



POLICY AND RESOURCES SCRUTINY COMMITTEE

10.00 am WEDNESDAY, 2 NOVEMBER 2016

COMMITTEE ROOMS 1/2 - PORT TALBOT CIVIC CENTRE

PART 1

1. To receive any declarations of interest from Members
2. To receive the Minutes of the Policy and Resources Scrutiny Committee held on 21st September 2016 (*Pages 5 - 16*)
3. To receive the Scrutiny Forward Work Programme 2016/17 (*Pages 17 - 22*)

To scrutinise information and monitoring issues being reported by:

Report of the Director of Finance and Corporate Services

4. Corporate Improvement Objective - Digital by Choice - Highlight Report - Quarter 2 progress report (April 1st - 30th September) 2016-17 (*Pages 23 - 46*)

Report of the Head of Financial Services

5. Benefit Services and Internal Audit Report Cards (*Pages 47 - 72*)

Report of the Head of Human Resources

6. Sickness Absence Monitoring Report for Quarter 1 2016 / 2017. (*Pages 73 - 92*)

7. To select appropriate items from the Cabinet Board Agenda for pre-scrutiny (Cabinet Board reports enclosed for Scrutiny Members)
8. Any urgent items (whether public or exempt) at the discretion of the Chairman pursuant to Section 100B (4) (b) of the Local Government Act 1972
9. Access to Meetings to resolve to exclude the public for the following item(s) pursuant to Section 100A(4) and (5) of the Local Government Act 1972 and the relevant exempt paragraphs of Part 4 of Schedule 12A to the above Act

PART 2

10. To select appropriate private items from the Cabinet Board Agenda for pre-scrutiny (Cabinet Board Reports enclosed for Scrutiny Members)

S.Phillips
Chief Executive

Civic Centre
Port Talbot

Thursday, 27 October 2016

Committee Membership:

Chairperson: **Councillor D.W.Davies**

Vice
Chairperson: **Councillor A.Jenkins**

Councillors: Mrs P.Bebell, A.Carter, Ms.C.Clement-Williams,
M.Harvey, Mrs.L.H.James, Mrs.D.Jones,
A.Llewelyn, A.R.Lockyer, Mrs.K.Pearson,
L.M.Purcell, J.Warman, I.D.Williams,
Mrs.A.Wingrave and Vacancy

Notes:

- (1) *If Committee Members or non-Committee Members wish to have relevant items put on the agenda for future meetings, then please notify the Chief Executive/Chair eight days before the meeting.*
- (2) *If non-Committee Members wish to attend for an item of interest, then prior notification needs to be given (by 12.00 noon on the day before the meeting). Non-Committee Members may speak but not vote, or move or second any motion.*
- (3) *For pre scrutiny arrangements, the Chair will normally recommend forthcoming executive items for discussion/challenge. It is also open to Committee Members to request items to be raised - though Members are asked to be selective here in regard to important issues.*
- (4) *The relevant Cabinet Board Members will also be invited to be present at the meeting for Scrutiny/ Consultation purposes.*
- (5) *Would the Scrutiny Committee Members please bring the Cabinet Board papers with them to the meeting.*

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POLICY AND RESOURCES SCRUTINY COMMITTEE

(Committee Rooms 1/2 - Port Talbot Civic Centre)

Members Present:

21 September 2016

Chairperson: Councillor D.W.Davies

Vice Chairperson: Councillor A.Jenkins

Councillors: A.Carter, Mrs.D.Jones, A.R.Lockyer,
Mrs.K.Pearson, L.M.Purcell, I.D.Williams and
Mrs.A.Wingrave

Officers In Attendance Mrs.K.Jones, D.Rees, D.Michael, S. Curran, S. Davies and N.Chapple

Cabinet Invitees: Councillors P.A.Rees and A.N.Woolcock

1. **DECLARATIONS OF INTEREST FROM MEMBERS**

The following Members made a declaration of interest at the commencement of the meeting:

A.R Lockyer Urgent Report of the Head of Corporate Strategy and Democratic Services re: Violence Against Women, Domestic Abuse and Sexual Violence (Wales) Act 2015- Call for Evidence as he is the Chair of the Violence Against Women, Domestic Abuse and Sexual Violence Forum.

K.Pearson Report of the Head of Corporate Strategy and Democratic Services re: Quarterly Performance Management Data 2016-17 Quarter 1 Performance as she rents a property through Housing Options.

2. **MINUTES OF THE POLICY AND RESOURCES SCRUTINY COMMITTEE HELD ON 27 JULY 2016**

The Minutes were noted by the Committee.

3. **HOLDING PAPER IN RESPECT OF THE NATIONAL PROCUREMENT SERVICE UPDATE**

The Committee noted the report.

4. **PROSPERITY FOR ALL HIGHLIGHT REPORT**

Members received information relating to the Corporate Improvement Objective Prosperity for All in relation to Anti-Poverty for Quarter 1 (1st April 2016-30th June 2016) as contained within the circulated report.

The Committee noted that the people who have been affected by the reduction in the benefits cap have been identified and partners are working to ensure those individuals are aware of how their income will be affected and will target support as necessary. Members questioned who the partners were that are involved and were informed that they include the Credit Union and the Welfare Rights Unit. It was noted that whilst there is no unmet need identified currently, this may change as the UK Government implements its Welfare Benefits Reform Agenda.

Members noted that digital ways of working and delivering services are being continually considered and that the Council is working in partnership with local partners to explore how more people can be supported to get online.

Members queried the numbers referenced in the report of claimants receiving their benefit through Universal Credit. The report stated as at 30th June 2016 there are over 1,000 claimants in receipt of Universal Credit but that there are no accurate up to date figures for the Neath Port Talbot area. Officers committed to providing Members with updated figures for the area.

The Committee discussed the focus from the Department of Work and Pensions (DWP) on disability related benefits. They noted that over 90% of cases which are supported through appeals processes by the Welfare Rights Unit have the decisions overruled and Members noted the stress to individuals involved and the cost of the

process. The Voluntary Sector Liaison Committee will be undertaking a Task and Finish Review into the wider effects of Welfare Reform on the local community and the Committee expressed an interest in monitoring the outcomes from this work.

Members asked for information to be circulated to all members on the extension of the Blue Badge Scheme to people with a time- limited mobility impairment.

Members noted that no one has to date requested help to complete their Universal Credit claim form on line and discussed that the people completing the forms appear to have the digital competence needed although such support would be provided if required. This is likely to be due to the fact that single job seekers are the focus of Universal Credit activity at the present time. As more people with more complex needs are drawn into Universal Credit bigger challenges regarding digital literacy are anticipated

Following scrutiny it was agreed that the report be noted.

5. **COUNCIL TAX AND NON DOMESTIC RATES SERVICE REPORT CARD**

Members received information relating to the Council Tax and Non Domestic Rates Service Report Card as contained within the circulated report.

The Council Tax section is responsible for the billing and the collection of Council Tax in excess of £60m from over 65,500 domestic properties in the borough. The Council Tax collection rate for 2015/16 was 97.9% an increase of 0.4% on the previous year and Members were pleased to note that Neath Port Talbot has the third highest collection rate in Wales.

The section has 23 full time equivalent employees and had a slight overspend in 15/16 which is attributed to staffing costs.

The section had three cases of long term sickness in 15/16 which impacted on the working days lost but Members were assured that both instances were being managed in line with the Council's sickness absence policies.

Members were pleased to note that new online forms are available on the web pages for Council Tax with the aim of enabling members of staff to focus on debt recovery instead of manual input on forms.

The Committee were made aware that staff appraisals have not yet been rolled out in the section as yet but are currently being developed. Members asked if the staff have other ways of engaging and were informed that all staff get supervision and regular team meetings where issues can be fed in.

Members asked for information in relation to 14/15 sickness data which was not included on the report card. Officers committed to ensuring this information would be made available to Members following this Committee.

Members praised the collection rates and asked for information in relation to Bailiffs. Officers committed to providing further information on Bailiffs to Members following this Committee.

Following scrutiny it was agreed that the report be noted.

6. **SCRUTINY FORWARD WORK PROGRAMME 2016/17**

Members were reminded that the next meeting of the Committee will be a Special Budget Meeting to consider the Budget and Forward Financial Plan proposals under the remit of the Committee and will be held on 18th October 2016.

The Committee noted the Forward Work Programme.

7. **PRE-SCRUTINY**

The Committee scrutinised the following matters:

Cabinet Board Proposals

7.1 Annual Treasury Management Outturn Report 2015/16

Members received information in relation to the Annual Treasury Management Outturn as contained within the circulated report.

Members noted that during 15/16 the Council had complied with its legislative and regulatory requirements.

Members queried the estimates against the prudential indicators and the treasury management indicators. Officers explained that the prudential indicators for capital expenditure will always be more variable than the treasury management indicators.

Following scrutiny it was agreed that the report be noted.

7.2 Treasury Management Monitoring 2016/17

Members received information in relation to Treasury Management Monitoring for 2016/17 as contained within the circulated report.

It was noted that the Bank of England's Monetary Policy Committee voted on the 4th August 2016 to reduce the bank rate to 0.25%.

Members asked for further information in relation to loans which had been used to fund capital expenditure on assets including Ysgol Bae Baglan and officers explained that the funding of this project is shared between long term borrowing and Welsh Government funding.

7.3 Public Services Ombudsman for Wales Annual Letter and Report 2015/16

Members received information in relation to the Public Services Ombudsman for Wales Annual Letter and Report 2015/16 as contained within the circulated report.

Members noted that the number of service complaints received by the Ombudsman has decreased between the financial years of 2014/15 and 2015/16. As compared with a notional local authority average of 40 complaints (adjusted for population) there were 33 complaints against this Council. Members welcomed this although noted that the Council is no longer a direct provider of general housing- a function which generally attracts some complaints.

It was noted that the number of Code of Conduct complaints against Members of County and County Borough Councils fell

however there was a marked increase in the number of complaints against Community Councils.

Following scrutiny it was agreed that the report be noted.

7.4 Legal Services (Licensing) Business Plan 2016/17

Members received the Legal Services (Licensing) Business Plan for 2016/17 as contained within the circulated report.

It was explained that the Licensing Section was responsible for ensuring that the Council fulfils its statutory duty in respect of the administration and enforcement of licensing functions. The Committee discussed the priorities that the section delivered in 15/16 as well as the priorities to be delivered in 2016/17.

It was highlighted that the service was self-funded, but it was not allowed to make a profit from licensing fees.

A discussion was held on the priority to implement taxi driver training in relation to safeguarding issues including child sexual exploitation. Members agreed that taxi drivers are the eyes and ears of the community and that they will come into contact with many vulnerable people and without adequate training they may not recognise the signs that someone needs help; training taxi drivers to identify issues and report their concerns could uncover instances of CSE and other safeguarding issues. Members were concerned that obstacles had prevented the rollout of this important training.

Members asked if the planned review of 'Street Trading Policy' would include representatives on the street that try to gain custom for a product or service, for example accident claims. Officers explained that such representatives did not need a licence however, if they erect an A-board then permission was needed from the landowner. It was commented that by-laws could be introduced to tackle such issues. Members noted that the Head of Planning was looking at developing a policy document around such issues for town centres in Neath Port Talbot.

It was noted that Ice Cream Vans do not require a DBS (Disclosure and Barring Service) Check for street trading.

Members noted that contingency planning in the section is a concern with three members of staff approaching retirement age.

Members were pleased to note that 100% of staff appraisals had been completed.

Members requested that an update report on the training of taxi drivers in relation to safeguarding issues including child sexual exploitation be brought to a meeting of this Committee by the end of the year and that the Children Young People and Education Scrutiny Committee be updated on the same topic.

Following scrutiny, Members were supportive of the proposals to be considered by Cabinet Board.

7.5 Quarterly Performance Management Data 2016-17- Quarter 1 Performance (1st April 2016-30th June 2016.)

Members received information in relation to the Quarterly Performance Management Data for Quarter 1 for Chief Executive's and Finance and Corporate Services as contained within the circulated report. To allow Members to discharge their functions in relation to performance management the Committee also received data for the same period for services that are within the remit of the other four main Scrutiny Committees. Members noted that a number of new measures have been introduced into the Council's full suite of performance indicators for 2016/17 including a new set of local Digital by Choice measures.

It was noted that the second phase/roll out of the Recycle + scheme was implemented during Quarter 1 thereby increasing customer awareness and expectations regarding recycling services in the Council.

Members were concerned to note that the number of working days lost to sickness absence had increased. A detailed report in relation to this will be presented to this Committee in early November to help Members understand what lies behind this statistic. However, Members were pleased to note that the All Wales Benchmarking figures have shown that for 15/16 the Council has improved its position by moving from joint 7th to 6th in Wales.

Members raised the issue that some complaints to the Customer Services Section could be in relation to staff not getting back to members of the public and asked if there was any way to measure this. Officers explained that this would be difficult due to the vast amount of extensions and mobile phones in existence throughout the Council but what they would suggest is urging these members of the public to make a complaint via the Council's complaint process so that the situation can be monitored. It was also explained that when there is a significant change to service, information can be provided via the automated service to provide as much information as possible to the public.

Members asked if the data in relation to Permanent and Fixed Term Exclusions was included in the overall attendance data. Officers committed to providing this information to Members following the meeting.

Members commented that for those Members who sit on other Scrutiny Committees, they have already been made aware of reasons behind dips in performance i.e. the number of young people in contact with the Youth Service has decreased and asked if officers could consider including explanations that have been provided in previous Scrutiny Committees could be included in this overview report.

Following scrutiny it was agreed that the report be noted.

7.6 Corporate Governance Improvement Action Plan- April- August Progress Report 2016/17

Members received information in relation to the Corporate Governance Improvement Action Plan- April-August Progress Report 2016/17 as contained within the circulated report.

It was noted that the Corporate Governance Group continues to oversee the improvement work identified in the Corporate Governance Improvement Plan to ensure the Council's processes and procedures enable the Council to carry out its functions effectively. During the period of April- August 2016 good progress has been made on most of the improvement work contained within the action plan however there has been a

delay in taking some improvement actions forward due to pressures of other work which has needed to have priority.

Members were pleased to note that to date 45 Members have taken up the rollout of the revised ICT scheme for Members and are now accessing Committee documents electronically. Any feedback from Members participating in the scheme is welcomed to feed into the Induction Programme which is currently being planned for 2017.

It was noted that further work on Corporate Risk Management will be undertaken following an assurance exercise conducted by the Wales Audit Office. There is also work ongoing to ensure the respective roles of Audit Committee and the Cabinet/Cabinet Scrutiny Committee are clear to ensure that there is no duplication of work.

Members noted the delay in implementing a recommendation from the Information Commissioner's Audit Action Plan for a complete roll out of Data Protection training across the Council due to difficulties associated with the E-Learning training platform.

In relation to Equalities, the work to revise associated guidance to incorporate examples of good practice for data collection and data sources will commence in September

Following scrutiny it was agreed that the report be noted.

8. **URGENT ITEM**

Because of the need to deal now with the matter contained in Minute No 8 below the Chairman agreed that this could be raised at today's meeting as an Urgent Item pursuant to Section 100B (4) (b) of the Local Government Act 1972.

Members noted the proposed response to the Welsh Government on their call for evidence in relation to the Violence Against Women, Domestic Abuse and Sexual Violence (Wales) Act 2015.

The Welsh Government passed legislation in 2015 to improve outcomes for people affected by gender-based violence. The

Violence Against Women, Domestic Abuse and Sexual Violence(Wales) Act places a joint statutory duty upon councils and local health boards to prepare a local strategy for each local authority area. The Act provides for Welsh Ministers to issue guidance on a range of topics that the strategies would be expected to embrace.

It was noted with concern that there has been little new funding identified to accompany the implementation of the Act which is also a source of concern amongst the wider range of partners who will need to play a part in implementing the Act.

Members noted the expectation to deliver a National Training Framework but discussed the issues surrounding this due to there being no new identified resources to support this as well as delivering on a broader policy agenda which includes Counter Terrorism and the Wellbeing of Future Generations (Wales) Act 2015 as well as a range of other expected training. Members agreed that it was unhelpful to receive confused messages about local and regional responses and that there a range of responses that need to be delivered locally by partners to deliver arrangements which are fit for purpose.

Members were keen to state that their concern about supporting any development which undermines the democratic mandate of existing mechanisms such as local Councillors and Ministers and reiterated their concern that there has been little feedback from consultation responses the Council has already submitted to draft guidance surrounding the Act.

The Committee commented that it is a cause for significant concern that whilst the Act seeks to bring about significant change for people affected by gender based violence, the funding that remains available is still time limited and not part of a core budget.

Members noted that there has been very limited communication with the National Advisor and welcomed opportunities to strengthen the links between the Council, its partnership arrangements and the National Advisor.

Members observed that the response included in the report provided another opportunity for the Council to re-state the key

messages that have previously been communicated in previous consultation exercises.

The Committee requested that the Cabinet Board consider sending a letter expressing the concerns raised to the Cabinet Secretary for Communities and Children, Welsh Government.

Following scrutiny, the Committee was supportive of the proposals to be considered by the Cabinet Board.

CHAIRPERSON

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**Policy and Resources Scrutiny Committee
Forward Work Programme 2016/17**

Date of Meeting	Agenda Item
29 June 2016	Terms of Reference Public Service Board
	Quarter 4 Performance Monitoring
	Sickness Management Monitoring Quarter 4 2015/16
	Long Term Sickness Taskforce Update
	Pre-Scrutiny of Cabinet Items
14 July 2016	Special Meeting – Welsh Language Standards
27 July 2016	Occupational Health Service Report Card
	Corporate Strategy and Performance Management Service Report Card
	Digital by Choice Highlight Report

	Pre-Scrutiny of Cabinet Items
21 September 2016	Council Tax and National Non Domestic Rate Service Report Card
	Prosperity for All Highlight Report
	Update on National Procurement Service
	Quarter 1 Performance Monitoring
	Pre-Scrutiny of Cabinet Items
18 October 2016	Budget Scrutiny (Special)
2 November 2016	Benefits Service Report Card
	Internal Audit Service Report Card
	Digital By Choice Highlight Report
	Sickness Management Monitoring Quarter 1

	Pre-Scrutiny of Cabinet Items
28 November 2016	Public Service Board (Special)
14 December 2016	IT Services Service Report Card
	Customer Services Service Report Card
	Communications and Digital Services Report Card
	Prosperity for All Highlight Report
	Quarter 2 Performance Monitoring
	Sickness Management Monitoring Quarter 2
	Long Term Sickness Taskforce Update
	Pre-Scrutiny of Cabinet Items
11 January 2017	Accountancy Services Service Report Card

	Update on National Procurement Service
	Electoral and Democratic Services Report Card
	Social Care, Health and Housing Alcohol Task and Finish Update Report
	Pre-Scrutiny of Cabinet Items
8 March 2017	Learning, Training and Development Service Report Card
	Human Resources Service Report Card
	Licensing Report Card and update on Taxi Driver Safeguarding Training
	Legal Services Report Card
	Digital By Choice Highlight Report
	Prosperity for All Highlight Report
	Quarter 3 Performance Monitoring
	Pre-Scrutiny of Cabinet Items

21 March 2017	Crime and Disorder Scrutiny
	Community Safety Service Report Card
5 April 2017	Corporate Health and Safety Service Report Card
	Joint Resilience Unit Service Report Card
	Sickness Management Monitoring Quarter 3
	Update on National Procurement Service
	Pre-Scrutiny of Cabinet Items

- Invite third sector reps on their grants

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NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

Policy and Resources Scrutiny Committee

2nd November 2016

REPORT OF THE DIRECTOR OF FINANCE & CORPORATE SERVICES

Matter for Monitoring

Wards Affected: ALL

Report Title

Corporate Improvement Objective - Digital by Choice - Highlight Report – Quarter 2 progress report (April 1st – 30th September) 2016-17

Purpose of the Report

To provide Members with the Digital by Choice Highlight Report – Quarter 2 2016-17 which provides a progress update for the first six months of 2016-17 for one of the six Corporate Improvement Plan objectives which fall within the remit of Policy & Resources Scrutiny Committee.

Summary

Overall we are on track to deliver what we have planned for this priority. We are progressing well with making our website easier and more new services will be available on-line this year. 97% of our website is available in Welsh; most of the remaining pages are in the process of being translated.

Our ability to further reduce face to face contacts in our one stop shops is now limited as we await implementation of the next phase of online/self - serve options. Once implemented, as per last year we would then anticipate a decrease in visitors to the one stop shops as customers access those alternative service request channels. During quarter 2 this year however, we have seen an increase in the number of personal callers to both the one stop shop sites.

A digital inclusion charter was approved in May 2016 which will assist more people to become digitally included and enjoy the benefits that they can experience from being online. Work to upskill staff in relation to digital literacy is progressing.

Work is progressing well with roll out of the iProcurement System and with income generation opportunities. In relation to self-service options across internal support services, we will have an agreed scoping document by the end of November and work will commence thereafter.

Financial Impact

The performance described in the attached highlight report is being delivered against a challenging financial backdrop.

Equality Impact Assessment

Implementing the Digital by Choice Strategy will assist the Council in delivering part of its Strategic Equality Plan. The creation of an employee portal will eliminate inequality of access to staff information. The equality impact of measures to increase income will be identified as proposals start to emerge.

Workforce Impacts

There are significant implications for staff skills regarding the Digital by Choice Strategy which are being identified and addressed through the Board. Workforce impacts of other workstreams will be identified as the detail of change proposals emerge.

Legal Impacts

To support the discharge of the duty placed on the Council, as contained within the Local Government (Wales) Measure 2009, to 'make arrangements to secure continuous improvement in the exercise of its functions'.

Risk Management

Failure to have robust performance monitoring arrangements could result in poor performance going undetected.

Relevant corporate risks associated with the delivery of this improvement objective are contained within the appendix.

Consultation

No requirement to consult on this item.

Recommendation

For Members to note the progress report for the Digital by Choice corporate improvement objective as contained within the attached highlight report.

Reasons for Proposed Decision

Matter for monitoring. No decision required.

Implementation of Decision

Matter for monitoring. No decision required.

Appendices

Appendix 1 – Digital by Choice Highlight Report – Quarter 2 2016-17

List of Background Papers

The Neath Port Talbot [Corporate Improvement Plan - 2016/2019](#) “Rising to the Challenge”;

Officer Contact

Karen Jones, Head of Corporate Strategy & Democratic Services.
Telephone: 01639 763284. E-Mail: k.jones3@npt.gov.uk

Shaun Davies, Performance Management Officer. Telephone: 01639 763172. E-Mail: a.s.davies@npt.gov.uk

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Highlight Report – 1st April to 30th September 2016

Corporate Improvement Priority: To improve customer/citizen access to services and functions provided by the Council or on behalf of the Council and to improve the efficiency of those services and functions.

RAG Status	Summary of Progress
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 27</p> <p>GREEN</p>	<p>Overall we are on track to deliver what we have planned for this priority.</p> <p>We are progressing well with making our website easier and more new services will be available on-line this year. 97% of our website is available in Welsh; most of the remaining pages are in the process of being translated.</p> <p>Our ability to further reduce face to face contacts in our one stop shops is now limited as we await implementation of the next phase of online/self -serve options. Once implemented, as per last year we would then anticipate a decrease in visitors to the one stop shops as customers access those alternative service request channels. During quarter 2 this year however, we have seen an increase in the number of personal callers to both the one stop shop sites.</p> <p>A digital inclusion charter was approved in May 2016 which will assist more people to become digitally included and enjoy the benefits that they can experience from being online. Work to upskill staff in relation to digital literacy is progressing.</p> <p>Work is progressing well with roll out of the iProcurement System and with income generation opportunities. In relation to self-service options across internal support services, we will have an agreed scoping document by the end of November and work will commence thereafter.</p>



Highlight Report – 1st April to 30th September 2016

What will be different? (Outcomes)	Lead Officer	RAG Status	Progress
1. Our website will be easier to access and more services will be available on-line	K Jones	GREEN	The website has been redeveloped and is 'top task' orientated making information easier to find. There are currently 8 fully online transactional services available on the website with many other services partially web enabled.
2. More of our website pages will be available in Welsh	K Jones	GREEN	97% of the website is available in Welsh. Most of the outstanding webpages are in the process of being translated and all new web pages developed are translated into Welsh as a matter of course before being published to the Web.
3. We will change our one stop shops and support people to carry out transactions on-line to make it easier for people to access digital services	K Jones	AMBER	<p>Demand on Customer Services has increased in this second quarter.</p> <p>Total callers Q2 2015/16 = 33131 compared to Qtr 2 2016/17 = 37998 Increase of 14.69%</p> <p>Most service areas in both sites have increased in this second quarter. The greatest increase in recycling enquiries and particularly for rolls of clear bags</p> <p>Recycling enquiries Q2 2015/16 = 2901 compared to Q2 2016/2017 = 4618 Increase of 59.18%</p> <p>However, staff resource has decreased - Qtr 2, 15/16 = 11 staff (3 F/T, 8 P/T) Qtr 2,16/17 = 8 Staff (3 F/T, 5 P/T, loss of 75.5 hrs)</p> <p>This increase can be partly attributed to customers</p>



Highlight Report – 1st April to 30th September 2016

What will be different? (Outcomes)	Lead Officer	RAG Status	Progress
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 29</p>			<p>wanting to recycle more and when customers attend we routinely promote the ability to request clear bags on line but often customers are unwilling to wait for that delivery to arrive.</p> <p>Digital Champions are scoping services suitable for on-line channels with management teams. Progress will be reported in future reports.</p>
<p>4. More people in our communities will have the digital skills to access services</p>	<p>K Jones</p>	<p>GREEN</p>	<p>A digital inclusion charter was approved in May 2016 which will assist more people to become digitally included and enjoy the benefits that they can experience from being online. Work to upskill staff in relation to digital literacy is progressing.</p> <p>At its meeting on the 19th September, the Voluntary Sector Liaison Forum agreed to promote the Digital Charter across the 3rd sector and also supported the undertaking of a sector wide review to assess the level of digital skills / gaps across the 3rd sector to support and strengthen our approach to tackling digital exclusion across the county borough.</p> <p>The Digital Inclusion Group continues to meet to oversee and co-ordinate the implementation of the Charter. The 'learn and share' event is scheduled to take place in the new year.</p>



Highlight Report – 1st April to 30th September 2016

What will be different? (Outcomes)	Lead Officer	RAG Status	Progress
Page 30 5. All services will use our on-line ordering and payment system replacing manual processes	S John	GREEN	A Senior Leaders digital learning event has been arranged in November for Directors and Heads of Service to help equip senior officers with the skills they need to lead in a digital environment. Trade Unions continue to support the Council to address the workforce digital literacy and we now have 10 union learning reps that will help deliver digital skills training.
6. Introduce self-service options across internal support services, starting with a self-service employee portal	S Rees	GREEN	The project scoping document has been drafted, and will be circulated in the next couple of weeks to the Digital by Choice Programme Board for comment. We will have an agreed scoping document by the end of November and work will commence thereafter.
7. Increased and new income generation opportunities	N. Jarman	GREEN	A draft Corporate Charging Policy has been developed. A cross directorate working group is identifying increased and new income generating opportunities; a report will be prepared by early November on its initial findings.



Highlight Report – 1st April to 30th September 2016

Measures: Metrics

How will we measure our progress?	Actual 14-15	Actual 15-16	2016-17 Quarter 2
1. Our website will be easier to access and more services will be available on-line			
Page 31 Improve the professional rating of our website page rating from a 1 star (maximum rating is 4 star):	1 star	2 star	Not yet available until March 2017
More of our customers find the website easier to use: Ease of getting around site: Very satisfied Satisfied OK Dissatisfied: Very Dissatisfied: Note 1 – 2016/17 data reports 3 weeks of the online survey data i.e. 21 st September 2016 to 14 th	N/a	20% 35% 28% 10% 7%	See note 1 26% 32% 32% 5% 6%



Highlight Report – 1st April to 30th September 2016

How will we measure our progress?	Actual 14-15	Actual 15-16	2016-17 Quarter 2
October 2016. The full four weeks of survey data will be reported in the quarter 3 highlight reports.			
<p>More of our customers can access the information/service they want first time:</p> <p>Ease of Finding information/Services</p> <p>Very satisfied</p> <p>Satisfied</p> <p>OK</p> <p>Dissatisfied:</p> <p>Very Dissatisfied:</p> <p>Note 2 – 2016/17 data reports 3 weeks of the online survey data i.e. 21st September 2016 to 14th October 2016. The full four weeks of survey data will be reported in the quarter 3 highlight reports.</p>	N/a	<p>20%</p> <p>30%</p> <p>28%</p> <p>14%</p> <p>7%</p>	<p style="text-align: center;">see note 2</p> <p>22%</p> <p>33%</p> <p>26%</p> <p>9%</p> <p>10%</p>
<p>Increasing the percentage of transactions completed on-line</p> <p>NB – Data for this measure includes information for services implemented/ 1 – 6 listed below only. Data for the other online services will be included in data as soon as possible.</p>	39%	56%	65%



Digital by Choice
*improving customer experience,
 making better use of public money*

APPENDIX 1

Highlight Report – 1st April to 30th September 2016

How will we measure our progress?	Actual 14-15	Actual 15-16	2016-17 Quarter 2
<p>Increasing the number of new services available on-line</p> <p>Implemented/on-line: 1. Bulks on-line, 2. refuse and recycling equipment ordered on-line, 3. Map based reporting, 4. Missed waste collections reporting, 5. Pest control Appointment booking, 6. Van permits requested on-line, 7. Council Tax change of circumstances & 8. OUCH – Occupational health referral system.</p> <p>Under development (Location based development phase 2) : Registrars Online ordering of certificates</p> <p>Scoping/Business Case: 41 ideas in scoping, 14 ideas in Business Case, including: 1. Trade Waste, 2. Primary Schools Meals payments online 3. Sundry Debtors on-line payments, 4. Housing Renewals – Houses into Home Loans. 5. Housing Strategy – Affordable Housing. 6. Commissioning & Support Homelessness and Supporting People – Homelessness online system. 7. Welfare Rights – Welfare Rights online system. 8. Information Advice and Assistance and Family Information Service online directory and database. 9. Substance Misuse online system. 10. Parking – Virtual Parking Permits.</p>	<p>7</p> <p>N/a</p> <p>N/a</p>	<p>8</p> <p>6</p> <p>N/a</p>	<p>8</p> <p>1</p> <p>55</p>
<p>% of customers satisfied/very satisfied with improvements made to services available on-line:</p>			<p>See note 3</p>



Highlight Report – 1st April to 30th September 2016

How will we measure our progress?	Actual 14-15	Actual 15-16	2016-17 Quarter 2
<p>Website Improvement Survey – General look and Feel:</p> <p>Very satisfied</p> <p>Satisfied</p> <p>OK</p> <p>Dissatisfied:</p> <p>Very Dissatisfied:</p> <p>Note 3 - 2016/17 data reports 3 weeks of the online survey data i.e. 21st September 2016 to 14th October 2016. The full four weeks of survey data will be reported in the quarter 3 highlight reports.</p>	N/a	19% 34% 38% 5% 4%	23% 36% 35% 1% 2%
2. More of our website pages will be available in Welsh			
<p>Increase the % of webpages available in Welsh</p> <p>Total Translated and live:</p> <p>Total with external translators</p>	62% -	88% 9%	97% 3%



Highlight Report – 1st April to 30th September 2016

How will we measure our progress?	Actual 14-15	Actual 15-16	2016-17 Quarter 2
3. We will change our one stop shops and support people to carry out transactions on-line to make it easier for people to access digital services			
Reduce the demand on Customer Services – visitors to one stop shops	67,886	65,481	37,998 (qtr. 2 2015/16 : 33,131)
4. More people in our communities will have the digital skills to access services			
Increase the number of people we support to develop digital skills to access services	N/a New	N/a New	Survey to be undertaken during 2016-17
5. All services will use our on-line ordering and payment system replacing manual processes			
Percentage volume of transactions processed through i-procurement	N/a New	45.5%	48.5% (qtr 1 2016/17 is 47%)



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APPENDIX 1

Highlight Report – 1st April to 30th September 2016

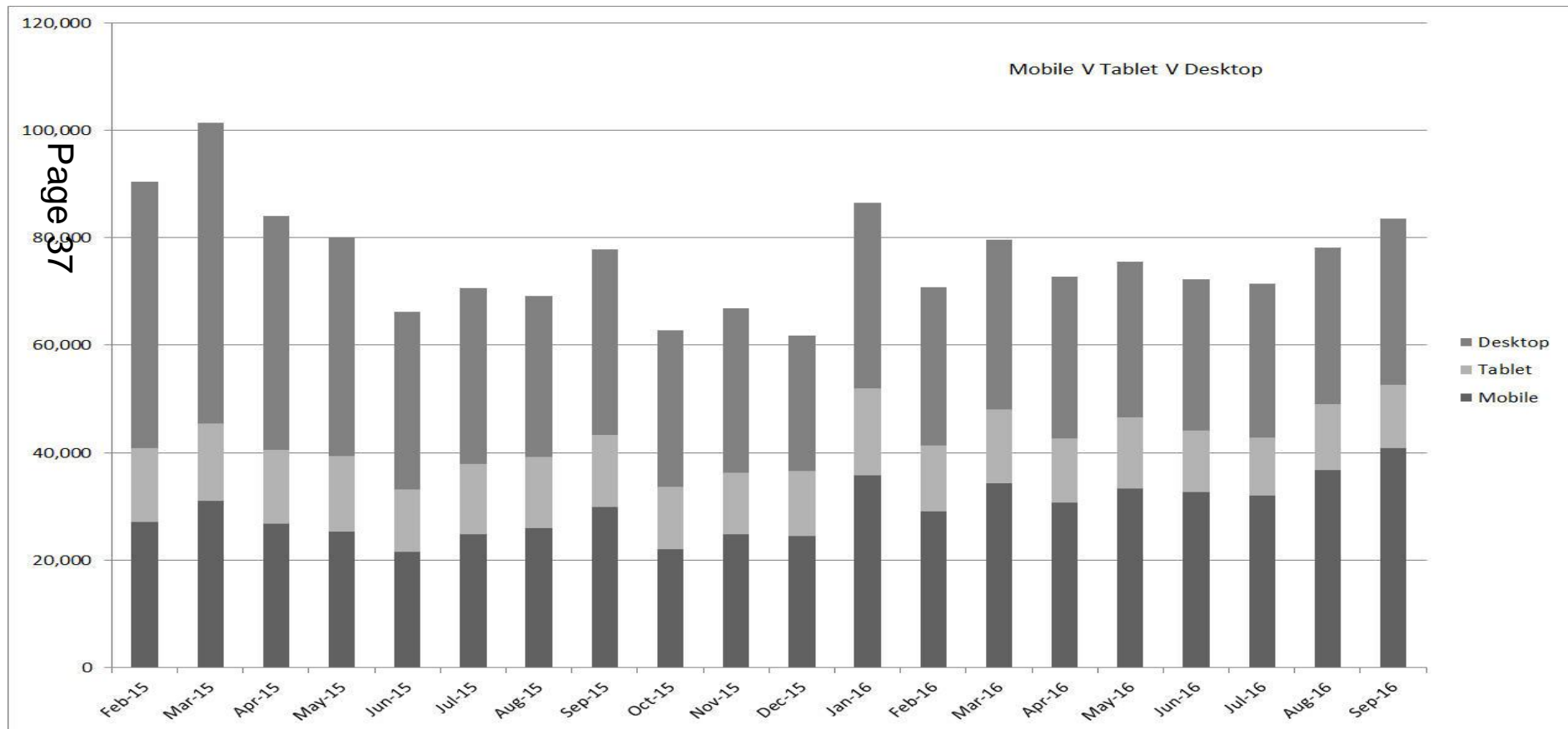
How will we measure our progress?	Actual 14-15	Actual 15-16	2016-17 Quarter 2
6. Introduce self-service options across internal support services, starting with a self-service employee portal			
Introduce self-service options across internal support services, starting with a self-service employee portal	N/a New		We will have an agreed scoping document by the end of November and work will commence thereafter
7. Increased and new income generation opportunities			
Higher levels of income achieved	-	-	No data as yet, the various ideas put forward are currently being worked on.



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Highlight Report – 1st April to 30th September 2016

Figure 1 - Devices used to access NPT website



Highlight Report – 1st April to 30th September 2016

Figure 2 -Popular Pages - The top 10 webpages (npt.gov.uk) can be seen below.

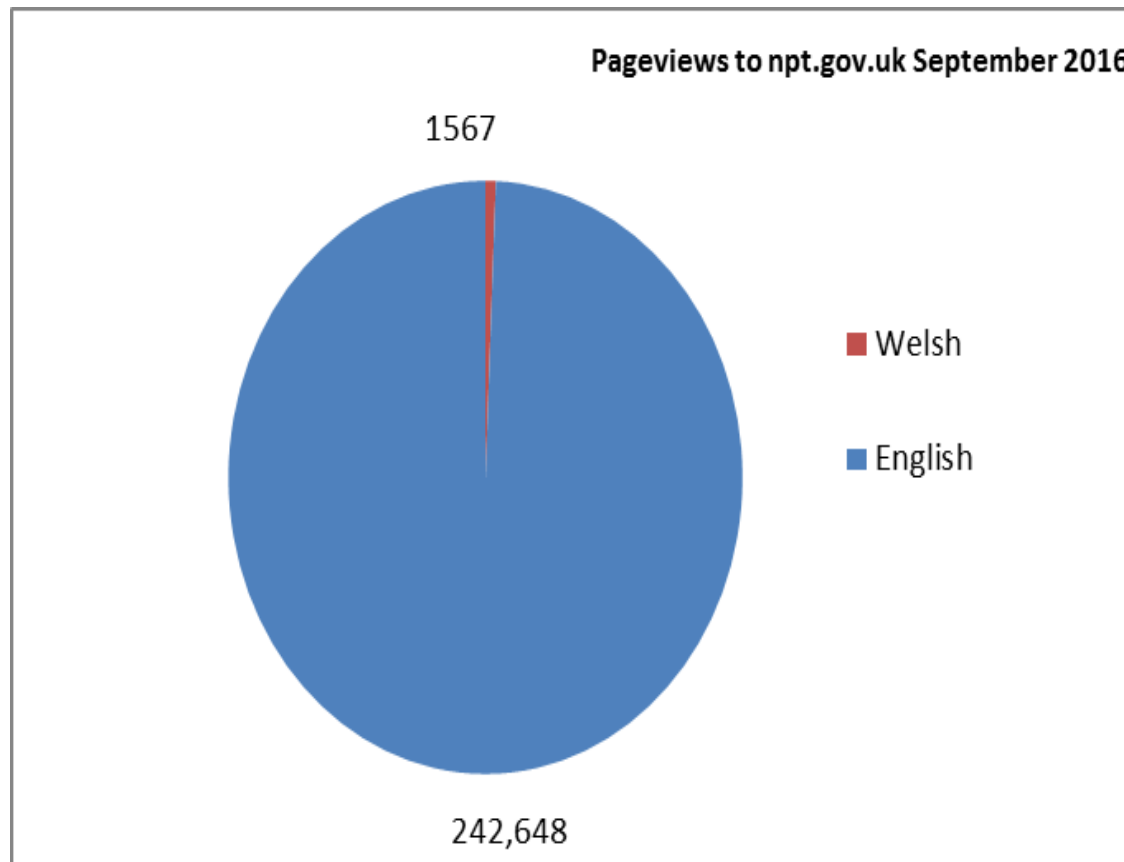
Page Title for September 2016	Pageviews	Unique Pageviews*	Bounce Rate**
Neath Port Talbot County Borough Council	30484	22754	33.04
Libraries	13737	9228	62.73
MyProperty	11096	3150	17.57
School Term Dates 2016-2017	10646	9016	82.76
Neath September Fair	8572	7594	85.49
Recycling and Waste	6739	4871	4.83
Search	6608	3625	40.16
Press Release	4695	4339	89.68
A guide to housing benefit for private tenants	3936	3531	89.35
Contact us	3862	2932	27

***Unique Pageviews:** If a user views the same page more than once in a session, this will only count as a single unique page view.

****Bounce rate** is the percentage of single page visits (i.e. visits in which the person left your site from the entrance page without interacting with the page)



Figure 3 – Welsh pages



Currently there are 1,084 webpages and 97% of these are translated. There are a number of pages (3%) with external translators awaiting translation.



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APPENDIX 1

Highlight Report – 1st April to 30th September 2016

Figure 4

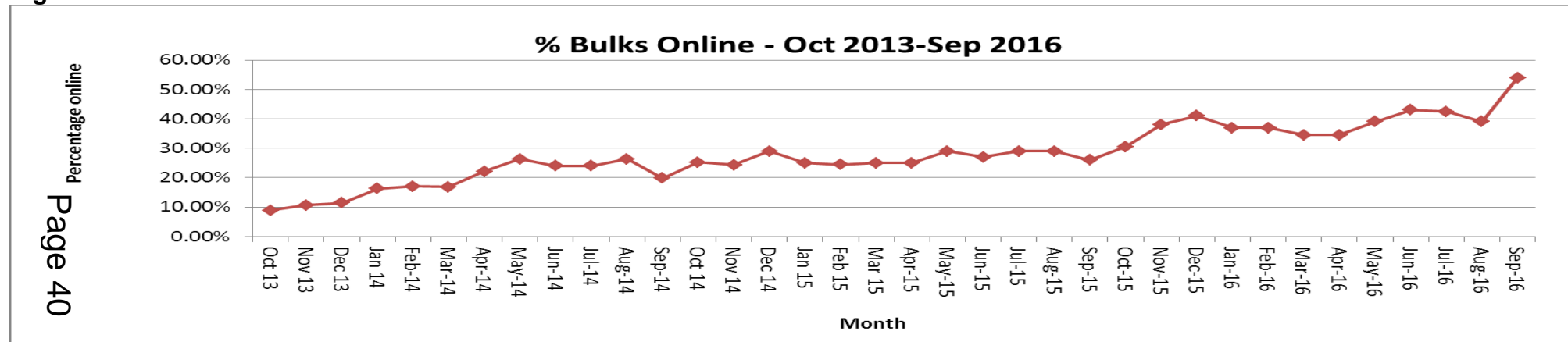
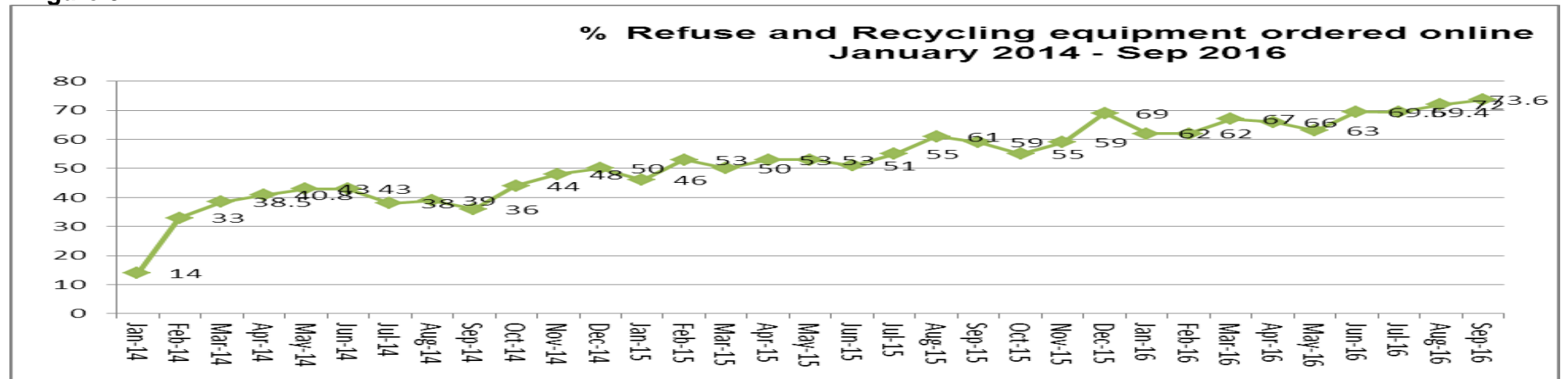


Figure 5





Highlight Report – 1st April to 30th September 2016

Figure 6

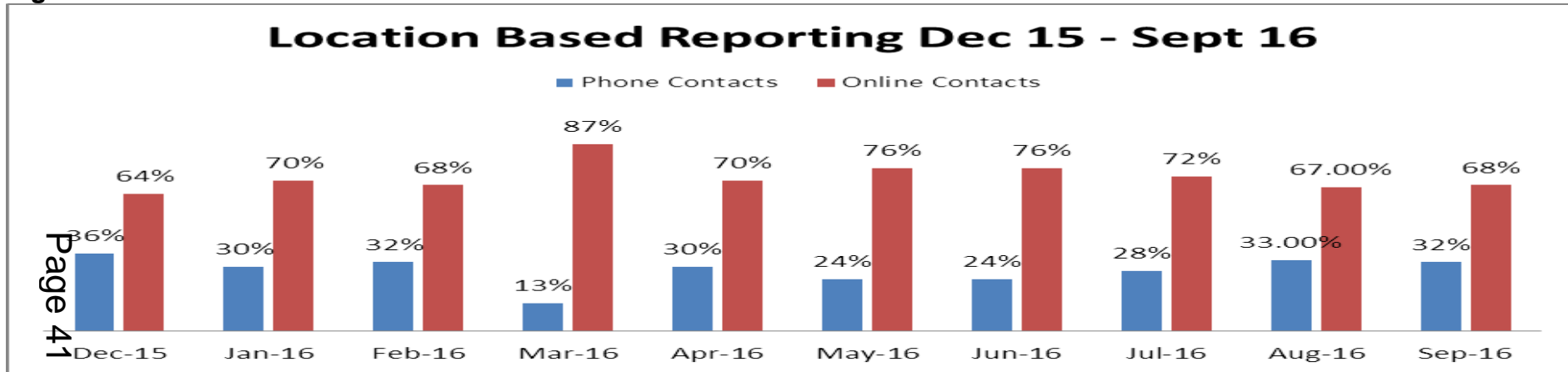
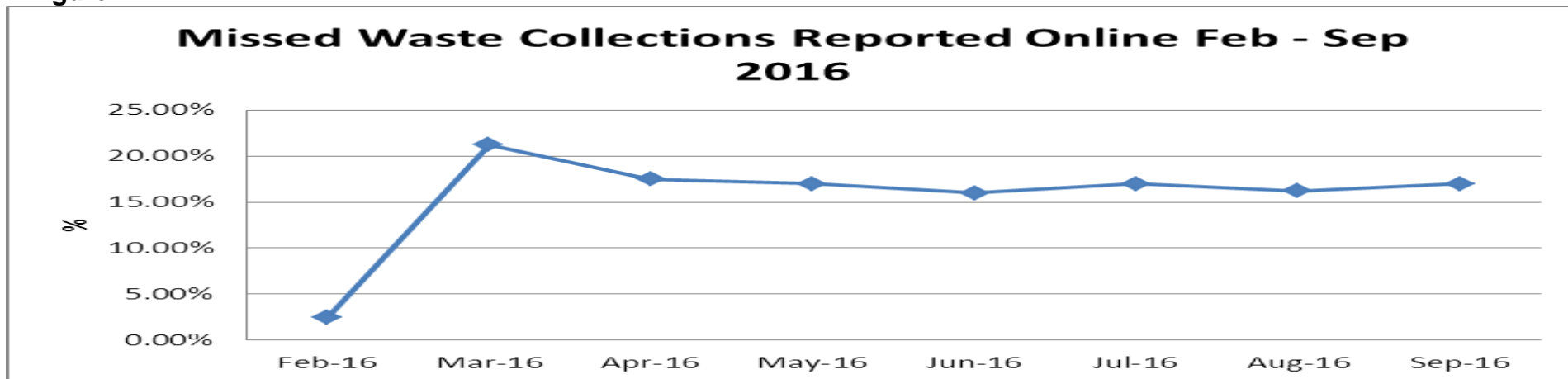


Figure 7

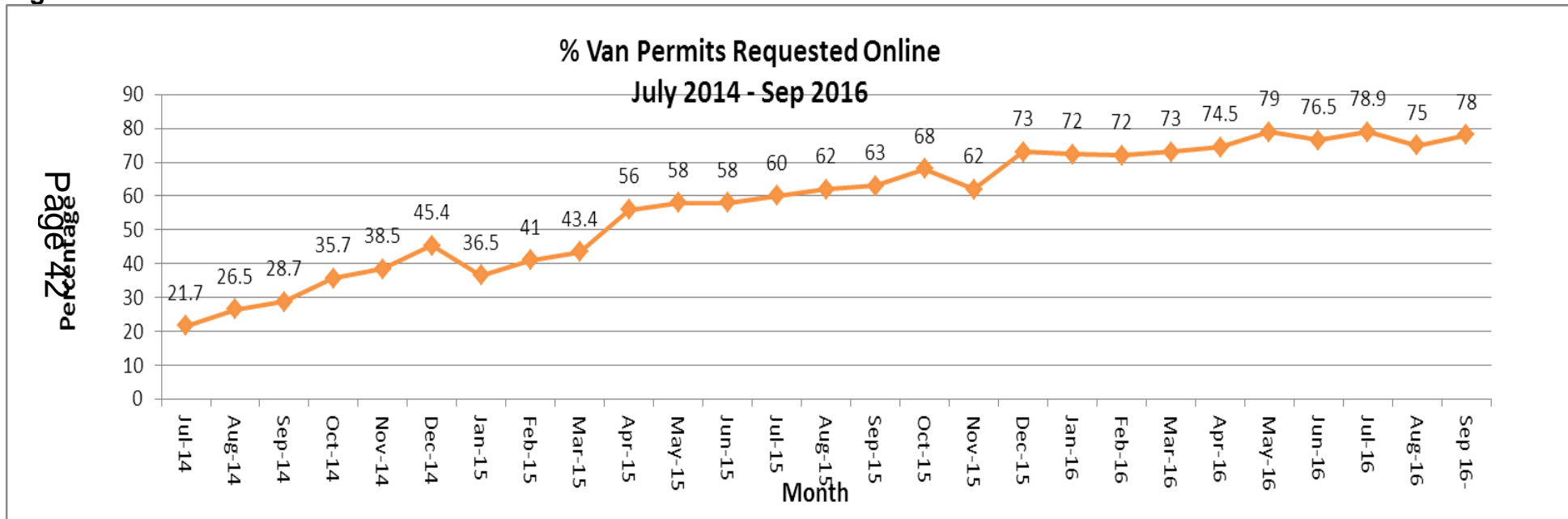




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Highlight Report – 1st April to 30th September 2016

Figure 8





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APPENDIX 1

Highlight Report – 1st April to 30th September 2016

Corporate Risks as reported to Cabinet 19th October 2016:

Ref	Section	Risk Description	Mitigating Action	Latest L'hood Score at Sept-16	Latest Impact Score at Sept-16	Latest Total Score at Sept-16	Latest Proximity at Sept-16 (see key at end of register)	Target Date	Risk Owner
CS03 Page 43	Corporate Strategy & Democratic Services	Digital by Choice - the take up of online services is not as high as forecast	<p>Design easy to use on-line services. User testing to check accessibility. Marketing Plan to be developed to drive behavioural change.</p> <p><u>Updated June 16</u> - internal champions appointed Updated</p> <p><u>September 2016</u> – marketing plan in place</p> <p>Promotional activities delivered for existing online services.</p> <p>Develop next phase of marketing plan to reflect next phase of DBC programme.</p>	1	4	4 - L	1	<p>31/03/2017</p> <p><i>Achieved</i></p> <p>30/11/2016</p> <p>31/12/2016</p>	Head of Corporate Strategy & Democratic Services



Highlight Report – 1st April to 30th September 2016

Ref	Section	Risk Description	Mitigating Action	Latest L'hood Score at Sept-16	Latest Impact Score at Sept-16	Latest Total Score at Sept-16	Latest Proximity at Sept-16 (see key at end of register)	Target Date	Risk Owner
CS04 Page 44	Corporate Strategy & Democratic Services	The Council does not optimise the potential of the Digital by Choice strategy due to pressure of other work across departments - fewer online services are delivered than planned	<u>Updated Sept 16</u>					31/12/2016	Head of Corporate Strategy & Democratic Services
			Stocktake of developments to prioritise next phase of work.						
			Establish plans and resources to deliver agreed priorities.	4	4	16 - H	1	31/12/2016	
			Strengthen monitoring in Programme Board of Delivery.					31/12/2016	
NPT 13	ALL	The Council does not optimise opportunities	Review of income generating opportunities ongoing. <i>Updated Sept 16 – income review</i>	3	3	9 - M	1	28/02/2017	Head of Financial

Highlight Report – 1st April to 30th September 2016

Ref	Section	Risk Description	Mitigating Action	Latest L'hood Score at Sept-16	Latest Impact Score at Sept-16	Latest Total Score at Sept-16	Latest Proximity at Sept-16 (see key at end of register)	Target Date	Risk Owner
Page 45		to raise and collect income, leading to unnecessary service cuts.	<i>working party established to review and report on income/trading opportunities.</i>						Services

Proximity - risks are assessed in terms of proximity i.e. when the risk would occur. Estimating when a risk would occur helps prioritise the risk.

The proximity scale used is:

1. Zero to one year
2. One year to two years
3. Two years to three years
4. Three years plus

5x5 Risk Matrix below:								
Key								
Likelihood	Impact							
1. Very Unlikely	1. Low							
2. Unlikely	2. Low/Medium							
3. Likely	3. Medium							
4. Very Likely	4. Medium/High							
5. Certainty	5. High							
L	Low Risk							
M	Medium Risk							
H	High Risk							
		Likelihood						
			5	M	M	H	H	H
			4	L	M	H	H	H
			3	L	L	M	H	H
			2	L	L	M	M	M
			1	L	L	L	L	L
		0	1	2	3	4	5	
		Impact						

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Neath Port Talbot County Borough Council

Policy and Resources Scrutiny Committee

2nd November 2016

Report of the Head of Financial Services – David Rees

Matter for Monitoring

Wards Affected:

All Wards

Internal Audit Service and Benefits Service Report Cards

Purpose of report

1. To present the Service Report Cards for the Internal Audit Service and the Benefits Service covering the period 1st April 2016 to 31st March 2017.

Service Report Card

2. The Council introduced a revised Performance Management Framework in 2014 / 2015. One of the requirements within that framework is the production of business plans by heads of service. Members endorsed the 2016/17 Business Plan for the Financial Services Division at the May meeting of this committee.
3. Report cards must then be developed by each Accountable manager containing information on performance indicators and targets for improvement. These will be reviewed by the Head of Financial Services and respective managers on a quarterly basis to ensure that each team is on track to deliver the actions set out in the business plan.
4. The Report Cards attached at Appendix 1 have been developed by the Internal Audit Manager and the Principal Benefits Officer.

Financial Impact

5. There are no financial impacts arising from this report.

Equality impact assessment

6. There is no requirement for an equality impact assessment.

Workforce impacts

7. The Business Planning Framework, including the Service Report Card, seeks to ensure that all employees within the Finance Division have clear priorities and objectives, as part of the Council's performance management framework.

Legal impacts

8. There are no legal impacts arising from this report.

Risk management

9. There are no risk management issues arising from this report.

Consultation

10. There is no requirement under the Constitution for external consultation on this item.

Recommendations

11. The report is for information only.

Reasons for proposed decisions

12. The report is for information only.

Implementation of decision

13. The report is for information only.

Appendices

14. Appendix 1 – Service Report Cards for the Internal Audit Service and the Benefits Service 2016 / 2017.

List of background papers

15. Financial Services' Business Plan.

Officer contact

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E-mail: a.hinder@npt.gov.uk

Kevin Davies – Principal Benefits Officer
Tel No: 01639 763920
Email: k.davies1@npt.gov.uk

Mr David Rees – Head of Financial Services
Tel No: 01639 763646
E-mail: d.rees1@npt.gov.uk

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Service Report Card 2016-2017

Housing Benefits / CTRS / Financial Assessments Service

Section 1:

Brief description of the service

The Housing Benefits / Council Tax Support (CTRS) / Financial Assessments Section is responsible for the “means testing” of entitlement to financial support in respect of liability for Rent, Council Tax and Community Care charges.

It is also responsible for payments to providers in respect of support services.

Annually:-

The section is responsible for the assessment and payment of approximately £54 million in housing benefit to 13,000 tenants.

It awards approximately £17 million in council tax support to 18,000 council tax payers.

It is responsible for the payment of approximately £26 million in respect of approximately 900 people in residential care.

Approximately £7 million is assessed as being due for payment by the individuals in residential care.

Approximately £6 million is paid to support providers for the provision of home care etc.

Approximately £2 million is paid directly to 215 individuals receiving care to arrange their own care provision in the form of “direct payments”.

It also has a role in the recovery of sums due to the authority in respect of overpaid benefit and community care charges.

Approximately £1.3 million overpaid housing benefit is recovered from claimants.

Approximately £1.4m is recovered from those who are assessed to pay towards their home care and £0.7 million from those assessed to pay towards their residential care.

Section 2: Overall Summary of Performance for 2015-16 Financial Year

The teams' focus continues to be upon the prompt and accurate assessment of entitlements to benefit and the collection of liabilities where appropriate.

The teams continue to provide a quality and where possible personal service to its customers. Waiting times, turnaround times, complaints etc. are low level particularly in consideration of the level of assessments carried out.

In 2015/16, 102,000 new claims or adjustments to existing housing benefit and council tax support claims

were actioned. There were a total of 21 local authority errors resulting in an overpayment where the claimant wasn't a contributor. As a result of these errors the amount overpaid (and hence not recoverable) was only 0.01% of the total money paid out.

The financial assessments team has undergone a substantial review following a restructure and the loss of several senior staff but continues to provide a quality service.

**Section 3:
Service Priorities 2016-17**

Priority	Actions to deliver priority	Officer Responsible	Timescale	What will be different? Measures and/or Outcomes
<p>1:- To continue to ensure entitlements are calculated and awarded in a timely and accurate manner in accordance with current legislation.</p> <p>To minimise the risk of fraud and error with the benefits / assessments systems.</p> <p>- To manage the revised approach of the Financial Assessment Team and maintain a high level of service following major administrative changes.</p> <p>- To provide more and better information this will be accessible via the internet.</p>	<p>To apply existing policies and procedures. To monitor and manage performance.</p> <p>To verify all relevant information as determined by a risk assessment process.</p> <p>Monitor outcomes following the revision of working practices.</p> <p>Continue to review provision.</p>	<p>Kevin Davies</p> <p>Kevin Davies</p> <p>Kevin Davies</p> <p>Kevin Davies</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p>	<p>Turnaround times and accuracy / error rates.</p> <p>Error / overpayment rates</p> <p>Monitor turnaround times and accuracy rates.</p> <p>Continuous review of provisions / usage / form availability etc.</p>

2:- Maximise benefit overpayment recovery rates on a regular basis to ensure prompt and efficient recovery of debts.	Monthly performance monitoring. Application of recovery policies and procedures.	Kevin Davies	Ongoing	Monitor recovery rates.
3: To ensure the effective and efficient introduction of Universal Credit from the authority's perspective and help those entitled to Universal Credit to make claims and manage their budget effectively.	Administer Memorandum of Understanding (MoU) with DWP for the provision of Digital Support and Budget advice for Universal Credit claimants.	Kevin Davies	Annually, to be reviewed for 2017/18.	Utilise the monitoring arrangements within the MoU.
4: To provide support and advice on changes as a result of welfare reform.	To act as a conduit for information both for internal and external partners.	Kevin Davies	Ongoing	User feedback

Section 4: Service Performance Quadrant 2016-17

Progress on Service Priorities:

Accuracy rates are now actual figures (previously they were based on sample testing) Error rates are minimal taking into account the large number of assessments made.

Processing times remain good, with approximately a 5 day turnaround (which includes weekends so is actually less in real terms)

The 8.4 and 8.7 figures for quarter two will reduce towards the end of the year when “uprating” changes are done which generally have a one day turnaround time.

Overpayment recovery rates appear low, but it must be noted that much recovery is done by deduction from ongoing benefits. Therefore the weekly amounts which can be recovered are low and take time for repayments to be made.

An example of this would be an overpayment of £1,000 recovered by a deduction of £5 per week would be recovered in full in four years (so a recovery rate of 100%), but the in-year recovery rate (which is the measure here) would be 25%.

For information, measures for the Financial assessment service are currently under consideration.

Measure	2014-15 Actual (Full Year)	2015-16 Actual (Full Year)	Comparative Performance	2015-16 Qtr. 2 (cumulative)	2016-17 Qtr. 2 (cumulative)
Service Measure 1: Benefits accuracy rate % (Priority 1 and 2)	99.92%	99.95%	N/A	99.95%	99.90%
Service Measure 2: Speed of processing times (Priority 1)	5.5	4.8	N/A	8.4	8.7
Service measure 3: Benefits overpayments recovery rate (Priority 2)	35%	35%	N/A	21%	23%
Corporate measure (CM01): a) Number of transactional services fully web enabled b) Number of transactional services partially web enabled			If available		

**Section 5:
Financial Quadrant 2016-17:**

Summary of financial performance:

Benefit costs are underspent due mainly to additional “new burdens” funding from the DWP. These funds are paid to address additional work caused by changes to the Housing Benefit regulations. These funds are not built into the budget due to their “unpredictable” nature. Generally changes can be dealt with without substantial additional resources being required despite the additional funding.

Financial Assessment costs are over budget mainly due the additional cost of a visiting officer taken on to improve efficiency in acquiring the information required to determine financial assessments. The cost of this person was shared with the Social Services department. It should also be noted that staffing levels were cut drastically last year so some revisiting of staffing levels was inevitable.

Measure	2014-15 Actual (Full Year)	2015-16 Actual (Full Year)	2016-17 Qtr. 1 (projected to year end)
Corporate Measure (CM02): % revenue expenditure within budget - Benefits	13% underspend	11% underspend	16% underspend
Revenue Budget £434,588	£373,569	£384,614	£366,758
	n/a		£NIL

Corporate Measure (CM03): Amount of FFP savings at risk		£NIL	
Measure	2014-15 Actual (Full Year)	2015-16 Actual (Full Year)	2016-17 Qtr. 1 (projected to year end)
Corporate Measure (CM02): % revenue expenditure within budget-Financial assessments Revenue Budget £321,317	6% underspend £419,504	3% overspend £330,476	8% overspend £347,097
Corporate Measure (CM03): Amount of FFP savings at risk	n/a	£NIL	£NIL

**Section 6:
Employee Quadrant 2016-17**

Corporate Measure (CM04): Average FTE (full time equivalent) working days lost due to sickness absence

Measure	2014-15 Actual (Full Year)	2015-16 Actual (Full Year)	2015-16 Qtr. 1 (cumulative)	2016-17 Qtr. 1 (cumulative)
Service: Benefits/Financial Assessments	5.5 days	5.0 days	0.3 days	2.1 days
Total Service FTE days lost in the period	301	252	14	103
Directorate: Corporate Services	8.0 days	6.0 days	1.3 days	2.1 days
Council	9.4 days	9.7 days	2.2 days	2.4 days

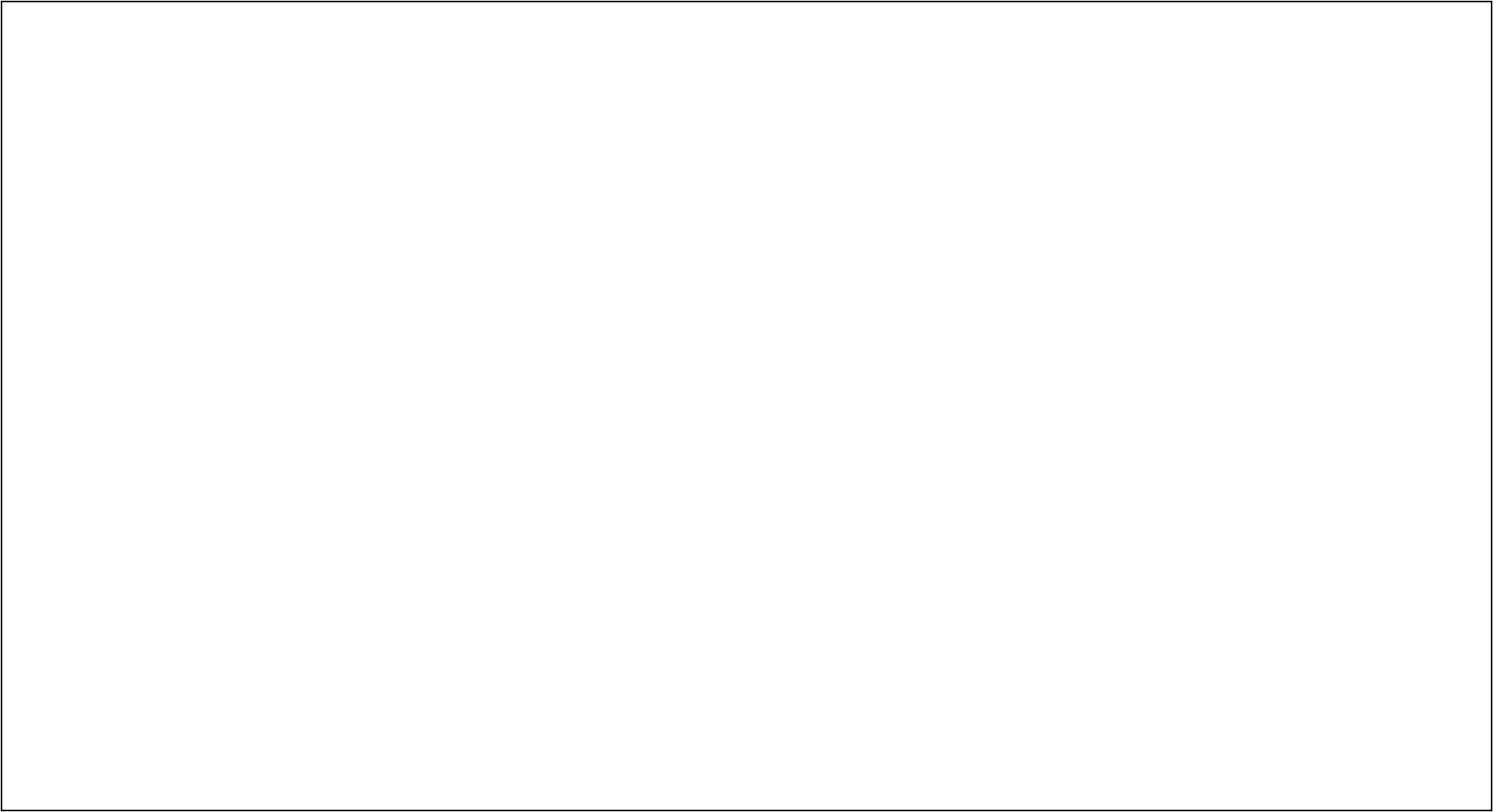
	2015-16 Actual (Full Year)	2015-16 Qtr. 1 (cumulative)	2016-17 Qtr. 1 (cumulative)
Corporate Measure (CM11): Staff engagement Measure	New	New	0
Corporate Measure (CM05): % of staff who have received a performance appraisal during 2016-17 (Target 100%) Number of staff who have received a performance appraisal during 2016-17	0	0	0
Corporate Measure (CM06): Number of employees left due to unplanned departures	2	0	0

Section 7: Customer

Summary of customer performance:

Customer satisfaction is not formally measured, however during 2015/16/ there were only 2 complaints. This small number of complaints as a proportion of the number of claimants / transactions is an indication of customer satisfaction.

Measure	2015-16 Actual (Full Year)	2015-16 Qtr. 2 (cumulative)	2016-17 Qtr. 2 (cumulative)
Corporate Measure (CM07): Total number of complaints			
Internal	2	1	0
External (from the public)			
Corporate Measure (CM08): Total number of compliments			
Internal	6	2	1
External (members of the public)			
Corporate Measure (CM09): customer satisfaction measure/s	0	0	



Service Report Card 2016-2017

Internal Audit Service

Section 1: Brief description of the service

The Public Service Internal Audit Standards 2013 (PSIAS) defines Internal Audit as: "...An independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes."

Internal Audit is a statutory service and provides audit coverage across all of the authority's functions.

The team comprises the Audit Manager, 2 Senior Auditors, 3 Auditors and 2 Assistant Auditors. (FTE 7.31)

Section 2: Overall Summary of Performance for 2015-16 Financial Year

Performance is reported quarterly to Audit Committee.

In 2015/16 the team delivered 95.28% of the audit plan, all of the high risk audit areas were completed (one was undertaken by WAO) and a total of 68 formal audit reports were issued.

The team also provided assistance via attendance at a number of working parties together with ongoing advice and assistance to managers as and when requested.

A total of 11 special investigations were undertaken covering allegations of fraud, theft or malpractice.

A total of 29.78 FTE days was lost to sickness in 2015/16, an average of 3.8 FTE. This represents a reduction from 5.6 in 2014/15 and was below both the division average of 6 days and the authority average of 9.7 days for 2015/16.

The service's budget for 2015/16 was £232,068 and the service was delivered within budget with a slight underspend of 1.25%.

99.35% of the clients who returned the client satisfaction survey were at least satisfied with the service provided. The only negative comment was from one service manager who was unhappy with the timing of the audit, it should be noted that the internal audit service has no leeway with when this particular audit is undertaken.

**Section 3:
Service Priorities 2016-17**

Priority	Actions to deliver priority	Officer Responsible	Timescale	What will be different? Measures and/or Outcomes
1: Deliver the 2016/17 Audit Plan to the satisfaction of the Authority's Audit Committee and the Wales Audit Office.	<p>Maintain the high level of audit programmes developed to ensure full coverage of risk identified.</p> <p>Maintain the high standard of working papers produced by the team</p> <p>Continue to make recommendations which add value to the services audited</p>	A M O'Donnell	By 31.03.17	<p>Continuous review of processes within the service.</p> <p>Monitoring via our review processes.</p>
2: Complete 100% of high risk audits contained within the 2016/17 Audit Plan	Prioritise workloads	A M O'Donnell, A Evans & S Davies	By 31.03.17	Ongoing monitoring and quarterly reporting to Audit Committee
3: Provide assurance to management that the Council's operations are being conducted in accordance with external	<p>Continue to undertake audits which add value.</p> <p>Continue to undertake audits in</p>	A M O'Donnell, A Evans & S Davies	Ongoing	All of the above.

regulations, legislation, internal policies and procedures	line with the Public Sector Internal Audit Standards Continue to produce high quality reports which detail fully the work undertaken, findings and subsequent recommendation and apply a risk rating to all audits undertaken.			
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**Section 4:
Service Performance Quadrant 2016-17**

Progress on Service Priorities

Priority 1: % of Audit Plan completed

At the end of quarter 2 a total of 23 formal audit reports have been issued which is broadly in line with where we need to be at this point in the year taking into account the school holiday period and the audits which can only be done at year-end.

Priority 2: % of high risk audits completed

At the end of quarter 2 a total of 37.5% of the high risk audit areas had been completed, and as a number of them cannot be undertaken until closer to the year-end we are on target to complete the high risk areas identified within the Audit Plan

Priority 3: % of agreed recommendations implemented

At the end of quarter 2 100% of agreed recommendations had been implemented

At the end of quarter 2 100% of those who had returned the client satisfaction survey were at least satisfied with the service provided.

To date a total of 10 special investigations referrals have been received either via the Authority's Whistleblowing Policy, directly from Heads of Service or as a result of the planned audits being undertaken. Four of these are complete.

Measure	2014-15 Actual (Full Year)	2015-16 Actual (Full Year)	Comparative Performance	2015-16 Qtr. 1 (cumulative)	2016-17 Qtr. 2 (cumulative)
Service Measure 1: (Priority 1) % of Audit Plan completed	92.55%	85.28%	N/A	Not available	On target
Service Measure 2: (Priority 2) % of high risk audits completed	100%	97.06%	N/A	Not available	On target
Service measure 3: (Priority 3) % of agreed recommendations Implemented	99.18%	100%	N/A	100%	100%
Service measure 4: % of clients satisfied with service (based on those who returned a completed questionnaire)	100%	99.35%	N/A	100%	100%
Corporate measure (CM01): a) Number of transactional services fully web enabled b) Number of transactional services partially web enabled	Not applicable no external clients				

**Section 5:
Financial Quadrant 2016-17:**

Summary of financial performance

Measure	2014-15 Actual (Full Year)	2015-16 Actual (Full Year)	2016-17 Qtr. 2 cumulative (projected to year end)
Corporate Measure (CM02): % revenue expenditure within budget	10.18% underspend	1.25% underspend	3.41% underspend
Revenue Budget	£249,600	£232,067	£243,620
Corporate Measure (CM03):			£
Amount of FFP savings			0
Amount of FFP savings at risk			0

**Section 6:
Employee Quadrant 2016-17**

Summary of employee performance

A total of 29.78 FTE days was lost to sickness in 2015/16, an average of 3.8 FTE. This represents a reduction from 5.6 in 2014/15 and was below both the division average of 6 days and the authority average of 9.7 days for 2015/16.

Measure	2014-15 Actual (Full Year)	2015-16 Actual (Full Year)	2015-16 Qtr. 1 (cumulative)	2016-17 Qtr. 1 (cumulative)
Corporate Measure (CM04): Average FTE (full time equivalent) working days lost due to sickness absence				
Service: Internal Audit	5.6 days	3.8 days	2.3 days	1.6 days
Total Service FTE days lost in the period	45	30	16	11
Directorate: Finance & Corporate Services	8	6	1.3	2.1
Council:	9.4 Days	9.7 Days	2.2 Days	2.4 days

	2015-16 Actual (Full Year)	2015-16 Qtr. 1 (cumulative)	2016-17 Qtr. 1 (cumulative)
Corporate Measure (CM11): Staff engagement Measure	New	New	
Corporate Measure (CM05): % of staff who have received a performance appraisal during 2016-17 (Target 100%) Number of staff who have received a performance appraisal during 2016-17	0	0	0
Corporate Measure (CM06): Number of employees left due to unplanned departures	1	0	0

Section 7: Customer Quadrant 2016-17

Summary of customer performance.....

Measure	2015-16 Actual (Full Year)	2015-16 Qtr. 1 (cumulative)	2016-17 Qtr. 1 (cumulative)
Corporate Measure (CM07): Total number of complaints			
Internal	0	0	0
External (from the public)			
Corporate Measure (CM08): Total number of compliments			
Internal	0	0	0
External (members of the public)			
Corporate Measure (CM09): customer satisfaction measure/s	99.35%	100%	

NEATH PORT TALBOT COUNTY BOROUGH COUNCIL

POLICY AND RESOURCES SCRUTINY COMMITTEE

2nd November 2016

Report of the Head of Human Resources – Sheenagh Rees

Matter for Information

Wards Affected: All Wards

SICKNESS ABSENCE MONITORING REPORT

1. Purpose of Report

- 1.1 The purpose of this report is to provide Member's with sickness absence monitoring data to inform Member scrutiny of the management of sickness absence across the Council.

2. Monitoring Data

- 2.1 This report focuses on Quarter 1 sickness data for 2016 / 2017. The monitoring data is provided in Appendix 1.
- 2.2 Before we examine the Quarter 1 data however, Members are asked to note **Table 1** in the appendix which provides Members with the all Wales benchmarking figures for 2015 / 2016. Whilst the Council's sickness rate marginally increased from 9.4 average FTE days to 9.7 FTE days in 2015 / 2016, so did sickness across Councils in the rest of Wales (9.85 FTE to 10.2 FTE) and Neath Port Talbot has in fact improved its position on the all Wales benchmarking table, moving from joint 7th to 6th across Wales.
- 2.3 **Table 2** provides Members with the average FTE sick days for Quarter 1 of last year, 2015 / 2016, for each service. I have included this table again to help Members benchmark the current year's Quarter 1 performance against last year's performance.
- 2.4 **Table 3** provides the Quarter 1 monitoring data for 2016 / 2017 for each service.

- 2.5 **Table 4** provides an overview of the Council's average working days lost per FTE employee in Quarter 1 each year from 2009 / 2010 to 2016 / 2017.
- 2.6 **Table 5** provides Members with an overview of the Council's absence pattern and the ratio of days lost to short term and long term absence in Quarter 1 2016 / 2017.
- 2.7 **Table 6** provides Members with head count and full time equivalent figures for each service. This is provided to help Members understand how sickness data compares with the number of employees employed within each service. Members should note that these figures are subject to change, particularly where cross-directorate change takes place.
- 2.8 **Table 7** sets out the number of employees who were absent on 3 or more occasions in each service during Quarter 1 of 2016 / 2017, and **Table 8** sets out the number of working days lost by these employees. In both tables comparison figures for the previous year have been provided (the left hand column represents 2015 / 2016 and the right hand column represents 2016 / 2017).
- 2.9 **Table 9** sets out the number of employees absent for 28 consecutive days or more in each service during Quarter 1, **Table 10** sets out the number of working days lost by these employees. Again, comparison figures for the previous year have been provided.
- 2.10 **Table 11** provides Members with information in relation to why employees were absent from work. This information will help inform targeted strategies in relation to managing absence and promoting health and well-being. Members can compare this with the top ten reasons for absence in 2015 / 2016, set out in **Table 12**.
- 2.11 To help Members understand how the reasons for absence relate to patterns of absence, **Table 13** then sets out the top ten reasons for short term absence in the quarter, and **Table 14**, sets out the top ten reasons for long term absence.

2.12 **Table 15** provides data in relation to employees leaving employment as a result of ill health. 32 employees left the Council's employment in 2014 / 2015 as a result of ill health and in 2015 / 2016, 40 employees have left the Council's employment for ill health reasons. In this quarter 8 employees left the Council's employment.

3. Ongoing scrutiny

3.1 Members will continue to receive sickness monitoring information on a quarterly basis. This will enable Members, over time, to monitor absence rates and patterns across the Council.

3.2 The data presented in this report will raise questions for Members, so for example, whether Members see fluctuations in sickness absence levels in particular services, they may want to take the opportunity to refer this to the relevant scrutiny committee for further investigation.

4. Risk Management

Sickness absence must continue to be managed effectively or there is the risk that sickness rates will increase with associated loss of productivity and budgetary impact.

5. Financial Impact

The costs of sick pay in Quarter 1 2016 / 2017 are as follows:

Workforce excluding schools = £747,584
School Support Staff workforce = £98,649
School Teaching workforce = £201,027

6. Consultation

There is no requirement under the Constitution for external consultation on this item.

7. Equality Impact Assessment

There is no requirement for an Equality Impact Assessment in relation to this item.

8. Workforce Impacts

This report will be shared with recognised trade unions in respective consultative forums for discussion and consideration.

9. Legal Impacts

The management of absence must be fair and reasonable, and managers should ensure compliance with the Council's Maximising Attendance at Work and related policies.

10. Recommendation

It is RECOMMENDED that Members NOTE the sickness absence monitoring report and continue to receive further monitoring reports on a quarterly basis.

11. Appendices

Appendix 1 – Sickness absence Quarter 1 2016 / 2017 Monitoring Data

12. Background Papers

The Maximising Attendance Policy and Procedure.

13. Officer Contact

For further information on this report item, please contact Sheenagh Rees, Head of Human Resources on extension 3315 or e-mail s.rees5@npt.gov.uk

APPENDIX 1 – SICKNESS ABSENCE QUARTER 1 2016 / 2017 MONITORING DATA

TABLE 1

All Wales benchmarking 2015 / 2016

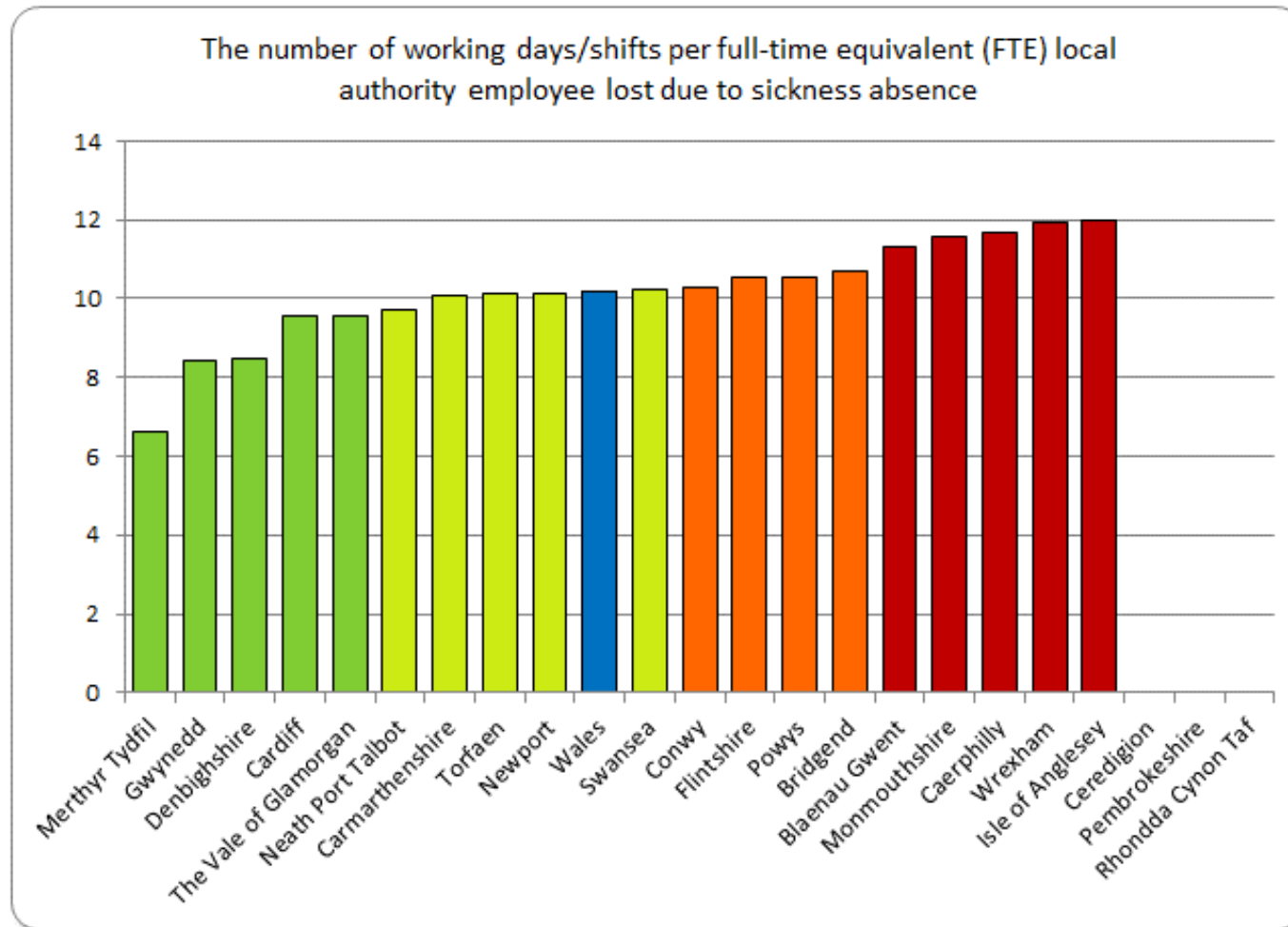


TABLE 2

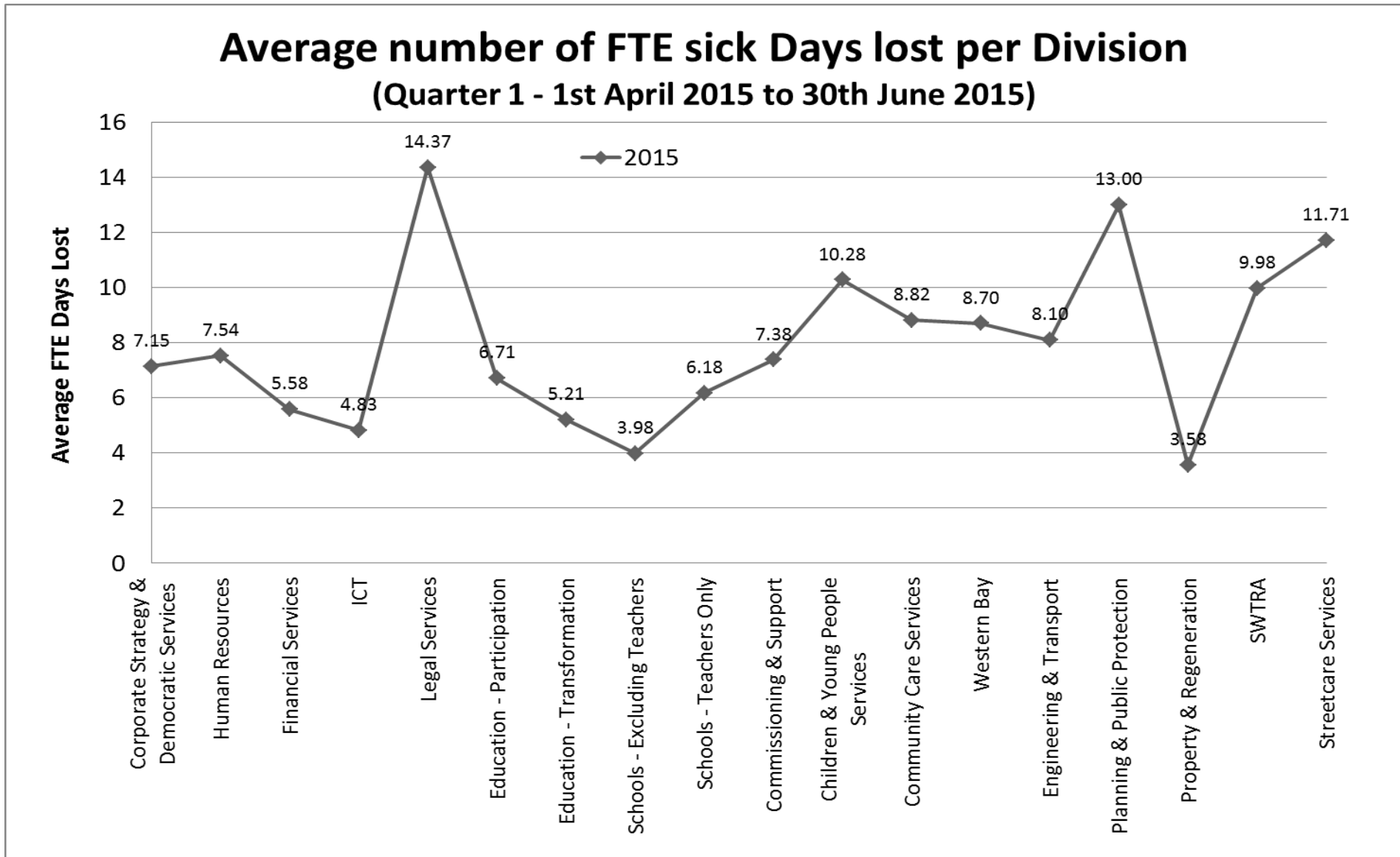


TABLE 3

Average number of FTE sick Days lost per Division (Quarter 1 - 1st April 2016 to 30th June 2016)

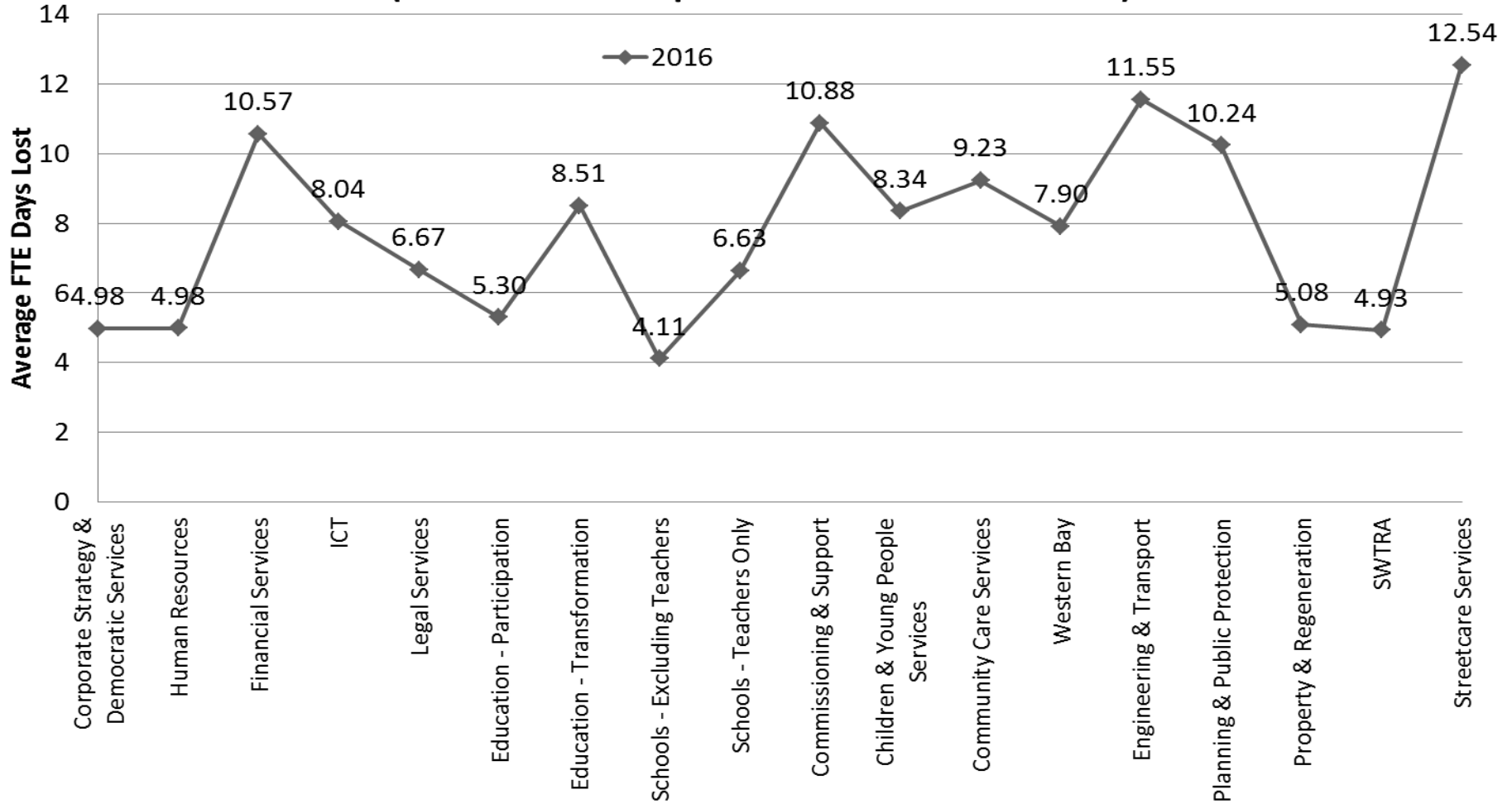


TABLE 4

Quarter 1 Average Sickness Rate

Overall Sickness (Including Teachers)	Quarter 1 2009/10	Quarter 1 2010/11	Quarter 1 2011/12	Quarter 1 2012/13	Quarter 1 2013/14	Quarter 1 2014/15	Quarter 1 2015/16	Quarter 1 2016/17
The number of working days/shifts per full time equivalent (FTE) local authority employee lost due to sickness absence.	2.7	2.5	2.3	2.5	2.1	2.2	2.2	2.4

TABLE 5

**Ratio of short and long term sickness – number of FTE days lost
(Including teachers)**

QUARTER 1 Comparison -1st April 2015 to 30th June 2015 and 1st April 2016 to 30th June 2016

Page 81

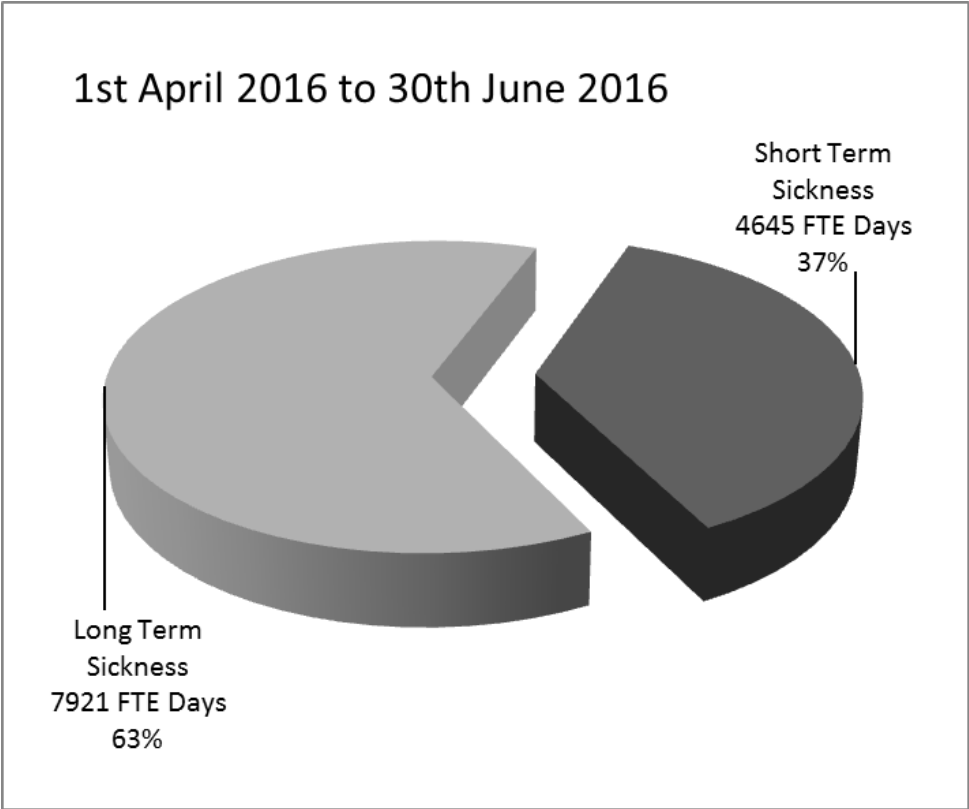
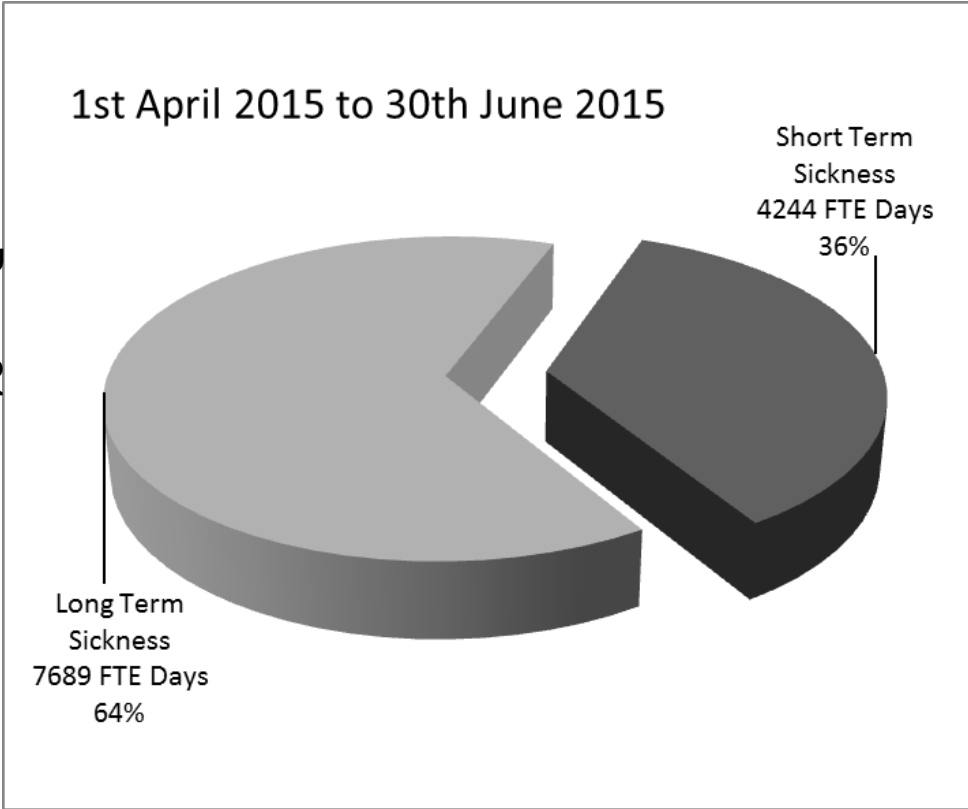


TABLE 6

Service	Headcount	Full Time Equivalent
Corporate Strategy & Democratic Services	79	72.96
Human Resources	75.5	67.46
Financial Services	175	158.84
ICT	99	96.41
Legal Services	89.5	66.50
Participation	1016	468.03
Transformation	120.5	96.16
Schools (Exc Teachers)	1565	1005.36
Teachers	1222.5	1111.14
Commissioning & Support Services	189.5	177.44
Children & Young People Services	347.5	292.71
Community Care & Commissioning Services / Integrated Community Services / Western Bay	669.5	502.26
Engineering & Transport	171	126.26
Planning & Public Protection	93.5	88.95
Property & Regeneration	155	111.82
South Wales Trunk Road Agency	106	103.11
Streetcare Services	541.5	470.69
Total	6715.5	5016.09

TABLE 7

Number of Employees with three or more instances of sickness (1st April 2015 to 30th June 2015 and 1st April 2016 to 30th June 2016)

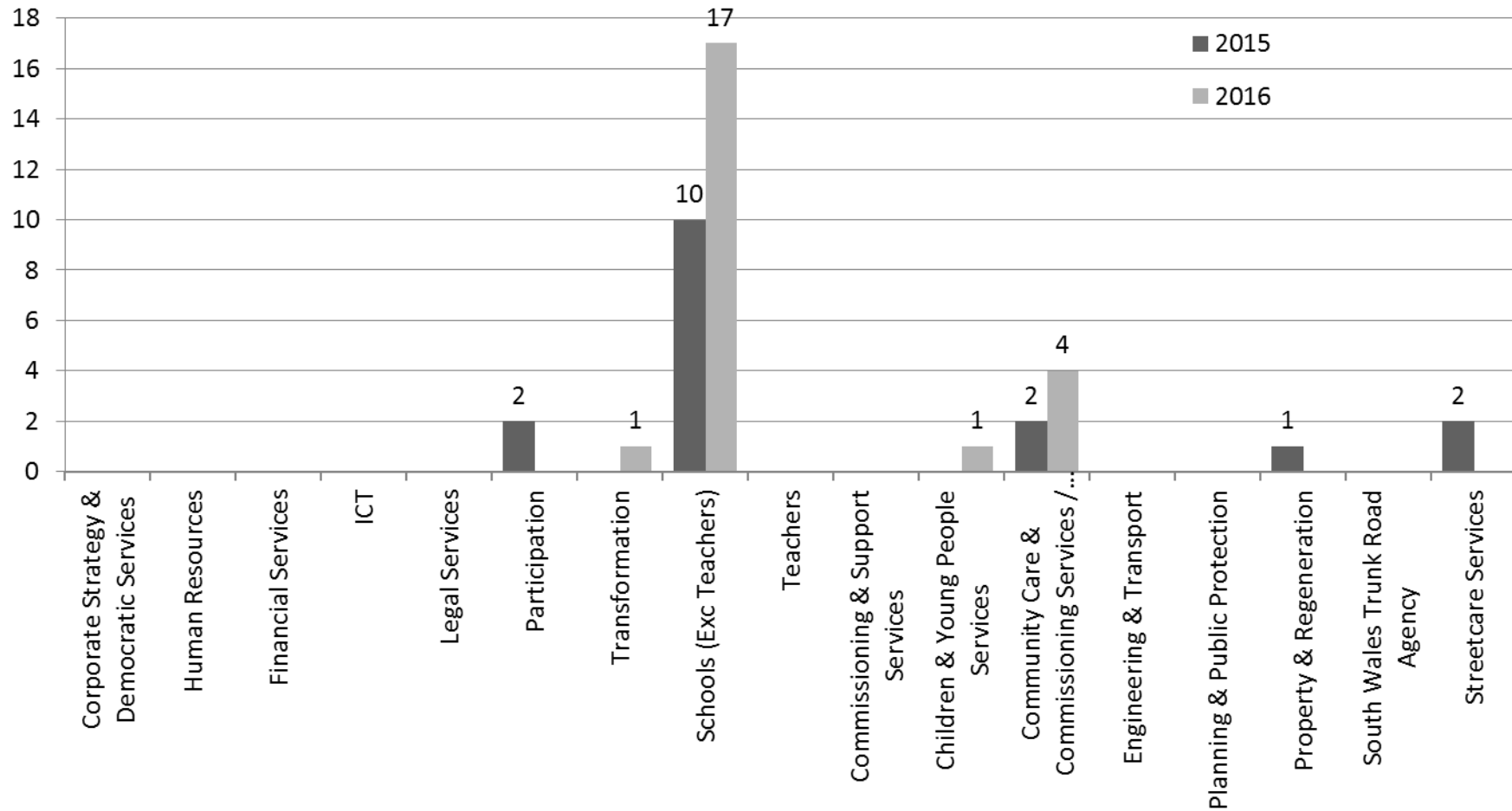


TABLE 8

Number of Working Days Lost for Employees with three or more instances of sickness (1st April 2015 to 30th June 2015 and 1st April 2016 to 30th June 2016)

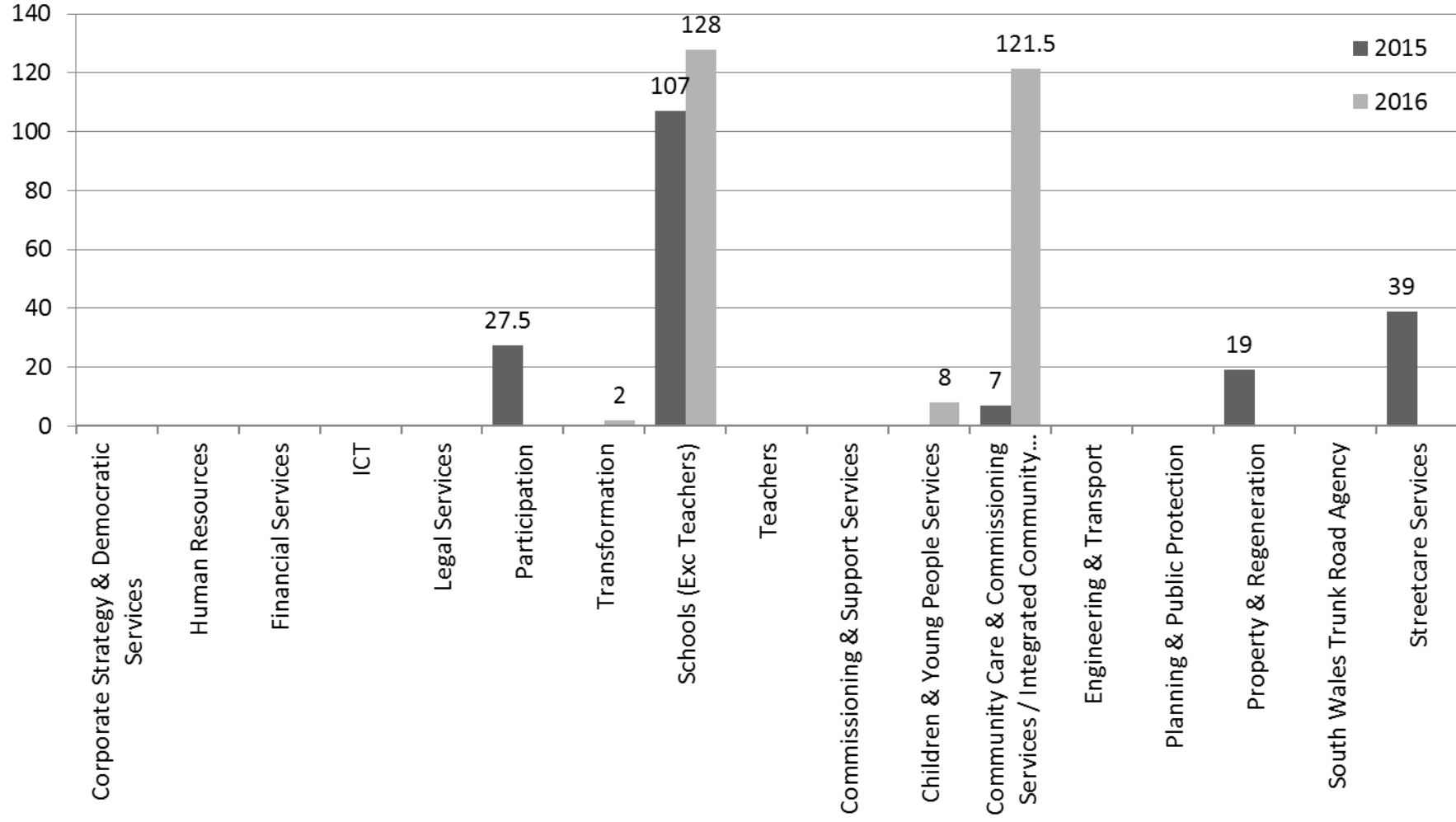


TABLE 9

**Number of Employees consecutively sick for 28 Calendar Days or more
(1st April 2015 to 30th June 2015 and 1st April 2016 to 30th June 2016)**

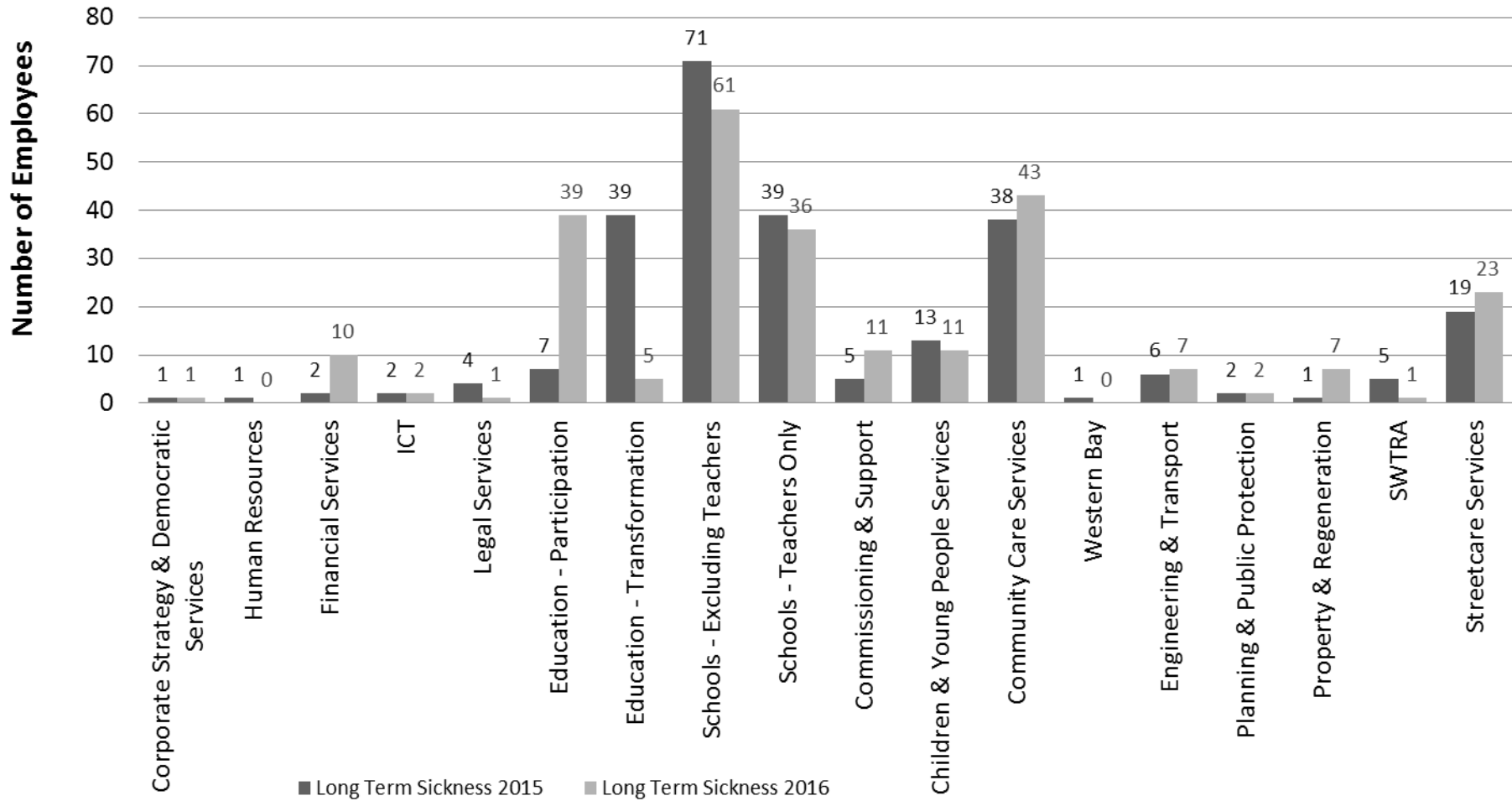


TABLE 10

Number of Working Days/Shifts lost for those employees who are consecutively sick for 28 Calendar Days or more

(1st April 2015 to 30th June 2015 and 1st April 2016 to 30th June 2016)

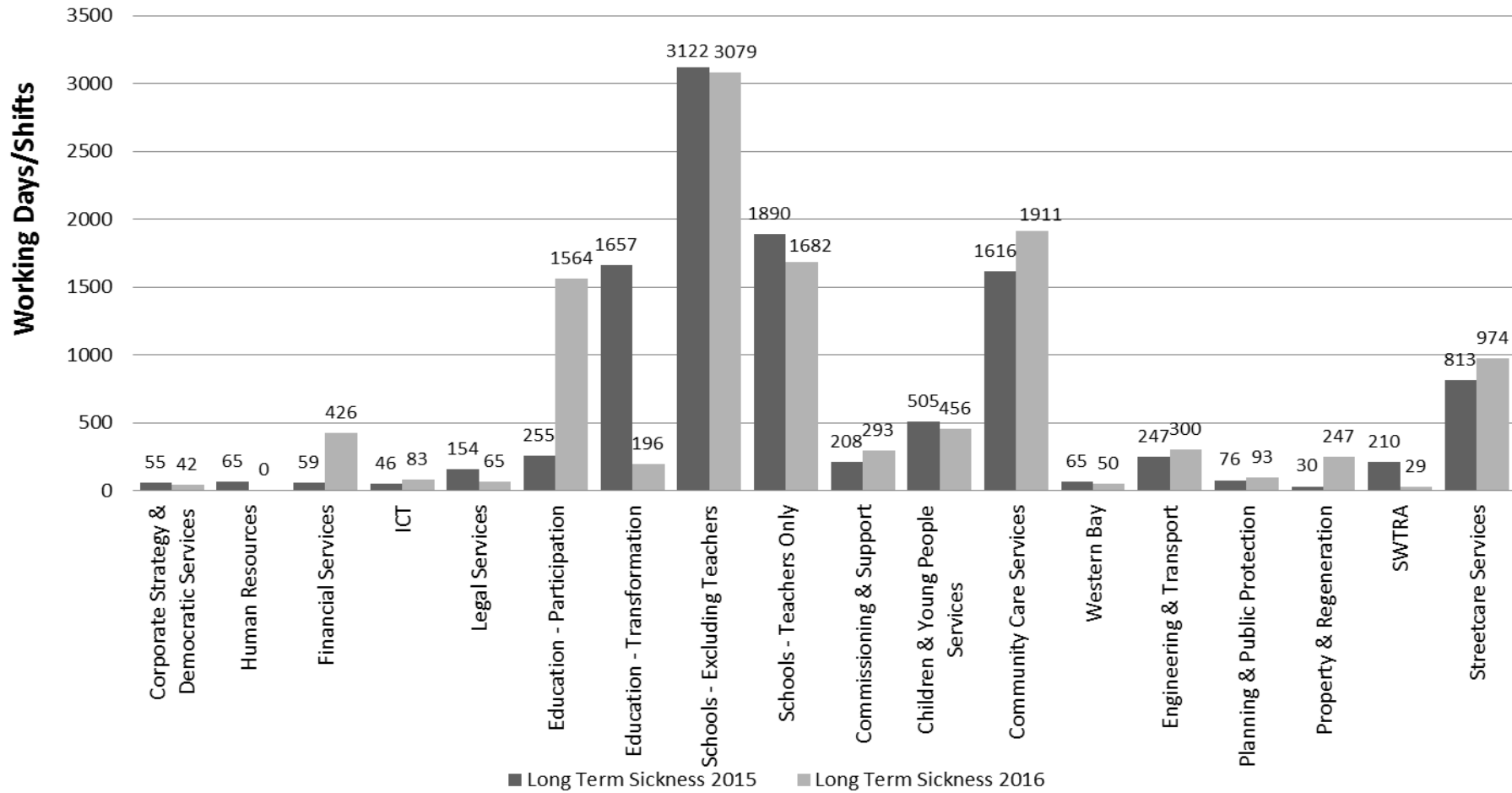


TABLE 11

Number of FTE Days Lost and Reason for absence (Including Teachers)

(1st April 2016 to 30th June 2016)

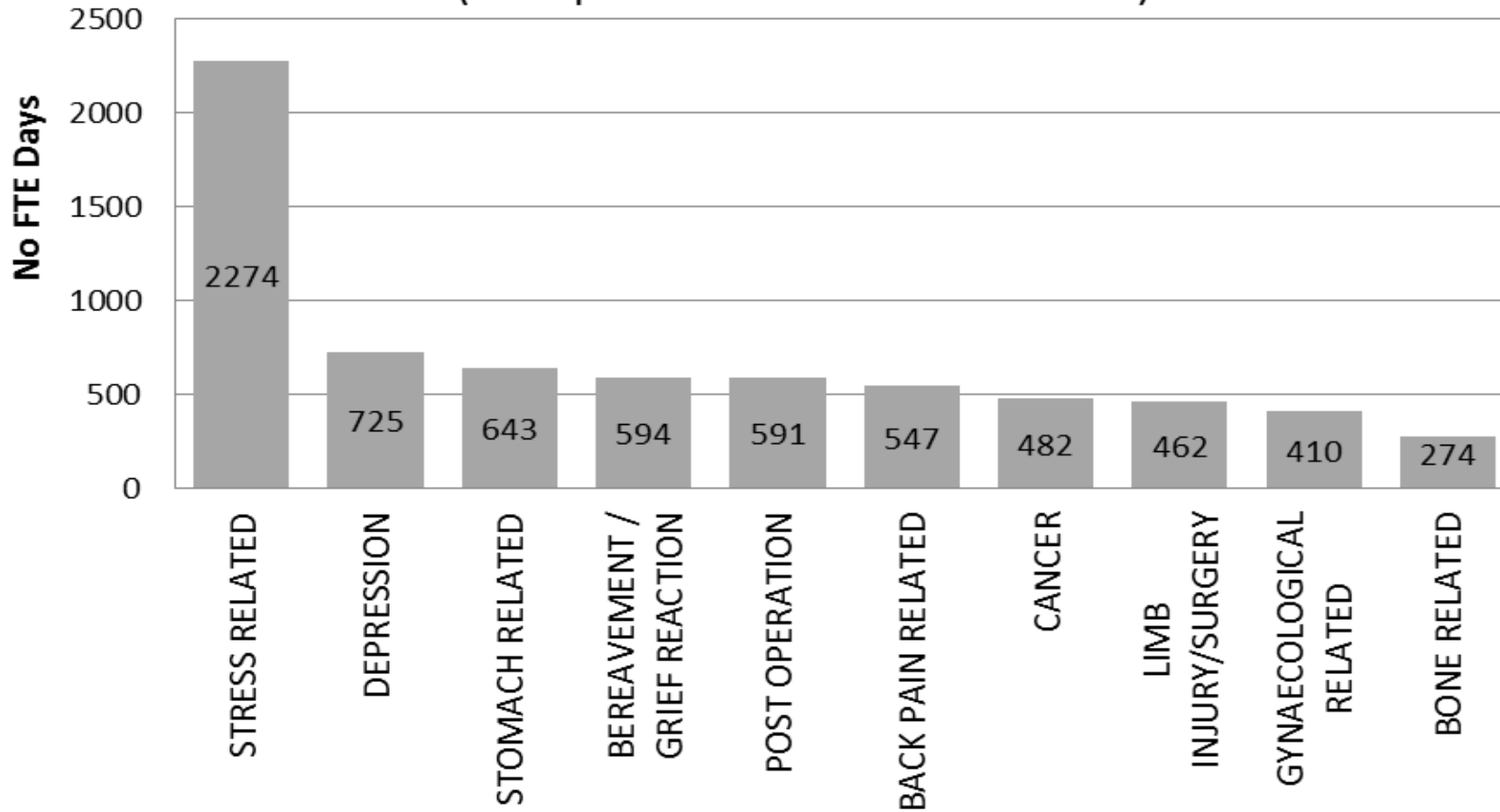


TABLE 12

Number of FTE Days Lost and Reasons for absence (Including Teachers) (1st April 2015 to 31st March 2016)

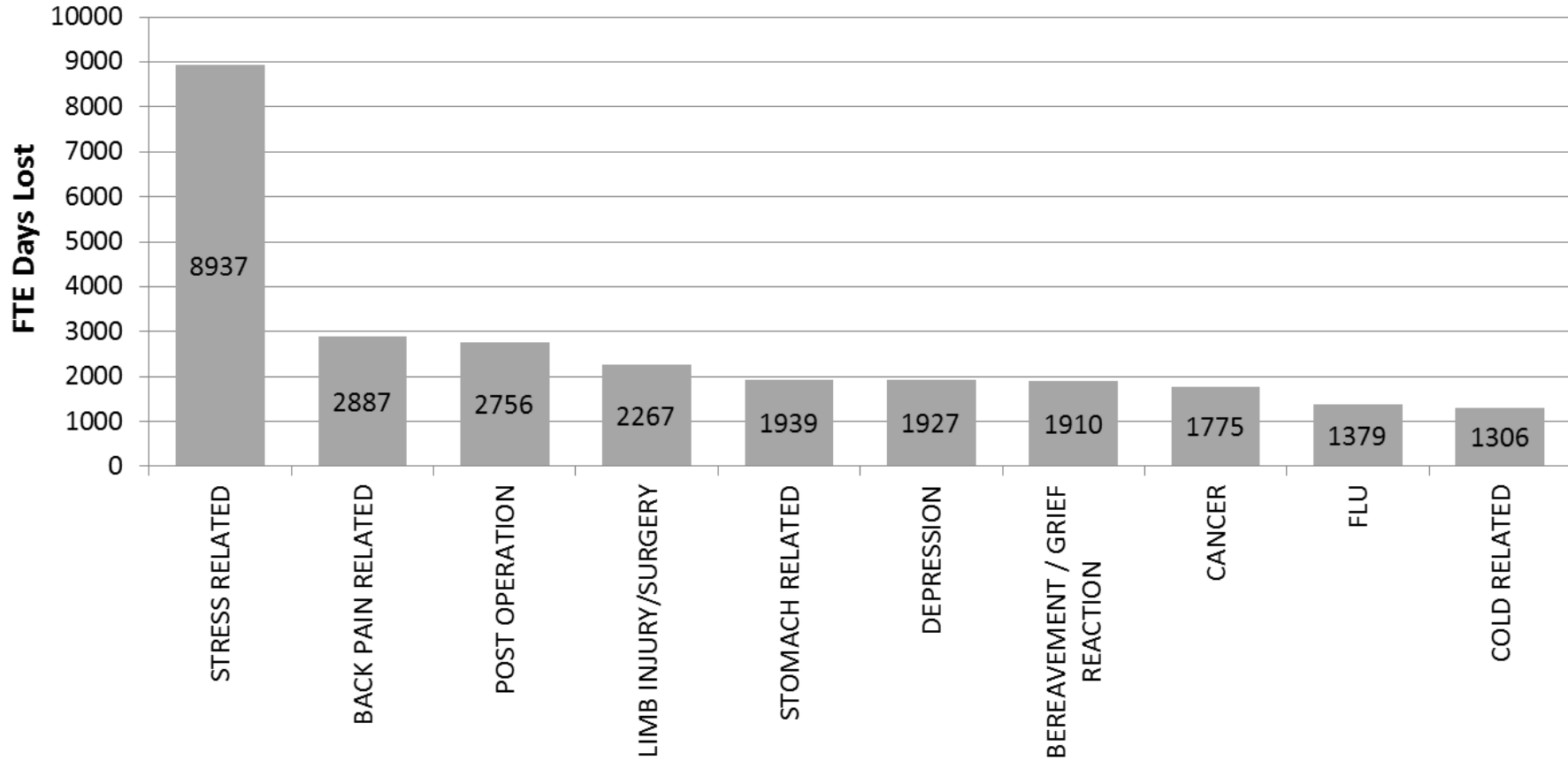


TABLE 13

NPTCBC Short Term Sickness Absence - Number of FTE Days Lost (Including Teachers) (1st April 2016 to 30th June 2016)

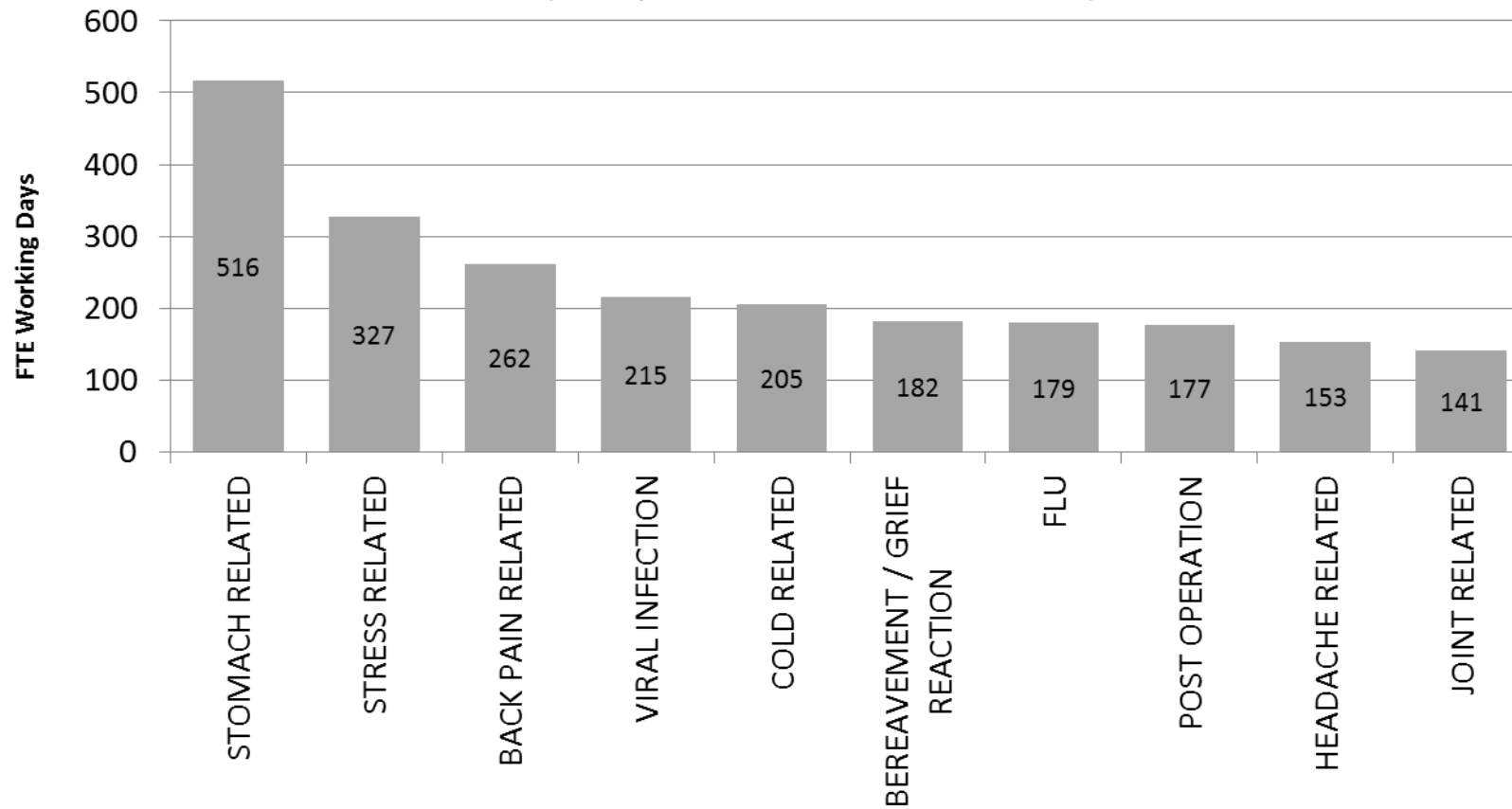


TABLE 14

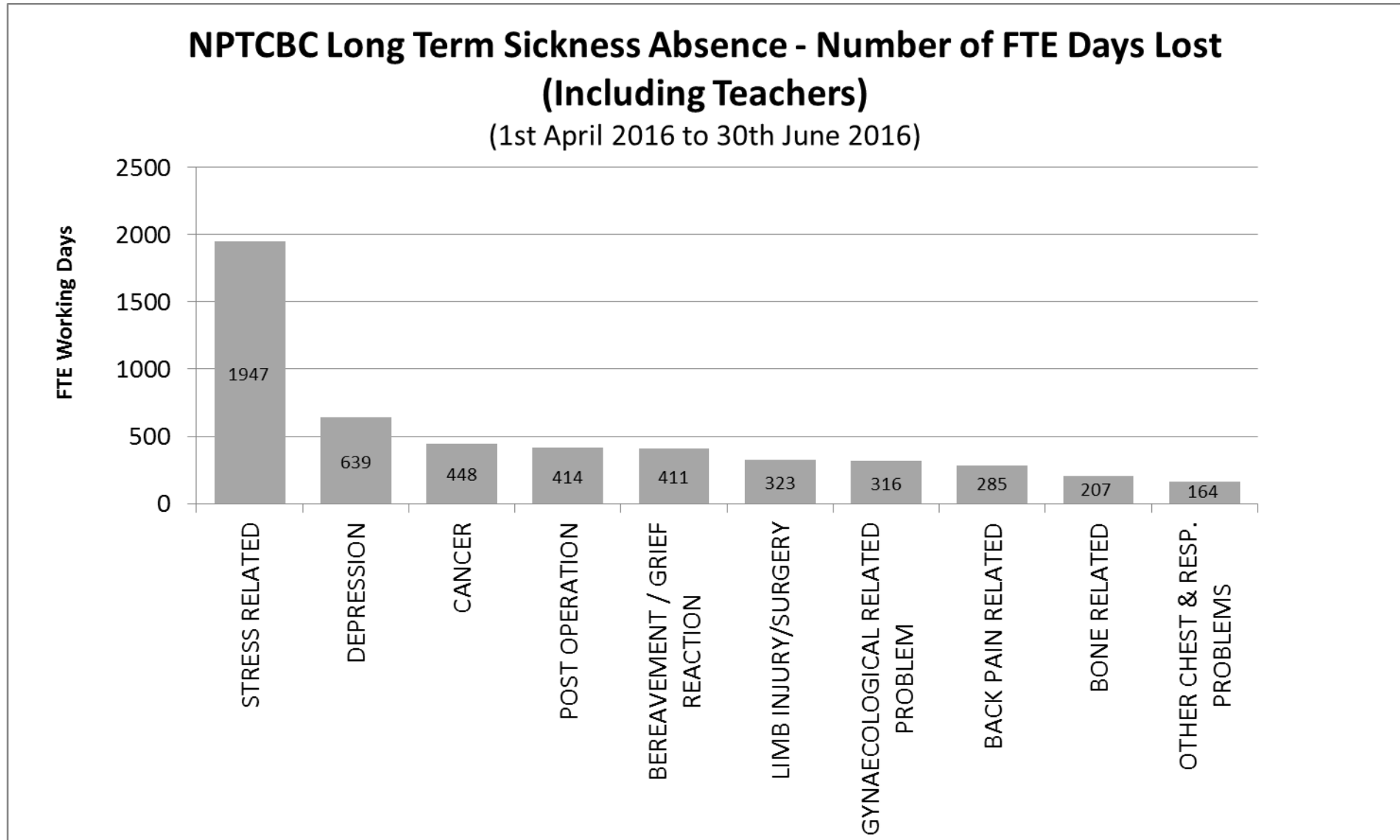


TABLE 15

Ill Health Leavers 1st April 2015 to 30th June 2015

Directorate	Resignation (Health Reasons)	Ill Health Retirement Tier 1	Ill Health Retirement Tier 2	Ill Health Retirement Tier 3	Dismissal - Inability Attend Work On A Regular Basis
CHEX					
ELLL	1				1
SCHOOLS	2				1
SSHH			1	1	2
ENV		4			
FCS					
Total	3	4	1	1	4

Ill Health Leavers 1st April 2016 to 30th June 2016

Directorate	Resignation (Health Reasons)	Ill Health Retirement Tier 1	Ill Health Retirement Tier 2	Ill Health Retirement Tier 3	Dismissal - Inability Attend Work On A Regular Basis
CHEX					
ELLL					2
SCHOOLS		1			
SSHH	1				2
ENV					1
FCS	1				0
Total	2	1	0	0	5

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