



East Kent Services Committee

**The Guildhall
Westgate
Canterbury**

Wednesday, 28 September 2016

Summons and Agenda

Nadeem Aziz
Chief Executive

**CANTERBURY CITY COUNCIL
DOVER DISTRICT COUNCIL
THANET DISTRICT COUNCIL**

Agenda

East Kent Services Committee

**Wednesday
28 September 2016
at 12.00 pm**

**The Guildhall
Westgate
Canterbury**

Membership of the East Kent Services Committee

Councillors

Councillor S Cook
Councillor P Todd
Councillor P Watkins
Councillor M Conolly
Councillor C Wells
Councillor L Fairbrass

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Canterbury City Council, Military Road, Canterbury CT1 1YW

AGENDA

1 **APOLOGIES FOR ABSENCE**

To receive any apologies for absence.

2 **APPOINTMENT OF CHAIRMAN AND VICE-CHAIRMAN**

Under the operating arrangements the Chairman for the municipal year 2016/17 will be a representative of Canterbury City Council and the Vice-Chairman will be a representative of Thanet District Council.

3 **DECLARATIONS OF INTEREST**

To receive any declarations of interest.

4 **SUBSTITUTE MEMBERS**

The Chairman to report any notifications received prior to this meeting regarding the attendance of substitutes for the named Members of this committee.

5 **EK SERVICES AND EK HUMAN RESOURCES COMBINED END OF YEAR REPORT 2015/16** (Pages 5 - 18)

TO CONSIDER – the report of the Director of Shared Services.

6 **ESTABLISHMENT OF EAST KENT SERVICES COMMITTEE AND ASSOCIATED ARRANGEMENTS - REVISIONS** (Pages 19 - 39)

TO CONSIDER – the report of the Head of Legal Services (Canterbury), Director of Governance (Dover), Solicitor to the Council (Dover), Director of Corporate Governance and Monitoring Officer (Thanet)

7 **ANY OTHER URGENT BUSINESS TO BE DEALT WITH IN PUBLIC**

8 **ANY OTHER BUSINESS WHICH FALLS UNDER THE EXEMPT PROVISIONS OF THE LOCAL GOVERNMENT ACT 1972 OR THE FREEDOM OF INFORMATION ACT 2000 OR BOTH**

It may be necessary to exclude the press or public for this item.

9 **EK SERVICES AND HUMAN RESOURCES END OF YEAR REPORT 2015/16** (Pages 40 - 44)

TO CONSIDER – the report of the Director of Shared Services.

**To: East Kent Services Committee
Wednesday 28 September 2016**

Subject: EK Services / EKHR Combined End of Year Report

**By: Dominic Whelan
Director of Shared Services / Director of Collaborative Services**

Summary

This report will provide an end of year summary of service and financial performance for EK Services and EK Human Resources. The report has been submitted to East Kent Services Board for their approval and is now presented to the Committee for information.

1. Introduction

- 1.1 This annual performance report for EK Services (EKS) and EK Human Resources (EKHR) will provide a high level view of key activities and report against identified performance indicators within the service level agreements. It will also provide detail on annual financial performance.

2. Overview

- 2.1 This has been another successful year for EKS and EKHR, which has seen service levels continuing to achieve or, in some cases, over achieve against targets and high levels of customer satisfaction being reported. Further business efficiency has been achieved resulting in a funding surplus for 15/16 that has resulted in some reinvestment into EKS for planned activity as well as some 'cashback' to Councils this year. The work on Digital is gathering pace with improvement in channel shift already being delivered and starting to establish the foundation for new working processes and organisational change within EKS. There have been some significant technology projects delivered or set in train this year and the ICT teams have worked hard to maintain high service levels against an increasing demand and with some resourcing pressures. The customer facing teams in Customer Services, Council Tax (CT), Business Rates (NDR) and Benefits have also been delivering their usual excellent services, whilst implementing new technology, increasing collection rates and coping with the introduction of Universal Credit, movement of staff to DWP and some staffing reductions. The completion of the HR review has enabled the start of the new HR Business Partner model which I am confident will enhance the HR service within each partner council and work on a new HR Service Level Agreement commenced in the last quarter, which I hope will help provide clarity on roles and responsibilities and in turn improve customer relations.
- 2.2 In last year's report, I reminded the Board and Committee of the original objectives set out at the formation of EKS and the initial target for savings¹ and I then reported on progress against these initial targets. I will extend this into 15/16 as I believe there is benefit in highlighting the success and therefore in the finance section of this report (section 9) I have included a table that shows the savings history.

¹ Commit the Authorities to the most economically advantageous and closest coordination possible of the Shared Services across the Authorities administrative areas enabling co- operation to improve efficiency and best value. Savings targets for first four years of 25%.

- 2.3 As at end of 15/16, since the inception of EKS, we have achieved 16% reduction on the net base budget (management fee) which equates to 33% reduction against initial baseline position if one also takes account of the amount of savings EKS have had to find in order to contain all growth items. Then above that, we have handed back a total of £1.9m in surplus to the partners and if one includes that, this represents the true cost of EKS, compared to original 2010 position, of circa 40% total savings.
- 2.4 The work to develop the strategy and shape of EKS and EKHR continued throughout 2015/16 and the new three year Business Plan was approved by EKSB in April 2016; the service review of HR concluded; the first phase of the financial work has been completed and digital futures activity is well underway. There is still much to do, reflected within the Business Plan is ongoing structural reviews of all EKS service areas plus the closer integration of EKHR into EKS; continuing the work on digital enhancement and work to identify further savings via efficiency and growth opportunities.

3. Performance

- 3.1 Overall performance this year has remained high, with only two areas slightly below agreed targets. These were for Business Rates (NDR) and Council Tax (CT) collection for CCC where both fell slightly short of last year's collection levels by a very small amount (0.02% below on CT and 0.48% below on NDR) but still high performance benchmarked across the other SE region Local Authorities. As last year, SLA performance targets have continued to be revised in order to recognise continuous improvement where applicable and also to start moving toward greater commonality across partners. The latter is particularly relevant to services where there is a common service provision across each council such as Customer Services and Payments. More detail on end of year performance is shown in the tables in Appendix 1.
- 3.2 The number of incidents, calls or jobs logged into the ICT service desk has seen a reduction of approx. 10% from previous year and with 98% of jobs resolved within agreed response time (target 95%). Of these 69% were resolved within one day (target 60%). Within the Customer Service contact centre, the spike in calls that we saw last year has settled back and calls have now reduced considerably. The average customer service telephone contact wait time was 39 secs (average target 65 secs) and face to face contact waiting times averaged 5 mins. Whilst the latter is good news in terms of targets, it has a potential detrimental impact on digital ambitions where we seek to move more citizens onto online channels. Face to face contact is very costly and whilst we continue with such high performance it makes channel shift (moving citizens away from expensive contact to more online and self-serve channels) more difficult.
- 3.3 The level of telephone contact into the HR Advisors increased by 10% from last year with a total of 9510 contacts for 15/16 compared with 8661. However, overall caseload dropped from 2116 cases in 14/15 to 1351 cases this year, although the complexity for many of these increased.

- 3.4 The following table provides a breakdown of some key statistics for the year with detail from previous years for comparison:

Key Statistics:

	2013/14	2014/15	2015/16
ICT logged incidents/jobs (via tel, email or portal)	32,478,	31,891	28,432
Contact Centre telephony calls	888,851	1,004,416	868,281
Customer Services (face to face contact)	244,844	236,773	214,018
Council Tax income	£179.7m	£186.2m	£188.3m
Business Rates income	£121.8m	£121.7m	£121.1m
Benefit cases	230,066	247,161	225,703
Housing Benefit (recipients / amount)	33,939 / £156.9m	31,952 / £156.0m	31,683 / £153.4m
Council Tax Support (claimants / amount)	40,068 / £33.6m	38,064 / £32.2m	36,446 / £31.4m
EKHR calls	8,287	8,661	9,510
EKHR cases	1,852	2,116	1,351

4. Customer Delivery

- 4.1 EKS, via its Customer Delivery team, received national recognition of its achievements by winning the 2015 IRRV award for Excellence in Partnership working. This recognised the strong positive relationships and ethos that underpin the partnership and the work to improve commonality and sharing of resources in a manner that has driven up productivity and service levels.
- 4.2 Customer Delivery completed phase one of the project to rationalise and align the processing and imaging systems in use within Revenues and Benefits. This involved total replacement of Canterbury systems and full migration of data, and partial replacement and migration at Dover. All systems are operationally stable and work is progressing on phase 2 of the project which involves the merging of some of the databases as well as the implementation of significant levels of automation and self-service. This creates a solid base from which to operate single virtual teams where appropriate and achieve greater levels of operation efficiency than were previously possible.

- 4.3 Digital initiatives continue to impact strongly on the organisation and the Assistant Director (Customer Delivery) has moved to focus on the delivery of key Customer Delivery digital objectives around customers reporting changes and submitting evidence online and promoting e-billing. Mark Emery (Operational Support Manager) has stepped up to cover as Interim Head of Customer Delivery and he has commenced a review of the Customer Delivery structure, starting with a close look at the Customer Services area. This is to identify new ways of working and changes in process and organisational design that can be implemented in order to achieve savings but also to set the foundation for the increase in digital take up and the expected reduction in face to face contact.
- 4.4 The pilot of customer Appointments at the face to face outlets was increased to include Dover Whitfield offices. Feedback has been very positive and it continues to result in reduced wait times and contact volumes and plans are being developed to roll this out further.
- 4.5 The Fraud team completed their transfer to the DWP under the Single Fraud Investigation Service initiative in November 2015. Discussions are ongoing with KCC about initiatives to protect the Tax Base as we move forward.

5. Digital

- 5.1 For the last quarter of the year, the plans to move forward with Digital improvement within our customer facing service areas have started in earnest. The small digital team, led by Andrew Stevens, have analysed baseline data and established a set of priority areas, based upon the heaviest face to face and telephone contact, to focus on in order to make swift improvement to citizen access and self-serve opportunities and making the customers life easier.
- 5.2 One of the first phases of this work was to conduct extensive customer testing in various offices which included a dedicated week of insight gathering also using innovation such as 'eye tracking' technology to help us understand how effective our forms and paperwork is. We have also been successful in gaining grant funding from the DWP to help us procure our own eye tracking equipment that we can use alongside our 'behavioural change' activity to benefit partners as well as to assist other Local Authorities in the region as part of a commoditised service provision.
- 5.3 We have developed and rolled out a set of EKS Digital Standards which govern how we design, develop and implement digital services and used to enforce them. This is linked to the creation of a group of Digital Champions from front line staff across all service areas who are heavily involved in delivering our main objectives and helping us to improve digital skills and understanding within our workforce.
- 5.4 The work has already seen an increase on online take up by our consumers with such things as council tax e-billing increasing from 7000 to 16000 citizens and a 10% increase take up so far in online business rates activity. We have also now started a pilot for "live chat" which will help the customer service advisors handle enquiries more efficiently.

6. ICT

- 6.1 Compliance continued as a key theme during 2015, however the volume of work required in order to sustain compliance across the three councils and associated partners has started to level out. We replaced a range of technologies as part of the PSN compliance and continue the PCI-DSS programme.
- 6.2 We continue to work with the Senior Information Risk Officers (SIRO) through the Corporate Information Governance group (CIGG); a SIRO led group that considers information security/governance and risk for all councils. The suite of unified policies started development and are near completion.
- 6.3 Work to improve our front line service has continued; we have introduced a new self-service desk system and a contract management system and there have been a number of key projects undertaken at each council, including office move programmes, ongoing phased role out of WiFi, and entire replacement of network equipment.
- 6.4 There has been a vast improvement in project commissioning processes and we continue to work with council colleagues to refine and improve this area. Work with the Mid Kent Improvement Partnership (MKIP) around ICT project commissioning was concluded and the report and recommendations discussed with all clients.
- 6.5 ICT assisted on procurement and selection processes for a range of new partner wide systems including the Telephony replacement project, EKHR single system, Revenues and Benefits single system, single housing system and shared e-forms product. Additionally we contributed to many partner led product and supplier reviews.
- 6.6 The 2016/17 SLA documents were issued to partners alongside an updated 7 year financial position for asset renewal and technology budgets. Within these, we introduced additional added value services including support for information security incident reporting for the SIROs and a new VIP service for named officers and councillors.
- 6.7 Our annual ICT customer satisfaction survey revealed a satisfaction rating of 99%, an improvement on the previous year and a marked improvement on the 56% rating in place prior to EK Services.
- 6.8 As part of a cloud first approach and looking forward, the ICT team began to evaluate cloud office solutions in order to provide the partnership with visibility over upstream financial decisions and to present optimum choices.

7. Business Support

- 7.1 The Business Support team has continued to provide services to EKS corporate activity and administration support to the Income and Payments team. Work to produce a new Corporate Risk Register has been completed and we are working with Councils (supported by Kent Resilience Team) to review the Business Continuity Management Plans. The Business Support Manager played a key role in assisting with the development of the EKS Business Plan and this year has also developed a new service to undertake transcription work for TDC Street Scene Enforcement.
- 7.2 Continuous improvement activity and alignment of workflow has enabled a reduction of 2.2 FTE (12 % of staff) during 15/16. We are now starting to assess how the implementation of digital solutions to our Customer Delivery area will impact on the Business Support function.

8. EKHR

- 8.1 There were 1351 HR cases of varying types supported throughout the year. The employee relations work has been particularly complex, with 120 Health & Safety (H&S) cases, 204 Absence Cases and 69 Individual Restructure Impact cases completed and 235 Occupational Health referrals completed. The number of H&S cases has dropped from last year and this has helped us to resource the introduction of the planned H&S audit programme. In addition, HR have placed 330 adverts for recruitment and managed recruitment through the pipeline to result in 247 new starters.
- 8.2 As service areas and departments within the councils reduce their resources, there has been a slight gap appearing, in management capability/capacity and with line managers having less time to coach and support their own staff. EKHR team members have assisted Councils where possible to fill this gap by providing additional support.
- 8.3 Legislative changes requiring the compulsory use of ACAS, before progressing to Employment Tribunal, has added to work this year. However, this has resulted in swifter exits where appropriate and greater protection for the councils in high risk cases, saving cost and time (EKHR managed 11 cases throughout 2015/16).
- 8.4 Absence Management has become more of a priority over the last year with a number of cases being moved to dismissal. Linked to this we have noticed an increased workload and complexity due to the ill health retirement process for current employees exiting the business as well as previous employees whose circumstances have changed or are due for review by Pensions.
- 8.5 The HR service review was concluded which resulted in a restructure within EKHR taking effect from 1 April 2016. The main changes were the introduction of Business Partners at each Council and also in EKS and EKH. The other significant change as a result of the feedback is the introduction of telephony appointments with HR Advisors.

- 8.6 The introduction of East Kent People in November 2015 was a great success. This was supported by a cross functional/District project team which helped ensure the smooth implementation of the payroll system and self-service functionality. Other project highlights include: continued development of automated forms; the introduction of East Kent Learning which replaced the previous E Learning system; undertaking a review of a number of polices which are now with the Business Partners to work with the authorities for consultation and significant support provided in the recruitment of a number of senior management positions.
- 8.7 Considerable project support has been provided to CCC (paid for in addition) to review and introduce a new Job Evaluation scheme and revised terms and conditions.

9. Finance

9.1 The Finance Manager has supported a range of work, in addition to routine financial management activity, including:

- 9.1.1 Support to the HR and Payroll system project with budget managing the implementation of the new system and reporting to the Project Board.
- 9.1.2 Development of a Reserves Policy that has now been agreed by the S151 Officers and the EKS Board.
- 9.1.3 Completing the first phase of a review of the EKS cost base and financial model. The framework of the model is now built and has incorporated the 16/17 budget information. Further work will refine the model during 16/17.

9.2 As at end of 2015/16 the financial savings in management fee budgets compared against initial budgets at inception of EKS; the totals of additional savings handed back each year above the management fee reductions and the absorbed costs for growth resulting in cost avoidance are shown in the table below. Budget figures for 16/17 are also included for information.

9.3 A detailed end of year financial position statement is provided at Appendix 2 which includes details on the treatment of the surplus, reserves and savings.

Year	Savings in management fees against initial budgets	% savings since start, management fees only	Cost avoidance through absorbed costs (non-budgeted) for growth	% savings since start including management fee savings & absorbed costs for growth	Additional (one off) money handed back	% savings since start including management fee savings, absorbed growth and surplus handed back
11-12	1,237,000		204,000		400,000	
12-13	266,000		194,550		336,680	
13-14	400,000		254,230		331,750	
14-15	5,000		218,320		382,160	
15-16	-----	16%	200,000	25%	458,549	40%
16-17	482,000	20%	541,000	33%	-	49%

10. Audit, Scrutiny & Reporting

- 10.1 The Director has continued to provide monthly performance reporting to clients, given regular updates to EKSB and S151 meetings and also supported Council Scrutiny and Performance Committees as and when required.
- 10.2 EK Audit Partnership (EKAP) has conducted 13 audits into areas of the EKS service as agreed in the EKAP work plan. A separate annual audit report has been produced by EKAP which will be circulated to each Council. Of the 13 audits, five were fully completed and achieved substantial or reasonable assurance; six reviews were work in progress at year end and a further two reviews were not liable to be graded.
- 10.3 The full Annual Internal Audit Report for EKS is attached at Appendix 3 for information, should any member of EKSB wish to review the full detail. EKS also provided an Assurance Statement to feed into each Councils Annual Governance Statement.

Report author

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Appendices:

1. EK Services Performance Report – Final Outturn 2015/16
2. EKS & EKHR Financial Outturn Report 2015/16
3. EKAP Annual Internal Audit Report for EK Services 2015/16

EK Services Key PI Combined Report – 2015/16 Final Outturn

						
Council	Service Area	PI	Description	Outturn 2014/15	Target 2015/16	Year End
ALL	ICT	EKS01	% of Service Desk calls resolved within agreed target response time	96.00%	95.00%	98.00%
ALL	ICT	EKS02	% of Service Desk calls resolved within one day	71.67%	60.00%	69.00%
ALL	ICT	EKS04	% Availability of email service	100.00%	97.50%	99.92%
ALL	ICT	EKS05	% Availability of the corporate website (CCC & TDC only)	99.98%	99.50%	99.96%
ALL	ICT	EKS24	% Availability of Core Systems	100.00%	95.00%	100.00%
ALL	Customer Services	EKS09	Average face-to-face waiting time in minutes	00:06:06	00:09:43	00:05:01
ALL	Customer Services	EKS10	% of abandoned calls	6.39%	13.20%	4.40%
ALL	Customer Services	EKS25	% of calls dealt with by automation	26.45%	20.00%	27.11%
ALL	Customer Services	EKS26	Average call waiting time in minutes	00:00:51	00:01:05	00:00:39
ALL	Benefits	EKS13	Average time taken to process all new claims and change events in HB and CTB (days)	5.37	8.80	6.51
ALL	Benefits	EKS14	% of correct HB and CTB decisions	96.67%	94.02%	97.09%
ALL	Council Tax	EKS18	% of Council Tax collected	97.60%	97.45%	97.70%
ALL	Business Rates	EKS19	% of Business Rates collected	99.12%	98.55%	99.29%

Annual Internal Audit Report for EK Services 2015-16

1. Introduction/Summary

The main points to note from this report are that the agreed programme of audits has been completed with some projects being finalised as work in progress at 31st March 2016. ***The majority of reviews have given a substantial or reasonable assurance and there are no major areas of concern that would give rise to a qualified opinion.***

The financial management of the Internal Audit cost centre held by Dover District Council has performed well and has delivered a modest saving against budget. The saving accrued to EK Services is £511 and it has been agreed that this will be used to purchase additional audit days as required in 2016-17.

2. Review of the Internal Control Environment

2.1 Risks and Assurances

During 2015-16, 26 recommendations were made in the agreed final audit reports for EK Services. These are analysed as being High, Medium or Low risk in the following table:

Risk Criticality	No. of Recommendations	Percentage
High	11	42%
Medium	13	50%
Low	2	8%
TOTAL	26	100%

Naturally, more emphasis is placed on recommendations for improvement regarding high risks. Any high priority recommendations where management has not made progress in implementing the agreed system improvement are brought to management and Councillors' attention through Internal Audit's quarterly update reports. During 2015-16 the EKAP has raised 26 recommendations, and whilst 92% were in the High or Medium Risk categories, none are so significant that they need to be escalated at this time.

Internal Audit applies one of four 'assurance opinions' to each review, this provides a level of reliance that management can place on the system of internal control to deliver the goals and objectives covered in that particular review. The conclusions drawn are described as being "a snapshot in time" and the purpose of allocating an assurance level is so that risk is managed effectively and control improvements can be planned. Consequently, where the assurance level is either 'no' or 'limited', or where high priority recommendations have been identified, a follow up progress review is undertaken and, where appropriate, the assurance level is revised.

The summary of Assurance Levels issued on the 13 pieces of work commissioned for EK Services over the course of the year is as follows:

NB: the percentages shown are calculated on finalised reports with an assurance level

Assurance	No.	Percentage of Completed Reviews
Substantial	2	40%
Reasonable	3	60%
Limited	0	0%
No	0	0%
Work in Progress at Year-End	6	-
Not Applicable	2	-

NB: 'Not Applicable' is shown against quarterly benefit checks.

Taken together 100% of the reviews account for substantial or reasonable assurance. There were no reviews assessed as having a limited or no assurance.

For each recommendation, an implementation date is agreed with the Manager responsible for implementing it. Understandably, the follow up review is then timed to allow the service manager sufficient time to make progress in implementing the agreed actions against the agreed timescales. The results of any follow up reviews yet to be undertaken will therefore be reported to the quarterly committee at the appropriate time:

2.2 Progress Reports

In agreeing the final Internal Audit Report, management accepts responsibility to take action to resolve all the risks highlighted in that final report. The EKAP carries out a follow up progress review at an appropriate time after finalising an agreed report to test whether agreed action has in fact taken place and whether it has been effective in reducing risk.

As part of the follow up action, the recommendations under review are either:

- “closed” as they are successfully implemented, or
- “closed” as the recommendation is yet to be implemented but is on target, or
- (for medium or low risks only) “closed” as management has decided to tolerate the risk, or the circumstances have since changed.

At the conclusion of the follow up review the overall assurance level is re-assessed. As Internal Audit are tasked to perform one progress report per original audit and bring those findings back, it is at this juncture that any outstanding high-risks are escalated to the Governance and Audit Committee via the quarterly update report.

Six follow up reports were carried out for EK Services during the year. The results for the follow up activity for 2015-16 will continue to be reported at the appropriate time. The results in the following table show the original opinion and the revised opinion after follow up to measure the impact that the EKAP review process has made on the system of internal control.

Total Follow Ups undertaken 6	No Assurance	Limited Assurance	Reasonable Assurance	Substantial Assurance
Original Opinion	0	2	2	2
Revised Opinion	0	0	4	2

There are no fundamental issues of note arising from the audits undertaken in 2015-16. Reviews previously assessed as providing a Limited Assurance that have been followed up are shown in the table below.

Area Under Review	Original Assurance (Date to Ctte)	Progress Report
ICT Software Procurement	Limited	Reasonable
ICT Change Control	Limited	Reasonable

2.3 Special Investigations and Fraud Related Work

The prevention and detection of fraud and corruption is ultimately the responsibility of management however, the EKAP is aware of its own responsibility in this area and is alert to the risk of fraud and corruption. Consequently the EKAP structures its work in such a way as to maximise the probability of detecting any instances of fraud. The EKAP will immediately report to the relevant officer any detected fraud or corruption identified during the course of its work; or any areas where such risks exist.

The EKAP is, from time to time, required to carry out special investigations, including suspected fraud and irregularity investigations and other special projects. During the year 2015-16 there have been no fraud investigations conducted by the EKAP on behalf of EK Services.

2.4 Completion of Strategic Audit Plan

The analysis in Annex A shows the individual reviews that were completed during the year. As at 31st March 2016 delivery was slightly behind plan and EKAP had delivered 142.88 days against 150.21 required (95.12%). The 7.33 days carried over will be adjusted in 2016-17 as part of the rolling three-year plan process.

Year	Days Required	Plus B/Fwd	Adjusted Requirement from EKAP	Days Delivered	Percentage Completed	Days Against Target
2011-12	169	0	0	143.90	85.15%	-25.10
2012-13	160	25.10	185.10	156.99	84.81%	-3.01
2013-14	160	28.11	188.11	156.96	83.44%	-3.04
2014-15	160	31.15	191.15	200.94	105.12%	+40.94
2015-16	160	-9.79	150.21	142.88	95.12%	-17.12
Total	809			801.67	99%	-7.33

3.0 Significant issues arising in 2015-16

From the work undertaken during 2015-16, there were no instances of unsatisfactory responses to key control issues raised in internal audit reports by the end of the year. There are occasions when audit recommendations are not accepted for operational reasons such as a manager's opinion that costs outweigh the risk, but none of these are significant and require reporting or escalation at this time.

4.0 Overall Conclusion

The work of Internal Audit and this report contribute to the overall internal control environment in operation within EK Services, and also assists in providing an audit trail to the statements that must be published annually with the financial accounts for each partner council. It is a requirement of s.151 of the Local Government Act 1974 for the Council to maintain an 'effective' internal audit function, when forming my opinion on the Council's overall system of control, I need to have regard to the amount of work which we have undertaken upon which I am basing my opinion.

Based on the work of the EKAP on behalf of EK Services during 2015-16, the overall opinion is that there are no major areas of concern, which would give rise to a qualified audit statement regarding the systems of internal control concerning either the main financial systems or overall systems of corporate governance. The EKAP assesses the overall system of internal control in operation throughout 2015-16 as providing reasonable assurance. No system of control can provide absolute assurance, nor can Internal Audit give that assurance. This statement is intended to provide reasonable assurance that there is an ongoing process for identifying, evaluating and managing the key risks.

**Performance against the Agreed 2015-16
East Kent Services Audit Plan**

Review	Original Planned Days	Revised Planned Days	Actual Days	Status and Assurance Level
Housing Benefits Appeals	15	5	4.80	Completed - Substantial
Housing Benefits Discretionary Housing Payments	15	8	7.90	Completed - Substantial
Business Rate Reliefs	15	15	9.26	Work in progress
Business Rate Credits	15	15	13.65	Work in progress
Debtors	15	15	11.94	Work in progress
ICT – PCI - DSS	12	16	17.14	Draft Report
ICT – Management & Finance	12	12	6.59	Work in progress
ICT – Disaster Recovery	12	12	8.66	Work in progress
ICT – Policy, Security, Recovery	0	0	2.39	Completed - Reasonable
Corporate/Committee/follow-up	9	12	15.59	Ongoing
DDC / TDC HB reviews	40	40	43.48	Completed
Finalisation of 2014-15 audits:				
Days over delivered in 2014-15	-9.79	0	1.48	Allocated
Total	150.21	150.21	142.88	95%
Additional days purchased with EKAP saving from 2014-15			14.63	Allocated to Policy, Security, Recovery Review

Canterbury City Council

Policy and Resources Committee 13 July 2016

Council 21 July 2016

Dover District Council

Cabinet 6 June 2016

Council 20 July 2016

Thanet District Council

Cabinet 16 June 2016

Council 14 July 2016

East Kent Services Committee

28 September 2016

Subject: Establishment of East Kent Services Committee and Associated Arrangements

Director/Head of Service: Head of Legal Services (Canterbury)
 Director of Governance (Dover)
 Solicitor to the Council (Dover)
 Director of Corporate Governance and Monitoring Officer (Thanet)

Decision Issues: These matters are within the authority of the executive and the Council of each of the authorities of, Dover District and Thanet District and are within the authority of the Policy and Resources Committee and Council of Canterbury City Council.

As this is now agreed by the above authorities, this matter falls within the authority of the East Kent Services Committee.

Decision type: Not applicable

Classification: This report is open to the public.

Summary: *This report proposes minor amendments to the delegations made to the East Kent Services Committee by the three authorities in establishing revised governance arrangements for EK Services (EKS) and EK Human Resources (EKHR) in late 2014 early 2015 and the relevant delegations to the Director of Collaborative Services and Director of EK Services.*

That the Cabinets of Dover District Council and Thanet District Council agreed and approved and recommended to each Council:

That the Policy and Resources Committee of Canterbury City Council agreed and recommended to its Council

That each Council Resolved

That the delegation effected by paragraph 28 of Schedule 5 to the Original Report be amended to read as follows:-

“Acceptance of the lowest or most economically advantageous tender or bid for the carrying out of works for the committee, the purchase, leasing or hiring of goods, materials and equipment by the committee, or the supply of services to the committee, provided that budget provision is available.”

And that the delegation effected by paragraph 31 of Schedule 5 to the Original Report be amended to read as follows:-

“The assignment or novation of a contract (subject to the provisions of the Public Contracts Regulations 2015).”

That the delegation to the East Kent Services Committee effected by the approval of paragraph 28 of Schedule 5 to the Original Report be amended to read as follows:-

“Acceptance of the lowest or most economically advantageous tender or bid for the carrying out of works for the committee, the purchase, leasing or hiring of goods, materials and equipment by the committee, or the supply of services to the committee, provided that budget provision is available.”

And that the delegation to the East Kent Services Committee effected by the approval of paragraph 31 of Schedule 5 to the Original Report be amended to read as follows:-

“The assignment or novation of a contract (subject to the provisions of the Public Contracts Regulations 2015).”

That the East Kent Services Committee resolves:

That the delegation to each of the Director of Collaborative Services and the Director of EK Services effected by the approval of paragraph 28 of Schedule 5 to the Original Report be amended to read as follows:-

“Acceptance of the lowest or most economically advantageous tender or bid for the carrying out of works for the committee, the purchase, leasing or hiring of goods, materials and equipment by the committee, or the supply of services to the committee, provided that budget provision is available.”

And that the delegation to each of the Director of Collaborative Services and the Director of EK Services effected by the approval of paragraph 31 of Schedule 5 to the Original Report be amended to read as follows:-

“The assignment or novation of a contract (subject to the provisions of the Public Contracts Regulations 2015).”

Next stage in process

Sealing and execution of the formal administrative collaboration agreement.

SUPPORTING INFORMATION

1. Background

The revised governance structures for the delivery of the shared services by CCC DDC and TDC were approved on the report of Head of Legal Services (Canterbury), the Director of Governance (Dover), the Solicitor to the Council (Dover) and the Interim Legal Services Manager (Thanet) (“the original report”) by the respective Cabinets Council at the end of 2014 and the early 2015 and finally, by the East Kent Services Committee on 11 February 2015

Following this, the formal administrative collaboration agreement was finalised and circulated for sealing by the three authorities. Before this process was completed it was identified that some of the fine detail of the delegations approved by the respective councils and the East Kent Services Committee and reflected in the formal documentation no longer accorded with the applicable rules on public procurement which were changed on the coming into force of the Public Contracts Regulations 2015.

Although minor and easily remedied in terms of the administrative collaboration agreement, the areas of non-compliance with the revised delegations reflect the delegations which were actually agreed by the Cabinets and Council of each of the three authorities and the East Kent Services Committee. Therefore, it was necessary to ask each of these decision making bodies to formally approve the changes which have now been incorporated into the administrative collaboration agreement.

2 **Features of Current Delegations and the Proposed Changes**

The proposed changes all relate to the schedules of the administrative collaboration agreement which set out the delegations made. These were set out, in Schedule 5 to the Original Report. They relate to two areas.

Firstly, the delegations made only allow for the East Kent Services Committee and the Directors of EK Services and Collaborative Services to accept the lowest tender or bid in a procurement process. In procurements which are subject to the Public Contracts Regulations, lowest price is no longer a lawful award criterion. Contract subject to the regulations must now be accepted on the basis of the most economically advantageous tender.

The delegations to the East Kent Services Committee and the Directors of EK Services and Collaborative Services currently reads:-

“Acceptance of the lowest tender or bid for the carrying out of works for the committee, the purchase, leasing or hiring of goods, materials and equipment by the committee, or the supply of services to the committee, provided that budget provision is available. (paragraph 28 of Schedule 5 to the Original Report).”

This needs to be amended to read as follows:-

“Acceptance of the lowest or most economically advantageous tender or bid for the carrying out of works for the committee, the purchase, leasing or hiring of goods, materials and equipment by the committee, or the supply of services to the committee, provided that budget provision is available.”

Secondly, the delegations allow for the East Kent Services Committee and the Directors to agree to assign or novate contracts. The Public Contracts Regulations make specific provision in this regard which the earlier regulations did not. There is a need to reflect this in the delegations.

The delegations to the East Kent Services Committee and the Directors of EK Services and Collaborative Services currently reads:-

“The assignment or novation of a contract.” (paragraph 31 of Schedule 5 to the Original Report)

This needs to be amended to read as follows:-

“The assignment or novation of a contract (subject to the provisions of the Public Contracts Regulations 2015).”

3. **Relevant Council Documents**

Schedule 5 to the Original Report

4. **Consultation planned or undertaken**

None.

5. Options available with reasons for suitability

- (i) To approve the proposed amendments to the delegations
- (ii) Not to approve the proposed amendments to the delegations.

6. Reasons for supporting option recommended, with risk assessment

Option (i) is recommended, as it aligns the delegations with current law.

7. Implications

- (a) Financial Implications

None.

- (b) Legal Implications

The proposed amendments to the delegations are in accordance with legislation and are considered to be lawful.

8. Conclusions

These amendments to the delegations to the East Kent Services Committee and to each of the directors of EK Services and Collaborative Services will enable to formal administrative collaboration agreement to be concluded in accordance with the decisions taken by the respective authorities in 2014/2015.

Contact Officer:

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SCHEDULE 5 (original draft)

Arrangements for the Discharge of Functions and Delegations

Functions To Be Discharged By EKSC On Behalf Of The Authorities

Framework and Definitions

1. The functions delegated in this Schedule are associated with the following services which are to be delivered by Canterbury City Council, Dover District Council and Thanet District Council through the East Kent Services Committee:
2. Detailed as below:
 - (a) ICT
 - (b) face to face and contact centre customer services
 - (c) revenues and benefits
 - (d) human resources
3. It is contemplated that the East Services Committee will in turn delegate the discharge of these functions to the Director of Collaborative Services and/or the Director of Shared Services or other of their officers.
4. The “Arrangements” means the operating arrangements, Terms of Reference, Committee Procedure Rules and any other minutes or documents for the time being in force by which the East Kent Joint Arrangements Committee is constituted and its powers defined.
5. “Authority” means Canterbury City Council, Dover District Council, or Thanet District Council as the context requires, being the authority on whose behalf the particular powers or functions are being exercised and “Authorities” shall be construed accordingly.
6. “The Committee” means the East Kent Services Committee.
7. “The Department” means as the context requires the East Kent Shared Services department under the Directorship of the Director of Shared Services and or the East Kent Human Resources department under the Directorship of the Director of Collaborate Services.
8. “Scheme of Delegation” means the arrangements for the discharge of functions and delegations set out in this Schedule.

Exercise of Functions

9. The Council's and the Executives of the Authorities delegate the discharge of the functions set out in this Scheme of Delegations to the East Kent Services Committee pursuant to all powers contained in or having effect under the Local Government Acts of 1972 and 2000.
10. The exercise of the powers and functions set out in this Schedule shall without prejudice to any specific delegation or authorisation set out, and subject to any express Conditions/Exclusions/Limitations/Notes specified, be taken to include power to do anything incidental or conducive to the discharge of such functions including (by way of example and not by way of limitation) power to do any of the following:
 - (a) To appoint or designate any officer as an "authorised officer", "inspector", "person duly authorised" or similar under any of the legislation or functions specified for the purposes of enabling any such person to carry such legislation or functions into effect.
 - (b) To authorise any officer for the purposes of any of the above mentioned legislation or functions.
 - (c) To exercise any power or function conferred by or in connection with the specified legislation or functions to:
 - (i) Require any person to provide any information.
 - (ii) Enter or inspect any land, premises, vehicle or vessel.
 - (iii) Take samples of, seize, test, dispose of, destroy, or otherwise deal with and thing or substance in accordance with the applicable legislation.
 - (iv) Make application for any warrant or order to a court of summary jurisdiction and to execute any such warrant or order taking with him or her any other person as may be authorised.
 - (v) To make or swear any information.
 - (vi) Institute or defend any legal proceedings, and to take all proper steps in the furtherance or compromise of such proceedings (in each case) in consultation with the Solicitor to the Council which may be undertaken in relation to specific cases or in relation to categories of work,.
 - (vii) Execute work.
 - (viii) Sell or dispose of any goods, articles, samples materials or other property (other than land and buildings).
 - (ix) Recover any sums of money due to the Authorities.
 - (x) Authorise any other person to do any of the things mentioned in (i) to (ix) above to the extent permitted by law.
11. The East Kent Services Committee are hereby authorised to discharge on behalf of the Authorities the function of preparing and approving, amending or repealing, any

policy, statement, practice note, code of guidance, procedure or similar in connection with the functions hereby delegated and:-

- (a) Until such time as they have done so any reference in this Part to any policy, procedure, process or similar administrative statement of practice 'of the Authority' shall be interpreted as a reference to the relevant policy, procedure process of similar administrative statement of the relevant Authority in force on 11 February 2015.
 - (b) Any reference in this Part to any policy, procedure, process or similar administrative statement of practice 'of the Authority' shall be interpreted as a reference to the relevant policy, procedure process of similar administrative statement as approved by the former East Kent Joint Arrangements Committee or the East Kent Services Committee (or the relevant Authority) after 11 February 2015.
12. Any reference to any Act, Rule, Order or Regulation shall be taken as including a reference to that Act, Rule, Order or Regulation as re enacted replaced or modified from time to time.
13. References to any statutory provision shall include a reference to any subordinate or secondary legislation made under or taking effect under it from time to time.

Administrative

14. The Committee may only exercise the delegated powers in this schedule in accordance with:-
- (a) Statutory or other legal requirements, including the principles of public law, the Human Rights Act 1998 (as amended), statutory guidance and statutory codes of practice.
 - (b) The Constitution of the Authority where relevant including standing orders, contract standing orders and financial regulations.
 - (c) The revenue and capital budgets of the Authority, subject to any variation thereof which is permitted by the Authority's Financial Regulations.
 - (d) Consideration of any relevant policy adopted by the Committee.
15. The Committee may not exercise delegated powers where –
- (a) The matter is reserved to the Authority by the arrangements.
 - (b) The matter is a function which cannot by law be discharged by the Committee.
16. The Committee may not exercise delegated powers in a way which is contrary to the policies and plans approved by or on behalf of the Authority.
17. Where an officer has delegated powers the Committee or sub-committee (as appropriate) the Committee can still exercise that power if it considers that it is appropriate to do so.

18. If for any reason it is not practical to consult a person required to be consulted in the exercise of a delegation then the Committee must consult someone else they reasonably consider to be an appropriate substitute consultee if reasonably practicable to do so.
19. The delegations in this Scheme of Delegation include the discharge of both executive and non-executive functions
20. Any reference in this Scheme of Delegation to any enactment shall include a reference to any amendment to or re-enactment of the same.
21. Where The Committee has delegated authority to discharge functions by virtue of any other decision by the parties or the absence of the delegation from this Scheme of Delegation shall not prevent the exercise of the delegation.
22. Where the Committee delegates the exercise of any function to an officer of any of the Authorities that officer may nominate another officer or officers to exercise that duty, function or power, provided that the nominated officer(s) report to or is responsible to officer to whom the delegation has been made.
23. Where an officer has delegated authority to discharge functions;
 - (a) By virtue of any other decision of the parties or;
 - (b) Through a specific decision of the Committee, or a sub-committee, either before or after the adoption of this Scheme of Delegation,

The absence of the delegation from this Scheme of Delegation shall not prevent the exercise of the delegation.

Functions Related to the Administration and Management of the Shared Service

Business cases and delivery of services

24. To develop shared service business cases work programmes and projects in relation to the functions which any of the Authorities are minded to delegate to the Committee. . [E/C]
25. With the assistance if necessary of the appropriate Chief Executive of any of the Authorities to obtain from his or her Authority any information required in preparing a shared service business case. . [E/C]
26. Once a business case is approved to implement the same and deliver the service as defined therein. [E/C]
27. To make arrangements for the management of the Department. [E/C]

Financial

28. Acceptance of the lowest tender or bid for the carrying out of works for the committee, the purchase, leasing or hiring of goods, materials and equipment by the committee, or the supply of services to the committee, provided that budget provision is available. [E]

29. Authorise Entry into contract documentation following tender/bid acceptance (subject to the provisions of Financial Regulations and Contract Standing Orders of the Authority relating to the execution of contracts under seal). [E/C]
30. Authority to negotiate and agree price increases where a contract provides for price increases to be negotiated and agreed by the parties, subject to Contract Standing Orders of the Authority and ensuring sufficient budgetary provision exists. [E/C]
31. The assignment or novation of a contract. [E/C]
32. The approval of the appointment of or the acceptance of the tender of a sub-contractor or supplier for specialist work or material provided that this does not result in the budget provision for the works as a whole being exceeded. [E/C]
33. Virement between heads of expenditure of up to the limit specified in the Authority's Financial Regulations provided that such virement is in accordance with the conditions for virements in such Financial Regulations. [E/C]
34. Provision of reasonable hospitality to representatives of other authorities, visiting a department or premises under the Committees control subject to agreement by the Chief Executives of each of the parties for expenditure in excess of £500. [E]
35. To negotiate and agree variations in contracts arising out of statutory requirements subject to adequate budgetary provision being available. [E/C]

Shared Services Employees

36. The Authority's empower the Committee to the intent that the Director has the necessary delegated powers to;-
 - (a) to determine the establishment and make changes to the establishment of the Department [C]
 - (b) to exercise all powers functions and responsibilities in relation to the employment, management and dismissal of staff engaged [C]] in the shared services under the terms, conditions, policies and procedures of the Authority. [C]

General

37. To publicise the services they provide. [E/C]
38. To deal with issues relating to the Commission for Local Administration relevant to the Committee. . [E/C]

Delegation of the functions associated with the provision of ICT services, face to face contact centre customer services and benefits and benefits administration.

Column 1 Legislation/Function	Column 2 Brief Description	Column 3 Conditions/ Exclusions Limitations/Notes
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Column 1 Legislation/Function	Column 2 Brief Description	Column 3 Conditions/ Exclusions Limitations/Notes
1. Council Tax	<p>In connection with the administration of the council tax:</p> <p>(a) to determine occupation, to send invoices, grant reliefs, issue penalties, collect income and take all recovery and other administrative steps necessary to collect the council tax in accordance with any statute or statutory regulations and make determinations and exercise discretions as appropriate, except for matters specifically reserved to the Authorities;</p> <p>(b) to administer the Authorities' Council Tax Reduction Schemes in accordance with any statute or statutory regulations and make determinations and exercise discretion as appropriate, except for matters specifically reserved the Authorities;</p> <p>(c) to represent the Billing Authority in any proceedings tribunal or appeals panel dealing with matters of housing benefit or council tax, and in any proceedings relating to the recovery and enforcement of council tax and penalties before the Magistrates and County Court, and to authorise officers of any Authorities who are represented on the East Kent Services Committee to similarly represent the Billing Authority;</p> <p>(d) to undertake interviews under caution, to issue cautions, administrative penalties and authorise prosecutions in accordance with legislation, and the Authorities' prosecution policy and statement on fraud;</p> <p>(e) to administer discretionary</p>	

Column 1 Legislation/Function	Column 2 Brief Description	Column 3 Conditions/ Exclusions Limitations/Notes
	<p>housing payments in accordance with legislation and the Authorities' policy;</p> <p>(f) to complete statutory returns in connection with council tax;</p> <p>(g) to serve or withdraw completion notices under Schedule 4a of the Local Government Finance Act 1988 as amended;</p> <p>(h) to determine liable persons, exemptions, discounts, transitional relief schemes, calculate instalments, appoint bailiffs, debt collection agents and process servers, request a statement of case for the opinion of the High Court, attach earnings and income support, impose a charge upon property, commence bankruptcy proceedings, attach allowances, levy distress, impose charges for levying distress, seek insolvency of the debtor or commitment to prison, to request and execute warrants of arrest and exercise any other administrative step for the collection of council tax;</p> <p>(i) to represent the Authorities in the determination of proposals, alterations and appeals for council tax where appropriate;</p> <p>(j) to represent the Billing Authority in requests for administration orders under the County Courts Acts in respect of unpaid council tax;</p> <p>(k) to be responsible for the prevention, detection and prosecution of council tax fraud.</p>	<p>Statutory returns must be authorised by the Section 151 Officer of the Authorities</p>

Column 1 Legislation/Function	Column 2 Brief Description	Column 3 Conditions/ Exclusions Limitations/Notes
2. Administration of the Housing Benefit Scheme	<p>In connection with the administration of the Housing Benefit Scheme:</p> <p>(a) to be responsible for promoting take up of Housing and Council Tax Support p schemes;</p> <p>(b) to grant Housing Benefit (rent allowances and rent rebates) in accordance with any statute or statutory regulations and make determinations and exercise discretion as appropriate, except for matters specifically reserved for the Council and Committees/Executive;</p> <p>(c) to determine and recover overpayments of Housing Benefit including making decisions on the method of recovery;</p> <p>(d) to make determinations and payments in accordance with the Authorities' Discretionary Housing Payments policy;</p> <p>(e) to undertake interviews under caution, to issue cautions, administrative penalties and authorise prosecutions in accordance with legislation, and the Authorities' prosecution policy in respect of Housing Benefits</p> <p>(f) to complete statutory subsidy calculations and returns , and all other statistical returns;</p> <p>(g) to undertake all other administrative processes in connection with the Housing Benefit scheme.</p>	<p>Statutory subsidy calculations and returns must be authorised by the Section 151 Officer of the Authorities</p>
3. National Non-Domestic Rate	In connection with the administration of the national non domestic rate:	

Column 1 Legislation/Function	Column 2 Brief Description	Column 3 Conditions/ Exclusions Limitations/Notes
	<p>(a) to determine occupation, to send invoices, grant reliefs, collect income and take all recovery and other administrative steps necessary to collect the national non domestic rate in accordance with any statute or statutory regulations and make determinations and exercise discretions as appropriate, except for matters specifically reserved to the Authorities;</p> <p>(b) to represent the Billing Authority in any proceedings before the Valuation Tribunal, and in any proceedings relating to the recovery and enforcement of national non domestic rate before the Magistrates and County Court, and to authorise officers within the Head of Business and Community Transformation's Division to similarly represent the Billing Authority;</p> <p>(c) to complete statutory returns in respect of national non domestic rate;</p> <p>(d) to serve or withdraw completion notices under Schedule 4a of the Local Government Finance Act 1988 as amended;</p> <p>(e) to determine liable persons, exemptions, transitional relief schemes, calculate instalments, appoint bailiffs, request a statement of case for the opinion of the High Court, impose a charge upon property, levy distress, impose charges for levying distress, seek insolvency of the debtor or commitment to prison or liquidation of companies, to</p>	<p>This includes and recovering money from Business Improvement Districts.</p> <p>Statutory returns must be approved by the Section 151 Officer of the Authorities</p>

Column 1 Legislation/Function	Column 2 Brief Description	Column 3 Conditions/ Exclusions Limitations/Notes
	<p>request and execute warrants of arrest and exercise any other administrative step for the collection of national non domestic rate;</p> <p>(f) to represent the Authority in the determination of proposals, alterations and appeals for national non domestic rate where appropriate;</p> <p>(g) to represent the Billing Authority in requests for administration orders under the County Courts Acts in respect of unpaid national non domestic rate;</p> <p>(h) to calculate and pay interest on overpayments of national non domestic rate in accordance with the NDR (Payment of Interest) Regulations 1990;</p> <p>(i) to determine applications under Section 44A of the Local Government Finance Act 1988;</p> <p>(j) to be responsible for the prevention, detection and prosecution of national non domestic rate fraud.</p>	

Column 1 Legislation/Function	Column 2 Brief Description	Column 3 Conditions/ Exclusions Limitations/Notes
4. ICT	<p>To provide ICT technical support services to the Authorities including:-</p> <p>network infrastructure both LAN and WAN solutions, hardware infrastructure, internet access and web infrastructure solutions.</p> <p>To provide technical and business advice on ICT solutions and use of technology.</p> <p>To Provide ICT business support services to the Authorities including:-</p> <p>service application system support services including third party supplier liaison, management of corporate data bases, including GIS, quality assurance of data and integration with other business systems.</p> <p>To provide associated procurement administration including all quotations, ordering, invoicing and contract management.</p>	<p>Note: The nature and extent of the activities to be undertaken in connection with the discharge of these functions will be as detailed from time to time in a Service Level Agreement</p>

Column 1 Legislation/Function	Column 2 Brief Description	Column 3 Conditions/ Exclusions Limitations/Notes
5. Customer Services	<p>To provide 'front of house' contact with the public wishing to make enquiries of the Authorities or to access services in relation to any of its functions whether that contact is made in person, by telephone, by mail or email or the websites of any of the Authorities, including but not limited to</p> <p>(i) Issuing application forms for access to services.</p> <p>(ii) receiving payments due to the Authorities and issuing receipts</p> <p>(iii) providing facilities for the public inspection of documents and the taking of copies thereof</p> <p>(iv) responding to 'low level' customer complaints</p> <p>(v) selling or distributing or issuing any item or thing arising out of the conduct of any undertaking or function of the Authorities</p> <p>Such other activities in connection with the offering of services to the public as may be detailed from time to time in the Service Level Agreements</p>	<p>Note: The activities identified in this paragraph 5 are intended to be either incidental or conducive to the discharge of the functions set out in paragraphs 1 to 4 above or intended to be either incidental or conducive to the discharge of all of the other functions of the Authorities.</p> <p>Limitation: Except as is expressly provided in paragraphs 1 to 4, paragraph 5 does not operate as to confer any power to exercise any substantive function of the Authorities</p>
6. Human Resources	<p>The function of providing a human resource and payroll service in respect of the staff employed by and elected members of the Authorities in accordance with a service level agreement agreed from time to time by the East Kent Services Board on behalf of the Authorities to include</p> <p>HR SERVICES</p> <p>Strategic HR Advice</p> <p>Provide advice on policy development, Workforce Strategies and other key issues.</p> <p>Attend management team meetings and committee meetings in each of the partner authorities as agreed.</p> <p>Professional HR Advice and Information</p> <p>Case management and day to day ad hoc queries.</p>	<p>The following matters are reserved to the Authorities at the present time:-</p> <ol style="list-style-type: none"> 1. The Regulatory and Investigative Powers Act 2000 2. The Employment Practice Code (produced by the Information Commissioner 3. The Telecommunications (Lawful Business Practice) Interception of Communications) Regulations 2000 4. Save for the provision of advice as directed by the

Column 1 Legislation/Function	Column 2 Brief Description	Column 3 Conditions/ Exclusions Limitations/Notes
	<p>Learning and Development</p> <p>Provide Corporate and Bespoke Training Service.</p> <p>Recruitment</p> <p>Provide a complete recruitment administration support service from advertising to appointment. Advise Managers and respond to queries. Manage the Advertising Agency contract.</p> <p>Pre-employment checks</p> <p>Requesting of employment references, pre-employment health screening, Criminal Record Bureau checks and other checks as relevant to the type of position.</p> <p>Appointment of new employees</p> <p>Production of offer letters and employment contracts and set up of personnel records – both manual file and computerised (HR/Payroll system).</p> <p>Contractual amendments changes</p> <p>Production of contract variations and amendments to personnel record as required – both manual file and computerised (HR/Payroll system)</p> <p>Maintenance of employee records</p> <p>Update employee records in accordance with authorised instructions.</p> <p>Input to Development and Implementation of corporate/directorate policies</p> <p>Contribute to corporate/directorate policies to ensure that requirements and input from HR Shared Services is taken into account. Provide feedback regarding the implication and issues regarding implementation.</p> <p>Sickness and Absence management</p>	<p>authority, .the procedural aspects and decisions to be made leading to the appointment and/or removal of the Head of Paid Service, Monitoring Officer and the Local Government Act 1972 s151 Officer.</p> <p>5. Decisions to be made under s112 of the Local Government Act 1972 (but not the procedural aspects of this power)</p>

Column 1 Legislation/Function	Column 2 Brief Description	Column 3 Conditions/ Exclusions Limitations/Notes
	<p>Provide access to management reports and support for managers on sickness absence.</p> <p>Input sickness absence where self-service is not available.</p> <p>Input all other absence (not sickness) in accordance with authorised instruction for areas where self-service is not available.</p> <p>Support to Restructuring/ change management</p> <p>Provide administrative support and HR advice to restructuring and change management to ensure that all HR issues are properly addressed.</p> <p>Personnel Administration</p> <p>Issue notices and keep records of general correspondence on terms and conditions and pension notifications to groups of the workforce.</p> <p>Termination/Leavers</p> <p>Administration of necessary processes associated with termination of employment as per the agreed process.</p> <p>Advice and Information</p> <p>Respond to day to day ad hoc queries for advice regarding terms and conditions.</p> <p>Consultation Forums</p> <p>Attend the various staff consultation forums in each authority as agreed to provide advice and guidance.</p> <p>Compensation and Benefits</p> <p>Pensions advice and administration including costs for early retirement, exercise of discretions, request for early release of benefits, Je administration, salary sacrifice and other staff benefit schemes.</p>	

Column 1 Legislation/Function	Column 2 Brief Description	Column 3 Conditions/ Exclusions Limitations/Notes
	<p>Health and Safety</p> <p>To provide professional day to day advice as necessary to the authorities and when required act as liaison with the HSE.</p> <p>Payroll</p> <p>Manage the delivery of the payroll services.</p> <p>Service to Members</p> <p>Provide a Payroll service and other services as agreed with East Kent Services Board.</p>	

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

Agenda Item No 9

Document is Restricted