

Finance and Audit Scrutiny Committee

Tuesday 12 January 2016

A meeting of the above Committee will be held at the Town Hall, Royal Leamington Spa on Tuesday 12 January 2016 at **6.00pm**.

Membership:

Councillor Barrott (Chair)	
Councillor Butler	Councillor Illingworth
Councillor Day	Councillor Mann
Councillor Gifford	Councillor Quinney
Councillor Harrington	Councillor Rhead
Councillor Heath	Councillor Thompson

Emergency Procedure

At the commencement of the meeting, the Chairman will announce the emergency procedure for the Town Hall.

Agenda

Part A – General Items

1. Apologies and Substitutes

- (a) to receive apologies for absence from any Councillor who is unable to attend; and
- (b) to receive the name of any Councillor who is to act as a substitute, notice of which has been given to the Chief Executive, together with the name of the Councillor for whom they are acting.

2. Declarations of Interest

Members to declare the existence and nature of interests in items on the agenda in accordance with the adopted Code of Conduct.

Declarations should be entered on the form to be circulated with the attendance sheet and declared during this item. However, the existence and nature of any interest that subsequently becomes apparent during the course of the meeting must be disclosed immediately. If the interest is not registered, Members must notify the Monitoring Officer of the interest within 28 days.

Members are also reminded of the need to declare predetermination on any matter.

3. **Minutes**

- (a) to confirm the minutes of the Finance & Audit Scrutiny Committee meeting held on 1 December 2015; and
- (b) to confirm the minutes of the Joint meeting of the Finance & Audit and Overview & Scrutiny Committee held on 1 December 2015.

(Item 3/Page 1)

Part B – Audit Items

4. **2014/15 Annual Audit Letter and Grant Claims**

To consider a report from Finance & External Auditors **(Item 4/Page 1)**

Part C – Scrutiny Items

5. **Health & Community Protection Risk Register**

To consider a report from Health & Community Protection **(Item 5/Page 1)**

6. **Risk Management Feedback to Zurich**

Feedback and Q&A session led by the Audit & Risk Manager

7. **Comments from the Executive**

To receive a report from Civic & Committee Services **(Item 7/Page 1)**

8. **Review of the Work Programme & Forward Plan**

To consider a report from Civic & Committee Services **(Item 8/Page 1)**

9. **Executive Agenda (Non Confidential Items and Reports) – Wednesday 13 January 2016**

To consider non-confidential items on the Executive agenda, which fall within the remit of this Committee. The only items to be considered are those which Committee Services have received notice of by 9.00am on the day of the meeting. You are requested to bring your copy of that agenda to this meeting.

(Agenda circulated separately)

10. **Public and Press**

To consider resolving that under Section 100A of the Local Government Act 1972 that the public and press be excluded from the meeting for the following item by reason of the likely disclosure of exempt information within paragraphs 1 and 3 of Schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006.

11. **Executive Agenda (Confidential Items and Reports) – Wednesday 13 January 2016**

To consider the confidential items on the Executive agenda which fall within the remit of this Committee. The only items to be considered are those which Committee Services have received notice of by 9.00am on the day of the meeting. You are requested to bring your copy of that agenda to this meeting.

(Agenda circulated separately)

General Enquiries: Please contact Warwick District Council, Riverside House, Milverton Hill, Royal Leamington Spa, Warwickshire, CV32 5HZ.

Telephone: 01926 456114
E-Mail: committee@warwickdc.gov.uk

Enquiries about specific reports: Please contact the officers named in the reports.

You can e-mail the members of the this Committee at
F&Ascrutinycommittee@warwickdc.gov.uk

Details of all the Council's committees, councillors and agenda papers are available via our website www.warwickdc.gov.uk/committees

Please note that the majority of the meetings are held on the first floor at the Town Hall. If you feel that this may restrict you attending this meeting, please call (01926) 456114 prior to this meeting, so that we can assist you and make any necessary arrangements to help you attend the meeting.

The agenda is also available in large print, on request, prior to the meeting by calling 01926 456114.

Finance and Audit Scrutiny Committee

Minutes of the meeting held on Tuesday 1 December 2015 at the Town Hall, Royal Leamington Spa at 6.55pm.

Present: Councillors Barrott (Chair), Day, Gifford, Heath, Illingworth, Mrs Knight, Mann, Mrs Stevens and Thompson

Apologies for absence were received from Councillors Butler and Rhead.

85. **Substitutes**

Councillor Mrs Knight substituted for Councillor Quinney and Councillor Mrs Stevens substituted for Councillor Harrington.

86. **Declarations of Interest**

Minute Number 95 - Executive Agenda Item 5 – Digital Transformation of Council Services

Councillor Gifford declared an interest because he was a Warwickshire County Councillor.

87. **Minutes**

The minutes of the Joint Finance & Audit and Overview & Scrutiny meeting and the Finance & Audit Scrutiny Committee of 3 November 2015 were taken as read and signed by the Chairman as a correct record.

88. **Executive Agenda (Non Confidential Items & Reports) – Wednesday 2 December 2015**

Agenda Item 3 – General Fund Base Budgets

The Committee supported the recommendations in the report including the revised wording of recommendation 2.1(c).

Agenda Item 6 – Racing Club Warwick, St Mary's Lands, Warwick

The Committee supported the recommendations in the report.

Members felt that the Executive should provide confirmation that this decision would not set a precedent to other sports clubs within the District but noted that the investment in this case was on Council owned land.

The Committee also made comments on the confidential legal advice received, which the Chairman would deliver at the Executive meeting.

89. **Public and Press**

Resolved that under Section 100A of the Local Government Act 1972, the public and press be excluded from the meeting for the following items, by reason of the likely disclosure of exempt information within the relevant paragraphs of Schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006.

90. **Executive Agenda (Confidential Items & Reports) – Wednesday 2 December 2015**

Agenda Item 9 – HR Resources Review

The Committee supported the financial recommendations in the report, knowing that Employment Committee would discuss the establishment in more detail.

Agenda Item 8 – Land off Albion Street, Kenilworth

The Committee supported the recommendations in the report.

91. **Internal Audit Quarter 2 2015/16 Progress Report**

The Committee received a report from Finance which advised on progress in achieving the Internal Audit Plan 2015/16, summarised the audit work completed in the second quarter and provided assurance that action had been taken by managers in respect of the issues raised by Internal Audit.

The Audit and Risk Manager introduced the report and advised that seven audits had been completed in the second quarter of 2015/16. Copies of all the reports issued were made available to Members electronically.

All Internal Audit reports issued in the quarter were accompanied by action plans and these were attached as Appendix 3 to the report. The report also outlined the responses that had been received from managers to all the recommendations put to them in the audit reports.

Members were mindful that the Section 106 Agreements detailed in appendix 5 of the report needed careful monitoring and agreed that this should remain on the Committee's work programme for ongoing scrutiny.

Resolved that the report be noted and its contents accepted.

92. **Annual Governance Statement Action Plan 2015/16: Review of Progress**

The Committee received a report from Finance which reviewed the progress being made in addressing the 'Significant Governance Issues' facing the Council set out in its Annual Governance Statement 2014/15.

The appendix accompanying the report set out the progress in addressing the Significant Governance Issues.

The production of an Annual Governance Statement was a statutory requirement for local authorities and the responsibility for financial management, as detailed in Regulation 4 of The Accounts and Audit (England) Regulations 2011, was explained in section 9 of the report.

The report helped Members fulfil their responsibility for effective corporate governance within the Council and provided assurance that governance issues identified as part of the compilation of the Annual Governance Statement were being addressed.

The Significant Governance Issues were summarised in the Annual Governance Statement Action Plan for 2015/16 that formed part of the Annual Governance Statement for 2014/15. Appendix A to the report set out the progress in addressing the Significant Governance Issues

The Audit and Risk Manager introduced the report and advised that issues were being addressed as per the appendix. The Audit and Risk Manager was asked about item 3.4.1 in the appendix which related to the constitution-related documents that had not been reviewed in the past twelve months. In response, the Audit and Risk Manager proposed to email the Democratic Services Manager and request an answer to the Committee's concerns.

Councillor Mrs Knight raised the issue of Procurement Training for Members and employees. She felt that this should be a continuous process and suggested that officers should follow up on attendance. Officers reminded Councillor Mrs Knight that the Procurement Team had had a significant turnover of staff recently, however, new starters were now in post with a third individual due to commence work shortly.

Resolved that the Action Plan set out in the Appendix to the report had been reviewed and it was confirmed that the progress being made in addressing the Significant Governance Issues relating to the Annual Governance Statement 2014/15 was satisfactory.

93. **Executive Agenda (Non Confidential Items & Reports) – Wednesday 2 December 2015**

Agenda Item 4 – Code of Corporate Governance

The Committee supported the recommendations in the report.

94. **Treasury Management Activity Report for the period 1 April 2015 to 30 September 2015**

The Committee received a report from Finance which detailed the Council's Treasury Management performance for the period 1 April to 30 September 2015.

The Council's 2015/16 Treasury Management Strategy and Treasury Management Practices (TMP's) required the performance of the Treasury Management Function to be reported to Members on a half yearly basis.

This report informed Members of past performance and therefore Members were just asked to note the information contained within it.

The major influence on the Council's investments was the Bank Rate. The Bank Rate remained at 0.5% for the first half year to 30 September 2015. The Council's Treasury Management Advisors, Capita Asset Services, provided a forecast for future Bank Rates in section 9 of the report.

In addition, a detailed commentary by Capita Asset Services on the economic background surrounding this report, appeared as Appendix A to the report.

The report also included details on money market investments, money market funds and call accounts, counterparty credit ratings and prudential indicators.

The Committee thanked the officers for a well written and informative report.

Resolved that the contents of the report are noted.

95. **Executive Agenda (Non Confidential Items & Reports) – Wednesday 2 December 2015**

Agenda Item 5 – Digital Transformation of Council Services

The Finance & Audit Scrutiny Committee supported the recommendations in the report.

However, Members had concerns that there were no figures in the report explaining how many residents paid by cash / cheque and this was necessary for them to understand the needs of residents and visitors to the District. Members agreed that the ethos behind the move should be around 'encouraging' digital progression and not implying that the Council would not accept cash or cheques.

96. **Comments from the Executive**

A report from Civic and Committee Services summarised the Executive's responses to comments which the Finance & Audit Scrutiny Committee gave on reports submitted to the Executive on 30 September 2015.

Resolved that the contents of the report be noted.

97. **Review of the Work Programme & Forward Plan**

The Committee considered its work programme for 2015/16 and the latest published version of the Forward Plan.

The Committee Services Officer noted that there was a grammatical error on the work programme for March 2016 and it was agreed that the Annual Audit Letter should be listed in the Audit items for January 2016.

Following an email that had been circulated by the Audit and Risk Manager, it was agreed that an additional item be added to the work programme relating to the future visit from Zurich Insurance. The Audit and Risk Manager had advised the Committee at the previous meeting that the company would be attending a future meeting as part of the external review of the Council's risk management arrangements. It was hoped that the Committee would be able to give some feedback to Mr Penter from Zurich, on how it saw risk management in the organisation.

During discussions about the Internal Audit Quarter 2 report earlier in the meeting, Members had requested that S106 Agreements continued to be monitored and that this be added to the work programme for future scrutiny.

Resolved that the work programme be updated accordingly.

(The meeting ended at 9.25 pm)

Joint meeting of the Finance & Audit and Overview & Scrutiny Committees

Minutes of a joint meeting held on Tuesday 1 December 2015, at the Town Hall, Royal Leamington Spa at 6.00pm.

Present: Councillors Ashford, Barrott, Boad, Mrs Cain, D'Arcy, Davison, Day, Edgington, Gifford, Heath, Illingworth, Mrs Knight, Mann, Margrave, Naimo, Quinney, Mrs Redford, Mrs Stevens and Thompson.

Also present: Councillors Cain, Coker, Gill, Mobbs and Phillips.

Apologies for absence were received from Councillors Butler and Rhead.

7. **Appointment of Chairman**

It was proposed and duly seconded that Councillor Barrott be appointed as Chairman for the meeting.

Resolved that Councillor Barrott be appointed as Chairman for the meeting.

8. **Substitutes**

Councillor Ashford substituted for Councillor Miss Grainger, Councillor Mrs Stevens substituted for Councillor Harrington, Councillor Quinney substituted for Councillor Parkins and Councillor Mrs Knight substituted for Councillor Quinney.

Councillor Cain was advised that because no prior notification had been given to Committee Services, he could not substitute for Councillor Butler.

9. **Declarations of Interest**

There were no declarations of interest.

10. **Future Delivery of Housing Aids and Adaptations Services (HEART)**

The Committee received a briefing from Housing and Property Services officers on the future delivery of Housing Aids and Adaptations Services (HEART).

The briefing covered:

- the background to the South Warwickshire Housing Assessment Team's (HAT) pilot project;
- an explanation of what HAT was;
- an update on HAT performance; and
- the next steps.

Members were informed of the types of adaptations being made to properties to help people with disabilities and what grant funding was available to provide these facilities. Means testing was required to obtain a Government grant, but adaptations to Council owned housing did not require means testing and adaptations to this housing stock was funded from the Housing Revenue Account from a budget of £920k.

It was noted that providing adaptations to help people with disabilities was a growing demand because of the increasing number of older people in the District, and the fact that advances in medical knowledge meant that more people with complex disabilities were surviving into adulthood. Members were advised of the rate by which growth in demand would increase. Increased spending would offset costs incurred in Social Care services by allowing people to live more independently and with dignity.


Officers explained how the service was being improved and that the objectives of the HAT pilot were:

- to improve performance;
- to increase resilience;
- to create a multi-skilled team;
- to create a broader caseworker role – capable of delivering straightforward applications from start to finish;
- to reduce end to end times; and
- to provide a more holistic service.

In response to questions, Members were advised that:

- when stair lifts were installed, there was a five year maintenance agreement, after which it was the homeowner's or tenant's responsibility to keep the equipment maintained;
- if properties were not suitable for adaptation, then residents might be offered more suitable accommodation, however, the Council had no authority to compel people to move. If the property was Council owned, then if the tenant agreed to move, the Council would then try to match the now vacant dwelling with someone whose needs were met by that vacant property, but this was not always possible.
- if the resident died after a stair lift had been installed, then ownership of the stair lift could return to the Council if it was within five years of installation; past that point, the stair lift was owned by Next of Kin; and
- residents who did not qualify for grant funding would be directed to other sources of help such as Age UK.

(The meeting ended at 6.51 pm)

 Finance and Audit Scrutiny Committee 12 January 2016		Agenda Item No. 4
Title	2014/15 Annual Audit Letter and Grant Claims	
For further information about this report please contact	Mike Snow 01926 456800	
Service Area	Finance	
Wards of the District directly affected	N/A	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006	No	
Date and meeting when issue was last considered and relevant minute number	22 September 2015 Finance & Audit Scrutiny Committee	
Background Papers		

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	No
Included within the Forward Plan? (If yes include reference number)	No

Officer/Councillor Approval		
With regard to officer approval all reports <i>must</i> be approved by the report authors relevant director, Finance, Legal Services and the relevant Portfolio Holder(s).		
Officer Approval	Date	Name
Deputy Chief Executive	18/12/15	Andy Jones
Head of Service	18/12/15	Mike Snow
CMT	18/12/15	
Section 151 Officer	18/12/15	Mike Snow
Finance	18/12/15	Mike Snow
Portfolio Holder(s)	18/12/15	Cllr Peter Whiting
Consultation Undertaken		
Please insert details of any consultation undertaken with regard to this report.		
Final Decision?		Yes/No
Suggested next steps (if not final decision please set out below)		

1. **SUMMARY**

- 1.1 This report comments on the Council's Annual Audit Letter that is attached as an Appendix to this report. The letter is the Council's External Auditor assessment of the Council, drawing on audit, inspection and performance assessment work and is prepared by the Council's External Auditor, Grant Thornton. The External Auditors will attend the Finance and Audit Scrutiny Committee for this item.
- 1.2 The auditors have also completed the two Grants audits, with both the Benefits Claim and the Pooling of Housing Capital Receipts audits being signed off as unqualified.

2. **RECOMMENDATION**

- 2.1 The Committee considers the Annual Audit Letter and Grants Audit, and, if necessary, agrees any further information required from either officers or the Council's auditors.

3. **REASONS FOR THE RECOMMENDATION**

- 3.1 The Annual Audit Letter is a letter to all members of the Council which needs to be given due consideration by appropriate committees.
- 3.2 The report brings together details that were included within the Audit Findings report that was presented to members in September alongside the Statement of Accounts. The action plan, in response to the recommendations from the auditors is included.
- 3.3 One objection to the 2014/15 Accounts was received. This is currently being considered by the auditors. As the substance of this objection was similar to one of the 2013/14 objections which was dismissed by the auditors, it is not believed that this new objection should present any concern. One objection to the 2013/14 accounts remains outstanding to be considered by the auditors. This has been delayed due to an on-going appeal.
- 3.4 The Grants Claims letter is attached as an appendix. This letter deals only with the Housing Benefits Audit, which is now the only audit that is still part of the Auditor's formal appointment. This claim was unqualified. This is a very satisfactory conclusion, given the complex nature of the claim and the matter being audited. Nationally, unqualified claims are in the minority for Housing Benefits.
- 3.5 The Council was also required to have the Pooling of Housing Capital Receipts Return audited. This audit was agreed to be carried out by Grant Thornton. No issues were found with this return.

4. **POLICY FRAMEWORK**

- 4.1 **Policy Framework** – By considering and scrutinising the report members are acting in accordance with the priority of managing services openly, effectively and efficiently.
- 4.2 **Fit for the Future** – This report has no direct impact on Fit for The Future as it is a review of the past year's performance.

5. BUDGETARY FRAMEWORK

- 5.1 As detailed in Appendix B of the Annual Audit Letter, the cost of the main audit was in line with the plan. Similarly, the Housing Benefit Audit was at the planned charge. Additional costs of £12,857 have been incurred in respect of the 2013/14 objections that have been dealt with, with further costs for the objections still to be settled.
- 5.2 The Housing Benefits Audit has come in at the planned charge of £8,530. The charge for the Pooling of Housing Capital Receipts return is still awaited. This should not be significant.
- 5.3 Overall, it is anticipated that within the external audit budget, there is sufficient to meet any further costs in respect of the 2014/15 audit.

6. RISKS

- 6.1 That objections to the accounts are upheld by the external auditor.

7. ALTERNATIVE OPTION CONSIDERED

- 7.1 No alternatives have been considered.

8. BACKGROUND

- 8.1 The auditor's report looks at a number of key areas based on their audit work in relation to 2014/15. This report brings together the main findings from two main areas.
- 8.2 Audit opinion and financial statements. The auditors prepared their Audit Findings Report based on the Council's 2014/15 financial statements. This report was presented to the Finance and Audit Scrutiny Committee on 22 September 2015.
- 8.3 No significant weaknesses in the Council's internal control arrangements have been identified. Actions are being taken by officers to address the key issues and recommendations.
- 8.4 The Annual Audit Letter also includes details of the 2014/15 Value For Money conclusion. This was included within the Audit Findings Report in September. It was concluded that the Council have proper arrangements in place to secure economy, efficiency and effectiveness in its use of resources.



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Mike Snow
Head of Finance
Warwick District Council
Riverside House
Milverton Hill
Leamington Spa
CV32 5HZ

14 December 2015

Dear Mike

Certification work for Warwick District Council for year ended 31 March 2015

We are required to certify certain claims and returns submitted by Warwick District Council ('the Council'). This certification typically takes place six to nine months after the claim period and represents a final but important part of the process to confirm the Council's entitlement to funding.

The Local Audit and Accountability Act 2014 gave the Secretary of State power to transfer Audit Commission responsibilities to other bodies. Public Sector Audit Appointments (PSAA) have taken on the transitional responsibilities for HB COUNT issued by the Audit Commission in February 2015

We have certified one claim for the financial year 2014/15 relating to expenditure of £30.4 million. Further details of the claims certified are set out in Appendix A.

There are no issues arising from our certification work which we wish to highlight for your attention. We are satisfied that the Council has appropriate arrangements to compile complete, accurate and timely claims for audit certification.

The indicative fee for 2014/15 for the Council is based on the final 2012/13 certification fees, reflecting the amount of work required by the auditor to certify the claims and returns in that year. Fees for schemes no longer requiring certification under the Audit Commission regime (such as the national non-domestic rates return, teachers pensions return and pooling housing capital receipts return) have been removed. The indicative scale fee set by the Audit Commission for the Council for 2014/15 is £8,530. This is set out in more detail in Appendix B.

Yours sincerely

For Grant Thornton UK LLP



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Appendix A - Details of claims and returns certified for 2014/15

Claim or return	Value	Amended?	Amendment (£)	Qualified?	Comments
Housing benefits subsidy claim	£30.4m	Yes	(1,740)	No	Minor amendments were required to the claim to reflect an error found on testing of non HRA expenditure, and to ensure that the changes required by the software supplier were accurately reflected in the final claim. As the testing was able to fully quantify the errors, the claim was submitted unqualified.

Appendix B: Fees for 2014/15 certification work

Claim or return	2013/14 fee (£)	2014/15 indicative fee (£)	2014/15 actual fee (£)	Variance (£)	Explanation for variances
Housing benefits subsidy claim (BEN01)	12,717	8,530	8,530	0	The indicative fee is based on the amount of work undertaken in 2012/13. We have reviewed the work undertaken in 2012/13 and identified that two areas of 40+ testing were undertaken for the 2012/13 claim. This is identical to the level of 40+ testing undertaken in the current year and therefore no fee variation required.
Total	12,717	8,530	8,530	0	

The Annual Audit Letter for Warwick District Council

Year ended 31 March 2015

October 2015

John Gregory

Engagement Lead

T 0121 232 5333

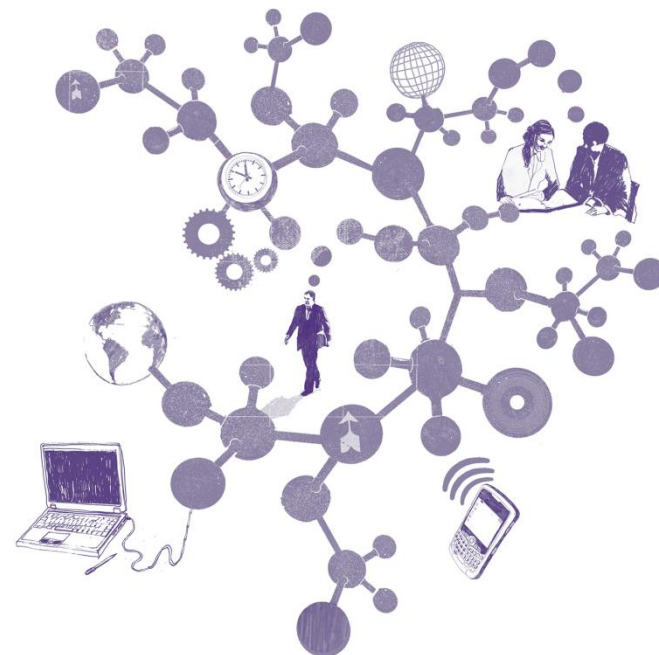
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Key messages

Our Annual Audit Letter summarises the key findings arising from the work that we have carried out at Warwick District Council ('the Council') for the year ended 31 March 2015.

The Letter is intended to communicate key messages to the Council and external stakeholders, including members of the public. Our annual work programme, which includes nationally prescribed and locally determined work, has been undertaken in accordance with the Audit Plan that we issued on 10 March 2015 and was conducted in accordance with the Audit Commission's Code of Audit Practice, International Standards on Auditing (UK and Ireland) and other guidance issued by the Audit Commission and Public Sector Audit Appointments Limited.

Financial statements audit (including audit opinion)	<p>We reported our findings arising from the audit of the financial statements in our Audit Findings Report on 22 September to the Finance and Audit Scrutiny Committee. The key messages reported were:</p> <ul style="list-style-type: none">• The draft accounts presented for audit were of a good quality, as in previous years,• The value of assets included within the balance sheet was understated by £837k, however officers amended for this error,• Working papers were fit for purpose, however some improvements could be made by ensuring more comprehensive use of spreadsheets rather than hand written working papers, and• We have continued to discuss the length of the accounts with officers, and the areas where the level of disclosure could be reduced. <p>We issued an unqualified opinion on the Council's 2014/15 financial statements on 29 September 2015, meeting the deadline set by the Department for Communities and Local Government. Our opinion confirms that the financial statements give a true and fair view of the Council's financial position and of the income and expenditure recorded by the Council.</p>
Value for Money (VfM) conclusion	<p>We issued an unqualified VfM conclusion for 2014/15 on 29 September 2015.</p> <p>Overall our work highlighted that the Council, like many other nationally, continues to face challenges in how to balance its budget in the longer term. Savings have continued to be delivered, with only a very small proportion of original savings not been achieved. Overall, we consider the Council's medium term financial planning to be strong and that it has appropriate budget setting and monitoring arrangements in place. In addition we have reviewed the mechanisms the Council has in place for prioritising its resources, and consider that both officers and members demonstrate a good understanding of where resources need to be focused.</p> <p>On the basis of our work, and having regard to the guidance on the specified criteria published by the Audit Commission, we are satisfied that in all significant respects the Council put in place proper arrangements to secure economy, efficiency and effectiveness in its use of resources for the year ending 31 March 2015.</p>

Key messages continued

Certification of housing benefit grant claim	Work on the certification of the housing benefit grant claim is currently in progress. The claim is required to be certified by the end of November, and the results of this work will be reported in our grant certification report as required upon completion.
Audit fee	Our fee for 2014/15 was £71,497 excluding VAT which was in line with our planned fee for the year. Further detail is included within appendix B.

Appendix A: Key issues and recommendations

This appendix summarised the significant recommendations identified during the 2014/15 audit.

No	Issue and recommendation	Priority	Management response/ responsible office/ due date
1.	<p>While the overall number of pages of the accounts has reduced by ten compared to previous years, they are still lengthy when compared to others who have embraced the de-cluttering agenda fully.</p> <p>Recommendation: Officers should critically review the published financial statements and ensure that only significant items are included. This should form the basis of an action plan that will help the Council achieve a faster more streamlined approach to the production of the accounts, in preparation for the deadlines coming forward in future years.</p>	Deficiency – risk of inconsequential misstatement	<p>Management response: Consideration will be given to seek how the number of pages will be reduced whilst still complying with all the necessary requirements, having regard to practices elsewhere and in discussion with the external auditors.</p> <p>Responsible office: Audit and Risk Manager – Annual Governance Statement. Principal Accountants (Revenue/Capital) – Statement of Accounts</p> <p>Due date: March 2016</p>
2.	<p>Testing of operating expenditure highlighted errors in cut off. In both cases officers explained that expenditure had not been correctly apportioned across the year end because of the immaterial nature of the balances, however this was not explicitly stated within the policy on income recognition.</p> <p>Recommendation: Officers should review the accounting policy on income recognition and ensure that it accurately reflects current practices, and that it is fit for purpose given the faster close agenda.</p>	Deficiency – risk of inconsequential misstatement	<p>Management response: Policies will be reviewed as part of 1 above.</p> <p>Responsible office: Principal Accountants (Revenue/Capital)</p> <p>Due date: March 2016</p>
3.	<p>Some working papers provided were difficult to follow, particularly when these were hand written notes, where large number of transactions were being grouped together in the financial statements.</p> <p>Recommendation: Working papers could be improved, with greater use being made of spreadsheets to demonstrate the audit trail between ledger balances and the financial statements.</p>	Deficiency- risk of inconsequential misstatement	<p>Management response: Discussion to be held with external auditors to clarify specifically where working papers can be improved, to allow for improvements for 2015/16 accounts.</p> <p>Responsible office: Principal Accountants (Revenue/Capital)</p> <p>Due date: March 2016</p>

Appendix B: Reports issued and fees

We confirm below the fees charged for the audit and non-audit services.

Fees for audit services

	Per Audit plan £	Actual fees £
Council audit	71,497	71,497
Housing benefit grant certification fee	8,530	tbc
Fees for dealing with Local Government objections - determined	12,857	12,857
Fees for dealing with Local Government objections – on-going	tbc	tbc
Total audit fees	92,884	tbc

We will report the final certification fee for the housing benefit claim as part of the grant certification report, which will be issued on completion of the work. The work in relation to a local government objection on the 2013-14 accounts is also on-going, officers and members will be updated on a regular basis, with the final fee being agreed upon conclusion of the work.

Reports issued

Report	Date issued
Audit Plan	10 March 2015
Audit Findings Report	22 September 2015
Certification Report	tbc
Annual Audit Letter	October 2015

Fees for other services

Non-audit related services	Fees £
Tax advice on the options appraisal for Kenilworth Public Service Centre	6,000
Tax advice – new residential developments	8,000-10,000

In addition to the fees for other services outlined above we are also discussing with officers the possibility of undertaking some audit related services for the certification of the pooled housing receipt claim, which has fallen outside of the Audit Commission regime, and is now required to be the subject of a separate engagement.

Appendix C : How we have worked with you during the year

Senior officer team

We:

- met regularly with the Deputy Chief Executive and the Head of Finance to discuss some of your major projects and to share our insight into national Local Government issues,
- met regularly with both the Head of Internal Audit, and key accountants to provide regular feedback on emerging issues,
- shared our annual reports on Local Government Governance and Financial Resilience,
- worked with the finance department to suggest ways the accounts could be streamlined and provided good practice examples of 'de-cluttered' accounts and annual governance statements,
- provided technical advice on the accounting treatments required for housing projects,
- shared our understanding of some of the key issues facing Local Government through our thought leadership reports covering Welfare Reform, Alternative Delivery Models and Financial Sustainability in Local Government,
- provided an opportunity to network with other Local Government bodies at our workshops covering taxation issues, building a successful local authority trading company, Local Government financial self sufficiency and 20:20 vision.

Audit committee Members

We:

- met regularly with the Audit Committee to ensure you were kept up to date with the audit progress, as well as emerging issues affecting the wider Local Government Sector
- invested in regular dialogue with the audit committee to ensure there were no surprises and to maintain a robust and independent stance
- provided independent external audit commentary and insight on the Council's issues through senior attendance at every audit committee
- provided regular, timely and transparent reports from our work and briefing notes on key sector developments.

Other councillors

We:

- met with the finance portfolio holder to brief him on the on-going work in relation to the objection to the 2013-14 accounts,
- discussed potential alternative investment models with the finance portfolio holder, and provided a commentary on our experience with other similar local authorities.




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 FINANCE & AUDIT SCRUTINY 12 January 2016		Agenda Item No. 5
Title	Review of Health & Community Protection Services Risk Register by Finance & Audit Scrutiny Committee	
For further information about this report please contact	Richard Hall Head of Health & Community Protection Tel: 01926 456700 email: richard.hall@warwickdc.gov.uk or Richard Barr Audit & Risk Manager Tel: 01926 456815 email: richard.barr@warwickdc.gov.uk	
Wards of the District directly affected	Not applicable	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	29 September 2015 – Finance & Audit Scrutiny Committee (last service risk register review)	
Background Papers	WDC risk management policy & guidelines	
Contrary to the policy framework:	No	
Contrary to the budgetary framework:	No	
Key Decision?	No	
Included within the Forward Plan? (If yes include reference number)	No	
Equality & Sustainability Impact Assessment Undertaken	N/A: no direct service implications	

Officer/Councillor Approval		
With regard to report approval all reports <i>must</i> be approved as follows		
Title	Date	Name
Chief Executive/Deputy Chief Executive	22 Dec 2015	Chris Elliott/Andrew Jones
Head of Service	Co-author	Richard Hall
CMT		
Section 151 Officer	22 Dec 2015	Mike Snow
Monitoring Officer	22 Dec 2015	Andrew Jones
Finance	22 Dec 2015	As per S151 Officer
Portfolio Holder(s)	Dec 2015	Cllr Moira-Ann Grainger
Consultation & Community Engagement		
None other than consultation with members and officers listed above.		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below)		

1 **SUMMARY**

- 1.1 This report sets out the process for the review by Finance & Audit Scrutiny Committee of the Health & Community Protection Services Risk Register.

2 **RECOMMENDATIONS**

- 2.1 That Finance & Audit Scrutiny Committee should review the Health & Community Protection Services Risk Register attached at Appendix 1A and make observations on it as appropriate.

3 **REASON FOR THE RECOMMENDATIONS**

- 3.1 To enable members to fulfil their role in managing risk (see section 8, below).

4 **POLICY FRAMEWORK**

- 4.1 The Health & Community Protection Services Risk Register is part of the Council's corporate risk management framework. The Register reflects the Council's corporate priorities and key strategic projects that are contained in Fit for the Future.

5 **BUDGETARY FRAMEWORK**

- 5.1 Although there are no direct budgetary implications arising from this report, risk management performs a key role in corporate governance including that of the Budgetary Framework. An effective control framework ensures that the Authority manages its resources and achieves its objectives economically, efficiently and effectively.
- 5.2 The risk register sets out when the realisation of risks might have financial consequences. One of the criteria for severity is based on the financial impact.

6 **RISKS**

- 6.1 The risks are contained in the Service's Risk Register, set out as Appendix 1A.

7 **ALTERNATIVE OPTION(S) CONSIDERED**

- 7.1 This report is not concerned with recommending a particular option in preference to others so this section is not applicable.

8 **RESPONSIBILITY FOR RISK MANAGEMENT**

- 8.1 In its management paper "Worth the risk: improving risk management in local government", the Audit Commission sets out clearly the responsibilities of members and officers:

"Members need to determine within existing and new leadership structures how they will plan and monitor the council's risk management arrangements. They should:

- decide on the structure through which risk management will be led and monitored;
- consider appointing a particular group or committee, such as an audit committee, to oversee risk management and to provide a focus for the process;
- agree an implementation strategy;
- approve the council's policy on risk (including the degree to which the council is willing to accept risk);
- agree the list of most significant risks;
- receive reports on risk management and internal control – officers should report at least annually, with possibly interim reporting on a quarterly basis;
- commission and review an annual assessment of effectiveness: and
- approve the public disclosure of the outcome of this annual assessment, including publishing it in an appropriate manner.

The role of senior officers is to implement the risk management policy agreed by members.

It is important that the Chief Executive is the clear figurehead for implementing the risk management process by making a clear and public personal commitment to making it work. However, it is unlikely that the Chief Executive will have the time to lead in practice and, as part of the planning process, the person best placed to lead the risk management implementation and improvement process should be identified and appointed to carry out this task. Other people throughout the organisation should also be tasked with taking clear responsibility for appropriate aspects of risk management in their area of responsibility."

9 **BACKGROUND**

9.1 Executive agreed on 11th January 2012 that:

- (a) Portfolio Holders should review their respective Service Risk Registers quarterly with their service area managers.
- (b) Portfolio Holder Statements should include each service's top three risks.
- (c) Executive should note the process for the review by Finance & Audit Scrutiny Committee of service risk registers.
- (d) The relevant Portfolio Holders should attend the Finance & Audit Scrutiny Committee meetings at which their respective service risk registers are reviewed.

9.2 The full framework endorsed by Executive at that meeting is set out as Appendix 3.

9.3 Risk registers are in place for all significant risks facing service areas in the provision of their services. In addition to service risk registers for all service areas there is the Significant Business Risk Register that contains the organisation's corporate and strategic risks (the latest version of this being presented to the January Executive meeting).

10 **HEALTH & COMMUNITY PROTECTION SERVICE RISK REGISTER**

10.1 **Introduction**

10.1.1 The latest version of the Health & Community Protection Risk Register is set out as Appendix 1A to this report. The register has been updated in the last few weeks.

10.1.2 Health & Community Protection also maintain a summary table as a supplement to the Risk Register to manage their key risks more closely. This is set out as Appendix 1B.

10.1.2 The scoring criteria for the risk register are subjective and are based on an assessment of the likelihood of something occurring, and the impact that might have. Appendix 2 sets out the guidelines that are applied.

10.1.3 In line with the traditional risk matrix approach, greater concern should be focused on those risks plotted towards the top right corner of the matrix whilst the converse is true for those risks plotted towards the bottom left corner of the matrix. If viewed in colour, the former-described set of risks are within the area shaded red, whilst the latter-described set of risks are within the area shaded green; the mid-range are in the area seen as yellow.

10.2 **Overview of Health & Community Protection Services Risk Management**

10.2.1 The Health & Community Protection Risk Register is owned and managed by the Portfolio Holder & the Health & Community Protection Management Team. The register is reviewed on a regular basis by the Management Team and is discussed on a regular basis by Head of Health & Community Protection and Portfolio Holder at their one-to-one meetings.

10.2.2 Amendments to existing risks are made to the register as appropriate and when any new risks are identified. Any changes to risks are shown on the matrix attached as Appendix 1B, allowing officers to track the history of the risk and the impact of mitigation.

10.2.3 The Risk Register includes the significant business risks across the service; some of these are common across the service and others, given the broad range of services, are specific to a particular part of the service. Sitting beneath this Risk Register are a series of detailed risk assessments within each part of the service which identify the day to day risks which exist within the service. In general terms these are health & safety risks relevant to the type of service being provided. There are also the Service Area Crisis Plan and Business Continuity Plans which address emergency situations.

10.3 **Health & Community Protection Service Risks**

10.3.1 Health & Community Protection is responsible for the provision of a wide range of services. The risk register (Appendix 1A) includes generic risks at the start of the document. These are divided in to various categories. Service-specific risks are then listed, relevant to the various sections of the service.

10.3.2 There are 46 risks contained in the Risk Register; 24 are service-specific risks and 22 are generic risks. There are currently 2 risks in the "red zone". Details of the main risks are described in 10.3.3. One risk has moved from the "red" to the yellow since the last review. The table in Appendix 1B summarises changes since the last review.

10.3.3 The three main risks within the service are considered to be:-

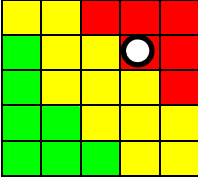
- § **GR 1 – staff resources and loss of key staff.** There are a number of reasons for this, not least the retirement of the Head of Service and Environmental Sustainability Manager. This necessitates some minor service changes and recruitment to refill posts in key areas. The Terms & Conditions review has also introduced uncertainty for staff and may affect recruitment and retention.
- § **SR8 – legal challenge to fee setting.** Licence holders can now challenge the local authority on fee setting over a 6 year period. If the Council cannot demonstrate that it has not made a profit over that period they may be liable to repay fees.
- § **SC1 & 2 – Both relate to the Community Partnership arrangements.** There have been changes within the County Council which have impacted on the Community Partnership Team. These have had to be managed but place extra pressure on delivery.

10.4 **Review of Risk Register by Members**

10.4.1 It is proposed that Members should review the risk register set out as Appendix 1A, confirming that risks have been appropriately identified and assessed and that appropriate measures are in place to manage the risks effectively. Members may wish to challenge the Portfolio Holder and the Head of Health & Community Protection Services on these aspects and assure themselves that their risk register is a robust document for managing the risks facing the service.

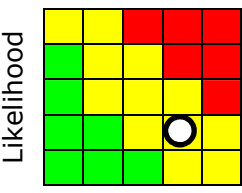
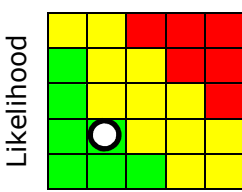
Health & Community Protection - Risk Register

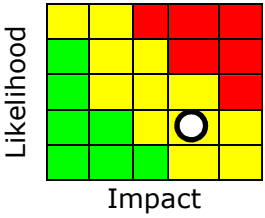
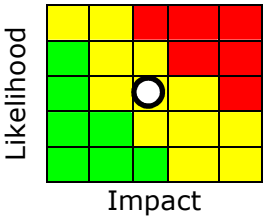
DEC 2015

GENERIC – STAFF/HUMAN RESOURCES									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GR1	<p>Staff Resources - Loss of key staff/skills, Appointment & Retention, ill health and other emergencies.</p> <p>HCP restructure, Staff Transitions</p> <p>Terms and Conditions review</p>	<ul style="list-style-type: none"> Ill health inc infectious disease outbreaks, stress Staff turnover (finding work elsewhere, low pay, dissatisfaction, low morale, qualifications, poor working conditions, shortage of skilled staff, lack training opportunities, lack development opportunities, Redundancy, retirement) Lack of key staff/knowledge. Lack of adequate cover bank holidays/emergencies, including outbreaks/epidemics Lack of succession planning and Unfilled Vacancies External emergency situation (Flood, Act of Terrorism, Pandemic Flu, other hazard). 	<ul style="list-style-type: none"> Skills shortage. Unable to respond to service area matters. Insufficient resources to maintain adequate service/ reduced service/ service failure Lack of Proper officer/officer with delegated authority/officer with relevant certification/ qualifications available to progress workflow. Failure to meet customer expectations Failure to meet statutory requirements Unable to respond to emergencies Low staff morale. Additional pressure on remaining staff Loss of additional Key Staff. Impacts on the Councils financial Profile. Loss of IIP award. Threat to business critical tasks. Financial penalties. Additional budgetary pressure if agency staff or overtime is required to fill the gap Breach of working time directive. Staff fatigue leading to increased risk of accident / stress /absence 	<ul style="list-style-type: none"> Effective staff management, including stress management, one to ones/appraisals & staff development. Supportive, equitable, transparent and consistent corporate culture. Adherence to the principles, aims and objectives of Investors in People, the Health & Wellbeing Strategy and the Wellbeing Charter Succession planning as part of Service Planning process. Maintenance of competence, CPD, Knowledge pairing within department. Use of temporary staff as needed/appropriate Effective monitoring of performance. Enhance resilience by encouraging staff to train in additional competencies and certification, share knowledge. Encourage phased retirement if appropriate to enable transfer of knowledge Succession Planning Strategy Regular review of Business Continuity Plan 	DMT HR HHCP CCO	<ul style="list-style-type: none"> Appoint to key posts (Regulatory Manager & Environmental Sustainability Manager) 		MAR 16	<p>Likelihood</p>  <p>Impact</p> <p>Increase due to the restructure, retirement of key staff and key staff vacancies. Review of terms and conditions.</p>

GENERIC – STAFF/HUMAN RESOURCES									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GR2	Health and Safety risks to staff - evening/ night time enforcement, Lone working, staff safety, Injuries and abuse.	<ul style="list-style-type: none"> Failure to implement safe systems of work Insufficient knowledge of required procedures Inadequate corporate systems in place System failure Lone working; Abusive applicants and disgruntled customers Exposure to drunk people, taxi drivers, publicans and customers Working outside daylight hours 	<ul style="list-style-type: none"> Staff at risk from accidents etc. Injury to staff Risk of prosecution/litigation Insurance claim/compensation Loss of reputation Physical and verbal activities. Staff reduction due to ill health. Accident outcome may be worsened by not being able to readily summon aid Increased perception of peril leading to stress 	<ul style="list-style-type: none"> Competent Corporate Health & Safety staff in place. Work Procedures and use of Lone Worker system (Tunstall) Good health & safety practice through management system Training at induction and updating Risk assessments completed. Dynamic risk assessments undertaken. Staff awareness and training. Liaison with CCTV staff and Street Marshals. Use of radio system to remain in contact, panic alarms and torches. Support from specialist officers in locations where specific problems identified Office layout Regular review, use and update of Staff Alert List 	H&S Advisor CMT DMT HHCP	<ul style="list-style-type: none"> Lone worker training to be provided to community Development Workers Community Development team to be added to assess net Community Partnership team to gain access to staff alert list. Introduction of total mobile Introduction of new lone worker system. 	Staff time	FEB 16	<div> <div>Likelihood</div> <div>Impact</div> </div>
GR3	Driving for work (council and personal vehicles) – Accidents.	<ul style="list-style-type: none"> Poorly maintained vehicles Staff not trained in their responsibilities Stress/Tiredness Illness/ Medications 	<ul style="list-style-type: none"> Damage to vehicle or property Personal injury, Legal action, insurance claims etc. Convictions for driving poor maintained vehicles. Accidents/ Unable to work as result. 	<ul style="list-style-type: none"> Knowing where the council vehicles are. Regular maintenance and checks of council vehicles Staff training at commencement of job role. Effective health & safety controls and risk assessments Staff Provision of own insurance for Business use of personal vehicles 	DMT	<ul style="list-style-type: none"> Recommend the implement system for checking corporately. 	Staff time	MAR 16	<div> <div>Likelihood</div> <div>Impact</div> </div>
GR4	Home & Mobile working – poor service delivery level and health and safety risks present.	<ul style="list-style-type: none"> IT provision not working H&S risks not mitigated Appropriate level of service delivery not maintained Loss of staff buy in 	<ul style="list-style-type: none"> Inability to deliver work programme Legal challenge Customer expectation not met Poor staff welfare/increased stress/ Isolation Insurance claim 	<ul style="list-style-type: none"> Effective H&S controls in place for work place assessment and lone working. Effective management of service delivery 	DMT HHCP	<ul style="list-style-type: none"> Introduction and development of total mobile 		MAR 17	<div> <div>Likelihood</div> <div>Impact</div> </div>

GENERIC – STAFF/HUMAN RESOURCES									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GR5	Inadequate training provided to staff	<ul style="list-style-type: none"> Lack of time/money to invest in training Budget pressures 	<ul style="list-style-type: none"> Staff not skilled to provide service Wrong advice/decisions Non-compliance with statutory instrument where specific qualifications or delegations are required. Loss of IIP status. Loss of professional competence and thus ability to do role Legal challenge on decisions Complaints 	<ul style="list-style-type: none"> One to ones/appraisals personal development plans Legal support Budget for training Identify necessary training (via effective methods) 		<ul style="list-style-type: none"> Continuing use of RDNA and GRIP tools Ongoing work with external bodies to identify training need/free training. Food Law Code of Practice Competences 			<div> <div>Likelihood</div> <div>Impact</div> </div>
GR6	Failure to identify legislative changes	<ul style="list-style-type: none"> Staff not keeping up to date Not being implemented or brought into force at proposed time. 	<ul style="list-style-type: none"> Statutory procedures not followed Reviews Complaints upheld Transfer of budgets to new statutory authority 	<ul style="list-style-type: none"> personal development plans Legal support Service planning Management practices Completing adequate training and CPD up to date 					<div> <div>Likelihood</div> <div>Impact</div> </div>

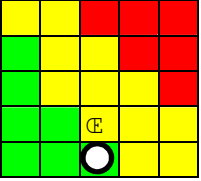
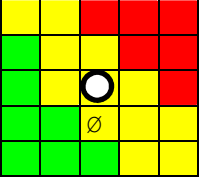
GENERIC – INFRASTRUCTURE & ACCOMODATION									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GI1	Loss of IT and records Web-site Maintaining Computerised Systems and Records Integration of different software solutions	<ul style="list-style-type: none">Loss of Building, Flood, Fire, external emergency situation affecting accessPower and system FailuresContractor failureData CorruptionIT security issueStaff resourcesSabotage, Malfunction, Hacking/malicious actsPoor Procedures, Ineffective computer systems for service needs.IT not able to rectify the problemPoor knowledge /understandingBroadband connections lostLoss of hardwareStaff understanding of software and `drives`	<ul style="list-style-type: none">Loss of access to data, Data loss.Operating systems not workingFailure to meet customer expectations or to provide requested informationReduced service provision, failure to meet statutory requirementsUnable to deliver online servicesOut of date informationAdverse Publicity,Impacts on the Councils financial Profile.Systems not set up adequately resulting in additional workUnable to continue service	<ul style="list-style-type: none">Emergency and Business Continuity Planning, including arrangements for Homeworking.Good procurement procedures and contract managementImplementation of effective backing up and storage procedures.Introduction of checking systems.On-going training and engagement of staffAdequate training and resourcing of web authors and editorsRegular review procedures and systemsInsurance cover.	SMT DMT ICT HHCP	<ul style="list-style-type: none">Refresher training on Civica APP use		Ongoing	<div><div>Likelihood</div><div>Impact</div></div>
GI2	Loss of accommodation/ Non availability of Office Building	<ul style="list-style-type: none">Flood, Fire, Gas explosion, Tempest etc.External emergency situation affecting accessPower Failures	<ul style="list-style-type: none">Loss of access to dataLoss of access to equipment and materialsRestriction of service provisionDanger to occupants.Non availability of service.Additional expenditure.Bad Publicity.Loss of records, IT equipment.	<ul style="list-style-type: none">Emergency and Business Continuity Planning and their regular review.Normal operating procedure.Homeworking availability	SMT DMT				<div><div>Likelihood</div><div>Impact</div></div>

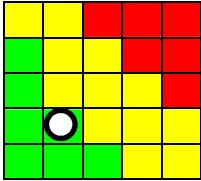
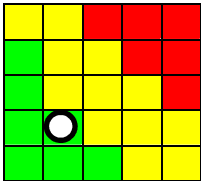
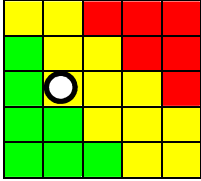
GENERIC – SUPPLIERS									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GS1	<p>Supplier failure or unable to provide services as agreed/ expected. I.e. call centre, royal mail, ADT, kennels.</p> <p>. i.e. Contractor, legal, Street Marshalls</p> <p>Voluntary sector contractors – CAB, The Gap, Healthy Living centre</p>	<ul style="list-style-type: none"> • Inability to provide service or providing a sub-standard service. • Organisational changes not taken into account • Partnership agreement breakdown • Financial commitment not covered within budget • Contractor goes out of business • Emergency situation prevents contract delivery • Disagreement as to contract delivery and /or cost • External emergency situation, Flood, Fire affecting access • Power and system failures • Staff resources • Full scope of works not included in contract tender 	<ul style="list-style-type: none"> • Unacceptably poor service. • Legal challenge • Loss of reputation • Not meeting customer expectations • Air Pollution monitoring interrupted • Failure to meet customer expectations • Unexpected additional expenditure 	<ul style="list-style-type: none"> • Maintain contact with account managers/ contractors. • Effective budgetary control through management processes. • Good lines of communication with key staff. • Business Continuity planning • Good communication with Call Centre and understanding of information and services they deal with. • Good procurement practises • Staff training 	CMT DMT SMT	<ul style="list-style-type: none"> • Continuing monitoring of services delivered 		Ongoing	
GS2	<p>Failure of other WDC/ partners/ stakeholders department to provide services as agreed / expected (neighbourhood/ property)</p>	<ul style="list-style-type: none"> • Reorganisation of collaborative departments • Failure to recognise workflow through other departments • Insufficient staff / resource available 	<ul style="list-style-type: none"> • Disjointed services to customers • Missed opportunities • Negative impact on staff morale • Increased customer complaints • Reputational damage 	<ul style="list-style-type: none"> • Good lines of communication between key members of staff, partners and stakeholders • Joint working groups • SMT intervention 	DMT SMT	<ul style="list-style-type: none"> • Monitoring of services delivered 			

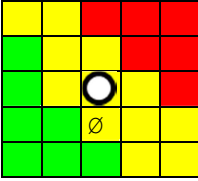
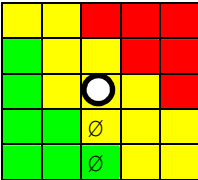
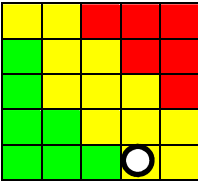
GENERIC – EMERGENCY SITUATIONS									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GE1	Increased demand on services due to Emergency situation; Emergency stops basic Council Operations	<ul style="list-style-type: none"> Extreme Weather, Flood, Act of Terrorism, Fuel Strike, Pandemic outbreak, other realized hazard. Structural/Building failure. Fire/Loss of data/Electronic Attack/Denial of Access. 	<ul style="list-style-type: none"> Threat to business critical tasks. Inability to meet demand. Staff workload increases, leading to potential stress. Loss of public confidence. Inability to meet statutory duties. Loss of data/information/documents. Adverse effect on health and wellbeing of population 	<ul style="list-style-type: none"> Service Area plans for business interruptions. Regular review of Business Continuity Plan Training and exercises. Work towards BS25999. Implementation of building security and fire safety measures. ICT work to secure data. 	CCO HHCP				<p>Likelihood</p> <p>Impact</p>
GE2	Widespread disaster beyond local capabilities to cope and reasonable attempts to plan	<ul style="list-style-type: none"> Risk Assessment process fails to detect significant risk. Extreme Weather, Flood, Act of Terrorism, Pandemic outbreak, other realized hazard. Structural/Building failure. Fire/Loss of data/Electronic Attack/Denial of Access. 	<ul style="list-style-type: none"> Damage to property/environment in District. Threat to life and business critical tasks. 	<ul style="list-style-type: none"> Risk Assessment process at Local Resilience Forum. Multi-Agency working/plans. Mutual Aid agreements. Emergency plan Regular review of Business Continuity Plan. 	CCO HHCP				<p>Likelihood</p> <p>Impact</p>

GENERIC – EMERGENCY SITUATIONS									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GE3	Ineffective Emergency preparedness	<ul style="list-style-type: none"> Failure of Officers to carry out parts/all of responsibilities under the WDC Duty Officer Role/Normal business duties. Officers unavailable to fulfil duties 	<ul style="list-style-type: none"> Loss of public confidence. Damage to property/environment in District. Ineffective use of resources. 	<ul style="list-style-type: none"> Training of staff for emergency situations. 24/7 Duty Officer role and Reserve Duty Officer, to offer support. Flood Plan. Continued Training and Exercising. Service Area Plans Business Continuity Plans 	CCO HHCP	<ul style="list-style-type: none"> Ongoing training 		Jan 15	<div> <div>Likelihood</div> <div>Impact</div> </div>

GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD1	Provision of incorrect/ poor quality information/ advice	<ul style="list-style-type: none"> Error in transferring information Staff error Insufficiently trained staff Confrontation Advice not fit for purpose Poor decision making 	<ul style="list-style-type: none"> Failure to meet customer expectations. Corporate /LGO Complaints dissatisfaction of customers. Reputational damage Poor working relationships Remedial actions and litigation costs Information Commissioner criticism or fine Staff stress Compensation claims 	<ul style="list-style-type: none"> Effective systems and procedures in place. Staff training and knowledge sharing Appraisals Performance monitoring 	DMT				<div> <div>Likelihood</div> <div>Impact</div> </div>
GD2	Possibility of Fraud/ Corruption	<ul style="list-style-type: none"> Insufficient finance and IT security controls in place. 	<ul style="list-style-type: none"> Loss of money Loss of reputation Legal action 	<ul style="list-style-type: none"> Abide by Finance and IT procedures and rules through effective internal management. Attendance of appropriate staff at training provided and refresher training Staff permissions/authorities/authorisations threshold limits 	SMT DMT				<div> <div>Likelihood</div> <div>Impact</div> </div>

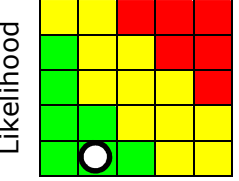
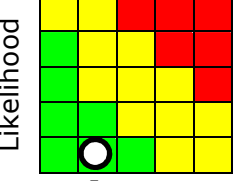
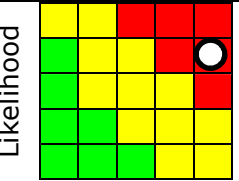
GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD3	Possibility of Non-compliant procurement Ineffective procurement	<ul style="list-style-type: none"> Lack of awareness of issues Deliberate act Poor standard of documentation produced upon which procurement is based 	<ul style="list-style-type: none"> Legal challenge Loss of reputation Failure to achieve best value No commercial interest Bidder mistakes invalidating applications 	<ul style="list-style-type: none"> Effective staff training and management of procurement processes Staff training 	DMT	<ul style="list-style-type: none"> Continuing refresher training and training for new starters Continuing liaison with procurement 			<div> <div>Likelihood</div>  <div>Impact</div> </div> <p>Decreased due to recent training provided in procurement.</p>
GD4	Failure to correctly monitor/ manage budgets Impact of the self service system upon budget control	<ul style="list-style-type: none"> Insufficient staff training Pressure of work leading to insufficient resource being committed Expanding use of self-service systems 	<ul style="list-style-type: none"> Uncertainty for corporate budgets Unable to meet service commitments Monies coded to wrong budgets due to system of self service 	<ul style="list-style-type: none"> Regular budget monitoring Regular meetings with Finance Training of Budget Managers 	HHCP DMT	<ul style="list-style-type: none"> Continuing training and for new starters. Active monthly monitoring Manual adjustments where fix cannot be identified in self-service system (temporary) Seek permanent solution to miscoding through self service 			<div> <div>Likelihood</div>  <div>Impact</div> </div> <p>Increase due to self-service system introduction and identification and manual reallocation of mis coded monies.</p>

GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD5	Compliance with legal duty. / Failure to deliver service within statutory timescales/ Failure to meet requirements of civil contingencies act.	<ul style="list-style-type: none">Insufficient resourcesNegligenceDeliberate actFailure to understand or be aware of new/ changing legislation and regulationsStaff workload, poor training, motivation,Inappropriate planning/preparedness works prior to eventFailure of officers to carry out parts/ all of responsibilities under the WDC major incident plan and response.Scale of incidentTemporary staff vacancy/seasonal shortages	<ul style="list-style-type: none">Legal challengeCompensation claimsLoss of reputation and public confidence.Impact on resources and financesReduced service effectiveness, poor customer service, impacts on motivation and stress levels,Damage to property/ environment in districtThreat to lifePublic enquiry	<ul style="list-style-type: none">Sufficient resource of competent staff.Effective training and development for staffEffective management controls in place through service planning and monitoringMajor Emergency Plan and Annual review.Training and exercising24/7 duty officer roleFlood planLocal resilience forumAdherence to best practice advice.Performance managementRegular review of Business Continuity Plan	DMT CCO HHCP				<div>Likelihood  Impact</div>
GD6	Not applying Equality and Diversity principles	<ul style="list-style-type: none">Non-compliance with legal requirementsDiscrimination against group or person	<ul style="list-style-type: none">Challenge by Govt Department or external agencyLegal action and/or compensation claim by group or individual	<ul style="list-style-type: none">Staff training and awareness raisingRegular review of Equality Impact assessments	SMT DMT				<div>Likelihood  Impact</div>
GD7	Changes to Economic climate	<ul style="list-style-type: none">National and International factorsChanges in Govt policy which affect national and local issuesLocal factors affecting businesses	<ul style="list-style-type: none">Impact on service delivery generally either increase or decreaseLoss of revenue, unexpected shortfall in budget surplus	<ul style="list-style-type: none">Service Planning and Business Continuity planningBudget monitoring	CMT DMT				<div>Likelihood  Impact</div>

GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD8	Unable to meet levels of service expected	<ul style="list-style-type: none"> Insufficient staff Increase in demand from public or new work areas Pressure from external agencies Corporate issues Specific problem occurring in district e.g. pollution incident etc. New development e.g. impacting on contaminated land or noise, food poisoning outbreak through unexpected surge / Increased workload Terms and conditions review 	<ul style="list-style-type: none"> Customer dissatisfaction Complaints to Ombudsman Reputational damage Stress on staff Refusal of staff to use cars Strike action 	<ul style="list-style-type: none"> Service Planning Resource planning MoU with other Councils Stress Assessment One to one Meetings Open communication and discussion. 	DMT	<ul style="list-style-type: none"> Terms and conditions consultation 			<p>Likelihood</p>  <p>Impact</p> <p>Increase due to the terms and conditions review consultation.</p>
GD9	Failure to make progress on corporate and departmental priorities	<ul style="list-style-type: none"> Unable to provide sufficient resources to support these areas of work Terms and conditions review 	<ul style="list-style-type: none"> Reputation undermined due to failure to meet commitments that have been made publically. Refusal of staff to use cars Strike action 	<ul style="list-style-type: none"> Regular prioritisation of work through services and corporate meetings Managing expectations by publishing and sticking to realistic time scales Continually monitor workloads Open communication 	DMT	<ul style="list-style-type: none"> Terms and conditions consultation 			<p>Likelihood</p>  <p>Impact</p> <p>Increase due to the terms and conditions review consultation.</p>
GD10	Inappropriate third party disclosure Non-compliance with Sharing of Information Protocol	<ul style="list-style-type: none"> Personal information shared with individuals not party to the WSIP Information becoming public which should not be. Poorly trained staff. Loss or theft of equipment 	<ul style="list-style-type: none"> Legal Challenge Reputational damage to partnership working/ council Risk to vulnerable person increases Legal action and/or compensation claim by group or individual Failure of formal actions by council 	<ul style="list-style-type: none"> Check info going out under Freedom of Information Act. Training of appropriate staff Use of E-CINs software Mobile Device hardware locked to prevent unauthorised access to data. Administrative remote deactivation. Retention and disposal of records 	DMT SCM	<ul style="list-style-type: none"> Respond to retention and disposal review 			<p>Likelihood</p>  <p>Impact</p>

GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD11	Failure to deliver projects to target e.g. complete design and construction projects on time	<ul style="list-style-type: none"> Lack of support after Public consultation. Non Commitment by the Council due to no financial allocations. Executive Committee delays. Design delays due to: Lack of Staff Resources, Inefficient/ineffective management processes, Lack of employee motivation/efficiency, printing delays of Contract Documentation. Refusal of Planning Permission, English Heritage/ Archaeology restrictions. Poorly scoped project/programme Third party failure Support from other service areas 	<ul style="list-style-type: none"> Potential redundant workforce. Fails to meet the Social, Economic and Environmental & Regeneration needs of the Community i.e. to mitigate flooding, reduce energy usage and enhance our town centres. Design delays resulting in Project slippage, impact on Service Delivery, the Council's Financial Profile, and Failure to Achieve Targets. Missed opportunities to regenerate areas of the District. Contracts not being assigned and started on time. Inability to implement change with improvements to enhance the vitality to areas of the District. Failure to meet corporate strategy. Failure to meet DDA and equality standards. Failure to deliver expected savings Failure to meet customer expectations 	<ul style="list-style-type: none"> Work Early with Members to gain Commitment. Resource management sufficient time in programme with SMART targets. Review of quality Manual to ensure compliance. Review the Equality & Diversity partial Impact Assessment for Capital Works. Training requirements, having correct skills in team, and undertake duties aligned to experience. Outsource if in-house services cannot be provided in desired timescales. Appropriate training Effective management control and project management. Project management training 	HHCP DMT				<div> <div>Likelihood</div> <div>Impact</div> </div>

SERVICE SPECIFIC – SERVICE DELIVERY (REGULATORY)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SR 1	Inappropriate issue of licence/ misuse by licensee Failure to properly determine licence	<ul style="list-style-type: none"> Fraudulent application Poor staff training Out of date procedures Application of incorrect or out dated procedures 	<ul style="list-style-type: none"> Reputation Bad publicity Impact of challenges /appeals. 	<ul style="list-style-type: none"> Maintain accurate controls and vigilance Proactive monitoring of staff training needs. Continues monitoring and improvement of procedures. Consulting with other responsible bodies and the Licensing Officers. 	RM	<ul style="list-style-type: none"> Continuing Staff training & training of new starters Quality monitoring scheme introduction Continuing procedural review 			<p>Impact</p>
SR 2	Incorrect conditions attached to licence	<ul style="list-style-type: none"> Staff error incorrect information provided 	<ul style="list-style-type: none"> Injury and Nuisance Reputation damage Bad publicity Impact of challenge/ appeals 	<ul style="list-style-type: none"> Continues monitoring and improvement of procedures. Maintain accurate controls and vigilance Staff training Consulting with appropriate bodies 	RM	<ul style="list-style-type: none"> Continuing Staff training & training of new starters Quality monitoring scheme introduction 			<p>Impact</p>
SR 3	Failure to set appropriate fees	<ul style="list-style-type: none"> Incorrect record keeping failure to follow guidance failure to advertise fees legislative and case law changes 	<ul style="list-style-type: none"> legal challenge reputation damage 	<ul style="list-style-type: none"> Record keeping for time spent/ monies spent to allow accurate fee setting. Referral to guidance Use of well documented and challenged methodologies Staff training 	RM	<ul style="list-style-type: none"> 6 year account review Continuing Staff training & training of new starters 			<p>Impact</p> <p>Increased due to changing guidance, case law and increased possibility of legal challenge</p>
SR 4	Loss of Paper records	<ul style="list-style-type: none"> Fire, flood Incorrect disposal 	<ul style="list-style-type: none"> Loss of history, plans, of premises. 	<ul style="list-style-type: none"> Move to digital records in progress 	RM	<ul style="list-style-type: none"> Continuing the programme of Scanning of all records 		Mar 17	<p>Impact</p>
SR 5	Failure to carry out routine/ reactive work Failure to deal with those failing to comply with licence conditions	<ul style="list-style-type: none"> Staff levels Increase in reactive workload or required formal action Lack of respect by licence holders for the conditions of licence 	<ul style="list-style-type: none"> Failure to meet statutory targets Failure to act upon non compliance 	<ul style="list-style-type: none"> Prioritisation of workload to those businesses that are non-compliant. Incidents of mandatory nature prioritised. Fleet inspections of taxis Increased monitoring of taxis, premises through compliance inspections 	RM	<ul style="list-style-type: none"> Continuing review of policies associated with licensing and procedures 		Mar 17	<p>Impact</p>

SERVICE SPECIFIC – SERVICE DELIVERY (REGULATORY)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
				<ul style="list-style-type: none"> Routine fleet inspections Routine premises compliance inspections. 					
SR 6	Incorrect FHRS management	<ul style="list-style-type: none"> Human error Poor staff training Out of date procedures Reference to out of date standards 	<ul style="list-style-type: none"> Reputation Bad publicity Appeals 	<ul style="list-style-type: none"> Maintain accurate controls and vigilance Proactive monitoring of staff training needs. Continuous monitoring and improvement of procedures. 	RM				
SR 7	Failure of Primary authority arrangements. Provision of poor or incorrect assured guidance	<ul style="list-style-type: none"> Staff Error Insufficiently trained staff. Failure to understand primary authority process and arrangements Advice not fit for purpose Poor decision making Poor service delivery 	<ul style="list-style-type: none"> Not meeting terms of primary authority arrangement Not recovering cost of the service provided Impact of advice implementation on business and WDC Poor reputation Revocation of arrangement 	<ul style="list-style-type: none"> Maintain accurate records Nominated named signatory for assured advice Advice provision monitoring Staff training Competency Professional development Effective systems and procedures. 	RM	<ul style="list-style-type: none"> Partnership arrangements documented 			 NEW
SR 8	Legal challenge to fee setting	<ul style="list-style-type: none"> Request from licence holder, previous licence holder or legal representative for evidence of six year accounts 	<ul style="list-style-type: none"> Unable to demonstrate that no profit or loss has been made for the services for which a fee is set. Unable to demonstrate that excess income was not entered into council funds rather than remaining ring-fenced. Refund licence holders the monies paid for six years. Legal challenge and costs associated 	<ul style="list-style-type: none"> Fee setting review annually Account review 	RM	<ul style="list-style-type: none"> Six years accounts review 	RM	MAR 16	 NEW

SERVICE SPECIFIC – SERVICE DELIVERY (SAFER COMMUNITIES)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SS1	Non-compliance with Section 17 of the Crime & Disorder Act (1998)	<ul style="list-style-type: none"> Community safety not a consideration in the design and delivery of services or the decision making process. 	<ul style="list-style-type: none"> Legal Challenge 	<ul style="list-style-type: none"> Input to relevant Committee Reports 	CMT				 Likelihood Impact
SS2	Provision of incorrect information to police or other agencies	<ul style="list-style-type: none"> Not following procedures Obtrusiveness. Wrongful arrest, Infringement to civil liberties Incorrect identification of offender on CCTV 	<ul style="list-style-type: none"> Reputation. Claims. 	<ul style="list-style-type: none"> Operating procedures. Trained staff. Partnerships with Police. 	CCTV Manager				 Likelihood Impact
SS3	Reduced Funding for Community Safety Partnership Initiative	<ul style="list-style-type: none"> Economic Climate 	<ul style="list-style-type: none"> Less money to spend on partnership priorities and greater pressure to mainstream. Unable to operate all initiatives 	<ul style="list-style-type: none"> Bid for alternative funding Funding from PCC and University of Warwick 	SCM				 Likelihood Impact
SS4	Loss of power to CCTV & Control room	<ul style="list-style-type: none"> Failure of electrical supply to CCTV and Control room 	<ul style="list-style-type: none"> Systems Failure Partners not Supported Increased response time to incidents/threats to life. 	<ul style="list-style-type: none"> Extra police resource to be called Retail radio system 	SCM HHCP	<ul style="list-style-type: none"> Relocation should assist as we would move to a different substation. Continued investigation to identify a back up supply. 	Staff time & budget cost for new source	2017/18	 Likelihood Impact
SS5	Effectiveness of Dog Service	<ul style="list-style-type: none"> Current kennels going out of business 	<ul style="list-style-type: none"> Increased journey time to alternative kennels in Redditch. Increased cost of petrol and depreciation of vehicle. 	<ul style="list-style-type: none"> Work with kennels to ensure billing is accurate and on time. Meet regularly with kennels owner 	SCM				 Likelihood Impact
SS6	Theft of council pest control vehicles	<ul style="list-style-type: none"> Poorly maintained vehicles Staff not trained in their responsibilities Stress/Tiredness Accidents 	<ul style="list-style-type: none"> Damage to vehicle or property Personal/wildlife injury Legal action, insurance claims etc. Pest control vehicles stolen and poison dumped. 	<ul style="list-style-type: none"> Knowing where the vehicles are. Regular maintenance and checks of vehicles Staff training at commencement of job role. Effective health & safety controls and risk 	DMT SCM				 Likelihood Impact

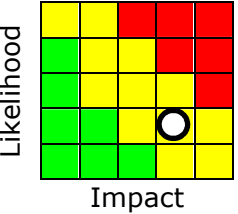
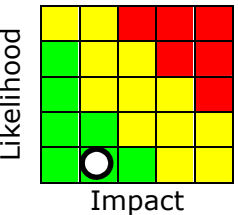
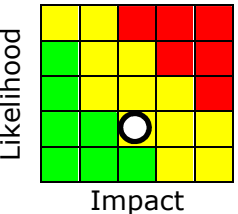
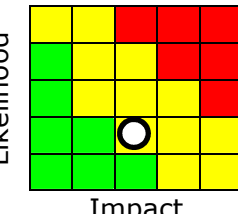
SERVICE SPECIFIC – SERVICE DELIVERY (SAFER COMMUNITIES)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
				assessments					
SS7	Unsuitable use of poisons	<ul style="list-style-type: none"> Access to the poisons room by other staff members Use of poisons New brands/change of bait type 	<ul style="list-style-type: none"> Poisonings of human/animal/ wildlife and environment 	<ul style="list-style-type: none"> Staff training COSHH assessments H&S procedures in place Locked storage 	SCM				<div> <div>Likelihood</div> <div>Impact</div> </div> NEW

SERVICE SPECIFIC – SERVICE DELIVERY (COMMUNITY PARTNERSHIP)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SC1	Informal Partnership working with WCC fails	<ul style="list-style-type: none"> Staff integration Reduced funding Reduced support Policy changes at WCC or WDC Further WDC restructure 	<ul style="list-style-type: none"> Reduced resources available Reduced service level and or quality Reduced support for communities 	<ul style="list-style-type: none"> Regular dialogue & monitoring Regular review of policy and changes 	ICPTM	<ul style="list-style-type: none"> Revising and developing new partnerships in light of formal partnership concluding 			<div> <div>Likelihood</div> <div>Impact</div> </div> Increased due to the ceassation of the formal partnership and the new arrangements of the informal partnership

SC2	Failure to or delay in payments to grants recipients Incorrect amounts paid	<ul style="list-style-type: none"> Untrained staff Loss of key staff Inaccurate data Lack of planning Resource Capacity Failure of the payment system Forget to make payment 	<ul style="list-style-type: none"> Grant recipients distressed Community activities stopped or delayed due to financial shortfall Negative publicity 	<ul style="list-style-type: none"> Monthly monitoring of budgets against SLA's Trained staff Forward planning 	ICPTM					<div> <div> <div>Likelihood</div> <div>Impact</div> </div> <p>Increased due to the ceassation of the formal partnership and the new arrangements of the informal partnership</p> </div>
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SERVICE SPECIFIC – SERVICE DELIVERY (ENVIRONMENTAL SUSTAINABILITY)

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating																									
SE1	Failure of pumping stations	<ul style="list-style-type: none">Failure of Pumping Stations in Leisure Sports Facilities due to: Failure to outsource Contractor to deliver the service, Quality of Workmanship, Bad management of partnership working, poor performance from Contractor.Unforeseen Engineering problems, Non – Compliance with Health & Safety Legislation.Foul sewage flooding.Age of equipment	<ul style="list-style-type: none">Inconvenience and lack of use of leisure facilities by the general public.Potential loss of Income to WDC through non usage of facilities due to closure.Pollution incident – EA would be involved; may result in prosecution and illness of the public.Bad publicity and media relations.Civil claims	<ul style="list-style-type: none">Review inspection regime.Review level of supervision.Review management systems.Training and inspection techniques.Installed telemetry to all pumping stations provide Remote warning of pump failure.	ESM	<ul style="list-style-type: none">New contract to be awarded to provide 24/7 cover.			<div><div>Likelihood</div><div>Impact</div><div><table><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td><td></td><td></td></tr></table></div></div>																									

SERVICE SPECIFIC – SERVICE DELIVERY (ENVIRONMENTAL SUSTAINABILITY)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
SE2	Identified Flood Alleviation Schemes unable to be delivered or supported	<ul style="list-style-type: none"> Lack of support after Public consultation. Non Commitment by the Council due to no financial allocations. Executive Committee delays. Refusal of Planning Permission. Staff resource 	<ul style="list-style-type: none"> Possible flooding events. Potential redundant workforce. Fails to meet the Social, Economic and Environmental & Regeneration needs of the Community i.e. to mitigate flooding, reduce energy usage and enhance our town centres. 	<ul style="list-style-type: none"> Work Early with Members to gain Commitment. Joint Working with EA and WCC 	HHCP ESM				
SE3	Breakdown of affiliated AURN monitoring station (Hamilton Terrace)	<ul style="list-style-type: none"> Loss of connectivity. Failure to carry out routine servicing. Vandalism/ fire or theft 	<ul style="list-style-type: none"> Loss of data. Loss of DEFRA contract. 	<ul style="list-style-type: none"> Regular service schedule. Maintenance contract with specialist supplier. 	ESM				
SE4	Failure to maintain contaminated land database	<ul style="list-style-type: none"> Staff error Inaccurate identification of land Poor record maintenance 	<ul style="list-style-type: none"> Impact on human health and/or environmental damage. Financial liability. Reputation. Development of land without appropriate remediation. Incorrect information provided to land charges Failure to identify land in planning applications 	<ul style="list-style-type: none"> Keeping database up to date. Effective assessment of relevant planning applications. Staff training 	ESM				
SE5	Failure to improve air pollution (NO2) levels	<ul style="list-style-type: none"> NO2 levels continue to exceed EU standards Failure to deliver air quality action plans 	<ul style="list-style-type: none"> Potential EU infraction fines against the UK are likely to be passed on to local authorities 	<ul style="list-style-type: none"> Partnership working with WCC to reduce traffic congestion in town centres Ongoing local air quality monitoring 2015 Action Plan adopted 	ESM	<ul style="list-style-type: none"> Continuous working in partnership with WCC and PHE to deliver air quality action plan 			

Key:

CMT = Corporate Management Team

SMT = Senior Management Team

DMT = Departmental Management Team

HHCP = Head of Health and Community Protection

ESM = Environment Sustainability Manager

ICPTM = Interim Community Partnership Team manager
RM = Regulatory Manager
SCM = Safer Communities Manager
CCO = Civil Contingencies Officer

Summary of Health and Community Protection Risks – 2015/16

Generic to WDC		Carried over from previous half year	September 2015	October 2015	November 2015	December 2015	December Portfolio Holder Review	January 2016	February	March	March Portfolio Holder Review
GR1.	Staff Resources - Loss of key staff/skills, Appointment & Retention, ill health and other emergencies. HCP restructure, Staff Transitions Terms and Conditions review				Increased Risk	Further Increased risk					
GR2.	Health and Safety risks to staff - evening/ night time enforcement, Lone working, staff safety, Injuries and abuse.										
GR3.	Driving for work (council and personal vehicles) – Accidents.										
GR4.	Home & Mobile working – poor service delivery level and health and safety risks present.										
GR5.	Inadequate training provided to staff										
GR6.	Failure to identify legislative changes										
GI1.	Loss of IT and records Web-site Maintaining Computerised Systems and Records Integration of different software solutions										
GI2.	Loss of accommodation/ Non availability of Office Building										
GS1	Impact of climate change on service delivery		Increased risk								
GS2	Failure of other WDC/ partners/ stakeholders department to provide services as agreed / expected (neighbourhood/ property)										
GE1	Increased demand on services due to Emergency situation; Emergency stops basic Council Operations										
GE2	Widespread disaster beyond local capabilities to cope and reasonable attempts to plan										
GE3	Ineffective Emergency preparedness										
GD1	Provision of incorrect/ poor quality information/ advice										
GD2	Possibility of Fraud/ Corruption										
GD3	Possibility of Non-compliant procurement Ineffective procurement			Decreased Risk							
GD4	Failure to correctly monitor/ manage budgets Impact of the self service system upon budget control		Increased Risk		Increased Risk						
GD5	Compliance with legal duty. / Failure to deliver service within statutory timescales/ Failure to meet requirements of civil contingencies act.										
GD6	Not applying Equality and Diversity principles										
GD7	Changes to Economic climate										
GD8	Unable to meet levels of service expected				Increased risk						
GD9	Failure to make progress on corporate and departmental priorities				Increased risk						

Generic to WDC		Carried over from previous half year	September 2015	October 2015	November 2015	December 2015	December Portfolio Holder Review	January 2016	February	March	March Portfolio Holder Review
GD10	Inappropriate third party disclosure Non-compliance with Sharing of Information Protocol										
GD11	Failure to deliver projects to target e.g. complete design and construction projects on time										
SR1	Inappropriate issue of licence/ misuse by licensee Failure to properly determine licence	Increased Risk		Decreased risk							
SR2.	Incorrect conditions attached to licence	Increased Risk		Decreased risk							
SR3	Failure to set appropriate fees				Increased Risk						
SR4	Loss of Paper records										
SR5	Failure to carry out routine/ reactive work Failure to deal with those failing to comply with licence conditions										
SR6	Incorrect FHRS management										
SR7	Failure of Primary authority arrangements. Provision of poor or incorrect assured guidance										
SR8	Legal challenge to fee setting				NEW						
SS1	Non-compliance with Section 17 of the Crime & Disorder Act (1998)										
SS2	Provision of incorrect information to police or other agencies										
SS3	Reduced Funding for Community Safety Partnership Initiative										
SS4	Loss of power to CCTV & Control room										
SS5	Effectiveness of Dog Service										
SS6	Theft of council pest control vehicles										
SS7	Unsuitable use of poisons										
SC1	Informal Partnership working with WCC fails	Increased Risk									
SC2	Failure to or delay in payments to grants recipients Incorrect amounts paid	Increased risk									
SE1	Failure of pumping stations										
SE2	Identified Flood Alleviation Schemes unable to be delivered or supported										
SE3	Breakdown of affiliated AURN monitoring station (Hamilton Terrace)										
SE4	Failure to maintain contaminated land database										
SE5	Failure to improve air pollution (NO2) levels										

Methodology for assessing risk: Criteria for scoring residual risk rating

Probability of Occurrence

Estimation	Description	Indicators
5: High (Probable)	Likely to occur each year (e.g. considered as more than 50% chance of occurrence in any year).	<ul style="list-style-type: none"> Potential of it occurring several times within the specified period (for example - ten years). Has occurred recently.
4: Medium to High	Apply judgement	Apply judgement
3: Medium (Possible)	Likely to occur during a 10 year period (considered as between 5% and 25% chance of occurrence in any year).	<ul style="list-style-type: none"> Could occur more than once within the specified period (for example - ten years). Could be difficult to control due to some external influences. There's a history of occurrence
2: Low to Medium	Apply judgement	Apply judgement
1: Low (Remote)	Not likely to occur in a 10 year period (considered as less than 2% chance of occurrence in any year).	<ul style="list-style-type: none"> Has not occurred. Unlikely to occur.

Consequences

Estimation	Description
5: High	<ul style="list-style-type: none"> Financial impact on the organisation is likely to exceed £500K Significant impact on the organisation's strategy or operational activities Significant stakeholder concern
4: Medium to High	Apply judgement
3: Medium	<ul style="list-style-type: none"> Financial impact on the organisation likely to be between £100K and £250K Moderate impact on the organisation's strategy or operational activities Moderate stakeholder concern
2: Low to Medium	Apply judgement
1: Low	<ul style="list-style-type: none"> Financial impact on the organisation likely to be less than £10K Low impact on the organisation's strategy or operational activities Low stakeholder concern

Risk Management Framework: Engagement of Members

Endorsed by Executive 11th January 2012

Executive

- § The SBRR to continue to be reviewed on a quarterly basis by Executive (and so by extension Finance & Audit Scrutiny Committee).


Finance & Audit Scrutiny Committee

- § In conjunction with this, Finance & Audit Scrutiny Committee will also review each quarter a specific Service Area's Risk Register, focusing on the high risks.

This will necessitate the attendance of the relevant Service Area Manager to present their risk register and answer questions from members of Finance & Audit Scrutiny Committee on it. This approach will mean that over a two year period, the Committee will review all Service Risk Registers (SRR).

Portfolio Holders

- § Portfolio Holders to review their respective SRR quarterly with their service area managers.
- § Although not mandatory, Shadow Portfolio Holders are encouraged to review the SRR of their respective Portfolios with service area managers on a quarterly basis also.
- § Portfolio Holder Statements (PHS) are to include the top three risks facing their services.

 Finance & Audit Scrutiny Committee 12 January 2016		Agenda Item No. 7
Title	Comments from the Executive	
For further information about this report please contact	Amy Carnall Committee Services Officer 01926 456114 committee@warwickdc.gov.uk	
Service Area	Civic & Committee Services	
Wards of the District directly affected	n/a	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006	No	
Date and meeting when issue was last considered and relevant minute number	n/a	
Background Papers	Finance & Audit Scrutiny Committee minutes 1/12/2015 Executive minutes from 2/12/2015	

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	No
Included within the Forward Plan? (If yes include reference number)	No

Officer/Councillor Approval		
With regard to officer approval all reports <i>must</i> be approved by the report authors relevant director, Finance, Legal Services and the relevant Portfolio Holder(s).		
Officer Approval	Date	Name
Deputy Chief Executive		
Chief Executive		
CMT		
Section 151 Officer		
Legal		
Finance		
Portfolio Holders		

Consultation Undertaken	
n/a	
Final Decision?	Yes
Suggested next steps (if not final decision please set out below)	

1. Summary

- 1.1 This report summarises the Executive's response to comments given by the Finance & Audit Scrutiny Committee on reports submitted to the Executive on 2 December 2015.

2. Recommendation

- 2.1 That the responses made by the Executive be noted, as set out in Appendix 1 to the report.

3. Reasons for the Recommendation

- 3.1 This report is produced to create a dialogue between the Executive and the Finance & Audit Scrutiny Committee, ensuring that the Scrutiny Committee is formally made aware of the Executive's responses.

4. Alternative Options Considered

- 4.1 The Committee receives and notes the minutes of the Executive instead.

5. Budgetary Framework

- 5.1 There is no impact on the budgetary framework. This is for the Committee's information only.

6. Policy Framework

- 6.1 The work carried out by the Committee helps the Council to improve in line with its priority to manage services openly, efficiently and effectively.

7. Background

- 7.1 As part of the scrutiny process, the Committee no longer considers the whole of the Executive agenda.
- 7.2 Councillors are emailed at the time of the publication of the Executive and Scrutiny Committee agendas, asking them to contact Committee Services by 9.00 am on the day of the Scrutiny Committee, to advise which Executive items they wish the Scrutiny Committee to pass comment on and the reasons why.
- 7.3 As a result, at its meeting on 2 December 2015, the Finance & Audit Scrutiny Committee considered the items detailed in the appendices. The responses which the Executive gave are also shown.

Appendix 1

Responses from the meeting of the Executive held on 2 December 2015 to the Finance and Audit Scrutiny Committee's comments

Item no	3	Title	General Fund Budgets 2016/17
Scrutiny Comment	The Finance & Audit Scrutiny Committee supported the recommendations in the report including the revised wording of recommendation 2.1(c).		
Executive Response	There was no response from the Executive		

Item no	4	Title	Code of Corporate Governance
Scrutiny Comment	The Finance & Audit Scrutiny Committee supported the recommendations in the report.		
Executive Response	There was no response from the Executive		


Item no	5	Title	Digital Transformation of Council Services
Scrutiny Comment	<p>The Finance & Audit Scrutiny Committee supported the recommendations in the report.</p> <p>However, Members had concerns that there were no figures in the report explaining how many residents pay by cash / cheque and this was necessary for them to understand the needs of residents and visitors to the District. Members agreed that the ethos behind the move should be around 'encouraging' digital progression and not implying that the Council would not accept cash or cheques.</p>		
Executive Response	The Executive thanked the Committee from their comments and agreed that this was about encouraging digital progression and that all members (and other relevant parties) would be notified before a service either stopped taking cash/cheques or generic email account was closed.		

Item no	6	Title	Racing Club Warwick, St Mary's Lands, Warwick
Scrutiny Comment	<p>The Finance & Audit Scrutiny Committee supported the recommendations in the report.</p> <p>Members felt that the Executive should provide confirmation that this decision would not set a precedent to other sports clubs within the District but noted that the investment in this case is on Council owned land.</p> <p>The Committee also made comments on the Private & Confidential legal</p>		

	advice received, which the Chairman delivered at the meeting.
Executive Response	<p>Assurance was provided that this did not set a precedent because each matter should be considered on its individual merits.</p> <p>The Executive welcomed the comments on the Legal Advice and risks associated with this and assured the Committee that by taking the interim steps of placing a fence on our land to safeguard the site from the public was, for now, the best approach. Therefore an additional decision was taken to this effect.</p>

Item no	8	Title	Land off Albion Street, Kenilworth
Scrutiny Comment	The Finance & Audit Scrutiny Committee supported the recommendations in the report.		
Executive Response	There was no response from the Executive.		

Item no	9	Title	HR Resources Review
Scrutiny Comment	The Finance & Audit Scrutiny Committee supported the financial recommendations in the report, knowing that Employment Committee will discuss the establishment in more detail.		
Executive Response	There was no response from the Executive.		

 Finance & Audit Scrutiny Committee – 12 January 2016		Agenda Item No. 8
Title	Review of the Work Programme & Forward Plan	
For further information about this report please contact	Amy Carnall Committee Services Officer 01926 456114 committee@warwickdc.gov.uk	
Wards of the District directly affected	n/a	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	n/a	
Background Papers	n/a	

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	No
Included within the Forward Plan? (If yes include reference number)	n/a
Equality & Sustainability Impact Assessment Undertaken	n/a

Officer/Councillor Approval		
Officer Approval	Date	Name
Deputy Chief Executive		
Head of Service		
CMT		
Section 151 Officer		
Monitoring Officer		
Finance		
Portfolio Holder(s)		
Consultation & Community Engagement		
n/a		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below)		

1. Summary

- 1.1 This report informs the Committee of its work programme for 2016 (Appendix 1) and the current Forward Plan (Appendix 2).

2. Recommendation

- 2.1 Members consider the work programme and agree any changes as appropriate.
- 2.2 The Committee to; identify any Executive items on the Forward Plan which it wishes to have an input before the Executive makes its decision; and to nominate a Member to investigate that future decision and report back to the Committee.

3. Reasons for the Recommendation

- 3.1 The work programme should be updated at each meeting to accurately reflect the workload of the Committee.
- 3.2 If the Committee has an interest in a future decision to be made by the Executive it is within the Committee's remit to feed into the process.
- 3.3 The Forward Plan is the Executive's future work programme. If any non-Executive Member or Members highlight items which are to be taken by the Executive which they would like to be involved in, those Members can then provide useful background to the Committee when the report is submitted to the Executive and when the Committee passes comment on it.

4. Policy Framework

- 4.1 The work carried out by the Committee helps the Council to improve in line with its priority to manage services openly, efficiently and effectively.

5. Budgetary Framework

- 5.1 All work for the Committee has to be carried out within existing resources. Therefore, there is a limit to the time available that officers will have to assist Members, so the Committee may wish to prioritise areas of investigation.

6. Risks

- 6.1 This Committee contributes to the effective minimisation of risk by fulfilling its duties in a timely manner and scrutinising the work undertaken by the Executive.

7. Alternative Option(s) Considered

- 7.1 The only alternative option is not to undertake this aspect of the overview and scrutiny function.

8. Background

- 8.1 The five main roles of overview and scrutiny in local government are: holding to account; performance management; policy review; policy development; and external scrutiny.

- 8.2 The pre-decision scrutiny of Executive decisions falls within the role of 'holding to account'. To feed into the pre-decision scrutiny of Executive decisions, the Committee needs to examine the Council's Forward Plan and identify items which it would like to have an impact upon.
- 8.3 The Council's Forward Plan is published on a monthly basis and sets out the key decisions to be taken by the Council in the next twelve months. The Council only has a statutory duty to publish key decisions to be taken in the next four months. However, the Forward Plan was expanded to a twelve month period to give a clearer picture of how and when the Council will be making important decisions.
- 8.4 A key decision is a decision which has a significant impact or effect on two or more wards and/or a budgetary effect of £50,000 or more.
- 8.5 The Forward Plan also identifies non-key decisions to be made by the Council in the next twelve months, and the Committee, if it wishes, may also pre-scrutinise these decisions.
- 8.6 The Committee should be mindful that any work it wishes to undertake would need to be undertaken without the need to change the timescales as set out within the Forward Plan. The Committee may wish to give greater consideration to the reports in Section 2 of Appendix 1, to maximise the time available for Members to input into the process.

Finance and Audit Scrutiny Committee

WORK PROGRAMME 2016

12 JANUARY 2016

AUDIT ITEMS

1	2014/15 Annual Audit Letter and Grant Claims	Report	Mike Snow	External Audit Annual report
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SCRUTINY ITEMS

2	Health & Community Protection Risk Register	Report	Richard Barr	
3	Risk Management Feedback to Zurich	Q&A	Richard Barr	Feedback session from Members

9 FEBRUARY 2016

No scheduled audit items

SCRUTINY ITEMS

1	Chief Executives Contracts Register	Report	Chris Elliott	
2	Section 106 Agreements	Report	Tracy Darke	Agreed 1 December 2015 - continuous monitoring
3	Housing Business Plan Performance Management	Report	Abigail Hay	Biannual report

8 MARCH 2016

AUDIT ITEMS

1	Internal Audit Quarterly Report Quarter 3 2015/16	Report	Richard Barr	Quarterly report
2	Auditing Standards	Report	Mike Snow	Annual report
3	Annual Governance Statement Quarter 3 2015/16 Action Plan	Report	Richard Barr	Quarterly Report

Appendix 1

4	2015/16 Audit Opinion Plan	Report	Mike Snow / EA	Annual report
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Scrutiny items

1	Scrutiny of Infrastructure Delivery Plan	Report	Tracy Darke	Update report from 29/09/15 – agreed by F&A, minute number 67.
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5 APRIL 2016**AUDIT ITEMS**

1	Internal Audit Strategy & Plan 2016/17 – 2018/19	Report	Richard Barr	Annual report
2	Significant Business Risk Register	Report	Richard Barr	

SCRUTINY ITEMS

1	End of Term Report	Report	Amy Carnall / Chair	Annual report
2	Procurement Biannual Report	Report	John Roberts	Biannual report

Contracts Registers Reviews 2016/17

June 2016 - Health & Community Protection



FORWARD PLAN

Forward Plan January 2016 to April 2016

COUNCILLOR ANDREW MOBBS
LEADER OF THE EXECUTIVE

The Forward Plan is a list of all the Key Decisions which will be taken by the Executive or its Committees in the next four months. The Warwick District Council definition of a key decision is: - a decision which has a significant impact or effect on two or more wards and/or a budgetary effect of £50,000 or more.

Whilst the majority of the Executive's business at the meetings listed in this Forward Plan will be open to the public and media organisations to attend, there will inevitably be some business to be considered that contains, for example, confidential, commercially sensitive or personal information.

This is formal notice under the Local Authorities (Executive Arrangements)(Meetings and Access to Information)(England) Regulations 2012 that part of the Executive meeting listed in this Forward Plan will be held in private. This is because the agenda and reports for the meeting will contain exempt information under Part 1 of Schedule 12A to the Local Government Act 1972 (as amended) and that the public interest in withholding the information outweighs the public interest in disclosing it. Those items which are proposed to be considered in private are marked as such along with the reason for the exclusion in the list below.

If you would like to make representations or comments on any of the topics listed below, including the confidentiality of any document, you can write to the contact officer, as shown below, at Riverside House, Milverton Hill, Royal Leamington Spa, Warwickshire, CV32 5HZ. Alternatively you can phone the contact officer on (01926) 353362. If your comments are to be referred to in the report to the Executive or Committee they will need to be with the officer 7 working days before the publication of the agenda. You can, however, make comments or representations up to the date of the meeting, which will be reported orally at the meeting. The Forward Plan will be updated monthly and you should check to see the progress of the report you are interested in.

(754)

Section 1 – The Forward Plan December 2015 to March 2016

Topic and Reference	Purpose of report	If requested by Executive –date, decision & minute no.	Date of Executive, Committee or Council meeting	Publication Date of Agendas	Contact Officer & Portfolio Holder	External Consultees/ Consultation Method/ Background Papers
13 January 2016						
HRA Business Plan Review (Ref 736)	To set out the outcome of the annual review of the HRA Business Plan		Executive 13/1/16	5/1/2016	Andy Thompson Cllr Phillips	
Partnership Policy & Constitution Review (Ref 740)	To agree the Council's Partnership Policy and to consider revisions/ updates to various parts of the Constitution.		Executive 13/1/16	5/1/2016	Andrew Jones Councillor Mobbs	
Supporting People Grant Changes (Ref 674)	To provide an update on the outcome of the Supporting People Funding consultation and its effect on Warwick District (Moved Reason 2- Waiting for further information from a Government Agency)		Executive 11th February 2015 Executive 04/11/15 13/1/16	5/1/2016	Jacky Oughton Cllr Phillips	
HRA Budgets 2016-17 (Ref 700)	To consider the following year revenue budgets for the HRA		Executive – 02/12/15 13/1/2016	5/1/2016	Mike Snow Cllr Whiting	

HQ Relocation (Ref 742)	Part A and B reports regarding the future location of the Council's HQ.		Executive 13/1/16	5/1/2016	Duncan Elliott Cllr Mobbs	Executive papers – 30/09/2015
Future Delivery of Housing Aids and Adaptations Services – HEART (Ref 734)	To propose a revised approach to the delivery of aids and adaptations for residents of social and private housing.		Executive 30/09/15 02/12/15 13/1/16	5/1/2016	Andy Thompson Cllr Phillips	
Procurement of Corporate Energy Supplies (Ref 735)	To propose a cost effective approach to securing energy supplies for the Council		Executive 04/11/15 02/12/15 13/1/16	5/1/2016	Andy Thompson Cllr Phillips	
Private sector housing grants policy (Ref 658)	To propose a revised policy for the allocation of grant funding for private residents		Executive 11/3/2015 02/12/15 13/1/16	5/1/2016	Abigail Hay Cllr Phillips	TBC
Becoming a Dementia Friendly Council (Ref 714)	To consider a report from Health and Community Protection		Executive 03/09/15 02/12/15 13/1/16	5/1/2016	Rob Chapleo Cllr Mrs Grainger	
Waste container charging (Ref 731)	To consider whether to bring in a charge for wheeled bins, recycling boxes and bags. .. Postponed from 04/11 - Portfolio Holder has deferred the consideration of the report		Executive 04/11/2015 02/12/2015 13/1/16	5/1/2016	Becky Davies Cllr Shilton	

Multi-storey car park update (Ref 728)	To consider a report on the structural repairs and refurbishment requirements of our multi-storey car parks		Executive 02/12/15 13/1/16	5/1/2016	Gary Charlton Cllr Shilton	
Statement of Community Involvement (SCI) (Ref 733)	This report seeks adoption of the Statement of Community Involvement 2016 (SCI). The SCI formally sets out the policy and standards for engaging residents, local groups, stakeholders and statutory consultees in preparing development plans and how the council will consult on planning applications.		Executive 02/12/15 13/1/16	5/1/2016	Lorna Coldicott Cllr Cross	
Electric Vehicle Project (Ref 743)	To approve the finance for a match funded Government Project		Executive 13/1/16	5/1/2016	Su Smith Cllr Mrs Grainger	
Fees and Charges – Lifeline Services (Ref 746)	Proposed Introduction of Fees and Charges for Lifeline Services (previously Warwick Response)		Executive 13/1/16	5/1/2016	Jacky Oughton Cllr Phillips	
Fees and Charges – Off Street Car Parking (Ref 751)	To consider proposals for amendments to the Fees and Charges for Car Parks in Warwick District.		Executive 13/1/16	5/1/2016	Gary Charlton Cllr Shilton	
Called in Item – Executive Decision – Leisure Options Programme (Ref 688)	To consider a report and recommendations from the Overview & Scrutiny Committee regarding the called in Executive decisions.		Executive 13/1/16	5/1/2016	Rose Winship Cllr Gallagher	

Customer Contact Review (Ref 752)	To consider a report regarding the future of this role. This report will be private and confidential because it contains information about an individual.		Executive 13/1/16	5/1/2016	Tracy Dolphin Cllr Mobbs	
A review of Conservation Buildings Grant scheme' (Ref 753)	To consider a report that outlines the review of Conservation Buildings Grants Scheme		Executive 13/1/16	5/1/2016	Tracy Darke Cllr Cross	

27 January 2016

Local Plan (744)	To recommend to Council the Local Plan for Warwick District		Executive 27/1/16	19/1/2016	Dave Barber Cllr Cross	
Strategic Opportunity Proposal (Ref 712)	To update Members on the current position. It is anticipated that this report will be, in part, Confidential by virtue of the information relating to the financial or business affairs of any particular person (including the authority holding that information)		Executive 03/09/15 30/09/15 02/12/2015 Reason 4 27/1/2016	19/1/2016	Chris Elliott Cllrs Mobbs, Coker, Phillips, Whiting, Cross & Gallagher	The Local Plan proposals have been subject to a number of public consultations and planning applications involved have also been subject to public consultation. The proposal has been the subject of discussion privately and confidentially with a number of agencies but especially with the County Council. Submission version of Local Plan; Planning Application

						(W/14/1076); Planning Application (W/14/0967); Report to Executive in October 2014 re Council Housing Programme; Report to Executive in November 2014 re Sports and Leisure Review. Reports to Council and Executive January & March 2015 re: SOP
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10 February 2016

Whitnash Community Hub (Ref 741)	To receive information following the feasibility study of a Whitnash Community Hub		Executive 13/1/16 Reason 5 10/2/2016	1/2/2016	Andrew Jones Cllr Mrs Grainger	
HRA Rent Setting (Ref 749)	To agree rents and related charges for 2016-2017		Executive 10/2/2016	1/2/2016	Andy Thompson Cllr Phillips	

9 March 2016

The Rental Exchange (Ref 747)	To seek approval for the Council to pilot 'The Rental Exchange' in order to improve tenants financial capability		Executive 9/3/2016		John Gallagher Cllr Philips	
Guy Road Housing Development (Ref 750)	A project to develop new homes in Kenilworth		Executive 9/3/2016		Matt Jones Cllr Phillips	

Council Development Company (Ref 727)	To consider a report on establishing a Council Development Company		Executive 9/3/2016		Andy Thompson Cllr Phillips	
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6 April 2016

New Rent Arrears Policy (Ref 748)	To seek approval of new rent arrears policy for WDC Council Tenants		Executive 6/4/2016		Jacky Oughton Cllr Phillips	
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Section 2 Key decisions which are anticipated to be considered by the Council between May 2016 and August 2016

Topic and Reference	Purpose of report	If requested by Executive –date, decision & minute no.	Date of Executive, Committee or Council meeting	Publication Date of Agendas	Contact Officer & Portfolio Holder	External Consultees/ Consultation Method/ Background Papers
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May 2016

Nil						
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June 2016

Investment in Leisure Centres (745)	To consider final plans, costs and associated studies and planning applications relating to the proposed investment at St Nicholas Park and Newbold Comyn Leisure Centres	Nov 4 th 2015	End June		Rose Winship Cllr Mrs Gallagher	The report is the culmination of project to expand these 2 leisure centres. Consultation with users through the Planning process
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						and dialogue with clubs and national governing bodies of sport. Various reports from June 2014 onwards.
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TO BE CONFIRMED

Topic and Reference	Purpose of report	History of Committee Dates & Reason code for deferment	Contact Officer & Portfolio Holder	Expansion on Reasons for Deferment	External Consultees/ Consultation Method/ Background Papers	Request for attendance by Committee
Health Strategy (Ref 576)	To update members on the formulation of the Council's Health Strategy, following the return of Public Health to local authorities (Moved March 14 Reason 3)	Executive 12 March 2014	Rob Chapleo Cllr Mrs Grainger	The strategy will need to take into account the approach of the new administration and County Health & Wellbeing Strategy		
Asset Management Strategy (Ref 641)	To propose an Asset Management Strategy for all the Council's buildings and land holdings. (Moved Reason 6 Seeking further clarification on implications of report)	5 November 2014 Executive (03/09/15)	Bill Hunt Cllrs Coker & Mobbs			

Section 3 – Items which are anticipated to be considered by the Executive but are NOT key decisions

Topic and Reference	Purpose of report	If requested by Executive – date, decision & minute no.	Date of Executive, Committee or Council meeting	Publication Date of Agendas	Contact Officer & Portfolio Holder	External Consultees/ Consultation Method/ Background Papers
RUCIS	To consider an application made under the Rural Urban Initiative Grant Scheme		Executive 13/1/2016	5/1/2016	Jon Dawson Cllr Whiting	
Warwickshire County Council Minerals Plan	To note the submission made to Warwickshire County Council approved by the Chief Executive, following appropriate consultation, as an urgent item under delegated powers.		Executive 13/1/2016	5/1/2016	Dave Barber Cllr Cross	
Whitnash Neighbourhood Plan	To make the Neighbourhood Plan for Whitnash		Executive 13/1/2016	5/1/2016	Lorna Coldicott Cllr Cross	
Nomination for the appointment of Chairman & Vice Chairman of the Council for 2016/17			Executive 10/2/2016	1/2/2016	Graham Leach Cllr Mobbs	

Delayed reports:

If a report is late, officers will establish the reason(s) for the delay from the list below and these will be included within the plan above:

2. Portfolio Holder has deferred the consideration of the report
3. Waiting for further information from a Government Agency
4. Waiting for further information from another body
5. New information received requires revision to report
6. Seeking further clarification on implications of report.

Details of all the Council's committees, Councillors and agenda papers are available via our website www.warwickdc.gov.uk/committees

The forward plan is also available, on request, in large print on request, by telephoning (01926) 456114