



Audit Committee

Date: Thursday, 17 November 2016
Time: 7.00 pm
Venue: Committee Room 1
District Council Offices, Queen Victoria Road, High Wycombe Bucks

Membership

Chairman: Councillor M C Appleyard
Vice Chairman: Councillor S Saddique

Councillors: A Lee, Ms C J Oliver, G Peart, N J B Teesdale, G C Hall and M Hanif

Standing Deputies

Councillors: P R Turner, C Whitehead, R J Scott and M Asif

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Agenda

| Item | | Page |
|------|---|-------|
| 1 | Apologies for Absence To receive apologies for absence. | |
| 2 | Minutes To confirm the Minutes of the meeting of the Committee held on 22 September 2016 [attached]. | 1 - 7 |
| 3 | Declarations of Interest To receive any disclosure of disclosable pecuniary interests by Members relating to items on the agenda. If any Member is uncertain as to whether an interest should be disclosed, he or she is asked if possible to contact the District Solicitor prior to the meeting. Members are reminded that if they are declaring an interest, they should state the nature of that interest whether or not they are required to withdraw from the meeting. | |

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| 4 | 2016/17 Quarter 2 Service Performance Report | 8 - 17 |
| 5 | Audit,Risk & Fraud Manager's Half Yearly Report | 18 - 24 |
| 6 | Appointment of External Auditor | 25 - 26 |
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The following Information Sheet is attached:

01/2016 Health & Safety – mid-year progress report

02/2016 Customer Services Centre Performance

Members are reminded to give 24 hours' notice of any questions concerning an Information Sheet to ensure an answer can be given at the meeting.

10 **Supplementary Items**

If circulated in accordance with the five clear days' notice provision.

11 **Urgent Items**

Any urgent items of business as agreed by the Chairman.

For further information, please contact Jemma Durkan on 01494 421635, committeeservices@wycombe.gov.uk

Audit Committee Minutes

Date: 22 September 2016

Time: 7.00 - 8.30 pm

PRESENT: Councillor M C Appleyard (in the Chair)

Councillors A Lee, Ms C J Oliver, G Peart and N J B Teesdale, P R Turner and R J Scott

Also present: Councillor D Watson
Maria Grindley (External Auditor, Ernst & Young)

13 APOLOGIES FOR ABSENCE

Apologies for absence were received from Councillor S Saddique, Councillor G Hall and Sue Gill (Ernst & Young).

14 DECLARATIONS OF INTEREST

There were no declarations of interest.

15 MINUTES

RESOLVED: That the minutes of the meeting held on 30 June 2016 be confirmed as a correct record and signed by the Chairman.

16 RECYCLING RATES

The Committee received a report which provided information on the recycling performance of the joint waste contract between Wycombe District Council (WDC), Chiltern District Council (CDC) and Serco and figures relating to missed collections.

In June the Audit Committee expressed concern regarding performance of the joint waste contract against performance indicator targets, specifically recycling rates and missed collections. The Waste Recycling and Services Manager, Sally Gordon informed the Committee that the target set for 2015/16 by the Joint Waste Team for the percentage of household waste recycled and percentage of household waste composted combined was 56% - this was based on the aspirational target set by Serco in contract bid documents (59%).

It was reported that the actual combined achieved was 52.6% which was below target however it was noted that this was above the National Recycling rate. Various factors affected performance of the joint waste contract and also national performance, these included:

- Less packaging materials to recycle.
- Using light weight packaging.

- Paper consumption reduction due to digital technology.
- Demographic of district areas.
- Weekly recycling collections tend to have higher recycling rates.
- Weather and the effect on garden waste.
- Rigorous controls at material reclamation facilities (MRF).

Work was undertaken in October 2015 with households in High Wycombe to increase awareness of materials acceptable for the collection and collection crews received regular training on the correct materials for the recycling bins.

Sally noted that the performance indicators would need to be reconsidered to set a more realistic and achievable target in light of the factors impacting on recycling rates.

Regarding missed collections it was noted that the figures for 2014/15 and 2015/16 had been high and various factors had contributed to performance which included:

- The start of a new service and ensuring the routes were efficient and customers understood the requirements for recycling.
- Crews working longer hours and staff adapting to this change.
- Complaints regarding missed collections.
- Recruitment and high turnover of staff.
- A national problem with recruiting into HGV positions.

It was noted that the Joint Waste team were working with Serco to improve performance and during the first quarter of 2016/17 missed collection levels had dropped significantly.

In response to questions Sally confirmed that repeated missed collections should be reported and then these would be investigated. Also broken recycling bins should also be reported and replacements would be provided by the collection crews. It was noted that performance of crews were monitored and repeated missed collections were added to a 'hotspot' list for managers to sign off when collections were made.

RESOLVED: That

- i) The report be noted; and
- ii) A future report be provided outlining the new recycling performance targets.

17 2016/17 QUARTER 1 SERVICE PERFORMANCE REPORT

The Committee were provided with an update on a selection of the corporate performance measures for Q1 (April – June).

Information was provided on 20 Level 1 measures identified by the Audit Committee and an overview of all corporate measures.

During the discussion Members made a number of points and noted the following:

- Regarding Customer Services Centre (HR002) - The 70% target for 'calls answered in 20 seconds' was questioned and challenged as perceived as being too low given performance levels. An overview of the basket of measures used to monitor CSC contract performance was requested for the next meeting and for this also to include benchmark information on how we compare to best practice elsewhere. A question was also raised about how to ensure that the operatives in Coventry receive training so that they passport calls to the right people and whether transferring callers to CISCO Call Centre with automated options is standard.
- Regarding Homelessness applications (ES008) - Wider context was requested around this measure and the duty on the Council to provide housing, including whether a screening exercise was carried out to see if the Council 'have a duty' or whether the full application process needs to be undertaken to discover this.

RESOLVED: That the 2015/16 Services Performance Q1 (April – June) be noted.

18 STATEMENT OF ACCOUNTS AND ANNUAL GOVERNANCE STATEMENT

The Finance Services Manager, Brenda Watson and Senior Accountant, Julia Turner presented the Statement of Accounts for 2015/16, and the Higginson Park Trust Statement of Accounts for 2015/16. During the detailed presentation the Committee were taken through key figures in the Accounts, and were asked to recommend that the Higginson Park Trust Accounts be recommended to Council for approval as the Council is the charity's sole trustee.

The Committee were also asked to note the Annual Governance Statement for 2015/16 which had been signed by the Leader and Chief Executive.

Julia Turner, Senior Accountant summarised the key factors affecting the Council's accounts:

- The gross expenditure for 2015/16 totalled £93m.
- The General Fund surplus for the year was £727k after allowing for £123k allocated by Cabinet in June 2016 to meet two new funding requests.
- There was £41,705k set aside as Earmarked Reserves from revenue for specific purposes.
- Major Projects expenditure of £30.527m of which £29.5m was treated as capital for funding purposes.
- Long Term Assets had increased by £34.4m mainly due to the completion of the Handy Cross site.

It was also noted that since the publication of the draft Accounts in June 2016 amendments had been made during the audit process. These included investments being incorrectly categorised as Long Term instead of Short Term and land disposed of at Hughenden Quarter was not written off the asset register. The Accounts had been subsequently updated and it was noted that there was no impact on cash or usable reserves.

The Head of Finance and Commercial informed the Committee that the Statement of Accounts were in the final process of being audited and requested that authority to approve the final accounts be delegated to the Audit Committee Chairman in consultation with the Head of Finance and Commercial.

The Committee noted the Higginson Park Charity Accounts for 2015/16 with a net expenditure of the trust of £185k with assets worth £5,837k. Members noted that the Council provided a small subsidy in relation to the Leisure Centre contract.

The Chairman thanked the officers for the presentation.

Recommended: That the Higginson Park Trust Annual Report and Accounts for 2015/16 be recommended to Council for approval.

RESOLVED: That (i) approval of the Statement of Accounts for the financial year ended 31 March 2016 be delegated to the Chairman of the Audit Committee in consultation with the Head of Financial and Commercial; and

(ii) the signed Annual Governance Statement for 2015/16 alongside the Statement of Accounts be noted.

19 EXTERNAL AUDITOR'S ISA 260 AUDIT RESULTS REPORT

External Auditor, Maria Grindley, presented Ernst & Young's Audit Results Report and findings from the 2015/2016 audit. The Committee were informed that the auditors proposed to issue an unqualified opinion on the financial statements and Value for Money Opinion. The audit results had demonstrated that the Council had prepared its financial statements adequately.

It was reported that Appendix A detailed the corrected audit differences that had been identified during the audit. These related to a classification error between long-term and short-term investments and a correction regarding the Hughenden Quarter disposal. The Head of Financial Services confirmed that these had been corrected and there were no unadjusted errors to the accounts.

RESOLVED: That the Auditor's Results Report be noted.

20 TREASURY MANAGEMENT ANNUAL REPORT 2015/16 AND PRUDENTIAL INDICATORS

The Committee received a report produced for the end of the financial year in respect of Treasury Management as required by the Chartered Institute of Public Finance and Accountancy (CIPFA) Treasury Management in the Public Services: Code of Practice. The report outlined the treasury management activities and performance for 2015/16.

Members noted that:

- An interest free loan of £3.3m from the Bucks Thames Valley Local Enterprise Partnership to support the redevelopment at Handy Cross had been repaid.
- The Bank of England base interest rate remained at 0.5% and that investment rates had remained stable but historically very low.
- Funds of £500k had been received from Iceland following the collapse of the Glitnir Icelandic Bank. All investments had now been recovered and including part interest payments.

RESOLVED: That

- (i) the treasury management report for 2015/16 be noted; and
- (ii) the detail regarding the sale of Icelandic investments during 2016/17 be noted.

21 AUDIT COMMITTEE TERMS OF REFERENCE - SELF ASSESSMENT OF GOOD PRACTICE

The Committee received a report which provided the results of the self-assessment Core Knowledge and Skills Framework, based on CIPFA's Self-Assessment of Core Knowledge and Skills.

The Committee was informed that 6 out of 12 completed forms were returned this year compared to 13 returned forms in August 2015. The current assessment had identified that further training would be undertaken to maintain awareness of the key aspects of the workings of the Audit Committee. These areas were as follows:

- Knowledge of the six principles of the CIPFA/SOLACE Good Governance Framework and the requirements of the Annual Governance Statement (AGS). Knowledge of the local code of governance.
- Awareness of the financial statements that a local authority must produce and the principles it must follow to produce them. Understanding of good financial management principles. Knowledge of how the organisation meets the requirements of the role of the chief financial officer, as required by the CIPFA Statement on the Role of the Chief Financial Officer in Local Government.

- Understanding of the principals of risk management, including linkage to good governance and decision making. Knowledge of the risk management policy and strategy of the organisation. Understanding of risk governance arrangements, including the role of members and of the Audit Committee.
- Knowledge of the Seven Principles of Public Life. Knowledge of the authority's key arrangements to uphold ethical standards for both members and staff. Knowledge of the whistleblowing arrangements in the authority.

It was requested that the self-assessment questionnaires be circulated at an alternative time of year as during the summer holidays these could sometimes be missed.

Members confirmed that they were satisfied with the way in which training had been provided in the past, i.e. in advance of the main Audit Committee meeting. It was agreed that they would like to continue with the arrangement in that they would receive training based on the content of the Committees forward plan and that the Chairman would meet with officers to discuss requirements for future training.

RESOLVED: That

- i) the results of the self-assessment Core Knowledge and Skills Framework undertaken by the members of the Audit Committee be noted; and
- ii) the Chairman meet with Officers to discuss training needs.

22 IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS

The Committee were provided with an update on the implementation of recommendations that had arisen from the final reports issued during 2015/16.

It was reported that 37 of the agreed recommendations had been implemented within agreed timescales and one recommendation had yet to reach its implementation date. Details were provided regarding progress of internal audit recommendations which had not yet been implemented. It was noted that recommendations to Parking Services had not been accepted however work would continue with the service.

RESOLVED: That the report on the Implementation of Internal Audit Recommendations be noted.

23 AUDIT COMMITTEE WORK PROGRAMME

The Audit Committee work programme as appended to the agenda was reviewed by the Committee.

It was noted that an update would be provided in November regarding arrangements for procuring the external auditors as discussions would need to be undertaken on the process involved.

Wording regarding the Red Kite update in January would be amended.

The Ernst & Young Annual Audit Plan would be brought forward to the January meeting.

RESOLVED: That the forward work programme be noted and updated as above.

Chairman

The following officers were in attendance at the meeting:

| | |
|------------------|--------------------------------------|
| Jemma Durkan | - Senior Democratic Services Officer |
| Steve Richardson | - Head of Finance and Commercial |
| Mike Howard | - Audit, Risk and Fraud Manager |
| Jacqueline Ford | - Corporate Policy Team Leader |
| Brenda Watson | - Finance Service Manager |
| Julia Turner | - Senior Accountant |

Agenda Item 4

2016/17 SERVICE PERFORMANCE: Q2 (July – September)

Officer contact: Aisha Bi DDL: 01494 421981, Email: aisha.bi@wycombe.gov.uk

Wards affected: All

PROPOSED DECISION

That the summary of the year to date outturns (July – September) for service performance be received.

Corporate Implications

1. Corporate business planning and monitoring is conducive to the discharge of the Council's various functions and is therefore authorised by Section 111 of the Local Government Act 1972.
2. Quarterly monitoring of performance enables the identification of areas of under-performance and action to be taken on these in 'real time' as appropriate, so that there are no surprises at year end.
3. The quarterly monitoring of the quality of the data also ensures that it is fit for purpose for decision making and complies with the dimensions of good data quality as set out by the Audit Commission and embedded within the Council's performance management framework and data quality policy.

Executive Summary

This report provides an updated of all the corporate performance measures for Q2 (July – September).

Sustainable Community Strategy/Council Priorities - Implications

Performance measures represent additional 'achievement' indicators that link to and support the aims and objectives of the Sustainable Community Strategy and the Council's Priorities (as set out in the Corporate Plan)

Background

The Council corporately reports 41 performance measures. A report providing an update on these performance measures is circulated to Strategic Management Board, Cabinet, and Audit Committee each quarter.

Consultations

Service Performance has been considered by Strategic Management Board (19 October 2016) and Cabinet (14 November 2016).

Executive Summary

Appendix A: 19 Level 1 measures identified by Audit Committee. This includes the base data as appropriate to put the percentage outturns in context.

Appendix A: Level 1 Measures

| Leader's Portfolio | | 2015/16 Actual | 2016/17 Targets | Q1 | Q2 | | Snapshot* *Q1 2014/15 to present |
|--------------------|---|----------------|-----------------|----|--------|-----------|-------------------------------------|
| Code | Measure | | | | Actual | Alert | |
| DL001 | Number of COMPLAINTS received | 442 | NA | 89 | 72 | Data Only | |
| Comment: | Service improvement this quarter included repeated missed collections being added to the hotspot list for Serco to monitor their collections, with review meetings every 6 weeks with Serco. New operatives completing training to ensure dog bins are emptied correctly. Faulty car parking machines being repaired by the contractor. The team are also exploring options with other services to resolve the issue of rough sleepers. | | | | | | |

| Finance and Resources Portfolio | | 2015/16 Actual | 2016/17 Targets | Q1 | Q2 | | Snapshot* *Q1 2014/15 to present |
|---------------------------------|--|----------------|-----------------|-------|--------|-------|-------------------------------------|
| Code | Measure | | | | Actual | Alert | |
| BV08 | % of invoices paid within 30 days | 97% | 98% | 97.6% | 98.7% | | |
| | Paid within 30 days | 6,520 | | 1,612 | 1,801 | | |
| | Total paid | 6,693 | | 1,652 | 1,825 | | |
| Comment: | Performance continues to be within target. | | | | | | |



Exceeded target by more than 5%



Met or are within +/- 5% of target



More than 5% away from target

Appendix A: Level 1 Measures

| Finance and Resources Portfolio | | 2015/16 Actual | 2016/17 Targets | Q1 | Q2 (Cumulative) | | Snapshot* *Q1 2014/15 to present |
|---------------------------------|---|----------------|-----------------|--------|-----------------|-------|-------------------------------------|
| Code | Measure | | | | Actual | Alert | |
| BV78a | Average time taken to process HB / CTR: new claims (days) | 22.5 | 18 | 26.9 | 26.6 | ▲ | |
| | Total number of days taken | 46,067 | | 12,290 | 24,934 | | |
| | Number of new claims | 2,051 | | 457 | 938 | | |
| BV78b | Average time taken to process HB / CTR: change events (days) | 10.1 | 8 | 9.3 | 9.9 | ▲ | |
| | Total number of days taken | 339,693 | | 73,980 | 141,808 | | |
| | Number of change events | 33,671 | | 7,965 | 14,275 | | |
| Comment for both measures: | Workloads have been high due to a combination of long term sickness coupled with the growing complexity of benefit assessment due to continued legislative changes. Checking of work (to increase accuracy levels) has also increased which impacts on output levels. By the end of the quarter the benefit section has largely caught up with outstanding work, which will deliver improved performance in Q3. | | | | | | |



Exceeded target by more than 5%







Met or are within +/- 5% of target



More than 5% away from target

Appendix A: Level 1 Measures

| Finance and Resources Portfolio | | 2015/16 Actual | 2016/17 Targets | Q1 | Q2 (Cumulative) | | Snapshot* *Q1 2014/15 to present |
|---------------------------------|---|----------------|-----------------|--------------|-----------------|---|---|
| Code | Measure | | | | Actual | Alert | |
| BV009 | % of Council Tax Collected | 98% | 30.4% | 30% | 58% |  |  |
| | Estimated net collectable debit | £98,019,152 | | £31,613,136 | £61,246,933 | | |
| | Total receipts (cumulative) | £99,998,737 | | £105,434,208 | £105,518,361 | | |
| BV010 | % of national non-domestic rates (NNDR) Collected | 98.5% | 32.7% | 31.1% | 57% |  |  |
| | Estimated net collectable debit | £72,163,413 | | £23,635,014 | £42,901,257 | | |
| | Total receipts (cumulative) | £73,240,650 | | £76,113,145 | £75,730,612 | | |
| Comment for both measures: | Performance continues to be within target. | | | | | | |



Exceeded target by more than 5%



Met or are within +/- 5% of target



More than 5% away from target

Appendix A: Level 1 Measures

| Housing Portfolio | | 2015/16 Actual | 2016/17 Targets | Q1 | Q2 | | Snapshot* *Q1 2014/15 to present |
|-------------------|--|----------------|-----------------|--------|--------|-------|-------------------------------------|
| Code | Measure | | | Actual | Actual | Alert | |
| ES006 | Number of people in temporary accommodation (TA) | 89 | N/A | 101 | 109 | N/A | |
| | Bed and Breakfast | | | 24 | 26 | | |
| | Saunderton Lodge | | | 31 | 30 | | |
| | Registered Provider | | | 43 | 51 | | |
| | WDC retained properties | | | 3 | 2 | | |
| Comment: | Over the last few quarters we have seen an increase in the number of people housed in temporary accommodation; this is a reflection of the national situation. As at June 2016 (the latest figures from DCLG) Wycombe had 1.51 households in TA per 1,000 households which is lower than the figure for England (3.15); and the figure for neighbouring area such as South Bucks (2.58) and Slough (5). The team continue to work in partnership with Registered Providers and Private landlords to meet demand. | | | | | | |
| ES008 | Number of homelessness applications agreed for which we have a duty to provide housing | 99 | N/A | 25 | 22 | N/A | |
| Comment: | During this quarter decisions were made on 58 applications. The figure of 22 is similar to this time last year (23). | | | | | | |



Exceeded target by more than 5%



Met or are within +/- 5% of target



More than 5% away from target

Appendix A: Level 1 Measures

| Housing Portfolio | | 2015/16 Actual | 2016/17 Targets | Q1 | Q2 | | Snapshot* *Q1 2014/15 to present |
|-------------------|---|----------------|------------------|----|--------|-------|-------------------------------------|
| Code | Measure | | | | Actual | Alert | |
| ES009 | Number of households prevented from becoming homeless through WDC advise | 232 | 240 (Qtr: 60) | 50 | 43 | ▲ | |
| Comment: | The increasing difficulty to assist households into affordable private rented properties in the district due to market rents rising well above local housing allowance levels has made it difficult to meet our quarterly target of 60. | | | | | | |

| Planning Portfolio | | 2015/16 Actual | 2016/17 Targets | Q1 Actual | Q2 | | Snapshot* *Q1 2014/15 to present |
|--------------------|--|----------------|-----------------|-----------|--------|-------|-------------------------------------|
| Code | Measure | | | | Actual | Alert | |
| NI157a | % of MAJOR applications determined in 13 weeks | 72% | 60% | 83% | 73% | ★ | |
| | Determined in 13 weeks | 34 | | 5 | 11 | | |
| | Number determined | 47 | | 6 | 15 | | |
| Comment: | Above the government minimum set target of 60% for this quarter. | | | | | | |



Exceeded target by more than 5%


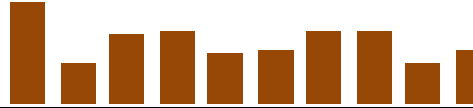


Met or are within +/- 5% of target



More than 5% away from target

Appendix A: Level 1 Measures

| Planning Portfolio | | 2015/16 Actual | 2016/17 Targets | Q1 | Q2 | | Snapshot* *Q1 2014/15 to present |
|--------------------|---|----------------|-----------------|--------|--------|-------|---|
| Code | Measure | | | Actual | Actual | Alert | |
| NI157b | % of MINOR applications determined in 13 weeks | 77% | 65% | 80% | 83% | ★ |  |
| | Determined in 13 weeks | 333 | | 87 | 82 | | |
| | Number determined | 430 | | 109 | 99 | | |
| Comment: | We have exceeded target for the second quarter this year. | | | | | | |
| BV204 | % of section 78 planning appeals allowed | 36% | 40% | 25% | 32% | ★ |  |
| | Number of appeals allowed | 25 | | 6 | 7 | | |
| | Total number of appeals | 69 | | 24 | 22 | | |
| Comment: | We have exceeded target for the second quarter this year. | | | | | | |



Exceeded target by more than 5%







Met or are within +/- 5% of target



More than 5% away from target

Appendix A: Level 1 Measures

| HR, ICT and Customer Services Portfolio | | 2015/16 Actual | 2016/17 Targets | Q1 | Q2 | | Snapshot* *Q1 2014/15 to present |
|---|--|----------------|-----------------|--------|--------|---|---|
| Code | Measure | | | Actual | Actual | Alert | |
| BV12 | Average number of working days lost to sickness absence per FTE | 6.8 | 7 | 5.24 | 5.15 |  |  |
| Comment: | Sickness absence at 30/9/16 is a rate per quarter of 2.26% or 5.15 days. This is the lowest figure reported since 2014. For the year ending 30/9/16 the absence average is 6.13 days. Environment (7.3%), HR, ICT and SSS (8.3%), Planning and Sustainability (7.4%) and Major projects and Estates (14.4%) all have a year to date absence rate higher than the target of 2.9%. The figure for Major projects and Estates is due to one member of staff being off on long term sick within a small team of 5. | | | | | | |
| HR002 | Number answered within 20 seconds | 72% | 70% | 71% | 68% |  |  |
| | Total number of calls answered within 20 seconds | 123,908 | | 33,072 | 30,895 | | |
| | Total number of calls | 172,585 | | 46,450 | 45,521 | | |
| Comment: | Overall satisfaction levels based upon quarterly survey was 91.3% at the end of July 2016 with 94.9% of calls being resolved at first point of contact. | | | | | | |



Exceeded target by more than 5%





Met or are within +/- 5% of target



More than 5% away from target

Appendix A: Level 1 Measures

| Environment Portfolio | | 2015/16 Actual | 2016/17 Targets | Q1 | Q2 | | Snapshot* *Q1 2014/15 to present |
|-----------------------|--|----------------|-----------------|--------|--------|-------|---|
| Code | Measure | | | | Actual | Alert | |
| NI192 (JWS5) | % of household waste reused, recycled and composted | 52.6% | 55.2% | 56.5% | 55.6% | ● |  |
| | Tonnage of household waste reused, recycled and composted | 50,416 | 51,995 | 14,577 | 14,187 | ● | |
| Comment: | The Q2 figures are provisional as we are still waiting for additional information from third party suppliers. Following on from Q1; we had an exceptionally large amount of garden waste collected, particularly in July, due to the ideal growing conditions. There was also a reduction in the amount of waste collected overall, compared with Q1, as is frequently the case during the summer months when residents are more likely to be on summer vacations and no collections from schools due to summer closure. | | | | | | |
| ES003 (JWS11) | % of calls to the Joint Waste Team which are abandoned | 13.7% | N/A | 16.2% | 17.8% | N/A |  |
| | Number of calls abandoned | 10,663 | | 2,599 | 2,571 | | |
| | Total number of calls | 77,894 | | 16,049 | 14,427 | | |
| Comment: | This quarter there have been several incidences of technical difficulties affecting the telephony system. The first incident was between 8th and 16th August 2016, calls would fade out before they could be answered by the call handlers. This caused an increase in the numbers of calls appearing abandoned, until the issue was resolved on 16th August. Following this there was no telephone system available on the 5th September 2016 until approximately 11am. Once the phone lines were running again there were large volumes of calls to be answered resulting in longer waiting times; impacting on the number of calls abandoned. | | | | | | |



Exceeded target by more than 5%



Met or are within +/- 5% of target



More than 5% away from target

Appendix A: Level 1 Measures

| Environment Portfolio | | 2015/16 Actual | 2016/17 Targets | Q1 | Q2 | | Snapshot* *Q1 2014/15 to present |
|-----------------------|---|----------------|-----------------|-------|--------|-------|-------------------------------------|
| Code | Measure | | | | Actual | Alert | |
| BV082ai (JWS1) | % of household waste recycled | 25.8% | 24.1% | 22.5% | 24.2% | ● | |
| BV082aii (JWS3) | Tonnage of household waste recycled | 24,755.8 | 6,446 | 5,959 | 6,187 | ● | |
| Comment: | There has been ongoing work by the Recycling Officers to raise awareness and continue educating residents about what can be placed in the blue bin. This has included talks to community groups, home visits, stalls in markets and a visit to the students union at Bucks New University to raise awareness. Serco crews are also continuing to tag contaminated bins so less contamination is being collected from the kerbside, in turn improving the quality of the material sent for reprocessing. | | | | | | |
| ES005 | % of programmed food premises interventions carried out | 93% | 90% | 79.5% | 91% | ● | |
| | Number of programmed interventions carried out | 452 | | 109 | 145 | | |
| | Number of interventions programmed | 487 | | 137 | 159 | | |
| Comment: | Figure is provisional; performance is within target. | | | | | | |



Exceeded target by more than 5%



Met or are within +/- 5% of target



More than 5% away from target

Agenda Item 5

Title: Audit, Risk and Fraud Manager's Half Yearly Report

Officer contact: Michael Howard

Direct Line: 01494 421357

Email: mike.howard@wycombe.gov.uk

Wards affected: All

PROPOSED DECISION

That the Audit, Risk and Fraud Manager's half yearly report for the period ending 30th September 2016 be noted.

Corporate Implications

- 1 The Audit, Risk and Fraud Manager provides regular reports on the progress of the work undertaken in the Audit, Risk and Fraud Division.

Executive Summary

- 2 The purpose of the report, contained in Appendix 1 is to provides the Audit Committee with an update on the progress of the Audit, Risk and Fraud Division in the first 6 months of 2016/17.
- 3 The report provides an update as regards the delivery of Internal Audit's work programme.
- 4 Following the summary of the work of Internal Audit is an update of the work of the Corporate Investigations Team.

Background Papers

None

Agenda Item 5

INTERNAL AUDIT, RISK MANAGEMENT AND CORPORATE INVESTIGATIONS

BACKGROUND

The Division consists of three service elements, Internal Audit, Risk Management and Corporate Investigations.

INTRODUCTION AND SUMMARY OF THE WORK OF INTERNAL AUDIT

The purpose of this report is to provide the Committee with an update on the progress on delivering the Audit Programme that was agreed by this Committee at its meeting in June 2016.

Due the composition of the 2016/17 audit programme, the number of audits that have been undertaken in the first 6 months is low. This is primarily the result of a reduced audit programme and the need to schedule core financial reviews in order that any testing schedules are based on a representative sample of completed transactions.

There are three reviews that are currently work in progress:

Food Safety,

Treasury Management and a review of

Licensing (Hackney Carriages / Private Hire and Operator Licences. In addition, scheduling of the remaining programme is outlined below:

| | |
|--|-----------------------------------|
| Corporate Debt Management | (30 th January 2016)) |
| Creditors | |
| Payroll | (13 th February 2017) |
| Parking Services | (13 th February 2017) |
| Commercial Leases | (6 th March 2017) |
| Main Accounting and Budgetary Control | (14 th November 2016). |
| Council Tax and NNDR | (14 th January 2016) |
| Council Tax Support and Housing Benefits | (12 th December 2016) |
| Income System | (21 st November 2016) |
| Follow up fixed assets and inventories | TBC |
| Building Control | 7 th November 2016 |
| Tree Preservation Orders | 31 st October 2016 |

Housing Act 2004

Waste Management Contract review - follow-up

November 2016

IT/CSC Contract review – follow –up

12th January 2017

AUDIT OPINION

On completion of an audit review, any recommendation made to Management as regards the requirement to improve the internal control framework in place is rated as follows:

PRIORITY 1 – Fundamental: - action that we consider essential to ensure that the Authority is not exposed to high risk

PRIORITY 2 – Significant: - action that we consider necessary to avoid exposure to significant risks

Based on the number and priority of recommendations we provide an opinion as to the overall control environment in the area reviewed. This will be at one of four levels.

Level 1 - Strong controls are in place as demonstrated by:

- Key/compensating controls exist and are applied consistently and effectively.
- Objectives are being achieved efficiently, effectively and economically.
- Risks are managed.
- Procedures, laws and regulations are complied with.
- Assets are safeguarded.
- Information is reliable.
- Small number of relatively minor recommendations to address.

With a minimal risk of serious loss or error

Level 2 - Controls are in place, but improvements would be beneficial:

- Key controls exist but there may be some inconsistency in application.
- Compensating controls are operating effectively and generally procedures are adequate.
- Objectives generally achieved except for some identified weaknesses.
- Some procedures, laws and regulations may not be properly complied with.

- Some assets may not be safeguarded.
- Some information may be unreliable.
- Minor shortfalls in risk management.

With some risk of loss, fraud, impropriety, or damage to reputation

Level 3 - Improvements in application of controls are required:

- Key controls exist but they are not applied, or significant evidence that they are not applied consistently and effectively.
- Procedures exist but are inadequate and/or ineffective. Modification required.
- Objectives are not being met, or are being met without achieving efficiency and effectiveness.
- Some assets may be at risk.
- Major shortfalls may exist in risk management.
- Information inaccuracies may occur.

With an Increased risk of fraud, impropriety, or damage to reputation

Level 4 - Urgent system revision is required:

- Key controls do not exist.
- Lack of procedures, or procedures not being followed.
- Council rules and regulations and/or statutory requirements are not complied with.
- Objectives are not being met.
- Information is unreliable.
- Assets are vulnerable.
- Risks are not being effectively identified and managed.

With a high risk of loss, fraud, impropriety, or damage to reputation

CORPORATE INVESTIGATIONS

BACKGROUND

The Councils Corporate Fraud team from May 2016 has a staffing complement of 1 FTE Corporate Investigator, currently filled on a part time basis by two officers (38.00 hours).

A key feature of creating the new Team allowed us the opportunity to review and refine operational processes in order to best maximise the resources available. This has resulted in the way in which the new team is promoted both internally and externally at the Council and we will continue to pursue other avenues in order to raise its profile.

The table below provides an illustration of the types and number of referrals that the Team has received, up to September 2016, and those which after the completion of a risk assessment have been taken on for investigation.

| Type of Fraud | Categories | TOTAL |
|--|---|--------------|
| CTR | Number of referrals received | 30 |
| | Number of referrals investigated | 12 |
| | Number of referrals that failed the risk assessment stage | 18 |
| SPD, DISCOUNTS AND EXEMPTIONS | Number of referrals received | 19 |
| | Number of referrals investigated | 10 |
| | Number of referrals that failed the risk assessment stage | 9 |
| Internal Fraud | Number of referrals received | 0 |
| | Number of referrals investigated | 0 |
| | Number of referrals that failed the risk assessment stage of referrals closed | 0 |
| Tenancy Fraud | Number of referrals received | 1 |
| | Number of referrals investigated | 0 |
| | Number of referrals that failed the risk assessment stage | 1 |
| Housing Option Fraud (false allocation of social housing) | Number of cases received | 4 |
| | Number of cases investigated | 3 |
| | Number of referrals that failed the risk assessment stage | 1 |
| NNDR Fraud | Number of referrals received | 2 |
| | Number of referrals investigated | 2 |
| | Number of referrals that failed the risk assessment stage | 0 |
| Environmental | Number of referrals received | 6 |
| | Number of referrals investigated | 3 |
| | Number of referrals that failed the risk assessment stage | 3 |
| DPA requests from Thames Valley Police | Number of queries | 111 |
| DPA requests from other agencies | Number of queries | 24 |

The monetary value of the overpayments identified as a result of an investigation into Council Tax Reduction was £5727.83, excluding a penalty

Through joint working with colleagues in the Housing team we have been successful with our second case involving a fraudulent application to join the housing register. The courts awarded a fine of £500 and costs of £2,000

We have recently worked with colleagues from the Environmental Health Team in the successful prosecution involving the submission of a fraudulent invoice in respect of works to rectify health and safety issues at a private rented property, with combined fines of £24,000 and costs totalling £3,732. This case is subject to an appeal.

National Fraud Initiative 2015/16

This is a mandatory data-matching exercise run by the Audit Commission every two years whereby our data is matched with other local authorities and agencies.

The Team continues to review the referrals from the NFI matching process.

Sanctions and Prosecutions

As more referrals are investigated by the Corporate Fraud team consideration is given to the potential outcome and what level of sanction could be applied. There are three types of sanctions that can be administered:

Caution – this is a formal, final warning that stays on a person's record with WDC and is used in the less serious cases. The person involved has to have admitted the offence for a caution to be used. In these cases, the recovery of any overpayment is sought as well.

Penalty – this is a "fine". Any benefit overpayment is increased by 50% and the person involved signs an agreement to repay the penalty as well as the overpayment. This has been changed with effect from 01/04/2013 with the penalty level being a minimum of £100 to a maximum of £1000 of any benefit overpayment.

Prosecution – in the more serious cases the Councils' Legal Department will instigate court proceedings against the person involved.

The aim is to focus the work of the Corporate Fraud Team to increase the number of sanctions in order to act as a deterrent to those committing fraud.

This is reflected in the work of the Section and all referrals are risk assessed to identify those cases that will potentially be more effective to investigate and lead to deterrents. All cases put forward for deterrent actions are monitored and, as necessary, further advice is sought from the Council's Legal Department.

A higher level of evidence is required on those cases where either a Caution or Penalty is offered. If a person does not accept a Caution or Penalty the normal course of action would be for the case to be considered for court proceedings.

The issue of a Caution is dependent on an admission of the offence. The caution is held on record for five years and can be cited in court should the claimant be found guilty of a further benefit offence.

The Penalty has no standing in law and is up to a 50% penalty of the overpayment and is payable in addition to the repayment of any overpaid discount/exemption.

It is our intention that successful prosecutions will be publicised in the local press and placed on the Council website and intranet site.

Agenda Item 6

APPOINTMENT OF THE LOCAL AUDITOR

Officer contact: Michael Howard

DDI: 01494 421357, Email:mike.howard@wycombe.gov.uk

Wards affected: All

PROPOSED DECISION:

The Committee is asked to RECOMMEND to Full Council that the Local Auditor for the Council should be appointed by Public Sector Audit Appointments (PSAA) Limited which is the DCLG approved provider.

Appointment of External Auditors

Independent audit is one of the cornerstones of public accountability that provides a level of assurance that taxpayers' money has been well managed, accounted for and properly expended.

The cost of the External Audit programme of work in 2015/16 was £69k which included £17k for the audit of the housing benefit subsidy, which will not be in scope for the work of the new Local Auditor and it is likely that an alternative contractor will need to be found to undertake this work.

Background

Under the Local Audit and Accountability Act 2014, the Audit Commission which had previously managed the appointment of external auditor for local government bodies and health trusts was abolished and a new responsibility was enacted that enables local government bodies to manage the appointment of their own local auditor.

The Act also provided the option of a managed appointment process administered through a sector led body. Following a decision by the DCLG, Public Sector Audit Appointments Limited (PSAA) has been set up under the Act as an independent company limited by guarantee and approved as the sector led body for principal authorities(i.e. Councils, Police and Fire authorities) to appoint auditors.

In accordance with Regulation 19 of the Local Audit (Appointing Person) Regulations 2015, the decision for the Council to appoint its own local auditors or join a sector led approach must be made by Full Council and cannot be delegated.

Under Section 7 of the Act the appointment of a local auditor for the Council must be completed by 31st December 2017 and further appointments must be made at least once every 5 years. There are two routes available and the decision as to which route is followed must be made by Full Council. The two options are:

- To establish an auditor panel to advise on the appointment; this can be undertaken collaboratively by sharing a panel; or

- Join a sector led approach, using PSAA which has been appointed on a nationwide basis and which appoints a local auditor on the Council's behalf. PSAA was set up and appointed into this role in July 2016.

Establishing an Auditor Panel and Appointing a Local Auditor

If the Sector led option is not taken, then an Audit Panel would be required to oversee the procurement of its own local auditor and would make its Recommendation to Full Council. The Audit Panel would then be required to continue to have a role in monitoring the following:

- Local Auditors performance, ensuring the Auditors independence and the dealing with any relationship issues that arise with members and officers.
- Local Audit (Auditor Independence) Regulations 2014 prescribe that an Auditor Panel must have a majority of independent, non-elected members and must be chaired by an independent non- elected member.
- The panel can be an existing committee or a sub-committee of an existing committing provided that the membership criteria outlined above are met.

However, under the Schedule to Local Audit (Appointing Person) Regulations specify that if as a Council, WDC opted to follow the Sector Led route and appointed PSAA, then there is no requirement to have an auditor panel as PSAA will have carried out the EU procurement on behalf of all Councils that have signed up. PSAA would then allocate the Local Auditor, probably on geographic areas. The fees paid for the audit service would include PSAA costs.

In summary, joining a Sector Led route is the least resource intensive option as we would be able to:

- Assure timely auditor appointments
- Manage independence of auditors
- Secure highly competitive prices
- Save on procurement costs
- Save time and effort needed on auditor panels
- Focus on audit quality
- Operate on a not for profit basis and distribute any surplus funds to scheme members.

In addition in the unlikely event that the relationship between the Council and the appointed Local Auditor breaks down then it would be for PSAA to intervene and replace the Local Auditor with another that has contracted with without the cost implications or interruption of service which might be encountered if the Council had contracted with a single supplier via its own procurement process.

Agenda Item 7

Treasury Management Mid-Year Report 2016/17

Wards affected: None

Officer Contact: Nisar Visram Ext 3615
Email: Nisar.Visram@wycombe.gov.uk

Proposed Decision

That the treasury management mid-year report for 2016/17, covering the period 1 April 2016 - 30 September 2016 be considered and noted.

Corporate implications

These are detailed in the main body of the report

What is the audit committee being asked to do?

Treasury management is defined by the *Chartered Institute of Public Finance and Accountancy (CIPFA) Code of Practice* as: “The management of the local authority’s investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.”

Council has adopted *the Chartered Institute for Public Finance and Accountancy (CIPFA) Treasury Management in the Public Services: Code of Practice*, which requires the Council to approve a treasury management strategy:

- before the start of each financial year
- a mid-year report and
- an annual report after the end of each financial year.

As part of this Code local authorities were required to charge a body of members to scrutinise the treasury management strategy and Council has appointed audit committee to this role.

This report is the mid-year report, which details the actual treasury management activities and performance for the period 1 April 2016 – 30 September 2016. An economic summary for the year and performance against prudential indicators set by CIPFA for year to date, are also included as appendices.

TREASURY MANAGEMENT MID-YEAR REPORT 2016/17

Summary

The Council approved the 2016/17 treasury management strategy at its meeting on the 25th February 2016. In line with the CIPFA Code of Practice on Treasury Management, the Council’s stated investment strategy is to give priority to the

safeguarding of its funds, followed by ensuring sufficient liquidity to meet the Council's cash flow needs followed by investment return as the third objective.

Treasury management activity undertaken during the 1 April 2016 – 30 September 2016 complied with the *CIPFA Code of Practice*, and the relevant legislative provisions.

The Council's strategy over the period can be summarised as follows:

- i) The Council has not taken out any new external borrowing during the current financial year.
- ii) Given continuing economic uncertainty, the security and liquidity of investments were safeguarded by restricting counterparties to those of high creditworthiness and also restricting time periods for investments.
- iii) On three occasions the Council exceeded its £4m limit with its own banking services provider Natwest Plc. This is an internal limit set by the Council's treasury strategy and the excess balance position arose due to unexpected cash being received late in the day and treasury staff not being able to place the funds in another suitable counterparty due to the financial markets being closed. On each occasion investments with Natwest Plc were brought within the approved limit at the first available opportunity. Aside from these three occasions the Council has complied with its approved investment strategy.

Key Figures 1 April 2016 – 30 September 2016

Borrowing

The Council does not have any external borrowing and none has been taken out in the current financial year.

Investments

On 4th August 2016 the Bank of England reduced its base rate from 0.5% to 0.25%. The Council has continued to face a challenging environment to earn yield on its investments. Yields available in the short term during the period are outlined in table 1 below:

Table 1: Investment Rates 1 April 2016 and 30 September 2016.

| Deposit Rates | 1st April 2016 | 30th September 2016 |
|----------------------|----------------------------------|---------------------------------------|
| Overnight rates | 0.40 | 0.20 |
| One month | 0.45 | 0.20 |
| Three months | 0.55 | 0.35 |
| One year | 0.95 | 0.65 |

Short term investment rates were already low in a historical context and have been reduced even lower during 2016/17. An interest rate forecast is provided alongside the Economic Summary of the period in Appendix A.

With low interest rates, the Council's strategy continues to be to utilise cash to support the major projects programme and generate a higher return. In July 2016 the Council purchased Sword House, an investment property, for £6.6m with tenants in place earning the Council rental income. The Council has also purchased assets in High Wycombe Town Centre, regenerating commercial premises whilst also generating a revenue income stream. The Council's property investments typically generate a revenue annual return of 4%-8% whilst meeting the Council's wider regeneration objectives and provide a significantly higher return than can be achieved by treasury investments.

Despite the low interest rate environment, the Council continues to seek a higher yield whilst prioritising the security and safety of investments, and the availability of cash to meet short term funding requirements.

Investment Transactions

At 30 September 2016 the Council held £78.1m in investments which includes a £5m UK Central Government Gilt due to mature on 22 July 2018, held in a custody account on behalf of the Council by King Shaxon Capital Ltd. A summary of investment transactions for the period are detailed in table 2 below:

Table 2: Summary of Investment Transactions 1 April 2016 – 30 September 2016

| INVESTMENTS | Total |
|--|-------|
| | £m |
| Balance at 1 st April 2016 | 66.4 |
| Investments made | 165.4 |
| Investments repaid | 148.7 |
| Balance at 30 th September 2016 | 78.1 |
| Income earned/capital appreciation | 308.1 |
| Average annualised return | 0.77% |

Table 3 below shows the maturity profile of the Council's in-house investments at the beginning and end of the six month period.

Table 3: Maturity Profile of In-House Investments 1 April 2016 and 30 September 2016

| Spread of Deposits by Maturity | 1 st April 2016 | 30 th September 2016 |
|---------------------------------|----------------------------|---------------------------------|
| | £m | £m |
| Instant Access | 18.9 | 24.6 |
| Notice Account 35 days | 0.00 | 5.0 |
| One month | 12.0 | 5.0 |
| Over one month to three months | 8.0 | 4.5 |
| Over three months to six months | 7.0 | 19.0 |
| Six to twelve months | 11.5 | 11.0 |
| Over 1 year | 9.0 | 9.0 |
| Total in-house investment | 66.4 | 78.1 |

Glitnir – Icelandic Investment

At 1 April 2016 Council had £0.5m invested in an escrow account in Iceland following the collapse of the Glitnir Icelandic bank in October 2008. The amounts were held pending relaxation of Icelandic Central Bank (ICB) restrictions over Icelandic Krona transferring offshore. As at the end of 2015/16 these funds were earning interest of 4.1%.

On 16th June 2016 organisations with such funds held by the ICB were provided with the option of either participating in an auction to have the funds returned or to have the money transferred to a minimum interest earning account held by the ICB. The Council participated in the auction and successfully sold its Icelandic Krona raising 600,147 Euros. The funds were received by the Council on 1st July 2016 and converted to £500,950.

Treasury Management Indicators

The CIPFA Code of Practice requires Councils to report on a series of indicators demonstrating treasury performance during the financial year. These include:

- Capital expenditure and financing and whether this has created any borrowing requirements for the Council as a result of unfunded capital
- Demonstrating that the Council has remained within its borrowing limits set in the Treasury Strategy and the affordability of any debt
- Demonstrating that the Council has complied with its investment limits including the availability of short term cash, credit rating limits and limits on the duration of investments.

A full set of Treasury indicators and performance against these are included in Appendix B.

Background working papers

Treasury Management strategy

Working papers held in Shared Support Services

Agenda Item 7

Appendix A – Economic Summary 1 April 2016 – 30 September 2016

The below Economic Summary has been prepared by Treasury Solutions, Capita Asset Services. Treasury Officers at the Council, supported by advice from Capita, monitor the wider economy on a daily basis as it provides the context in which the Council invests its funds and provides information on credit risk relating to the Council's money.

The wider economic picture also provides information regarding the timing interest rates may increase, impacting investment strategy and also decisions on borrowing if applicable. Most Local Authority borrowing in general has traditionally been from the Public Works Loan Board (PWLB), a Central Government lending facility, whose rates are determined by UK Gilt rates and these fluctuate based on the wider UK economic environment. Although Wycombe District Council did not have any borrowing from the PWLB or the financial markets during the first six months of 2016/17, the economic background is important should the Council choose to borrow in future.

Capita Asset Services Economic Summary

UK GDP growth rates in 2013 of 2.2% and 2.9% in 2014 were strong but 2015 was disappointing at 1.8%, though it still remained one of the leading rates among the G7 countries. Growth improved in quarter 4 of 2015 from +0.4% to 0.7% but fell back to +0.4% (2.0% y/y) in quarter 1 of 2016 before bouncing back again to +0.7% (2.1% y/y) in quarter 2. During most of 2015, the economy had faced headwinds for exporters from the appreciation during the year of sterling against the Euro, and weak growth in the EU, China and emerging markets, plus the dampening effect of the Government's continuing austerity programme. The referendum vote for Brexit in June this year delivered an immediate shock fall in confidence indicators and business surveys, pointing to an impending sharp slowdown in the economy. However, subsequent surveys have shown a sharp recovery in confidence and business surveys, though it is generally expected that although the economy will now avoid flat lining, growth will be weak through the second half of 2016 and in 2017.

The Bank of England meeting on August 4th addressed this expected slowdown in growth by a package of measures including a cut in Bank Rate from 0.50% to 0.25%. The Inflation Report included an unchanged forecast for growth for 2016 of 2.0% but cut the forecast for 2017 from 2.3% to just 0.8%. The Governor of the Bank of England, Mark Carney, had warned that a vote for Brexit would be likely to cause a slowing in growth, particularly from a reduction in business investment, due to the uncertainty of whether the UK would have continuing full access, (i.e. without tariffs), to the EU single market. He also warned that the Bank could not do all the heavy lifting and suggested that the Government will need to help growth by increasing investment expenditure and possibly by using fiscal policy tools (taxation). The new Chancellor Phillip Hammond announced after the referendum result, that the target of achieving a budget surplus in 2020 will be eased in the Autumn Statement on November 23.

The Inflation Report also included a sharp rise in the forecast for inflation to around 2.4% in 2018 and 2019. CPI has started rising during 2016 as the falls in the price of oil and food twelve months ago fall out of the calculation during the year and, in addition, the

post referendum 10% fall in the value of sterling on a trade weighted basis is likely to result in a 3% increase in CPI over a time period of 3-4 years. However, the MPC is expected to look through a one off upward blip from this devaluation of sterling in order to support economic growth, especially if pay increases continue to remain subdued and therefore pose little danger of stoking core inflationary price pressures within the UK economy.

The American economy had a patchy 2015 with sharp swings in the growth rate leaving the overall growth for the year at 2.4%. Quarter 1 of 2016 disappointed at +0.8% on an annualised basis while quarter 2 improved, but only to a lacklustre +1.4%. However, forward indicators are pointing towards a pickup in growth in the rest of 2016. The Fed. embarked on its long anticipated first increase in rates at its December 2015 meeting. At that point, confidence was high that there would then be four more increases to come in 2016. Since then, more downbeat news on the international scene and then the Brexit vote, have caused a delay in the timing of the second increase which is now strongly expected in December this year.

In the Eurozone, the ECB commenced in March 2015 its massive €1.1 trillion programme of quantitative easing to buy high credit quality government and other debt of selected EZ countries at a rate of €60bn per month; this was intended to run initially to September 2016 but was extended to March 2017 at its December 2015 meeting. At its December and March meetings it progressively cut its deposit facility rate to reach -0.4% and its main refinancing rate from 0.05% to zero. At its March meeting, it also increased its monthly asset purchases to €80bn. These measures have struggled to make a significant impact in boosting economic growth and in helping inflation to rise from around zero towards the target of 2%. GDP growth rose by 0.6% in quarter 1 2016 (1.7% y/y) but slowed to +0.3% (+1.6% y/y) in quarter 2. This has added to comments from many forecasters that central banks around the world are running out of ammunition to stimulate economic growth and to boost inflation. They stress that national governments will need to do more by way of structural reforms, fiscal measures and direct investment expenditure to support demand in the their economies and economic growth.

Japan is still bogged down in anaemic growth and making little progress on fundamental reform of the economy while Chinese economic growth has been weakening and medium term risks have been increasing.

Interest rate forecasts

The Council's treasury advisor, Capita Asset Services, has provided the following forecast:

| | Dec-16 | Mar-17 | Jun-17 | Sep-17 | Dec-17 | Mar-18 | Jun-18 | Sep-18 | Dec-18 | Mar-19 | Jun-19 |
|-----------------------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|
| Bank rate | 0.10% | 0.10% | 0.10% | 0.10% | 0.10% | 0.10% | 0.25% | 0.25% | 0.25% | 0.25% | 0.50% |
| 5yr PWLB rate | 1.00% | 1.00% | 1.10% | 1.10% | 1.10% | 1.10% | 1.20% | 1.20% | 1.20% | 1.20% | 1.30% |
| 10yr PWLB rate | 1.50% | 1.50% | 1.60% | 1.60% | 1.60% | 1.60% | 1.70% | 1.70% | 1.70% | 1.70% | 1.80% |
| 25yr PWLB rate | 2.30% | 2.30% | 2.40% | 2.40% | 2.40% | 2.40% | 2.50% | 2.50% | 2.50% | 2.50% | 2.60% |
| 50yr PWLB rate | 2.10% | 2.10% | 2.20% | 2.20% | 2.20% | 2.20% | 2.30% | 2.30% | 2.30% | 2.30% | 2.40% |

Capita Asset Services undertook a quarterly review of its interest rate forecasts after the MPC meeting of 4th August cut Bank Rate to 0.25% and gave forward guidance that it expected to cut Bank Rate again to near zero before the year end. The above forecast therefore includes a further cut to 0.10% in November this year and a first increase in May 2018, to 0.25%, but no further increase to 0.50% until a year later. Mark Carney has repeatedly stated that increases in Bank Rate will be slow and gradual after they do start. The MPC is concerned about the impact of increases on many heavily indebted consumers, especially when the growth in average disposable income is still weak and could well turn negative when inflation rises during the next two years to exceed average pay increases.

The overall longer run trend is for gilt yields and PWLB rates to rise, albeit gently. An eventual world economic recovery may also see investors switching from the safe haven of bonds to equities. However, we have been experiencing exceptional levels of volatility in financial markets which have caused significant swings in PWLB rates. Our PWLB rate forecasts are based on the Certainty Rate (minus 20 bps) which has been accessible to most authorities since 1st November 2012.

The overall balance of risks to economic recovery in the UK remains to the downside. Downside risks to current forecasts for UK gilt yields and PWLB rates currently include:

- Monetary policy action reaching its limit of effectiveness and failing to stimulate significant sustainable growth, combat the threat of deflation and reduce high levels of debt in some major developed economies, combined with a lack of adequate action from national governments to promote growth through structural reforms, fiscal policy and investment expenditure.
- Weak capitalisation of some European banks.
- A resurgence of the Eurozone sovereign debt crisis.
- Geopolitical risks in Europe, the Middle East and Asia, increasing safe haven flows.
- Emerging country economies, currencies and corporates destabilised by falling commodity prices and / or Fed. rate increases, causing a further flight to safe havens (bonds).
- UK economic growth and increases in inflation are weaker than we currently anticipate.
- Weak growth or recession in the UK's main trading partners - the EU and US.

The potential for upside risks to current forecasts for UK gilt yields and PWLB rates, especially for longer term PWLB rates include: -

- The pace and timing of increases in the Fed. funds rate causing a fundamental reassessment by investors of the relative risks of holding bonds as opposed to equities and leading to a major flight from bonds to equities.
- UK inflation returning to significantly higher levels than in the wider EU and US, causing an increase in the inflation premium inherent to gilt yields.

Agenda Item 7

Appendix B – Treasury Indicators 1 April 2016 – 30 September 2016

Summary

Council approved the 2016/17 original prudential indicators at its meeting on 25th February 2016. This set various prudential indicators relating to capital expenditure, capital funding and external borrowing in line with the CIPFA Code of Treasury Management.

This report summarises:

The Capital Activity for the year and how this activity was financed

The impact on the Council's investments and

The reporting of the required prudential indicators

The Council's Capital Expenditure and Financing 2016/17

The Council undertakes capital expenditure on its fixed assets and also incurs expenditure on grants and other areas which are treated as capital expenditure for financing purposes.

These can be financed immediately through the application of capital or revenue resources (capital receipts, capital grants, revenue contributions etc) or if insufficient financing is available from those sources or a decision is taken not to use those resources, the expenditure will give rise to a borrowing need

The capital expenditure statement forms one of the required prudential indicators. The table below shows budgeted Capital Expenditure and Financing for 2015/16 as approved by Cabinet on 16 November 2015:

Table 1: Capital Expenditure and Financing of the Major Projects Programme

| Indicator 1 Capital Expenditure £m | 2015/16 Actual | 2016/17 Estimate | 2017/18 Estimate | 2018/19 Estimate |
|---|---------------------------|-----------------------------|-----------------------------|-----------------------------|
| Major Projects Expenditure | 30.527 | 21.615 | 1.385 | 1.180 |
| Financed by: | | | | |
| Capital receipts | 27.391 | 14.708 | 0.585 | 0.380 |
| Capital grants and Contributions | 1.922 | 6.907 | 0.800 | 0.800 |
| Revenue (net of borrowing costs) | 1.214 | 0.000 | 0.000 | 0.000 |
| Net financing need for the year | 0.000 | 0.000 | 0.000 | 0.000 |

Table 1 shows capital expenditure for the year of £21.615m. However as at 30 September 2016 £11.235m was forecast to be spent in the current financial year with the remainder being deferred to future years. Table 1 also may include elements of revenue expenditure that form part of major project schemes; however these are not of a financially material value.

The Council's underlying need to borrow is called the Capital Financing Requirement (CFR). It represents the cumulative 2016/17 and previous years' net capital expenditure which has not yet been funded by revenue nor other resources, but has been paid for by borrowing from internal existing cash balances.

The CFR is reduced each year by a statutory revenue charge (called the Minimum Revenue Provision - MRP). This CFR can also be reduced by the application of additional capital resources such as capital receipts or charging more than the statutory revenue charge (MRP), through a Voluntary Revenue Provision (VRP)

The MRP policy is required to be approved by Council annually and this was approved for 2016/17 on 25th February 2016 by Council.

Table 2: Movement in the Council's Capital Financing Requirement (CFR)

| Indicator 2 £m | 2015/16 Actual | 2016/17 Estimate | 2017/18 Estimate | 2018/19 Estimate |
|---|-------------------|---------------------|---------------------|---------------------|
| CFR at year end | 8.188 | 7.270 | 6.352 | 5.498 |
| Movement in CFR | -1.050 | -0.918 | -0.918 | -0.854 |
| Net financing need for the year (above) | 0.000 | 0.000 | 0.000 | 0.000 |
| MRP/VRP and other financing movements | -1.050 | -0.918 | -0.918 | -0.854 |
| Movement in CFR | -1.050 | -0.918 | -0.918 | -0.854 |

The Use of the Council's resources and the Investment Position

The application of resources (capital receipts, reserves etc.) to either finance capital expenditure or other budget decisions to support the revenue budget will have an ongoing impact on investments unless resources are supplemented each year from new sources (asset sales etc.). Detailed below are estimates of the available year end balances for each resource together with working capital.

| Indicator 3 Year End Resources £m | 2015/16 Actual | 2016/17 Estimate | 2017/18 Estimate | 2018/19 Estimate |
|--|---------------------------|-----------------------------|-----------------------------|-----------------------------|
| Fund balances | | | | |
| Capital receipts | 15.3 | 8.0 | 9.6 | 11.3 |
| Revenue reserves | 51.2 | 52.5 | 53.1 | 52.8 |
| Red Kite Indemnity | (22.0) | (22.0) | (22.0) | (22.0) |
| Total Core Funds | 44.6 | 38.5 | 40.8 | 42.1 |
| Working Capital* | 5 | 5 | 5 | 5 |
| Borrowing net of CFR | -8.2 | -7.3 | -6.4 | -5.5 |
| Investments | 41.3 | 36.3 | 39.4 | 41.6 |

* Working capital balances shown are estimated year end; these may be higher at certain points during the year.

Affordability indicators

Ratio of financing costs to net revenue stream and effect on Council Tax.

The first indicator in this area is a measurement of the ratio of net financing costs to the net revenue stream of the authority in percentage terms. The financing costs include MRP, interest on finance leases (Waste Contract). The net revenue stream takes account of all government funding used to support the General Fund (RSG, Business Rates funding, Section 31 Grants and New Homes Bonus) as well as Council Tax income. The Estimate for 2015/16 is based on the approved Capital programme for the year as reported to Cabinet on 16 November 2015.

| Indicator 4 % | 2015/16 Actual | 2016/17 Estimate | 2017/18 Estimate | 2018/19 Estimate |
|---------------------------|---------------------------|-----------------------------|-----------------------------|-----------------------------|
| Ratio | 3.12 | 3.65 | 4.52 | 3.88 |
| Financing Costs (£m's) | 0.476 | 0.524 | 0.600 | 0.500 |
| Net Revenue Stream (£m's) | 15.258 | 14.350 | 13.271 | 12.902 |

Estimates of the incremental impact of capital investment decisions on the Council Tax (Indicator 5) – This indicator identifies the revenue costs associated with the major projects programme (capital expenditure only). The Council’s financial strategy is based on the premise that capital financing decisions have no impact on the revenue budget. Any surplus income is transferred to capital funds, and expenditure on the major projects programme is designed to ensure that it results in no capital financing costs that would impact on council tax levels.

Limits to Borrowing Activity

Within the prudential indicators there are a number of key indicators to ensure the Council operates its activities within well-defined limits.

For the first of these the Council needs to ensure that its total borrowing net of investments, does not, except in the short term, exceed the total of the CFR plus the estimates of any additional CFR for the following two financial years. The Head of Finance and Commercial can confirm that the Council has complied with this indicator.

A second indicator relating to borrowing is the Operational Boundary for external debt. Whilst not a limit, it acts as guide towards the level of debt that may be reached during the year including overdraft and temporary borrowing that may be necessary pending asset sales. This was set at **£18m** for 2016/17. The Council has complied with this indicator from 1 April 2016 – 30 September 2016.

The third indicator acting as a control on borrowing activity is the Authorised Limit for External Debt. This is a limit beyond which external debt is prohibited, and this limit has to be set or revised by full Council. As with the Operational Boundary it includes bank overdrafts and temporary borrowing. This is the statutory limit determined under section 3 of the Local Government Act 2003. This limit was set at **£19m** for 2016/17 in respect of borrowing and again the Council has complied with this indicator for the first 6 months of 2016/17.

Security: average credit rating

The Council has adopted a voluntary measure of its exposure to credit risk by monitoring the average credit rating of its investment portfolio.

| | Target | Actual to 30 September 2016 | |
|---------------------------------|--------|--------------------------------------|---|
| Portfolio average credit rating | A | AA- | ✓ |

For the purpose of this indicator unrated local authorities are assumed to hold a AA+ rating.

Liquidity: cash available within three months

The Council has adopted a voluntary measure of its exposure to liquidity risk by monitoring the amount of cash available to meet unexpected payments within a rolling three month period, with and without temporary borrowing.

| | Target | Actual to 30 September 2016 | |
|---|--------|--------------------------------------|---|
| Minimum cash available without borrowing | £3m | £22.5 | ✓ |
| Minimum cash available including borrowing* | £5m | £22.5 | |

* This is not applicable as the Council had no occasion to take any temporary borrowing.

Interest rate exposures

This indicator is set to control the Council's exposure to interest rate risk. The exposures to fixed and variable rate interest rates, expressed as an amount of net principal borrowed were:

| | Limit | Actual | |
|--|-------|--------|---|
| Upper limit on fixed rate exposures | £5m | £0m | ✓ |
| Upper limit on variable rate exposures | £5m | £0m | ✓ |

Fixed rate investments and borrowings are those where the rate of interest is fixed for the whole financial year. The actual figure is £0m because the Council is a net investor.

Maturity structure of borrowing

This indicator is set to control the Council's exposure to refinancing risk. The maturity structure of fixed rate borrowing was:

| | Upper Limit | Lower Limit | Actual | |
|---------------------------------|----------------|----------------|--------|---|
| Under 12 months | 100% | 0% | 0% | ✓ |
| 12 months and within 24 months | 100% | 0% | 0% | ✓ |
| 24 months and within five years | 100% | 0% | 0% | ✓ |
| Five years and within 10 years | 100% | 0% | 0% | ✓ |
| 10 years and above | 100% | 0% | 0% | ✓ |

The actual is zero because all the Council's borrowing was at variable rates.

Principal sums invested for periods longer than 364 days

The purpose of this indicator is to control the Council's exposure to the risk of incurring losses by seeking early repayment of its investments. The total principal sums invested to final maturities more than 364 days beyond the period end were:

| | 2016/17 |
|---|---------|
| Limit on principal invested beyond one year | £58m |
| Actual principal invested beyond one year | £9 |
| | ✓ |

Background papers: Treasury Management strategy
Working papers held in Accountancy

Agenda Item 8

Wycombe District Council

DRAFT AUDIT COMMITTEE WORKPLAN

Work Programme – January 2017 – September 2017

| Title & Subject Matter | Contact Officer | Training |
|--|--------------------------------|----------|
| January 2017 | | |
| <p>Red Kite – Update Report</p> <p>Report providing an update on the delivery of the Council's promises by Red Kite Community Housing under the terms of the stock transfer.</p> | Housing Services Manager | |
| <p>Draft Audit Committee Report</p> <p>Proposed Annual Report of the work of the Audit Committee which is published on the Council's website.</p> | Audit, Risk and Fraud Manager | |
| <p>2016/17 Q3 Service Performance Report</p> <p>Report providing information on specific performance indicators from July to September</p> | Corporate Policy Team Leader | |
| <p>Annual Review of the Risk Management Strategy</p> <p>Review of the Council's Risk Management Strategy and proposed changes</p> | Audit, Risk and Fraud Manager | |
| <p>Treasury Management Strategy 2017/18</p> <p>Proposed Annual Treasury Management Strategy for 2017/18.</p> | Head of Finance and Commercial | |
| <p>Certification of Grants and Claims Annual Report</p> <p>Report from the Council's External Auditors on the results of their work of the 2015/16 Housing Benefit Subsidy Claim</p> | External Auditor | |
| <p>Ernst & Young Annual Audit Plan</p> <p>The Council's external auditors work plan for 2016/17 including their work on the Statement of Accounts, Value for Money opinion and grant claims</p> | External Auditor | |
| <p>EY Annual Fee Letter</p> <p>Proposed audit fees for 2016/17 based on the scale fees set by the Audit Committee at the time the contract was let.</p> | External Auditor | |

| Title & Subject Matter | Contact Officer | Training |
|---|---|----------|
| March 2017 | | |
| 2016/17 Q4 and End of Year Service Performance Report Report providing information on specific performance indicator from October to December 2016. | Corporate Policy Team Leader | |
| Health & Safety Work Programme 2017/18 Proposed Annual Health and Safety work programme for 2017/18. | Shared Services Support Manager | |
| Proposed Internal Audit Programme 2017/18 A report setting out the proposed Internal Audit coverage for 2016/17. | Audit, Risk and Fraud Manager | |
| Regulation of Investigatory Powers Act (Information Sheet) Update on the use of these powers by the Council in performing its enforcement activities. | Principal Solicitor | |
| June 2017 | | |
| Health and Safety Annual Report | Shared Services Support Manager | |
| Annual Review of Anti-Fraud and Anti-Corruption Policy | Audit, Risk and Fraud Manager | |
| Draft Annual Governance Statement | Head of Democratic, Legal and Policy Services | |
| Audit Committee Terms of Reference – Self-Assessment of Good Practice | Audit, Risk and Fraud Manager | |
| Audit, Risk & Fraud Manager’s Annual Report | Audit, Risk and Fraud Manager | |
| 2017/18 Q1 Service Performance Report | Corporate Policy Team Leader | |
| September 2017 | | |
| Approval of 2016/17 Statement of Accounts | Head of Finance and Commercial | |
| External Auditor’s ISA 260 Audit Results Report | External Auditor | |
| Implementation of Internal Audit Recommendations | Audit, Risk & Fraud Manager | |

| Title & Subject Matter | Contact Officer | Training |
|--|------------------------------|-----------------|
| Treasury Management Annual Report 2016/17 & Prudential Indicators | Financial Services Manager | |
| 2017/18 Q2 Service Performance Report | Corporate Policy Team Leader | |



INFORMATION SHEET

Audit Committee

Issue No: 01/2016

Date Issued: 7 November 2016

Health & safety – mid-year progress report

Officer contacts:

- Paul Spencer, Shared Support Services Manager - 01494-421107
- Pat Beveridge, Health & Safety Advisor (Bucks CC) - 01494-421973
- Chris Greenaway, Health & Safety Co-ordinator – 01494-421066

Executive Summary

1. Every financial year the corporate Health & Safety team leads the development of an annual work programme, which sets out key priority activities to further improve the Council's safety and resilience.
2. The annual work programme is developed in collaboration with WDC services to reflect their operational risks, and progress is monitored regularly by the Council's Operational and Executive officer groups.
3. Audit Committee received the 2016/17 work programme at its meeting in March 2016. Members requested a 6 month update on progress against the plan, at their meeting in November 2016.

Sustainable Community Strategy/Council Priorities - Implications

4. People – The Health & Safety at Work Act recommends that an effective management structure and arrangements are in place delivering the policy, ensuring that all staff are motivated and empowered to work safely and to protect their long term-term health, not simply to avoid accidents.

Background and Issues

2016/17 work programme

5. The delivery of the agreed work programme is one of the major elements of the Council's Health & Safety Service Level Agreement with Bucks CC. Progress is monitored closely, and is reported quarterly to the Operational and Executive officer groups. Any significant exceptions will also be reported to SMB and the Audit Committee.
6. A summary of progress against the 2016/17 work programme is attached as Appendix A. This shows that all the actions are currently on track.

Health & safety incidents

7. 2016/17 has been a very quiet year so far. In the first 6 months there have only been 3 recorded accidents, and 4 near misses - none of them was serious. There has also been a small reduction in the number of violent or abusive cases towards our staff (3 so far, compared to 9 in the whole of 2015/16).

| | Incidents recorded | Serious incidents (RIDDOR) |
|----------------------------------|--------------------------------------|--------------------------------------|
| Accidents | Q1 = 1 Q2 = 2 Total = 3 | Q1 = 0 Q2 = 0 Total = 0 |
| Near misses | Q1 = 2 Q2 = 2 Total = 4 | Q1 = 0 Q2 = 0 Total = 0 |
| Violence or abuse at work | Q1 = 1 Q2 = 2 Total = 3 | Not applicable |

Health & safety training

8. The Council continues to give a high priority to ensuring that all staff are fully trained in relevant aspects of Health & Safety. So far this year we have completed 12 different training courses, involving 51 people. Training on personal safety is also planned for November 2016.

Health & Safety service audits

9. As part of the H&S partnership with Bucks CC, the County Council Audit team carries out 2 independent H&S audits per year of WDC services. The outcomes so far are as follows:

2015/16 Audit programme:

- Planning & Sustainability – this was completed in January 2016. The service received an “Excellent” score. Progress on the identified actions is now largely completed
- Major Projects & Estates – this was completed in April 2016. The service received a “Poor” score. The report has now been completed, and good progress is being made to resolve the issues identified

2016/17 Audit programme:

- Parking Services – this was completed in August 2016. The service received an “Excellent” score. Progress on actions is now underway.

- Housing services – this was completed in August 2016. The service received a “Good” score. Progress on actions is now underway.

Health & Safety resourcing - update

10. With effect from 1 December 2014 the Council entered into a Service Level Agreement with Bucks County Council for an initial 2 year period. This has worked extremely well, and so we have now extended the partnership until 31 March 2018. The agreement ensures that BCC provide WDC with a strategic service, which includes:
 - acting as the Council’s “Competent Person” (a legal requirement)
 - providing a part-time advisory presence on site at the QVR offices
 - providing a telephone advice line for managers/staff during office hours
 - providing WDC staff with access to the BCC electronic accident reporting system
 - giving WDC access to the comprehensive BCC Health & Safety training programme
 - leading the development of H&S improvement work, and working with services to develop their service action plans
 - and carrying out investigations and audits where necessary.
11. The BCC contribution is complemented by an on-site WDC Health & Safety team, and by a network of service leads who take responsibility for ensuring H&S actions are fully in place across all WDC services and premises.

Conclusions

12. So far very good progress has been made against the 2016/17 work programme. The number of accidents and incidents in 2016/17 is very low. Health & safety training continues at a high level. The H&S partnership with Bucks County Council is working well, and we are now seeking to extend it for a further 2 year period.

Next Steps

13. Work to progress the work programme will continue. An end of year report will be brought to the Audit Committee in June 2017.

Background Papers

None

HEALTH & SAFETY

CORPORATE WORK PROGRAMME 2016-17 – PROGRESS AS AT 30 SEPTEMBER 2016

Costs – there are no costs attached to actions other than staff costs unless stated - funding will be from existing budgets.

| Activity area | Improvement action | Progress | Timescale | Owner | Current RAG Status | Priority |
|---|--|---|---------------|----------|--------------------|----------|
| A - Training Programme Page 47 | A1 - Develop 2016/17 corporate H&S training programme | BCC programme is available until December 2016; the programme for 2017 is nearly completed. | By September | H&S team | G | HIGH |
| | A2 - Induction training (as required) | Arranged as needed. 1 course completed in June 2016. Next course arranged for 1 November 2016. | As required | H&S team | G | |
| | A3 - Develop range of e-learning modules for employees | Ongoing | October 2016 | H&S team | G | |
| | A4 - Develop online DSE self-assessment process | Initial work has commenced | December 2016 | H&S team | G | |
| B - WDC Health and Safety Policies and Procedures | B1 – Complete review of all WDC H&S policies | Complete set of Health and Safety policies and procedures amended from BCC have been uploaded to WySpace. Final checking of content and updating of requirements is being undertaken and uploaded to Wyspace, as BCC policies are | March 2017 | H&S team | G | HIGH |

A Contact Name is shown above and Members are asked to contact that person if they have any queries etc.

The Press is reminded that the Council's procedure is for ALL Press enquiries to be routed via the Communications Office on High Wycombe 421230/421207.

| Activity area | Improvement action | Progress | Timescale | Owner | Current RAG Status | Priority |
|--|--|--|---------------------|---------------------------|--------------------|----------|
| | | reviewed. | | | | |
| C - Auditing, monitoring and inspection of services | C1 – complete 2 service audits (Housing & Parking Services) | Parking and Housing audited in August 2016. Major Projects and Estates still to be completed. | By end March 2017 | BCC team H&S | G | HIGH |
| | C2 – refresh service action plans, and ensure they are being delivered | 6 service plans are in place by end May deadline. Progress is now being monitored at all HSWBOG meetings. | June 2016 | BCC audit team | G | |
| | C3 – ensure all services have up to date service risk assessments in place | Initial audit completed. Follow up work to be planned. | October 2016 | H&S team Service leads | G | |
| D – Communications activity | D1 – Monthly H&S communication | Regular messages via Talking Point | Ongoing | H&S team | G | Medium |
| | D2 – review & improve H&S presence on Council Intranet (Wyspace) | All new H&S policies have been uploaded. New tab created to house all H&S forms. Further development will need to await the development of a new intranet during 2016/17 | December 2016 | H&S team | G | |
| E – H&S partnership | E1 – carry out quarterly contract performance reviews | Contract review for 1 st quarter completed with a successful outcome | June/Sept/Dec/March | PS/PB | G | Medium |
| F – Stress Risk | F1 – support roll out of team stress risk | Reminder sent to all managers to ensure that these are carried out, or | Ongoing | H&SA | G | Medium |

A Contact Name is shown above and Members are asked to contact that person if they have any queries etc.

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| Activity area | Improvement action | Progress | Timescale | Owner | Current RAG Status | Priority |
|-------------------------------|---|---|---------------|---------------------------|--------------------|----------|
| Assessment | assessments | reviewed, each year | | HR team | | |
| G – Accident reporting | G1 – implement online accident reporting tool (AssessNet) | <p>Initial preparation underway. New accident, incident and near miss reporting system has been purchased by Buckinghamshire County Council from AssessNet.</p> <p>First implementation meeting held 19 September. WDC to be given access to recording system via a portal or single sign-in.</p> <p>Work is being undertaken to identify the tiers required for WDC.</p> | December 2016 | H&S team Service leads | G | Medium |

A Contact Name is shown above and Members are asked to contact that person if they have any queries etc.

The Press is reminded that the Council's procedure is for ALL Press enquiries to be routed via the Communications Office on High Wycombe 421230/421207.

Agenda Item 9



INFORMATION SHEET

Audit Committee

Issue No: 02/2016

Date Issued: 8 November 2016

Customer Services Centre Performance

Officer contact: Aisha Bi email: Aisha.bi@wycombe.gov.uk ext: 3981

Background

At the previous Audit Committee meeting on 22 September 2016 members requested an overview of the basket of measures used to monitor CSC contract performance. To put % of calls answered in 20 seconds in context.

| | Q2 2016/17 | | | |
|---|------------|--------|-----------|--------|
| | July | August | September | Total |
| Telephone Calls | | | | |
| Total Calls offered | 14,989 | 14,648 | 15,884 | 45,521 |
| Number of calls answered | 14,074 | 14,099 | 15,327 | 43,500 |
| % of call answered | 93.9% | 96.3% | 96.5% | 95.6% |
| Number of calls answered in 20 seconds | 9,291 | 10,300 | 11,304 | 30,895 |
| % of calls answered in 20 seconds | 62% | 70.3% | 71.2% | 67.9% |
| Number of calls abandoned | 915 | 549 | 557 | 2,021 |
| % of calls abandoned | 6.1%* | 3.7% | 3.5% | 4.4% |
| *Due to three days of staff training in July the number of operators available to take calls reduced from c 13 FTEs to 10 FTEs which led to more calls being abandoned. | | | | |
| % of calls resolved at first point of contact | 96.4% | 96.4% | 91.8% | 94.9% |
| Face-to-Face | | | | |
| % of Customer with an appointment seen within 15 minutes of their scheduled appointment | 91.5% | 86.5% | 90.8% | 89.6% |
| % Customer meeting the vulnerability criteria or classified as an urgent case seen within 30 minutes of arrival | 100% | 100% | 100% | 100% |
| Accurately collected information and completed verification forms | 100% | 100% | 100% | 100% |
| Customer Satisfaction | | | | |
| Overall satisfaction levels based upon quarterly survey | 91.3% | - | - | 91.3% |

There is currently no benchmarking data for us to report on. However several local authorities have been approached for data for us to be able to make comparison.