

Worcestershire  
**Regulatory Services**

*Supporting and protecting you*

# **Service Plan**

## **2017/18**

# **Worcestershire Regulatory Services Vision**

"That Worcestershire is a healthy, safe and fair place to live, where businesses can thrive"

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## EXECUTIVE SUMMARY

The plan broadly follows previous years and outlines:

- How the service will operate over the following 12 months to deliver on both national and local priorities, some of which are highlighted in the plan,
- What activities the service will carry out to achieve or address those priorities and how success will be measured.

This Service Plan has been drafted for the six Worcestershire District Councils only. The County Council left the partnership formally in June 2016, however, close links have been maintained and WRS continues to provide a number of support services to the Trading Standards team, which the County Council pays for. This continues the close working that benefits businesses across the county and provides WRS with an income stream.

The Service will enter 2017/18 with a total agreed budget from the district partners of £3025M. The financial contributions from partners remain static as no savings were requested this year from any of the six. The cash standstill situation does not however account for increasing costs in salaries and inflation, which will have to be met through increased income.

The 3-year business plan, which has a number of strands for continuing the Service's development, has been revised. The service will continue to review and develop opportunities for commercial activities to bring in additional income. It has become clear over the past 12 months that the opportunities for income generation are limited and whilst previously there was and still remains some general reluctance from business to pay for advice from the local regulator we have had some success from Primary Authority partnerships. The service has been more successful in obtaining income by doing work for other local authorities, specifically in relation to Environmental Health and Dog Warden provisions. This will continue to be pursued going forward with an increased strategic approach to improve stability and certainty.

In making decisions regarding service delivery, the service will continue to risk assess what it does taking into account the following criteria:

- a) Is there a positive/ negative impact on the local economy?
- b) Are vulnerable people impacted?
- c) Are health and wellbeing issues involved?

Risk will remain a key criterion against which we deploy resources however we are also beginning down the road towards being intelligence led. By gathering data and understanding issues, rather than rushing out to deal with problems, we will focus resources on where they deliver the best outcomes and we will try to get better at finding longer term solutions.

Simon Wilkes  
Head of Worcestershire Regulatory Services

Jayne Pickering  
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## 1. INTRODUCTION

This is the seventh formal annual service plan to be produced by Worcestershire Regulatory Services and follows a similar format to the previous plans with an Executive Summary and much of the detail in appendices that follow on from the commentary. The financial information covers the three year accounting period 2017/18, 2018/19 and 2019/20 however the operational detail reflects the planned activities that the service will undertake in 2017/18 only. The latter is in recognition of the on-going uncertainty of local government finances.

2016/17 was again very busy and successful for WRS, dominated by the increase in consultancy derived income from other local authorities, public authorities or primary authority relationships. In these financially challenging times, officers have continued to deliver excellent work prioritising the inspection and enforcement of the non-compliant, which has led to a large number of legal files being prepared for prosecution this year. Details of this will be reported in the Annual Report to be produced at the end of May 2017 and reported to Board in June.

The coming year is likely to be dominated by:

- Seeking new and maintaining existing income streams to help support local delivery in the face of further potential strains on partner's ability to fund the service.
- Working hard to continue to deliver excellent service without any increase in partner contributions,
- Developing the self service model further for wider service elements such as Planning consultation screening, publication of information routinely asked as FOIs as well as the high demand areas.
- Establishing practical procedures to maintaining resilience and the benefits from service elements such as Legal Support and the Intel Unit that provide operational support to both WRS and Trading Standards functions,

The focus on income generation will be to target areas of greatest benefit in terms of economies of scale, the required resource intensity and income reward. The appointment of the Business and Relationship Manager in 2016 has resulted in many more opportunities being identified. It is important that only those meriting our focus are pursued as the scoping and drafting of tender documents are time consuming and onerous.

For existing partners, managers will continue to identify any changes that can be made to service delivery to either improve marginal efficiency or improve service. This is particularly relevant for areas of high demand such as planning referrals and areas of significant officer resource, such as long-standing complaints or enforcement action. This will require close working relationships to support and assist partner colleagues to ensure that we are all working as effectively as possible together.

Improvements to our website continue, with a new look launched in January 2017, the focus of which is the development of public self-service. We are also in the process of developing and maintaining our partners' website pages in relation to licensing, with a complete overhaul of contents. This project for Worcester City and Redditch has been completed and for Bromsgrove will be completed by mid February 2017. Wychavon, Malvern and Wyre Forest pages are scheduled for this financial year.

## 2. OPERATING ENVIRONMENT

At the national level the external environment in which Local Government operates continues to face unprecedented financial challenges. WRS shares these challenges with partners being part of each of the local authorities involved and, whilst previously the service was able to provide significant savings to partners; as was previously established during the Strategic Partnering exercise, there are no longer significant profit margins available or easy wins for the delivery of cost saving efficiencies left. The service will continue to look for marginal efficiencies where possible, and look to generate income to assist with the offsetting of budget shortfalls, particularly where economies of scale produce a benefit far greater than the cost of delivery.

We have reported previously that businesses are unwilling to pay local regulators for the advice that they have received previously without charge. This has limited our ability to generate income from such sources. The only exception to this is under Primary Authority, where the advice given is deemed assured and there are additional potential protections for businesses if this advice is followed. We will continue to work with bodies like the Worcestershire LEP to engage with businesses where possible and the RD's Better Business for All philosophy will continue to inform our approach to the regulation of legitimate traders.

Another risk to our potential income streams is that financial pressures may finally start to drive district councils outside of Worcestershire to work more closely together as partners where, in the past, they have chosen to use our services instead. We are starting to see this 'intra-county reshuffling' in at least one area where we have been successful in obtaining business, so will have to work hard to demonstrate the potential for such authorities working with WRS rather than creating new structures in the current financial climate.

The budget for 2017/18 is agreed at £3025M. To achieve this WRS has set itself an income target to maintain the level of staffing that is required. WRS will continue to seek marginal efficiency savings for the benefit of the Partner Authorities and further income streams to maintain the workforce capacity.

Shifting demand to the use of more cost efficient digital channels remains a major focus of efficiency proposals, with self-help in relation to service requests and planning consultations being a major area for action. Increasing the volume of helpful information on the service's website and giving public access to some of the data from our database (e.g. public registers being available on-line, effectively published directly from the database,) does help, in particular reducing Environmental Information and Freedom of Information requests. Giving customers the ability to monitor the progress of their service requests on-line will also deliver some improvements in efficiency at the margins, although this is some way off yet.

For Planning Departments, providing the spatial constraints to identify potential air quality and contaminated land concerns and criteria to identify whether a noise or nuisance issue should be considered will assist in engaging WRS in the planning process early, minimising delays and improving the submission of supporting documentation. Additionally advice is provided such that planners know when it is appropriate to add informatives or standard conditions rather than consult WRS for the simpler sites/issues, again making the process more efficient. WRS will continue to work with the Planning Departments to become confident with this approach so that the efficiencies can be fully realised.

The benefits of the re-tendered Pest Control contracts for domestic treatment of pests for those partners who continue to offer these services will continue to be used as required in estimating the impact of potential alterations to the current level of service.

Staff have been effectively using the new IT system for some time now and this has significantly improved our ability to provide performance and activity data to members. Officers are already working flexibly, which helps to control the mileage bill and allows staff to have a better work/ life balance. Significant improvements have been made in Officer time allocated to specific work streams or client authorities which is enabling a detailed emerging picture of resource allocation. The internal audit during 2016 identified a number of challenges which Managers and Staff have addressed and were audited again in a review, December 2016. The current role out of our host authorities' digital HR system for leave and mileage requests will assist staff in reducing unnecessary journeys and enabling greater flexibility in work patterns.

### **3. STRATEGIC PRIORITIES**

In 2011, the Government tasked what was then the Local Better Regulation Office (now the Regulation Delivery Office or RD,) with developing Priority Regulatory Outcomes for England for local authorities to consider when undertaking their service planning processes. These are outlined below:

1. support economic growth, especially in small businesses, by ensuring a fair, responsible and competitive trading environment
2. protect the environment for future generations including tackling the threats and impacts of climate change
3. improve quality of life and wellbeing by ensuring clean and safe neighbourhoods
4. help people to live healthier lives by preventing ill health and harm and promoting public health
5. ensure a safe, healthy and sustainable food chain for the benefit of consumers and the rural economy

Whilst these are now 6 years old and no longer used by RD, they still provide a useful framework with which WRS can link back into key partner priorities without having to list things six times. All of our partners have priorities around supporting economic growth, protecting the environment, residents and neighbourhoods and improving health and well-being in communities. As long as our work meets one or more of these aims we know we are delivering what partners want.

The service has faced the challenging budget situation of the past few years and addressed it through transforming how things are done. Moving forward, with the financial environment continuing to be difficult, for the service to continue to deliver against national and local priorities there is no question that further changes will be an inevitable consequence. We will need to prioritise what is delivered, to whom and how. To assist in this decision making, the service will continue to use 3 key criteria to consider when making decision on service provision:

- a) Are vulnerable people impacted
- b) Are there Health and Well Being issues involved
- c) Is there a positive/negative impact on economic activity

We will also develop our use of intelligence to support this. There remains a risk that demand which can no longer be met by WRS is simply re-directed to partners in other ways e.g. via complaints. At this stage, with the reductions we have seen so far, the risk of district partners facing challenges relating to whether or not they are meeting their statutory obligations are low and the position defensible.

#### **4. PURPOSES**

Following its Systems Thinking work, WRS adopted 3 purposes to underpin service delivery and provide a common thread to run through all of its functions.

1. Help me resolve my problem and stop it from happening to anyone else,
2. I want to assume everything is ok
3. Help me trade well and ensure my competitors do the same.

These purposes are expressed in terms a customer (member of the public or a business,) might use, provide a focus for staff and were agreed by the previous Joint Committee. These purposes, combined with the priorities outcomes encapsulate the Service's contribution to the wider community agenda, reflecting as they do the broad themes relevant to all partners.

#### **5. FINANCE**

A summary of the budget position for 2017/18 is shown at Appendix B, along with the proposed budgets for the following two years. A more detailed breakdown will be available to the Joint Board in its regular financial reports. Income levels are difficult to estimate but we have set ourselves income targets going forward in order to maintain a greater resilience than would otherwise be possible.

#### **6. AUDIT ARRANGEMENTS**

The Internal Audit Service will be provided under the current arrangement by Worcester City Council to the Host Authority. The participating authorities S151 Officers consider the Audit Plan of the Host to ensure adequate arrangements are in place.

Changes to the level of funding mean that WRS accounts no longer need to be audited separately, so they will be done within the accounts of the host Authority and the Joint Board will be provided with relevant report information to give them the necessary reassurances. The deadline for this remains the end of June.

Where broad and in-depth scrutiny of the service is requested, member Authorities will liaise about requests from their Overview and Scrutiny Committees and will use reasonable endeavours to agree joint scrutiny arrangements with a view to avoiding duplication of effort. However, WRS has developed good working relationships with several of the district partners' Overview and Scrutiny Committees and this has led to the positive re-enforcement of performance in those areas. This approach will be continued where it offers benefit to all partners by helping to give confidence to the wider memberships.

#### **7. ACTIVITIES & OUTCOME MEASURES**

The IT system allows the service to report accurately on activities. The service has continued to work with members to demonstrate the service's performance and the service's current core performance indicators are listed as Appendix C. Over time we have seen improvement or maintenance of most of these indicators, which we hope will continue in 2017/18.



The activities outlined below are examples of what is planned by the service. We believe that activity data combined with the core performance indicators will give Members the confidence that the Service is performing well, given the current financial constraints, and contributing to the wider local agenda. The approach is very much in line with Government thinking in terms of reducing burdens on and supporting local businesses whilst tackling rogues who would ignore their responsibilities and criminals who use business as a model for generating criminal assets. It also addresses the significant demand that comes into the service as complaints/ service requests, covering a wide range of issues and concerns from residents, visitors, businesses and the other departments of partner authorities within Worcestershire.

	<b>OUTCOME</b>	<b>WHAT WE WILL DO</b>	<b>PURPOSE</b>	<b>NATIONAL PRIORITY</b>	<b>MEASURES</b>
1	Businesses are supported to become economically successful and compliant with the law (Pollution, H&S, Food Safety, Licensing)	Provide businesses with advice and assistance using a range of channels.  Conduct risk based/ intelligence-led interventions with businesses; targeting resources towards potentially non-compliant businesses  Undertake intelligence led projects including sampling of various consumer products including food.	I want to assume everything is ok.  Help me trade well and ensure my competitors do the same	<b>1, 2, 3 and 5</b>	% businesses broadly compliant at first visit/ inspection  % of service requests where resolution is achieved to business satisfaction  % of food businesses scoring 0,1,2* at 1 <sup>st</sup> April each year
2	Reduction in nuisance and other pollution related issues	Respond to complaints and take appropriate action  Provide relevant advice and information, available through a range of channels.	Help me to solve my problem and stop it from happening to anyone else  Help me trade well and ensure my competitors do the same	<b>2, 3 and 4</b>	% of service requests where resolution is achieved to customers satisfaction  Rate of noise complaint per 1000 head of population
3	Protecting the environment and the public through monitoring air quality and the use of contaminated land for development. Controlling environmental emissions leading to reduced environmental damage and better health	Conduct risk based/ intelligence-led interventions with businesses, especially permitted premises  Air quality monitoring & responding to contaminated land issues  Supporting the planning system	I want to assume everything is ok	<b>2 and 4</b>	% businesses broadly compliant at first visit/ inspection  Monitoring of the County-wide Air Quality strategy is delivered  % of service requests where resolution is achieved to customers satisfaction

4	Licensed premises cause no significant alcohol-fuelled crime/ disorder and ASB.	Respond to complaints regarding alcohol and similar licensing related issues e.g. underage sales, breach of conditions, poor conduct of licence holders, etc.  Provide businesses with advice and assistance	I want to assume everything is ok  Help me to solve my problem and stop it from happening to anyone else  Help me trade well and ensure my competitors do the same	<b>1 and 3</b>	% of licensed businesses subject to allegations of not upholding the 4 licensing objectives
5	Hackney Carriage and Private Hire Drivers Licence applications are processed in a timely manner and that all licences granted meet the fit and proper test.	Safeguard and ensure that all licence applications are processed in a timely manner and those granted meet the fit and proper test.	I want to assume everything is ok  Help me to solve my problem and stop it from happening to anyone else  Help me trade well and ensure my competitors do the same	<b>1 and 3</b>	% of drivers licence renewal applications issued within 5 working days.
6	Consumers able to make informed choices on where to eat or purchase food through published food hygiene ratings.	Implement and promote a county wide food hygiene rating scheme  Publish hygiene ratings and accrediting those which improve health and wellbeing of their workforce.  Offer incentive to maintain star ratings through the Healthy Eating Award	I want to assume everything is ok  Help me trade well and ensure my competitors do the same	<b>4 and 5</b>	% businesses meeting purpose at first assessment/ inspection  Number of 4* and 5* business signing up for the Healthy Eating Award
7	High levels of customer satisfaction	Respond to complaints and take appropriate action  Building our ability to resolve issues or re-direct callers on their first contact with us	I want to assume everything is ok  Help me to solve my problem and stop it from happening to anyone else	<b>1, 2, 3 and 5</b>	% of service requests where resolution is achieved to customers satisfaction  % of service requests where resolution is achieved to business satisfaction

		Maintain a register of compliments and complaints with actions taken	Help me trade well and ensure my competitors do the same		
8	Having engaged and satisfied staff who have the right skills, tools and support	<p>Ensure necessary training is identified and delivered</p> <p>Undertake annual staff survey.</p> <p>Undertake annual staff performance reviews with regular feedback sessions from supervisors and managers</p>	All officers must be able to undertake a range of activities that address our strategic priorities focusing on ensuring that the three purposes are met by/ for customers	<b>1, 2, 3, 4 and 5</b>	<p>Staff sickness and absence at public sector national average or better</p> <p>% of staff who enjoy working for WRS</p>
9	Maintained preparedness for response to emergencies, including disease outbreaks.	<p>Maintain links with county-wide TCG.</p> <p>Take part in partner exercises to test plans, as appropriate</p> <p>Respond to disease notifications and outbreaks</p>	I want to assume everything is ok	<b>1 2, 3, 4 and 5</b>	<p>Disease response plans are maintained, reviewed and updated on a regular basis</p> <p>Business Continuity plans are maintained, reviewed and updated on a regular basis</p>

## **8. PERFORMANCE REPORTING**

Performance against outcomes will be reported to the WRS Board, quarterly, six-monthly or annually, depending on the individual measure. The IT platform enables the collection and analysis of data which is both accurate and robust. The service's ability to provide activity data has continued to improve as the benefits of the IT platform have been implemented. Use of time recording to give a better understanding of how much it costs to undertake particular activities is continuing to be refined. Members will be engaged so that we can update the type and extent of performance and activity type information required by them, so that they can be reassured that the service is delivering what is required.

## **9. STRUCTURE**

The changes made to the Management Team in October 2015 are to be retained. They have been successful in providing the necessary management cover and support, as well as promoting income generation in many areas of the service.

The existing structure of the service which will remain going into 2017/18 is outlined at Appendix A. The WRS team's functions are as follows:

- 1) The Community Environmental Health team provides Food Hygiene, Health and Safety at Work, Public Health and Nuisance functions using three teams. Two teams operate on an East: West Geographical basis, whilst the other delivers specialist Food and Health and Safety functionality county-wide. The legal support role also sits in this team as the majority of casework emanates from here.
- 2) The Technical Services team provides all environmental health support around planning matters, delivers IPPC inspection, Air Quality and Contaminated Land Regime work, manages the pest control contracts and directly delivers the Dog Wardens service. The internal IT support and management roles also sit within this team due to the complex technical nature of the work.
- 3) The Licensing and Support Services unit delivers in-house first contacts with a dedicated team of Duty Officers,, all WRS licensing administration and licensing enforcement, along with the wider in-house clerical/ administrative support that is required.

The Trading Standards element has been retained in the structure chart as, since October 2016, the Community EH Manager and the Head of Regulatory Services have been providing management support to the Trading Standards team. It is hoped that this will continue through 2017/18. The support of management across the Trading Standard functions by WRS provides additional benefits with cross team working and knowledge, especially in areas of income generation and business support, to the benefit of WRS partners and the County Council.

## **10. TRAINING AND DEVELOPMENT**

Changes to the legal framework occur reasonably frequently so, maintaining the competence of its staff and to ensure that the partner's statutory duties are correctly discharged the service must maintain a training budget for its staff. Over the period this has been massively reduced reflecting the financial realities that the service faces, and the service uses various approaches to ensure the money is spent wisely. Developing staff to ensure there are opportunities to plan succession is also essential.

There will be a focus on enabling staff to work across the Environmental Health professional areas. Officers from the Community Environmental Health team and the Technical Services team will continue to develop their skills, to provide resilience and enable support where contracts bring in additional demand. Within Licensing, the focus will be on getting work done at the most effective cost, so administration is done at administrative rates and the more complex issues handled by qualified and competent professionals, with both being done across a number of districts. In pursuit of this a competency framework for Technical Officers has been developed for use during 2017 for the first time. The aim of this is to identify training needs and develop the competency of officers to be able to deliver technical work and tender for such contracts outside of the existing Partnership arrangements.

By creating a larger service, buying in trainers to deliver technical training to our teams collectively becomes economically viable for the service. A lot of aspects of professional practice and process are common across the enforcement professions so we can continue to offer this as an option to colleagues within Trading Standards and some of our neighbours where we have spaces available on the courses that we arrange.

The regional heads of Trading Standards Group (CEnTSA,) run a significant number of training courses through its regional co-ordination unit which we will use where we can and the regional Heads of Environmental Health Group (CEnEHMB,) is set to start working with the CEnTSA Co-ordination unit to offer more bespoke professional courses. WRS has been approached by CEnTSA, due to our proactive and innovative intelligence led approach to Environmental Health work, to deliver regional training on their behalf. Engagement with colleagues across the region remains essential to ensure co-ordinated responses to government and a common approach to businesses, thus ensuring the level playing field for competition.

## **11. BUSINESS CONTINUITY**

Business continuity plans for the service are in development (following office re-location and loss of County functions) and we hope to take these through the process of the new WRS Board for information during 2017/18. If the impact of the on-going financial constraints is that partners require reductions that are not currently envisaged, this will threaten our ability to maintain the full range of interventions across these functions whilst responding to large scale events. Priorities will therefore be established as part of the Business Continuity Planning process.

Despite Trading Standards returning to County Council control, the Community Environmental Health team and the Trading Standards and Animal Health unit will continue to work closely together to ensure that, in event of an emergency or capacity shortage, officers can support each other when necessary. Having the teams managed by the same Manager on a day to day basis, together under one roof and in one office space will continue to allow both teams to utilise pairs of hands, extra eyes and ears and boots on the ground, to tackle any incident or alteration to work demands that may require additional resource or a different workforce allocation.

## **12. LOCAL ENTERPRISE PARTNERSHIPS**

The service has remained engaged with the Worcestershire Local Enterprise Partnership with the aim of improving our relationships with local businesses and identifying their needs with a view to contributing to the growth of the local economy. The Business Charter for Regulators, launched during 2012, clearly outlines the relationship that we are seeking to have with the business community in Worcestershire. The Worcestershire LEP has assisted us with the Worcestershire Food and Drink Project. It is an initiative to put the County on the map and be at the forefront of promoting food producers and manufacturers in Worcestershire. The LEP was also key in putting the service forward for an award (the work we have done with the Bangladeshi Catering trade in Worcestershire and our Healthy Eating Award.) We have made it clear to the LEP

that, whilst partners are keen to continue with the Better Business for All approach, wider business support initiatives cannot go forward without financial support. Government still seems keen to use the LEPs to drive economic growth at a local level so we will seek to maintain engagement into 2017/18 and beyond at a suitable level to make sure that funding can be accessed if it is available.

### **13. OTHER PARTNERSHIPS**

The service continues to need to work closely with a range of partners to deliver what is required against a number of agendas. The importance of the six local authority partners is recognised and we will continue to maintain our existing interfaces with other elements of these organisations e.g. Planning, Worcestershire Hub, Economic Development teams, etc.

With the County Council having taken back direct control of Trading Standards functions, it has been essential to retain the strong links between both groups of staff. This is facilitated by the current co-location of teams, with Trading Standards and Animal Health continuing to occupy a section at Wyre Forest House for the foreseeable future. This is particularly relevant for the two Intelligence Officers who are split between the two organisations.

Customer demand will have a significant impact on the nature of our interfaces as we move the service forward. Close partnership working with a range of professional and community groups is essential to ensure deliver of the outcomes required by partners. Key partners for engagement include:

- West Mercia Police & West Mercia Police and Crime Commissioner
- The Environment Agency
- The Health and Safety Executive
- Health Protection England
- Local Partnership bodies e.g. District Crime and Disorder Reduction Partnerships (often known as Community Safety Partnerships)
- Adult and Children Safeguarding Boards
- Hereford & Worcester Fire & Rescue Service
- Citizens Advice Consumer Service, local Citizens Advice Bureaux and other 3<sup>rd</sup> sector organisations
- GP Consortia and Public Health team at the County Council
- Regional Regulatory Partnerships and National Bodies (CIEH, MJAC, CEnEHMB, CEnTSA, CTSI, ACTSO, NTSB,).

Existing links to these bodies will be maintained. Additionally, to ensure WRS provides an attractive product for external clients, engagement with equivalent partners in other geographical regions will be pursued, which will include the collation/interpretation and review of intelligence data in such areas.

### **14. CONSULTATION/ ENGAGEMENT**

In relation to national consultations on legislative changes, we will address these through the relevant professional channels at local, regional and national level. We will continue to engage local members in relation to local policy issues, especially around licensing matters. For general engagement with the wider community of elected members, we will provide a number of Member Newsletters per year so that all are updated on the various activities that the service undertakes across the County. We will try to make this information specific to districts where it is relevant, to

reassure members that our activities are seeking to protect everyone and support businesses across the whole of Worcestershire. It is hoped that the Activity Data reports that will continue to be provided to the WRS Board will provide elected members on the Board with sufficient information to also feedback to the wider membership in their respective authorities.

In terms of customer engagement, we will continue to work with colleagues at Worcestershire LEP and Worcestershire Business Central on engaging with our business customers to improve our ability to address their needs. The approach outlined in our business charter will provide the basis for our interactions with the business community. We will continue to survey those businesses subject to interventions to identify how to improve and to help ensure businesses remain satisfied with our performance.

For members of the public, we will continue to survey customers who have used the service to look at how we dealt with their issues, not only from a satisfaction point of view, but also to see if they feel better equipped to deal with future problems. Helping people to help themselves is at the heart of model of public service engagement we are pursuing and it is essential we move people down this route and reduce the expectation that we will always do it for them. This idea is now developing further with all partners signing up to the “digital first” concept that, where possible, initial contact with partners will always be via a digital channel rather than necessarily requiring either telephony or face-to-face interactions. The new format of the WRS website has been tailored to suite the various digital devices used to access services on-line.

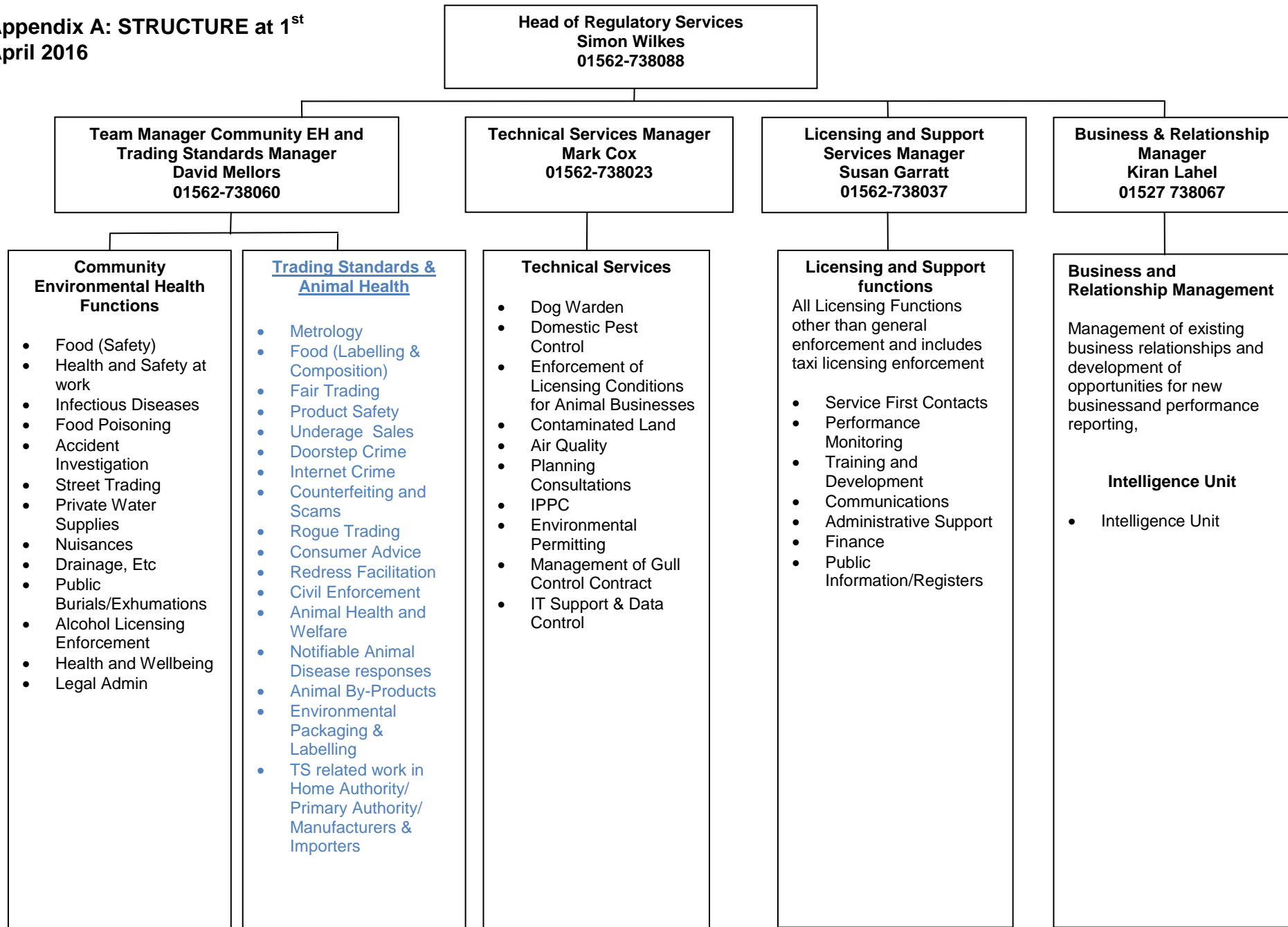
## **15. GOVERNANCE**

At the June 2015 meeting of the previous Joint Committee, it was agreed that the majority of the terms of the original 2010 partnership agreement remained relevant to the six district partnership following the exit of the County Council in 2016), as this should be used as the basis for the continued partnership. The service continues to operate under a Joint Board in accordance with Section 101 of the Local Government Act 1972 and Section 20 of the Local Government Act 2000, although the new Board comprised of both officers and members, with members having voting rights. The current arrangements came into force on 1<sup>st</sup> April 2016.

## **16. RISKS**

A copy of the current Risk Register is appended at Appendix D which was reviewed and updated in December 2016. It is included in the service’s forward plan so it has been reviewed at Management Board on an annual basis. The increased number of commercial contracts and obligations increase some risks, particularly where sub-contractors or skilled technical staff are involved. This recognises the wider geographical area that the service now covers and level of technical expertise that has to be maintained. Additionally the reputational and income generation damage that the exit of the County Council caused from the partnership has been identified, although our continued good performance and our winning of awards have ameliorated this. It is hope that the latter will influence potential clients and partners decisions to work with WRS and that the continued development of the IT database and software systems will provide greater security and confidence.

**Appendix A: STRUCTURE at 1<sup>st</sup>  
April 2016**





## Appendix B: 3 years of budgets

### Account description

Budget 2017/18      Budget 2018/19      Budget 2019/20

£000's

£000's

£000's

### Employees

Monthly salaries	2,503	2,546	2,583
Training for professional qualifications	2	2	2
Medical fees (employees')	2	2	2
Employers' liability insurance	16	16	16
Employees' professional subscriptions	3	3	3

### Sub-Total – Employees

**2,525**

**2,568**

**2,605**

### Premises

Internal repair/maint.	0	0	0
Rents	52	52	52
Utilities	0	0	0
Business Rates	0	0	0
Room hire	2	2	2
Trade Waste	0	0	0
Cleaning and domestic supplies	0	0	0

### Sub-Total – Premises

**54**

**54**

**54**

### Transport

Vehicle repairs/maint'ce	3	3	3
Diesel fuel	8	8	8
Licences	1	1	1
Contract hire of vehicles	4	4	4

Vehicle insurances	3	3	3
Van Lease	9	9	9
Fares & Car Parking	5	5	5
Car allowances	82	82	82
<b>Sub-Total – Transport</b>	<b>115</b>	<b>115</b>	<b>115</b>
<b>Supplies &amp; Service</b>			
Equipment - purchase/maintenance/rental	19	19	19
Materials	9	9	9
Clothing and uniforms	2	2	2
Laundry	1	1	1
Training fees	23	23	23
General insurances	30	30	30
Printing and stationery	18	18	18
Books and publications	2	2	2
Postage/packaging	11	11	11
ICT	40	40	40
Telephones	23	23	23
Taxi Tests	30	30	30
CRB Checks (taxi)	25	25	25
Legal fees	0	0	0
Support service recharges	100	100	100
Support service recharges – ICT	44	44	44
Audit	5	5	5
<b>Sub-Total - Supplies &amp; Service</b>	<b>376</b>	<b>376</b>	<b>376</b>

**Contractors**

Consultants / Contractors' fees/charges/SLA's	223	223	223
Advertising (general)	4	4	4
Grants and subscriptions	11	11	11
Marketing/promotion/publicity	2	2	2
<b>Sub-Total – Contractors</b>	<b>239</b>	<b>239</b>	<b>239</b>

**Income**

Sources including Grants / Nuisance Work / Food Training / Contaminated Land / Stray Dogs / Sewer Baiting etc.	-284	--327	-364
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**Sub-Total – Income****DISTRICT PARTNERSHIP BUDGET going forward**

<b>-284</b>	<b>-327</b>	<b>-364</b>
<b>3,025</b>	<b>3,025</b>	<b>3,025</b>

## Appendix C: Performance Measures Relating to Outcomes

	Measure	Reporting Frequency	Background
1	% of service requests where resolution is achieved to customers satisfaction	Quarterly	Based on questionnaires send out to a significant number of members of the public who use the service.
2	% of service requests where resolution is achieved to business satisfaction	Quarterly	Based on questionnaires send out to a significant number of businesses inspected or otherwise contacted by the service.
3	% businesses broadly compliant at first assessment/ inspection	Annually	Based on the proportion of businesses meeting the key purpose from a regulatory perspective i.e. food businesses produce safe food.
4	% of food businesses scoring 0,1 or 2 at 1 <sup>st</sup> April each year	Annually	Based on proportion of businesses scoring 1-2 star on a national Food Hygiene Rating Scheme assessment (2 stars and below is deemed to be at risk of not producing safe food.)
5	% of drivers licence renewal applications issued within 5 working days.	6-monthly	New 2016/17 Based on the proportion of drivers licence renewals issued within 5 working days of receipt of application. Note new applicants all require DBS checks and time frames for these fall outside of WRS control, hence they are not included.
6	% of vehicles found to be defective whilst in service	6-monthly	Percentage of vehicles stopped during enforcement exercises that are required to be removed from service for remedial work before being allowed to carry on operating.
7	% of service requests where customer indicates they feel better equipped to deal with issues themselves in future	Quarterly	Based on questionnaires send out to a significant number of members of the public and businesses who have used the service.
8	Review of register of complaints and compliments	Quarterly	All are recorded Increasing compliments/ Reduced complaints

9	Staff sickness absence at public sector average or better	Quarterly	Sickness recorded using host processes. Public sector average 8.75 or better
10	% of staff who enjoy working for WRS	Annually	Taken from the staff survey.
11	% of licensed businesses subject to allegations of not upholding the 4 licensing objectives	6-monthly	Indicator, linked to Crime & Disorder agenda, looking at performance of premises license holders and control on their activity.
12	Rate of noise complaint per 1000 head of population	6-monthly	Place indicator, potential link to quality of life and health and well-being.
13	Total income	6-monthly	New for 2016/17 Expressed as a % of district base revenue budget (16/17)
14	Cost of regulatory services per head of population	Annually	New for 2016/17. Will be total spend divided by the total population, based on the most recent mid-year estimate available at the time of publication. NB: Calculation will offset income against revenue budget to account for external income sources

## Appendix D: Risk Register 2017/18

Risk Description	Consequences	When is this likely to happen	Current Position			Control measures
			Likelihood	Impact	Matrix RAG Status	
Loss of Data through IT failures	Disruption to Service Provision. Inability to produce records and data.	On-going	Low	High	Green	Wyre Forest ICT has effective processes and business continuity plans in place. WFDC upgraded VMWare [scheduled for January 2017]
Issues with the WRS database system	Impact on work planning. Self-help may not enable savings required	On-going	Low	High	Green	Initial implementation is completed. Further development of the system will be treated as business as usual, with priority going to public access and self-help/ self-service to continue the channel shift process. Service website remains key access point. Tested disaster recovery of our Uniform back up and fail over to the business continuity server. Completed [scheduled for January 2017]. Oracle upgrade to 12c completed. EDRMS upgrade completed 24 <sup>th</sup> December 2016.
Effective and efficient Business Continuity arrangements in place	Disruption to service if e.g. Major Power failures or other reasons that access to Wyre Forest House is not possible.	On-going	Very Low	Medium	Green	Staff are equipped for mobile/home working. Touchdown stations available in partner council locations. Working from WFDC depot successfully tested over Christmas period.
Maintain our capacity to achieve service delivery	Disruption to service e.g. Major staff sickness (e.g. flu pandemic) or Unable to recruit or retain suitably qualified staff.	On-going	Low	Medium	Amber	In such event, service priorities to be managed and partners informed of any changes to service. Consultants are available to provide short term cover and this has worked well where we have used them to cover peak demand periods. However, having taken on contracts with additional authorities the demand has increased and neighbouring authorities have lost the ability to be able to assist with technical specialisms. We are active within regional and sub-regional groups to share resources if required. Effective training and development processes are in place to ensure recruitment and retention of staff. There is increased training budget pressure, reduced technical knowledge in neighbouring authorities and increased importance in maintaining heightened skills for

						contractual obligations and commercial edge. Regular inventory and maintenance of equipment. In future budget for replace may be an issue but would be a relatively small amount for partners to share.
Pest contractors cease operations.	Disruption to service. Negative media coverage. Increased public health risks	On-going	Low	High	Green	New framework contract has 6 pest control suppliers so the loss of one allows work to be moved to the others.
Effective and efficient contract arrangement for dog control	Disruption to service if no kennels available. Negative media coverage. Increased public health risks	On-going	Low	High	Amber	Budget available to buy in use of other private sector providers in short term. Contracts tendered. The Dog Warden contracts are robust but we have one less kennel contractor but an additional three District Councils that we provide the service for.
Hosting support does not deliver necessary financial and HR support to ensure efficient management	Efficiency of management reduced; staffing issues remain unaddressed and performance suffers	On-going	Low	High	Amber	Some continuing issues around access to the financial system from Wyre Forest house, meaning managers are reliant on host finance officers for financial reporting. ICT team from WFDC and BDC continue to work to resolve the issue
One or more partners continue to be under great financial pressure and may consider alternatives to the partnership to deliver their service	Creates reputational issues for remaining partners and increases the need to manage overheads. Difficulties in delivering highly varied levels of service	On-going	Low-Medium	High	Amber	New legal agreement limits variations in contribution before partners have to move to contractual relationship. Leanness of organisation minimises overheads and focuses resource at the front line. Growth strategy should generate income to support partners in the future. Some reputational damage and perceived loss of commercial skills from the County Council withdrawing from the partnership.
Robust arrangements in place in relation to obtaining legal advice and monitoring legislative changes.	Loss of cases is costly and damages reputation.	On-going	Low	Medium	Green	Continued close working with BDC legal team and other partners who don't use BDC for advocacy. Technical and legal training days for staff. Difficulty in keeping informed of Case Law developments. Membership and attendance of Officer Technical Groups outside the County would assist.
Service provision complies with Government requirements	Adverse comments following audits e.g. FSA Intervention by Government bodies i.e. FSA, whilst highly unlikely, is damaging to reputation.	On-going	Low	High	Amber	Limited detail of what statutory minima are. LGA clearly aware of impact of budget reductions on regulation and has made it clear Government cannot expect what it had previously. Fewer interventions/ audits by government. Service has developed systems that follow the principles of the requirements of bodies like FSA so can show some level of compliance. WRS principle of moving away from rigid

						inspection programme of Food Standards Code (as approved by WRS Joint Board) to intelligence led interventions is compliant with Food Safety Act albeit not as FSA would be able to sanction. Environmental reporting for Local Air Quality Management, Pollution Prevention and Control and Private Water Supply Inspections to Defra and DWI have received positive responses with no issues of concern raised.
Failure to deliver external contract work at the level expected by the business or local authority with whom we have the contract	Damage to reputation, loss of future income streams, financial impact of paying damages	On-going	Low	High	<b>Green</b>	Ensure contract negotiations are clear on performance criteria and these are clearly recorded in the final documentation. Monthly reviews against performance criteria. Select staff to ensure competence of those undertaking work outside Worcestershire. Maintain strong links with the customer's monitoring staff. Intervene early with corrective action