth and Community Worker Expenditure

|   |                  |
|---|------------------|
| Youth Development   | £1,000.00        |
| Youth Work Support  | £1,000.00        |
| Regional Economic Improvement Partnership and Positive Activities for Young People grants | £500.00          |
| South Wigston Neighbourhood Management funds  | £2,000.00        |
| Neighbourhood Management Cross Cutting Grant  | £1,000.00        |
| <b>Total</b>  | <b>£5,500.00</b> |

- 3.2 Potential income from the Lottery bid is up to £120, 000 plus additional grants and sponsorship as yet unknown but to include funds allocated to local forums, Big Society and Participatory Budgeting Funds. There will be a keen focus on gaining further sponsorship from local businesses.

### 4 Recommendations

Members are asked to:

- i) Note their approval for the proposals recommended in the report.

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| Implications        |  |
|---------------------|--|
| Health              | A number of health-related agencies are planning to make use of the facility.  |
| Environment         | No direct implications   |
| Community Safety    | This is a key driver in establishing facilities in priority neighbourhoods and is one of the main outcomes in terms of an improvement within the localities  |
| Human Rights        | No implications  |
| Equal Opportunities | No implications  |
| Risk Assessment     | The key risk is that funds may not be obtained and facilities are not used to full capacity and/or fail to deliver real benefits to local residents. Monitoring the use and outcomes will help to minimise this risk. The project will cease after six months if self funding through grants is not forthcoming.             |
| Value for Money     | The project has the potential to offer good value for money, as for a limited revenue cost, there is scope to have a direct impact on improving the lives of local people, as well as bringing agencies together to work in a more focused way. There is also the potential to obtain further sponsorship and grant funding. |
| Equalities          | An inherent feature of the project is to encourage local residents and young people to access and take up services that could be of benefit to them. Through this, we hope to address some of the underlying inequalities that exist.  |
| Legal               | No implications  |

# Agenda Item 12



**Service  
Development  
Committee**

**13 September  
2011**

**Matter for Decision**

Title: **Human Resources Policies**

Author: **Kalv Garcha, Solicitor and Deputy Monitoring Officer**

---

## **1 Introduction**

The purpose of the report is for approval of the Human Resources (HR) policies attached to this report as appendices, which previously did not exist or were due for revision report

## **2 Information**

The Council, as a good employer, needs to keep its employment policies under review in order to ensure that they are up to date and remain “fit for purpose.” The disciplinary, grievance, dignity at work and capability policies were all reviewed recently together with the introduction of organisational change policies. A number of other HR policies are in need of review and introduction where a policy has not previously existed. As part of an ongoing programme that has now been put in the place, of updating HR policies, the following policies as attached are recommended for approval.

All HR policies require Trade Union consultation. The Stress Management and Probation policy have already been through the consultation process and comments incorporated accordingly. The other three policies have only just been finalised and therefore have not as yet been for consultation with the Trade Unions. However to avoid delay it is proposed that these policies be approved subject to Trade Union consultation with delegation to the Head of Legal and Licensing and HR in consultation with the Chair of Service Development committee to amend the policies as necessary following Trade Union consultation.

The policies are summarised as follows:-

Probationary Policy (appendix 1). A policy to set out what is expected of employees during the probationary period and how managers are to effectively manage the probationary period to assist employees understanding their role and the standards expected of them and how to deal with poor performance during the probationary period.

Honorary and Acting Up Policy (appendix 2). A policy to provide a consistent approach to the terms and conditions and selection methods where employees temporarily take on additional responsibilities, which are above and beyond the scope of the grade of their post.

Secondment Policy (appendix 3). As per the above policy, this is to provide a consistent approach to the terms and conditions and selection methods to be applied in this case to situations where an employee is transferred from their own duties to take on duties for a particular project or role for a limited period of time.

Stress Management Policy (appendix 4). A policy in line with the Health and Safety Executive on managing work related stress. The Council is committed to fulfilling its health and safety duties, this policy is to help both staff and managers recognise and manager potentially stressful situations.

Criminal Records Bureau Checks (CRB) (appendix 5). To meet our statutory obligations under the safeguarding of children and vulnerable adults a policy needs to be in place which sets out the criteria for which posts require CRB checks and the frequency that the checks are to be undertaken.

Awareness and training on all the policies will take place for all employees.

### 3 Financial Implications

There is a cost in the Council arranging for Criminal Record Bureau checks for relevant staff, which has been provided for in the HR budget. It is expected that any costs associated with Honoraria, Acting Up or Secondment will be contained within existing established salaries budgets.

### 4 Recommendations

1. That members approve the Probation and the Stress Management Policies.
2. That members approve the Honorarium and Acting Up Policy and the Secondment and Criminal Records Bureau Checks policy with delegation to the Head of Legal and Licensing and HR in consultation with the Chair of Service Development committee to make any amendments arising out of Trade Union consultation.

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| <b>Implications</b> |   |
|---------------------|---|
| Health              | The policies could have a positive impact on staff.   |
| Environment         | No significant impact.  |
| Community Safety    | No significant impact.  |
| Human Rights        | No significant impact.  |
| Equal Opportunities | No significant impact.  |
| Risk Assessment     | The Council needs to have sound staff policies in place to safeguard itself and its employees.  |
| Value for Money     | No significant impact.  |
| Equalities          | EIAs are carried out on all policies  |
| Legal               | The Council needs to have sound staff policies in place to safeguard itself and its employees to avoid grievances and claims to employment tribunals. |



## Oadby and Wigston Borough Council

# Probationary Policy

August 2011

Following consultation and agreement with the Unions, implementation of this Policy and Procedure took effect from **[insert date]**.

|   |       |          |
|---|-------|----------|
| <b>1. Objective</b>                                       | ..... | <b>3</b> |
| <b>2. Purpose</b>   | ..... | <b>3</b> |
| <b>3. Scope</b>   | ..... | <b>3</b> |
| <b>4. Principles</b>                                      | ..... | <b>4</b> |
| <b>5. Roles and Responsibilities</b>                      | ..... | <b>4</b> |
| <b>6. Induction</b>                                       | ..... | <b>5</b> |
| <b>7. Monitoring</b>                                      | ..... | <b>5</b> |
| <b>8. Review Meetings</b>                                 | ..... | <b>5</b> |
| <b>9. Sickness Absence During the Probationary Period</b> | ..... | <b>6</b> |
| <b>10. Extension to a Probationary Period</b>             | ..... | <b>6</b> |
| <b>11. Right to Representation</b>                        | ..... | <b>6</b> |
| <b>12. Consideration of Alternatives</b>                  | ..... | <b>6</b> |
| <b>13. Template Letters and Proformas</b>                 | ..... | <b>6</b> |
| <b>14. Review and Monitoring</b>                          | ..... | <b>6</b> |
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## 1: Objective

The aim of the probationary period is to ensure that all employees of Oadby & Wigston Borough Council ("the Council") can meet the basic requirements of the job and perform to the standards expected.

## 2: Purpose

This Policy and Procedure ("hereafter called the Policy") is designed to assist Managers / Supervisors to effectively manage the 6 month probationary period of new employees (and in some cases, employees who have been promoted or transferred into a new post) with a view to the successful completion of the probationary period, and confirmation of continued employment.

The policy is intended to ensure that the Manager / Supervisor manages and monitors the probationary period and understands when and where to refer the matter to another relevant Procedure, for example if it is a matter of misconduct which should be dealt with in line with the [Disciplinary Policy and Procedure](#).

## 3: Scope

The policy applies to all new Council employees who must successfully complete a 6 month probationary period before their employment is confirmed regardless of previous local government service.

The 6 month probationary period also applies to temporary workers who have temporary contracts of 6 months or over.

In all cases, only Line Managers, Heads of Service, or Chief Officers will manage the process. Chief Officers being Directors and the three Statutory Officers (the Chief Finance Officer [Section 151 Officer], the Monitoring Officer and the Chief Executive Officer).

During the probationary period, an employee will not be subject to the Council's [Capability Policy and Procedure](#).

Normal standards of conduct apply to employees during their 6 month probationary period and any breaches of the disciplinary rules will be dealt with in line with the [Disciplinary Policy and Procedure](#). However, any warning issued for misconduct during that period will be a final written warning for the remainder of the probationary period.

It should also be noted that this policy does not apply to:

- Termination by reason of redundancy
- Resignation by the employee or other termination by mutual consent
- Termination by way of conduct that amounts to an act of gross misconduct

This policy forms part of the Employee Handbook and is available on the intranet. It will also form part of the induction process of new employees. The policy does not form part of the normal terms and conditions of employment of any employee.

The Council reserves the right to change the terms of this policy from time to time in order to comply with legislative requirements or as otherwise necessary, following appropriate consultation with Unions in cases of substantial variation.

## 4: Principles

Confirmation of the length of the probationary period must be included in the employees' contract letter. This should include a statement, which clearly outlines the consequences of not successfully completing the probationary period.

On appointment, the employee should be made aware that they must serve the probationary period as previously stated, and that during this period their Manager will monitor their performance. The job description and person specification are key documents and Managers should use these during the probationary assessment process.

Where employees are unable to meet that standard, appropriate support and training will be given.

It is the responsibility of the Manager to ensure that reasonable adjustments are made to the operation of this policy for employees with a disability, for example, adjustments to timescales or specialist assistance at meetings and hearings.

Any proposed action under this policy must first be discussed with the employee (if action is being considered the employee may have their trade union representative or work colleague present if they so wish) in order to ensure that they understand the policy and why it is being used.

Managers are responsible for setting realistic and achievable targets and ensuring all employees understand what is required of them in terms of their performance. Any shortfall in performance needs to be pointed out to the employee but with consideration being given as to the potential reason for the shortfall which could for example be due to inadequate supervision or training.

If, despite the support given, the employee is still unable to meet the standards required it may be necessary to terminate their employment.

Whilst implementing this policy the Council is committed to promoting an environment where employees can work without fear of being intimidated, harassed or bullied. Every employee of the organisation has a responsibility to treat colleagues with dignity and respect. For more information regarding this please refer to [The Dignity at Work Policy](#).

The Council's commitment to equality of opportunity will be observed at all times during the operation of this policy. This will ensure that employees are treated fairly and without discrimination on the grounds of gender, sexual orientation, marital or civil partnership status, race, national origin or ethnicity, disability, age, trade union membership, political conviction, faith, religion or philosophical belief, unrelated criminal conviction or real or suspected HIV / Aids.

## 5: Roles and Responsibilities

|                                    |  |
|------------------------------------|--|
| <b>Line Managers / Supervisors</b> | Managers / Supervisors must:-<br>Make it clear what is expected of the employee;<br>Set realistic and achievable targets;<br>Provide appropriate training to support the employee in meeting the requirements of the post and the standards expected by the Council;<br>Ensure implementation of, and adherence to this policy in a sensitive, positive and supportive manner. |
| <b>Employees</b>                   | Employees have a contractual responsibility to work to the required standard, achieving a level of performance which is set out by the Council.<br>Employees are also under a duty to maintain a standard of conduct that is acceptable to the Council.  |

|  |   |
|--|---|
| <b>HR Section</b>                          | It is the role of the HR Section to advise and support Managers / Supervisors in the application of this policy to ensure its consistent application.<br><br>HR will regularly review and revise this policy, and deliver training and awareness sessions to promote and embed the policy.  |
| <b>Trade Union or Other Representative</b> | Employees will be entitled to be accompanied by a Trade Union (TU) representative or a work colleague to support them during any meeting.<br><br>The TU representative or work colleague may raise issues on behalf of the employee but are not permitted to answer any questions asked of the employee unless agreed by all parties. |
| <b>Occupational Health</b>                 | If a health issue is affecting the employee's performance during the probationary period they may be referred to Occupational Health (O/H) for assessment. The Council reserves the right to refer employees to O/H providers other than the current approved provider.   |

## 6: Induction

The requirements of the job and specific performance expectations must be outlined to the employee during the induction process. During the first week of employment the Manager will meet with the new employee and using appropriate information such as the employee's job description, person specification and service delivery plan, outline the following: -

- The purpose of the probationary period;
- The specific performance targets and competencies they will be expected to achieve and against which their performance will be measured;
- What training and development will be provided to support their performance;
- What planned meeting / discussions will take place to review their progress.

This will establish a baseline against which to measure the employee's progress throughout their probationary period and should be recorded on the Second Stage Induction form.

## 7: Monitoring

Managers will monitor new employee's performance, during the probationary period, on an ongoing basis. Regular one-to-one meetings should be used informally to review an employee's progress.

A programme of formal review dates must be scheduled for the end of 2 and 4 months during the first 6 months of an employee being in post or an employee being transferred into post.

A written record must be kept of these meetings and the record should be signed as an agreed record by both parties and kept on the employees' personal file. This record should reflect both the positive achievements made, together with an action plan for dealing with the areas which fall below the expected standards. How performance should be assessed will vary and is outlined in the guidance document.

## 8: Review Meetings

When holding formal review meetings with the employee to discuss their performance you should allow the discussions to be a two-way process and provide the employee with the opportunity to comment. Areas to be covered during a review meeting are detailed in the guidance document.

If the outcome of each review period, i.e. at 2 and 4 months are satisfactory and the appropriate standards have been met and maintained the employee should be advised of this, together with a reminder of the targets for the next month.

Before the end of the employee's probationary period, the HR Section will contact the Manager to request a decision on whether to confirm the appointment. Where the employee's performance during their probationary period has proved satisfactory, their appointment should be confirmed by the Manager, approved by the appropriate Chief Officer and the documentation returned to HR so the confirmation letter can be sent .

## **9: Sickness Absence During the Probationary Period**

Sickness absence during the probationary period will be dealt with in line with the Council's [Attendance Management Policy](#). Where an employee has a substantial amount of absence due to sickness during their probationary period, the Manager may extend the duration of the probationary period or consider terminating their employment in consultation with the HR Section.

## **10: Extension to a Probationary Period**

Normally, the period given for improvement, beyond the initial 6 month probationary period, will be no longer than 4 months. The frequency of review meetings during this period will be every month. In extreme cases where there is likely to be a risk to the Council, staff or customers, then the period given for improvement will be no more than 4 weeks.

## **11: Right to Representation**

At normal review meetings, where the outcome is expected to be satisfactory, based on the previous month's monitoring, it would not normally be necessary for the employee to be accompanied by their Trade Union representative or work colleague.

However, where the progress is unsatisfactory and / or the outcome of the meeting is in question the Manager should be accompanied by a HR Adviser and the employee given notice of the meeting and advised of their right to be accompanied either by their Trade Union representative or work colleague. It is vital to ensure that a record of the meeting and outcome is made.

## **12: Consideration of Alternatives**

Nothing in this procedure shall prevent the parties discussing, at any stage, other ways of resolving the matter such as both parties agreeing to a mutually acceptable termination where contractual notice may be waived.

## **13: Template letters and Proforma**

Guidance on the policy, template letters and proforma are available from the HR Section.

## **14: Review and Monitoring**

This policy will be reviewed on an annual basis. The initial review of effectiveness will take place 12 months after this policy comes into effect. Thereafter, reviews will be carried out on a bi-annual basis. Any changes will be made following consultation with the recognised trade unions.

## **15: Note**

Throughout this policy the responsibilities of "Managers" applies equally to Supervisors.



## Oadby and Wigston Borough Council

# Honorarium and Acting Up Policy & Procedure

August 2011

Following consultation and agreement with the Unions, implementation of this Policy and Procedure took effect from **[insert date]**.

|                                      |       |          |
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draft

## 1: Purpose

The purpose of the Council's Honorarium and Acting Up Policy and Procedure is to provide a framework under which payments should be made to employees who temporarily undertake additional duties and responsibilities.

The opportunity to do this can provide an employee with a valuable opportunity to develop their skills and gain experience, in preparation for possible future promotion. For this reason the selection process for acting up needs to be transparent, fair and in keeping particular with the Council's Equality and Diversity Policy and Recruitment and Selection Policy.

The Council's commitment to equality of opportunity must be observed at all times during the operation of this policy and procedure. This will ensure that employees are treated fairly and without discrimination on the grounds of any of the nine protected characteristics under the Equalities Act 2010 these being age, disability, gender re-assignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, sexual orientation.

Employees are entitled to be fairly rewarded, on the basis outlined below, for being asked to undertake additional responsibilities which are above and beyond the scope of the grade of their post.

## 2: Scope

Honorarium and acting up payments will be available to all posts and grades, subject to meeting the approved criteria, and to all departments of Oadby and Wigston Borough Council.

This policy and procedure is not applicable to employees within their probationary period or casual workers.

The Council reserves the right to change the terms of this policy as appropriate. All changes will be made following consultation with the recognised trade unions.

## 3: Roles and Responsibilities

|                                     |   |
|-------------------------------------|---|
| <b>Line Manager/Head of Service</b> | <ul style="list-style-type: none"><li>• Are responsible for constructing the business case for the award of honorarium and acting up payments, completing the application form and gaining approval from their Director</li></ul> |
| <b>HR (Human Resources)</b>         | <ul style="list-style-type: none"><li>• To advise and support managers and employees in the application of this policy and procedure</li><li>• To receive applications and put forward to Management Team</li></ul>               |
| <b>Management Team</b>              | <ul style="list-style-type: none"><li>• To make a decision on an application for the award of an honorarium or acting up payment. Giving reasons for the decision.</li></ul>  |

## 4: Procedure - Acting Up

### Acting Up

In deciding how to fill a post which has been temporarily vacated managers should first consider if the work can be redistributed or reorganised in ways which would avoid the necessity of having an acting-up arrangement.

Acting up allowance is payable only where an employee takes on the full duties and responsibilities of a higher graded post for a continuous period of at least four weeks. Other than in exceptional circumstances individuals who volunteer to act up for short periods of time (i.e. up to 4 working weeks) will be expected to do so as part of the normal process of working as a member of a team and will gain the experience and development associated with assuming the higher level responsibilities involved but will not receive any additional payment. Acting up may occur as a result of:

- Temporary filling a post until a substantive appointment can be made
- Filling a key post while another employee is on maternity leave
- Filling a key post to cover long term sickness absence
- Filling posts due to other temporary extended leave arrangements eg secondments, career breaks

It is not appropriate to use acting up allowance as a means for covering annual leave.

The duration of the period of acting up should be indicated before it commences and confirmed in writing. It must be remembered that acting up is a temporary arrangement and in no circumstances should be allowed to exceed 12 months without re-approval with a review at 6 months.

### Selection Process for Acting Up

With the exception of sickness absence most instances of long term absence are pre-planned. Arrangements to cover the post should therefore be made at the earliest opportunity in order to ensure the most appropriate cover.

If there is a deputy to the temporarily vacant position i.e. as clearly outlined within their existing role profile, then that employee should be asked to act up. In the case of more than one deputy being eligible to act into the temporary vacancy it will be necessary for a selection process to occur. If there is no clearly identified deputy then the manager should bring the opportunity to the attention of all eligible employees within the team/section. If it is unclear who should be classed as eligible HR advice should be sought. If the manager wishes to reach a wider pool of employees or has been unsuccessful in identifying a suitable candidate from within their own division/department, the acting up opportunity will be advertised internally as a secondment opportunity. However, it should be noted that the secondment of an employee from another department can only take place with the agreement of the manager of the department concerned and this should be made clear in the advert. See the [Secondment Policy & Procedure](#) for further guidance.

In the case of there being more than one suitable candidate, competitive interviews should be held. In the case of extended acting up, managers should consider the post being covered by several employees in turn, in order to share the opportunity to gain experience. Acting up may be shared between two parties on a pro-rata basis.

It is appreciated in the case of unplanned long term absence it may not be practicable to implement the acting up procedure with immediate effect. In this instance alternative interim arrangements may need to be considered whilst the selection procedure is conducted e.g. opportunity to work additional hours. A thorough selection process will take no longer than two months to complete therefore any interim arrangements should not exceed this timescale.

### **Payment Calculation**

Where an individual undertakes the full duties and responsibilities of a more highly graded post, they should receive the salary appropriate to the bottom point of the higher graded post.

Often it will be known in advance that the period over which an individual will be assuming the additional responsibilities will be longer than 4 weeks e.g. maternity or a sabbatical however when the period of acting up exceeds the minimum qualifying period of 4 continuous working weeks, due to unforeseen circumstances such as providing cover for a staff vacancy (pending completion of the recruitment process), sickness absence additional payments will be made from the first day of covering the additional duties.

Employees who are on protected salaries who undertake duties of a higher grade than their evaluated grade, but not higher than their protected salary are not entitled to receive any additional remuneration. They should still be encouraged to undertake the opportunity of acting up as part of their development to assist them in providing their promotion prospects.

### **Terms and Conditions**

Employees will be subject to all terms and conditions of the higher graded job role. Payment will be received for the hours/duties assumed in the temporary post. Therefore overtime worked on a regular basis or sleep in allowances will not be payable if they are not undertaken.

## **5: Procedure - Honoraria**

### **Honoraria**

An honorarium payment may be granted in the following circumstances:

- Where an employee undertakes a significant proportion of higher level duties and responsibilities outside the scope of their normal post for a limited period of time.
- Shared responsibility with more than one employee undertaking a specific and or separate part of a wider role which has been evaluated as having higher level duties
- Where an employee undertakes work from a different job in addition to their own role, with no additional staffing resource and that work is evaluated in the same band
- Where higher graded duties and responsibilities are undertaken for a fixed period as part of a special project

Honoraria will not usually be paid where additional work is undertaken which is of a like nature to the individual's existing job description.

Payment of any honorarium will only apply to situations of more than 4 weeks in duration and will usually be for a maximum of 12 months.

## Payment Calculation

Payment will be based on the difference between the substantive grade, the grade of new duties being undertaken and the percentage of time spent on these new duties. These additional responsibilities must be assessed by HR – Job Evaluation, prior to approval being sought.

Where an individual undertakes additional work of that is evaluated on the same band, payment will be one additional increment or in the case of being at the top of your band, the additional one off increment will form the lower scale point of the band above.

## 6: Process for Implementation

In order to request the award of an honorarium or acting up payment, the Head of Service should complete a business case and submit to their Director for approval.

The Director should be satisfied that the request meets the criteria for awarding the payment to an individual employee or number of employees and that this is supported by a sound business case. The case should include the following:

- The reason for the proposed payment, for example to cover a long term absence or undertake a specific piece of work
- Posts affected and grades of the substantive and higher level/additional duties involved
- The extent of different and/or additional duties involved, i.e. full or partial, if partial quote percentage
- The duration specifying dates from and to
- Alternatives considered
- Cost - the calculation of the amount of payment should be made in accordance with the criteria for calculating payments

The completed business case should then be submitted to the Head of HR who will consider the business case against the agreed criteria and make a recommendation to Management Team.

## 7: Other Factors

### Impact of National Pay Award and Annual Increments

Honorarium and acting up payment will be increased in line with the annual pay awards.

### Advertising

Opportunities for discrete and time limited project work, which may be promotional should normally be advertised in accordance with agreed recruitment and selection guidance.

### Equality of Opportunity

Part time and job share staff should be given equal opportunity to acting up and honoraria payments.

### Senior Officers

Are expected to work flexibly and honoraria provisions will not normally apply to officers on Bands 9 and 10 (Principal Officer levels) and above other than in very exceptional circumstances to be agreed by Management Team. Project work including cross cutting corporate project work and project work involving external partners is a requirement of all senior officers on Bands 9 and 10 and above and will not normally merit an honorarium payment.

This is to be reflected in job descriptions for officers that fall within the above mentioned pay bands in the new departmental structures subject to collective agreement.

An individual whose job description specifies that he/she is required to deputise for another post-holder shall normally do so without further additional payment; the post-holder's substantive grade having recognised these additional responsibilities which occur from time to time. In exceptional circumstances, where agreed by Management Team an acting up payment may be granted in accordance with this policy if an absence lasts greater than four weeks.

### **Job Evaluation**

Where the change to the job role is permanent, it should be re-evaluated under the job evaluation scheme to take the new duties into account.

### **Monitoring**

The Head of HR will, ensure that up to date data is held and retained on all honoraria and acting up payments in order to ensure equality and fairness of treatment at all times in terms of the operation and implementation of the scheme.

The Head of HR will report progress to Management Team. This will form part of the Annual Pay Policy Review.

Appendix 3



**Oadby and Wigston Borough Council**

**Secondment  
Policy & Procedure**

**August 2011**

Following consultation and agreement with the Unions, implementation of this Policy and Procedure took effect from **[insert date]**.

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## 1: Objective

Oadby and Wigston Borough Council (“hereinafter called the Council”) is committed to achieving excellence by providing a responsive and efficient service to the local population. To achieve this it requires an adaptable and highly skilled workforce.

Secondments within the Council are used to improve the skills and experience of employees, to assist in the development of discrete projects and to cover long-term absences of individual’s i.e. maternity leave.

## 2: Purpose

This Policy and Procedure (“hereinafter called the Policy”) is designed to assist Managers/Supervisors to effectively manage secondments.

## 3: Scope

This policy deals with internal secondments only and does not cover the secondment from or to external organisations; such opportunities would require individual consideration by the appropriate Head of Service.

Permanent employees who have successfully passed their probationary period are eligible to apply for a secondment.

This policy forms part of the Employee Handbook and is available on the intranet. It will also form part of the induction process of new employees. The policy does not form part of the normal terms and conditions of employment of any employee.

The Council reserves the right to change the terms of this policy from time to time in order to comply with legislative requirements or as otherwise necessary, following appropriate consultation with Unions in cases of substantial variation.

## 4: Principles

A secondment is an opportunity for the development of employees. In such cases the secondment should provide an opportunity to develop a particular set of skills or allow the employee to be exposed to a work environment that provides them with valuable experience.

During a secondment an employee is transferred to take on duties for a particular project or role for a limited period of time. The normal duration is between three months and one year. During a secondment the employee continues to be employed by their original section and, at the end of the secondment returns to their substantive post.

Secondments can be on a full time or part time basis and can be worked alongside the substantive post, i.e. two days on the substantive post and three days on the secondment.

A project may be identified by a section or through Committee and then offered as a secondment to all Council employees. All vacancies that are fixed term of up to one year duration or temporary can be considered for secondment opportunities. Applications by employees must clearly state that they are applying on this basis.

Whilst implementing this policy the Council is committed to promoting an environment where employees can work without fear of being intimidated, harassed or bullied. Every employee of the organisation has a responsibility to treat colleagues with dignity and respect. For more information regarding this please refer to [The Dignity at Work Policy](#).

The Council's commitment to equality of opportunity will be observed at all times during the operation of this policy. This will ensure that employees are treated fairly and without discrimination on the grounds of gender, sexual orientation, marital or civil partnership status, race, national origin or ethnicity, disability, age, trade union membership, political conviction, faith, religion or philosophical belief, unrelated criminal conviction or real or suspected HIV / Aids.

## 5: Roles & Responsibilities

|                                   |  |
|-----------------------------------|--|
| <b>Line Managers/ Supervisors</b> | Managers and supervisors are responsible for ensuring implementation of, and adherence to this policy in a positive and supportive manner.   |
| <b>Employees</b>                  | Employees have a contractual responsibility to work to the required standard, achieving a level of performance which is set out by the Council.  |
| <b>HR Section</b>                 | It is the role of the HR Section to advise and support managers and supervisors in the application of this policy to ensure its consistent application. HR will regularly review and revise this policy. |

## 6: Advertising of Secondments

Where a vacancy has been identified as a secondment opportunity, this will be advertised via the normal internal recruitment process. Secondment vacancies will have a full job description and person specification drawn up and will be evaluated through the Council's job evaluation process, if the post has not already been evaluated.

All fixed-term or temporary vacancies with duration of one year and under must be advertised specifying that applications for secondment will be considered.

## 7: Applying for a Secondment

Employees wishing to apply for a secondment must, prior to submitting an application, obtain their line manager's approval.

A manager may take into consideration the service demands of the section when deciding whether to support an employee wishing to apply for a secondment. All requests for approval to apply for a secondment will be fully considered and will not be unreasonably refused but should an employee feel that their manager is withholding their approval unfairly they may seek redress through the [Grievance Policy and Procedure](#).

The selection process to fill a vacancy will be as per the normal process as outlined in the Recruitment and Selection Policy.

## 8: Secondment Arrangements

The terms of a secondment will be drawn up in the form of a Secondment Agreement (see Appendix 1).

The Secondment Agreement will be sent by the HR Section on receipt of a completed application form.

Employees are guaranteed to return to their substantive post at the end of a secondment subject to any re-organisation that may have taken place. If re-organisation has taken place they will return to a similar post at a similar level.

Where the secondment grade is higher than the current grade of the secondee, the higher grade will be applicable.

If the grade of the secondment post is the same or lower than the substantive post the employee will continue to receive payment at their substantive rate.

Increments will be paid on 1st April subject to there being progression within the grade.

Costs associated with a secondment i.e. salary, car allowance\*, training, travel expenses incurred as part of the job etc., will be met by the section providing the secondment.

\*If the secondee does not have a car allowance in their substantive post but is required to drive a vehicle in order to undertake the job in the seconded post this would be classed as a 'risk critical' role and as a result would be subject to a drugs test in line with our [Alcohol and Drugs Policy](#)

If a secondee was undertaking post entry training in their substantive post and completion of their course occurs during the secondment they will receive an increment as per the Post Entry Training Policy.

The secondee must be provided with an Induction by their line manager on their first day which should include the job responsibilities and how it fits in with the rest of the section, identify any training needs, advise on health and safety including the fire evacuation procedure and reporting procedures for sickness, leave etc.

Approval must be sought from all parties before an extension to the secondment arrangements can be agreed. A secondment should not extend past a two year period.

If a post filled by a secondee becomes permanently available at the end of the secondment position (irrespective of having completed 12 months or not) the post should be advertised internally for all (including the secondee) to apply.

**In view of this policy having retrospective effect, all those secondees who have held secondment positions for over 12 months, will be considered during the proposed re-organisation as to whether the secondment is to continue or the secondee is to return to their substantive post.**

## 9: Returning to the Substantive Post

At the end of the secondment period the secondee is guaranteed to return to their substantive post. If a re-organisation has taken place during their secondment they will return to a similar post at a similar level.

Any decision to terminate the secondment early will always be preceded by a meeting of all parties involved at which the reasons for the termination are thoroughly explored and alternatives considered. Reasons for a secondment terminating early could include poor performance, a project ending earlier than envisaged etc. A representative from HR will also attend the meeting.

Any decision to terminate or extend a period of secondment must be authorised by the appropriate Chief Officer. Any decision made by the Chief Officer will be final.

At least one month prior to the end of a secondment, discussions between all parties must take place to specifically address the ending of the secondment and the return of the secondee to their substantive post. One month's notice will be given to the secondee for their return to their substantive post, or less by agreement from all parties.

When secondments are over 12 month's duration a re-induction programme will be put in place by the substantive post's line manager (or other appropriate manager) to manage the return of the secondee. The aim of the re-induction will be to bring the secondee up to date with developments within their section and with their role and refresh any job specific skills as necessary.

## 10: Review and Monitoring

This policy will be reviewed on an annual basis. The initial review of effectiveness will take place 12 months after this policy comes into effect. Thereafter, reviews will be carried out on a bi-annual basis.

**SECONDMENT AGREEMENT**

**1. THE PARTIES**

The Parties to the Agreement will be:

..... **[Host Section]**

..... **[Home Section]**

..... **[Name of Secondee]**

**2. DURATION OF AGREEMENT**

2.1 The secondee will be seconded to

..... **Section** for a period of .....  
[weeks/months] commencing on ..... [ date].

Should extension to the secondment be required, this will need to be agreed with all parties and confirmed in writing to the secondee.

**3. PLACE OF WORK**

3.1 **Main base** ..... but you may be required, at short notice, to work at any other sites within the Borough of Oadby and Wigston. You will be reimbursed for any expenses legitimately incurred in connection with such duties in accordance with the expenses procedure.

**4. DUTIES AND OBLIGATIONS OF THE SECONDEE**

4.1 The secondee will work to the job description of the post and under the direction of ..... **[Host Manager]**

**5. INDUCTION**

5.1 The Host Manager must provide an Induction to the secondee. This should include the job responsibilities and how it fits in with the rest of the section, identify any training needs advise on health and safety including the fire evaluation procedure and reporting procedures for sickness, leave etc.

**6. WORKING HOURS/ARRANGEMENTS**

6.1 The secondee will work in accordance with the normal work pattern and conditions of service applicable to the seconded post.

## 7. REMUNERATION

- 7.1 For the period of secondment the salary paid will be that which is applicable to the seconded post, being Band ....., Scale Points ..... - ....., Point ..... If the secondment lasts more than one year and the secondee is not at the top of the grade, an increment will be awarded.
- 7.2 Generally, salary costs will remain within the secondee's normal section's budget. However, it may on occasions but more appropriate for the Host Section to meet salary costs. This will be a matter for agreement between the Host Section and the Home Section; the HR Section will liaise and advice as necessary on individual cases. Agreement over this cost should not be the determining factor.

## 8. LEAVE

- 8.1 The secondee will receive the leave entitlement applicable to the seconded post. During the secondment leave should be approved by the Host Manager. Note: If the secondment is terminated early (see Section 9 in the policy) leave may be re-claimed.

## 9. SUPERVISION

- 9.1 *Name of the Secondee's line manager*.....
- 9.2 *Job title* .....

## 10. ILLNESS

- 10.1 The secondee must report their sickness absence to their host manager.
- 10.2 During the secondment period, the host manager is responsible for monitoring and managing sickness absence.

## 11. DISCIPLINARY/CAPABILITY MATTERS

- 11.1 The Parties to this Agreement agree that any disciplinary or capability issue in respect of the secondee will be immediately communicated to the Home Section and the matter will be dealt with in accordance with Council's [Disciplinary Policy and Procedure / Capability Policy and Procedure](#) but managed jointly between the Home Section and the Host Section.

## 12. GRIEVANCE ISSUES

- 12.1 The secondee has the right to raise a grievance, as normal, at any time. The matter will be dealt with in accordance with Council' [Grievance Policy and Procedure](#), but managed jointly between the Home Section and the Host Section.

## 13. HEALTH AND SAFETY

- 13.1 The secondee will be informed of the Host Section's relevant Health & Safety policies during their induction. It is the responsibility of the Host Section and of the Home Section to ensure the secondee's health and safety at work. The

seconded will continue to have a responsibility for their own and other health and safety matters.

**14. TERMINATION OF THE SECONDMENT**

14.1 The secondment will be reviewed on a regular basis and will terminate on ..... [date]

14.2 Extension of the secondment may be considered if specific circumstances arise that were not apparent at the start of the secondment. Any extension must be agreed by all the parties and confirmed in writing.

**15. OTHER TERMS & CONDITIONS**

15.1 All other terms and conditions remain the same as per your contract of employment issued on .....[date]

**Secondment Agreement to be signed by all Parties**

**Signed on Behalf of:**

..... **Date** .....

**Name of Home Section**

..... **Date** .....

**Name of Host Section**

..... **Date** .....

**Name of Seconded**



## Oadby and Wigston Borough Council

# Stress Management Policy

**August 2011**

Following consultation and agreement with the Unions, implementation of this Policy took effect from August 2011

Name of Document: Stress Management Policy  
Date approved by Trade Unions: August 2011  
Revision date: August 2012

|  |       |          |
|--|-------|----------|
| <b>1. Statement of Policy</b>                              | ..... | <b>3</b> |
| <b>2. Commitment to Best Practice and Legal Compliance</b> | ..... | <b>3</b> |
| <b>3. Scope</b>  | ..... | <b>3</b> |
| <b>4. Aims</b>   | ..... | <b>3</b> |
| <b>5. Risk Factors</b>                                     | ..... | <b>4</b> |
| <b>6. Roles and Responsibilities</b>                       | ..... | <b>4</b> |
| <b>7. Implementation and Training</b>                      | ..... | <b>5</b> |
| <b>8. Monitor and Review</b>                               | ..... | <b>5</b> |
| <b>9. Confidentiality</b>                                  | ..... | <b>5</b> |

DRAFT

## 1: Statement of policy

The Council is responsible for the health, safety and welfare of its employees while they are at work. We recognise the importance of protecting our employees' mental well-being as well as their physical health.

It is the Council's policy to protect the mental well-being of employees by ensuring that all influences in the workplace that contribute to stress are either eliminated or controlled.

To achieve this, the Council is committed to provide the resources that are necessary to giving all managers and employees the necessary procedures, information and support they need to:

- recognise and understand the nature and causes of stress
- take positive measures to manage stress effectively.

## 2: Commitment to best practice and legal compliance

The Council acknowledges its general duty of care for its employees under the Health and Safety at Work, etc Act 1974 and accepts the need to consider the risk of stress-related ill health when meeting its obligations under the Management of Health and Safety at Work Regulations 1999.

The Council accepts the Health and Safety Executive (HSE) definition of work-related stress, which is:

'the adverse reaction people have to excessive pressures or other types of demand placed on them.'

## 3: Scope

This policy applies to all employees of the Council at any time they are engaged in council work.

Related policies include Dignity at Work, Whistleblowing, Absence Management, Organisational Change policy.

## 4: Aims

The aims and objectives of this to policy are:

- To increase awareness of workplace stress and methods to identify, prevent and combat harmful, workplace stress through appropriate training for all staff.
- To take action to identify, combat and prevent workplace stress.
- To assist employees in identifying and managing stress in others and themselves.
- Reduce the rate of sickness absence from stress related illness

- To manage work related stress problems that do occur, including provision of and to provide a confidential referral service.
- To manage the return to work of those who have had work stress-related problems.

## 5: Risk Factors

The Health and Safety Executive has identified six contributing factors for work related stress. In order that stress can be effectively managed, it is important that employees, particularly managers, are familiar with the six risk factors:

These are:-

**Demands** – this includes issues such as workload, work patterns and the work environment.

**Control** – how much say the person has in the way they do their work.

**Support** – this includes the encouragement, support and resources provided by the organisation, line management and colleagues.

**Relationships** – this includes promoting positive working to avoid conflict and dealing with unacceptable behaviour.

**Role** – whether people understand their role within the organisation and whether the organisation ensures that they do not have conflicting roles.

**Change** – how organisational change (large or small) is managed and communicated in the organisation.

The Council will plan to meet these standards through a process of: -

- Identifying risk
- Planning interventions
- Monitoring outcomes

## 6: Roles and Responsibilities

|                             |  |
|-----------------------------|--|
| <p><b>Line Managers</b></p> | <ul style="list-style-type: none"> <li>• Conduct and implement recommendations of risk assessments within their jurisdiction</li> <li>• Ensure good communication between management and staff, particularly where there are organisational and procedural changes</li> <li>• Ensure staff are fully trained to discharge their duties</li> <li>• Ensure staff are provided with meaningful development opportunities</li> <li>• Monitor workloads to ensure that people are not overloaded</li> <li>• Monitor working hours and overtime to ensure that staff are not overworking and holidays to ensure that staff are taking their full entitlement</li> <li>• Attend training as requested in good management practice and health and safety</li> <li>• Ensure that bullying and harassment are not tolerated within their jurisdiction</li> </ul> |
|-----------------------------|--|

|  |   |
|--|---|
|  | <ul style="list-style-type: none"> <li>• Be vigilant and offer additional support to any member of staff who is experiencing stress outside of work, such as a bereavement or separation</li> </ul>   |
| <b>Employees</b>                           | <ul style="list-style-type: none"> <li>• Raise issues of concern with your line manager or HR section</li> <li>• Accept opportunities for counselling, when recommended</li> </ul>  |
| <b>HR Section</b>                          | <ul style="list-style-type: none"> <li>• Give guidance to managers on the stress policy</li> <li>• Help monitor the effectiveness of measures to address stress by collating sickness absence statistics</li> <li>• Advise managers and individuals on training requirements</li> <li>• Provide continuing support to managers and individuals in a changing environment and encourage referral to occupational workplace counsellors where appropriate</li> <li>• Where members of staff are union members, advise them that they can also contact their branch for advice and welfare.</li> </ul> |
| <b>Trade Union or other Representative</b> | <ul style="list-style-type: none"> <li>• Provide advice and welfare when approached.</li> </ul>   |

## 7: Implementation and Training

This policy forms part of the employee handbook, and is available on the internal intranet. It will also form part of the induction process for new employees. Line Manager will be given training as they are responsible to ensure the implementation of and adherence to this policy at an early stage.

Training is particularly important in preventing stress. We will provide training to Line Managers to enable them to monitor and assess risks and stress awareness in order to help employees identify symptoms of stress in themselves and others.

We will also train all employees as they have a responsibility to identify their own stress levels and raise any concerns with line managers.

## 8: Monitor and Review

The policy will be monitored by means of feedback through managers, supervisors and employee representatives, and also by number of days absent, where it can be confirmed that work related stress has caused/contributed to the absence.

## 9: Confidentiality

Managers must keep accurate and up-to-date records, including details of:

- risk assessments for any work activity where stress is a significant risk
- all meetings or other communications about an employee with stress issues, including copies of individual stress action plan



## Oadby and Wigston Borough Council

# Criminal Record Bureau (CRB) Check Policy and Guidance

September 2011

Following consultation and agreement with the Unions, implementation of this Policy and Procedure took effect from **Aug 2011**

**Section 1 :-**

**About the Policy**

|                             |       |   |
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| 1. Objective,               | ..... | 3 |
| 2. Purpose,                 | ..... | 3 |
| 3. Scope,                   | ..... | 3 |
| 4. Principles,              | ..... | 4 |
| 5. Roles & Responsibilities | ..... | 4 |

**Section 2 :-**

|   |       |   |
|---|-------|---|
| <b>Recruitment</b> (staff, agency, volunteers, contractors and elected members) | ..... | 5 |
|---|-------|---|

**Section 3:-**

|                             |       |   |
|-----------------------------|-------|---|
| <b>The Checking Process</b> | ..... | 7 |
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**Section 4:-**

|  |       |   |
|--|-------|---|
| <b>Use of Information and Data, Further information and Contacts</b> | ..... | 9 |
|--|-------|---|

# Section 1

## 1: Objective

- To implement safe recruitment practices throughout the Council with regard to delivering Section 10 and 11 of the Children's Act 2004 and Safeguarding Vulnerable Groups Act 2006
- To ensure that all children and adults in need of safeguarding (vulnerable adults) are protected and kept safe from harm whilst engaged in services provided and/ or organised by the Council.

## 2: Purpose

### **To provide a clear and consistent approach to undertaking Criminal Records Checks**

Oadby and Wigston Borough Council is a registered body with permission to undertake Criminal Record Bureau (CRB) checks as required for the protection of vulnerable groups.

CRB checks are primarily for posts that involve working with children or adults in need of safeguarding (vulnerable adults) but may also be issued for people entering certain professions.

Only those professions, officers, employments, work and occupations listed in the Exceptions Order to the Rehabilitation of Offenders Act 1974 and Safeguarding Children's Act 2006 can be subject to a CRB check.

## 3: Scope

This policy applies to all Council officers and members including volunteers, external contractors, agency staff and consultants appointed by the Council

## 4: Principles

As an organisation using the Criminal Records Bureau (CRB) Disclosure Service to assess applicants' suitability for positions of trust, the Council complies fully with the CRB Code of Practice and undertakes to treat all applicants for positions fairly.

The Council undertakes not to discriminate unfairly against any subject of a Disclosure on the basis of a conviction or other information revealed.

The Council is committed to the fair treatment of its staff, potential staff or users of its services, regardless of race, gender, religion, sexual orientation, responsibilities for dependants, age, physical/mental disability or offending background

## 5: Roles & Responsibilities

|   |   |
|---|---|
| <b>Head of Legal, Licensing and Human Resources</b> | <p>The Lead Signatory for the Council is the Head of Legal, Licensing and Human Resources</p> <p>The Head of Service oversees the implementation of the promotion and publication of the policy.</p>            |
| <b>Employees</b>                                    | <p>Employees have a contractual responsibility to work to the required standard, achieving a level of performance which is set out by the Policy.</p>   |
| <b>HR Section</b>                                   | <p>It is the role of the HR Section to advise and support managers and supervisors in the application of this policy to ensure its consistent application. HR will regularly review and revise this policy.</p> |

# Section 2

## Recruitment and CRB checks

All staff will be required to work in accordance with the Council's [Children and Vulnerable Adults Safeguarding Policy](#).

This policy informs staff, members and other persons delivering Council services what abuse is, what signs to look out for, what actions to take and what will happen as a result of a referral made about an allegation.

When required in accordance with the Eligible Position Guidance, new staff recruited to the Council will be asked to submit to a criminal record check (CRB) at the appropriate level e.g. Basic, Standard or Enhanced.

Those who do not agree to the background check when applicable will be refused the appointment. The CRB process for recruitment is outlined.

Any new member of staff will not start working in a role requiring a CRB check until a satisfactory Disclosure has been obtained. However, in exceptional circumstances and where this is absolutely necessary, it may be permitted in the following circumstances:

- When it will cause severe disruption to service provision; or
- Impact on statutory staffing requirements

In these circumstances all necessary risk assessments will need to be complete and the line manager must complete an authorisation form to certify that an employee will not work unsupervised and will be accompanied by a member of staff with a current satisfactory CRB at all times until a satisfactory disclosure has been returned.

**Note** - Any offer of employment will remain subject to a satisfactory CRB check.

### Agency Staff

It is the manager's responsibility to ensure that individuals working through an Agency have undertaken any appropriate CRB disclosure checks and make a note that this has been satisfied. These checks should be undertaken by the Agency and proof of this should be obtained. Costs for the Disclosure are to be borne by the Agency.

CRB checks need to be dated within the previous 12 months (provided there hasn't been a break in employment with the Agency). Managers should ensure that if there has been a break in service of three consecutive months or more during the previous 12 months, proof of a fresh CRB check is undertaken by the agency.

Where these checks have not taken place the manager may be subject to the Council's [Disciplinary Policy and Procedure](#).

## Volunteers

The CRB defines a volunteer to be a person who performs an activity which involves spending time, unpaid, doing something which aims to benefit someone (individual or groups) other than or in addition to close relatives.

It is the manager's responsibility to ensure that individuals working as volunteers who will be delivering a service for the Council (that would put them in a position or role requiring a CRB) to undertake any appropriate CRB disclosure checks and make a note that this has been satisfied. CRB checks for volunteers can be provided free of charge.

## Contractors

It is the responsibility of the contractor to ensure the below criteria is met:

*Where you and / or your employees come into contact with children and or vulnerable adults you are expected to take all reasonable steps to ensure that you and / or your employees have obtained the appropriate Disclosure from the Criminal Record Bureau.*

*It is your responsibility to satisfy the Council that this step has been undertaken and regularly updated*

Proof of any disclosures for the individuals undertaking the work will be required before the Council commissions a service that will clearly require the need for a CRB check.

It is the responsibility of the manager of a service involved with the provision of contracts to ensure that the contractors doing the work on behalf of the Council are monitored appropriately for the protection of vulnerable groups. This means that it is the Managers responsibility to ensure that proof of any Disclosures have been obtained where the contractor is to deliver a service for the Council that would put them in a position or role requiring a CRB and make a note that this has been satisfied.

## Elected Members

Where it is identified that an elected member is to undertake duties that will clearly require a CRB Disclosure this must be identified and undertaken by/or in Liaison with the Head of Legal, Licensing and Human Resources.

An elected member must not start performing any duty requiring a CRB check until a satisfactory Disclosure has been obtained. However, in circumstances where this would impact adversely upon the duties being performed then:-

- a risk assessments must be complete and;
- an authorisation form to certify that the Elected Member will not undertake any duties unless they are accompanied by a member of staff with a current satisfactory CRB at all times until a satisfactory disclosure has been returned must be completed.

# Section 3

## The Checking Process

### CRB Fees

The Council is responsible for all charges for CRB checks for all permanent employees. Volunteer CRB checks are carried out free of charge by the Bureau, and CRB fees for agency workers and contractors are the responsibility of the supplier.

### Timescales

CRB checks normally come back within 4 weeks of being sent. However, timescales are not guaranteed and checks can take much longer especially if, for example, the employee /candidate has resided at several addresses or if the CRB has more checks than normal to process. A CRB check progress can be tracked, free of charge, from the CRB website [www.crb.gov.uk/tracking](http://www.crb.gov.uk/tracking) by entering the form reference number and date of birth.

### Portability of CRB Checks

*Portability means using a CRB check that has been obtained by another organisation for the purpose of their post and accepting this as a suitable CRB check for the post being applied for at this Council.*

The CRB clearly states that Disclosures are Non Portable (@ 1<sup>st</sup> September 2011) however the Council may use discretion as to whether it wishes to port a Disclosure from another organisation.

Currently the Council does not accept external portability of Disclosures and all new employees must undertake a fresh check no matter how recent their previous check is with another organisation.

However, if a case can be made and presented to the Head of Legal, Licensing and Human Resources that the following criteria can be met and proof/references obtained, authorisation may be given to use a ported Disclosure until it becomes 12 months old. At which point a new CRB must be in place to continue the work of the service:-

- The Disclosure is within 3 months old
- A reference is obtained from the issuing organisation as to their knowledge of suitability of the applicant for the role and of any pending issues that might affect their CRB status.
- The Disclosure was initiated by an organisation of equivalent status to the Council e.g. another Local Authority, Local Education Authority or NHS Trust.
- The role to be undertaken for this Council is of a similar or same nature to that of the work the ported Disclosure was for.
- Explanation of the efficiency and effectiveness gained by this particular portability.

Employees who have left the Council and are applying to rejoin after three months must complete a new CRB Disclosure application (see above paragraph). Employees returning within three months will not need to be re-checked unless the role they are entering into is of significant difference as to warrant a new check.

Staff moving to a new post within the Council either voluntarily or as a result of an organisational change will be required to undergo a new CRB check if required. However, internal employees transferring to another similar role within the Council will not require a new check where their previous check has taken place within the last three years without a break in employment.

### **Re-checking/Renewing a CRB check**

Re-checking is undertaken to ensure the protection of the Council's service users and for occupational areas involving positions of trust.

There will be a period of 3 years before a new disclosure is required for posts that require a CRB check.

Employees may also be re-checked where a criminal allegation is made against them in the course of their work.

If an Employee receives a conviction or caution or other form of reprimand this must be disclosed to their line manager or Human Resources who, in Liaison with the Head of Legal, Licensing and Human Resources will consider the impact upon the position/role held by the employee.

A criminal record, in itself, will not necessarily prevent a person from continuing in their current employment; however it will be assessed according to the severity of the offence and the impact on the employee's position.

Re-checking may also take place in line with regulatory requirements where a particular period is specified. Such legal requirements may require that rechecking is undertaken more frequently. Alternatively, where best and proven good practice provides a more effective way to manage the CRB process this will be considered by Management Team for implementation.

Once in post, employees who refuse to undertake a CRB disclosure where it is required may be subject to the Council's **Disciplinary Policy and Procedure**.

# Section 4

## Use of information obtained from CRB Checks

A criminal record, in itself, will not necessarily prevent a person from being appointed, however it will be judged according to the needs of the role.

When the Council receives a Disclosure check containing information on convictions, cautions or other such information, the manager with advice from Human Resources should contact or meet with the applicant/employee where possible to discuss their Disclosure.

This discussion is necessary in order to obtain the full facts of the circumstances and to check the accuracy of the information received.

Any disputes regarding the accuracy of information will need be referred to the CRB via the applicant. All applicants and employees will be notified in writing as soon as possible if they are refused employment due to an unsatisfactory disclosure.

When considering the suitability of an individual, the following should be assessed:

- Whether the offence debars the person from working with children or vulnerable adults;
- Job requirements from the job description or person specification; Nature of the crime, when it happened and the circumstances involved; The nature/length of the sentence; Patterns of offending, efforts to avoid re-offending; seriousness of the offence and relevance to the safety of children, vulnerable adults, other employees, customers, service users and property;
- Length of time since the offence occurred i.e. how successful has rehabilitation been
- Information offered by the applicant about the circumstances of the offence e.g. domestic or financial difficulties; Was the criminal record declared? – honesty and integrity of applicant/employee

### Informing the Council of changes to circumstances

Once checked, applicants and employees are expected to report any information that may affect their clearance status to their line manager or Human Resources at any time during their employment.

Examples of changes would include receiving a conviction, warning, reprimand, caution or awaiting sentence or during police investigation and includes any criminal allegations made against the employee that are being investigated.

In all cases this must be declared as soon as the offence has occurred to allow the Council to assess the potential risks to vulnerable groups.

Any information declared will be recorded and noted in the employee's personnel file by their line manager or Human Resources.

If an employee fails to disclose a conviction or a caution the employee may be subject to the Council's **Disciplinary Policy and Procedures**.

## **Overseas Applicants**

The CRB can only access criminal records (convictions, cautions, reprimands and warnings) held on the Police National Computer (PNC) in England, Wales and those recorded in Scotland.

There is also some Northern Ireland conviction data held on the PNC. A CRB Disclosure may not provide a complete picture of an overseas applicant's criminal record.

In these cases, where the applicant or employee has lived or worked for more than two years (cumulative or continuous) from the age of 16 in a foreign country, the recruitment team will seek to obtain a Certificate of Good Conduct from the relevant Embassy where possible.

In cases where it is not possible to obtain information on an overseas candidate, the line manager, in discussion with Human Resources and will need to make an informed decision as to the candidate's suitability based on the updated information that is available. This includes ensuring all pre-employment checks including gaps in employment are satisfactory by the recruiting manager before commencing employment.

The CRB has set up a dedicated helpline which may be approached for further advice:

Overseas Enquiry Line: Telephone: 08700 100 450 (Monday – Friday 9.00am – 5.00pm)

[Emailoverseas@crb.gsi.gov.uk](mailto:Emailoverseas@crb.gsi.gov.uk)

## **Storage, Retention & Disposal**

Hard copies of Disclosure information, once a recruitment (or other relevant) decision has been made will be destroyed after 6 months.

The Council will only keep a brief summary of the factual information after this 6 months such as the date of issue, the name of the subject, the unique reference number.

This will be stored electronically with access strictly controlled and limited to those who are required to access it as part of their duties.

## **Sharing of Data**

The Council will not share Disclosure checks with unauthorised internal or external parties. Information will only be passed to those who are required to receive it for the purposes of making a recruitment decision or for a valid reason relating to the individual's employment.

Information received directly from the Police as part of the Disclosure may not be disclosed to the applicant or employee.

Applicants and employees are welcome to approach the CRB for further help and guidance.

### **Useful contacts and Further Information**

Further information is available from:-  
**Human Resources on 0116 2572638**

Alternatively from:-  
**CRB Helpline: 0870 9090811**  
**CRB Application line: 0870 9090844**

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# Agenda Item 14



Service Development  
Committee

13 September 2011

Matter for Information  
and Decision

Title: **Annual Statement of Accounts 2010/11**

Author: Paul Loveday – Head of Finance

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## 1 Introduction

This report asks Members to review and approve the Council's Annual Statement of Accounts for the financial year 2010/11.

## 2 Information

The Accounts and Audit (England) Regulations 2011 require the Responsible Financial Officer (Director of Resources, Section 151 Officer) of a local authority to certify the statement of accounts by 30<sup>th</sup> June 2011. However, Members are no longer required to adopt these financial statements by this date but must still approve the audited statements (to be circulated on the night, or in advance on request) for the financial year ending 31<sup>st</sup> March 2011 by 30<sup>th</sup> September 2011.

At this stage the audit of the accounts has not been completed and the audit certificate is still to be signed. However, It is anticipated that the Audit Commission will be able to issue an audit opinion on the statements by 30<sup>th</sup> September 2011.

Subject to the Committee's approval, the accounts will then be signed by the Chair of this committee, Councillor Mrs. S. Morris.

This year, for the first time, the accounts have been prepared under the regulations and codes of guidance appertaining to International Financial Reporting Standards (IFRS) which has required a change to the performance statements included in the 2010/11 accounts.

The main performance statements included are:

- Movement in Reserves Statement
- Comprehensive Income and Expenditure Statement
- Balance Sheet
- Cash Flow Statement
- Housing Revenue Account Income and Expenditure Statement
- Movement on the Housing Revenue Account Statement
- Collection Fund Account

Full explanations of each of these statements are included in the Explanatory Foreword on page 3 of the financial statements (to be circulated at the meeting, or available on request.

Details of the final balances held for the year by the Authority are shown in the Movement in Reserves Statement on page 29. This statement shows the General Fund Balance to be £1,278k and on the Housing Revenue Account to be £407k. These were the outturn figures previously reported at this Committee on 12<sup>th</sup> July 2011.

### **3 Financial Implications**

These are detailed above.

### **4 Recommendations**

That the Annual Statement of Accounts for the financial year ended 31<sup>st</sup> March 2011 be approved, subject to audit.

Email: paul.loveday@oadby-wigston.gov.uk

Tel. 0116 257 2750

| <b>Implications</b> |                        |
|---------------------|------------------------|
| Health              | No significant impact  |
| Environment         | No significant impact. |
| Community Safety    | No significant impact. |
| Human Rights        | No significant impact. |
| Equal Opportunities | No significant impact. |
| Risk Assessment     | No significant impact. |
| Value for Money     |                        |
| Equalities          | None.                  |
| Legal               | None.                  |

# Agenda Item 15



|  |                              |                                   |
|--|------------------------------|-----------------------------------|
| <b>Service<br/>Development<br/>Committee</b> | <b>13 September<br/>2011</b> | <b>Matter for<br/>Information</b> |
|--|------------------------------|-----------------------------------|

Title: **Expenditure Review 2011/12**

Author: **Principal Accountant**

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## **1 Introduction**

This report provides members with details of the position at 31 July 2011 on the Committee's revenue and capital budgets for the financial year 2011/12. The attached appendices detail both the revenue and capital budgets together with an updated position on the salaries budget.

## **2 Information**

At the end of each month, the Finance Section produces financial monitoring reports showing variances on all Council budgets. These reports are passed to budget holders to explain the budget variances. Where variances are due to spending patterns or where corrective action can be taken to bring spending back in line with budgets, this is recorded by the budget holder and the Finance Section and is monitored in future months. Where the variance will continue, it is reported to Management Team.

This report shows the Committee's revenue and capital budgets as at the 31 July 2011 together with explanations of any change to the original budget. There is also a statement showing expenditure against the committee's staffing budget.

This year's reports also show profiled revenue budgets in the tabulation. In some cases, the actual expenditure may show variances against these profiled budgets. These variances are usually down to minor timing differences on expenditure being committed or because the profile needs adjusting. In these cases there is no effect on the revised forecast figures and no explanation is given. However, where the variance against the profiled budget does effect the revised forecast this is shown in the variance column together with an explanation.

## **3 Financial Implications**

There is a revised forecast for the Committee's revenue outturn of £2,458,370 a decrease in net expenditure of £109,900.

## **4 Recommendations**

Members are asked to note the report.

| <b>Implications</b> |  |
|---------------------|--|
| Health              | No direct implications   |
| Environment         | No direct implications   |
| Community Safety    | No direct implications   |
| Human Rights        | No implications  |
| Equal Opportunities | No implications  |
| Risk Assessment     | None   |
| Value for Money     | The authority always strives to provide the best value for money when providing services |
| Equalities          | No implications  |
| Legal               | No implications  |

**SERVICE DEVELOPMENT COMMITTEE - EXPENDITURE REVIEW AT 31 JULY 2011**  
**GENERAL FUND**

| Cost Centre | Service Head                               | Budget 2011/12<br>£ | Profiled Budget<br>£ | Actual<br>£      | Profile vs Actual<br>£ | Revised Forecast<br>£ | Variance<br>£    | Comments                                |   |
|-------------|--|---------------------|----------------------|------------------|------------------------|-----------------------|------------------|---|---|
|             |  |                     |                      |                  |                        |                       |                  | Actual                                  | Outturn   |
| 30001       | Information & Public Relations             | 35,680              | 8,917                | 13,358           | 4,441                  | 35,680                | 0                |   |   |
| 30002       | Corporate Management                       | 407,620             | 235,752              | 210,238          | (25,514)               | 407,620               | 0                | Audit fees to be reprofiled             |   |
| 30004       | Health & Safety                            | 16,460              | 3,677                | 11,581           | 7,904                  | 24,460                | 8,000            |   | Hired Staff not budgeted, to cease shortly        |
| 30006       | Crime & Disorder                           | 139,600             | 50,943               | 9,605            | (41,338)               | 139,600               | 0                | Unanticipated grants not yet utilised   |   |
| 30101       | Local Land Charges                         | 66,480              | 19,640               | 4,620            | (15,020)               | 66,480                | 0                | Vacancy                                 |   |
| 30201       | Democratic Representation & Management     | 654,310             | 217,004              | 174,302          | (42,702)               | 654,310               | 0                |   |   |
| 30301       | Council Tax                                | 411,900             | 123,728              | 112,967          | (10,761)               | 413,000               | 1,100            | Direct support cost -£14K               | 2010-11 billing costs under accrued               |
| 30302       | Non Domestic Rates                         | 96,910              | 29,901               | 27,825           | (2,076)                | 96,910                | 0                |   |   |
| 30303       | Housing Benefits                           | 241,410             | 107,834              | 92,627           | (15,207)               | 237,410               | (4,000)          | Direct support cost -£9K                | Hired staff in benefits used on audit work        |
| 30304       | Council Tax Benefits                       | 146,570             | 86,857               | 57,975           | (28,882)               | 146,570               | 0                | Direct support cost £-26K               |   |
| 30303/04    | Net Cost of Benefit                        | (55,000)            | 1,954,333            | 1,872,261        | (82,072)               | (155,000)             | (100,000)        |   | Additional recovery of overpayments projection    |
| 30401       | Register of Electors                       | 72,990              | 17,135               | 15,726           | (1,409)                | 72,990                | 0                |   |   |
| 30402       | Election Expenses                          | 97,760              | 68,640               | 57,931           | (10,709)               | 87,760                | (10,000)         |   | Shared costs with Alternative Vote referendum     |
| 30501       | Non Distributed Costs                      | 50,930              | 0                    | 0                | 0                      | 50,930                | 0                |   |   |
| 30701       | Civil Contingencies and Emergency Planning | 38,930              | 32,291               | 9,181            | (23,110)               | 33,930                | (5,000)          | Order not yet raised for WOW annual fee | Budget reduced to reflect historical actual spend |
| 41001       | Economic Development                       | 70,720              | 21,742               | 9,762            | (11,980)               | 70,720                | 0                |   |   |
| 30010       | Structural Maintenance                     | 75,000              | 25,000               | 6,511            | (18,489)               | 75,000                | 0                |   |   |
|             | <b>TOTAL</b>                               | <b>2,568,270</b>    | <b>3,003,394</b>     | <b>2,686,470</b> | <b>(316,924)</b>       | <b>2,458,370</b>      | <b>(109,900)</b> |   |   |

**OADBY AND WIGSTON BOROUGH COUNCIL CAPITAL PROGRAMME  
SERVICE DEVELOPMENT COMMITTEE**

| Project Code Reference | Scheme                                    | Lead Officer | 2011-12 Revised budget | 2011-12 Expenditure to July 11 | Variance (under)/over | Notes     |
|------------------------|---|--------------|------------------------|--------------------------------|-----------------------|-----------|
|                        | <b>General Fund - Service Development</b> |              |                        |                                |                       |           |
| 56010                  | IT Replacement Policy                     | Paul Langham | 20,000                 | 1,722                          | (18,278)              | Ongoing   |
| 56006                  | Future IT Strategy                        | HOS/ Paul    | 47,500                 |                                | (47,500)              | Ongoing   |
| 56001                  | Council Office Alterations                | Alan Purdie  | 27,758                 | 6,997                          | (20,761)              | Ongoing   |
| 56004                  | USB Security                              | Paul Langham | 0                      |                                | 0                     | Ongoing   |
| 56014                  | Telephone System Replacement              | Paul Langham | 85,000                 |                                | (85,000)              | Ongoing   |
| 56026                  | Integra Financial Systems Upgrade         | Paul Loveday | 4,000                  | 700                            | (3,300)               | Ongoing   |
| 56031                  | Website Development                       | Daren Nowlan | 85,000                 | 15,154                         | (69,846)              | On target |
| 56037                  | PARIS Cash Management Upgrade             | Paul Loveday | 4,000                  |                                | (4,000)               | Ongoing   |
| 56011                  | Bushloe House Roof Refurbishment          | Alan Purdie  | 100,000                | 1,965                          | (98,035)              | Ongoing   |
|                        | Citrix Implementation                     | Paul Langham | 14,000                 |                                | (14,000)              | Ongoing   |
|                        | LDF Electronic Consultation Software      | Paul Langham | 15,000                 |                                | (15,000)              | Ongoing   |
|                        | Oracle Upgrade to CAPS                    | Paul Langham | 6,650                  | 4,000                          | (2,650)               | Ongoing   |
|                        | <b>Total - Service Development</b>        |              | <b>408,908</b>         | <b>30,538</b>                  | <b>(378,370)</b>      |           |

STAFFING COSTS 2011/12 - JULY 2011

| General Ledger Codes | Code Description                         | REVISED BUDGETS 2010/11 |                 |                    | ACTUAL EXPENDITURE 2010/11 |                        |          | TOTAL STAFFING COSTS | (Savings) /Overspend | % of Budget Spent To Date | Comments                                  |
|----------------------|--|-------------------------|-----------------|--------------------|----------------------------|------------------------|----------|----------------------|----------------------|---------------------------|---|
|                      |  | Salaries Budget         | Overtime Budget | Hired Staff Budget | Total Staffing Budget      | Budget Profile To Date | Salaries |                      |                      |                           |   |
| 30001                | SERVICE DEVELOPMENT                      | 18,990                  |                 |                    | 18,990                     | 6,330                  |          | 6,294                | (36)                 | 99.43%                    | On budget                                 |
| 30004                | Information and Public Relations         |                         |                 |                    | 0                          | 0                      |          |                      | 8,036                | No Budget                 | Statutory Health and Safety Work required |
| 30006                | Health & Safety                          | 74,820                  |                 |                    | 74,820                     | 24,940                 |          | 14,022               | (10,918)             | 56.22%                    | Officer on Maternity Leave                |
| 30101                | Crime and Disorder                       | 46,960                  |                 |                    | 46,960                     | 15,653                 |          | 7,587                | (8,066)              | 48.47%                    | Vacancy in Establishment                  |
| 30201                | Local Land Chgs                          | 7,520                   |                 |                    | 7,520                      | 2,507                  |          | 2,595                | 88                   | 103.52%                   | On budget                                 |
| 30201                | Democratic Representation and Management |                         |                 | 5,000              | 5,000                      | 0                      |          | 0                    | 0                    | No Budget                 | Expenditure finished for 2011/12          |
| 30401                | Register of Electors                     |                         |                 | 16,800             | 16,800                     | 16,800                 |          | 17,820               | 1,020                | 106.07%                   |   |
| 30402                | Election Expenses                        | 154,800                 |                 |                    | 154,800                    | 51,600                 |          | 45,477               | (5,674)              | 89.00%                    |   |
| 39901                | Chief Executive's Office                 | 95,410                  |                 |                    | 95,420                     | 31,807                 |          | 30,479               | (1,328)              | 95.83%                    | On budget                                 |
| 39902                | Personnel                                | 101,730                 | 10              |                    | 101,730                    | 33,910                 |          | 2,406                | (16,821)             | 50.10%                    | New Director not appointed yet            |
| 39903                | Director of Resources Office             | 252,590                 |                 |                    | 252,590                    | 84,197                 |          | 74,666               | (7,304)              | 91.33%                    | 1 Vacant post                             |
| 39904                | Legal and Admin                          | 24,140                  |                 |                    | 24,140                     | 8,047                  |          | 10,060               | 2,013                | 125.02%                   | Result of Job Evaluation appeal           |
| 39905                | Internal Audit                           | 326,100                 |                 |                    | 326,100                    | 108,700                |          | 90,733               | (17,867)             | 83.47%                    | 2.5 vacant posts                          |
| 39906                | Finance                                  | 201,720                 |                 |                    | 201,720                    | 67,240                 |          | 70,213               | 2,973                | 104.42%                   | On budget                                 |
| 39908                | Customer Services                        | 48,440                  |                 |                    | 48,440                     | 16,147                 |          | 13,101               | 2,056                | 112.74%                   | Cost of caretaker cover                   |
| 39909                | Council Offices                          | 107,250                 |                 |                    | 107,250                    | 35,750                 |          | 33,014               | (2,736)              | 92.35%                    | Pension contributions lower than budget   |
| 39910                | Revenues and Benefits Manager            | 264,280                 |                 |                    | 264,280                    | 88,093                 |          | 87,993               | (100)                | 99.89%                    | On budget                                 |
| 39911                | Revenues Section                         | 340,840                 |                 |                    | 340,840                    | 113,613                |          | 103,321              | 2,617                | 102.30%                   | Grant claim checking required             |
| 39912                | Benefits Section                         | 56,730                  |                 |                    | 56,730                     | 18,910                 |          | 18,895               | (15)                 | 99.92%                    | On budget                                 |
| 39913                | Head Corporate Services                  | 36,590                  |                 |                    | 36,590                     | 12,197                 |          |                      | (12,197)             | 0.00%                     | Shared service waiting for invoice        |
| 41001                | Economic Development                     |                         |                 |                    |                            |                        |          |                      |                      |                           |   |
|                      |  | 2,158,910               | 10              | 21,800             | 2,180,720                  | 736,440                |          | 605,434              | (64,458)             | 91.25%                    |   |
|                      |  |                         |                 |                    |                            |                        |          | 5,778                |                      |                           |   |
|                      |  |                         |                 |                    |                            |                        |          | 60,770               |                      |                           |   |
|                      |  |                         |                 |                    |                            |                        |          | 671,982              |                      |                           |   |



|  |                              |                    |
|--|------------------------------|--------------------|
| <b>Service<br/>Development<br/>Committee</b> | <b>13 September<br/>2011</b> | <b>Information</b> |
|--|------------------------------|--------------------|

**Title: Resident Forum Budget Position Statement**

**Author: Chris Raymakers, Principal Accountant**

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## 1 Introduction

The purpose of this report is to note the current financial position described in the attached Appendix 1.

## 2 Information

The attached reports shows the balances still available for scheme allocation to each of the three town centre forums together with the current spend against each of the allocated budgets.

## 3 Financial Implications

Members should bear in mind the current position when considering further requests for allocations which may come before this committee.

## 4 Recommendations

That members note the report

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Tel: **0116 257 2891**

| <b>Implications</b> |  |
|---------------------|--|
| Health              | None   |
| Environment         | None   |
| Community Safety    | None   |
| Human Rights        | None   |
| Equal Opportunities | The pursuit of equal opportunities is a prime requisite for these spending approvals |
| Risk Assessment     | Each scheme will have the risks evaluated.   |
| Value for Money     | It is a requirement of all procurement decisions that value for money is pursued.    |
| Equalities          | None   |
| Legal               | None   |

**RESIDENT FORUM BUDGETS**

|  | Approved amount  | Actual amount spent at 31/08/2011 |
|--|------------------|-----------------------------------|
| <b>WIGSTON RESIDENT FORUM</b>  |                  |                                   |
|  | £                |                                   |
| <b>Total allocated budget</b>  | <b>230,000</b>   | <b>230,000</b>                    |
| <b>Approved spending</b>   |                  |                                   |
| St. Wistan's Church Path   | (15,000)         | (11,908)                          |
| Peace Memorial Park Interpretation Sign                                      | (4,000)          | (2,852)                           |
| Christmas Decorations  | (30,000)         | (30,000)                          |
| Peace Memorial Park Bins   | (1,860)          | (1,860)                           |
| Provision of seats within Wigston  | (3,700)          | (3,700)                           |
| Meadows - Junior Play Area   | (45,000)         | (47,000)                          |
| All Saints Church  | (2,000)          | (2,000)                           |
| Wigston Club for Young People  | (5,000)          | (5,000)                           |
| Additional Christmas Lighting - Wakes Road, etc                              | (10,000)         | (8,395)                           |
| Bus Shelters - Rolleston Road  | (5,000)          | (5,156)                           |
| Planters (Policy 31st March 09)  | (6,252)          | (3,807)                           |
| Room of Remembrance Re-rendering external walls (R&R 30th June 09)           | (1,000)          | (1,000)                           |
| Replacement CCTV camera at the opening of Bell Street (Forum 9/9/09)         | (6,000)          | (6,000)                           |
| Bell Street - Additional planters  | (5,000)          | (4,359)                           |
| Bus Shelters 2010-11   | (4,000)          | (4,000)                           |
| Information Boards 2010-11   | (3,200)          | (3,200)                           |
| Horsewell Lane - Multiplay Unit  | (5,820)          | (5,820)                           |
| PMP retractable canopy   | (4,000)          | (4,000)                           |
| Information Boards 2011-12   | (3,200)          | (3,200)                           |
| Freer Park Refurbishment   | (15,000)         | (15,000)                          |
| <b>Total committed</b>   | <b>(175,032)</b> | <b>(142,357)</b>                  |
| <b>Funds remaining</b>   | <b>54,968</b>    | <b>87,643</b>                     |
| <b>SOUTH WIGSTON RESIDENT FORUM</b>  |                  |                                   |
|  | £                |                                   |
| <b>Total allocated budget</b>  | <b>115,000</b>   | <b>115,000</b>                    |
| <b>Approved spending</b>   |                  |                                   |
| Christmas Decorations  | (17,000)         | (17,974)                          |
| William Gunning Park Fence   | (10,000)         | (5,050)                           |
| Fairfield Road Bus Shelters  | (9,160)          | (9,060)                           |
| Gloucester Crescent Bus Shelters   | (2,000)          | (400)                             |
| Planters/ Litter bins (Policy 31st March 09)                                 | (5,000)          | (3,807)                           |
| Planters, hanging baskets etc particularly for Blaby Road (Forum 24/6/09)    | (10,000)         | (10,000)                          |
| Bus Shelters 2010-11   | (2,000)          | (2,000)                           |
| Information Boards 2010-11   | (1,600)          | (1,600)                           |
| Saffron Road bus shelter   | (2,500)          | (2,460)                           |
| Information Boards 2011-12   | (1,600)          | (1,600)                           |
| <b>Total committed</b>   | <b>(60,860)</b>  | <b>(42,351)</b>                   |
| <b>Funds remaining</b>   | <b>54,140</b>    | <b>72,649</b>                     |
| <b>OADBY RESIDENT FORUM</b>  |                  |                                   |
|  | £                |                                   |
| <b>Total allocated budget</b>  | <b>230,000</b>   | <b>230,000</b>                    |
| <b>Approved spending</b>   |                  |                                   |
| Christmas Decorations  | (17,000)         | (17,000)                          |
| East Street Car Park Improvements  | (12,400)         | (12,255)                          |
| Florence Wragg Way Bus Shelters  | (6,400)          | (4,830)                           |
| Benches at Chestnut Avenue   | (900)            | (150)                             |
| Wickham Road Artwork   | (575)            | (430)                             |
| Sandhurst Street Car Park Wall   | (3,840)          | (3,842)                           |
| Bus Shelters Briar Walk, Burton's Corner, Ashtree Road                       | (9,600)          | (8,498)                           |
| Information Boards - Fludes Lane and Coombe Park                             | (3,000)          | (1,500)                           |
| Uplands Park Play Area   | (20,000)         | (20,000)                          |
| Coombe Park Play Equipment   | (4,500)          | (4,426)                           |
| Brocks Hill Springer   | (900)            | (792)                             |
| Rosemead Park See Saw & Safety Surface                                       | (4,500)          | (2,092)                           |
| Benches for Rosemead Park, Uplands Park and Coombe Park                      | (2,700)          | (2,700)                           |
| Bridge at Fludes Lane (P&R Aug 07)   | (3,000)          | (2,530)                           |
| Litter Bins - Coombe Rise, A6 and Ashtree Road, London Road, Lowcroft Drive. | (1,200)          | (1,712)                           |
| Iliffe Avenue Play Area  | (20,000)         | (19,941)                          |
| Planters (Policy 31st March 09)  | (7,927)          | (7,015)                           |
| Mobile CCTV camera (R&R 30th June 09)  | (11,000)         | (11,000)                          |
| Bridge over Brook at Coombe Park   | (3,000)          | (1,150)                           |
| Installation of lockable gates at Coombe Park - Dec 09                       | (1,398)          | (1,446)                           |
| Installation of two litter bins at Coombe Park- Dec 09                       | (700)            | (700)                             |
| Chicken Walk Footpath  | (6,000)          | (934)                             |
| Play Equipment (Uplands)   | (4,000)          | (3,900)                           |
| Bus Shelters 2010-11   | (4,000)          | (4,000)                           |
| Information Boards 2010-11   | (3,200)          | (3,200)                           |
| Bus shelter seating (various sites)  | (1,020)          | (169)                             |
| Bus Shelter - Severn Rd / Windrush Dv junction                               | (4,000)          | (2,460)                           |
| Adult play equipment surrounds - Uplands Park                                | (2,000)          | 0                                 |
| Information Boards 2011-12   | (3,200)          | 0                                 |
| Coombe Park refurbishment  | (20,000)         | 0                                 |
| <b>Total committed</b>   | <b>(181,960)</b> | <b>(138,672)</b>                  |
| <b>Funds available</b>   | <b>48,040</b>    | <b>91,328</b>                     |
| <b>Overall Monies Allocated</b>  |                  |                                   |
|  | £                |                                   |
| <b>Total Monies Allocated</b>  | <b>575,000</b>   | <b>575,000</b>                    |
| <b>Total Monies Committed</b>  | <b>(417,852)</b> | <b>(323,380)</b>                  |
|  | <b>157,148</b>   | <b>251,620</b>                    |
| <b>Overall Funds available as at 31 August 2011</b>                          | <b>157,148</b>   | <b>251,620</b>                    |



|  |                              |                            |
|--|------------------------------|----------------------------|
| <b>Service<br/>Development<br/>Committee</b> | <b>13 September<br/>2011</b> | <b>Matter for decision</b> |
|--|------------------------------|----------------------------|

**Title: Residents' Forum Budget Allocations**

**Author: Margaret Smith, Projects Manager**

## 1 Introduction

This report seeks approval for expenditure requests from the three Residents' Forum Meetings held in August and approval for an item of expenditure from the June 2011 Oadby Residents' Forum that has not previously been approved by committee.

## 2 Information

The Forums have requested the following expenditure:

- Wigston – Additional corporate bench at Horsewell Lane Park - **£650**
- South Wigston – Additional item of play equipment (junior swing unit) at William Gunning Park plus contribution towards fencing of toddler play equipment - **£5,000**
- Oadby – New disabled access ramp at St Peter's Church Hall - **£5,000.**

Access Ramp – St Peter's Church Hall:

The following is an extract from the Oadby Forum minutes for 15 June 2011:

'Mr Davies from St Peters Church Hall enquired about the possibility of funding for a disabled ramp at the entrance to the hall, which was entirely non-denominational. The sum of between £2000 to £5000 was sought. The Borough engineer had surveyed the site and concurred these figures. It was however pointed out that the Oadby Village Hall Trust exists for such purposes and application should be made to them. However, Councillor Gamble proposed, and upon being put to a vote, it was carried that, in the event that the Village Hall Trust is unable to finance the ramp provision, this Oadby Forum would provide funding of up to £5,000 to do so.'

St Peter's Church Hall is used as a non-denominational community centre to provide lunches for local elderly people and people with disabilities on a daily basis many of whom arrive by Social Services ambulance. Mr Davies has discussed funding with Oadby Village Hall Trust since the Forum meeting. As a result of these discussions the Trust has agreed to fund other works required at the hall but feel that, as the existing ramp (which has no handrails and is in poor condition) was installed by the council and comes down onto a council owned car park, the new ramp should be funded by the Forum. Therefore, Service Development Committee is asked to approve expenditure on the ramp of up to £5,000.

## 3 Financial Implications

Information given above.

## 4 Recommendations

That approval is given to the proposals and expenditure as detailed above.

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| <b>Implications</b> |  |
|---------------------|--|
| Health              | None   |
| Environment         | None   |
| Community Safety    | None   |
| Human Rights        | None   |
| Equal Opportunities | None   |
| Risk Assessment     | Risk assessments will be carried out for each scheme                           |
| Value for Money     | Value for money will be pursued during the procurement process of each scheme. |
| Equalities          | The schemes have a positive impact on equality issues.                         |
| Legal               | None   |



**Service  
Development  
Committee**

**13 September  
2011**

**Matter for Decision**

Title: **BUDGET STRATEGY FOR FINANCIAL YEAR 2012/13**

Author: **Sanjiv Kohli, Director of Resources and Section 151 Officer**

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## **1. INTRODUCTION**

The purpose of this report is to set out the general principles to be adopted for next year's, 2012/13, General Fund Revenue Budget.

## **2. BACKGROUND TO THE REPORT**

- 2.1 This budget strategy is presented within an overall national scene of reduced central government funding and the drive towards greater localism with the associated financial uncertainties that this presents, particularly with regard to the localisation of business rates and council tax reform. The national economic and financial challenges have a significant impact on the budgets of this Council and therefore necessitate an even more robust and managed process of budget setting whilst at the same time allowing Members to have some flexibility built into the process in order to act quickly during the financial year to meet specific service demands in priority areas. This strategy aims to provide a framework that will provide for this robustness of budget setting whilst building in an element of flexibility to ensure that the Council continues to deliver quality services to the Community of Oadby and Wigston.

When members set the council tax for the forthcoming year, 2012/13, the Director of Resources and section 151 Officer will have a duty under Part II of the Local Government Act to report on the robustness of the budget and the adequacy of the reserves. Clearly the Director of Resources and section 151 Officer will have significant responsibilities in delivering a robust budget, particularly in determining the resources available and in making the link between the affordability of spending plans and the implications for council tax over the life of the Medium Term Financial Strategy (MTFS).

### **2.2 The Medium Term Financial Strategy (MTFS)**

The Authority's Medium Term Financial Strategy (MTFS) for the years 2010/11 - 2013/14 was approved by Council at its meeting on 25 February. The MTFS for 2011/12 to 2015/16 is presently being revised and this budget strategy is drawn up in parallel with this revision and seeks to establish some of the principals that will be incorporated into the MTFS.

The key issues that impact on the medium term financial strategy and therefore the setting of the 2012/13 budget are:

- Current Financial Position including Working Balances/Level of Reserves
- Local Government Finance Settlement (CSR 2011)
- Resources Review (including Business Rates and Council Tax reform)
- Revenue Budget
- Capital Budget
- HRA Budget
- Resources including Council Tax
- Priority Assessment Process
- Links to Strategic and Service Objectives.

2.3 In addition to factors that will be identified in the MTFs, the budget strategy for the forthcoming year is drawn up after giving consideration to the following two factors:

**a) Outturn for the financial year 2010/11**

The Council's draft out turn position for 2010/11 that was reported to Service Development Committee on 12<sup>th</sup> July 2011 was an under spend of £485,823; a reduction in net expenditure from a revised budget of £8,293,370 to £7,811,547. This under spend together with the budgeted contribution to General Fund Balances totalled £534,797. The Service Development Committee authorised that £500,000 of this under spend be appropriated to earmarked reserves and that this appropriation be agreed by the Chair of Service Development Committee. The section 151 Officer, the Chief Executive and the Chair of Service Development Committee have agreed to appropriate £350,000 to the DFG capital budget in order to support the increased demand and shortfall in budgetary provision with the remaining £150,000 being set aside for a future capital contribution towards the ERDF match fund.

**b) General Fund Balances and Reserves**

The position with regard to the level of the General Fund Balance and Reserves at the date of writing this report is as follows:

|                          | <u>2010/11</u><br>£000's | Restated<br><u>2009/10</u><br>£000's |
|--------------------------|--------------------------|--------------------------------------|
| <b>Revenue Reserves</b>  |                          |                                      |
| General Fund             | 1,278                    | 1,244                                |
| Housing Revenue Account  | 407                      | 449                                  |
| <b>Other Resources</b>   |                          |                                      |
| Useable Capital Receipts | 271                      | 388                                  |
| Earmarked Reserves       | 2,443                    | 2,304                                |

**3. THE STRATEGY FOR 2012/13**

**3.1 Base Budget**

The Council has historically adopted a budget process that derives its base budget each year from the previous year's original budget. The Council has also historically reported under spends at the end of the financial year. This suggests that there is some room to reduce base budgets by adopting a different strategy. One option would be to adopt zero base budgeting. This approach however is very time and resource intensive and from experience does not always give the right outcome. In order to address the historical under spend whilst at the same time protecting the Council against the risk of over spends and building in some flexibility for effective and efficient financial resource allocation, the following approach to establishing the base budget is proposed:

- In order to reduce the base budget, each service department's budget for the new year 2012./13 will be based on the Total Actual Outturn Expenditure for 2010/11 after adjustment for Capital Accounting adjustments and after adding back the service underspends for 2010/11 that were approved to be carried forward to the 2011/12 financial year.

- Central support costs e.g. legal, financial, secretarial, personnel etc, will be excluded from the base budget of direct service departments, as these are overheads charged from other support service areas. The originating support service department will control these budgets using the same principles.
- Any non-recurring (one-off) items incurred in 2010/11 will be deducted from the base, e.g. options appraisal studies, one-off training, conference/study costs.
- Any recurring growth bids or supplementary estimates approved during 2011/12 will be included in the base, e.g. subscriptions, software maintenance, on-going training.
- Any increases in fees and charges for 2011/12 will be included in the base budget,
- The above will be known as the “base budget”. The base budget will be adjusted for service priorities identified by Members and for specific Corporate Issues identified such as increased national insurance and pension contributions.
- Once the base budget has been established using the above principals, a comparison will be undertaken with the historical method of using the previous year’s original budget (i.e. the original budget for 2011/12). The base line savings arising from the change in methodology will partly be appropriated to a Development Reserve with the remainder reducing the net budget requirement of the Council and therefore the strain on Council Tax. The extent of the appropriation will be determined by the Chief Executive, the Director of Resources and section 151 Officer in consultation with the Leader of the Council and Chairs of Service Development and Service Delivery Committees.

### 3.2 Target Budget

- The target for the 2012/13 budget will be base plus adjustments as follows:
- For Contracts it is anticipated that the average rate of RPI will be between 3% and 3.5%. As such a rate of 3.5% will be applied to 2011/12 contractual costs. Where budget holders have knowledge of price rises that differ, adjustments can be made to these budgets to reflect actual price changes.
- For non-contractual Supplies and Services a rate of minus 2.0% will be applied to the 2010/11 actual expenditure in setting the 2012/13 budget. With RPI forecast at 3.5%, this represents a decrease in real terms in the supplies and services budget of 7.12%.
- For pay costs inflation will be provided on 2011/12 costs at 2% after adjusting the establishment for those staff taking Voluntary Redundancy in 2011/12.
- The departmental head should meet any new commitments that increase budgets above target by reviewing existing budgets in order to identify deliverable savings.

### **Interest Rate**

- The base rate is currently 0.5% with little prospect for an upward move until the last quarter of 2012 when it is forecast to go up by one quarter of a percent with a further increase of one quarter of a percent in 2013. For prudence, an investment rate of 1% will be assumed for 2012/13.

### 3.3 Growth Items

- In the event that the service department is unable to keep within target budget it should draw up a list of growth items for evaluation. These growth items should be based on requirements of the Business Delivery Plans and should be prioritised for

evaluation. Any bids for additional revenue (or capital) funding must be discussed with the departmental Corporate Management team member and prioritised by them.

- Service departments should also evaluate existing resources for potential savings from revenue. These must be discussed with the Corporate Management team member for that department and prioritised by them.
- The Senior Management team will consider and challenge all submissions of growth and all growth bids will be evaluated for “Corporate Fit” and in light of the corporate pressures identified.
- There will be further scrutiny of growth bids by the Leader and Chairs and Vice Chairs of the Service Development and Service Delivery Committee.
- Final evaluation of growth bids will take place by the Service Development Committee and Council when the overall budget, government grant and precept decisions are known at the end of February 2012.

### 3.4 Savings

- As stated above in 3.2 above savings in the establishment arising from the Voluntary Redundancies in 2011/12 will be adjusted for in arriving at the base budget for 2012/13
- As well as bids for growth, service managers will be required to identify realistic savings within their budgets and to provide an explanation for those savings.

## 4. THE FINANCE SETTLEMENT

**The Local Government Finance Settlement** is the main source of funding and has a gearing effect with the Council Tax. This means that Council Tax does not increase by the same percentage as the percentage increase in the budget requirement. Unfunded pressures will lead to higher percentage increase of Council Tax e.g. 1% increase in expenditure could lead to a Council Tax rise of 2.02%.

**The Comprehensive Spending Review 2010** allocated Oadby and Wigston Borough Council a total provisional formulas grant for 2012/13 of £3,159,032 This represents a decrease from the 2011/12 allocation of £431,804 or 12% (the allocation for 2011/12 was a reduction from 2010/11 of £672,407 or 15.8%). The final allocation for 2012/13 will not be known until December 2011.

## 5. TIMING OF THE BUDGET PROGRAMME

| Date         | Action  | Responsible                      |
|--------------|---|----------------------------------|
| <b>2011</b>  |   |                                  |
| 9 September  | Draft fees and charges returns sent out to budget holders   | Finance                          |
| 23 September | Draft revenue budget papers sent out to budget holders for completion.<br><br>Copies of previous years Service Plans sent out to responsible officers as a template for revision for 2010/11. | Finance<br><br>Finance           |
| 27 September | Completed draft fees and charges returned to Finance for compilation of schedules.<br>Committee reports to be compiled.   | Budget Holders/<br>All Directors |

|                             |   |   |
|-----------------------------|---|---|
| 30 September                | Vehicle Replacement details returned to the accountant dealing with Transport   | Budget Holders/<br>Transport<br>Manager |
| 3 October                   | Reports on revised fees and charges submitted for <b>Licensing and Regulatory Committee</b> to Management Team                          | Head of Legal<br>and Licensing          |
| 10 October                  | Reports on revised fees and charges submitted for <b>Service Delivery Committee</b> to Management Team                                  | Heads of Service                        |
| 10 October                  | Departments prepare Capital Budget "Wish Lists" using Capital Evaluation Template (See Asset Management Plan)                           | All Directors                           |
| 13 October                  | Capital bids sifted and analysed ready for Management Team  | Finance<br>AMG                          |
| 13 October                  | Reports on revised fees and charges submitted for approval to <b>Licensing and Regulatory Committee</b> .                               | CE                                      |
| 14 October                  | Requests for Growth and Savings returned to Finance   | Budget Holders                          |
| 24 October                  | Reports on revised fees and charges submitted for <b>Development Control Committee</b> to Management Team                               | Head of Built<br>Environment            |
| 24 - 28<br>October          | Review bid requests for budgetary growth (2 sessions)   | MT<br>HoF                               |
| 25 October                  | Reports on revised fees and charges submitted for approval to <b>Service Delivery Committee</b> .                                       | HoF<br>DoCS                             |
| 28 October                  | Compile list of capital bids for Management Team  | AMG/Finance                             |
| 31 October                  | Reports on revised fees and charges for <b>Service Development Committee</b> submitted to Management Team for approval.                 | Head of Legal<br>and Licensing          |
| <b>Date</b>                 | <b>Action</b>   | <b>Responsible</b>                      |
| 3 November                  | Reports on revised fees and charges submitted for approval <b>Development Control Committee</b> .                                       | DoCS                                    |
| 3 November                  | Review capital program  | MT                                      |
| 16 November                 | Reports on revised fees and charges submitted for approval (incorporating MT recommendations) to <b>Service Development Committee</b> . | CE<br>HoF<br>DoCS                       |
| 19 November                 | Compilation of the first draft of revenue and capital budgets   | Finance                                 |
| From 29<br>November         | Consultation with public  | MT                                      |
| 28 November –<br>2 December | Review budgets. Meetings with individual committee chairs, vice chairs and leader.  | C & O, MT                               |
| From<br>5 December          | Revenue and capital budget reports to be compiled and completed.  | Finance, HoF,                           |
| 19 December                 | Reports on revenue and capital budgets for <b>Service Delivery Committee</b> submitted to Management Team for approval                  | CE<br>DoCS<br>HoF                       |

|             |  |                    |
|-------------|--|--------------------|
|             | Reports on revenue and capital budgets for <b>Development Control Committee</b> submitted to Management Team for approval                    |                    |
|             | Reports on revenue and capital budgets for <b>Licensing and Regulatory Committee</b> submitted to Management Team for approval               |                    |
| <b>2012</b> |  |                    |
| 05 January  | Reports on revenue and capital budgets submitted to the <b>Development Control Committee</b> for approval (incorporating MT recommendations) | HoF                |
| 9 January   | Reports on revenue and capital budgets for <b>Service Development Committee and Youth Forum</b> submitted to Management Team for approval    | CE<br>HoF<br>DoCS  |
| 10 January  | Reports on revenue and capital budgets submitted to the <b>Service Delivery Committee</b> for approval (incorporating MT recommendations)    | HoF                |
| 12 January  | Revenue and capital budgets submitted to <b>Licensing and Regulatory Committee</b> for approval (incorporating MT recommendations)           | CE                 |
| <b>Date</b> | <b>Action</b>  | <b>Responsible</b> |
| 19 January  | Revenue and capital budgets submitted to <b>Youth Forum</b> for approval (incorporating MT recommendations)                                  | DoCS               |
| 24 January  | Revenue and capital budgets submitted to <b>Service Development Committee</b> for approval (incorporating MT recommendations)                | CE<br>HoF<br>DoCS  |
| 13 February | Aggregate Budget, Prudential Indicators, Treasury Strategy and Plan reports submitted to Management Team for approval                        | HoF<br>HoF         |
| 23 February | Aggregate Budget report submitted to Council.  | HoF                |
|             | Prudential Indicator and Treasury Strategy and Plan report submitted to Council.   | HoF                |
|             | Council Tax set (subject to County Council, Police Authority and Fire authority having set).   | HoF                |
| 26 March    | New budget book for 2012/13 completed and issued   | Finance            |

## **Abbreviations**

|       |                                |
|-------|--------------------------------|
| AMG   | Asset Management Group         |
| CE    | Chief Executive                |
| DoCS  | Director of Community Services |
| C & O | Chairs & Officers              |
| HoF   | Head of Finance                |
| MT    | Management Team                |

**6. FINANCIAL/LEGAL IMPLICATIONS**

The principles contained within the report will set a prudent and challenging strategy for 2012/13.

**7. RECOMMENDATIONS**

To approve the principles set out in this report to form the basis of the budget strategy for the financial year 2012/13.

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| <b>Implications</b> |  |
|---------------------|--|
| Health              |  |
| Environment         |  |
| Community Safety    |  |
| Human Rights        |  |
| Equal Opportunities |  |
| Risk Assessment     |  |
| Value for Money     |  |
| Equalities          |  |
| Legal               |  |

# Agenda Item 19



|  |                              |                 |
|--|------------------------------|-----------------|
| <b>Service<br/>Development<br/>Committee</b> | <b>13 September<br/>2011</b> | <b>Decision</b> |
|--|------------------------------|-----------------|

Title: **Insurance Tender Exercise**

Author: **Chris Raymakers, Principal Accountant**

---

## 1 Introduction

2011/12 is the final year in the Council's long term agreement with Zurich Municipal, the Council's insurer. In order to obtain the best possible value when procuring the new contract the Council has undergone a tendering exercise through the Welland Partnership in collaboration with two other authorities.

## 2 Information

Due to the nature of the Council's business it has always been a requirement to carry a comprehensive and substantial portfolio of insurance policies and has for many years procured these from Zurich Municipal, who are the market leader in local authority insurance. The current long term agreement with Zurich Municipal is coming to an end on 29 September this year and it was agreed that due to the current economic pressures placed on the Public Sector it was imperative to not just to re-tender the contract but seek the most productive method to secure budgetary savings for the council and value for money for the local council tax payer.

In order to attract a number of bidders, from what is traditionally a difficult market place, the Welland Partnership combined the Council's tender with two of its other partners, Rushcliffe Borough Council and Gedling Borough Council.

Tenders were sought based on the Authorities current portfolio quoting a price for each type on insurance policy together with any further discounts for long-term agreements and placing all business with the same company. Companies were asked to bid for a seven year contract with the opportunity for the Council to re-tender after years four, five, and six.

The Council received bids from three companies as follows

| Company                 | Price £<br>Inc IPT at 6% |
|-------------------------|--------------------------|
| Aviva/Aon               | 174,379                  |
| Travelers/Heath Lambert | 261,914                  |
| Zurich Municipal        | 159,518                  |

Prices include Insurance Premium Tax (IPT) and are subject to an annual rate of inflation increase.

Zurich Municipal has also offered further discounts should the tender group commit to a 7 year long-term agreement without breaks as follows.

|            |          |
|------------|----------|
| Option 2   |          |
| Year 1     | £140,073 |
| Years 2 -7 | £150,673 |

### 3 Financial Implications

The Council has included in its budgets for 2011/12 £160,590 to pay Insurance premiums and IPT which would mean Zurich initial offer falls just inside budget. Zurich second option however would offer considerable savings against budget including £20,517 in 2012/13. In total over the seven year contract Option 2 should be around £72,500 cheaper than Option 1.

### 4 Recommendations

Those members approve Option 2 from Zurich Municipal at a cost of £140,073 in year one and £150,673 in years two to six.

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Tel: **0116 257 2891**

| <b>Implications</b> |  |
|---------------------|--|
| Health              | None   |
| Environment         | None   |
| Community Safety    | None   |
| Human Rights        | None   |
| Equal Opportunities | The pursuit of equal opportunities is a prime requisite for these spending approvals |
| Risk Assessment     | Each scheme will have the risks evaluated.   |
| Value for Money     | It is a requirement of all procurement decisions that value for money is pursued.    |
| Equalities          | None   |
| Legal               | None   |

# Agenda Item 20



|  |                              |                            |
|--|------------------------------|----------------------------|
| <b>Service<br/>Development<br/>Committee</b> | <b>13 September<br/>2011</b> | <b>Matter for Decision</b> |
|--|------------------------------|----------------------------|

Title: **Strategic Risk Register**

Author: **Paul Loveday – Head of Finance**

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## 1 Introduction

The Strategic Risk Management Group met on the 11<sup>th</sup> July 2011 and updated the risks and action points within the Strategic Risk Register (Appendix 1). The minutes of the meeting are attached as Appendix 2.

## 2 Information

The attached minutes of the meeting, as well as reviewing and updating the current risks on the register, agreed the following major actions:

- To rationalise the number of risks that are currently on the register by removing any risks that are essentially operational in nature and adding these to newly created service operational risk registers.
- To change the format of the register as detailed in minute 2.1 of Appendix 2 to give greater clarity and understanding of the content.
- To put actions in place to satisfy the recommendations of the recent internal audit report on risk management as detailed in minute 3 of Appendix 2

## 3 Financial Implications

The financial implications of not managing the risks facing the Council could be large.

## 4 Recommendations

That Members approve the updated risk register.

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| <b>Implications</b> |  |
|---------------------|--|
| Health              | The danger to health is minimised                                |
| Environment         | The danger to the environment is minimised                       |
| Community Safety    | The danger to community safety is minimised                      |
| Human Rights        | The danger to human rights is minimised                          |
| Equal Opportunities | The danger to contravening equal opportunities is minimised      |
| Risk Assessment     | The Register reinforces the need for risk assessments.           |
| Value for Money     | The efficient management of risk helps maximises Value for Money |
| Equalities          | The danger to health is minimised                                |
| Legal               | Aids in mitigating potential legal risks                         |

**Oadby & Wigston Borough Council**

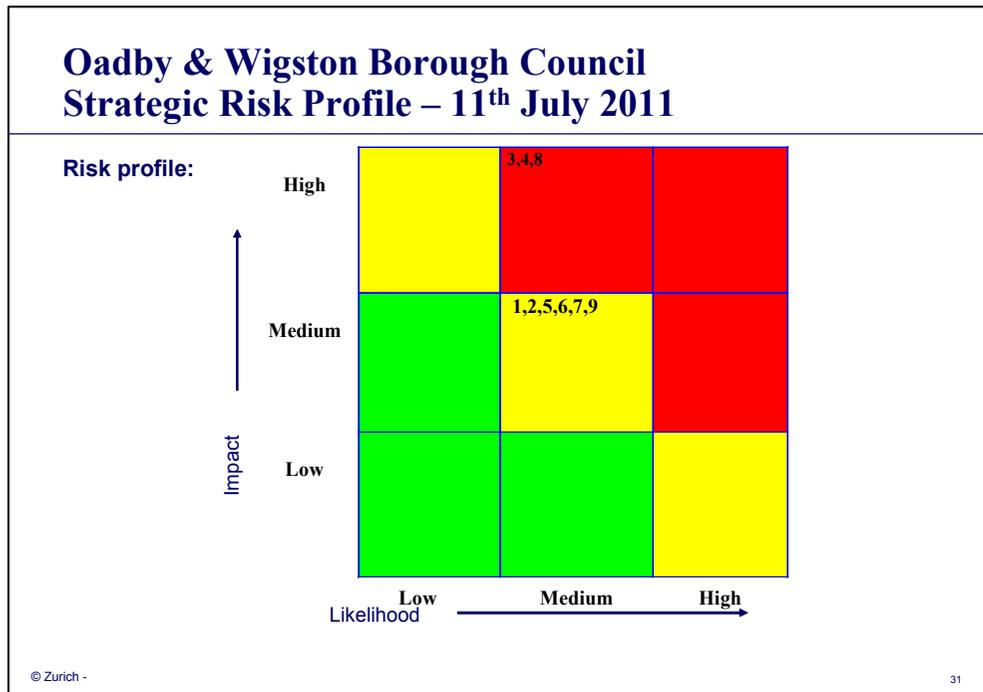
**Strategic Risk Register at 11<sup>th</sup> July 2011.**

## Risk Profile

### Risk Analysis and Prioritisation

Risks are assessed for likelihood and impact and plotted onto a matrix. The likelihood is measured as being low, medium or high and the impact is measured as being low, medium or high. Risks are also assessed for endurance but this is not shown on the matrix below.

The results of the risk profiling are shown on the following matrix.



### **Risk Categories**



Risk acceptable



Risk acceptable - monitor closely



Risk unacceptable – immediate action required

### **Abbreviations**

#### **Likelihood and Impact Severity**

L = Low

M = Medium

H = High

#### **Impact Endurance**

S = Short-term

M = Medium-term

L = Long-term

| No | Risk Description  | Consequences   | Likelihood | Impact Severity | Impact Endurance | Risk Score   | Risk Owner          | Actions   | By When  | By Whom                     | Residual Risk  |
|----|---|--|------------|-----------------|------------------|--|---------------------|---|----------|-----------------------------|--|
| 1  | Failure of key partnership/<br>contractor/shared services relationships | <ul style="list-style-type: none"> <li>• Fail to achieve Government requirements</li> <li>• Cost implications</li> <li>• Tensions between organisations</li> <li>• Wasted resources</li> <li>• Reduced performance and degradation of quality</li> </ul> | M          | M               | L                | 5<br> | Section 151 Officer | Develop a strategy and framework for shared services to include a matrix for making decisions on moving forward with partnerships | Dec 2011 | Management Team             | M/M<br> |
|    |   |  |            |                 |                  |  |                     | List and specify all partnerships and collaboration working associated risks and mitigating actions                               | Dec 2011 | Corporate Team              |  |
|    |   |  |            |                 |                  |  |                     | Ensure regular checks on contractor's insurance and financial liability   | Ongoing  | All contract budget holders |  |
|    |   |  |            |                 |                  |  |                     | Create an accessible electronic contract register   | Oct 2011 | Head of Finance             |  |

| No | Risk Description                            | Consequences  | Likelihood | Impact Severity | Impact Endurance | Risk Score   | Risk Owner                            | Actions  | By When | By Whom | Residual Risk  |
|----|---|---|------------|-----------------|------------------|--|---------------------------------------|--|---------|---------|--|
| 2  | Fail to manage community cohesion/inclusion | <ul style="list-style-type: none"> <li>• Increase in crime and disorder</li> <li>• Services not meeting needs</li> <li>• Poor use of funding</li> <li>• Tensions in the community</li> <li>• Civil action claim (ASBO)</li> <li>• Personal injury claim</li> <li>• Ombudsman</li> </ul> | M          | M               | L                | 5<br> | Director of Community Services (DOCS) | Regular meetings of Oadby, Wigston and South Wigston Forums, CDRP, Youth Forum and Multi-cultural Group      | Ongoing | DOCS    | M/M<br> |
|    |   |   |            |                 |                  |  |                                       | Close working with other public bodies and agencies – particularly in respect of child protection safeguards | Ongoing | All     |  |
|    |   |   |            |                 |                  |  |                                       | Update equality impact assessments within all Council policies – sensitivity in decision making              | Ongoing | All     |  |

| No | Risk Description   | Consequences  | Likelihood | Impact Severity | Impact Endurance | Risk Score   | Risk Owner          | Actions   | By When             | By Whom                                     | Residual Risk  |
|----|--|---|------------|-----------------|------------------|--|---------------------|---|---------------------|---|--|
| 3  | Limited finance available to meet new initiatives and priorities and failure to apply financial control. | <ul style="list-style-type: none"> <li>• Unable to deliver national/local priorities</li> <li>• Need to re-prioritise</li> <li>• Some areas of service delivery suffer (threat to discretionary particularly)</li> <li>• Reputation decline</li> <li>• EDRF funding not secured</li> <li>• Possible Government sanctions</li> <li>• Financial loss</li> <li>• Failure to pay workforce</li> </ul> | M          | H               | M                | 7<br> | Section 151 Officer | Maintain an up to date Medium Term Financial Strategy                     | Sep 2011            | Section 151 Officer                         | L/H<br> |
|    |  |   |            |                 |                  |  |                     | Internal audit review of financial systems                                | Ongoing             | Section 151 Officer<br>RSM Tenon            |  |
|    |  |   |            |                 |                  |  |                     | Complete profiling of budgets is to be provided                           | Aug 2011            | Head of Finance                             |  |
|    |  |   |            |                 |                  |  |                     | Budget holders training on use of ledger is to be provided                | Sep 2011            | Head of Finance                             |  |
|    |  |   |            |                 |                  |  |                     | Look to share resources/services to gain maximum value from Council funds | Ongoing (Thru' LTA) | Head of Finance                             |  |
|    |  |   |            |                 |                  |  |                     | Maximise additional external funding sources                              | Ongoing             | Head of Finance/<br>Head of Built Environ - |  |

| No | Risk Description | Consequences | Likelihood | Impact Severity | Impact Endurance | Risk Score | Risk Owner | Actions  | By When                   | By Whom                | Residual Risk |
|----|------------------|--------------|------------|-----------------|------------------|------------|------------|--|---------------------------|------------------------|---------------|
|    |                  |              |            |                 |                  |            |            |  |                           | ment                   |               |
|    |                  |              |            |                 |                  |            |            | Take all possible action to ensure that the Council's investments are protected from the volatility in the financial markets   | Reviewed on monthly basis | Head of Finance        |               |
|    |                  |              |            |                 |                  |            |            | For capital expenditure, identify savings and reprioritise. Review disposal of assets, the asset register and capital funding. | Sep 2011                  | Asset Management Group |               |

| No | Risk Description  | Consequences  | Likelihood | Impact Severity | Impact Endurance | Risk Score   | Risk Owner                              | Actions   | By When  | By Whom                        | Residual Risk  |
|----|---|---|------------|-----------------|------------------|--|---|---|----------|--------------------------------|--|
| 4  | Inability to deliver services as a result of insufficient resource allocation (financial and non-financial) | <ul style="list-style-type: none"> <li>• Extra strain on remaining staff</li> <li>• A key area of work is not covered</li> <li>• Risk to service delivery</li> <li>• Customer dissatisfaction</li> <li>• Reputation declines</li> <li>• Inability to forward plan and adapt.</li> </ul> | M          | H               | L                | 7<br> | Head of Legal, Licensing and HR (HLLHR) | Workforce and succession planning to be developed   | Sep 2011 | HLLHR                          | L/M<br> |
|    |   |   |            |                 |                  |  |   | Resource allocation to address capacity issues in year to be considered   | Sep 2011 | HLLHR                          |  |
|    |   |   |            |                 |                  |  |   | Carry out a skills audit  | Dec 2011 | HLLHR                          |  |
|    |   |   |            |                 |                  |  |   | Review of absence management reported to Management Team and Overview and Scrutiny Committee – policy to be updated | Sep 2011 | HLLHR                          |  |
|    |   |   |            |                 |                  |  |   | Examine potential pilots for home working policy on the back of the shared IT arrangement with HBBC                 | Sep 2011 | HLLHR                          |  |
|    |   |   |            |                 |                  |  |   | Ensure projects are lead by business case (new project  | Ongoing  | Heads of Service and Directors |  |

| No | Risk Description | Consequences | Likelihood | Impact Severity | Impact Endurance | Risk Score | Risk Owner | Actions   | By When  | By Whom         | Residual Risk |
|----|------------------|--------------|------------|-----------------|------------------|------------|------------|---|----------|-----------------|---------------|
|    |                  |              |            |                 |                  |            |            | management arrangements) not available external funding                                     |          |                 |               |
|    |                  |              |            |                 |                  |            |            | Ensure knowledge of all available external grants by using databases such as "Grantfinder". | Dec 2011 | Head of Finance |               |

| No | Risk Description   | Consequences   | Likelihood | Impact Severity | Impact Endurance | Risk Score   | Risk Owner                      | Actions   | By When                                | By Whom                | Residual Risk  |
|----|--|--|------------|-----------------|------------------|--|---------------------------------|---|--|------------------------|--|
| 5  | Lack of infrastructure to support needs of growth in the Borough | <ul style="list-style-type: none"> <li>Reduction in wellbeing of residents.</li> <li>Economic prosperity declines</li> <li>Detrimental effect on housing market</li> <li>Population of the borough declines</li> <li>Insufficient parking facility.</li> </ul> | M          | M               | L                | 5<br> | Head of Built Environment (HBE) | Core Strategy adopted in 2010   | Done                                   | HBE                    | M/M<br> |
|    |  |  |            |                 |                  |  |                                 | Infrastructure plan in place and being monitored  | Ongoing                                | HBE                    |  |
|    |  |  |            |                 |                  |  |                                 | Review capital programme and identify savings towards matched funding   | Ongoing                                | Asset Management Group |  |
|    |  |  |            |                 |                  |  |                                 | Maximise the use of Section 106, Community Infrastructure Levy and New Homes Bonus monies for the regeneration of town centres. | Ongoing                                | Management Team        |  |
|    |  |  |            |                 |                  |  |                                 | Develop Oadby and Wigston town centre master plans  | Jan 2011 to Inspection                 | HBE                    |  |
|    |  |  |            |                 |                  |  |                                 | Ensure South Wigston regeneration monies are spent in   | Regular reports to Service Development | Management Team        |  |

| No | Risk Description | Consequences | Likelihood | Impact Severity | Impact Endurance | Risk Score | Risk Owner | Actions  | By When                                      | By Whom         | Residual Risk |
|----|------------------|--------------|------------|-----------------|------------------|------------|------------|--|--|-----------------|---------------|
|    |                  |              |            |                 |                  |            |            | accordance with identified needs, Council priorities and the deadlines in Section 106 agreements | ment Cttee                                   |                 |               |
|    |                  |              |            |                 |                  |            |            | Entered into a partnership with HBBC on economic development.                                    | Ongoing                                      | Management Team |               |
|    |                  |              |            |                 |                  |            |            | Avoid the danger of repayment of Section 106 monies  | Regular reports to Service Development Cttee | Management Team |               |

| No | Risk Description                      | Consequences   | Likelihood | Impact Severity | Impact Endurance | Risk Score   | Risk Owner          | Actions   | By When  | By Whom                  | Residual Risk  |
|----|---------------------------------------|--|------------|-----------------|------------------|--|---------------------|---|----------|--------------------------|--|
| 6  | Council buildings not fit for purpose | <ul style="list-style-type: none"> <li>Health and safety issues</li> <li>Impact on service delivery</li> <li>Fail to achieve Decent Homes standard</li> <li>Reduction in wellbeing of residents</li> <li>Economic prosperity declines</li> <li>Detrimental effect on housing market</li> <li>Loss of part or all of a key building</li> <li>Staff morale declines</li> </ul> | M          | M               | L                | 5<br> | Section 151 Officer | Climate change action plan submitted and approved. Progress on meeting target monitored by the Asset Management Group | Ongoing  | DOCS                     | L/L<br> |
|    |                                       |  |            |                 |                  |  |                     | Develop options for Council Offices provision and proposals for flexible working                                      | Mar 2012 | Accom Working Group      |  |
|    |                                       |  |            |                 |                  |  |                     | Carbon footprint implications are to be added to all new proposals  | Dec 2010 | All                      |  |
|    |                                       |  |            |                 |                  |  |                     | Plan to achieve Decent Homes  | Ongoing  | Head of Housing Services |  |
|    |                                       |  |            |                 |                  |  |                     | Maintenance programme in place for non-housing properties based on the results of a comprehensive condition survey.   | Ongoing  | Asset Management Group   |  |

| No | Risk Description | Consequences | Likelihood | Impact Severity | Impact Endurance | Risk Score | Risk Owner | Actions   | By When | By Whom                  | Residual Risk |
|----|------------------|--------------|------------|-----------------|------------------|------------|------------|---|---------|--------------------------|---------------|
|    |                  |              |            |                 |                  |            |            | Produce an Asset Management Strategy for the Council's housing stock.<br>(Recommended by Housing Inspection report – Jan 2010 | Mar 12  | Head of Housing Services |               |

| No | Risk Description  | Consequences  | Likelihood | Impact Severity | Impact Endurance | Risk Score   | Risk Owner      | Actions   | By When  | By Whom                         | Residual Risk  |
|----|---|---|------------|-----------------|------------------|--|-----------------|---|----------|---------------------------------|--|
| 7  | Fail to manage all change (including legislation and IT) effectively. | <ul style="list-style-type: none"> <li>Fail to meet statutory requirements</li> <li>Unable to consolidate change</li> <li>Impact on service delivery</li> <li>Decline in staff morale</li> <li>Decline in customer satisfaction</li> <li>Financial loss</li> <li>Reputation declines</li> <li>Barrier to partnerships</li> <li>Diverts resources</li> </ul> | M          | M               | L                | 5<br> | Chief Executive | Arrange change management training for senior managers post the restructure   | Dec 2011 | HLLHR                           | M/M<br> |
|    |   |   |            |                 |                  |  |                 | Implement "Bigger Borough" so that there is effective prioritisation of services and resources are directed towards focussed outcome based priorities | Dec 2011 | Chief Executive                 |  |
|    |   |   |            |                 |                  |  |                 | Ensure corporate training funds are targeted at required skills   | Dec 2011 | HLLHR                           |  |
|    |   |   |            |                 |                  |  |                 | Construct robust business cases for new IT systems and involve all key officers affected by those systems. The IT road map has been produced          | Ongoing  | Heads of Service<br>ICT Manager |  |

| No | Risk Description | Consequences | Likelihood | Impact Severity | Impact Endurance | Risk Score | Risk Owner | Actions   | By When                         | By Whom   | Residual Risk |
|----|------------------|--------------|------------|-----------------|------------------|------------|------------|---|---------------------------------|---|---------------|
|    |                  |              |            |                 |                  |            |            | <p>Websites effectiveness has been reviewed by SOCITM. Enhancement to site awaiting developments at Charnwood and NWLDC</p> <p>Develop and agree an IT Usage Policy</p> | <p>Jul 2011</p> <p>Dec 2011</p> | <p>Head of Customer Services</p> <p>ICT Manager</p> |               |

| No | Risk Description   | Consequences   | Likelihood | Impact Severity | Impact Endurance | Risk Score   | Risk Owner  | Actions   | By When                       | By Whom         | Residual Risk  |
|----|--|--|------------|-----------------|------------------|--|---|---|-------------------------------|-----------------|--|
| 8  | A lack of robustness in business continuity planning and IT recovery | <ul style="list-style-type: none"> <li>Failure to deliver services</li> <li>Failure to meet statutory requirements</li> <li>Public health and safety implications</li> <li>Implications of pandemic</li> <li>Risk of losing data and other vital records</li> <li>Ineffective response to a major incident.</li> <li>Loss of reputation</li> </ul> | M          | H               | M                | 7<br> | Chief Executive   | <p>Maintain multi-agency cooperation through the Local Resilience Forum.</p> <p>Members of the WOW Partnership</p> <p>Move to a county wide emergency planning unit</p> | Sep 2011                      | Chief Executive | M/M<br> |
|    |  |  |            |                 |                  |  | Maintain up to date disaster recovery arrangements as part of the shared service for ICT.                   | Sep 2011  | Heads of Services ICT Manager |                 |  |
|    |  |  |            |                 |                  |  | Digitise the planning and building control records. This is currently going through the procurement process | Feb 2012  | HBE HLLHR                     |                 |  |

| No | Risk Description                                 | Consequences   | Likelihood | Impact Severity | Impact Endurance | Risk Score   | Risk Owner                              | Actions                                       | By When | By Whom             | Residual Risk  |
|----|--|--|------------|-----------------|------------------|--|---|---|---------|---------------------|--|
| 9  | Failure to enforce a proper governance framework | Financial loss<br>Reputation declines<br>Possible fraud and theft<br>Health and safety implications<br>Breach of legislation<br>Breach of data protection. | M          | M               | L                | 5<br> | Section 151 Officer/<br>Chief Executive | Maintain an effective internal audit service. | Ongoing | Section 151 Officer | L/M<br> |

## Strategic Risk Management Meeting 11<sup>th</sup> July 2011

**Present:** Sanjiv Kohli (SK) (Chair), Anne Court (AC), Daren Nowlan (DN), Simon Folwell (SF), Paul Loveday (PLo), Jez Crooks (JC),

**Apologies:** Paul Langham (PLa), Rob Harbour (RH), Steve Bruce (SB),

| ITEM | NOTES   | ACTION  |
|------|---|---|
| 1    | <p><b>Minutes of the meeting held on 16<sup>th</sup> May 2011.</b><br/>These were agreed with the following comments:</p> <p>It was agreed that a general template should be set up for all policies and strategies that should include a section for Carbon Footprint implications amongst others.</p>   | Lisa Rawlings   |
| 2    | <p><b>Review of the current Risk Register</b><br/>Details below</p>   |   |
| 2.1  | <p><b>A number of general changes to the risk register format were agreed as follows:</b></p> <p>All items currently included on the register that are essentially of an operational nature will be deleted and added to the respective services operational risks.</p> <p>A column detailing the length of time a risks impact endures is to be added. To be categorised as short, medium or long.</p> <p>That the risk score column also include a coloured symbol red, amber or green dependent on severity.</p> <p>That the last column of the risk register show residual risk dependent on the progress of the mitigating actions being undertaken.</p> | <p style="text-align: center;">PLo</p> <p style="text-align: center;">PLo</p> <p style="text-align: center;">PLo</p> <p style="text-align: center;">PLo</p> |
| 2.2  | <p><b>Risk 1 – Inspections</b></p> <p>This risk to be re-categorised as operational and deleted from this register.</p>   | PLo   |
| 2.3  | <p><b>Risk 2 – Legislative Change</b></p> <p>This risk to be re-categorised as operational and deleted from this register</p>   | PLo   |
| 2.4  | <p><b>Risk 3 – Partnerships and Risk 18 Significant Contracts Failing</b></p>   |   |

|     |   |  |
|-----|---|--|
|     | <p>These two risks be combined with actions to be merged.</p> <p>New actions be added:</p> <p>List and specify all partnerships and collaboration working, associated risks and mitigating actions.</p> <p>Create an accessible electronic contract register.</p> <p>Impact endurance - Long</p>  | <p><b>Corporate Team</b></p> <p><b>PLo</b></p> <p><b>PLo</b></p>       |
| 2.5 | <p><b>Risk 4 – Fail to Manage Community Cohesion</b></p> <p>Impact endurance - Long</p>   | <p><b>PLo</b></p>  |
| 2.6 | <p><b>Risk 5 – Financial Management and Risk 6 – Limited Finance</b></p> <p>These two risks be combined with actions to be merged.</p> <p>Impact Severity – change from Medium to High (Score change from 5 to 7)</p> <p>Impact endurance - Medium</p>  | <p><b>PLo</b></p> <p><b>PLo</b></p> <p><b>PLo</b></p>                  |
| 2.7 | <p><b>Risk 7 – Capacity to deliver Priority Services</b></p> <p>Risk re-worded as:</p> <p>Inability to deliver services as a result of insufficient resource allocation (financial and non-financial).</p> <p>The following consequences were added:</p> <p>Customer dissatisfaction<br/>Reputation declines<br/>Inability to forward plan and adapt.</p> <p>The following action was added:</p> <p>Carry out a skills audit</p> <p>Impact endurance - Long</p> | <p><b>PLo</b></p> <p><b>PLo</b></p> <p><b>PLo</b></p> <p><b>PL</b></p> |
| 2.8 | <p><b>Risk 9a – Lack of Effective Property Maintenance</b></p> <p>This risk to be re-categorised as operational and deleted from this register.</p> <p>Consequences and actions to be added to Risk 10</p>  | <p><b>PLo</b></p> <p><b>PLo</b></p>                                    |

|      |  |   |
|------|--|---|
| 2.9  | <p><b>Risk 9b – Lack of Infrastructure to Support Needs and Risk 13 - Regeneration.</b></p> <p>These two risks to be combined with actions merged.</p> <p>The following consequence to be added:</p> <p>Insufficient parking facilities</p> <p>Impact endurance - Long</p>   | <p><b>PLo</b></p> <p><b>PLo</b></p> <p><b>PLo</b></p>                                     |
| 2.10 | <p><b>Risk 10 – Council Buildings Not fit for Purpose</b></p> <p>Consequences and actions from 9b to be added.</p> <p>Impact endurance – Long</p> <p>Residual Risk – Low/Low</p>   | <p><b>PLo</b></p> <p><b>PLo</b></p> <p><b>PLo</b></p>                                     |
| 2.11 | <p><b>Risk 11 – Fail to Manage Continuous Change Effectively and Risk 14 – Failure to Integrate IT.</b></p> <p>These two risks to be combined with actions merged.</p> <p>Risk description to be changed to:</p> <p>Fail to manage change (including legislation and IT effectively)</p> <p>The following consequences to added:</p> <p>Decline in customer satisfaction<br/>Financial loss<br/>Reputation declines<br/>Barrier to partnerships</p> <p>New action to be added:</p> <p>Ensure corporate training funds are targeted at required skills</p> <p>Impact endurance - Long</p> | <p><b>PLo</b></p> <p><b>PLo</b></p> <p><b>PLo</b></p> <p><b>PLo</b></p> <p><b>PLo</b></p> |
| 2.12 | <p><b>Risk 12 – Robustness of Business Continuity Planning</b></p> <p>Risk description to be changed to:</p> <p>A lack of robustness in business continuity planning and IT recovery.</p> <p>Impact endurance – Medium</p> <p>Residual Risk – Medium/Medium</p>  | <p><b>PLo</b></p> <p><b>PLo</b></p> <p><b>PLo</b></p>                                     |

|      |  |   |
|------|--|---|
|      |  |   |
| 2.13 | <p><b>Risk 17 – Contaminated Land</b></p> <p>This risk to be re-categorised as operational and deleted from this register.</p>   | <b>PLo</b>  |
| 2.14 | <p><b>Risk 19 – Fraud Theft and Corruption</b></p> <p>Risk description to be changed to:</p> <p>Failure to enforce a proper governance framework.</p> <p>The following consequences to be added:</p> <p>Possible fraud and theft<br/>Health and safety implications<br/>Breach of legislation<br/>Breach of data protection</p> <p>Impact endurance - Long</p> | <p><b>PLo</b></p> <p><b>PLo</b></p> <p><b>PLo</b></p> |
| 3    | <p><b>Internal Audit Report</b></p> <p>Comments on individual recommendations are given below.</p>   |   |
| 3.1  | <p><b>Recommendation 1</b></p> <p>A new strategy will be produced, reviewed by this group and approved by committee by the December 2011 deadline</p>  | <b>All</b>  |
| 3.2  | <p><b>Recommendation 2</b></p> <p>This will be considered by consultation with the chair of the Service Development Committee and incorporated within the new policy document</p>  | <b>SK</b>   |
| 3.3  | <p><b>Recommendation 3</b></p> <p>The risk register is now being updated on a regular basis.</p> <p>Risk management will continue to be managed using a manual process but this will be reconsidered in 6 months following a cost/benefit analysis.</p>  | <b>All</b>  |
| 3.4  | <p><b>Recommendation 4</b></p> <p>The adding of column to the risk register for corporate objective will be considered at the next meeting of this group following completion of the new Corporate Plan</p>  | <b>All</b>  |
| 3.5  | <p><b>Recommendation 5</b></p> <p>Compilation of a list of current partnerships and their implications</p>   | <b>Corporate Team</b>                                 |

|     |  |            |
|-----|--|------------|
|     | is to be considered and compiled at the next Corporate Team meeting  |            |
| 3.6 | <b>Recommendation 6</b><br>A column detailing timing of impact has now been added.   |            |
| 3.7 | <b>Recommendation 7</b><br>A Spreadsheet template will be set up on the intranet for operational risks to be entered and this will be reviewed by this group on a 6 monthly basis. | <b>PLo</b> |
| 3.8 | <b>Recommendation 8</b><br>A traffic light system has been introduced into the register showing residual risk.<br><br>A tolerance level for risk has still to be established       | <b>All</b> |
| 3.9 | <b>Recommendation 9</b><br>It was agreed that the Strategic Risk Register should be reviewed by full Council once a year.  | <b>PLo</b> |
| 4   | <b>AOB</b><br>None   |            |
| 6   | <b>Date of next meeting</b><br>To be confirmed   |            |



|                                  |                   |                        |
|----------------------------------|-------------------|------------------------|
| Service Development<br>Committee | 13 September 2011 | Matter for information |
|----------------------------------|-------------------|------------------------|

Title: Service Development Plans Exception Report 2011-12

Author: Lisa Rawling, Policy and Performance Officer

## 1 Introduction

This report details Service Development Plan targets behind schedule for the financial year 2011-12. All actions have now been aligned to a corporate priority.

## 2 Information

### Chief Executives

Produce a new Corporate Plan and Sustainable Community Strategy (SCS)

New priorities are now in place and agreed with Council approval on the 20 July 2011. Consultation with residents on services covered in the 6 main priorities will take place in the next Letterbox due for publication on the 21 November 2011. Resident's opinions on which discretionary areas they would like us to concentrate resources on will help to inform and shape the work plans that will be published in the Corporate Plan shortly after this. The revised completion date will be February 2012.

The SCS will now be refreshed in line with the changes being made to the Local Strategic Partnership (LSP). This project is currently on schedule with a completion date of October 2011. It is requested that the refresh of the SCS be separated from the Corporate Plan and moved to the LSP project.

## 3 Financial Implications

None

## 4 Recommendations

That the Committee notes the performance against targets and agrees any recommendations.

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| Implications        |                        |
|---------------------|------------------------|
| Health              | No significant impact. |
| Environment         | No significant impact. |
| Community Safety    | No significant impact. |
| Human Rights        | No significant impact. |
| Equal Opportunities | No significant impact. |
| Risk Assessment     | No significant impact. |
| Value for Money     | No significant impact. |
| Equalities          | No significant impact. |
| Legal               | No significant impact. |



**Service Development Plan Update 2011/12**



**On Target**



**Off Target**



**Completed**

| <b>Action and Impact</b>           | <b>Corporate priority</b> | <b>Progress / Outcome</b>   | <b>Projected savings / Resources</b> | <b>Lead officer</b>            | <b>Completion date</b> | <b>Traffic light status</b> |
|------------------------------------|---------------------------|---|--------------------------------------|--------------------------------|------------------------|-----------------------------|
| <b>Chief Executives</b>            |                           |   |                                      |                                |                        |                             |
| Produce new Corporate Plan and SCS | Working smarter           | New council priorities agreed. Consultation underway with residents. Completion date to change to accommodate this. | £8k saving from place survey budget  | Policy and Performance officer | July 2011              |                             |