

King George V House, King George V Road,
Amersham, Buckinghamshire, HP6 5AW

Telephone: 01494 729000 **DX:** 50711

Fax: 01494 586506

Website: www.chiltern.gov.uk

Email: info@chiltern.gov.uk



CHILTERN
District Council



CDC Resources Overview Committee

Tuesday, 31st January, 2017 at 6.30 pm

**Large & Small Committee Room, King George V House, King George V Road,
Amersham**

A G E N D A

- 1 Evacuation Procedures
- 2 Minutes (*Pages 5 - 8*)
To sign the Minutes of the meeting held on 5 December 2016
- 3 Apologies for Absence
- 4 Declarations of Interest
- 5 28 Day Notices (*Pages 9 - 10*)
Appendix: CDC Cabinet 28 Day Notice (Pages 11 - 16)
Appendix: Joint Committee 28 Day Notice (Working Draft) (Pages 17 - 20)
- 6 Revenue Budget 2017/2018 (*To Follow*)
- 7 Capital Programme and Repairs & Renewals Programme 2017/2018 (*Pages 21 - 26*)
Appendix A - Capital Programme (Pages 27 - 28)
Appendix B - R & R Programme 2017/18 - 2020/21 (Pages 29 - 30)

Appendix C - Chiltern DC Capital Strategy (Pages 31 - 38)

- 8 Annual Treasury Management Strategy 2017/18 (Pages 39 - 42)
Appendix 1 - Treasury Management Strategy (Pages 43 - 50)
Appendix 1A - Annual Investment Strategy (Pages 51 - 60)
Appendix 1B - Prudential Indicators (Pages 61 - 66)
Appendix 1C - Minimum Revenue Provision (Pages 67 - 68)
- 9 Service Plan Summaries 2017/2018 (Pages 69 - 72)
Appendix A: Chiltern and South Bucks Combined Service Plan Summaries (Pages 73 - 174)
- 10 Exclusion of the Public
To resolve that under Section 100(A)(4) of the Local Government Act 1972 the public be excluded from the meeting for the following item(s) of business on the grounds that it involves the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Act.
- 11 Private reports (if any)
Paragraph 1 – Information relating to any individual

Paragraph 2 – Information which is likely to reveal the identity of an individual

Paragraph 3 – Information relating to the financial or business affairs of any particular person (including the authority holding that information)

Paragraph 4 – Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority

Paragraph 5 – Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings

Paragraph 6 – Information which reveals that the authority proposes:
(a) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or
(b) to make an order or direction under any enactment

Paragraph 7 – Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime

Note: All Reports will be updated orally at the meeting if appropriate and may be supplemented by additional reports at the Chairman's discretion.

Membership: CDC Resources Overview Committee

Councillors: N M Rose (Chairman)
A J Garth
A K Bacon
S P Berry
C J Ford
J L Gladwin
M J Harrold
C M Jones
R J Jones
J E MacBean (Vice-Chairman)
D W Phillips
M W Shaw
D M Varley
H M Wallace
C J Wertheim

Date of next meeting – Tuesday, 28 March 2017

If you would like this document in large print or an alternative format please contact 01494 732143; email democraticservices@chiltern.gov.uk

CHILTERN DISTRICT COUNCIL

MINUTES of the Meeting of the
RESOURCES OVERVIEW COMMITTEE
held on **5 DECEMBER 2016**

PRESENT: Councillor N M Rose - Chairman
" J E MacBean - Vice Chairman

Councillors: A K Bacon
S P Berry
C J Ford
J L Gladwin
M J Harrold
D W Phillips
C J Wertheim

APOLOGIES FOR ABSENCE were received from Councillors A J Garth, C M Jones, R J Jones, M W Shaw, D M Varley and H M Wallace

ALSO IN ATTENDANCE: Councillor M J Stannard

13 MINUTES

The Minutes of the meeting held on 4 October 2016 were agreed and signed by the Chairman.

14 DECLARATIONS OF INTEREST

There were no declarations of interest.

15 28 DAY NOTICES:

It was noted that on the Chiltern & South Bucks Joint Committee forward plan, it was stated that there was a consultation about the Community Infrastructure Levy on 16 November 2016. In fact there had only been a mention that this item would be discussed later on 7 December 2016 and a request was made for the table to be amended to reflect clarify this point.

Cabinet would be receiving an update on the Amersham Multi-Storey Car Park project on 13 December 2016 and then the full business case would come to Resources Overview Committee on 31 January 2017. The Members discussed whether this was adequate time for discussion before the Cabinet decision on 7 February 2016. Similarly, the Chiltern Pools Feasibility study was due to go to Services Overview Committee and Members wanted to discuss this also. It was advised that it would come to the Committee once

the business case stage was reached. The Chairman requested that the Cabinet Member be invited to attend the next Resources Committee to give a position statement.

Noting the Chiltern Car Park Review to be discussed at Cabinet, it was suggested that a meeting was organised with Chiltern Railways to co-ordinate with their car park increases. It was advised that these proposed increases had been postponed until January.

16 Q2 PERFORMANCE REPORTS 2016-2017

A request had been made for further clarification surrounding the performance indicator results reported.

Working days lost due to sickness absence

The target for short-term sickness for 2016/17 was 5 and for long term sickness absence was 3 but the overall target was 10 days. The reason the target remains at 10 is because this figure takes into account real data for 2015/16 and nationally published data and as such the target is 10 but we will aim to reduce this in the future. The targets for long and short term sickness data were based on indicative data which is why they do not equal the overall target.

Processing of planning applications

The target for processing within 8 weeks had not been met in Q1 but had been recently much improved.

Members had asked why there were gaps in the statistics produced for the net additional homes provided and this was advised to be due to staff shortages and work pressures caused by the production of the local plan.

A further question was asked regarding the Waste Customer Satisfaction results. It was noted that the figures included the Wycombe area and so there was a request for more details for the Chiltern area. Members also considered that Serco was not fulfilling all its contract duties regarding street cleaning particularly during the leaf fall period and litter bin emptying. It was requested that a report be brought to a future Services Overview meeting for an update.

RESOLVED

To note the report and request that the Head of Environment provide a future report on Waste customer satisfaction and street cleaning.

17 BUDGET REPORT

It was assumed that there would be no Revenue Support Grant for 2017/18 (as advised in the Autumn Statement 2015), following a number of years of reducing grant.

It was understood that Chiltern has the option of tax rises limited to the higher of 2% or £5 (band D). It was noted that the new homes bonus grant was expected to be higher in 2017/18 due to the increased tax base. It was assumed that staff salaries were likely to rise by 1%, contracts by 2% and energy by 4%. The recharges between SBDC and CDC increase as more shared services come into force.. The Committees attention was drawn to some budget increases including 92k adjustment to waste contract split with Wycombe and in respect of the Amersham Council Offices rental income.

The final settlement figure was expected to be announced later in December 2017 and the budget would then go to Cabinet for approval in February 2017.

Members asked what the percentage split was for staff costs and it was advised that they had been approved by the Joint Committee and that they vary from service to service. It was also advised that the service costs were not just staff costs but often this was the main cost. .

With regard to trading undertakings, the difference between the budget and previous year's actuals was due to a one off business rate refund.

On the Revenue Account Summary it was noted that the overall budget surplus was over £1m and how this would be earmarked would be part of the final budget decisions in February.

Finally, in the Fees & Charges Appendix 10, the cost to the public of purchasing wheeled bins and additional green waste services was discussed. It was reported that new residents were required to buy these if a previous resident had lost or damaged the original one provided. This presented a substantial cost to some residents on benefits, similarly it was asked whether the high cost of a second green waste bin could be justified. It was requested that these costs be reviewed at the next Waste Committee meeting.

RESOLVED

The draft revenue service budget for 2017/18 was noted.

The meeting ended at 7.43 pm

SUBJECT:	28 Day Notice
REPORT OF:	<i>Portfolio Holder for Support Services</i>
RESPONSIBLE OFFICER	<i>Head of Legal & Democratic Services</i>
REPORT AUTHOR	<i>Charlie Griffin, 01494 732011, charlie.griffin@chiltern.gov.uk</i>
WARD/S AFFECTED	<i>All</i>

1. Report

The Access to Information Regulations 2012 place a requirement on Councils to publish a notice 28 days before every executive or joint executive meeting detailing all Key Decisions and Private Reports to be considered. The [28 Day Notice](#) is published on the Council's website.

RECOMMENDATIONS

The Cabinet is asked to note the following draft 28 Day Notices:

- Cabinet
- Joint Committee

Background Papers:	None
---------------------------	------

28 Day Notice

**Local Authorities (Executive Arrangements) (Meetings and Access to Information)
(England) Regulations 2012**

This is a Notice of an intention to make a Key Decision on behalf of the Local authority (Regulation 9) and an intention to meet in private to consider those items marked as 'Private Reports' (Regulation 5).

A further Notice (the 'Agenda') will be published no less than 5 working-days before the date of the Cabinet meeting and will be available at www.chiltern.gov.uk/democracy

Leader (Councillor Isobel Darby)					
Key Decision (Y/N) ¹	Report Title & Summary ²	Consultation ³	Decision Maker & Date	Private Report (Y/N) and Reason Private ⁴	Lead Officer ⁵
No	Service Plan Summaries 2017/18	Services 24 Jan 17 Resources 31 Jan 17	Cabinet 7 Feb 17	No	Sarah Woods Email: swoods@chiltern.gov.uk
No	Economic Development Strategy: To consider and agree the Council's Economic Development Strategy		Cabinet 7 Feb 17	No	Anita Cacchioli Email: acacchioli@chiltern.gov.uk
No	Joint Business Plan Refresh: to consider the Joint Business Plan for 2017	Resources 28 Mar 17 Services 21 Mar 17	Cabinet 4 April 17	No	Sarah Woods Email: swoods@chiltern.gov.uk
No	Performance Indicator Review 2017-18: to review the Performance Indicators for 2017-18	Resources 28 Mar 17 Services 21 Mar 17	Cabinet 4 April 17	No	Sarah Woods Email: swoods@chiltern.gov.uk
No	Quarter 3 Performance Reports 2016-17: to consider the performance reports for quarter 3	Resources 28 Mar 17 Services 21 Mar 17	Cabinet 4 April 17	No	Sarah Woods Email: swoods@chiltern.gov.uk

Support Services - Deputy Leader (Councillor Mike Stannard)					
Key Decision (Y/N) ¹	Report Title & Summary ²	Consultation ³	Decision Maker & Date	Private Report (Y/N) and Reason Private ⁴	Lead Officer ⁵
Yes	Annual Treasury Management Strategy 2017/18	Resources 31 Jan 2016	Cabinet 7 Feb 17	No	Helen O'Keeffe Email: HOKeeffe@chiltern.gov.uk
Yes	Revenue Budget 2017/18: to recommend the Budget to Council for agreement	Resources 31 Jan 17	Cabinet 7 Feb 17	No	Jim Burness Email: jburness@chiltern.gov.uk
Yes	Capital Programme and Repairs & Renewals Programme 2017/2018: To consider and agree the proposed updates to the capital and repairs & renewals programmes	Resources 31 Jan 17	Cabinet 7 Feb 17	No	Jane Clarke Email: jclarke@chiltern.gov.uk
No	Treasury Management Q3 2016/2017: To report on treasury management activity in quarter 3 2016/2017		Cabinet 7 Feb 17	No	Helen O'Keeffe Email: HOKeeffe@chiltern.gov.uk

Sustainable Development (Councillor Peter Martin)					
Key Decision (Y/N) ¹	Report Title & Summary ²	Consultation ³	Decision Maker & Date	Private Report (Y/N) and Reason Private ⁴	Lead Officer ⁵

Environment (Councillor – Mike Smith)					
Key Decision (Y/N) ¹	Report Title & Summary ²	Consultation ³	Decision Maker & Date	Private Report (Y/N) and Reason Private ⁴	Lead Officer ⁵
Yes	Amersham Multi-Storey Car Park Development Business Case: To consider the business case		Cabinet 7 Feb 17	Yes (Paragraph 3)	Chris Marchant Email: cmarchant@chiltern.gov.uk
Yes	Energy Strategy: To consider adoption of the Buckinghamshire Energy Strategy		Cabinet 7 Feb 17	No	Ben Coakley Email: bcoakley@chiltern.gov.uk
Yes	To extend the Head of Environment's delegated powers under the Scheme of Delegation to Officers		Cabinet 7 Feb 17		Chris Marchant Email: cmarchant@chiltern.gov.uk

Customer Services (Councillor – Fred Wilson)					
Key Decision (Y/N) ¹	Report Title & Summary ²	Consultation ³	Decision Maker & Date	Private Report (Y/N) and Reason Private ⁴	Lead Officer ⁵

Community, Health & Housing (Councillor Graham Harris)					
Key Decision (Y/N) ¹	Report Title & Summary ²	Consultation ³	Decision Maker & Date	Private Report (Y/N) and Reason Private ⁴	Lead Officer ⁵
No	Information Item: Affordable Rented Housing Contribution - Springett Place (Chief Executive's Power of Urgency): To note the use of the Chief Executive's delegated powers in consultation with the Cabinet Leader to support the delivery of affordable rented properties		Cabinet 7 Feb 17	No	Martin Holt Email: mholt@chiltern.gov.uk
No	Armed Forces Community Covenant Update: To update on local WW1 commemorative events and the County-wide task force working group		Cabinet 7 Feb 17	No	Paul Nanji Email: pnanji@chiltern.gov.uk
Yes	Chiltern Pools Feasibility Study: To report the key findings of the Chiltern Pools Consultation programme and agree the next steps forward	Services 24 January 17	Cabinet 7 Feb 17	No	Paul Nanji Email: pnanji@chiltern.gov.uk
Yes	Chiltern's Community & Wellbeing Plan 2017-2020: To adopt the new Chiltern Community & Wellbeing Plan	Services 21 March 17	Cabinet 4 April 17	No	Paul Nanji Email: pnanji@chiltern.gov.uk
Yes	Homelessness Strategy: To consider a joint Homelessness Strategy	Services 21 March 17	Cabinet 4 April 17	No	Michael Veryard Email: mveryard@chiltern.gov.uk
Yes	Regulators Code for shared services: To consider the shared service regulators enforcement code	Services 21 March 17	Cabinet 4 April 17	No	Martin Holt Email: mholt@chiltern.gov.uk

Community, Health & Housing (Councillor Graham Harris)					
Key Decision (Y/N) ¹	Report Title & Summary ²	Consultation ³	Decision Maker & Date	Private Report (Y/N) and Reason Private ⁴	Lead Officer ⁵
No	Chiltern District Council Strategic Housing Framework 2014-15: To receive an update on affordable housing delivery and to consider the Council's draft Strategic Housing Framework 2014-15	CHHPAG 21 March 17 Services 21 March 17	Cabinet 4 April 17	No	Michael Veryard Email: mveryard@chiltern.gov.uk
No	Revitalisation Group - Update Report: To update key outcomes of the local Revitalisation Groups (2016/17) and agree Capital Grants Awards		Cabinet 4 April 17	No	Paul Nanji Email: pnanji@chiltern.gov.uk
No	Sustainability and Carbon Reduction Strategy: The development and implementation of an updated joint strategy for South Bucks DC and Chiltern DC, building on existing activities and opportunities		Cabinet 27 June 17	No	Joanna Faul Email: jfaul@chiltern.gov.uk

- 1 The Council's Constitution defines a 'Key' Decision as any decision taken in relation to a function that is the responsibility of the Cabinet and which is likely to:-
- result in expenditure (or the making of savings) over £30,000 and / or
 - have a significant impact on the community in two (or more) district wards.

and

- relates to the development and approval of the Budget; or
- relates to the development, approval and review of the Policy Framework, or
- is otherwise outside the Budget and Policy Framework.

As a matter of good practice, this Notice also includes other items – in addition to Key Decisions – that are to be considered by the Cabinet. This additional information is provided to inform local residents of all matters being considered.

- 2 Each item considered will have a report; appendices will be included (as appropriate). Regulation 9(1g) allows that other documents relevant to the item may be submitted to the decision-maker. Subject to prohibition or restriction on their disclosure, this information will be published on the Council website – www.chiltern.gov.uk/democracy – usually 5 working-days before the date of the meeting. Paper copies may be requested (charges will apply) using the contact details below.
- 3 In order to support the work of the Cabinet and to enhance decision-making, reports are often presented to other meetings for comment before going to the Cabinet. As such, this Notice also includes information on which meeting (if any) will also consider the report, and on what date.
- 4 The public can be excluded for an item of business on the grounds that it involves the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Local Government Act 1972. The relevant paragraph numbers and descriptions are as follows:

Paragraph 1	Information relating to any individual
Paragraph 2	Information which is likely to reveal the identity of an individual
Paragraph 3	Information relating to the financial or business affairs of any particular person (including the authority holding that information)
Paragraph 4	Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority
Paragraph 5	Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings
Paragraph 6	Information which reveals that the authority proposes: (a) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or (b) to make an order or direction under any enactment
Paragraph 7	Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime

Part II of Schedule 12A of the Local Government Act 1972 requires that information falling into paragraphs 1-7 above is exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Nothing in the Regulations authorises or requires a local authority to disclose to the public or make available for public inspection any document or part of a document if, in the opinion of the proper officer, that document or part of a document contains or may contain confidential information.

Should you wish to make any representations in relation to any of the items being considered in private, you can do so – in writing – using the contact details below. Any representations received, together with any response from the Council, will be published on the Notice (the 'Agenda') issued no less than 5 working-

days before the meeting. This will be available on the Council website – www.chiltern.gov.uk/democracy

Contact: Democratic Services, Chiltern District Council, King George V House, King George V Road, Amersham, HP6 5AW; email: chiefexecs@chiltern.gov.uk; tel: 01494 732143

- 5 The lead officer is usually the report author, and their contact details are provided in this column. The officer's email address is a standard format: first initial followed by their surname e.g. Bob Smith = bsmith@chiltern.gov.uk

28-DAY NOTICE – FORWARD PLAN**Local Authorities (Executive Arrangements) (Meetings and Access to Information)
(England) Regulations 2012**

This is a Notice of an intention to make a Key Decision on behalf of the Local authority (Regulation 9) and an intention to meet in private to consider those items marked as 'Private Reports' (Regulation 5).

A further Notice (the 'Agenda') will be published no less than 5 working-days before the date of the Cabinet meeting and will be available at: [Chiltern District Council](#) & [South Bucks District Council](#)

CHILTERN & SOUTH BUCKS JOINT COMMITTEE (JC)**Working Draft**

Meeting: TBC (SBDC)					
Key Decision (Y/N) ¹	Report Title & Summary ²	Consultation How/When ³	Decision Maker & Date	Private Report (Y/N) and Reason Private ⁴	Contact Officer and Telephone Number
Yes	Accommodation Strategy: Consideration of office accommodation requirements in context of new ways of working		JC Tbc	No	Jim Burness jburness@chiltern.gov.uk
Yes	Shared Service Cost Splits: To review the costs splits that are used for shared services		JC Tbc	No	Rodney Fincham rfincham@chiltern.gov.uk

Classification: OFFICIAL

- 1 The Chiltern & South Bucks Joint Committee membership comprises of the following Cabinet Members from each authority:

Chiltern District Council: I Darby; M Smith; M Stannard; G Harris; P E C Martin; F Wilson

South Bucks District Council: L Sullivan; T Egleton; R Bagge; N Naylor; P Kelly

A Key Decision is defined as:

- a) Decisions likely to result in the Council incurring expenditure which is, or the making of savings which are, significant having regard to the Council's budget for the service or function to which the Decision relates; or
- b) To be significant in terms of its effects on communities living or working in an area comprising two or more wards or electoral divisions in the area of the Council

Each of the constituent local authorities provides the following definition of a Key Decision, as detailed in the Constitution.

Chiltern District Council

A 'Key' Decision is any decision taken in relation to a function that is the responsibility of the Cabinet and which is likely to:

- result in expenditure (or the making of savings) over £30,000 and / or
 - have a significant impact on the community in two (or more) district wards.
- and
- relates to the development and approval of the Budget; or
 - relates to the development, approval and review of the Policy Framework, or
 - is otherwise outside the Budget and Policy Framework.

South Bucks District Council

With regards to a) a Key Decision being defined as a decision which has income or expenditure effect of £50k or more but excludes contracts for and expenditure on repairs, maintenance and improvements works within budget provision and approved policy where the contract or expenditure has either been properly and specifically approved by or on behalf of the Cabinet or by an Officer acting under delegated powers, save where Contract Standing Orders require the Cabinet itself to authorise acceptance of a tender and such acceptance has not previously been authorised or delegated by the Cabinet.

- 2 Each item considered will have a report; appendices will be included (as appropriate). Regulation 9(1g) allows that other documents relevant to the item may be submitted to the decision-maker. Subject to prohibition or restriction on their disclosure, this information will be published on the Council website – [Chiltern District Council](#) & [South Bucks District Council](#) – usually 5 working-days before the date of the meeting. Paper copies may be requested (charges will apply) using the contact details below.
- 3 This column shows the process of consultation, which takes place prior to Joint Committee. Further information on each of the Councils' Committees can be found at: [Chiltern District Council](#) & [South Bucks District Council](#)
- 4 The public can be excluded for an item of business on the grounds that it involves the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Local Government Act 1972. The relevant paragraph numbers and descriptions are as follows:

Paragraph 1	Information relating to any individual
Paragraph 2	Information which is likely to reveal the identity of an individual
Paragraph 3	Information relating to the financial or business affairs of any particular person (including the authority holding that information)
Paragraph 4	Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority
Paragraph 5	Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings
Paragraph 6	Information which reveals that the authority proposes: (a) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or (b) to make an order or direction under any enactment
Paragraph 7	Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime

Part II of Schedule 12A of the Local Government Act 1972 requires that information falling into paragraphs 1-7 above is exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Nothing in the Regulations authorises or requires a local authority to disclose to the public or make available for public inspection any document or part of a document if, in the opinion of the proper officer, that document or part of a document contains or may contain confidential information.

Should you wish to make any representations in relation to any of the items being considered in private, you can do so – in writing – using the contact details below. Any representations received, together with any response from the Council, will be published on the Notice (the 'Agenda') issued no less than 5 working-days before the meeting. This will be available on the Council website – [Chiltern District Council](#) & [South Bucks District Council](#)

Contact:

Democratic Services, Chiltern District Council, King George V House, King George V Road, Amersham, HP6 5AW; email: chiefexecs@chiltern.gov.uk; tel: 01494 732143

Democratic Services, South Bucks District Council, Capswood, Oxford Road, Denham, UB9 4LH; email: democratic.services@southbucks.gov.uk; tel: 01895 837200

SUBJECT:	Capital Programme and Repairs & Renewals Programme 2017/18 to 2020/21
REPORT OF:	Support Services Portfolio Holder – Cllr Mike Stannard
RESPONSIBLE OFFICER	Director of Resources – Jim Burness
REPORT AUTHOR	Capital Accountant – Jane Clarke – 01494 732 223
WARD/S AFFECTED	All

1. Purpose of Report

1.1 To present:

- the proposed Capital Programme for 2017/18 – 2020/21, and
- the proposed Repairs & Renewals Programme for 2017/18 – 2020/21.
- the Capital Strategy.

RECOMMENDATION

Cabinet is asked to recommend to Council:

- **The Capital Programme for 2017/18 – 2020/21 as set out in Appendix A.**
- **The Repairs & Renewals Programme for 2017/18 – 2020/21 as set out in Appendix B.**
- **The Capital Strategy as set out in Appendix C.**
- **Note the implication for the Financial Strategy of the proposed programme.**

2. Background

2.1 As part of the Council's budget process the Capital Programme is reviewed in order to assess, as part of the overall financial strategy of the Authority, what the scale and composition of the programme should be and the consequential funding implications for the financial strategy. As part of the Council's Capital Strategy (appendix C) in 2016/17 decisions to undertake feasibility work on significant capital projects, such as the Amersham Multi Storey Car Park, and the re-development of Chiltern Pools. These projects have changed the scale and composition of the future capital programme, creating the need to finance these projects from borrowing, if they proceed, following member approval of detailed business cases.

3 Review of Capital Programme

3.1 The proposed Capital Programme is set out in Appendix A. Projects are grouped by Portfolio Area.

Environment

- 3.2 This category primarily covers the construction of an extension to the Amersham Multi Storey Car Park, providing increased parking capacity within Amersham on the Hill to accommodate current and future capacity needs as highlighted in the Parking Strategy, a key Council priority as identified in the Capital Strategy. It is anticipated that a detailed business case will be presented to members during 2017 for approval prior to committing to the construction.
- 3.3 CDC is responsible for the maintenance of the Mill Meadow Bridge, and has an obligation to keep the bridges in repair and to provide the site users and members of the public with adequate access. Originally £225k was allocated to the project in 2016, but following detailed design work this project is now expected to cost £369k.
- 3.4 Additionally, £200k has been allocated in 2017/18, as the need to replace the sweeper vehicles which were on a 5 year agreement comes to an end. Replacement of the remaining refuse vehicle fleet in 2019/20 has been allocated at a cost of £3,150k, as the current waste contract expires in March 2020.

Healthy Communities

- 3.5 There is a budget of £23m for the redevelopment of the Chiltern Pools site which is at the end of its useful life. The development is being shaped by a review of the leisure needs of the area, as part of the Council's Leisure Strategy. The feasibility and design work underway at present will lead to the preparation of a detailed business case to be presented to members for approval to commit to the construction of a new facility.
- 3.6 Currently, under the contract with Greenwich Leisure, the Council has responsibility for the structure and exterior of the leisure centres. A sum of £100k is budgeted each year to meet these obligations.
- 3.7 The Council supports the 7 revitalisation groups with annual revenue funding of £2k and enables application to a capital revitalisation grant scheme delivered annually. This funding supports the enabling community participation, helping residents shape and improve their own communities, past examples include support to heritage projects, riverside walks, nature park and high street festivals, libraries, youth clubs and visitor information facilities. They have also helped to fund raise for projects to improve facilities for young people and families. The funding provided through these grants assists the community access additional funding for projects which has been valued at over £1m which would not otherwise be accessed by the community.
- 3.8 The remainder of the expenditure in this area relates to housing grants and loans, with the largest element being Disabled Facility Grants which the Council has a statutory duty to provide. The majority of the cost of the grants are met from an allocation from the Better Care Fund administered by the County wide Health & Wellbeing Board, (this was £545,252 in 2016/17), with a potential cost of £100k falling to Chiltern, however the detail of the 2017/18 allocation from the Fund is still to be confirmed. A contribution to the programme is also sought from Paradigm.

Support Services

- 3.9 A project to increase parking for staff at KGVH has been proposed to increase the number of parking spaces available for staff at King George V House at an initial estimate of £80,000, and this is included in the programme provisional on a member decision to proceed.
- 3.10 As an outcome of the property condition survey, other works to KGVH need to be carried out to the value of £177k, over the next four years. These include replacement of flat roof, and skylight works, as well as replacement of boilers.

4 Commuted Sums Programme

- 4.1 In the context of capital investment it is important to include funding available from planning commuted sum agreements for affordable housing developments. Currently the commuted sum balance is:

	Balance as at 31.12.16
	£
s106 Affordable Housing - Conditional	1,783,519
s106 Affordable Housing - Unconditional	25,000
	1,829,146

- 4.2 These sums are applied in line with the Council’s Housing Strategy which sets out the range of options available to use these funds for the provision of affordable housing.

5 Review of Repairs & Renewals Programme

- 5.1 The Repairs & Renewals programme is shown in Appendix B, and comprises the following elements:

Depot: £100k in 2017/18 and £55k rising to £65k pa thereafter

- 5.2 There is an annual repairs and renewals allowance for works at the Depot. This provides flexibility for works to be carried out as and when required. In 2017/18 this has been increased to £100k to provide substantial work for drainage and hard surfacing.

Paper Sort Reinstatement £121k

- 5.3 If Serco vacate the Paper Sort, there is a legal requirement for CDC to restore this building back to its original state. At present this is a contingency amount as there are no immediate plans to vacate the facility.

KVHG Planned Maintenance Works £532k

- 5.4 As a result of a conditions survey, several areas have been identified as requiring works to KGVH. Primarily works to overhaul the windows, over and underground drainage and guttering, as well as, lighting and circuit improvements for statutory compliance.

Ashley Green Old School Community Centre £25k

- 5.5 Building and roof repairs are required to Ashley Green Old School Community Centre, and external and internal decoration over the course of the next two years.

Leisure Centres: £10k pa

- 5.6 To undertake small repairs and maintenance to the centres that cannot be funded from Capital. A further £60,000 has been included in 2020/21 for the regular 5 year condition survey.

IT Replacement Equipment/Alterations £30k pa

- 5.7 To provide various replacement or repairs to IT equipment.

6 Consultation

- 6.1 Consultation is with the Resources Overview Committee.

7 Corporate Implications

- 7.1 The Capital Programme has previously been financed from four sources, grants, capital receipts, and revenue reserves / contributions. However, from 2017/18 borrowing for new projects such as the Amersham Multi Storey Car Park may also be undertaken.

- 7.2 The table below shows the proposed funding of the programme set out in Appendix A.

Sources of Funding	Latest Budget 16/17 £	Original Budget 17/18 £	Original Budget 18/19 £	Original Budget 19/20 £	Original Budget 20/21 £
Housing subsidy re DFG's	545,252	545,000	545,000	545,000	545,000
Transformation for Mobile Working		80,000			
Paradigm re DFG's	90,000	90,000	90,000	90,000	90,000
s106 parking commuted sums	88,000	0	0	0	0
Borrowing for new projects		7,831,203	15,800,000	8,200,000	0
Capital Receipts / Capital Contributions	2,076,188	1,307,061	314,000	3,489,000	314,000

Total Funding	2,799,440	9,853,264	16,749,000	12,324,000	949,000
---------------	-----------	-----------	------------	------------	---------

7.3 The impact of funding the programme on available capital resources can be seen in the table below.

Capital Resources	Latest Budget 16/17 £	Original Budget 17/18 £	Original Budget 18/19 £	Original Budget 19/20 £	Original Budget 20/21 £
Opening Capital Resources	4,072,988	3,803,221	3,890,110	3,970,060	875,010
New Capital Receipts					
New General Capital Contributions	1,412,471	1,000,000			
New Capital Contributions -Vehicles	393,950	393,950	393,950	393,950	393,950
Use of Capital Receipts/ Contributions	-2,076,188	-1,307,061	-314,000	-3,489,000	-314,000
Closing Capital Resources	3,803,221	3,890,110	3,970,060	875,010	954,960

7.4 The programme in Appendix A covers the period until 2021. Over this period new calls for capital expenditure will arise linked to the Council's Business Plan and Financial Strategy.

7.5 Therefore to sustain the size of the programme and allow scope for new schemes, additional resources will need to be made available. The scope for generating significant new capital receipts is very limited; therefore, the Council will need to borrow to finance proposed capital projects. The capital programme is part of the Council's overall financial strategy, as the capital and revenue budgets are interlinked.

7.6 Separately the Council is also setting aside £395k each year for seven years up to 2020/21, towards replacing the refuse vehicle fleet.

8 Links to Council Policy Objectives

8.1 The Council's Code of Corporate Governance highlights the importance of having in place clearly documented processes for policy development, review and implementation, decision making, and monitoring and control. Following from this is the requirement for sound financial management, being able to demonstrate resources are aligned to the corporate priorities of the Council, and that any material risks are assessed. Having a medium term financial strategy is a key element in demonstrating this principle. Establishing a sound and sustainable financial base is important for delivering the Council's objectives.

9 Next Step

- 9.1 Following views by the Resources Overview Committee the report will be considered by the Cabinet prior to recommendation of a programme to Council in February 2017.

Background Papers:	None
---------------------------	------

CDC Capital Programme 2017/18 - 2020/21

Appendix A

CDC Capital Programme 2017/18 - 2020/21		Budget Manager	Project Manager	Latest Budget 16/17 £	Rephased to 17/18 £	Original Budget 17/18 £	Original Budget 18/19 £	Original Budget 19/20 £	Original Budget 20/21 £
<u>Environment</u>									
D013	Investment works at London Road Depot	Chris M	Linda N	0					
D021	Lords Mill Weir, Chesham	Chris M	David S	0	10,000				
-	Refuse Vehicles	Chris M	Sally G			200,000		3,150,000	
D012	Public convenience refurbishment	Chris M	Kevin K	47,384		15,000			
D303	Sycamore Road - Fencing Work	Chris M	Julia G	20,000					
D307	Shared Parking Service - ICES 360	Chris M	Julie R /Janine D	35,100					
D308	Sycamore Road - Additional parking spaces & resurfacing	Chris M	Louise D	125,794					
D309	Sprinter L C Prestwood - car park upgrade	Chris M	Louise D	216,563					
D300	AMSCP	Chris M	Linda N	600,390		8,061,610	800,000		
D305	Additional off street parking solutions	Chris M	Julie R	0	10,000				
D024	Mill Meadow Bridge - Major Works	Chris M	Julia G	25,000	344,000				
<u>Healthy Communities</u>									
D002	Town & Village Revitalisation	Martin H	Paul N	4,500		10,000	14,000	14,000	14,000
D007	Leisure Centres	Martin H		386,000		100,000	100,000	100,000	
	Leisure Centre - Redevelopment of Chiltern Pools	Martin H/Chris M					15,000,000	8,200,000	
D500-1	Disabled Facility Grants	Martin H		735,252		735,000	735,000	735,000	735,000
D502-5	Renovation Grants	Martin H		72,632		50,000	50,000	50,000	50,000
D503	Home Fitness Grant	Martin H		0					
D509	Flexible Home Loan Fund	Martin H		100,000		50,000	50,000	50,000	50,000
D508	Days Alms Houses - Grant	Martin H		100,000					
<u>Support Services</u>									
D600	MS Office Licenses (Triennial)	Sim D		56,873					
D621	Virtual environment upgrades	Sim D		25,000					
D620	IP telephony - core infrastructure	Sim D		13,227					
D626	Shared F&P Service - Uniform & FM System	Chris M		7,400					
D627	ICT Strategy Projects - Unified Network	Sim D		56,000					
D628	TCA Projects - Mobile Working	Sim D		0	80,000				
D619	TCA Projects - Channel Shift	Sim D		0	27,000				
D618	KGVH WIFI Replacement	Sim D		50,000					
D606	KGVH - Roofing and skylight works Block A	Chris M		0	8,654	52,000			
D629	KGVH - Undercroft Car Park Security Enhancements	Chris M		37,000					

	Chris M			80,000			
	Chris M					25,000	
D631	Chris M						100,000
	Sim D		35,325				
D900	-		50,000				
			2,799,440	479,654	9,353,610	16,749,000	12,324,000
							949,000

CDC R&R Programme 2017/18 - 2020/21		Budget Manager	Project Manager	Rephased to 17/18 £	17/18 Budget £	18/19 Budget £	19/20 Budget £	20/21 Budget £
<u>Environment</u>								
J116	Depot - Annual Allocation	Chris M	-		100,000	55,000	60,000	65,000
J102	Depot: Papersort facility reinvestment fund	Chris M	-	121,000				
	KGVH - Planned Maintenance Works	Chris M			233,000	100,000	100,000	100,000
	Ashley Green Old School Community Centre - Building Repairs	Chris M			15,400	9,700		
<u>Support Services</u>								
J700	IT: Replacement equipment/alterations	Sim D			30,000	30,000	30,000	30,000
<u>Community, Health & Housing</u>								
J200	Leisure Centres -	Martin H	-		10,000	10,000	70,000	10,000
				121,000	388,400	204,700	260,000	205,000

The R&R programme is funded from the earmarked reserve created for the purpose of funding this expenditure. At the end of 2016/17 the reserve is estimated to stand at £428,597.

CHILTERN DC CAPITAL STRATEGY

Purpose

The Capital strategy for the authority is intended to describe how the authority will use and manage its capital resources to progress the council's key priorities.

Key Priorities of the Strategy

The key Council priorities are as follows.

Key Priority	Comment
<ul style="list-style-type: none"> Financial Stability & Resilience 	Eliminating the funding gap Growing income base Funding only from Business Rates, Council Tax and Fees & charges and rents Reserves to buffer recession effects Reserves for specific major projects Funding investment (Prudential Borrowing) Continuing efficient and effective use of resources Strong cost control
<ul style="list-style-type: none"> Local Housing needs 	Temporary accommodation supply Affordable housing supply Use of s106 funds
<ul style="list-style-type: none"> Parking Strategy 	Focus initial on Amersham issues (AMSCP).
<ul style="list-style-type: none"> Maximising use of Property Assets 	Amersham site (Pool & KGVH)
<ul style="list-style-type: none"> Leisure Strategy 	Implementing outcomes of leisure needs survey, especially in respect of Amersham site
<ul style="list-style-type: none"> Supporting local businesses 	Broadband extension and development Skills agenda Progression the economic development strategy Encourage tax base growth
<ul style="list-style-type: none"> The local environment 	HS2 mitigation Local Plan work
<ul style="list-style-type: none"> Joint Working incl Transformation 	Stronger in Partnership Programme Office Accommodation plans

Key Documents Influencing the Capital Strategy

The Strategies influencing the Capital Strategy are.

- Asset Management Plan (including outcomes of Strategic Asset Review)
- Housing Strategy
- ICT Strategy

The Asset Management Plan will set out how the Council will use its assets to optimise revenue, create income streams, for the Council. It is informed by the outcomes of the Strategic asset Review undertaken in 2016.

Principles

The key principles underpinning the strategy are:

- Using capital resources to support the Council's key priorities.
- Managing the revenue implications of the capital programme.
- Having in place project management to enable effective delivery of objectives and manage risk.
- Optimise the use of Council capital and asset resources

Financing

The Strategy will be financed using the following funding sources:

- Prudential Borrowing
- Capital Receipts
- Earmarked revenue funds
- Leasing
- Joint ventures or other forms of partnerships

Prudential borrowing will generally be used for large projects, and those where detailed business cases have been prepared.

Capital receipts are not expected to be a material part of the capital programmes funding as the Council does not have plans to dispose of surplus assets to generate capital resources, and it does not have a significant level of unapplied capital receipts. .

The Council has earmarked from its revenue reserves sums to finance specific projects such as those associated with the Leisure Strategy, and the delivery of affordable housing. There is also funding available from contributions received under planning agreements (s106 agreements). In addition to these it has a Repair & Renewals earmarked reserve that primarily is applied to fund minor building projects related to the Council offices or the Depot.

Leasing will be considered for vehicles and plant that will need to be periodically replaced and the cost of leasing is comparable with the Council financing the asset itself

For certain projects it may be appropriate for the Council to consider a joint venture arrangement where risk and reward is shared, or where an external partner would enable a project to proceed, which otherwise would not be possible.

Governance

Roles and Responsibilities

Members

Members have the responsibility for agreeing the key aims and priorities of the authority. They also need to ensure that adequate resources are in place to support the delivery of the priorities, and that the authority has a sound system for financial management and control.

Managers

Managers responsible for services or groups of services have the requirement to set out through their Service plans and budgets how they will progress the Council's aims in the areas under their control. They will be required to identify clearly the resource implications and any risks or dependencies associated with their Service plan. Value for money, customer views and efficiency will feature in their service planning. If required by the Council's overall financial position managers will be required to identify savings options, but these should aim to minimise as far as possible the impact on the Council's key priorities. They will follow the authority's procedures for financial management and control. This includes monitoring their budgets in accordance to the requirements of the authority's budget monitoring processes.

s151 Officer

The designated s151 officer has the responsibility to ensure members and officers are provided with the appropriate financial advice and information to support their service and financial planning, and this includes identifying the key financial risks facing the authority. The role also has responsibility for ensuring managers have the appropriate support to manage their budgets. The post is responsible for ensuring adequate financial systems and controls are in place to manage the authority's financial affairs.

Project Management

The capital schemes comprising the strategy will be managed in accordance with the Council's project management methodology. This means that:

- All projects will have an identified sponsor and project manager
- Project initiation documents will be in place identifying clearly the intended outcomes, timescales and risks.
- Major investment projects will be supported by option appraisals and business cases.

Where the Council decides to undertake external financing of investment projects it will ensure this is based on the requirements of the Prudential Code¹. The Treasury Management Strategy will be reviewed annually, and will set out the Prudential Indicator's for the authority in order to demonstrate the affordability of any borrowing undertaken.

Any procurements undertaken will comply with the Council's procurement rules and Contract Standing Orders.

Review of the Strategy

The principles and key elements of the Strategy should not change significantly from year to year, other than to adjust for any new supporting policies or strategies that may have been developed. The detail of the strategy will be reviewed annually in the light of the progress of the programme and available resources.

Capital Strategy 2017 - 2022

The Council's Capital Programme contributes to its overall financial strategy by including projects that will increase the Council's income and the use of a number of key assets. Where substantial investment is required this will be financed by prudential borrowing following the approval of business cases. For planning purposes an initial estimate has been made of the level of investment this programme might require.

The programme includes two significant projects for the expansion of the Council's main car park in Amersham, and the redevelopment of the Chiltern Pools site to replace the current facility which is at the end of its useful life with a development shaped by a review of the leisure needs of the area. The majority of the costs of these projects are anticipated to be finance by prudential borrowing, but some of the preparatory work related to the Chiltern Pools project will be met from an earmarked revenue reserve.

Housing grants are anticipated to form a significant part of the programme for a number of years with funding largely coming via the Better Care fund administered by the Adult Health & Wellbeing Board for Buckinghamshire.

In 1920/21 the Council will need to consider the replacement of the refuse fleet. This will be tied in with retendering the current contract, and at that stage an evaluation will be undertaken whether to lease or acquire any new vehicles required under the contract.

Finally there is the maintenance of existing assets which comprises projects of varying scales. The projects fall under the following main groupings.

- King George V House offices

¹ Prudential Code for Capital Finance in Local Authorities issues by CIPFA.

- The Council Depot at London Road
- Leisure Centres
- ICT infrastructure
- Car parks

This maintenance expenditure is primarily met as part of a Repairs and Renewal Programme, which is funded from a revenue reserve established for this purpose. Very large projects, or projects to expand or add new facilities would be funded separately.

The overall size of the programme over time will be affected primarily by the ability of the revenue budget to support the cost of financing new investment by prudential borrowing as the Council's asset strategy does not envisage any significant asset disposals. It is important for the Council's overall Medium Term Financial Strategy that the significant projects designed to generate income achieve their objectives.

Director of Resources
December 2016

DEFINITION OF CAPITAL EXPENDITURE INCLUDED IN THE CODE OF PRACTICE ON LOCAL AUTHORITY ACCOUNTING IN THE UNITED KINGDOM

All expenditure that can be directly attributed to the acquisition, creation or enhancement of items of property, plant and equipment or the acquisition of rights over certain longer-term intangible benefits is accounted for on an accruals basis and capitalised as a non-current asset. It must be probable that the future economic benefits or service potential associated with the item will flow to the Council - the Council does not have to own the item but it must be more than likely that it has gained the right to use the item in the provision of services or to generate cash from it. In addition it must be possible to measure the cost of the item reliably.

Expenditure that should be capitalised will include expenditure on the:

- Acquisition, reclamation or laying out of land
- Acquisition, construction, preparation, enhancement or replacement of roads, buildings and other structures
- Acquisition, installation or replacement of movable or immovable plant, machinery, apparatus, vehicles and vessels

In this context, the definition of enhancement contained in the previous Code of Practice (SORP) is still applicable and means the carrying out of works which are intended to:

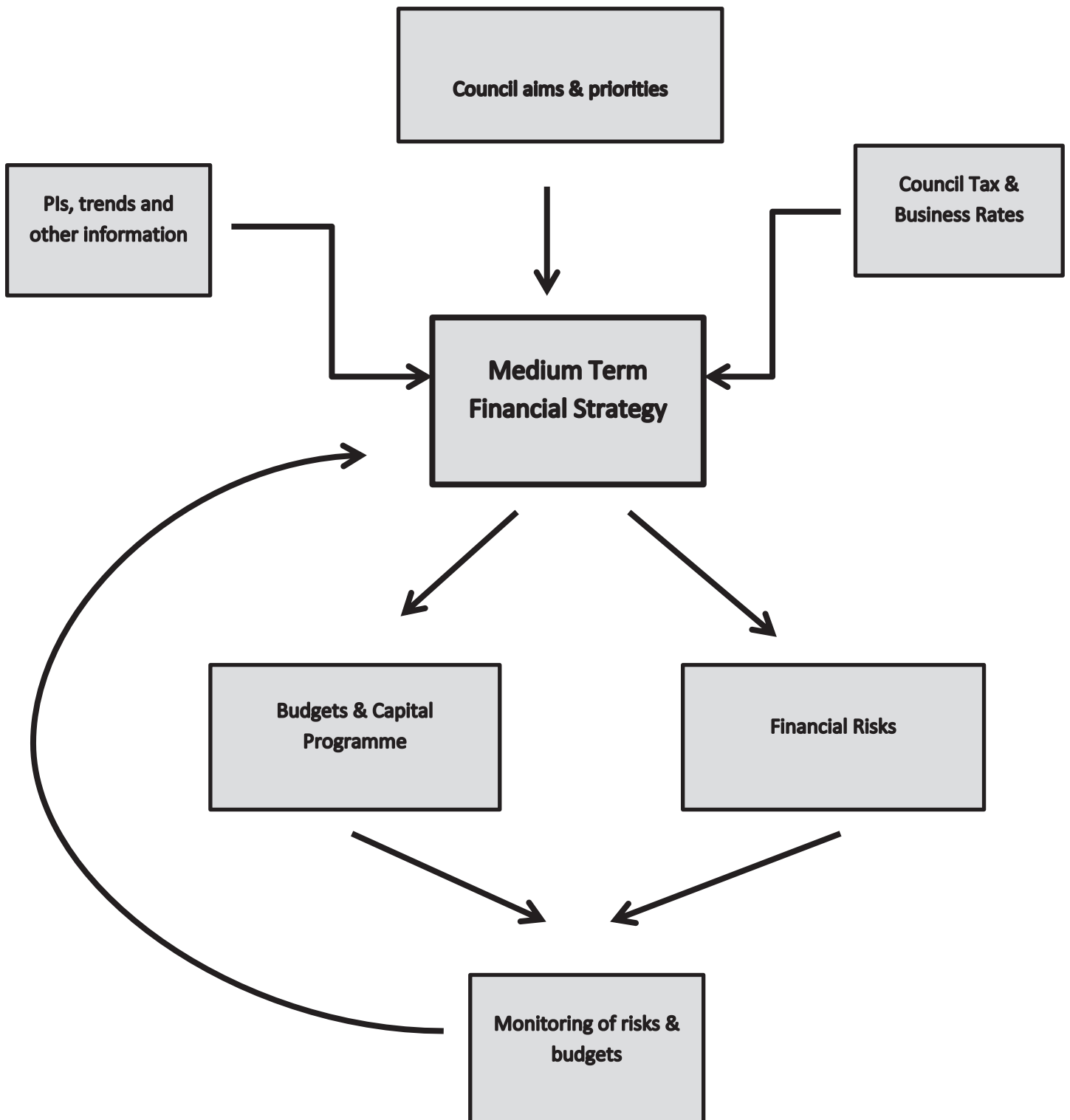
- Lengthen substantially the useful life of the asset, or
- Increase substantially the market value of the asset, or
- Increase substantially the extent to which the asset can or will be used for the purpose or in conjunction with the functions of the local authority concerned.

Under this definition, improvement works and structural repairs should be capitalised, whereas expenditure to ensure that the fixed asset maintains its previously assessed standard of performance should be recognised in the revenue account as it is incurred.

Expenditure on existing fixed assets should be capitalised in three circumstances:

- Enhancement - see above
- Where a component of the fixed asset that has been treated separately for depreciation purposes and depreciated over its individual useful life is replaced or restored
- Where the subsequent expenditure relates to a major inspection or overhaul of a fixed asset that restores the benefits of the asset that have been consumed by the authority and have already been reflected in depreciation

Assets acquired on terms meeting the definition of a finance lease should be capitalised and included together with a liability to pay future rentals. Where an asset is acquired for other than cash consideration or where payment is deferred the asset should be recognised and included in the balance sheet at fair value.



SUBJECT:	Treasury Management Strategy 2017/18
REPORT OF:	Support Services Portfolio Holder – Cllr M Stannard
RESPONSIBLE OFFICER	Director of Resources
REPORT AUTHOR	Helen O'Keeffe, Principal Accountant, hokeeffe@chiltern.gov.uk , 01494 732781
WARD/S AFFECTED	All

1. Purpose of Report

- 1.1 To advise the Portfolio Holder on the Treasury Management Strategy and related policies that should be adopted by the Council for 2017/2018.

RECOMMENDATION

The Resources Overview Committee is requested to:

Advise the Portfolio Holder on the Treasury Management Strategy to **recommend** to Cabinet and Council, including approving the following appendices to the Annual Investment Strategy (Appendix 1):

- Appendix 1A - Annual Investment Strategy Policies
- Appendix 1B - Prudential Indicators including the borrowing limits
- Appendix 1C - the MRP method to be used in 2017/18.

2. Executive Summary

- 2.1 The Council is required to formally review its treasury management policies each year as part of determining what level of returns will be achieved from investments. The format of the treasury management policies is defined by the Code of Practice adopted by the Council, and is required to be approved by the Council on recommendation from the Cabinet.
- 2.2 The treasury management policies underpin the strategy for the year in question, which seek to achieve a level of investment return and efficiently manage any borrowing. For 2017/18 there will be a significant change in strategy as it will be necessary to borrow funds to facilitate the planned capital programme. The Council has been debt free for many years so this represents a substantial change in approach.

3. Background

- 3.1 The Council adopted the CIPFA code of practice on Treasury Management in June 2002, which includes the creation of a Treasury Management Strategy, which sets out the policies, and objectives of the Council's treasury management activities for the year ahead.

4. Treasury Management Strategy 2017/18

4.1 The Treasury Management Strategy 2017/18 is attached as Appendix 1. In essence the proposed strategy is as follows, and makes appropriate recognition of the Government's advice to prioritise security and liquidity over returns.

- Borrowing will be required in order to deliver the planned capital programme, and therefore in order to undertake prudential borrowing the Council needs to update its Treasury Management Strategy. Borrowing will be entered into once significant capital projects have been approved.
- Cash is unlikely to be available for investment over longer time periods.
- Interest rates are expected to remain low, and it will be challenging to achieve high investment returns.
- The expected return for 2017/18 from the proposed strategy is £100,000.

5. Consultation

5.1 Consultation is with the Resources Overview Committee within the framework set by the Code of Practice.

6. Options

6.1 The framework set by the Code of Practice means that options effectively relate to the judgements and risk assessments made when finalising the Strategy around likely returns, counterparty risks, and liquidity issues related to the level of available cash balances.

7. Corporate Implications

7.1 The budget for investment interest was set at £140,000 for 2016/17. The current estimated investment return shows that the budget is likely to be exceeded by a modest amount.

7.2 Budgeted investment income in 2017/18 is based on interest rates remaining below 1%. Although borrowing will not be undertaken in advance of need, there will be some short term timing differences where funds will be borrowed and not yet required for the payment of suppliers. Any surplus funds will be invested on a short term basis until they are required.

7.3 Based upon the recommendations outlined in the Treasury Management Strategy the estimated investment return for 2017/18 is £100,000.

7.4 This target for investment income reflects the latest forecasts for interest rates. It is regarded as realistic and achievable. Loss of £44K of investment income is equal to £1 Council Tax on a band D property.

7.5 As with any budget based on forecasts of future interest rates there is a risk of variation due to factors outside of the Council's control. This risk will need to be taken into account in determining the level of reserves held by the Authority.

7.6 The Local Government Act 2003 requires the Council to have regard to the Prudential Code and to set Prudential Indicators for the next 3 years to ensure that the Council's capital investments plans are affordable, prudent and sustainable.

7.7 The Act requires the Council to set out its Treasury Strategy and to prepare an Annual Investment Strategy which sets out the Council's policies for managing its investments and for giving priority to the security and liquidity of those investments.

7.8 It is a statutory requirement under section 33 of the Local Government Finance Act 1992, for the Council to produce a balanced budget. In particular, section 32 requires a local authority to calculate its budget requirements for each financial year to include the revenue costs that flow from capital financing decisions. This, therefore, means that increases in capital expenditure must be limited to a level whereby increases in charges to revenue from:

- loss of investment interest caused by the use of capital receipts to finance additional capital expenditure.
- any increases in running costs from new capital projects.
- any interest payable on loans

are limited to a level which is affordable within the projected income of the Council for the foreseeable future as part of the Council's overall Medium Term Financial Strategy.

7.9 The CLG's investment guidance states that authorities could combine the Treasury Strategy Statement and the Annual Investment Strategy (AIG) into one report. The Treasury Management Strategy 2017/18 document is attached to this report (Appendix 1).

8. Links to Council Policy Objectives

8.1 The Council's Treasury Management Strategy is a key element to the overall Medium Term Financial Strategy.

9. Next Step

9.1 Following views from the Resources Overview Committee, the Strategy will be considered by the Cabinet in February. Cabinet will then recommend to the Council the Strategy.

9.2 The implementation and monitoring of the strategy and policy will be undertaken by reports to Cabinet.

Background Papers:	None
---------------------------	------

Chiltern District Council
Treasury Management Strategy
2017/2018

1. Background

- 1.1. The Council adopted the CIPFA code of practice on Treasury Management in June 2002, which includes the creation of a Treasury Management Strategy, which sets out the policies, and objectives of the Council's treasury management activities for the year ahead. The key requirements of the latest version of the Code are detailed below.
- a) All councils must formally adopt the Code and four clauses, these are shown in Appendix 1A which also sets out the scheme of delegation and the treasury management role of the section 151 officer.
 - b) The strategy report will affirm that the effective management and control of risk are prime objectives of the Council's treasury management activities. This is consistent with the approach always adopted by this Council.
 - c) The Council's appetite for risk must be clearly identified within the strategy report and will affirm that priority is given to security of capital and liquidity when investing funds and explain how that will be carried out.
 - d) Responsibility for risk management and control lies within the organisation and cannot be delegated to any outside organisation. This is something the Council has always been very clear about, in that whilst it uses advisers and external sources of information, that it is the officers and Members of the authority who are accountable for policy and decisions.
 - e) Credit ratings should be used as a starting point when considering risk. Use should also be made of market data and information, the quality financial press, information on Government support for banks and credit ratings of that Government support.
 - f) Councils need a sound diversification policy with high quality counterparties and should consider setting country, sector and group limits.
 - g) Borrowing in advance of need is only to be permissible when there is a clear business case for doing so and only for the current capital programme. The Council has been debt free for a number of years. However, planned capital projects over the next few years will mean that the Council will need to borrow funds. This will enable major capital projects to be undertaken which would otherwise not be affordable.
 - h) The main annual treasury management reports must be approved by full Council.
 - i) There needs to be, at a minimum, a mid-year review of treasury management strategy and performance. This is intended to highlight any areas of concern that have arisen since the original strategy was approved. For Chiltern this requirement is met by the regular reports to the Cabinet.
 - j) Each council must delegate the role of scrutiny of treasury management strategy and policies to a specific named body. For Chiltern this is carried out by the Resources Overview Committee.

- k) Treasury Management performance and policy setting should be subjected to prior scrutiny. This is achieved via the regular discussions on Treasury Management at the Resources Overview..
- l) Members should be provided with access to relevant training. The Council's treasury management advisers provided training most recently in September 2015 which outlined relevant legislation, the Code of Practice, Members' responsibilities and operational issues.
- m) Those charged with governance are also personally responsible for ensuring they have the necessary skills and training.
- n) Responsibility for these activities must be clearly defined within the organisation.
- o) Officers involved in treasury management must be explicitly required to follow treasury management policies and procedures when making investment and borrowing decisions on behalf of the Council.
- 1.2. This strategy statement has been prepared in accordance with the Code. As in previous years the Council's Treasury Management Strategy will be approved annually by the full Council. In addition there will also be regular monitoring reports to Resources Overview, one of which will be the annual report. In addition the Support Services Portfolio Holder will be emailed each month with information showing where the Council's investment portfolio has been invested. The aim of these reporting arrangements is to ensure that those with ultimate responsibility for the treasury management function appreciate fully the implications of treasury management policies and activities, and those implementing policies and executing transactions have properly fulfilled their responsibilities with regard to delegation and reporting.
- 1.3. The Council will adopt/reaffirm the following reporting arrangements in accordance with the requirements of the revised Code:-

Area of Responsibility	Reporting Arrangements	Frequency
Treasury Management Policy	Cabinet/Council	Reviewed annually.
Treasury Management Strategy Annual Investment Strategy MRP policy	Cabinet/Council	Annually before the start of the financial year
Treasury Management Strategy Annual Investment Strategy MRP policy – in year report	Cabinet	Appropriate report to Cabinet
Treasury Management Strategy Annual Investment Strategy MRP policy – updates or revisions at other times	Cabinet/Council	As appropriate
Annual Treasury Outturn Report	Cabinet/Council	Annually by 30 th September after the end of the year
Monitoring Reports	Cabinet	Regularly

Investment Portfolio Detail	Support Services Portfolio Holder	Monthly
Scrutiny of treasury management strategies & performance	Resources Overview Committee	Ongoing but with particular focus when considering annual Strategy

- 1.4. The Local Government Act 2003 and supporting regulations requires the Council to have regard to the CIPFA Prudential Code and the CIPFA Treasury Management Code of Practice to set Prudential and Treasury Indicators for the next three years to ensure that the Council's capital investments plans are affordable, prudent and sustainable. These indicators are especially relevant now that the Council is proposing to undertake borrowing to finance a number of significant projects.
- 1.5. The Act requires the Council to set out its Treasury Strategy and to prepare an Annual Investment Strategy which sets out the Council's policies for managing its investments and for giving priority to the security and liquidity of those investments.
- 1.6. It is a statutory requirement under section 33 of the Local Government Finance Act 1992, for the Council to produce a balanced budget. In particular, section 32 requires a local authority to calculate its budget requirements for each financial year to include the revenue costs that flow from capital financing decisions. This, therefore, means that increases in capital expenditure must be limited to a level whereby increases in charges to revenue from:
- Loss of investment interest caused by the use of capital receipts to finance additional capital expenditure
 - Any increases in running costs from new capital projects
 - Any interest payable on loans
- are limited to a level which is affordable within the projected income of the Council for the foreseeable future.
- 1.7. The Council employs Capita Asset Services, Treasury Solutions for treasury management information services. The Council recognises that responsibility for treasury management decisions remains with the organisation at all times and will ensure that undue reliance is not placed upon external service providers. The external treasury management service does not recommend specific strategies for authorities as they are not investment managers, but aim to ensure authorities take relevant matters into consideration and identify investment options to possibly consider. It is recognised that there is value in employing an external organisation in order to access specialist skills and resources. This was exemplified by the joint member briefing undertaken in September 2015. The Council contract with Capita Asset Services is a joint one with South Bucks District Council. The contract has been renewed with effect from 1 January 2017 to 31 December 2019.

2. Prospects for Interest Rates and Economic Background

- 2.1. Part of the service provided by the Council's treasury management advisers is to assist the Council to formulate a view on interest rates. The following table gives the Capita Asset Services central view on the bank rate and short term money rates.

	2017				2018		2019
	Q1	Q2	Q3	Q4	Q1	Q4	Q4
Bank Rate	0.25%	0.25%	0.25%	0.25%	0.25%	0.75%	0.75%
3 M LIBID	0.30%	0.30%	0.30%	0.30%	0.30%	0.40%	0.80%
6M LIBID	0.40%	0.40%	0.40%	0.40%	0.40%	0.50%	0.90%
12M LIBID	0.70%	0.70%	0.70%	0.70%	0.70%	0.90%	1.30%

2.2. From an economic perspective the key points that can influence the Investment Strategy are as follows:

- Political developments in the UK, especially over the terms of Brexit.
- The impact of the US election result on the US economy. If the Trump package of policies is implemented, there is likely to be an increase in inflationary pressures which could then mean that the pace of further Fed. Rate increases will be quicker and stronger than formerly expected.
- Although there is normally a high degree of correlation between the Fed. Rate and the UK Bank Rate, it is anticipated that the Fed. Rate will increase more quickly and more strongly than the UK Bank Rate.

2.3. The Bank of England has also indicated that when interest rates do start to rise it will be a slow and incremental process. It is therefore unlikely in the medium term that cash investment returns will increase significantly from current levels.

3. Achieving the Investment Target in 2017/18

3.1. As part of its medium term financial strategy the Council is seeking to maximise its investment income with acceptable levels of risk.

3.2. It is clear that continuing with short term cash investments will provide returns of at best 1.0% over the next year or so. To achieve higher levels of returns would involve:

- Investing for longer periods, i.e. 3 years or longer.
- Investing in non cash based instruments, i.e. property or corporate bond funds.

3.3. The following table illustrates the estimated investment interest for 2017/18.

	Credit Rating	Amount Loaned	Interest Rate	Matures	Interest 17/18	New Inv 17/18 (1%)
Bank of Scotland/Lloyds	A+	1,000,000	1.00%	Nov-17	6,027	3,333
Bank of Scotland/Lloyds	A+	1,000,000	1.55%	Jun-17	2,675	7,500
Bank of Scotland/Lloyds	A+	1,000,000	1.05%	Jul-17	3,395	6,667

Classification: OFFICIAL

Nationwide	A	1,000,000	0.95%	May-17	1,275	8,333
Nationwide	A	1,000,000	0.60%	Apr-17	460	9,167
Nationwide	A	1,000,000	0.60%	Oct-17	3,074	4,167
Santander	A	1,000,000	1.00%	Jun-17	2,219	7,500
Close Brothers	A	1,000,000	1.60%	Oct-17	8,592	4,167
Close Brothers	A	1,000,000	1.00%	Feb-18	9,151	833
Total		9,000,000			36,868	51,667
Short term		10,000,000	0.30%		30,000	
Total		19,000,000			66,868	51,667
Total interest forecast 2017/18						118,535

3.4. However, owing to the Council's capital spending plans it is unlikely that cash will be available for investment over longer time periods.

3.5. The following table illustrates the timescale for maturity of current investments.

Schedule of Maturing Investments

Year	Month	Amount	Cumulative
Instant MMF		10,000,000	10,000,000
2016/17	Mar	2,000,000	12,000,000
2017/18	Apr	1,000,000	13,000,000
	May	1,000,000	14,000,000
	Jun	2,000,000	16,000,000
	Jul	1,000,000	17,000,000
	Oct	2,000,000	19,000,000
	Nov	1,000,000	20,000,000
	Feb	1,000,000	21,000,000
		21,000,000	

3.6. The strategy needs to consider risk and this includes avoiding placing too much of the total investments with a single fund or institution.

3.7. The table below shows the proposed counterparty investments matrix for investments in 2017/18. There have been some amendments to the matrix to increase the maximum amounts which can be invested and the duration of investments. This is as a result of there being fewer suitable counterparties available with whom to place investments and greater funds being available to invest at the beginning of the year. Increasing these limits will allow greater flexibility to achieve the best available rates.

	Duration	Maximum Amount	Fitch Rating	Comment
Money Market Funds	-	£5m	AAA	
UK Institutions	Up to 5 years	£5m	A- or better	
	Up to 3	£5m	BBB+ or better	

	years			
Non UK Institution	Up to 3 years	£2m	A- or better	Sovereignty rating AA or better
Gilts / Corporate Bonds / Bond Funds	Up to 5 years	£5m	A- or better	
Other Approved Investments (eg Property Funds)	-	£5m	-	

4. Borrowing Strategy

- 4.1 The Treasury Management Strategy for 2017/18 reflects a shift in strategy from Chiltern being a debt free Authority to an Authority which will undertake borrowing to enable some significant capital projects to be undertaken. Potentially in 2017/18 the Council could undertake borrowing of up to £8m. The change in strategy is described in more detail in the Council's Capital Strategy which is being updated as part of the overall 2017/18 budget setting process.
- 4.2 In order to undertake borrowing the Council must demonstrate its compliance with the Prudential Borrowing Code. The purpose of the Code is to establish the framework for local authority to ensure:
- Capital expenditure plans are affordable (Medium Term Financial Strategy and Capital Strategy)
 - External borrowing and long term liabilities are prudent and sustainable (Medium Term Financial Strategy)
 - Treasury management decisions are in accordance with good professional practise (Treasury Management Strategy)
 - The local authority is accountable and its decisions clear and transparent (Code of Corporate Governance)
- 4.3 The capital expenditure plans set out in Appendix 1B provide details of the planned expenditure of the Council. The treasury management function ensures that the Council's cash is organised in accordance with the relevant professional codes, so that sufficient cash is available to meet this expenditure. This will involve both the organisation of the cash flow and, where capital plans require, the organisation of appropriate borrowing facilities.
- 4.4 The Council will not borrow more than or in advance of its needs purely in order to profit from the investment of the additional sums borrowed. However, it is possible that there will be some short term timing differences where funds are borrowed in order to pay suppliers' invoices for capital projects. This may result in the Council holding cash surpluses until the project is complete, which will be invested until required for the payment of suppliers.
- 4.5 Borrowing will only be entered into once the larger capital projects have received approval from Members to commit following appropriate feasibility and preparation work. The

Director of Resources will determine the optimum time to borrow taking into account current and forecast interest rates.

- 4.6 The Local Government Act 2003 sets out the new capital regulations and specifies that local authorities must comply with the Prudential Code produced by CIPFA. The Council has a duty to determine an affordable borrowing limit. It is recommended that Members approve an authorised borrowing limit of £13 million and an operational borrowing limit of £10 million, these together with other prudential indicators that the Council are required to set under the code are shown at Appendix 1B, and Appendix 1C covers the technical requirement in respect of calculating the minimum revenue provision.

5. Financial Summary & Risks

- 5.1. The budget for investment interest was set as £140,000 for 2016/17. Current estimates show that the budget is likely to be exceeded by a modest amount.
- 5.2. The estimated investment return for 2017/18 is £100,000, which reflects the latest forecasts for interest rates. Loss of £44,000 of investment income is equal to £1 council tax on a band D property.
- 5.3. The cost of borrowing is estimated at 2.5%. There is clearly some sensitivity around this if the interest rate should change. A 1% increase in borrowing rates would increase interest rate costs by £10,000 per £1m of borrowing.
- 5.4. As with any budgets based on forecasts of future interest rates there is a risk of variation due to factors outside of the Council's control. This risk will need to be taken into account in determining the level of revenue reserves held by the authority.

Appendices

1A – Annual Investment Strategy

1B – Prudential Indicators

1C – Minimum Revenue Provision

CHILTERN DISTRICT COUNCIL**Annual Investment Strategy 2017-18**

1. This Council has regard to the DCLG's Guidance on Local Government Investments and the 2011 revised CIPFA Treasury Management in Public Services Code of Practice and Cross Sector Guidance Notes. The Council's investment priorities will be security first, liquidity second and then return.
2. This Annual Investment Strategy states which investments the Council may use for the prudent management of its treasury balances during the financial year under the heads of Specified Investments and Non-Specified Investments. These are listed in Schedules A and B.
3. The policies underpinning the investment strategy for managing investments and for giving priority to the security and liquidity of those investments are set out in this document.

Treasury Management Policy Statement**4. Definition**

The Council defines its treasury management activities as

"The management of the Authority's investments and cash flows, its banking, money market and capital market transactions; the effective control of risks associated with those activities; and the pursuit of optimum performance consistent with those risks."

5. Risk Management

The Council regards the successful identification, monitoring and control of risk to be the prime criteria by which the effectiveness of its treasury management activities will be measured.

Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications for the organisation.

6. Value for Money

The Council acknowledges that effective treasury management will provide support towards the achievement of its business and service objectives. It is therefore committed to the principles of achieving value for money in treasury management and to employing suitable comprehensive performance techniques, within the context of effective risk management.

7. Borrowing Policy

The Council values revenue budget stability and will therefore borrow the majority of its long-term funding needs at long-term fixed rates of interest.

The Council will set an affordable borrowing limit each year in compliance with the Local Government Act 2003, and will have regard to the CIPFA Prudential Code for Capital Finance in Local Authorities when setting that limit. It will also set limits on its exposure to changes in interest rates and limits on the maturity structure of its borrowing in the annual Treasury Management Strategy report.

Classification: OFFICIAL

8. **Investment Policy**

The general policy objective for this Council is the prudent investment of its treasury balances. The Council's investment priorities are the security of capital and liquidity of its investments. The Council will aim to achieve the optimum return on its investments commensurate with the proper levels of security and liquidity, and in an ethical manner that does not put the Council's reputation at risk. Investment of the Council's funds will be in accordance with the Treasury Management Strategy and Policy. All investments will be in sterling. The DCLG maintains that the borrowing of monies purely to invest or on-lend and make a return is unlawful and this Council will not engage in such activity.

CIPFA Treasury Management Code of Practice

9. The CIPFA Code of Practice on Treasury Management in Local Authorities was last revised in 2009.
10. CIPFA recommends that all public service organisations adopt, as part of their standing orders, financial regulations, or other formal policy documents appropriate to their circumstances, the following.
 1. This organisation will create and maintain, as the cornerstone for effective treasury management:
 - a treasury management policy statement, stating the policies, objectives and approach to risk management of its treasury management activities.
 - suitable treasury management practices (TMPs), setting out the manner in which the organisation will seek to achieve those policies and objectives, and prescribing how it will manage and control those activities.

The content of the policy statement and TMPs will follow the recommendations contained in Sections 6 and 7 of the Code, subject only to amendment where necessary to reflect the particular circumstances of this organisation. Such amendments will not result in the organisation materially deviating from the Code's key principles.

2. This Council will receive reports on its treasury management policies, practices and activities, including, as a minimum, an annual strategy and plan in advance of the year, a mid-year review and an annual report after its close, in the form prescribed in its TMPs.
3. This organisation delegates responsibility for the oversight and regular monitoring of its treasury management policies and practices to the Support Services Portfolio Holder, and for the implementation and administration of treasury management policy and decisions to the Director of Resources, who will act in accordance with the organisation's policy statement and TMPs and, as a CIPFA member, CIPFA's Standard of Professional Practice on Treasury Management.

The Treasury Management Role of the Section 151 Officer – Director of Resources

Classification: OFFICIAL

Classification: OFFICIAL

11. The responsibilities are summarised as follows.
 - Recommending clauses, treasury management policy/practices for approval, reviewing the same regularly, and monitoring compliance.
 - Submitting regular treasury management reports.
 - Submitting budgets and budget variations in respect of treasury management activities.
 - Receiving and reviewing treasury management information reports.
 - Reviewing the performance of the treasury management function.
 - Ensuring the adequacy of treasury management resources and skills, and the effective division of responsibilities within the treasury management function.
 - Ensuring the adequacy of internal audit, and liaising with external audit.
 - Recommending the appointment of external service providers or advisors.

Specified and Non-Specified Investments

12. Specified investments identify investments offering high security and high liquidity which can be used with minimal procedural formalities. All these investments should be in sterling and with a maturity of no more than a year.
13. Any investment not meeting the definition of a specified investment is classed as non-specified. The Council does not intend to make any investments denominated in foreign currencies, or any with low credit quality bodies. Non-specified investments will therefore be limited to long-term investments.
14. The use of non-specified investments is limited to those set out in Schedule B. The Principal Accountant – Capital & Treasury will keep the use of such investments under continuous review in the light of risk (including reputational risk), liquidity and return. No additions will be made without the approval of the Council.

Security of Capital: The use of Credit Ratings

15. This Council relies on credit ratings published by Fitch (Standard and Poor's for Money Market Funds where applicable) to establish the credit quality of counterparties and investment schemes. The Council determines the appropriate credit ratings it deems to be sufficiently high for each category of investment. The 2017/18 counterparty credit matrix for investments is as follows:

	Duration	Maximum	Fitch	Comment
--	----------	---------	-------	---------

Classification: OFFICIAL

Classification: OFFICIAL

		Amount	Rating	
Money Market Funds	-	£5m	AAA	
UK Institutions	Up to 5 years	£5m	A- or better	
	Up to 3 years	£5m	BBB+ or better	
Non UK Institution	Up to 3 years	£2m	A or better	Sovereignty rating AA or better
Corporate Bonds/Bond Funds	Up to 5 years	£5m	A- or better	
Other Approved Investments (eg Property Funds)	-	£5m	-	-

Monitoring of credit ratings:

- The Council has access to Fitch credit ratings and is alerted to changes through its use of its treasury management advisor's website and email alerts. These ratings cover both the specific financial institution but also the credit rating for the country in which the institution is incorporated.
- If a counterparty's or investment scheme's rating is downgraded with the result that it no longer meets the Council's minimum criteria, the further use of that counterparty/investment scheme as a new investment will be withdrawn immediately. The Council will also immediately inform any external fund manager that it may decide to use of the withdrawal of the same.
- The Council will establish with any fund manager that it may decide to use their credit criteria and the frequency of their monitoring of credit ratings so as to be satisfied as to their stringency and regularity.

Monitoring of Reputational Risk Issues

16. This will be undertaken by monitoring the financial press and media to identify any issues in respect of the non-public sector investments held by the Council, and where appropriate seeking advice from external sources.

Investment Balances / Liquidity of Investments

17. A prime consideration in the investment of fund balances is liquidity and the Council's forecast cash flow. Any in-house investment of more than three months needs the approval of the Director of Resources or the Head of Finance. If the Council were to choose to use the services of a cash fund manager duration limits will be specified in the contract.

Classification: OFFICIAL

Classification: OFFICIAL

Provisions for Credit Related Losses

18. If any of the Council's investments appears at risk of loss due to default the Council will make revenue provision of an appropriate amount, or follow any guidance issued by Government in such circumstances.
19. Any cash fund manager appointed by the Council will manage the funds on a discretionary basis. The fund management agreement between the Council and the manager would formally document the instruments that could be used within pre-agreed limits. The fund manager would use the Council's credit rating criteria.

End of Year Investment Report

20. At the end of the financial year, the Council will prepare a report on its investment activity as part of its treasury management activity report.

Classification: OFFICIAL

Classification: OFFICIAL

Schedule A

LOCAL GOVERNMENT INVESTMENTS (ENGLAND)
SPECIFIED INVESTMENTS

All investments listed below must be sterling –denominated

Investment	Repayable/ Redeemable Within 12 Months?	Security/ Minimum Credit Rating	Circumstance of use	Maximum period
Term deposits with the UK government or with English local authorities (i.e. local authorities as defined under section 23 of the 2003 Act) with maturities up to 1 year	Yes	High security although LAs not credit rated	In-house	1 year
Term deposits with credit – rated deposit takers (banks & building societies) with maturities up to 1 year	Yes	Yes, use of Fitch ratings subject to counterparty matrix	In-house	1 year
Certificates of Deposit issued by credit – rated deposit takers (banks and building societies): up to 1 year Custodial arrangement required prior to purchase	Yes	Yes, use of Fitch ratings subject to counterparty matrix	In-house	1 Year
Gilts: up to 1 year Custodial arrangement required prior to purchase	Yes	Government backed	In-house	1 Year
Money Market Funds	Yes	Yes, AAA rated	In-house	The period of investment may not be determined at the outset but would be subject to cash flow & liquidity requirements
Treasury bills (Government debt security with a maturity less than 1 year and issued through a competitive bidding process at a discount to par value) Custodial arrangement required prior to purchase	Yes	Government backed	In-house	1 Year

Classification: OFFICIAL

Classification: OFFICIAL

Schedule B

LOCAL GOVERNMENT INVESTMENT (England)
NON – SPECIFIED INVESTMENTS

Investment	(A) Why use it ? (B) Associated risks ?	Repayable /Redeemable Within 12 months ?	Security /Minimum credit rating	Used By	Maximum value	Length of investment
<p>UK government gilts with maturities in excess of 1 year</p> <p>Custodial arrangement required prior to purchase</p>	<p>(A)(i) Excellent credit quality. (ii) Very liquid. (iii) If held to maturity, known yield (rate of return) per annum, aids forward planning. (iv) Index linked gilts can offer means of insulating against effect of inflation on returns. (v) If traded, potential for capital gain through appreciation in value (i.e. sold before maturity) (vi) No currency risk</p> <p>(B)(i) Market or interest rate risk: Yield subject to movement during life of sovereign bond which could negatively impact on price of the bond i.e. potential for capital loss.</p>	Yes	Government backed	In-house	No restriction on gilts	Average maturity of the fund not to exceed 5 years

Classification: OFFICIAL

Classification: OFFICIAL

Investment	(A) Why use it ? (B) Associated risks ?	Repayable /Redeemable Within 12 months ?	Security /Minimum credit rating	Used By	Maximum value	Length of investment
Supranational Bonds Custodial arrangement required prior to purchase	(A)(i)Excellent credit quality. (ii) Relatively liquid (although not as liquid as gilts) (iii) If held to maturity, known yield (rate of return) per annum, which would be higher than that on comparable gilt – aids forward planning, enhanced return compared to gilts. (iv) If traded, potential for capital gain through appreciation in value (i.e. sold before maturity) (B)(i) Market or interest rate risk: Yield subject to movement during life of bond which could negatively impact on price of the bond i.e. potential for capital loss. (ii)Spread versus gilts could widen	Yes	AAA or Government guaranteed	In-house	Not more than 25% of the external fund with no more than 10% in any one institution In house maximum of £5m	Average duration of the fund not to exceed 5 years. Maximum of 5 years
Property Funds which constitute capital expenditure	Alternative to cash funds. Returns subject to property market and rental streams	Not always dependant on terms of each fund	Investment in property	Any Fund Manager	£5m	Dependant on terms of each fund
Property Funds approved by HM Treasury which do not constitute capital expenditure eg	Alternative to cash funds. Returns subject to property market and rental streams	Not always dependant on terms of each fund	Investment in property	Any Fund Manager	£5m	Dependant on terms of each fund

Classification: OFFICIAL

Classification: OFFICIAL

Investment	(A) Why use it ? (B) Associated risks ?	Repayable /Redeemable Within 12 months ?	Security /Minimum credit rating	Used By	Maximum value	Length of investment
CCLA						
Term deposits with the UK government or with English local authorities (i.e. local authorities as defined under section 23 of the 2003 Act) with maturities up to 5 years	Gives a known rate of return	No	High security although LAs not credit rated	In-house	None	5 years – in house
Term deposits with credit – rated deposit takers (banks & building societies), including callable deposits with maturities up to 5 years	Gives a known rate of return	No	Yes, use of Fitch ratings Subject to counterparty matrix	In-house	None	5 years – in house Internal forward deals subject to 3 months in advance only approved by DoR
Corporate Bonds Custodial arrangement required prior to purchase	(A)(i) If held to maturity, known yield (rate of return) per annum (ii) If traded, potential for capital gain through appreciation in value (i.e. sold before maturity) (B)(i) Market or interest rate risk: Yield subject to movement during life of bond which could negatively impact on price of the bond i.e.	Yes	Yes, use of Fitch ratings Subject to counterparty matrix	In-house	Maximum of £5m	Maximum of 5 years

Classification: OFFICIAL

Classification: OFFICIAL

Investment	(A) Why use it ? (B) Associated risks ?	Repayable /Redeemable Within 12 months ?	Security /Minimum credit rating	Used By	Maximum value	Length of investment
	potential for capital loss.					
Corporate Bond Funds Pooled Investment Vehicle Custodial arrangement not required	(A) Attractive returns, provides Diversification, no need for custodial facilities, professional fund management, has liquidity. (B) Market or interest rate risk, impact of credit rating changes, will attract fund management fees, would have to account for unrealised gains and losses annually.	Yes-redeemable at net asset value	Yes, use of Fitch ratings Subject to counterparty matrix	Fund Manager	Maximum of £5m	Maximum of 5 years

Classification: OFFICIAL

PRUDENTIAL CODE & INDICATORS STATEMENT

The Prudential Code for Capital Finance in Local Authorities was developed by CIPFA to support local authorities with the management of their capital finance and investment programmes. The key objectives of the Prudential Code are to ensure that the capital investment plans of local authorities are affordable, prudent and sustainable. A further key objective is to ensure that treasury management decisions are taken in accordance with good professional practice and in a manner that supports prudence, affordability and sustainability. The Prudential Code also has the objectives of being consistent with and supporting local strategic planning, local asset management planning and proper option appraisal.

To demonstrate that local authorities have fulfilled these objectives, the Prudential Code sets out the indicators that must be used and the factors that must be taken into account. The indicators will be monitored during the year and the final position at the year end compared to the forecast.

Prudential Indicators of Affordability

1.Capital Expenditure

The first prudential indicator for affordability gives details of the total capital expenditure plans. This is to help ensure that these are reasonable given the resources of the council.

	2015/16 Actual £000	2016/17 Forecast £000	2017/18 Estimate £000	2018/19 Estimate £000	2019/20 Estimate £000
Capital Expenditure	1,362	2,799	9,853	16,749	12,324

For CDC the capital programme has in the past been fully funded from capital receipts and Government grant. However, the increased level of budgeted capital expenditure will mean that this will not be possible, and the Council will need to borrow funds to facilitate the budgeted expenditure.

2.Ratio of financing costs to net revenue income stream

The second indicator shows how much of a Council's revenue budget has to be allocated towards interest payments, net of investment income.

	2015/16 Actual £000	2016/17 Forecast £000	2017/18 Estimate £000	2018/19 Estimate £000	2019/20 Estimate £000
Financing Costs <i>ie net investment income plus interest payments</i>	157	140	2	(431)	(739)
Net Revenue Income Stream <i>ie Budget Requirement</i>	10,954	10,710	10,746	10,144	10,341
Ratio	(1.43%)	(1.31%)	(0.02%)	4.25%	7.14%

Until 2017/18, income from investments outweighs any borrowing costs, therefore the ratio of financing costs to revenue budget requirement (Government grant and Council tax income) will be

negative. From 2018/19 onwards, borrowing costs are in excess of income from investments and therefore the ratio is positive.

3. Incremental Impact on Council Tax

The next indicator assesses the impact of the capital programme on the revenue budget.

For Chiltern District Council the size of the capital programme has an effect on the Council's revenue budget (and hence Council Tax) in three ways.

Firstly each pound spent on the capital programme reduces the amount of capital reserves, which in turn reduces the Council's investment holdings and thus the revenue interest earned by the Council. Based on current investment rates, increasing the overall capital programme by £100,000 will reduce annual interest by and thus increase the revenue budget by £1,000. Similarly reducing the overall capital programme by £100,000 will increase annual interest by and thus reduce the revenue budget by £1,000. £1,000 is equivalent to approximately 2p on the average band D Council Tax.

Secondly additional capital expenditure can result in additional revenue maintenance costs, for instance a new piece of ICT equipment is likely to require additional annual maintenance and support.

Thirdly, any additional capital expenditure funded by borrowing will result in long term commitments to pay interest on the loan.

4. Capital Financing Requirement

The Capital Financing Requirement (CFR) provides details of an authority's underlying need to borrow.

	2015/16 Actual £000	2016/17 Estimate £000	2017/18 Estimate £000	2018/19 Estimate £000	2019/20 Estimate £000
CDC Capital Financing Requirement at year end	0	0	7,831	23,435	31,050
Movement in CFR	0	0	7,831	15,604	7,614

Breakdown of Movement in CFR					
Net financing need for the year	0	0	7,831	15,800	8,200
Minimum Revenue Provision (MRP)	0	0	0	(196)	(586)
Movement in CFR	0	0	7,831	15,604	7,614

The Council is required to repay an element of the accumulated General Fund capital spend each year through a revenue charge known as the Minimum Revenue Provision (MRP).

5. Authorised Temporary Borrowing Limits

This indicator sets limits on how much CDC can borrow.

	2015/16 £000	2016/17 £000	2017/18 £000	2018/19 £000	2019/20 £000
Authorised Limit	3,000	3,000	13,000	30,000	35,000
Operational Limit	3,000	3,000	10,000	25,000	33,000

The Authorised Limit for Chiltern represents the maximum temporary borrowing limit. The Operational Limit is the limit beyond which external debt is not normally expected to exceed. In most cases, this would be a similar figure to the CFR, but may be lower or higher depending on the levels of actual debt. The Authorised Limit represents a limit beyond which external debt is prohibited. It represents the level of external debt which, while not desired, could be afforded in the short term.

Prudential Indicators for Prudence

1. Net Borrowing and The Capital Financing Requirement

The first prudential indicator for prudence is to ensure that in the medium term borrowing will only be used to fund capital expenditure. There are a number of planned capital projects which will require the Council to borrow funds but owing to timing differences, it is possible that some funds will be borrowed in advance of need. The Council will then have cash surpluses until the project is complete. If this situation does occur the cash surpluses will be invested until required for the payment of suppliers.

2. Treasury Management Indicator

The second indicator is whether or not the authority has adopted the CIPFA Code of Practice for Treasury Management in the Public Sector. CDC has done this and thus meets this indicator.

3. Upper limit for interest rate exposure.

The interest rates exposure indicators are designed to limit exposure to the effects of changes in interest rates. This measure is more pertinent in the environment of significantly fluctuating interest rates, which is of less relevance at the present time.

	2016/17	2017/18	2018/19	2019/20
Fixed Rate	100%	100%	100%	100%
Variable Rate	60%	70%	80%	90%

As the Council's cash balances decrease, balances held will relate to day to day cash flow requirements. These balances will need to be held in instant access funds, which will be at variable interest rates.

4. Maturity Structure of Borrowings

This indicator is designed to reduce the risk of large sums of borrowings having to be repaid at the same time. The recommended lower limit for maturity is less than 1 year and the recommended upper limit is 40 years. The maturity structure within this range will vary according to the income streams generated by investment decisions.

5. Upper limit for total principal sums invested for over 364 days.

Where a local authority invests, or plans to invest, for periods longer than 364 days, the local authority must set an upper limit for each forward financial year period for the maturing of such investments. This prudential indicator is referred to as prudential limits for principal sums invested for periods longer than 364 days. This indicator is designed to ensure that authorities always have sufficient funds to cover their cash flow needs and thus do not need to realise investments before they reach maturity.

	2016/17 £m	2017/18 £m	2018/19 £m	2019/20 £m
Upper Limit	5	10	10	10

The above upper limit figure has been calculated taking into account the maximum that could be available for investing in excess of 1 year allowing for the needs of short term cash flow and the use of capital receipts to fund capital expenditure.

MINIMUM REVENUE PROVISION (MRP)

The Local Government and Public Involvement Act 2007 provided a new power to the Secretary of State to issue guidance on accountancy practice rather than through the formal issue of Regulations through statute.

The first guidance issued under this new power relates to Minimum Revenue Provision (MRP). This is the amount which local authorities provide for the repayment of their borrowings

Under the guidance authorities will be required to prepare an annual statement in respect of their policy on making MRP. This must be submitted to Full Council and will form part of the annual prudential indicator report.

The guidance provides a number of options for making a 'prudent provision', this is to say that the provision for the repayment of borrowing used to finance the acquisition of an asset should be made over a period bearing some relation to that over which the asset provides a service to the authority.

The options for prudent provision are as follows:

Option 1 - Regulatory Method

Where debt is supported by Revenue Support Grant (RSG), authorities will be able to continue using the formulae used in the current regime, since the supported borrowing element of the RSG is also calculated this way.

Option 2 - CFR Method

This method is based upon 4% of an authority's non housing CFR (capital financing requirement) at the end of the preceding financial year.

Option 3 - Asset Life Method

Here equal annual instalments of MRP will be made over the estimated life of asset financed by borrowing. Under this method the concept of an MRP holiday makes its debut. This provides the ability for an authority to defer MRP on a newly constructed building or infrastructure asset until the asset comes into service.

Option 4 - Depreciation Method

Using this approach will require an authority to charge MRP in accordance with the standard rules for depreciation accounting. As with option 3 the MRP holiday will be available for assets yet to be brought into service.

It is anticipated that options 1 & 2 will only be used where capital expenditure is incurred prior to 1st April 2008 and where capital expenditure is incurred on or after that date which the authority is satisfied forms part of its supported capital expenditure. Options 3 and 4 would be used in relation to all capital expenditure incurred after the 1st April which is financed by borrowing or credit arrangements.

In this Council's case from 1 April 2017 there will be some borrowing.

It is therefore recommended that option 3, the Asset Life Method, is adopted as the Council's annual policy on making MRP for 2017/18.

South Bucks District Council: Cabinet: 8 February, Overview and Scrutiny: 30 January
Chiltern District Council: Cabinet: 7 February, Resources Overview: 31 January,
Services Overview: 24 January

SUBJECT:	<i>Service Plan Summaries</i>
REPORT OF:	<i>Leader of the Council, Councillor Isobel Darby and Leader of the Council, Councillor Ralph Bagge</i>
RESPONSIBLE OFFICER	<i>Acting Chief Executive, Bob Smith</i>
REPORT AUTHOR	<i>Rachel Prance 01494 732 903 and Sarah Woods 01494 586 800</i>
WARD/S AFFECTED	<i>This report applies to whole district</i>

1. Purpose of Report

This report provides a summary of each of the service plans produced by service areas within the council with the exception of Legal & Democratic services which is yet to be submitted.

RECOMMENDATION

Cabinet are asked to note these service plans.

2. Reasons for Recommendations

Service plans are an important part of the Council's performance management framework as detailed in the Joint Business Plan 2016 – 2020 and link to the Councils' policy objectives.

3. Content of Report

Service plans provide a summary of achievements from the current year and an overview of what each service aims to deliver for 2017-18. As well as looking at aims and achievements, services are asked to look at a range of areas including:

- Shared Services Programme
- Know your customer and equalities
- Performance indicators and risks
- Costs and cost comparison information.

4. Consultation

Not Applicable.

5. Options

Each Head of Service/Principal Officer produced a joint service plan workbook for South Bucks and Chiltern and this information was used to produce a summary for each council. These summaries will be made available on the Council's internet site. The service planning process will continue to be developed to ensure that the process is

**South Bucks District Council: Cabinet: 8 February, Overview and Scrutiny: 30 January
Chiltern District Council: Cabinet: 7 February, Resources Overview: 31 January,
Services Overview: 24 January**

straightforward for managers to complete and provides a useful management tool for each service.

7. Corporate Implications

3.1 Financial – Service plans assist effective performance management and assist the budgeting process.

3.2 Legal – None.

3.3 Resources – Service plans are a useful tool to help monitor progress made by the Council to improve service delivery.

3.4 Risks issues – Critical operational risks are reviewed as part of the service planning process.

3.5 Equalities – Equalities are considered during the service planning process.

3.6 Sustainability – any sustainability implications are fed into the service Actions Plans.

8. Links to Council Policy Objectives

Service plans are an important part of the Council's performance management framework as detailed in the Joint Business Plan 2016 - 2020.

The Joint Business Plan states that performance management is about how we consistently plan and manage improvements to our services and involves making the best use of the resources (financial, personnel, skills) and information to drive improvement.

Continuous improvement is driven by regular consultation and analysis of customer needs feeding into the service planning process. This helps to identify actions to drive improvement and measures to monitor if the desired improvements are delivered.

The joint performance management framework is a clear statement that Chiltern and South Bucks District Councils are committed to providing value for money services that meet the needs of users and improve the quality of life for residents. Rising public expectation alongside reducing budgets require the Councils to embed a culture of performance improvement so that we can continue to deliver quality services to our customers at the correct cost.

9. Next Step

Service plans will be adopted and implemented.

Background	1) Business Support Service Plan Workbook 2017-18 final 2) Comms, Performance and Policy Service Plan Workbook 2017-
-------------------	---

South Bucks District Council: Cabinet: 8 February, Overview and Scrutiny: 30 January
Chiltern District Council: Cabinet: 7 February, Resources Overview: 31 January,
Services Overview: 24 January

<p>Papers:</p>	<p>18 final</p> <p>3) Customer Services Service Plan Workbook 2017-18 final</p> <p>4) Environment Service Plan Workbook 2017-18 final</p> <p>5) Finance Service Plan Workbook 2017-18 final</p> <p>6) Healthy Communities Service Plan Workbook 2017-18 final</p> <p>7) Human Resources Service Plan Workbook 2017-18 final</p> <p>8) Sustainable Development Service Plan Workbook 2017-18 final</p>
-----------------------	---



Service Plan Summaries – 2017-18

- Business Support
- Communications, Policy & Performance
- Customer Services
- Environment
- Finance
- Healthy Communities
- Human Resources
- Legal & Democratic - *Not yet submitted*
- Sustainable Development



Shared Service Plan Summary

Business Support

Service Plan April 2017 to March 2018

Service units covered by plan	ICT Information Management Transformation Programme Management
--------------------------------------	--

Section 1 – Key Service Functions & Aims/Objectives

Key Service Functions	Portfolio reporting to	Statutory/ Mandatory
Deliver and maintain excellent value, customer focussed, environmentally sustainable ICT\Information Management operations and services	Support Services (CDC) Resources (SBDC)	Deliver and maintain excellent value, customer focussed, environmentally sustainable ICT\Information Management operations and services
Understand the needs of the business and provide appropriate, innovative and agile business solutions	Support Services (CDC) Resources (SBDC)	Understand the needs of the business and provide appropriate, innovative and agile business solutions
Enable and lead business change/ transformation programme management	Support Services (CDC) Resources (SBDC)	Enable and lead business change/ transformation programme



Shared Service Plan Summary

		management
Be continuously improving, learning, transparent and accountable	Support Services (CDC) Resources (SBDC)	Be continuously improving, learning, transparent and accountable
Deliver and maintain excellent value, customer focussed, environmentally sustainable ICT\Information Management operations and services	Support Services (CDC) Resources (SBDC)	Deliver and maintain excellent value, customer focussed, environmentally sustainable ICT\Information Management operations and services

Key Service Aims & Objectives

To enable delivery of the following ICT Services to support business processes for both South Bucks and Chiltern District Council:

- Network operations
- Telecommunication technology – voice, data
- Secure integration with partner networks
- Web services – infrastructure, environment, security
- Network security
- Service desk support
- IT Training
- System support
- System integration
- ICT procurement
- ICT supplier management.

To enable the service units within Chiltern & South Bucks to provide efficient services to all people in the community through the correct application of people, processes and technology.

That the service itself operates with agility to customer need whilst as efficiently and cost effectively as possible.

To provide the following robust Information Management services to ensure that both Councils'



Shared Service Plan Summary

systems and processes run smoothly:

- Web services – presentation of content
- Information security
- Service desk support
- Content\Data handling Training
- System support
- Systems\business process development
- System integration
- Process Freedom of Information & Subject Access requests
- Ensure systems observe the principles of the Data Protection Act and other relevant legislation
- ICT procurement
- ICT supplier management.

To optimise the collection, secure storage, retrieval and distribution of Chiltern & South Bucks data.

To improve the provision of information to all members.

To achieve better customer service through facilitating the controlled sharing of information corporately and with partners.

Support service reviews.

Contribute to the successful implementation of shared services.

Lead on the Transformation Programme

Ensure compliance with relevant legislation and standards e.g. Data Protection and Public Services Network.

Transparent governance structure for all projects.

Section 2 - Key achievements/outcomes for 2016/17

Key achievements and outcomes during 2016/17

Business Support

Shared Business Support service review successfully completed on target. Previously outsourced SBDC infrastructure seamlessly absorbed into new in-house service

Both CDC & SBDC networks refreshed and converged into one shared network. Final phase to implement virtual desktops will be complete by March 2017.

Last shared service review will complete in 2017. Support to approved business case for Planning Services will conclude Business Support involvement for that initiative. Support will continue to implement the remaining new shared services for Waste, Democratic Services and Planning Services (if approved).



Shared Service Plan Summary

Roll out of harmonised Project Management Framework with refresher training for relevant staff.
Significant paper reduction, freeing up office space, across CSB through Ditch the Paper project
Programme initiated for Flexible & Mobile working. Draft and consultation of new policy & guidance document. Building Control pilot due to complete March 2017
Information Asset Register with Retention and Disposal Schedule in place for all services
70% of IG policies harmonised adopted
Service desk system upgraded to accommodate multi-authority support. Improved self-service portal and management reporting
Improvements to Uniform to improve monitoring of staff workload and performance
By March 2017 CDC, SBDC and WDC Waste will be on the same core ICT system

Section 3 - Know your customer

Who are the main customers for the service?

Main customers are:

- Members
- Officers
- Residents
- General public
- Other public organisations

A shared service commenced on 1 January 2016. The final design of the service structure was based on feedback from all service reviews to date, involving the views of Business Support staff and consultation during the formulation of the shared ICT strategy. The service continues to be alert to feedback indicating a need to calibrate delivery.

Service delivery is being reorganised and realigned to better fit the changing needs of the business. Member and officers are on shared infrastructure. By 31.03.2017 everyone will be on one network. Focus will then turn to supporting mobile working and the IT requirements of the shared Customer strategy.



Shared Service Plan Summary

Section 4 – Action plan

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
Business Support		
Complete the project to converge the networks of both Councils onto shared infrastructure	<ul style="list-style-type: none"> • Complete the implementation of VDI • Complete the design & implementation of DR failover • Document final build 	<ul style="list-style-type: none"> • Services will have all their IT resources on one • Improved support for services by pooling IT staff • Improved career opportunities for IT staff • Increased resilience from pooling of staff and commission of DR failover facility
Complete Building Control mobile working pilot. This is the 1 st service sub-project in the Mobile Working Programme	<ul style="list-style-type: none"> • Complete business process design • Implement Idox mobile app for BC • Set up BC VDI environment • Rebuild BC clients • Implement new remote access solution 	<ul style="list-style-type: none"> • Better customer service • Improved ability for channel shift • More efficient, cost effective processes • Reduced office space requirement
Complete all service reviews	Remaining service: <ul style="list-style-type: none"> • Planning 	<ul style="list-style-type: none"> • Reduced costs from shared teams • Greater resilience • More efficient service delivery
Harmonise information governance policies	<ul style="list-style-type: none"> • Identify all processes • Review processes • Publish revised processes 	Clear understanding of the processes required to maintain good information management within the services
Ensure both Councils comply with requirements of General Data Protection Regulation (GDPR) which comes into force May 2018	<ul style="list-style-type: none"> • Establish requirements • Perform gap analysis • Amend policies & procedures • Roll out training • Review data sharing register 	<ul style="list-style-type: none"> • Avoidance of increased penalties through data breaches • Improved data sharing with partners
Support the completion of implementing shared services	Remaining services: <ul style="list-style-type: none"> • Democratic Services • Planning 	<ul style="list-style-type: none"> • Reduced costs from shared teams • Greater resilience



Shared Service Plan Summary

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
	<ul style="list-style-type: none"> Waste Client 	<ul style="list-style-type: none"> More efficient service delivery

Section 5 – Key Performance indicators

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
Business Support									
CdBS 3 (C)	Percentage of responses to FOI requests sent within 20 working days (by month)	71%	90%	August 2016	100%	90%	90%	90%	90%
JtBS1 (C)	Availability of ICT systems to staff from 8am to 6pm (by period quarterly)	99.85 %	99.5%	September 2016	99.8 %	99.5%	99.5%	99.5%	99.5%
JtBS2 (C)	Percentage of calls to ICT helpdesk resolved within agreed timescales (by period quarterly)	84%	95%	September 2016	81%	95%	95%	95%	95%
SbBS 3 (C)	Percentage of responses to FOI requests sent within 20 working days (by month)	91%	90%	August 2016	100%	90%	90%	90%	90%



Shared Service Plan Summary

Section 6 – Critical Risks

Ref	Strategic risk title	Relevance / service actions to mitigate
1	Joint Working	<ul style="list-style-type: none"> Ensuring that ICT platforms seamlessly support the aims of joint working
2	Transformation and Management of Change	<ul style="list-style-type: none"> During the implementation of shared systems to working with service staff to support buy-in to the new ways of working Listening to the needs of the council services to ensure shared systems support their processes Leading on Mobile Working Programme
3	Financial Stability	<ul style="list-style-type: none"> Work with service staff to leverage the maximum benefit from the investment made in ICT systems Achieve best value for the councils where new systems are required or enhancements to current systems to support shared services
4	Workforce Issues	<ul style="list-style-type: none"> Monitoring staff workload and securing outside resource where required e.g. sharing with other authorities using same applications Keeping staff skill sets current
5	Waste & Environmental Services	<ul style="list-style-type: none"> Not applicable.
6	Joint/Partnership working	<ul style="list-style-type: none"> Not applicable.
7	Business Continuity	<ul style="list-style-type: none"> Refresh of ICT infrastructure and redesign for shared network services Move to thin client / virtual desktop DR / failover facility will be commissioned in 2017 and hosted at another location Joint working with relevant services in other Bucks authorities to share expertise and resource
8	Information Management & Security	<ul style="list-style-type: none"> Shared Information Governance Group (IGG) in place. Information Governance Structure (IGS) established across all services Comprehensive training programme being delivered to all IGS roles



Shared Service Plan Summary

Ref	Strategic risk title	Relevance / service actions to mitigate
		<ul style="list-style-type: none"> All services have an Information Asset Register with Retention and Disposal Schedule
9	New Legislative Changes	<ul style="list-style-type: none"> Officers identified to monitor their ICT discipline for legislative changes The General Data Protection Regulation (GDPR) comes into force in May 2018 and places significant new and expanded restrictions on the collection, use, storage, sharing, and destruction of EU residents' personal data. Violations of this set of regulations will incur penalties up to the higher of 4% of annual worldwide turnover and EUR20 million
10	Affordable Housing	<ul style="list-style-type: none"> Not applicable.
11	Major Infrastructure Projects Impacts.	<ul style="list-style-type: none"> Supporting the IT\information management needs of the HS2 Team
12	Demographic Changes	<ul style="list-style-type: none"> Supporting services to develop skills for customer insight Overlap with GIS to map statistical data to location
13	Property/ Asset Management	<ul style="list-style-type: none"> R&R programme in place for ICT assets Business Support has good control over physical assets and works with suppliers to get the best value.
14	Economic Viability	<ul style="list-style-type: none"> Not applicable.

Operational risk code and title	Relevance / Mitigation
CSB BS01 Shared Network Availability	<ul style="list-style-type: none"> . Clear ICT strategy . Components are only purchased from reputable companies . Redundancy designed into system configuration . Monitor \ adopt appropriate advances in technology e.g. virtual servers . An R&R programme is in place . Forward planning of R&R and Network U\G requirements \ budgets . Current warranties where relevant and cost effective . Daily monitoring of network performance \ capacity . Separate electrical supply and uninterruptable power supplies (UPS). Generator hire contract in place . Regular, planned maintenance



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
	<ul style="list-style-type: none"> . Maintenance contracts in place where required . Contract in place for disaster recovery with regular trials. This will be replaced in 2017 by a DR failover facility being installed and hosted at another location . Licenses monitored. Service Desk Administrator ITIL and FAST accredited . Comprehensive documented operational procedures in place
CSB BS02 Data Integrity	<ul style="list-style-type: none"> . Information Management strategy in place . Action plan in place to realise Information Management strategy . Data quality objectives for all staff . Regular backups performed. Restores performed on a regular basis. Backup logs checked to confirm jobs completed successfully and to analyse for anomalies . Backup tapes stored onsite in a fireproof safe. Previous nights' tapes stored off-site. Tapes will be replaced in 2017 by data streaming to the DR failover facility hosted at another location . Snapshots taken to SAN. Up to 7 days' worth of data available at a time . Financial and technical procedures in place to ensure systems must be installed and maintained by Business Support . PRINCE2 methodology used on projects to ensure consistent IT implementation . Change management controls in place . User testing required for all implementations and upgrades . Staff training is delivered as part of all implementation projects . Contracts in place with system suppliers for system development and specialised consultancy. Supplier manuals available to all staff . Regular account meetings with system suppliers . Encourage services to document system procedures . Regular audits
CSB BS03 Security	<ul style="list-style-type: none"> . Systems bought from reputable vendors who comply with relevant standards . Security assessment included in product evaluation . Systems are correctly licensed with maintenance contracts in place . Systems are maintained at supported versions and replaced at vendor specified 'end of life' . Change management controls in place . 3rd party remote access controlled by IT . End users are trained in good practice for using systems and data



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
	<ul style="list-style-type: none"> handling . ICT Security Policy ensures that customers understand their responsibilities . Physical access to key network devices controlled by building security system . All external communications are via BucksNet. BCC\Update have documented security procedures . BucksNet also subject to PSN compliance . SLA in place with BCC and Updata . Dual factor remote access . All audits for GCSX\GCF\PSN passed to date . Annual health check performed by CREST\CHECK certified consultant . Quarterly penetration testing by CREST\CHECK certified consultant. Quarterly internal vulnerability testing by CDC IT . Patch management scheme in place . Inventory controls in place . Security Marking . Remote Control of devices e.g. Samsung's . End point encryption implemented . Network client physical ports managed. Only removable media issued by ICT can be used in network clients . Creation/deletion of network accounts controlled by starters/leavers forms issued by Personnel . Network rights controlled by Active Directory group policies . Anti-malware software which covers anti-virus, personal firewall and application control installed on the client . Virus/spam/malware protection in place and automatically updated on hosts . 2 Virus/spam/malware products used . Monitoring of e-mail subject matter and attachments
CSB BS04 Staff	<ul style="list-style-type: none"> . Formal and on the job training and staff development . Three IT Trainees posts to 'grow' replacements . Programme of cross training to promote generic skill sets . Documentation . Adoption of ITIL and implementation of ITIL compliant service desk . 3rd party contracts (Fordway, Updata etc) to fill gaps . Good supplier management . Good communication - regular Meetings, 121s, appraisal



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
	interviews . Clear aims and objectives . Work plan to manage work load . Sharing resource and expertise with other authorities \ shared service

Section 7 – Costs and cost comparison information

Cost information
<ul style="list-style-type: none"> • Costs have reduced as a result of the shared network. Systems and hardware are reducing on a ratio of 2:1 enabling a reduction in licensing and support maintenance costs • Business Support is now a shared service which has reduced costs. A reduction in posts has led to reduced salary bill. Generic working will enable further efficiencies • Costs increased during the initial phase of shared services to accommodate maintaining old systems whilst transitioning to the new systems but savings are now being realised • Costs have reduced by around 3% when compared with 2014/15



Shared Service Plan Summary

Communications, Performance and Policy

Service Plan April 2017 to March 2018

Service units covered by plan	Communications Performance and Policy
--------------------------------------	--

Section 1 – Key Service Functions & Aims/Objectives

Key Service Functions	Portfolio reporting to	Statutory/ Mandatory
Corporate communications including media, public relations, marketing and website	Leader (CDC and SBDC)	<input type="checkbox"/>
Promote best practice in customer involvement and consultation	Leader (CDC and SBDC)	<input type="checkbox"/>
Enable the Councils to improve services and plan for future needs through the Corporate Plan, service planning and performance reports.	Leader (CDC and SBDC)	<input type="checkbox"/>
Lead the delivery of the joint Sustainable Community Strategy and Partnership	Leader (CDC and SBDC)	<input type="checkbox"/>
Lead the development of corporate strategy and the interpretation of government policy	Leader (CDC and SBDC)	<input type="checkbox"/>
Provision of research and management information	Leader (CDC and SBDC)	<input type="checkbox"/>

Communications

Key Service Aims & Objectives
To manage the Councils' corporate communications function
To manage the internet / intranet and support all service areas in delivering timely online content, campaigns, web design, web projects and help with implementing social media
To maintain the reputation of the councils through good timely and honest public relations, reputation management and by co-ordinating and being pro-active in all areas of communication
Provide an in-house design and marketing service to all departments within the councils and



Shared Service Plan Summary

promote the benefits and cost effectiveness to other departments

To inform, ensuring timely and accurate information is available to all regarding council services, policies and activities and that we communicate results of consultation exercises and action taken as a result. To publish news releases, and provide a media enquiry service, publicity of events, policies and decisions and to oversee consultation exercises. To produce internal monthly magazine. To co-ordinate the production of the councils' magazine. To support services to produce up to date information about services in easy to read and to access formats

Performance and Policy

Key Service Aims & Objectives

Improving knowledge-based decision-making across the Councils including developing customer insight profiles

To support the Councils and their services by co-ordinating the Councils' performance management system, developing corporate strategy and interpreting government policy

Advise on the development, implementation and monitoring of the Councils' Joint Business Plan

Lead Councils' approach to corporate planning and performance management

Organise the work of the Joint Strategic Partnership including regular reviews and delivery of the Joint Sustainable Community Strategy

Support service managers to develop their services through effective, consistent service planning

Support effective consultation through promoting good practice and monitoring

Section 2 - Key achievements/outcomes for 2016/17

Key achievements and outcomes during 2016/17

Communications, Performance and Policy

Delivered better staff communications and supported the development of an organisational development strategy towards both councils operating as one team

Supported both Leaders during periods of great change and low resources

Supported and promoted a strategic approach to mitigation of the HS2 line

Provided a media relations service to promote council services and events

Ensured web editors were well supported at both councils – daily and training

Designed new Aylesbury Crematorium website

Continued to improve media monitoring

Supported the use of effective social media at both councils

Continued to develop the Members Bulletin



Shared Service Plan Summary

Continued advising and supporting consultations
Continued chairing South Bucks Parish Clerks meetings
Worked with the Head of Customer Services to develop a customer services/channel shift strategy
Launched a new joint branding for use by both councils
Continued to provide an excellent in-house design service
Reviewed Joint Strategic Partnership working to improve focus on deliverables
Continued to develop the joint business plan
Continued to ensure all strategies and plans are based on robust information and accurate data
Delivered effective performance management
Ensured Data Quality was of a high standard at both councils

Section 3 - Know your customer

Who are the main customers for the service?

The team has a wide customer base including members, managers and officers, partners and members of the public. Policy and performance provide performance and management information to help aid management decisions and coordinate the service planning and corporate planning work which helps to determine the strategic direction of the Council.

The team also provide research information to all service areas about the make-up of both districts to help ensure services understand the make-up of their customers and are delivering services in the most appropriate way.

The communications section of the team is responsible for ensuring service standards are maintained across the council when sending out information to customers.



Shared Service Plan Summary

Section 4 – Action plan

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
Communications		
Deliver better staff communications and support the development of an organisational development strategy towards both councils operating as one team	Supporting the Management Team and Leaders with staff communications and engagement	Staff are informed about, and able to participate in, decisions affecting their working life Effective communications are known to assist in making staff feel valued, which generates commitment, and helps deliver a high quality service and achieve corporate goals
Support both Leaders to moderate expectations during periods of great change and low resources	Provide support for the Leaders with communications, engagement and information	Corporate goals are achieved and high quality services provided
Support a strategic approach to mitigation of the HS2 line	Continue to support the HS2 project team after the Hybrid Bill process including community engagement	Environment is protected and community is supported
Provide a media relations service to promote council services and events	<ul style="list-style-type: none"> • Provide newsworthy and timely press releases and respond quickly to press enquiries • Pitch features about key services to the media • Host media briefings for major service changes/developments 	Residents feel informed about council services
Ensure web editors are well supported at both councils – daily and training	Regular training is provided particularly as websites develop	Information on the website is accurate, accessible and well written
Launch new Aylesbury Crematorium website	Key information is up to date and available	Residents will be aware of the progress of the new Aylesbury Crematorium and the services it will provide
Continue to improve	Regular email bulletins to all staff and	Staff and members are aware of



Shared Service Plan Summary

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
media monitoring	members on key stories at both councils	how the councils are being perceived externally
Support the use of effective social media at both councils	All staff and members are signed up to the social media policy Social media is monitored and responded to in timely fashion	Residents feel informed about council services
Continue to develop the Members Bulletin	Weekly bulletin produced	Members have a good view of the key issues affecting both councils
Continue advising and supporting consultations	Involvement at the start of consultations/surveys by services	Ensure consultations are effective and the opinions of residents and customers are used to improve services
Continue chairing South Bucks Parish Clerks meetings	Regular meetings to ensure parish clerks and town councils are engaged with the council	Better informed partners
Work with the Head of Customer Services to develop a customer services/channel shift strategy	Engage with the new joint customer services team to scope	Residents will receive a high quality, cost effective customer service at both councils
Promote the new joint branding for use by both councils	Set up all-service working group to scope out the project Engage with and gain support from Members	Residents have a clear idea of who is providing the services they are accessing
Continue to provide an excellent in-house design service	Promotional and informative literature is produced	Residents feel informed about council services
Performance and Policy		
Review Joint Strategic Partnership working to improve focus on deliverables	<ul style="list-style-type: none"> Deliver action plan for the ageing population Re-convene the economic development sub-group 	Improved partnership working based on a real understanding of the needs of the different communities



Shared Service Plan Summary

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
Continue to develop the joint business plan	<ul style="list-style-type: none"> Links to JSP and service planning Cabinets to approve 	Business Plan is key for local community and staff in setting the direction for joint working Leads everything the councils do
Continue to ensure all strategies and plans are based on robust information and accurate data	<ul style="list-style-type: none"> Use of analysed census information Ongoing development and refreshing of KnowledgeSource 	Key strategies and policies designed with the detailed understanding of the needs of customers and residents in both districts
Effective performance management	<ul style="list-style-type: none"> Look to improve the way we communicate and use the performance information Investigate using joint trend information 	Better informed residents, partners, members and staff Improved customer perception
Ensure Data Quality is of a high standard at both councils	Monitor data quality	Information collected, handled and stored at both councils is of a high and legal standard

Section 5 – Key Performance indicators

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
Communications, Performance and Policy									
CdCP 1 (C)	Number of unique visitors to the main website (monthly by period and annual)	330,946	Data only	Sept 2016	28,297	Data only	Data only	Data only	Data only
SbCP 1 (C)	Number of unique visitors to the main	261,452	Data only	Sept 2016	22,112	Data only	Data only	Data only	Data only



Shared Service Plan Summary

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
	website (quarterly and annual)								

Section 6 – Critical Risks

Ref	Strategic risk title	Relevance / service actions to mitigate
1	Joint Working	<p>Governance in place – Joint Committee, JAIC.</p> <p>Joint senior management team</p> <p>Programme documentation and programme management resources</p> <p>Plan for service reviews, business cases presented</p> <p>Member involvement in joint working in line with member expectations</p> <p>Communication plan for members, staff, external partners</p> <p>External approaches to join the joint working carefully considered at a political level and impact on programme assessed</p>
2	Transformation and Management of Change	<ul style="list-style-type: none"> . Senior members and managers show commitment to change . Case for changes clearly made and communicated . Build on success, in order to establish confidence to change . Prioritise programme of change, and ensure it is adequately resourced . Develop change management approach, and organisational development plan
3	Financial Stability	<p>Review of MTFSS</p> <p>Clear service priorities</p> <p>Analysis of Government spending plans, bought in where necessary</p> <p>Savings programmes agreed and monitored</p> <p>Annual review of cost base</p>



Shared Service Plan Summary

Ref	Strategic risk title	Relevance / service actions to mitigate
		Strategies for use of reserves
4	Workforce Issues	Organisational development and workforce planning Monitoring of key personnel statistics Good staff communications processes Training and development strategies in place, resourced and monitored
5	Waste & Environmental Services	Governance in place for joint contract Have adequate in-house knowledge of cost share model Co-ordinated approach by both Councils on JWC and with BCC Effective contract monitoring and good relationships with contractors Good communications with residents
6	Joint/Partnership working	Co-ordinate and streamline representation on partnership groups Monitor impact of changes arising from partner cut backs Identify key partnerships to support
7	Business Continuity	Clear senior management arrangements for responsibility on business continuity Business continuity plans in place ICT DR plans in place Maximise reciprocal support arrangements across two Councils
8	Information Management & Security	Policies and procedures in place, overseen by joint IG group, and made common where practical Communication and training for staff on policies and procedures Officer mechanisms to enable corporate approach to be taken to information management Information management incorporated in any service review process
9	New Legislative Changes	Corporate capacity to identify and analyse forthcoming legislative changes affecting the Councils Analyse and produce action plans for Welfare Reform changes Analyse and respond to changes to Planning system Use of professional or local authority network groups to gain and share knowledge
10	Affordable Housing	Housing strategies in place and regularly reviewed Good relationships between housing and planning services



Shared Service Plan Summary

Ref	Strategic risk title	Relevance / service actions to mitigate
		Resources identified to support housing schemes
11	Major Infrastructure Projects Impacts.	Impact assessments made formally or informally on major projects Clear Council position on a particular proposal Lobbying mechanisms identified Member communications strategy in place Communication strategies with residents on any major proposals Resources identified to fund actions or responses
12	Demographic Changes	Corporate analysis of Census and related data Incorporate Census data into service planning Communicate key messages to members
13	Property/ Asset Management	Asset Management Plans in place and reviewed Professional advice used where appropriate Resources in place to support AMPs
14	Economic Viability	Good liaison arrangements with local businesses Monitor key indicators of the local economy Take advance of opportunities offered by LEP

Operational risk code and title	Relevance / Mitigation
CSB CPP01 Failure to provide comprehensive, accurate and engaging communications to promote key services, messages and events	<ol style="list-style-type: none"> 1. Communications and media training provided to appropriate staff 2. Communications are checked and signed off by those qualified to do so, prior to publication 3. Comms team to lead in the revamp of the joint web sites, ensuring trained web editors in place, good quality and best practice principles are adopted 4. Letters to be checked and signed by a responsible officer, standard letters to be signed off as suitable, prior to use 5. Publicity materials to be reviewed and signed off by a responsible officer 6. Work with services to consider how to reach priority groups 7. Only specifically trained, appointed officers permitted to provide information to the press and public 8. Development of good relationships with the local press and other media 9. Media protocols issued to all staff 10. Copyright expressly negotiated and retained by Council All



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
	releases and publications to be proof read, reviewed by head of service, checked by Comms team and signed off by MT
CSB CPP02 Failure to develop joint key policies and a joint vision linked to the Joint Business Plan, based on Community needs	<ol style="list-style-type: none"> 1. Promote "Have your say", and consider when to act on responses 2. Consider using customer surveys, forums, panels etc., when needed 3. Work with Strategic Partnership to share understanding of customer needs and develop joint SCS 4. Joint Business Plan in place 5. Continue building on and improving the joint service planning procedures, e.g. PIs As the review period of policies / strategies come round, ensure a joint policy / strategy is developed
CSB CPP03 Failure to manage performance effectively	<ol style="list-style-type: none"> 1. Robust joint performance management system in place with links to service planning 2. Risks, actions and performance indicators will be updated in the joint Covalent system and reported on quarterly 3. Covalent is backed-up regularly and as an off-site web based system, the provider has business continuity in place 4. Covalent update reminders sent plus e-mail reminders 5. Priority indicators identified by MT and Cabinet are updated and reported on monthly 6. Sense check of information provided by Performance & Policy team, questions raised where needed and additional information obtained

Section 7 – Costs and cost comparison information

Cost information

Costs have reduced by around 28% when compared to 2014/15.



Shared Service Plan Summary

Customer Services

Service Plan April 2017 to March 2018

Service units covered by plan	Customer Services Revenues & Benefits
--------------------------------------	--

Section 1 – Key Service Functions & Aims/Objectives

Key Service Functions	Portfolio reporting to	Statutory/ Mandatory
Revenues & Benefits		
Revenues Collection and Administration (the billing, administration, collection and recovery of Council Tax and Non Domestic Rates including the award of any discounts, reliefs or exemptions)	Customer Services - CDC Resources - SBDC	<input checked="" type="checkbox"/>
Benefits Administration (National Housing Benefit Scheme)	Customer Services – CDC Resources - SBDC	<input checked="" type="checkbox"/>
Administration of Local Council Tax Support schemes	Customer Services – CDC Resources - SBDC	<input checked="" type="checkbox"/>
Counter Fraud (to investigate suspected cases of Council Tax, Council Tax Support and corporate fraud, apply sanctions or to prosecute when fraud is detected)	Customer Services – CDC Resources - SBDC	<input checked="" type="checkbox"/>
Administration of discretionary awards including Discretionary Housing Payments, Discretionary Council Tax Support and Discretionary Rate Relief	Customer Services – CDC Resources - SBDC	<input checked="" type="checkbox"/>
Welfare Reform (to ensure the Council keeps up to date with the legislation and changes being brought in).	Customer Services – CDC Resources - SBDC	<input checked="" type="checkbox"/>
Customer Services		
Front line customer service (operating a switchboard and reception service to help provide customers with information, help and advice). (This includes dealing with additional service	Customer Services (CDC)	<input checked="" type="checkbox"/>



Shared Service Plan Summary

specific calls such as Waste, Revenues and Housing)	Resources - SBDC	
Front line service delivery on behalf of the Service Departments as agreed with each individual service area	Customer Services (CDC) Resources - SBDC	☒
Provision of 'Universal Support – Delivered Locally' (providing assistance with online applications to Universal Credit Customers and providing personal budgeting support)	Customer Services (CDC) Resources - SBDC	☒ Contracted by DWP

Customer Services

Key Service Aims & Objectives

- To deliver an efficient, professional and accessible service responsive to the needs of its customers, service departments and partners.
- Working with services to aim to deliver resolution at first point of contact as far as appropriate.
- To work in partnership with other authorities and agencies to provide front line services to customers contacting the Council Offices face to face and by telephone.
- To work with services to improve the service provided to customers and to ensure that it meets customers' needs, reducing avoidable contact and initiating proactive contact where appropriate.

Revenues and Benefits

Key Service Aims & Objectives

- To provide an efficient, customer focussed Revenues and Benefits Service.
- To achieve high Council Tax collection levels and make it easy for residents to pay their council tax, so that the Council can collect the money required for providing local government services promptly, whilst also giving consideration to the effects on the local community of the current economic position.
- To maximise collection of business rates within the district and provide an accessible service to support the local business community in all matters relating to business rates.
- To promote the Housing Benefit and Local Council Tax Support schemes and to provide benefits advice to ensure that all benefits for which claimants are eligible are claimed, in particular ensuring that help and support is provided for our most vulnerable residents to ensure they have equal access to the Benefits system.
- To assess claims for Housing Benefit quickly, accurately and efficiently ensuring right first time assessment of benefit claims and making required payment in a timely manner. Providing an accessible service which is responsive to the constantly changing environment of benefits



Shared Service Plan Summary

administration.

To provide a professional and effective fraud prevention and investigation service ensuring appropriate action is taken against offenders in all cases and that we convey the public message that fraud will not be tolerated.

To ensure legislative and government policy changes are implemented promptly and accurately.

Section 2 - Key achievements/outcomes for 2016/17

Key achievements and outcomes during 2016/17

Customer Services

Developed Joint Customer Services Strategy and associated corporate work programme

Developed joint Complaints, Compliments and Feedback Procedure

Commenced pilot of working with Chesham Town Council to work together to resolve customer enquiries at first point of contact

Implemented CTalk at South Bucks DC improving resilience and enabling consistent management information

Combined South Bucks DC and Chiltern DC general enquiry email box and developed web forms to enable emails to route to correct service area

Introduce individual performance management targets and indicators

Incorporated South Bucks waste calls in to the contact centre

Revenues and Benefits

Implemented shared service from May 2016

Implemented new on line claim form

Implemented Risk Based Verification

Set up and commenced work on the South Bucks Recovery Project

Carried out empty homes review generating potential additional new homes bonus of £1,695,070 (CDC) and £1,357,059 (SBDC) over 6 years

Introduced revised Benefits Cap

Introduced text and email reminders reducing number of formal reminders and customer contact

Introduced revised process for quality checking enabling monitoring of individual performance and more effective performance management

Implemented auto arrangements with summons documentation

Implemented automatic registration for Open access enabling more efficient self service

Implemented payment deduction programme for streamlined recovery via DWP

Introduced LOCTA for tracing of debtors

Customer Services

Classification: OFFICIAL



Shared Service Plan Summary

Conducted review of Small Business Rate Relief; encouraging take up at both Councils
Reviewed Discretionary Rate Relief Policy for SBDC
Introduced Discretionary housing payments for Universal Credit customers
Began work with Northgate re transition of service to Nottingham at end of South Derbyshire contract
Implemented PTC consolidation of reports for Civica at CDC

Section 3 - Know your customer

Summary – Know your customer (Chiltern)

There are a wide range of customers that use the Customer Services and Revenues & Benefits services both internal and external customers. Some of the main customer groups for Revenues & Benefits include all council taxpayers and business ratepayers within the district and all Housing Benefit and Council Tax Support claimants. Customer Services and reception staff also deal with internal services and residents within the district as well as residents of Wycombe DC in respect of the joint waste contract.

On-going changes to the welfare system and the introduction of Universal Credit will require prompt provision of information to affected residents to ensure impacts can be mitigated as far as possible.

Our joint service will work with service areas to develop our approach to engaging with customers and ensuring we meet their needs. This will include the development of the joint customer services strategy and looking at opportunities for channel shift and for dealing with as many enquiries as appropriate at the first point of contact.

Summary – Know your customer (South Bucks)

There are a wide range of customers that use the Customer Services and Revenues & Benefits services, both internal and external customers. Some of the main customer groups for Revenues & Benefits include all council taxpayers and business ratepayers within the district and all Housing Benefit and Council Tax Support claimants. Customer Service and reception staff also deal with internal services and residents within the district.

On-going changes to the welfare system and the introduction of Universal Credit will require prompt provision of information to affected residents to ensure impacts can be mitigated as far as possible.

Our joint service will work with service areas to develop our approach to engaging with customers and ensuring we meet their needs. This will include the development of the joint customer services strategy and looking at opportunities for channel shift and for dealing with as many enquiries as appropriate at the first point of contact.



Shared Service Plan Summary

Section 4 – Action plan

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
Customer Services		
Implement Customer Service Strategy and associated programme of work	To be included in the Customer Service strategy work programme To include process for monitoring and learning from complaints	Clear strategy with regard to our approach, learning from customers' needs and /feedback and monitoring
Continued implementation of the ICT developments in business case and shared service implementation plan	Ongoing development of the use of management information to tailor to meet service needs and to be used for performance management. Review, improve and promote ICT facilities for Customers Implement web chat	More accessible and efficient service
Ongoing development of partnership working opportunities	Continue with Chesham Town Council pilot – evaluate outcomes Identify further opportunities Develop SLAs Monitor outcomes	More enquiries being dealt with at first point of contact More support in the community and so services easier to access
Develop SLAs with all service areas	Service Specialists, CSM and Team leaders to work with service areas to agree ongoing approach and explore opportunities for delivering at first point of contact; Develop SLA and ongoing monitoring and liaison	Reduce avoidable contact; More dealt with at first point of contact; Encourage channel shift
Ongoing implementation of Universal Support – Delivered Locally	Support for vulnerable residents needing welfare support, support with personal budgeting and help with on line applications	Financial Independence
Incorporate front line service in to Customer Services for remaining shared service following introduction (Planning and Democratic Services)	Process and protocol to be agreed Training of CS staff completed Calls transferred Ongoing service liaison	More efficient Customer Services dealt with at first point of contact



Shared Service Plan Summary

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
Revenues and Benefits		
Continued implementation of process improvements and ICT developments identified in business case	<ul style="list-style-type: none"> • Implementation of workflow – new ways of working • Online claims form attachment module • Ferris E circs • Change of circs form • Implement Open exec performance module • Promote Open Access • Open Channel phase 1 • Ebilling 	Overall more efficient and cost effective service. Improved productivity. More accessible service with the ability to self-serve
South Bucks Recovery Project	Continue with targeted recovery action. Write off of debts that are uneconomical to recover	Maximising income for the Council and so best use of resources for residents of the district
Review change of circumstances proof guidelines	Review and implement new ways of working Ensure consistent approach	Simpler process
Ongoing implementation of Universal Support – Delivered Locally	Support for vulnerable residents needing welfare support, support with personal budgeting and help with on line applications	Financial Independence
Discount Review	Carry out review of Council Tax discounts	Accurate data Maximising income
Review bailiff arrangements	Review ongoing SLA with bailiff companies to ensure delivering value for money	Maximising income. Value for money
Transition of Northgate service to Nottingham	As per transition plan	Ongoing consistent service
Implementation of Business Rates revaluation	Upload revised RV Maximise Small Business rates relief Apply transitional protection	Billed correctly at new amounts
Action changes as a result of increased number of RTI information records	Action relevant changes Identify over and under payments and ensure correct benefit	Correct benefit entitlement



Shared Service Plan Summary

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
	FERIS award	
Preparation for decisions on service delivery post 2018	Identify preferred options with members and make preparations accordingly	Value for money and efficient customer service

Section 5 – Key Performance Indicators

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
Customer Services and Revenues and Benefits									
CdCS 1 (C)	New measure for complaints - t.b.a.	N/A		N/A	N/A				
CdRB 1 (P)	Speed of processing - new HB/CTS claims (average year to date)	17.11	18	September 2016	18.75	18	18	18	18
CdRB 2 (P)	Speed of processing - changes of circumstances for HB/CTS claims (average year to date)	4.41	5	September 2016	4.08	5	5	5	5
CdRB 3 (P)	% of Council Tax collected (cumulative)	99.36 %	99.00%	September 2016	53.94 %	99.00%	99.00 %	99.00 %	99.00 %
CdRB 4 (P)	Percentage of Non-domestic Rates Collected (cumulative)	98.30 %	98.00%	September 2016	54.74 %	98.00%	98.00 %	98.00 %	98.00 %
SbCS 1 (C)	Number of complaints received (cumulative)	Annual Indicator	80	September 2016	31	80	80	80	80

Customer Services

Classification: OFFICIAL

7



Shared Service Plan Summary

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
SbRB 1 (P)	Speed of processing - new HB/CTS claims	17.5	19.0	September 2016	18.1	19.0	19.0	19.0	19.0
SbRB 2 (P)	Speed of processing - changes of circumstances for HB/CTS claims	6.9	8.0	September 2016	8.3	8.0	8.0	8.0	8.0
SbRB 3 (P)	Percentage of Council Tax collected	97.9%	98.0%	September 2016	57.90%	98.0%	98.0%	98.0%	98.3%
SbRB 4 (P)	Percentage of non-domestic rates collected	98.8%	98.8%	September 2016	58.50%	98.8%	98.8%	98.8%	98.9%

Section 6 – Critical Risks

Ref	Strategic risk title	Relevance / service actions to mitigate
1	Joint Working	<ul style="list-style-type: none"> Implementing Communication Strategy across the service to cascade information and receive feedback
2	Transformation and Management of Change	<ul style="list-style-type: none"> Implementing Communication Strategy across the service to cascade information and receive feedback
3	Financial Stability	<ul style="list-style-type: none"> Maximisation of collection of Council Tax and Business Rates
4	Workforce Issues	<ul style="list-style-type: none"> Implementing performance management framework Implementing Communication Strategy across the service to cascade information and receive feedback
5	Waste & Environmental Services	<ul style="list-style-type: none"> Delivery of Joint Waste Contract CDC – telephone service.
6	Joint/Partnership working	<ul style="list-style-type: none"> Service proactive in looking at areas for partnership working
7	Business Continuity	<ul style="list-style-type: none"> Service has business continuity plans
8	Information Management & Security	<ul style="list-style-type: none"> Staff aware of data protection responsibility To be included as part of ongoing training



Shared Service Plan Summary

Ref	Strategic risk title	Relevance / service actions to mitigate
		programme
9	New Legislative Changes	<ul style="list-style-type: none"> Involved in changes re Welfare reform Attend network groups Plan in advance for implementation
10	Affordable Housing	<ul style="list-style-type: none"> Work closely with Housing to prevent homelessness
11	Major Infrastructure Projects Impacts.	<ul style="list-style-type: none"> Customer services able to deal with requests for information on Council's position from general public
12	Demographic Changes	<ul style="list-style-type: none"> Service able to react to needs of its customers
13	Property/ Asset Management	<ul style="list-style-type: none"> Potential business rates issues that could be explored
14	Economic Viability	<ul style="list-style-type: none"> Support customers in low employment through access to HB and Council Tax Support. Council Tax support schemes include incentives to work

Operational risk code and title	Relevance / Mitigation
CSB CS01 Failure to maintain an efficient and timely telephone service which impacts on customer satisfaction levels.	Regular monitoring of waiting time and abandonment rate at CDC and volumes at SBDC. Plan to implement joint telephone system and considering joint call centre and customer services team which will increase capacity.
CSB CS02 Failure to maintain an efficient and timely front of house/reception service which impacts on customer satisfaction levels.	Regular monitoring of numbers of visitors. Plan to implement joint Customer Services team which will increase capacity. Developing Customer Services strategy and increased channel shift to reduce personal callers.
CSB CS03 Failure to cope with increased demand due to changes in services and output from service reviews.	Regular monitoring of demand. Involvement in service reviews. Regular liaison meetings with services. Will be reviewing and developing service level agreements. Contingency plans in place for specific projects e.g. waste
CSB RB01 Failure to collect Council Tax and Non Domestic Rates to the level expected	KPI in contract at SBDC. Regular monitoring of contract and liaison meetings at SBDC. Monthly performance monitoring at CDC. Maximise opportunities for payment and currently have high direct debit take up at both authorities. Maximise methods of recovery.
CSB RB02 Failure to comply with regulations resulting in a loss of Housing Benefit Subsidy	Regular quality monitoring at both Councils (both client and contractor side at SBDC). Effective training programme for staff at CDC. Close liaison with external auditors, regular meetings and pre-planned audit.



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
	Introducing improved performance management for individuals.
CSB RB03 Failure to set an appropriate Council Tax Reduction/Support scheme on time.	Low risk as current schemes in place. Still small risk of schemes being challenged. EQIA completed to consider equalities duty.
CSB RB04 Failure to cope with increased demand for Housing Benefit/Council Tax reductions due to economic impact	Regular monitoring of caseload and volumes of work. Performance is good currently so capacity to decrease performance to deal with increased volumes.
CSB RB05 Failure to provide an adequate fraud prevention service	Fraud partnership in place across the two Councils. Monitoring of ongoing performance. History of successful prosecutions and publicity.

Section 7 – Costs and cost comparison information

Cost information

Customer Services – the budgeted costs for 2016/17 are the first year of the joint service. Prior to incorporation in the joint service structure, staff working on the Customer Service element of the joint waste contract were not included in the budgeted costs for Customer Services. As part of the business case for the shared service these were included in the CS budget resulting in an increase of approximately £80K in staffing costs. The budget also includes a temporary project officer post which was approved to oversee implementation of some of the changes recommended in the business case. This accounts for the increase in direct costs. The other increase relates to indirect costs which are attributable to recharges which are in the main out of the control of Customer Services. An element of these has been reviewed for the 2017/18 budget resulting in a decrease.

Revenues – The reduction in the Chiltern budget reflects the savings identified in the shared service business case. CDC has the 4th lowest cost per head of population in the comparator group. This is an improvement on last year’s position of 6th.

The overall cost of the South Bucks service has increased by £97,000. The real cost of delivering the service has not increased significantly and the increase in budgeted costs is in the main due to recharges for accommodation. In previous years the recharge for accommodation had not been applied to the Housing Benefit, Business Rates and Council Tax cost centres. The recharge for the small number of desks (3) has now been applied and amounts to approximately £55k. This recharge is high because the accommodation charge for South Bucks is allocated on a per desk basis as many services are no longer located there and so have a lower desk allocation the amount is split between a smaller number of services. £37k of the increase is attributable to a reduction in government grant.

South Bucks is showing as having the 6th lowest charge per head in the comparator group. It is above the



Shared Service Plan Summary

average for the group but beneath the average for all districts.



Shared Service Plan Summary

Environment

Service Plan April 2017 to March 2018

Service units covered by plan	Contract Services Property Services
--------------------------------------	--

Section 1 – Key Service Functions & Aims/Objectives

Key Service Functions	Portfolio reporting to	Statutory/ Mandatory
Provide refuse (including clinical waste collection), street cleansing and recycling service (As required by The Environmental Protection Act 1990 and The Household Waste and Recycling Act 2003) and in compliance with the Waste England and Wales Regulations 2011 (as amended)	Environment	<input checked="" type="checkbox"/>
Ensuring that unwanted electrical and electronic equipment is safely treated and disposed of (EU Waste Electrical & Electronic Equipment Directive 2007)	Environment	<input checked="" type="checkbox"/>
Aim to decrease the generation of residual waste and increase recycling/composting rates in line with the waste hierarchy as set out in the Waste Framework Directive, 2010	Environment	<input checked="" type="checkbox"/>
Deal with fly tipping, littering & nuisance /abandoned vehicles (Clean Neighbourhoods and Environment Act 2005/Removal and Disposal of Vehicle Regulations 1986 (plus 2002 amendments) and the relevant part of the Road Traffic Regulations Act 1986)	Environment	<input checked="" type="checkbox"/>
Responsibility for general and strategic property management including operational and non-operational property and including compliance of Council property with the Disability Discrimination Act and other related legislation / guidance	Environment for CDC, Resources for SBDC	<input checked="" type="checkbox"/>
Riparian responsibilities and powers under the Land Drainage Act 1991	Environment	<input checked="" type="checkbox"/>
Public Health Act – requirement to provide street name plates and street naming	Environment	<input checked="" type="checkbox"/>

Environment

Classification: OFFICIAL



Shared Service Plan Summary

Act as a burial authority (Cemeteries Act 1977)	Environment	<input checked="" type="checkbox"/>
Grounds maintenance of council land, management of woodland / open spaces	Environment	<input type="checkbox"/>
Community Right to bid	Environment	<input checked="" type="checkbox"/>
Management of energy and water contracts and usage within Council properties and compliance with energy legislation	Environment	<input checked="" type="checkbox"/>
Management of the Council's Asset Management Plan	Environment for CDC, Resources for SBDC	<input checked="" type="checkbox"/>
Manage off street car parks in the district	Environment for CDC, Resources for SBDC	<input type="checkbox"/>
Overseeing of street markets / common land	Environment	<input checked="" type="checkbox"/>
Management of public conveniences	Environment	<input type="checkbox"/>
South Bucks only		
Provide expert advice to Planning on Landscape related matters	Environment	<input checked="" type="checkbox"/>
Design and implement environmental improvement schemes within the district	Environment	<input type="checkbox"/>

Key Service Aims & Objectives

Contract Services
Shared service review commenced and will conclude 16/17
Management of joint waste team for CDC/SBDC/WDC based at CDC and SBDC and management of joint waste, recycling and cleansing contract between Chiltern and Wycombe District Council with Serco
Management of the waste and recycling collection and street cleansing contract with Biffa for South Bucks
Promote/educate residents to reduce, reuse and recycle their waste and work with the Bucks Waste Partnership to deliver initiatives under the Waste Strategy for Buckinghamshire
Reduce fly tipping and prosecute fly tippers as part of the Illegal Dumping Costs campaign
Improve our street scene by reducing flyposting and graffiti
Management of property related contracts and grounds maintenance contracts
Estates, facilities and parking
Manage the Council's property portfolio both operational, investment, common land and public open spaces in compliance or regulations / guidance
Support leisure services by providing property advice and managed works required at Leisure



Shared Service Plan Summary

centres / golf courses / playing fields
Manage and operate pay and display car parks in the district
Management of energy contracts to minimise costs and reduce carbon emissions produced by the council properties
To manage the street naming / numbering process within the District
Riparian responsibilities and powers under the Land Drainage Act 1991 and emergency response to flooding and general support
For SBDC design and implement environmental improvement schemes throughout the district and provide advice to planning regarding landscaping schemes

Section 2 - Key achievements/outcomes for 2016/17

Key achievements and outcomes during 2016/17

Contract Services

Shared service review for waste services was completed and new team for CDC/SBDC/WDC is in place
Working with the Waste Partnership for Bucks to plan delivery of DCLG funded projects to increase participation in food waste collections, to reduce residual waste and increase recycling and quality of recycling collected
Joint waste service (CDC/WDC) - Recycling rates continue to be over 50% Recycling rate for 2015/16 waste 52.56% and this continues to exceed the national recycling rate which is below 50%
Joint waste service (CDC/WDC) – new streamlined collection calendars designed, printed and delivered to timescale to approx. 98,000 households (CDC/WDC)
CDC - Successful mass renewal process for approx. 11,000 chargeable garden waste customers in August/September. Current total number of households subscribed to the service is over 15,000
Joint waste service (CDC/WDC)- undertook a survey with residents to establish the preferred method of communicating waste collection calendar dates – most residents prefer a paper based calendar but the publication for 2016/17 was streamlined to provide better value for money

Estates, facilities and Parking

Shared service review implemented in Parking, Estates and Facilities
Future office space planning undertaken to maximise effectiveness of the councils' office space
Led on new joint crematorium at Aylesbury and planning consent now granted
Management of property portfolio to budget and progressing capital projects
Cleared Capswood 1 first floor and refurbished for letting purposes
Introduced new working hours for the on-site caretaker at Capswood to provide a better service to



Shared Service Plan Summary

customers
Provided numerous open days at Stoke Poges Memorial Gardens which were warmly received by South Bucks residents and other visitors
Carried out numerous internal moves in KGVH to free up more space
Managed the highly successful "Ditch the Paper" campaign to reduce waste and free up more much needed storage and working space
Introduced a new FM Helpdesk to make reporting works and issues easier for customers and more manageable for the FM team
Currently completing the final stages of the building maintenance and cleaning tender to provide a more streamlined and cost effective FM service
Currently working on an action group to introduce mobile and flexible working throughout both councils
Increased off-street car parking spaces. Approval received to submit a planning application for an extension to the existing multi-storey car park in Amersham and build a multi-storey car park in Gerrards Cross on the existing Station Road surface car park. This equates to an additional 366 spaces in Amersham and an additional 328 spaces in Gerrards Cross
Rolled out customer web access for parking fines. Work is currently in progress. The system is expected to be up and running for the new financial year

Section 3 - Know your customer

Chiltern

Who are the main customers for the service?

Chiltern has a population of 94,545 and 39,337 households. Wycombe District has a population of 174,878 and 71,559 households for which waste services are delivered in partnership with Chiltern. A waste and recycling collection service is provided to all the households within the District, together with a Collect and Return and clinical waste collection service. Schools and interest groups within the district are visited as part of the waste communication initiatives. Street cleansing, litter collection and fly tip removal are also carried out across both districts, providing residents with a clean local environment to live and work in.

An annual review takes place of all customers on 'collect & return' lists and clinical collection lists to ensure that we are still meeting their needs.

Property services also provide services to all residents within the district. Some services are utilised by customers as and when required such as street naming, use of the cemeteries, sports field etc.



Shared Service Plan Summary

Some services, such as the Chilterns Crematorium and the 18 pay and display car parks providing spaces, will have an extended customer base.

Property services also have internal customers as they are responsible for facilities management at Amersham offices and various tenanted property / land.

South Bucks

Who are the main customers for the service?

South Bucks has a population of 69,120 and 28,587 households. A waste and recycling collection service is provided to all the households within the District, together with an assisted collection service and clinical waste collection service. With 0.4% of households from the Gypsy and Traveller communities, the 7th highest concentration nationally, it is important their particular needs are met regarding waste and recycling services.

A public consultation exercise was undertaken between April and June 2013 prior to the introduction of the new waste and recycling collection service. This primarily focussed on the new proposed service and gave residents the opportunity to express preferences for bin colours and how we collect batteries and textiles. As well as taking views into account we also asked for feedback. 14% either praised the new service or welcomed the changes and a focus group's suggestion to describe the bin type in braille on the lid was implemented.

Property services also provide services to all residents within the district. Some services are utilised by customers as and when required such as street naming, use of the cemeteries, sports field etc. Some services, such as pay and display car parking, will have an extended customer base of local businesses and people travelling into the district for work or leisure.

Property services also have internal customers as they are responsible for facilities management at Capswood offices.



Shared Service Plan Summary

Section 4 – Action plan

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
Contract Services		
Implement Contender database for SBDC	SBDC property database installed and integrated with existing CDC/SBDC database	Cost effective and efficient handling of service requests and logging of reports
Harmonisation of waste policies and procedures across CDC/WDC/SBDC	Improved ways of working and updated waste policies published on web sites	Provision of clear information and consistency for residents
Improved process for chargeable garden waste renewals and subscriptions for CDC/SBDC	Scoping options for process and implementing improvements	Improved on line subscription/ renewal process for residents
Migration of SBDC tier one waste calls to Customer Services	To be introduced by Quarter one	More resilience provided for call handling
Further rationalisation of recycling centres	Removing recycling centres which are abused and which attract the dumping of fly tipped waste and commercial waste	Improving local neighbourhoods and using resources appropriately
Review Assisted Collection List	Annual review to ensure service is provided to those who need it	No change
Review Clinical collection service	Review of information held to check it is up to date	No change
Complete any outstanding recycling service changes in Flats -SBDC	Ongoing project	Improved services for residents in flats
Reorganisation of storage capacity for waste receptacles	Joint project with property team	None
Additional monitoring of cleansing standards	From January 2017, our contractors Serco will be carrying out additional monitoring of cleansing standards across Wycombe and Chiltern District	Improved services for residents



Shared Service Plan Summary

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
	areas. This will include monitoring of litter bin emptying, and feedback on the need for provision of additional litter bins in key locations.	
Estates, facilities and parking		
Maximise the potential of the Councils' property assets, including best use of Council offices	Review options Seek approval for direction Develop action plan to deliver Implement action plan	Value for money
Maximise car park income and ensure well managed services	Monitor income against costs Regular checks Review charges	Good car parking service
Maximise cemetery park income and ensure well managed services	Monitor income against costs Regular checks Review charges	Good cemetery park service
Maximise energy savings	Refer to carbon reduction plans	Lower costs
Ensure non-operational property managed correctly		Maintain income to council To enable leisure, community and waste services have fit for purpose buildings
Progress second crematorium site (CDC)	Refer to project plan when developed	Improved service

Section 5 – Key Performance indicators

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
Environment									
CdWR 1 (C)	Customer satisfaction	86.7%	86%	Sept 2016	85.6 %	84.4 %	86%	86%	86%



Shared Service Plan Summary

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
	survey (every six months)								
CdWR 3 (P)	Percentage of household waste sent for reuse, recycling and composting (cumulative)	52.53 %	57.00%	Sept 2016	55.92 %	53.00 %	53.00 %	53.00 %	53.00 %
CdWR 4 (C)	Household refuse collections, number of containers missed per month (calculated on wkly basis)	New PI	New PI	Sept 2016	1,407	1,733	1,733	1,733	1,733
SbWR 1 (C)	Household refuse collections, number of containers missed per month (calculated by P&C team on wkly basis)	1077	125	Sept 2016	100	100	100	100	100
SbWR 3 (C)	Percentage of household waste sent for reuse, recycling and composting (cumulative)	52.82 %	50.00%	Sept 2016	54.58 %	53.00%	55.00 %	56.00 %	56.00 %

Section 6 – Critical Risks



Shared Service Plan Summary

Ref	Strategic risk title	Relevance / service actions to mitigate
1	Joint Working	<ul style="list-style-type: none"> Shared services will be in place for car parking and properties and facilities
2	Transformation and Management of Change	<ul style="list-style-type: none"> Service reviews encourage and support staff on a path to continuous improvement
3	Financial Stability	<ul style="list-style-type: none"> Savings generated from service reviews.
4	Workforce Issues	<ul style="list-style-type: none"> Workforce planning Training and development of staff
5	Waste & Environmental Services	<ul style="list-style-type: none"> This service leads on this area and will continue to monitor, consult and review service delivery and manage the service level agreements Monitoring of EU and UK legislation
6	Joint/Partnership working	<ul style="list-style-type: none"> n/a
7	Business Continuity	<ul style="list-style-type: none"> Environment business continuity plans to be updated Supports emergencies such as loss of power at council offices
8	Information Management & Security	<ul style="list-style-type: none"> n/a
9	New Legislative Changes	<ul style="list-style-type: none"> n/a
10	Affordable Housing	<ul style="list-style-type: none"> n/a
11	Major Infrastructure Projects Impacts.	<ul style="list-style-type: none"> n/a
12	Demographic Changes	<ul style="list-style-type: none"> n/a
13	Property/ Asset Management	<ul style="list-style-type: none"> This service leads in this area and will continue to seek improvements
14	Economic Viability	<ul style="list-style-type: none"> n/a

Operational risk code and title	Relevance / Mitigation
---------------------------------	------------------------



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
<p>CSB PFE01 Failure to provide a safe environment for users of Council property</p>	<ol style="list-style-type: none"> 1. Services well specified and contractors monitored for performance against contract, compliance with legislation and H & S risks managed. 2. Ensure adequate Health and Safety measures are in place. 3. Officers are trained in relevant legislation. Additional training provided as required. Clear procedures in place. 4. Limited out of hours service provided to cover any out of hour situations, if contractors available. 5. Constant monitoring of contractors throughout projects to ensure safe delivery. 6. COSHH regulations followed and contractors informed accordingly. 7. Asbestos policy in place and inspections take place. Asbestos report at each operational property in H & S file. 8. Fire risk assessments for all operational properties and inspections take place. Fire risk assessment in H & S files in each operational property. Fire systems maintained. 9. Annual testing of utilities carried out and any necessary maintenance carried out. 10. Ensure leases / licenses are drafted in accordance with good practice. Ensure tenants comply with lease terms. Asset register updated regularly. 11. Council procurement and project management rules followed and project planned accordingly. 12. Major environmental improvement schemes to have robust project plans.
<p>CSB PFE04 Illegal Occupancy of Council Land</p>	<p>Early warning of movement through joint working with BCC traveller unit.</p> <p>Physical barriers to prevent access.</p> <p>Established procedures with TVP & BCC to effect quickest removal permitted by legal constraints. Established procedures for removal of debris & detritus after occupancy of land.</p>
<p>CSB PFE05 Failure to provide an effective, quality crematorium service</p>	<ol style="list-style-type: none"> 1. Full IT back-up service provided by CDC IT, with short term manual back-up procedures in place for short outages. 2. Paper records help in fireproof cabinets until backed up on computer. 3. Robust staff recruitment, selection, performance management and training procedures in place. 4. Staff trained to multi-task including grounds maintenance and office staff as relief cremator operators.



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
	<p>5. Facility in place with telephone provider (BT) to redirect 'phones to Crematorium mobile in the event of telephone line problems.</p> <p>6. Superintendent ensures procedures are in place to minimise as far as possible single person dependence with all work procedures fully documented ensuring details of bookings and cremations are fully checked and confirmed.</p> <p>7. Segregation of duties in place with responsibilities fully defined.</p> <p>8. Buildings and associated plant and equipment routinely maintained in good condition, including fire alarm and security systems.</p> <p>9. Emergency generator installed in the event of a power failure.</p> <p>10. Emergency plan in place and volunteers from participating authorities have been identified and trained to help run the Crematorium in the event of a disaster or epidemic.</p> <p>11. Periodic refresher training takes place, new staff are fully trained in all procedures and all staff are trained to strictly follow procedures.</p>
<p>CSB WR01 Failure to provide services within required timescales including inclement weather and following appropriate legislation</p>	<p>Officers are trained in relevant legislation.</p> <p>Additional training provided as required. Clear procedures in place.</p>
<p>CSB WR02 Failure to ensure operations are carried out to minimise the risk of an incident caused by a health and safety breach.</p>	<p>Officers use appropriate PPE and follow RA's, visit in pairs / use Wycombe Alert system at weekends / evenings.</p> <p>Services well specified and contractors monitored for performance against contract, compliance with legislation and H & S risks managed.</p> <p>Procedure in place for dealing with release of chemicals/pollution as a result of fly tipping, and H & S controls are in place.</p> <p>Work underway on reviewing risk assessments and SSOW (Safe systems of work).</p> <p>Officer training is being reviewed and joint training with contractors under consideration.</p> <p>Work underway on reviewing risk assessments and SSOW (Safe systems of work). Officer training is being reviewed and joint training with contractors under consideration.</p>



Shared Service Plan Summary

Section 7 – Costs and cost comparison information

Summary – Cost information - CDC

Waste and recycling - 4th out of 18 per head of population and cost is 8.74% lower than in 2014/15. Costs have reduced due to shared service between Chiltern and Wycombe.

Street cleansing - 4th out of 18 per head of population and cost is 12.32% lower than in 2014/15. Costs are below average due to benefits gained from the joint contract.

Public Offices – cost is 25.76% lower than in 2014/15.

Cemeteries – 10th out of 18 per head of population and cost is 32.08% lower than in 2014/15. There is only one cemetery in the district.

Parking – 11th out of 18 per head of population and 15.85% more income than in 2014/15. This is better than average because of the lower proportion of free car parking.

Parks and open spaces – 6th out of 18 per head of population and costs are 11.61% higher than in 2014/15.

Summary – Cost information - SBDC

Waste and recycling - 16th out of 18 per head of population and cost is 29.26% more than in 2014/15. We are likely to remain one of the most expensive for waste collection costs per head of population within this comparator group because we have the lowest property numbers across a largely rural district (and hence lack capacity for economies of scale), the enviable security of our own depot, and a recycling rate of over 50%.

Street Cleansing – 11th out of 18 per head of population and cost is 49.62% less than in 2014/15. The result is driven by low head count in the district and its rural nature.

Public Offices – cost is 9.34% less than in 2014/15

Cemeteries – 18th out of 18 per head of population and cost is 5.34% more than in 2014/15. We have the highest cost within the comparator group, mainly due to the award winning Stoke Poges Memorial Garden.



Shared Service Plan Summary

Parking – 16th out of 18 per head of population and 4.99% more income than in 2014/15. This is better than average because of the lower proportion of free car parking.

Parks and open spaces – 1st out of 18 per head of population and 124.44% more income than in 2014/15. This is better due to income from Stoke Place.



Shared Service Plan Summary

Finance

Service Plan April 2017 to March 2018

Service units covered by plan	Finance Internal Audit
--------------------------------------	---------------------------

Section 1 – Key Service Functions & Aims/Objectives

Key Service Functions	Portfolio reporting to	Statutory/Mandatory
Finance <ul style="list-style-type: none"> Production and monitoring of the Medium Term Financial Strategy Provision of core financial services - creditor payments, payroll, insurance, sundry debtor invoicing, banking services Provision of core accounting services - budget setting, budget monitoring, final accounts, completion of statutory returns, financial advice Management of the Council's cash flow and investments 	Support Services (CDC) Resources (SBDC)	<input checked="" type="checkbox"/> (Partially)
Procurement <ul style="list-style-type: none"> Production and monitoring of procurement strategy and assistance with its implementation 	Support Services (CDC) Resources (SBDC)	<input checked="" type="checkbox"/> (Partially)
Internal Audit <ul style="list-style-type: none"> Provision of an assurance function that provides an independent and objective opinion to the organisation on the control environment, by evaluating its effectiveness in achieving the organisation's objectives 	Support Services (CDC) Resources (SBDC)	<input checked="" type="checkbox"/>
External Audit <ul style="list-style-type: none"> Liaison with external audit 	Support Services (CDC) Resources	<input checked="" type="checkbox"/>



Shared Service Plan Summary

	(SBDC)	
--	--------	--

Key Service Aims & Objectives

A) Help maintain effective governance arrangements throughout the organisation
B) Assist the Authority to improve the VFM that it provides (including issues relating to procurement)
C) Provide value for money financial services that are driven by customer needs
D) Ensure the Authority has sufficient financial knowledge and experience to meet its needs

Section 2 - Key achievements/outcomes for 2016/17

Key achievements and outcomes during 2016/17

Finance
The CDC Cash Receipting system was rolled out to SBDC, generating process standardisation and simplification
Re-let Cash Collection contract
We again received unqualified audit opinions on the Councils' formal statutory Accounts, and the Charitable Trust's Accounts
Re-let the joint Treasury Management Advice contract
Continued to support changes to the financial management arrangements, as a result of the creation of more joint teams

Section 3 - Know your customer

Who are the main customers for the service?

<p>The main customers of Finance are internal. However we do interact with suppliers and debtors. Joint working has made it very important for Finance to be able to provide consistent financial information across the 2 authorities. There is also a continuing need to correctly account for joint working initiatives.</p>



Shared Service Plan Summary

Section 4 – Action plan

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
Finance		
Help keep the longer term financial strategy up to date to address the funding gap and longer term funding pressures	This needs to take into account the proposed changes to local authority funding, specifically the proposal for 100% retention of NDR monies and the phasing out of RSG	Value for money
Closedown the Statutory Accounts earlier	- Trust, Crem - CDC, SBDC	Preparation for statutory requirement
Tender the external audit contracts for CDC and SBDC (contracts end with audit of 17/18 Accounts)	Sign up to PSAA arrangement	Value for money
Retender for joint Banking services – Contract expires 31 March 18		Value for money
Support the Councils with their capital investment plans (ie car parks, Chiltern pools, SBDC Strategic Asset Review)	Business Case Development Obtaining PWLB borrowing Registering for CIS	Value for money
Help set up a trading	Consideration of VAT and corporate	Value for money



Shared Service Plan Summary

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
company (ie if this is an outcome from the SBDC Strategic Asset Review)	taxation issues	
Help devise appropriate financial management arrangements for the new Aylesbury Crematorium	-	Value for money
Review VAT partial exemption calculations	-	Value for money
Continue to implement finance process improvements (including streamlining and improving payroll / HR processes)	eg reduce cheque usage, reviewing use of bank giro credit slips, electronic payslips for members etc	Value for money

Section 5 – Key Performance indicators

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
Covered within monthly budget monitoring pack									

Section 6 – Critical Risks

Ref	Strategic risk title	Relevance / service actions to mitigate
1	Joint Working	<ul style="list-style-type: none"> Provision of clear financial information to support joint working business cases and financial monitoring of joint working initiatives will provide objective assurance



Shared Service Plan Summary

Ref	Strategic risk title	Relevance / service actions to mitigate
2	Transformation and Management of Change	<ul style="list-style-type: none"> Provision of clear financial information to support transformation projects will provide objective assurance
3	Financial Stability	<ul style="list-style-type: none"> Provision of clear, timely and reliable financial information is essential to mitigate this risk
4	Workforce Issues	<ul style="list-style-type: none"> N/A
5	Waste & Environmental Services	<ul style="list-style-type: none"> N/A
6	Joint/Partnership working	<ul style="list-style-type: none"> N/A
7	Business Continuity	<ul style="list-style-type: none"> We will continue to keep the Finance business continuity arrangements up to date
8	Information Management & Security	<ul style="list-style-type: none"> We will be reviewing the finance file plans and we will continue to keep the Finance retention schedule up to date
9	New Legislative Changes	<ul style="list-style-type: none"> Monitoring and reacting to changes to financial legislation
10	Affordable Housing	<ul style="list-style-type: none"> N/A
11	Major Infrastructure Projects Impacts.	<ul style="list-style-type: none"> N/A
12	Demographic Changes	<ul style="list-style-type: none"> Financial modelling provided if required
13	Property/ Asset Management	<ul style="list-style-type: none"> Provision of clear financial information to support asset management decisions
14	Economic Viability	<ul style="list-style-type: none"> N/A

Operational risk code and title	Relevance / Mitigation
CSB BR01 The Authority is unable to set a robust Medium Term Financial Strategy	<ol style="list-style-type: none"> Possible changes to the national funding formula are monitored and the LGA lobbies to protect member's interests. However this risk cannot be fully controlled Achievement of savings is given a high priority within the Council, and progress is monitored via the monthly budget monitoring reports. Significant saving projects are also managed in accordance with the Councils' project management framework. Regular updates of MTFS Seek further savings



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
<p>CSB BR02 The Authority could have to hold a Council Tax referendum</p>	<ol style="list-style-type: none"> 1. Tax increase to be set at or below the Government guideline figure (subject to Member agreement) 2. Members to be fully briefed on implications of tax referendum 3. Appeal against the decision (if possible)
<p>CSB BR03 The Authority will fail to keep within its annual revenue budget</p>	<ol style="list-style-type: none"> 1. Use reserves to fund overspending 2. Seek further in year savings 3. Planning decisions should be made based on the best professional advice reducing the risk of appeal. In addition the s151 officer takes account of this risk when considering the appropriate level of reserves 4. Income budgets are set prudently. Firm debt recovery processes in place. Monitoring of key income areas is undertaken monthly. Activity data monitoring is in place 5. Professional staff are involved in relevant areas and, where appropriate, training is provided to ensure current standards are understood and implemented 6. Achievement of savings is given a high priority within the Council, and progress is monitored via the monthly budget monitoring reports. Significant saving projects are also managed in accordance with the Councils' project management framework 7. Contracts are only awarded to suppliers which meet our tender criteria. Contracts are monitored and often performance bonds or other guarantees are in place 8. The Workforce plan aims to ensure staff issues are dealt with appropriately. HR monitor turnover rates and exit interviews are conducted to understand why staff leave. Joint working arrangements also help provide resilience 9. HR monitor pay rates and keep the grading structure under review. Where necessary the Authority is also willing to pay market supplements etc 10. Pay estimate is set prudently 11. Contracts are let by competitive tender and where appropriate benchmarked against 'in-house' bids. Joint tender opportunities are considered and specifications are written with a view to the likely cost 12. Performance targets are challenging and carefully monitored. However the Council has accepted that certain costs will fall outside of the budgeted costs and has therefore accepted this issue



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
	<p>13. Cost pressures are monitored via budget monitoring. Budget framework provides for expenditure to be contained within the approved budgets. New areas of significant expenditure have to be approved by Members</p> <p>14. There is regular monitoring of investment returns and action is taken when performance is unsatisfactory. In addition we obtain independent support and advice from a specialist financial advisor. Some funds held as long term fixed rate investments</p> <p>15. Budgets monitored monthly, reported to Management Team and Cabinet and any areas of concern are highlighted so that early action can be taken to bring any overspend back in line with the budget</p>
CSB BR04 The Authority will fail to keep within its capital programme	<p>1. Review the remaining capital programme</p> <p>2. The capital receipts budget is set prudently. Major projects, including asset sales, are managed in accordance with the Council's project management framework and regular update reports are presented to Members</p> <p>3. Major capital projects are managed in accordance with the Council's project management framework and regular update reports are presented to Members</p>
CSB FS01 Inaccurate Financial Information	Adequately resourced finance team, internal control framework
CSB FS02 Treasury Management	Investments are only made in line with the Treasury Management Strategy and with institutions with good credit ratings
CSB FS03 Fraud/Error	Internal control framework, Internal Audit
CSB FS04 Non Compliance with Financial Rules & Regulations	Internal control framework, Internal Audit, skilled and experienced finance team, training etc

Section 7 – Costs and cost comparison information

Cost information

The cost of the finance service has reduced over the past 5 years.
 Direct Costs CDC + SBDC 2012/13 £945,190
 Direct Costs CDC + SBDC 2016/17 £818,900 13% reduction.

The cost of Internal Audit has reduced over the past 5 years



Shared Service Plan Summary

Direct Costs CDC + SBDC 2012/13 £131,150
Direct Costs CDC + SBDC 2016/17 £115,105 12% reduction.



Shared Service Plan Summary

Healthy Communities

Service Plan April 2017 to March 2018

Service units covered by plan	Community and Leisure Community Safety Environmental Health Housing Licensing
--------------------------------------	---

Section 1 – Key Service Functions & Aims/Objectives

Key Service Functions	Portfolio reporting to	Statutory/ Mandatory
Housing - Housing Strategy, Homelessness, Housing Advice and Allocations, Housing Conditions (Grants, Advice and Enforcement) and Energy Efficiency (CDC only)	Communities, Health and Housing (CDC) Healthy Communities (SBDC)	<input checked="" type="checkbox"/>
Environmental Health - Health and Safety, Food Safety and Pest and Dog Control, Health Protection and Public Health Emergency Planning Business Continuity, Air Quality, and remediating contaminated land, Water/flood management (CDC only)	Communities, Health and Housing (CDC) Healthy Communities (SBDC)	<input checked="" type="checkbox"/>
Climate Change, Sustainability, Environmental Project Management e.g. HS2, Aviation, Flooding (CDC)	Environment (CDC)	<input checked="" type="checkbox"/>
Carbon management and energy efficiency (SBDC)	Environment (SBDC)	<input checked="" type="checkbox"/>
Community Safety – Reducing Crime and Disorder, Preventing Violent Extremism and reducing Antisocial behaviour	Communities, Health and Housing (CDC) Healthy Communities (SBDC)	<input checked="" type="checkbox"/>
Licensing – Taxi, Private Hire, Premises, Alcohol, Street Trading	Communities, Health	<input checked="" type="checkbox"/>



Shared Service Plan Summary

and Collections, and Animal Licensing	and Housing (CDC) Healthy Communities (SBDC)	
Community & Leisure - Community Engagement and Cohesion, Safeguarding, Grants, Leisure Client, Sports Development, Community and Partnerships, Health Inequalities and Community Transport	Communities, Health and Housing (CDC) Healthy Communities (SBDC)	☒

Key Service Aims & Objectives

Community & Leisure

Enable the Council to safeguard vulnerable adults and children and young people

Oversee the delivery of customer focussed leisure services at the Councils' leisure centres to ensure they meet the needs of the community

Review existing leisure facility infrastructure and plan effectively to provide appropriate and sufficient provision up to 2045

Work with community transport providers (both voluntary and via Dial – A - Ride) to make sure the services are available for those who most need them and that the potential users are aware of what's available

To provide a range of affordable sporting and cultural activities that will help assist young people, adults, the hard to reach and those with disabilities participate as part of the cohesive and participating wider community

Work closely with partners to develop services that help reduce antisocial behaviour, social isolation and improve community engagement and participation

To work in partnership to support and develop the community and voluntary sector infrastructure to deliver services and support to meet identified needs

Support the health and wellbeing of vulnerable and older people through the Prevention Matters and delivery of Senior Health Fairs and delivering actions arising from the countywide Adult Wellbeing, Healthy Eating and Active Bucks strategies

To facilitate the Councils' grant funding programmes to support community groups to be able to continue to deliver much needed services, improvements and initiatives to the community. These grants are both capital and revenue

To agree the Community & Wellbeing Plans to support Community infrastructure and build capacity within both Chiltern and South Bucks

Community Safety

Reduce house burglary, non-dwelling burglary, theft from vehicles and violent behaviour in our communities



Shared Service Plan Summary

Reduce anti-social behaviour in our communities
Protect vulnerable individuals and communities at risk of fraud
Reduce the fear of crime and perception of anti-social behaviour
Safeguard Communities and Individuals at risk of Domestic Violence, Extremism, Child Sexual Exploitation, Modern Slavery and FGM
Environmental Health
Improve service quality to enable communities, residents and businesses to resolve their service requests at the first point of contact or close to the first time of asking
Provide effective and efficient regulatory services that meets customer needs
Provide effective partnership working to protect and improve public health and environmental quality and mitigate the impact of major projects
Develop a service that supports mitigating the impact of Climate Change and support the community to reduce carbon emissions
Improve the resilience of both Local Authorities to meet increasing demands and respond effectively to emergencies
Continue to develop shared policies and procedures to deliver more efficient services
Housing
To provide Housing advice and assistance to prevent or reduce homelessness whilst minimising the associated costs to the Councils
To facilitate the provision of new affordable housing and make the best use of the housing stock to meet housing need
Provide housing assistance and choice based lettings through the operation of the Bucks Home Choice policy and web based system
To address the needs of an increasingly elderly population and the needs of vulnerable people (including the delivery of advice, assistance and financial support to deliver repairs, improvements and adaptations to the home)
Promote healthy living, well-being and address health inequalities (by tackling poor and/or unsuitable housing conditions)
To support the delivery of home energy efficiency assisting the council to meet its Home Energy Conservation Act responsibilities and targets
Licensing
Protect the public through the operation of effective Licensing strategies, processes and enforcement
Deliver a consistent, transparent licensing and enforcement system across both Chiltern and South Bucks District Councils



Shared Service Plan Summary

Further develop effective pre application and advice services for applicants and residents

Section 2 - Key achievements/outcomes for 2016/17

Key achievements and outcomes during 2016/17

Community and Leisure

Supported the rollout of superfast broadband in Chesham

Delivered the Open Spaces and Playing Pitch strategy and Leisure Facilities Strategy for both Councils which will inform the future needs and delivery of leisure

Delivered the Councils' grant funding programmes which have supported over fifty community groups helping lever in an additional £1million across both districts

Reviewed and introduced the Safeguarding policies to mainstream actions to protect Children and vulnerable persons

Undertaken a Feasibility and Options Appraisal as to the replacement needs of the Chiltern Pools

Supported community groups to participate in building resilient communities (Volunteer training, funding workshops and mentoring) as well as celebrating and recognising local volunteers through the Community Awards event

Worked with BCC to enable the continued use of the Evreham Centre until 2021

Delivered workforce health programme in partnership with local Clinical Commissioning Group including staff health checks, lunchtime leisure activities, discounted access to leisure centres lunchtime health fairs

Over 1 million customer visits across Chiltern and South Bucks leisure centres and over 20,000 throughput in the leisure contract outreach programme targeting isolated older residents, young people and disadvantaged communities

Improvements in leisure centre facilities including the redevelopment of Prestwood Leisure Centre car park and the upgrading of both reception and fitness suites at Chesham and Chiltern Pools centres

Environmental Health

Implemented the shared service review of Environmental Health delivering a single team and improving work flows and service outcomes

Resolved some long term unresolved nuisance cases e.g. Iver Sewage Works fly nuisance

Integrated the database systems and document imaging in to a single system

Implemented the IPPC module for risk rating regulated industrial pollution premises

Introduced the Enterprise workflow system allowing service requests to be monitored

Introduced targeted approach to improving the low or zero rated food premises

Delivered a robust response to serious breaches of regulatory controls resulting in prosecution and



Shared Service Plan Summary

the service of enforcement notices aimed to improve outcomes
Work on mitigation of the impact of major projects such as HS2 and informing the policies and strategies in relation to the major transport project eg M4 Smart Motorway, HS2, Heathrow, WRATH, Crossrail, East West Rail
Supported the Council to address its Health and Safety, Business Continuity and Emergency planning risks
Housing
Undertook the Joint Housing members Workshop to identify actions to be considered in the Housing Strategy
Reviewed the Private Housing Strategy and Financial Assistance Plan for both Councils
Delivered the Green Deal Communities Project securing 629 improved homes across the partnership receiving Awards and Commendations for the partnership project
Reviewed and re-commissioned the LOCATA contract to support the Bucks Choice Housing solution
Delivered 49 disabled facilities grants (DFGs) in CDC and SBDC during first 6 months of 2016/17 enabling persons to remain at home
Established the Chiltern Affordable Housing Members Working Group to assist in taking a strategic approach to Affordable Housing delivery and identified a number of site opportunities for potential schemes (including joint working with Paradigm Housing)
Secured the commitment to acquire land and negotiated with developers to deliver affordable housing on site in South Bucks
Worked with Planning and Building Control to address housing standards issues through enforcement activity and supported multi-agency enforcement action in several challenging cases
Worked with agencies and Revs and Bens to address the potential impact of the changes to Housing Benefit and reduction in Benefits Cap
Addressed the complex needs of Homelessness clients enabling clients to secure appropriate accommodation or to determine the Council no longer had a duty to assist
Supported the Council to review and address the issue of empty homes through joint working with Capacity Grid and Revs and Bens (increasing the potential for additional New Home Bonus)
Supported the delivery of 35 affordable housing units on site in Chiltern through the use of S106 agreements at Lincoln Park (Amersham), Lindo Close (Chesham) and Donkey Field (Little Chalfont). Secured the delivery of 12 affordable rented units on site in South Bucks at Station Road, Taplow through S.106 agreement and funding support to Registered Provider
Licensing
Reviewed the Taxi and Private Hire policy
Reviewed and Harmonised all licensing fees
Reduced licensing operational costs from £156k in 2012/13 to £10k in 2016 through the introduction



Shared Service Plan Summary

of the shared service
The majority of applications that Licensing deals with are now available electronically. The most recent figures showed that 96% of applications were completed using online forms where this is possible
Delivered training for Taxi and Private hire drivers and operators on safeguarding and child sexual exploitation (CSE)
Extended the range of licensing applications available online
New structured website forms being implemented for key issues that we are contacted about. E.g. Taxi accident reporting, and licensee change of address
Processing of applications has been achieved within good timeframes. Most recent figures showed that in the most recent quarter 99% of licences were dealt with within the required timescales
Community Safety
Promoted the Community Responder initiative to communities across both Councils
Raised awareness of Dementia through creating Dementia friendly communities
Undertook a complex Domestic Homicide Review involving 10 partners working across Wycombe and South Bucks
Delivered the Community Cards Scheme involving 32 schools
Delivered Section 17 awareness as part of staff induction process
Increased the number of NHW co-ordinators following a proactive campaign to encourage take-up
Provided Safeguarding training to members of the BME community e.g. Chesham Mosque and both the Asian Volleyball team and the Asian Cricket team
Developed an awareness campaign to highlight the courier and other fraud scams that are impacting on the district
Supported the roll out of the Early Help process

Section 3 - Know your customer

Who are the main customers for the service?

The service reviews have enabled a better understanding of customer needs. This has resulted in proposals to change systems that will reduce the costs of service transactions and enable customers to get the information they require or undertake their business transactions when they need to.

Our customers may be vulnerable in terms of: poor health, low income, threatened with homelessness; or vulnerable through race, disability, sex or gender, religion or belief, age, sexual orientation, gender reassignment, pregnancy and maternity or affected by the environment in which they live.



Shared Service Plan Summary

Our aim is to ensure customers receive service(s) right first time, at the time of asking reducing the need for repeat working. In delivering this service we will be ensuring information and advice is available through the website and via the telephone and face to face services will operate. We will seek to maintain accurate case records so that applications or service requests are delivered in a timely manner benefiting the customer or those affected by the customers' actions. This will be monitored through: complaints against the service or Ombudsman enquiries, customer satisfaction comments and resolution times.

Section 4 – Action plan

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
Environmental Health		
Mobile working pilot in Environmental Health	<ul style="list-style-type: none"> • Agree Project Plan • Implement project plan • Test • Review 	Improved access to services, quicker and more efficient processing
Targeting Food Businesses	Working to improve the worst performing food businesses	Improved food businesses
Better working with business	<p>Seek opportunities to reduce excessive tasks and target added value services for business</p> <p>Develop new business area of the websites</p>	Improved targeted guidance and services
Processing HS2 applications	<p>HS2 Project Board agreement</p> <p>Process Mapped service</p> <p>Process applications</p>	Efficient in dealing with HS2 using skills developed over last 5 years
Major infrastructure	Seek to mitigate the impacts of national infrastructure projects on the Districts	Lesser impact of developments
Public Spaces Protect Order Review	Review the Order and update following consultation and liaison with TVP	Improved ability to tackle issues
Noise procedures	Enable service requests to be received via the Mobile App	Improved ability to tackle issues



Shared Service Plan Summary

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
Deliver actions across both councils to improve air quality and reduce the impact of climate change	<ul style="list-style-type: none"> • Establish the Air quality Partnership • Develop the Air Quality Action Plan 	Reduced ill health through poorly insulated dwellings Opportunity for business investment creating employment
Chesham Culvert	Undertake actions to reduce the risk of Chesham culvert flooding in partnership with BCC and EA	Improved ability to tackle issues
Long term service requests	Undertake actions to reduce the repeat long term service requests	Improved ability to tackle issues
Work through the Customer Services Strategy to meet customer needs at the first point of contact	<ul style="list-style-type: none"> • Enable customers to access advice and support through web, phone • Enable customers to upload data regarding service requests enabling real-time response • Enable customers to access advice and support through web, phone, or through communities 	Improved ability to tackle issues
Business Continuity Plan	<ul style="list-style-type: none"> • Review and update the plan • Test the plan 	cost effective, customer focused services
Emergency Plan	<ul style="list-style-type: none"> • Review and update the plan • Test the plan 	cost effective, customer focused services
Health and Safety Policies and procedures	<ul style="list-style-type: none"> • Review and update the risk assessments and procedures • Monitor compliance 	cost effective, customer focused services
Joint Sustainability and Energy Use Plan	<ul style="list-style-type: none"> • Consultation • Approval • Implementation • Maximise external funding opportunities or • Invest capital to secure payback 	conserve the environment and promote sustainability
Housing		
Police houses used for Temporary Accommodation	Reduced costs of B+B by accommodating within the district Lease income from tenants utilising the property offsetting costs of B+B	Improved ability to tackle issues
Agree redevelop proposals for GX police station site	Reduced costs of B+B by accommodating within the district Lease income from tenants utilising the	Improved ability to tackle issues



Shared Service Plan Summary

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
	property offsetting costs of B+B	
Agree development proposals Summers Road Car Park	Reduced costs of B+B by accommodating within the district Lease income from tenants utilising the property offsetting costs of B+B	Improved ability to tackle issues
Agree development proposals for 'Land at Amersham'	Reduced costs of B+B by accommodating within the district Lease income from tenants utilising the property offsetting costs of B+B	Improved ability to tackle issues
Agree affordable housing development on other CDC owned sites	Reduced costs of B+B by accommodating within the district Lease income from tenants utilising the property offsetting costs of B+B	Improved ability to tackle issues
Agree affordable housing development on PHG owned sites	Reduced costs of B+B by accommodating within the district Lease income from tenants utilising the property offsetting costs of B+B	Improved ability to tackle issues
Develop a joint housing and homelessness strategy to best meet statutory responsibilities and maximise affordable housing provision	<ul style="list-style-type: none"> • use information on customer needs and available resources to draft strategy • review actions to prevent homelessness • seek approval • implement strategy • develop action plan • deliver action plan 	Improved housing service
Temporary Accommodation strategy		Improved ability to tackle issues.
Support joint working with BCC to enable Disabled Adaptations to be delivered to those in need	Work with partners to ensure Better Care Funding is targeted at service delivery	Improved ability to tackle issues
Enforce Housing standards as necessary	Address standards issues in homes of multiple occupancy (HMO), Private rented and owner occupied premises to protect the vulnerable occupant	Improved ability to tackle issues
Improve energy efficiency in dwellings	Address fuel Poverty and Affordable Warmth through partnership actions	Improved ability to tackle issues



Shared Service Plan Summary

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
Community and Leisure		
Consider the Consultation findings in relation to the Chiltern pools project	Community consultation to identify gaps in Feasibility Plan Review Feasibility Plan Develop project plan to proceed	Improved access to high quality leisure facilities
Establish and implement the Chiltern Pools project	Invest to save opportunity to deliver a new leisure facility Develop detailed project plan required to proceed to development stage Issue tenders and appoint contractors	Improved access to high quality leisure facilities
Establish the SBDC Leisure working group to implement the strategic Review	Identify opportunities to deliver the Leisure Strategy	Improved access to high quality leisure facilities
Establish Evreham mitigation Project	Invest to save opportunity to deliver a new leisure facility Release site for affordable housing delivery	Improved access to high quality leisure facilities
Review the delivery of the Lottery	Assess income generation against the current Council demands for community funding	Improved access to community funding
Widen the Community funding streams	Assess income generation against the current Council demands for community funding	Improved access to community funding
Deliver the Community Wellbeing Plan	Empower communities to deliver services and develop community resilience	Increase community engagement
Community Safety & Licensing		
Harmonise the Street Trading Licensing policies	Review policies Consultation	Improved control of street trading and income generation



Shared Service Plan Summary

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
	Adopt policies	
Implement the Taxi and Private hire Policy	Review policies Consultation Adopt policies	Improved control of taxi/Private hires vehicles and drivers
Review of street collection guidance	Review guidance Consider whether to create policies Consult (if necessary) Adopt new guidance/policies	Improved agreed approach to procedure and management of street collections in the districts
Review of licensing pages both websites	Webpages to be reviewed in terms of how 'customer friendly' they are, with the aim of making it easier for the public to understand guidance	Information on websites easier to understand, leading to less wasted time and a more efficient Licensing service
Review Licencing Act policies	Review each policy and consult in time for statutory review of each	Policies reviewed in line with legislative timescales
Redesign of Applications to make them more user-friendly and modern	Will be carried out by Victoria forms (external provider) so action is to chase these changes and ensure they are carried out for all application types in order of importance	Improved look and feel of applications
Mainstream the safeguarding responsibilities and the joint working to address offenders	Raise awareness of staff of the councils powers to tackle complex issues	Earlier resolution to service requests
Introduce harmonised procedures for Fixed Penalty Fines linked to the Community Safety Accreditation Scheme	Review policy and procedures Develop the process and procedures	More consistent service across both Districts
Develop the Street Associations project	Establish Project group with Police	Supports street and NHW associations to widen their role to address Social isolation, Enviro-crime, Bogus Callers, Good Neighbourhood activity



Shared Service Plan Summary

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
Introduce the new arrangements for the CCTV provision	Establish Project group with Police	Earlier resolution to service requests
Undertake the Domestic homicide Reviews as appropriate	Establish Project group with Police as necessary	More consistent service across agencies to protect individuals
Implement the Community Safety Action Plan following the annual priority update	Establish Project group with Police as necessary	More consistent service across agencies to protect individuals
Continue to support the Police Crime Panel with its scrutiny process	Support the PCP scrutiny process	Budget and other scrutiny of the PCC
Agree and deliver the Prevent Action Plan	<ul style="list-style-type: none"> Review Prevent Actions plan Train frontline staff Train community groups 	Safer and healthier local communities

Section 5 – Key Performance indicators

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
Community and Leisure									
CdCL 1 (C)	Customer satisfaction rating at the Chiltern leisure facilities - annual	62.8%	65%	March 16	62.8%	65%	65%	65%	65%
CdCL 2 (C)	Total participation in physical activities delivered through the GLL	8,415	6,000	Sep-16	4,882	9,723	10000	11,000	12,000



Shared Service Plan Summary

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
	community engagement plan (by period quarterly)								
CdCL 3 (C)	Total number of users at all leisure centres (cumulative)	915,382	875,000	Sep-16	709,794	900,000	925,000	950,000	950,000
SbCL 1a (C)	Customer satisfaction rating at the Beacon Centre.	82.46%	81%	2015/16	82.46%	82%	82%	82%	82%
SbCL 1b (C)	Customer satisfaction rating at the Evreham Centre.	66.69%	78%	2015/16	66.69%	78%	82%	82%	82%
Community Safety									
CdC mSf1 (P)	Percentage reduction in burglaries from dwellings year to date for Chiltern (quarterly)	-19.20%	Data only	Sep-16	7.2%	Data only	Data only	Data only	Data only
CdC mSf2 (C)	Percentage reduction in violent offences against a person, year to date	-53.90%	Data only	Sep-16	-25.90%	Data only	Data only	Data only	Data only



Shared Service Plan Summary

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
	(quarterly)								
SbC mSf1 (C)	Percentage reduction in burglaries from dwelling, year to date (quarterly)	- 6.70%	Data only	Sep-16	- 36.6 0%	Data only	Data only	Data only	Data only
SbC mSf2 (P)	Percentage reduction in violent offences against a person, year to date (quarterly)	- 33.40 %	Data only	Sep-16	- 36.2 0%	Data only	Data only	Data only	Data only
Environmental Health									
CdEH 2 (C)	Percentage of food premises (risk rating A to C) that are broadly compliant (snapshot quarterly)	96%	91%	Sep-16	96.7 1%	96%	96.5%	97%	97.5%
SbEH 2 (C)	Percentage of food premises (risk rating A to C) that are broadly compliant (snapshot quarterly)	96%	88%	Sep-16	97.2 7%	89%	96.5%	97%	97.5%



Shared Service Plan Summary

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
Housing									
CdHS 1 (P)	Number of applicants with/expecting children who have been in B & B accommodation for longer than 6 weeks (snapshot figure at end of month)	0	0	Sep-16	0	0	0	0	0
CdHS 2 (C)	Number of affordable homes delivered by (i) new build (ii) vacancies generated by local authority scheme (iii) acquisition of existing properties for social housing (cumulative)	22	33	Sep-16	13	33	33	33	33
CdHS 3i (C)	Average Length of stay in B & B temporary accommodation for all households	10	5	Sep-16	7	10	8	6	6



Shared Service Plan Summary

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
	(snapshot at end of quarter)								
CdHS 4 (C)	Number of private sector dwellings vacant for more than 6 months and returned to occupation following local authority intervention	28	40	2015/16	28	40	40	40	40
CdHS 8 (P)	Number of households living in temporary accommodation (snapshot at the end of the month)	31	21	Sep-16	36	30	30	25	25
SbHS 1 (P)	Number of applicants with/expecting children who have been in B & B accommodation for longer than 6 weeks (snapshot figure at end of month)	15	0	Sep-16	21	0	0	0	0



Shared Service Plan Summary

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
SbHS 2 (C)	Number of affordable homes delivered by (i) new build (ii) vacancies generated by local authority scheme (iii) acquisition of existing properties for social housing (cumulative)	3	22	Sep-16	4	22	22	22	22
SbHS 3i (C)	Average Length of stay in B & B temporary accommodation for all households (snapshot at end of quarter)	13	4	Sep-16	22	10	8	6	6
SbHS 4 (C)	Number of private sector dwellings vacant for more than 6 months and returned to occupation following local authority	0	15	2015/16	0	15	15	15	15



Shared Service Plan Summary

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
	intervention								
SbHS 8 (P)	Number of households living in temporary accommodation (snapshot at the end of the month)	66	15	Sep-16	64	45	40	35	35
Licensing									
JtLI5 (C)	Percentages of licences received and issued/renewed within statutory or policy deadlines (cumulative quarterly)	98.40%	97%	Sep-16	99.70%	97%	97%	97%	97%
Strategic Environment									
CdSE 1 (C)	Cumulative CO2 reduction from local authority operations from base year of 2008/09 (annual)	22.00%	1.30%	2015/16	22.00%	11.70%	12.00%	12.00%	12.00%



Shared Service Plan Summary

Section 6 – Critical Risks

Ref	Strategic risk title	Relevance / service actions to mitigate
1	Joint Working	<ul style="list-style-type: none"> • Joint Services address the concerns of either authority • Policies are being aligned to meet both authorities' needs • Savings to meet the needs of both authorities • Resilience and service quality has improved • Regular team meetings keep staff up to speed on the joint working • Staff are encouraged to engage in the harmonisation of processes, values and behaviours and UGRs
2	Transformation and Management of Change	<ul style="list-style-type: none"> • working with staff to adopt new ways of working and support mobile and flexible working
3	Financial Stability	<ul style="list-style-type: none"> • Service reviews have delivered identifiable savings • New more cost effective ways of working are continually sought
4	Workforce Issues	<ul style="list-style-type: none"> • Workforce planning • Team building • Mentoring and coaching • UGRs and values and behaviours will support the change management required to adopt mobile and flexible working
5	Waste & Environmental Services	<ul style="list-style-type: none"> • Partnership working across service areas to address complex service requests
6	Joint/Partnership working	<ul style="list-style-type: none"> • Partnership working to address impact of legislative change and address complex service request or tackle community safety and safeguarding issues
7	Business Continuity	<ul style="list-style-type: none"> • Business continuity training and plans being reviewed • Services can be delivered from an alternative location
8	Information Management & Security	<ul style="list-style-type: none"> • Data transferred to joint uniform system and housing databases and document imaging systems to deliver robust data handling and recording systems



Shared Service Plan Summary

Ref	Strategic risk title	Relevance / service actions to mitigate
		<ul style="list-style-type: none"> All files scanned and copied to cases IAA appointed Data destruction follows corporate procedures
9	New Legislative Changes	<ul style="list-style-type: none"> Service planning to address changing needs
10	Affordable Housing	<ul style="list-style-type: none"> Whilst the service review increasing the resources to supporting the delivery of affordable housing and prevention of homelessness, demand has doubled requiring additional resources to be considered Housing Strategy to identify actions required by the Councils to address demands Supporting the return of empty properties Prevention of homelessness and review of data held on Buck Home Choice Acquiring land/assets to deliver affordable housing Reviewing council owned and L+Q/PHG sites to consider options to increase affordable housing
11	Major Infrastructure Projects Impacts.	<ul style="list-style-type: none"> Feed into HS2, Aviation consultation
12	Demographic Changes	<ul style="list-style-type: none"> Service planning to address changing needs
13	Property/ Asset Management	<ul style="list-style-type: none"> N/A
14	Economic Viability	<ul style="list-style-type: none"> N/A

Operational risk code and title	Relevance / Mitigation
CSB Comm01 Failure to safeguard children and vulnerable adults	<ol style="list-style-type: none"> 1. Revised joint policy and procedures being developed 2. Training to staff to be reviewed and implemented as result of turnover across both councils 3. Safe recruitment practices being undertaken and reviewed
CSB Comm02 Risk of incurring legal action	<ol style="list-style-type: none"> 1. Regular inspections to comply with contractual obligations 2. Risk assessments are undertaken for all aspects of services provision to ensure controls are adequate. Actions are taken as required to comply with the above 3. Buildings are checked annually by surveyors. As a result of inspections the rolling capital programme is adjusted to account for works required
CSB Comm03 Inequalities in	<ol style="list-style-type: none"> 1. Chiltern and South Bucks CSP Prevent Action Plan



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
communities generate ill-will, lack of cohesion, violent extremism or violent protests	2. Effective engagement with communities 3. WRAP training and safeguarding training being undertaken to staff 4. Community grants used to promote cohesion 5. Monitor community feeling via the Community Safety Team and front line staff 6. Engagement with the voluntary and community sector 7. Regular liaison with the wider community 8. Regular liaison with the facility committees 9. Communication and information with relevant parties 10. Community Impact Assessment to be maintained
CSB Comm04 Failure to deliver a replacement for the Chiltern Pools or Evreham Centre leading to increased costs to the Councils	Communication and information with relevant parties Effective Project management within timescales
CSB EH01 Incorrect decisions resulting in legal challenge	Mentor and train staff and monitor case work Manage training through performance appraisal and training plan processes Officers not to give advice and information on areas that they do not have expertise in
CSB HS01a Increased use of B+B - CDC	Increase the focus on prevention of homelessness. Manage the numbers placed in B+B placements to support move to TA Increase the monitoring frequency and discussion over the controls
CSB HS01b Increased use of B+B - SBDC	Increase the focus on prevention of homelessness Manage the numbers placed in B+B placements to support move to TA Increase the monitoring frequency and discussion over the controls
CSB HS03 Incorrect decisions resulting in legal challenge	Mentor and train staff and monitor case work Manage training through performance appraisal and training plan processes Officers not to give advice and information on areas that they do not have expertise in
CSB LI02 Delays in issuing licences	Monitor performance and manage process flow
CSB LI04 Incorrect decisions resulting in legal challenge	Mentor and train staff and monitor case work Manage training through performance appraisal and training plan



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
	<p>processes</p> <p>Officers not to give advice and information on areas that they do not have expertise in</p>

Section 7 – Costs and cost comparison information

Cost information
<p>CDC</p> <p>Community: 9th lowest per head of population out of 18 and below the comparator group average. Costs have reduced by 23.65% when compared with 2014/15 following the introduction of the shared services</p> <p>Community Safety: 6th lowest per head of population out of 18 and below the comparator group average. Costs have reduced by 11.01% when compared with 2014/15 following the introduction of the shared services</p> <p>Environmental Health: 10th lowest per head of population out of 18. Emergency planning – 6th lowest of 18. Environmental Health costs have increased by 3.09% when compared with 2014/15.</p> <p>Housing: Homelessness – 4th lowest per head of population out of 18 – Other housing costs – 13th lowest per head of population out of 18. Homelessness – Costs have increased by 182% when compared with 2014/15</p> <p>Licensing: 6th lowest per head of population out of 18. Costs have reduced by around 96% when compared with 2014/15 following the introduction of the shared licencing team and improved processes</p> <p>SBDC</p> <p>Community – 6th lowest per head of population out of 18 and below the comparator group average. Costs have reduced by 15.75% when compared with 2014/15 following the introduction of the shared services</p> <p>Community Safety - 5th lowest per head of population out of 18 and below the comparator group average. Costs have reduced by 25.45% when compared with 2014/15 following the introduction of the shared services</p> <p>Environmental Health - 7th lowest per head of population out of 18 and below the comparator group average. Emergency planning – 4th lowest out of 18. Costs have increased by 36.43% when compared with 2014/15</p>



Shared Service Plan Summary

Housing – Homelessness – 3rd lowest per head of population out of 18 – Other housing costs – 8th lowest per head of population out of 18. Homelessness – Costs have reduced by 80% when compared with 2014/15 following the introduction of the shared services

Licensing - 7th lowest per head of population out of 18. Costs have reduced by 93% when compared with 2014/15 following the introduction of the shared licencing team and improved processes



Shared Service Plan Summary

Human Resources

Service Plan April 2017 to March 2018

Service units covered by plan	Human Resources
--------------------------------------	-----------------

Section 1 – Key Service Functions & Aims/Objectives

Key Service Functions	Portfolio reporting to	Statutory/Mandatory
Recruitment and retention – getting and keeping good people as an employer of choice	Leader for CDC/SBDC	<input type="checkbox"/>
Training and Development - developing skills and productivity to encourage improvement in all areas	Leader for CDC/SBDC	<input type="checkbox"/>
Developing the organisation and its leadership in the transformation process– to ensure the organisation is dynamic, fit for purpose and cohesive (Performance Management)	Leader for CDC/SBDC	<input type="checkbox"/>
Equality of Opportunity - compliance with the Equality Act 2010	Leader for CDC/SBDC	<input type="checkbox"/>
Fair and transparent Pay Policy – harmonisation of total reward package for both authorities and compliance with Localism Act	Leader for CDC/SBDC	<input type="checkbox"/>
Health and Well-being	Leader for CDC/SBDC	<input type="checkbox"/>
Ensure effective employee relations	Leader for CDC/SBDC	<input type="checkbox"/>

Key Service Aims & Objectives

Developing, implementing and monitoring a joint workforce plan which links to new joint Council vision and aims.
Leading a joint approach to people management
Supporting Service Managers to develop their services through effective and consistent people management.
Promoting positive employer-employee-union relationships with high quality employee relations advice and support.
Developing a learning organisation through supporting Service Managers to provide learning and

Human Resources

Classification: OFFICIAL



Shared Service Plan Summary

development opportunities for all staff

Promoting a healthy and safe working environment

Ensuring compliance with employment legislation and internal policies

Enabling the Councils to become employers of choice

Section 2 - Key achievements/outcomes for 2016/17

Key achievements and outcomes during 2016/17

Human Resources

- The penultimate shared service review will be completed by the end of the calendar year and planning for the final shared services review is underway.
- 83% of CDC staff and 63% of SBDC staff are on harmonised terms and conditions, totalling 76% across the two Councils. The intention is to move all staff on to harmonised T&Cs by end of calendar year.
- An Organisation Development strategy was developed, and work undertaken with staff to identify organisational values and behaviours.
- An electronic HR database has been introduced across both Councils and subsequent absence management module. The introduction of a cloud-based recruitment system is well underway and will go live in January 2017. Consequently HR processes are being reviewed to improve standardisation and efficiency.
- iIP Bronze has been awarded to both Councils.

Section 3 - Know your customer

Summary – Know your customer (Chiltern)

All internal Staff at SBDC and CDC whether permanent or temporary, members and residents together with the wider public applying for posts at either authority. Joining up of services across both districts will have fundamental changes to the way the service is provided both to internal staff and to external customers applying for jobs at the Councils, with the potential for joint recruitment, benefits and equalities sections on the websites.

Wider stakeholders include other partners in Bucks, Workforce Development Group, Learning Pool, Occupational Health providers, Employee Assistance Programme providers, HealthCare Providers, Computershare Voucher Services, Tensor, Bond international, British Computer Society, Jobsgopublic.com., Local Government Association, South East District Network.

Human Resources

Classification: OFFICIAL



Shared Service Plan Summary

Unemployment locally remains low with a claimant count of 0.7% in July 2015.

The BAME community accounts for 8.51% of the population in Chiltern (2011 Census).

Summary – Know your customer (South Bucks)

All internal Staff at SBDC and CDC whether permanent or temporary, members and residents together with the wider public applying for posts at either authority. Joining up of services across both districts will have fundamental changes to the way the service is provided both to internal staff and to external customers applying for jobs at the Councils, with the potential for joint recruitment, benefits and equalities sections on the websites.

Wider stakeholders include other partners in Bucks, Workforce Development Group, Learning Pool, Occupational Health providers, Employee Assistance Programme providers, HealthCare Providers, Computershare Voucher Services, Tensor, Bond international, British Computer Society, Jobsgopublic.com.

Significant increase in BAME community from 6.6% in 2001 Census to 15.7% in 2011 census. 2.2% of population say that no-one in their household has English as their first language. This has wider implications for the delivery of all services at SBDC and therefore a joined up approach to engaging with these communities to establish if they have any additional / specialist needs will be required. Across the Council we have a very low number, if any; requests for language translation, these requests are rarely from BAME groups.

Unemployment locally remains low with claimant count of 0.6% in July 2015.

Section 4 – Action plan

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
Human Resources		
Ensure HR capacity is available to support sustainable Development shared services review and Phase 3 programme	Review HR resource against phase 3 programme	Value for money
Evaluate future skills and behaviours	Identify required skills and behaviours needed to meet organisational development and succession planning strategies Identify existing skills and behaviours Identify gaps	Business continuity



Shared Service Plan Summary

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
	Develop an action plan to enable gaps to be filled Implement action plan Review results Feed back into process.	
Shared Competency and Performance Review Process	Develop shared competency framework Develop shared performance review process Consult with UNISON and staff Training and implementation Implement	Staff and managers proactively accessing performance and learning opportunities leading to higher employee motivation and engagement and hence better customer care and improvement to services
Implement approach to Organisation Development in conjunction with Management Team/Heads of service	Work to phase 3 programme	This will contribute to the delivery of good quality services, ensuring resilience of those services and deliver the required savings
Implement remaining shared service review outcomes	Joint recruitment, joint training, joint induction	Value for money
Improve levels of staff satisfaction and improve engagement with staff	<ul style="list-style-type: none"> Produce action plan from outcome of 2015/16 staff survey Continue to consult with UNISON and staff on new changes where applicable 	Improved levels of satisfaction on with delivery of HR service and in turn good quality services to residents
Implement new employment legislation	To be agreed once clear on changes	The Council will be compliant with legislation therefore reducing the risk of related legal action
Development of joint workforce plan	To be agreed	



Shared Service Plan Summary

Section 5 – Key Performance Indicators

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
Human Resources									
CdHR 1 (P)	Working days lost due to sickness absence (cumulative for year)	7.95	11	September 2016	7.66	10.00	9.00	9.00	9.00
CdHR 2 (C)	Voluntary leavers as a % of workforce (cumulative for year)	18.6%	8%	September 2016	8.80	16%	16%	16%	16%
CdHR 14 (P)	Working days lost due to short term sickness absence (upto 20 working days)	New PI	New PI	September 2016	5.1	5.00	4.50	4.00	4.00
CdHR 15 (P)	Working days lost due to long term sickness absence (more than 20 working days)	New PI	New PI	September 2016	2.56	3.00	3.00	3.00	3.00
SbHR 1 (P)	Working days lost due to sickness absence (cumulative for year)	15.43	11.00	September 2016	13.28	10.00	9.00	9.00	9.00
SbHR 2 (C)	Voluntary leavers as a percentage of workforce	10.47 %	8%	September 2016	15.58	16%	16%	16%	16%



Shared Service Plan Summary

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
	(cumulative for year).								
SbHR 14 (P)	Working days lost due to short term sickness absence (upto 20 working days)	New PI	New PI	September 2016	3.5	5.00	4.50	4.00	4.00
SbHR 15 (P)	Working days lost due to long term sickness absence (more than 20 working days)	New PI	New PI	September 2016	9.76	3.00	3.00	3.00	3.00

Section 6 – Critical Risks

Ref	Strategic risk title	Relevance / service actions to mitigate
1	Joint Working	<ul style="list-style-type: none"> • Support implementation of shared services • Provide workshops ahead of consultation to let staff know what to expect • Offer individual meetings during consultation to answer any private queries. • Hold workshops to help staff complete their expression of interest and prepare for interview. • Support communication effort
2	Transformation and Management of Change	<ul style="list-style-type: none"> • Senior members and managers show commitment to change. • Case for changes clearly made and communicated. • Build on success, in order to establish confidence to change. • Prioritise programme of change, and ensure it is adequately resourced.



Shared Service Plan Summary

Ref	Strategic risk title	Relevance / service actions to mitigate
3	Financial Stability	<ul style="list-style-type: none"> Continue to develop partnership and collaborative joint working with other Local Authorities HR units to improve value for money.
4	Workforce Issues	<ul style="list-style-type: none"> Workforce planning Good staff communications processes Training and development strategies in place, resourced and monitored. Develop and retain, where possible, existing staff with expert knowledge. Act quickly to recruit individuals to fill any vacancies
5	Waste & Environmental Services	N/A
6	Joint/Partnership working	<ul style="list-style-type: none"> Highlight the importance of partnership working by including in JDs for example.
7	Business Continuity	<ul style="list-style-type: none"> Review regularly and update services Business Continuity plan
8	Information Management & Security	<ul style="list-style-type: none"> Staff aware of data protection responsibility Update staff training records.
9	New Legislative Changes	<ul style="list-style-type: none"> Keep up to date with employment law changes and work appropriately for their implementation
10	Affordable Housing	<ul style="list-style-type: none"> N/A
11	Major Infrastructure Projects Impacts.	<ul style="list-style-type: none"> N/A
12	Demographic Changes	<ul style="list-style-type: none"> N/A
13	Property/ Asset Management	<ul style="list-style-type: none"> N/A
14	Economic Viability	<ul style="list-style-type: none"> Support local apprenticeship initiatives.

Operational risk code and title	Relevance / Mitigation
CSB HR01 Failure to provide trusted, robust, accurate HR advice	1. Procured advice from Croners and South East Employers. Second opinion is available from SEE. Keep up to date with current legislation via Croners, CIPD, ACAS;



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
	<ul style="list-style-type: none"> 2. Ensure the right policies and procedures are in place and are communicated to staff and managers; 3. Ensure people managers are properly trained / coached to handle staff matters; 4. Simple guidelines for the handling of confidential sensitive issues/documents within the unit to be documented and used to remind staff; 5. Robust people management policies and procedures in place with training for managers; Robust monitoring and checking process put into place to identify staff requiring vetting and barring checks and in keeping these up to date.
<p>CSB HR02 Failure to recruit and retain right people in right posts</p>	<ul style="list-style-type: none"> 1. Monitor staff turnover rates and encourage an increase in cross training to provide staff cover; 2. Monitor pay and benefit rates and keep pay policy under review; 3. Ensure robust selection processes and techniques are in place; 4. Report to Management Team/Personnel Committee on recruitment and retention of staff; 5. Efficient recruitment procedure with appropriate benefits to attract the right staff; 6. Ensure all systems are accessible and promote sharing of information and skills required to carry out tasks to provide back-up for key personnel; Develop people planning needs with Management team to analyse 'key' staff.
<p>CSB HR03 Failure to develop staff to maximise their effectiveness (including management and leadership skills).</p>	<ul style="list-style-type: none"> 1. Comprehensive harmonised competency based Performance Review Framework to be developed place to replace existing provision; 2. Encourage two-way communication with staff e.g. meetings, appraisals, UNISON, Grievance Procedure; 3. Encourage the monitoring of performance and provision of feedback, including through the appraisals process; 4. Manage underperformers when needed, through the disciplinary procedure; 5. Introduce more focused and objective competency based assessment; 6. Ensure both Councils continue to retain IIP recognition; Establish talent management programme.
<p>CSB HR04 Inappropriate breach of policies and practices</p>	<ul style="list-style-type: none"> 1. Fair and reasonable policies and benefits in place which are consistently applied; 2. Monitor senior managers' performance in maintaining sickness



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
	records and managing absence/flexi time abuse; 3. Implement robust Management Control techniques and monitoring procedures to identify any abuse of benefits; Take action on any abuse of benefits through the disciplinary procedure;
CSB HR05 Failure to support managers and staff in implementing and operating the new harmonised joint Terms and Conditions for shared services (including job evaluation and pay strategy)	1. Robust and frequent communications in place to explain the 'why', 'what' and 'how' to staff moving onto new Terms and Conditions. 2. Monitor process and identify impacts of any delays, including costs, resources and income; 3. Should risk become more likely to occur, plan contingency actions to minimise impact; 4. Ensure all staff are fully informed about the changes; 5. Where possible, promote balance across both workforces in relation to gains and losses to demonstrate fairness.

Section 7 – Costs and cost comparison information

Cost information
Costs have reduced by around 5% when compared with 2014/15.



Shared Service Plan Summary

Sustainable Development

Service Plan April 2017 to March 2018

Service units covered by plan	Building Control Development Management (including Enforcement, Conservation and Arboricultural services) Planning Policy
--------------------------------------	---

Section 1 – Key Service Functions & Aims/Objectives

Key Service Functions	Portfolio reporting to	Statutory/Mandatory
Preparation and maintenance of an up to date joint Local Plan, including complying with the Duty to Co-operate. Supporting the preparation of neighbourhood plans	Sustainable Development	<input checked="" type="checkbox"/>
Monitoring of a range of matters including the implementation of key planning policies, and the Councils' performance in relation to key performance indicators	Sustainable Development	<input checked="" type="checkbox"/>
Influencing the policies of neighbouring and other Local Planning Authorities (including through Duty to Co-operate), the Government's planning policies, and a range of other bodies whose policies or strategic proposals may affect the Districts	Sustainable Development	<input checked="" type="checkbox"/>
Working and collaborating with a range of partners, including the LEP and other agencies on joint issues, particularly issues relating to strategic infrastructure	Sustainable Development	<input type="checkbox"/>
Preparation, research and development of other planning related information and evidence to support the Councils' planning decisions	Sustainable Development	<input type="checkbox"/>
Processing and determination of planning and associated applications	Sustainable Development	<input checked="" type="checkbox"/>
Preparing and presenting evidence to support the Councils' planning decisions through the statutory appeal process	Sustainable Development	<input checked="" type="checkbox"/>
Enforcement of planning control including the monitoring of planning permissions	Sustainable Development	<input type="checkbox"/>



Shared Service Plan Summary

Providing planning information and advice to customers	Sustainable Development	<input type="checkbox"/>
Making, reviewing and revoking Tree Preservation Orders	Sustainable Development	<input type="checkbox"/>
Designation of Conservation Areas, the preparation of Conservation Area Character Appraisals. Promoting the listing of new buildings of significant historic and architectural importance	Sustainable Development	<input type="checkbox"/>
Enforcement of the Building Regulations 2010, including the processing and determination of applications submitted under the Building Regulations, the carrying out of site inspections and the provision of Building Control advice to customers	Sustainable Development	<input checked="" type="checkbox"/>
Enforcement of the Building Act 1984, including dealing with and undertaking site inspections relating to dangerous structures and demolitions	Sustainable Development	<input checked="" type="checkbox"/>
Provide awareness and advice for access for the disabled	Sustainable Development	<input checked="" type="checkbox"/>
Provision of responses to enable searches to be completed	Sustainable Development	<input checked="" type="checkbox"/>

Building Control

Key Service Aims & Objectives

To ensure that building projects are designed and built in accordance with Building Regulations, health and safety standards and other relevant legislation thus safeguarding the public health and safety of people in and around buildings

To provide a cost effective building control service that provides good value for money for both Authorities and the customer

To maintain or enhance customer satisfaction whilst delivering a quality service which is resilient

Development Management

Key Service Aims & Objectives

To take planning decisions to deliver the Councils' strategic objectives in accordance with the Local Plan unless to do so would be outweighed by the benefits of other material considerations or the NPPF

To successfully defend the Councils' decisions at appeal

To resolve alleged breaches of planning control in accordance with the Councils' Enforcement policy as efficiently as possible, taking formal action in those cases where it is expedient to do so and where it has not been possible to regularise the position by other means



Shared Service Plan Summary

Planning Policy

Key Service Aims & Objectives

Develop a new joint Local Plan in line with the National Planning Policy Framework, setting out clear strategic priorities for the area and the policies that address these, concentrating on the critical issues facing the area – including its development needs – and the strategy and opportunities for addressing them (including deliverability and viability)

Support the Neighbourhood Planning process by providing advice or assistance to the entity which is producing the neighbourhood plan and by taking decisions at key stages in the neighbourhood planning process

Section 2 - Key achievements/outcomes for 2016/17

Key achievements and outcomes during 2016/17

Building Control

Continued to maintain high levels of performance in checking building control applications, notwithstanding the reduced staffing levels in terms of building control surveyors

Continued to maintain high level of customer satisfaction

Designed and implemented a Builders Partnership Scheme

Actively worked to introduce mobile and agile working, through operating a pilot scheme

Significant move to paperless office – since January 2016 all building notices/regularisation applications/partners applications have been processed in a digitised format (no hard copies)

Increased the number of partners

Planning Policy

Joint Local Plan for Chiltern and South Bucks – preparation of evidence base; duty to co-operate discussions; and publication of preferred options consultation undertaken in October – December 2016

Worked collaboratively with other organisations delivering infrastructure whilst minimising the adverse impacts of such proposals (E.g. Western rail access to Heathrow, Wilton Park diversion)

Supported neighbourhood planning through the making (adoption) of Chalfont St Peter Neighbourhood Plan and the designation of a number of other neighbourhood areas (Gerrards Cross, Iver, Farnham Royal, Taplow, Seer Green)

Development Management

Business case prepared examining the case for a shared planning service for Chiltern and South Bucks, bringing about a range of benefits and improvements

Maintained top-quality performance as one of the best authorities in the country in terms of dealing with major, minor and other applications within the statutory period/timescales agreed with the

Sustainable Development

Classification: OFFICIAL



Shared Service Plan Summary

applicant

Maintained high levels of customer satisfaction

Achieved a high success rate in successfully defending the Council’s decisions on appeal (South Bucks)

A significant improvement in the approach to, and performance of Enforcement at South Bucks following the appointment of a new Manager in October 2016

Section 3 - Know your customer

Who are the main customers for the service?

There are a wide range of customers, both direct customers who use the service itself, and indirect customers who are affected by its outcomes.

Planning/Enforcement/Planning Policy – direct customers – applicants, agents, Planning Committee, other Members, Town & Parish Councils, a wide range of other consultees, occupants/owners of nearby and neighbouring properties, objectors, those who support proposals, those who make allegations about unauthorised development, contraveners, the Planning Inspectorate, adjacent local planning authorities, duty to co-operate organisations.

Planning/Enforcement/Planning Policy – indirect customers – residents, businesses, those who use the Districts in some other way (e.g. leisure purposes, or in their daily commute). Another more specific example of an indirect user would be someone in need of affordable housing. Formal consultation has been and will be undertaken on the joint Local Plan.

Building Control – direct customers – applicants, agents, property owners, builders, Members, Thames Water, Land Charges team, solicitors, Planning, Housing team, those with disabilities.

Building Control – indirect customers – owners and occupiers of neighbouring properties, the general public, and other statutory agencies such as Fire Authority. We will continue to survey our customers as well as issuing newsletters and holding seminars on relevant subjects according to demand.



Shared Service Plan Summary

Section 4 – Action plan

List of Key Actions/ Projects	Key Milestones/ Underlying Actions	What will be the key outcomes and benefits seen by residents
Building Control		
Increased number of partners	Ongoing	Wider range of partners
Mobile and agile working	Go live early in 2017/18	Reduced costs from mobile working
Paperless office	April 2017	Reduced accommodation thus reduced office costs
Planning Policy		
Joint Local Plan	Publication stage of draft joint Local Plan (Regulation 19)	The draft plan with policies which addresses all issues
Joint Local Plan	Submission of the draft joint Local Plan (regulation 22)	The submission local plan which addresses all issues
Support those town/parish councils seeking neighbourhood area designation/producing neighbourhood plans	Not known – dependent upon town/parish councils timescales	Neighbourhood plans consistent with the development plan
Development Management		
Shared Planning Service	Phase I staff restructure	
Shared planning service	Phase 2 staff restructure	
Joint Local Plan	Input into the local plan process	A sound local plan which addresses all relevant issues



Shared Service Plan Summary

Section 5 – Key Performance indicators

PI Code	Short Name	2015/ 16 Value	2015/ 16 Target	Updated	Value	Annual Target 2016/ 17	Future Targets		
							2017/ 18	2018/ 19	2019/ 20
Unit									
CdPP 1 (C)	Net additional homes provided (Annual)		133	2014/15	189	145	145	145	145
CdSD 7 (C)	Percentage of planning applicants who are satisfied or very satisfied with the planning service (cumulative, quarterly)	77%	80%	June 2016	87.5 %	80%	80%	80%	80%
CdSD 8 (C)	Planning appeals allowed (cumulative)	39.76 %	35%	June 2016	53.33 %	35%	35%	35%	35%
CdSD 10 (P)	Processing of planning applications: minor applications processed within 8 weeks (cumulative)	81.92 %	70.00%	July 2016	82.29 %	75.00%	80 .00%	80 .00%	80 .00%
CdSD 11 (P)	Processing of planning applications: other applications processed within 8 weeks (cumulative)	92.15 %	90.00%	July 2016	92.47 %	90.00%	90.00 %	90.00 %	90.00 %
CdSD 12 (C)	% of new enforcement	100%	30%	June 2016	100%	100%	100%	100%	100%



Shared Service Plan Summary

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
	cases where an initial site visit for an urgent priority case is undertaken within the timescale set out in the Enforcement Policy (Cumulative, monthly)								
CdSD 31 (P)	Special measures: speed of processing of major applications - minimum percentage of decisions on major applications which are made within 13 weeks or timescale agreed with the applicant; for assessment in October/November 2018 (cumulative)	Annual Indicator	51.00%	July 2016	100.00%	51.00%	51.00%	51.00%	51.00%
CdSD 32 (C)	% of new enforcement cases where an initial site visit for a high	100%	30%	June 2016	100%	100%	100%	100%	100%



Shared Service Plan Summary

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
	priority case is undertaken within the timescale set out in the Enforcement Policy (Cumulative, monthly)								
JtBC1 (C)	Applications checked within 10 working days (cumulative)	92.7%	85%	July 2016	98.3 %	92%	92%	92%	92%
JtBC4 (C)	Customer satisfaction with the building control service. (cumulative)	92.7%	94%	July 2016	100%	92%	92%	92%	92%
SbPP 1 (C)	Net additional homes provided		199	2014/15	139	203	253	253	253
SbSD 7 (C)	Percentage of planning applicants who are satisfied or very satisfied with the planning service	90.3%	80%	July 2016	91.4 %	80%	80%	80%	80%
SbSD 8 (C)	Planning appeals allowed.	24.2%	30.0%	July 2016	23.7 %	35.0%	35.0%	35.0%	35.0%
SbSD 10 (C)	Processing of planning applications: minor applications (cumulative)	98.22 %	92.00%	July 2016	94.64 %	90.00%	90.00 %	90.00 %	90.00 %
SbSD	Processing of	97.88	95.00%	July 2016	96.25	90.00%	90.00	90.00	90.00



Shared Service Plan Summary

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
11 (C)	planning applications: other applications (cumulative)	%			%		%	%	%
replaced by new PI in 2017/18 – see line below									
New in 2017/18	Percentage of new enforcement allegations where an initial site visit for a low priority case is undertaken within 20 days (the timescales set out in the Enforcement Policy and Procedure) (quarterly snapshot)						85.00 %	85.00 %	85.00 %
SbSD 31 (P)	Special measures: speed of processing of major applications -	Annual Indicator	51.00%	July 2016	100.00%	51.00%	51.00 %	51.00 %	51.00 %



Shared Service Plan Summary

PI Code	Short Name	2015/16 Value	2015/16 Target	Updated	Value	Annual Target 2016/17	Future Targets		
							2017/18	2018/19	2019/20
	minimum percentage of decisions on major applications which are made within 13 weeks or timescale agreed with the applicant; for assessment in October/November 2018 (cumulative)								
SbSD 33 (C)	Percentage of new enforcement cases where an initial site visit for a high-priority case is undertaken within the timescale (3 working days) set out in the enforcement and monitoring policy (Cumulative, monthly)	100%	30%	June 2016	99%	98%	100 %	100 %	100%



Shared Service Plan Summary

Section 6 – Critical Risks

Ref	Strategic risk title	Relevance / service actions to mitigate
1	Joint Working	<ul style="list-style-type: none"> • Programme Initiation Document • Member Working Group for the Review • Active involvement of all staff in the service review • Use external specialist support • Meeting between Head of Service and relevant Managers
2	Transformation and Management of Change	<ul style="list-style-type: none"> • Programme Initiation Document • Member Working Group for the Review • Active involvement of all staff in the service review • Use external specialist support • Meeting between Head of Service and relevant Managers
3	Financial Stability	<ul style="list-style-type: none"> • Active monitoring of Building Control and Development Management income, and appeals expenditure budgets • Income generation considered as part of normal budget preparation process and as part of planning shared service review
4	Workforce Issues	<ul style="list-style-type: none"> • Workforce planning via service reviews • Training & development plans via staff appraisals • Provide staff with an interesting and stimulating team environment; provide the necessary support to enable staff to be able to undertake their jobs successfully
5	Waste & Environmental Services	<ul style="list-style-type: none"> • N/A
6	Joint/Partnership working	<ul style="list-style-type: none"> • The Bucks Local Planning Authorities have been working closely together under the 'Duty to Co-operate' in relation to the preparation of their local plans. Partnership working with a number of other bodies in relation to strategic infrastructure projects (e.g. Heathrow, HS2, Western rail access to Heathrow, relief roads at Beaconsfield and Iver etc)
7	Business Continuity	<ul style="list-style-type: none"> • Business Continuity Plans will need updating following service review outcomes
8	Information Management & Security	<ul style="list-style-type: none"> • All staff required to comply with the Council's corporate policies
9	New Legislative Changes	<ul style="list-style-type: none"> • Maintain a watching brief through the technical



Shared Service Plan Summary

Ref	Strategic risk title	Relevance / service actions to mitigate
		planning press for new/ revised legislation
10	Affordable Housing	<ul style="list-style-type: none"> • Implementation of affordable housing policies via the Development Management process • Inclusion of relevant policies in the joint local plan, supported by a robust evidence base • Respond to Government on any Government consultations which would adversely affect the provision of affordable housing
11	Major Infrastructure Projects Impacts.	<ul style="list-style-type: none"> • The establishment of a dedicated HS2 team to deal with schedule 17 applications. Active engagement with promoters of other major infrastructure projects (e.g. WRAtH, Heathrow) in order to influence their emerging proposals • One post with a focus on infrastructure
12	Demographic Changes	<ul style="list-style-type: none"> • Plan making process to take account of major changes to demography
13	Property/ Asset Management	<ul style="list-style-type: none"> • A planning input into the review of the councils assets; the provision of pre-application advice; dealing with the Councils' own applications
14	Economic Viability	<ul style="list-style-type: none"> • Local Plan includes an assessment of objectively assessed needs for employment and will seek to provide for employment needs

Operational risk code and title	Relevance / Mitigation
CSB BC01 Loss of staff	Reduce loss of staff by providing staff with an interesting and stimulating team environment; provide the necessary support to enable staff to be able to undertake their jobs. If vacancies arise seek to secure permanent replacements through early advertisement, but use agency staff in the interim period if needed.
CSB BC02 Increased income/reduced costs are not delivered	Likelihood and rating increased due to high income budget target set for 2017/18. Income and expenditure monitored monthly. Applications not registered without the necessary fee. Fee checked by Admin staff, liaising with Management if needed. Invoices to be sent out promptly and non-payment chased. Charges to be reviewed periodically.
CSB BC03 Development does	Staff training; new Regulations/guidance provided to all Surveyors;



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
not meet the Building Regulations	recommendations authorised by a more senior Surveyor; enhanced resilience of a single team with greater knowledge/experience; use of codes and reference documents; if unsure, Surveyors to check with a more senior surveyor; structural calculations to be checked by Structural Engineer; Indemnity insurance in place.
CSB BC04 Poor/untimely advice in dealing with dangerous structures	Surveyors all trained to deal with dangerous structures; JDs for all Surveyors require them to deal with dangerous structures; Principals required to be able to undertake inspections within an hour during unsocial hours; Surveyor to contact a more senior Surveyor or seek additional help and support if needed.
CSB BC05 Increased competition/loss of reputation	QA accreditation retained, with annual external audit. Marketing Plan. Officer with responsibility for the 'customer experience'. Customer surveys monitored, and action taken to implement improvements. Staff not allowed to undertake any private work which could have the potential to bring the Councils into disrepute or perceived to do so.
CSB DCE01a Loss of staff - CDC	Currently a high rating due to the stage which has been reached in the shared planning service review – being addressed as part of the review. Reduce loss of staff by providing staff with an interesting and stimulating team environment; provide the necessary support to enable staff to be able to undertake their jobs. If vacancies arise seek to secure permanent replacements through early advertisement, but use agency or other temporary external staff in the interim period if needed.
CSB DCE01b Loss of/insufficient staff - SBDC	Currently a high rating due to the stage which has been reached in the shared planning service review – being addressed as part of the review. Reduce loss of staff by providing staff with an interesting and stimulating team environment; provide the necessary support to enable staff to be able to undertake their jobs. If vacancies arise seek to secure permanent replacements through early advertisement, but use agency or other temporary external staff in the interim period if needed.
CSB DCE02a Poor decision making - CDC	Staff training; training of Planning Committee; template for officers' reports; procedures require checks in signing off decisions and recommendations. A more risk based approach (with reduced sign off and fewer checks overall) to be taken in the proposed planning shared service.



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
CSB DCE02b Poor decision making - SBDC	Staff training; training of Planning Committee; template for officers' reports; procedures require checks in signing off decisions and recommendations. A more risk based approach (with reduced sign off and fewer checks overall) to be taken in the proposed planning shared service.
CSB DCE03a Low levels of customer satisfaction - CDC	The level of customer satisfaction at Chiltern has increased as is shown by PI performance. Ensure that the service continuously explores how it could be more customer focused; monitoring of customer survey and complaints feedback; in response to all complaints consider whether improvements are needed; processing of complaints regarding unauthorised development in accordance with Enforcement policy.
CSB DCE03b Low levels of customer satisfaction -SBDC	Ensure that the service continually explores how it could be more customer focussed; monitoring of customer survey and complaints feedback; in response to all complaints consider whether improvements are needed; actively seek customer views ; speedier processing of allegations of unauthorised development in accordance with Enforcement policy
CSB DCE04a Reduced application and pre-application fee income -CDC	Realistic budget setting. Ensure that we maintain good performance in processing major applications, and in our appeal performance regarding major applications (over a two year period) thus ensuring that all major applications have to be submitted to CDC rather than applicants having the choice of submitting to CDC or PINS.
CSB DCE04b Reduced application and pre-application fee income - SBDC	Realistic budget setting. Ensure we maintain good performance in processing major applications and in our appeal performance regarding major applications (over a 2 year period) thus ensuring that all applications have to be submitted to SBDC rather than applicants having the choice of submitting to SBDC or PINS.
CSB DCE05a Judicial Review of decisions - CDC	Seek legal advice as appropriate; ensure all decisions are robust and justified; seriously consider appellants evidence/offers in relation to appeals/enforcement appeals.
CSB DCE05b Judicial Review of decisions - SBDC	Seek legal advice as appropriate; ensure all decisions are robust and justified; seriously consider appellants evidence/offers in relation to appeals/enforcement appeals.
CSB DCE06b Low customer satisfaction in relation to enforcement – SBDC	Team now being led by a new Manager who is very proactive and is changing the team ethos significantly.
CSB PP01a Insufficient planning staff (number and experience) –	Reduce loss of staff by providing staff with an interesting and stimulating team environment; provide the necessary support to



Shared Service Plan Summary

Operational risk code and title	Relevance / Mitigation
CDC & SBDC	enable staff to be able to undertake their jobs. If vacancies arise seek to secure permanent replacements through early advertisement, but use agency or other temporary external staff in the interim period if needed.
CSB PP02a Local Plan not being found sound – CDC & SBDC	Continual engagement with Duty to Co-operate bodies and key stakeholders (& recorded); ensure that policies are fully supported by the evidence base and are steered by the Sustainability Appraisal; ensure LDS is up to date; seek legal advice where needed; regular liaison between Planning Policy Manager/HOSD and the 2 Cabinet Members; reports, via Management Team to Joint Member Reference Group; prepare robust evidential proofs; ensure staff are trained to give evidence.
CSB PP03a Timetable for adoption not met – CDC & SBDC	LDS timetable being reviewed – report to JMRG on 16 November 2016. Regular reports to JMRG on progress being made.

Section 7 – Costs and cost comparison information

Cost information

CDC

Building control costs are 6th highest in the comparator group of 18. Building control costs have reduced by 26.17% when compared with 2014/15. Since the Council has a relatively small population, these costs tend to be on the higher side per head of population, reflecting the fixed cost element of providing the service. There have been staff savings arising from the joint service.

Development management costs are 3rd highest in the comparator group of 18. Development management costs have reduced by 14.53% when compared with 2014/15

Planning policy costs are 7th highest in the comparator group of 18. Planning policy costs have increased by around 10% when compared with 2014/15

Development Management & Planning Policy: since the Council has a relatively small population, these costs tend to be on the higher side per head of population, reflecting the high fixed cost element of providing the service, the high numbers of applications per head of population, the high priority that Members place on protecting the Green Belt and the cost of protecting the overall character of the District. Additionally, Planning Policy costs vary each year depending on what Local Plan documents are



Shared Service Plan Summary

being prepared (some require a more extensive and specialist evidence base than others), and the stage they are at.

SBDC

Building control costs are the lowest in the comparator group of 18. Building control costs have reduced by 125.20% when compared with 2014/15

Development management costs are 2nd highest in the comparator group of 18. Development management costs have reduced by 35.74% when compared with 2014/15

Planning policy costs are 2nd highest in the comparator group of 18. Planning policy costs have increased by around 113% when compared with 2014/15

Development Management & Planning Policy: since the Council has a relatively small population, these costs tend to be on the higher side per head of population, reflecting the high fixed cost element of providing the service, the high numbers of applications per head of population, the high priority that Members place on protecting the Green Belt and the cost of protecting the overall character of the District. Additionally, Planning Policy costs vary each year depending on what Local Plan documents are being prepared (some require a more extensive and specialist evidence base than others), and the stage they are at.