

# Finance and Audit Scrutiny Committee

Wednesday 8 April 2015

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A meeting of the above Committee will be held at the Town Hall, Royal Leamington Spa on Wednesday 8 April 2015 at 6.00pm.

## Membership:

	Councillor Barrott (Chairman)
Councillor Mrs Bunker	Councillor Pratt
Councillor Dhillon	Councillor Rhead
Councillor Mrs Knight	Councillor Mrs Syson
Councillor Mrs Mellor	Councillor Williams
Councillor Pittarello	Vacancy (Independent Group)

## 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. Substitutes

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.

If Members are unsure about whether or not they have an interest, or about its nature, they are strongly advised to seek advice from officers prior to the meeting.

**\*3. Minutes**

To confirm the minutes of the meetings held on 10 February and 10 March 2015  
**(Item 3/Page 1)**

**Part B – Audit Items**

**\*4. Housing & Void Property Repairs Contract Outturns for 2012-13 & 2013-14**

To consider a report from Housing and Property Services **(Item 4/Page 1)**

**\*5. Review of Housing & Property Services Risk Register**

To consider a report from Finance & Housing and Property Services  
**(Item 5/Page 1)**

**\*6. Internal Audit Strategic Plan 2015/16 – 2017/18 and Internal Audit Charter**

To consider a report from Finance **(Item 6/Page 1)**

**Part C – Scrutiny Items**

**\*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. End of Term Report**

To consider a report from Civic & Committee Services **(Item 9/Page 1)**

**\*10. Executive Agenda (Non Confidential Items and Reports) – Thursday 9 April 2015**

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.

**\*11. 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.

**\*12. Executive Agenda (Confidential Items and Reports) – Thursday 9 April 2015**

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 (circulated separately).

**(\*Denotes those items upon which decisions will be made under delegated powers, as previously granted by Council)**

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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](mailto: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](http://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) 353362 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 353362.**

# Finance and Audit Scrutiny Committee

Minutes of the meeting held on Tuesday, 10 February 2015 at the Town Hall, Royal Leamington Spa at 6.00pm.

**Present:** Councillor Barrott (Chair): Councillors Mrs Bunker, Dagg, Dhillon, Mrs Knight, Mrs Mellor, Pittarello, Pratt, Rhead, Mrs Syson and Williams.

**Also Present:** Councillors Cross, Mrs Gallagher and Vincett (Portfolio Holders).

At the beginning of the meeting, the Chairman notified Members of the sad news that their friend and colleague, Councillor MacKay had passed away recently and asked for a moment's silence as a mark of respect.

## 106. **Substitutes**

Councillor Dagg substituted for the Independent Group vacancy.

## 107. **Declarations of Interest**

Executive Item 6 – Housing Revenue Account (HRA) Budget 2015/16 and Housing Rents

Councillor Barrott declared an interest because he rented a garage.

## 108. **Minutes**

The minutes of the meeting held on 13 January 2015 were taken as read and signed by the Chair as a correct record.

## 109. **Contract Register – Cultural Services**

The Committee received a report from Cultural Services detailing the current status of the Contract Register, appended to the report.

This provided Members the opportunity to consider the robustness of the register, make appropriate suggestions on how the register could be improved, and consider the document within the context of promoting sound procurement practice across the Council.

Under the Council's Code of Procurement Practice, details of all contracts for the supply of goods, services and supplies should be held on the Council's central Contract Register. The Code also stated the tender process to be used by officers when procuring goods and services.

The Head of Cultural Services introduced the report and advised Members that the department handled a wide range of types of contract and procurement. These ranged from the golf contract, managed by Senior Managers, to one off purchases of equipment. In addition, she explained

that some contracts were in the process of being procured, some were long standing contracts and others were at the early planning stages.

The Head of Cultural Services answered a number of queries from Members including clarification on the catering arrangements at the Royal Pump Rooms, digital screening equipment and Spa Centre monitoring meetings. In response to a query regarding the contract for pool chemicals, the Committee was advised that the Council had been using the same supplier of these specific chemicals for ten years because it was the sole supplier in the country.

Although it would be possible to change the dosing set up at the Council's swimming pools and potentially drive the price of the contract down, it was not felt that it was the right time to commence this project whilst the future upgrade of the Leisure Centres was in progress. Members were advised that individual orders would continue to be raised against the allocated budget, as per the advice from the Procurement Team.

Councillor Pratt queried the car park contract for the Bowls Championships. The Head of Cultural Services replied that the Procurement Team had advised her not to negotiate a contract for longer than the event term last year, as the successful management of the Championships would be scrutinised and potentially amended at their conclusion. She advised that there would be a report to Executive in due course detailing the tender process for the next four to five years.

Although Members were disappointed that more detail had not been included on future contracts they were satisfied that most of their questions had been clarified.

The Finance and Audit Scrutiny Committee therefore

**Resolved** that the report be noted.

**110. Executive Agenda (Non Confidential Items & Reports) –  
Wednesday 11 February 2015**

The Committee considered the following items which would be discussed at the meeting of the Executive on Wednesday 11 February 2015.

Agenda Item 4 – Treasury Management Strategy Plan

The Committee supported the recommendations in the report.

Agenda Item 6 – Housing Revenue Account (HRA) Budget 2015/16 and  
Housing Rents

The Committee supported the recommendations in the report.

(Councillor Vincett left the meeting at the end of this item.)

Agenda Item 7 – Heating, Lighting and Water Charges 2015/16 – Council  
Tenants

The Committee supported the recommendations in the report.

**111. 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 item, by reason of the likely disclosure of exempt information within paragraphs 7 of Schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006.

**112. Executive Agenda (Confidential Items & Reports) – Wednesday 11 February 2015**

The Committee considered the following item which would be discussed at the meeting of the Executive on Wednesday 11 February 2015.

Item 10 – Exemption to the Code of Procurement Practice – Extension of Aids & Adaptations Building Works Contract

The Committee supported the recommendations in the report.

Item 11 – Disposal of WDC owned land at Station Approach in Royal Leamington Spa

The Committee supported the recommendations in the report.

**113. Executive Agenda (Non Confidential Items & Reports) – Wednesday 11 February 2015**

The Committee considered the following items which would be discussed at the meeting of the Executive on Wednesday 11 February 2015.

Agenda Item 5 – Budget 2015/16 and Council Tax – General Fund Revenue and Capital

The Committee noted the additional recommendation 2.25 and the supporting letter from the LEP. The Committee were of the view that members should not support the request for £20k at the moment because the request had been provided at the last minute. It felt that it was unable to make a decision due to the late receipt of this recommendation and there was not enough information provided. It felt that the Leader could have updated the Committee on the work of the LEP and perhaps clarify this recommendation because he had given the Overview & Scrutiny Committee an update earlier in the evening.

The Committee therefore recommended that the Executive did not recommend recommendation 2.25 to Council until members received further information in order to make an informed decision.

(Councillor Cross left the meeting at the conclusion of this item.)

#### 114. **Scrutiny of Infrastructure Planning**

The Chairman introduced this item and referred Members to a recent email circulated by Councillor Weber requesting that the issue of Infrastructure Planning be added to the agenda.

The email highlighted concerns raised about evolving infrastructure planning and the need for this to be scrutinised effectively. It was noted that this was, in part, a role for County Councillors, however, it was frustrating for District Councillors to influence the work that the County and NHS were carrying out on the District Council's behalf.

Councillor Weber made particular reference to his experiences on Planning Committee where sustainable transport was a concern.

The Leader, Councillor Mobbs, reminded the Committee that the Local Plan was included on the Significant Business Risk Register and that Members were aware that the deficit needed to be carefully monitored.

Some Members felt that the issue should be easily managed by joint working with the County Council and suggested that a District Councillor should be appointed as a representative.

Members felt strongly that Infrastructure Planning was a high priority issue that should be reported to the Finance & Audit Scrutiny Committee on a quarterly basis. The Chairman therefore agreed to mention it to the Executive and it would be added to the Work Programme.

#### 115. **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 14 January 2015.

**Resolved** that the contents of the report be noted.

#### 116. **Review of the Work Programme & Forward Plan**

The Committee considered its work programme for 2014/15 and the latest published version of the Forward Plan.

**Resolved** that

- (1) the work programme for 2014/2015 be noted;  
and
- (2) scrutiny of Infrastructure Planning will be added to the Work Programme for June 2015.

(The meeting ended at 8.20 pm)

# Finance and Audit Scrutiny Committee

Minutes of the meeting held on Tuesday, 10 March 2015 at the Town Hall, Royal Leamington Spa at 6.00pm.

**Present:** Councillor Barrott (Chair): Councillors Mrs Bunker, Dhillon, Heath, Mrs Knight, Mrs Mellor, Pittarello, Rhead and Mrs Syson.

**Also Present:** Councillors Cross and Vincett (Portfolio Holders).

(Apologies for absence were received from Councillor Pratt and Councillor Williams)

## 117. **Substitutes**

Councillor Heath substituted for the Independent Group vacancy.

## 118. **Declarations of Interest**

There were no declarations of interest.

## 119. **External Audit Reports**

The Committee received a report from Finance that brought forward three items for consideration, which were appended to the report. These were; certification work for Warwick District Council for year end 31 March 2014; the audit risk assessment for Warwick District Council; and the audit plan for Warwick District Council year end 31 March 2015.

The letter dealing with the certification work for 2013/14 replaced the previous reports on claims and reports. As the numbers of claims had now reduced, it had been deemed no longer necessary for a formal report to be issued. However, the auditor's letter was being brought to the committee's attention. The two claims that were audited were Pooling of Housing Capital Receipts and Housing Benefits Claim.

The Housing and Benefit claim was qualified by the auditors. Whilst this was disappointing, as noted in previous years, it was the exception nationally for this claim to be unqualified.

The Audit Plan for the 2014/15 audit was presented. This included details of the approach to be followed in carrying out the audit, and also some of the key risks that would be considered.

In planning and performing the audit of the financial statements the auditors needed to understand how the Finance & Audit Scrutiny Committee, as "those charged with governance", supported by the Council's officers, met its responsibilities in the following areas; fraud; laws and regulations; going concern; related party transactions; and accounting for estimates.



The accompanying external auditor's report summarised the respective responsibilities of the Finance & Audit Scrutiny Committee, officers and external audit in each of these areas, as set out by International Standards on Auditing (UK and Ireland) (ISAs).

John Gregory, from Grant Thornton the Council's external auditor, attended the meeting and responded to questions from the Committee. He updated the Committee on the work being undertaken on the objections to the accounts. The decision on the first objection would be issued in a matter of days and the other two would follow hard on the heels of the first one. The final one was subject to additional care because the subject was a cause of much debate and legal action. Any decision would be reported to Members as soon as possible but it was subject to natural justice and therefore Mr Gregory could not speculate on the outcome.

**Resolved** that the report be noted.

**120. Internal Audit Quarter 3 2014/2015 Progress Report**

The Committee received a report from Finance that advised on progress in achieving the Internal Audit Plan 2014/15, summarised the audit work completed in the third quarter and provided assurance that action had been taken by managers in respect of the issues raised by Internal Audit.

**Resolved** that the report be noted.

**121. Executive Agenda (Non Confidential Items & Reports) – Wednesday 11 March 2015**

The Committee considered the following items which would be discussed at the meeting of the Executive on Wednesday 11 March 2015.

Agenda Item 13. Reinstatement of Land Kites Nest Lane, Beausale

The Committee agreed it was the Council's responsibility to act for the interests of local residents.

That said Members felt the need to recommend to the Executive that before this was considered the complete budget, outlining all associated costs, be provided to the Executive and Scrutiny Committee for due consideration.

Agenda Item 4. Procurement Strategy and Action Plan

The Committee supported the recommendations in the report. Members asked that in future revisions to the Code of Procurement Practice be cross referenced with the Code of Financial Practice. The Committee also asked that further consideration was given to page 6 paragraph 1.2 to ensure they remain controlled and within the appropriate controls and budgets.

#### Agenda Item 15. Proposed Exemption from the Code of Procurement Practice

The Committee expressed strong disappointment about this matter because there was a contract register in place for which a main purpose was to bring forward early warnings and resolve any issues. It was of the view that it was not acceptable to carry on this way because this was a major contract and especially because the contracts register identified that work had started on this contract. The Committee explained that this should have been recognised and mitigated against through the proper procurement and resources allocated or requested if they were short.

That said the Committee welcomed that the Procurement Team were looking at a new contract management system and that it was planned in the next financial year that this would provide the appropriate workflows and safeguards for contract management.

The Committee welcomed that benchmarking would be undertaken on this work before the extension agreement was signed to confirm that value for money was achieved.

With these views the Committee accepted the recommendations of the report because it felt there was no real alternative.

#### Agenda Item 12. Corporate Property Planned Preventative Maintenance Programme 2015/16

The Committee supported the recommendations in the report.

#### 122. **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 item, 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.

#### 123. **Executive Agenda (Confidential Items & Reports) – Wednesday 11 March 2015**

The Committee considered the following item which would be discussed at the meeting of the Executive on Wednesday 11 March 2015.

#### Agenda Item 20. Asset Management Redesign Update

The Committee supported the recommendations in the report.

124. **Executive Agenda (Non Confidential Items & Reports) – Wednesday 11 March 2015**

The Committee considered the following items which would be discussed at the meeting of the Executive on Wednesday 11 March 2015.

Agenda Item 7. HRA Business Plan Review for 2015/16 to 2061/62

The Committee supported the recommendations in the report.

Agenda Item 9. Regeneration in Lillington

The Committee supported the recommendations in the report.

125. **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 item, 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.

126. **Executive Agenda (Confidential Items & Reports) – Wednesday 11 March 2015**

The Committee considered the following items which would be discussed at the meeting of the Executive on Wednesday 11 March 2015.

Agenda Item 19. Regeneration in Lillington

The Committee supported the recommendation in the report so long as the Executive had clarification on the funding split, between parties, for the funding outlined in recommendation 2.2c.

Agenda Item 22. Strategic Opportunity Proposal

The Committee supported the recommendations in the report.

127. **Executive Agenda (Non Confidential Items & Reports) – Wednesday 11 March 2015**

The Committee considered the following items which would be discussed at the meeting of the Executive on Wednesday 11 March 2015.

Agenda Item 11. Warwick District Council / Waterloo Housing Group Joint Venture (W2) State Aid Review

The Committee supported the recommendations in the report.

Agenda Item 14. Combined Authorities

The Committee supported the recommendation 2.4 in the report.

Agenda Item 17(A) Historic Buildings Grants Allocations

The Committee supported the recommendation in the report.

Agenda Item 17(B) Rural / Urban Capital Improvement Scheme (rucis) Application

The Committee supported the recommendation in the report.

Agenda Item 3. Updated Code of Financial Practice

The Committee supported the recommendations in the report.

**128. 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 11 February 2015.


**Resolved** that the contents of the report be noted.

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

The Committee considered its work programme for 2014/15 and the latest published version of the Forward Plan.

**Resolved** that the work programme for 2014/2015 be noted.

(The meeting ended at 8.44 pm)

 <b>Finance &amp; Audit Scrutiny Committee</b> <b>8<sup>th</sup> April 2015</b>		<b>Agenda Item No.</b>  <div style="text-align: right; font-size: 2em;"><b>4</b></div>
<b>Title:</b>	<b>Housing &amp; Void Property Repairs Contract Outturns for 2012-13 &amp; 2013-14</b>	
<b>For further information about this report please contact</b>	Andy Thompson	
<b>Service Area</b>	Housing and Property Services	
<b>Wards of the District directly affected</b>	All	
<b>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</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	Housing Revenue Account (HRA) Business Plan Performance Management Report (Finance & Audit Scrutiny Committee January 13 <sup>th</sup> , 2015)	
<b>Background Papers</b>	None	

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
Head of Housing & Property Services	March 24 <sup>th</sup> 2015	Andy Thompson
Head of Finance	March 24 <sup>th</sup> , 2015	Mike Snow
Portfolio Holder for Housing and Property Services	March 23 <sup>rd</sup> , 2105	Councillor Norman Vincett
Consultation Undertaken		
None		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below)		

## 1 SUMMARY

- 1.1 The purpose of this report is to present to Finance and Audit Scrutiny Committee an update on the Housing Repairs and Maintenance financial outturns for 2012-13 and 2013-14.

## 2 RECOMMENDATION

That Finance and Audit Scrutiny Committee notes:

- 2.1 The Housing and Void Property Repairs Contract financial outturns for 2012-13 and 2013-14.
- 2.2 That a full review of the current repairs and maintenance arrangements will be undertaken in the first two quarters of 2015-2016 to determine the most cost effective way to deliver this service in the future.

## 3 REASONS FOR THE RECOMMENDATION – CURRENT PERFORMANCE

- 3.1 In January 13th 2015, the Finance and Audit Scrutiny Committee received the Housing Revenue Account (HRA) Business Plan Performance Management Report, setting out the current and predicted financial status of the Council's landlord service.
- 3.2 Members of the Committee asked for further information about the Housing and Void Property Repairs Contract with particular regard to the comparative financial outturns in 2012-2013 and 2013-2014. In 2012-2013, the Council operated a Schedule of Rates (SoR) based contract moving to Open Book Accounting (OBA) for 2013-2014.
- 3.3 The table below summarizes the outturns for the two years.

Order Type	2012/13			2013/14		
	Order Qty	SOR Cost	Average Cost	Order Qty	SOR Cost	Average Cost
Call Outs (OOH)	7	515	74	645	47,609	74
Dwelling Repairs	10,665	1,666,403	156	10,966	1,451,413	132
Garage Repairs	134	47,039	351	305	54,014	177
Voids	370	993,292	2,685	357	1,033,815	2,896
Garage Voids	172	11,986	70	186	21,277	114
	11,348	2,719,235	240	12,459	2,608,128	209

- 3.4 To allow for as true a comparison as possible, a number of variable items have been accounted for in computing the figures above. These include:
- Using the SoR rates for the works in both years to allow for a directly comparable cost assessment to be made
  - Exceptional repairs in each year have been removed (an example of an exceptional repair would be works to re-build a wall of a house following significant vehicular impact damage, works of an exceptionally high value that are not expected to be repeated in future years).

- A 2.6% uplift has been applied to the 2012/13 costs in line with published indices for the term, to ensure that inflation does not distort the comparison.
- 3.5 In 2012/13 under the SoR contract, 11,384 orders were completed for a total cost of £2,719,235 at an average cost of £240 per order.
  - 3.6 In 2013/14 under the OBA contract, 12,459 orders were completed (1,111 more than in 2012/13) at a total cost of £2,608,128 at an average cost of £209 per order. This represents a headline cost efficiency of £31 per order and £111,107 overall, a reduction of 4.1% for 2013-2014 over 2012-2013.
  - 3.7 There are a number of additional factors that need to be taken into account before drawing a final conclusion on whether or not OBA or SoR provides the best value Housing and Void Property Repairs for the Council.
  - 3.8 The nature of the responsive repairs contract is such that the quantity and characteristics of the work needed and completed in a financial year can vary significantly as such, irrespective of contract terms and cost model particulars. Comparisons based upon the headline financial outturn cannot be a completely like-for-like comparison and so are of limited in their ability to indicate overall value.
  - 3.9 The cost of external expertise to manage the audit and reconciliation of OBA has been circa £50,000. These costs were not incurred whilst operating the SoR contract.
  - 3.10 The nature of OBA contracting is that cost reductions are most easily secured in the early stages of the contract, when the two sides to the contract are identifying and refining their knowledge of the costs of undertaking works. Opportunities to realise similar savings in future years can be reduced as the opportunities to identify cost reductions through, for example encouraging the provider to source less. However, with data received on the first nine months of the 2014-2015 period, the Council does expect to be able to secure further savings on the Housing and Void Property Repairs Contract, for example through reductions in the Target Price per Repair.
  - 3.11 The experience of managing OBA has identified a number of cost risks to the Council, including the need to take greater control over the specifying and ordering of works. This is to be addressed in 2015-2016 by the introduction of pre- and post-inspection of the majority of repairs which will allow the Council to have greater control over the works ordered.

#### **4 ALTERNATIVE OPTIONS CONSIDERED**

- 4.1 During the first two quarters of 2015-2016, the Asset Management Team will be undertaking a full review of the most effective way to deliver Housing and Void Property Repairs. This is because the savings secured from OBA have been less than were assumed while the resources needed to successfully manage OBA are higher than for SoR.
- 4.2 OBA with the appropriate levels of expertise and resources in place does create potential opportunities to work with contractors to more readily understand and take advantage of possible cost reductions, for example reduced material, labour, overhead and vehicle costs. As part of the review, the Council will be

considering the extent to which it can realistically secure such efficiencies now and in the future through OBA.

- 4.3 While SoR does not offer this opportunity to share in such savings, it does help provide safeguards for the Council against increases in costs and offers certainty over price for the duration of the contract. SoR by providing for greater pricing certainty than OBA at the time of an order being placed allows more easily for ongoing management of actual costs, reducing the risks of budget variations.
- 4.4 The Housing and Void Property Repairs Review, which will be completed by October 2015, will therefore consider the overall value for money of the two approaches, taking into account:
- The ability of the Council to maintain control over its costs and works
  - An assessment of how most effectively to manage the opportunities and risks that may arise from future price changes in overheads, materials and labour
  - The impact on the capacity of the Asset Management Team to undertake other work, for example preparing and managing planned and preventative works
  - The ability to maintain the viability of the HRA Business Plan by better understanding future costs
  - The ability of the Council to share ongoing cost efficiencies and reduce its exposure to cost increases.
- 4.5 The current contract allows for either OBA or SoR to be used so there will be no need to re-procure the Housing and Void Property Repairs contract should a recommendation be made at the end of the review to move from OBA to SoR or to remain with OBA.


## **5 BUDGETARY FRAMEWORK**

- 5.1 The effective monitoring and control of expenditure and income is a fundamental part of the proper financial management for the Council, enshrined within the Code of Financial Practice and monthly Budget Review process
- 5.2 Because the savings assumed to be gained by OBA have been lower than planned, such savings were removed from the HRA Business Plan when it was reviewed for the 2015-2016, as reported to this Committee January 13<sup>th</sup> 2015. When the Business Plan is reviewed for 2016-2017, revised assumptions will be included taking account of the outcome of the Housing and Void Property Repairs Review.

## **6 POLICY FRAMEWORK**

- 6.1 The recommendations of this report are in keeping with the Council's approved HRA Business Plan.



 <b>Finance &amp; Audit Scrutiny Committee</b> <b>8<sup>th</sup> April 2015</b>		<b>Agenda Item No.</b> <div style="text-align: right; font-size: 2em;"><b>5</b></div>
<b>Title</b>		<b>Review of Housing &amp; Property Services Risk Register by Finance &amp; Audit Scrutiny Committee</b>
<b>For further information about this report please contact</b>		Andy Thompson Head of Housing & Property Services Tel: 01926 456403 email: <a href="mailto:andy.thompson@warwickdc.gov.uk">andy.thompson@warwickdc.gov.uk</a> or Richard Barr Audit & Risk Manager Tel: 01926 456815 email: <a href="mailto:richard.barr@warwickdc.gov.uk">richard.barr@warwickdc.gov.uk</a>
<b>Wards of the District directly affected</b>		Not applicable
<b>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?</b>		No
<b>Date and meeting when issue was last considered and relevant minute number</b>		16 <sup>th</sup> April 2013 – Finance & Audit Scrutiny Committee
<b>Background Papers</b>		WDC risk management policy & guidelines
<b>Contrary to the policy framework:</b>		No
<b>Contrary to the budgetary framework:</b>		No
<b>Key Decision?</b>		No
<b>Included within the Forward Plan? (If yes include reference number)</b>		No
<b>Equality &amp; Sustainability Impact Assessment Undertaken</b>		N/A: no direct service implications
<b>Officer/Councillor Approval</b>		
With regard to report approval all reports <i>must</i> be approved as follows		
<b>Title</b>	<b>Date</b>	<b>Name</b>
Chief Executive/Deputy Chief Executive	March 2015	Bill Hunt
Head of Service	Co-Author	Andy Thompson
CMT		
Section 151 Officer	March 2015	Mike Snow
Monitoring Officer	March 2015	Andrew Jones
Finance	March 2015	As per S151 Officer
Portfolio Holder(s)	March 2015	Norman Vincett
<b>Consultation &amp; Community Engagement</b>		
None other than consultation with members and officers listed above.		
<b>Final Decision?</b>		Yes
<b>Suggested next steps (if not final decision please set out below)</b>		

## **1 SUMMARY**

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

## **2 RECOMMENDATIONS**

- 2.1 That Finance & Audit Scrutiny Committee should review the Housing & Property Services Risk Register attached at Appendix 1 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 Housing & Property 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 1.

## **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 11<sup>th</sup> 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). Also, across the organisation, there are risk registers for specific projects such as the Clarendon Arcade.

## **10 HOUSING & PROPERTY SERVICES RISK REGISTER**

### **10.1 Introduction**

- 10.1.1 The latest version of the Housing & Property Services Risk Register is set out as Appendix 1 to this report.
- 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 Housing & Property Services Risk Management**

- 10.2.1 The Housing & Property Services Risk Register is a live document that is reviewed on a regular basis, and updated at any point in time should a new risk be identified, or a current risk change.
- 10.2.2 Risk Register reviews take place as part of the Portfolio Holder meetings, Service Area meetings, team meetings and one-to-ones.
- 10.2.3 Housing & Property Services has carried out consultation with all of the service managers in order to raise awareness of risk management, and to better understand the process that is followed.

### **10.3 Housing & Property Services Risks**

- 10.3.1 Housing & Property Services is responsible for:
  - Managing and maintaining the Council's homes and garages
  - Repairing and maintaining the Councils corporate property portfolio
  - Delivering the homelessness and housing advice service
  - Enabling and delivery of affordable housing
  - Improving and enforcing standards of housing in the private sector
  - The Warwick Response Lifeline service.
- 10.3.2 The Service Area has to continually adapt to meet both day-to-day service delivery requirements and longer term strategic issues, and is responsible for multi million pounds worth of expenditure and income.

### 10.3.3 The following major risks that have been identified at this point in time:

**Failure to meet contractual obligations** – Housing & property Services manages an extensive and complex range of contracts delivering works and services. These require careful planning, management and review to ensure that we are compliant with all obligations placed upon us and that they deliver to the expectations and requirements of the Council. A recent review of all contracts has been completed and actions identified in order to ensure that we are compliant. The most significant within Housing & Property Services are the repairs and maintenance contracts which deliver a range of repairs, maintenance and mechanical and electrical works to the Councils housing and corporate properties. These contracts will be reviewed during 2016 to ensure that they are delivering value for money.

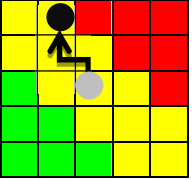
**Failure to comply with policy, statutory and normative standards by staff or WDC representatives** – The service has been through a period of significant change and instability over the past 18 months. The three tiers of the service redesign have now been completed and as a result there has been extensive change in staff personnel and working practices. The new structure is now bedding in and a three year Priority Action Plan (PAP) has been devised to provide structure, clarity and guidance to the department in delivering its strategic objectives, measuring performance and managing key tasks and projects. The service will also be conducting a thorough review of all policies and procedures to ensure that they are relevant, up to date and kept under regular review. These measures will assist in ensuring that all Officers are clear, informed and supported to deliver their roles in accordance with required requirements and expectations.

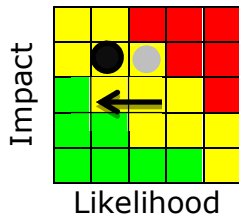
**Inability to meet Housing Strategy Objective Number 2 – to meet the need for housing across the district** – This is a wide ranging, complex issue which is addressed within the Housing Strategy. The Housing Strategy contains a detailed delivery plan setting out what actions can be taken in order to meet this objective. The actions are focussed on addressing the need for more homes and making the best use of existing stock. The current Housing Strategy covers the period 2014 to 2017 and this will be renewed and refreshed during 2016 with a new strategy being implemented in 2017 for a longer period of 5 years. This will allow better opportunity for a longer term strategic view to be taken and more impact to be delivered with the period.

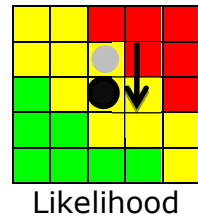
## 10.4 **Review of Risk Register by Members**

- 10.4.1 It is proposed that Members should review the risk register set out as Appendix 1, 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 Housing & Property Services on these aspects and assure themselves that their risk register is a robust document for managing the risks facing the service.

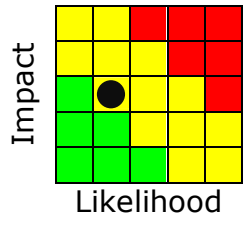
## Housing & Property Services Risk Register

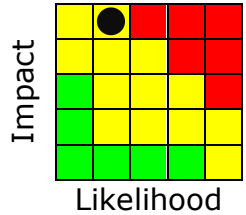
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
<b>Warwick District Council Generic Risks</b>								
1. Staff personal safety	Lone working	Death or ill health	Operate Staff Alert List	HPMT	1.1 All HPMT managers to carry out lone worker risk assessments for their lone workers	Staff Time	31 <sup>st</sup> July 2016	
	Potential violent customers	Increase in sickness absence	Partnership links with MAPPA, Police and Social Services Issue of mobile phones to staff working out of the office		1.2 Risk assessments of all new applicants to be carried out at the point of letting.	Staff Time	31 <sup>st</sup> July 2016	
	Hazardous premises	Loss of confidence	Bespoke assessment of safe working practices where required		1.3 All HPMT managers need to ensure that all lone workers are signed up and on the system.	Staff Time	31 <sup>st</sup> July 2016	
		Deterioration in staff morale	Joint Consultative Group (management and unions)		1.4 Carry out a full Departmental review, section by section, to understand risks	Staff Time	31 <sup>st</sup> July 2016	
		Increase in compensation claims from staff	Accident/incident reporting and investigation					
		Reputational damage	DSE assessments					
		Impact on service delivery	WDC Health & Safety Advisor has reviewed the operation of the Tunstall Lone Worker system on our recommendation & reliability has improved as a result					

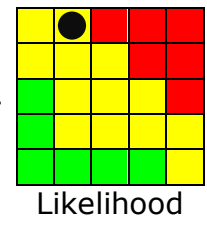
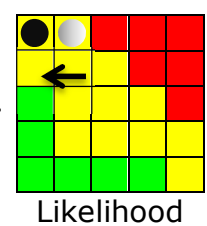
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
2. Failure to meet contractual obligations	<p>Lack of appropriate performance &amp; contract management</p> <p>Not complying with procurement requirements</p> <p>Not monitoring contract renewal dates</p>	<p>Accidents/damage caused by lack of or poor health and safety practice of contractors</p> <p>Failure to deliver statutory and contractual obligations</p> <p>Deterioration in service delivery</p> <p>Increase in number of complaints/compensation/negligence/liability/claims</p> <p>Poor service performance against Priority Action Plan (PAP) &amp; Service Area Plan (SAP) measures</p> <p>Deterioration in staff morale</p> <p>Not legally compliant</p> <p>Financial cost to Council</p>	<p>Effective procurement and contract management procedures in place including regular contractor meetings</p> <p>Materials and installations are specified to meet relevant standards</p> <p>Monitoring of workmanship by WDC Clerk of Works, Surveyors &amp; Property Maintenance Officers</p> <p>A thorough review of the contracts register was conducted to ensure compliance with Code of Financial Practice and Code of Procurement Practice</p> <p>An early warning system has been set up within the PAP to alert managers to contracts that require re-procuring in sufficient time for the method required</p>	HPMT	<p>2.1 Complete asset database</p> <p>2.2 Update stock condition information</p> <p>2.3 Review of Repairs and Maintenance contracts</p>	<p>Staff time</p> <p>Staff Time</p> <p>Staff Time</p>	<p>Sept 2015</p> <p>March 2016</p> <p>March 2016</p>	

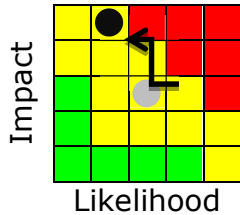
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
3. Failure to comply with policy, statutory, and normative standards by staff or by WDC representatives	Lack of adequate training or failure to comply with policies & procedures	Failure to deliver statutory and contractual obligations	Effective supervision and management controls in place including; one to ones, team meetings, appraisals, training, recruitment & selection, capability etc.	HPMT	3.1 Complete a review of all policies and procedures to ensure that they are up to date, relevant and compliant and put in place a programme for updating and reviewing on a regular basis	Staff time	March 2016	
	Lack of appropriate performance management  Low staff morale  Inadequate supervision and management procedures  Fraud & corruption by staff, contractors or tenants (e.g. tampering with electric supply/meter)	Deterioration in service delivery  Increase in number of complaints/compensation/negligence/liability/claims resulting in financial cost and/or reputational damage to Council  Poor service performance against PAP&SAP measures  Deterioration in staff morale  Not legally compliant  Breach of Data Protection Act	New performance management framework is being developed and implemented and brought into use in April 2015  Corporate audit programme in place and service specific management audits in place  ELearning system in place and Promotion of corporate policies, including; Anti-Fraud & Corruption Strategy, Bribery Act 201, Internal Audit guidance notes, Whistleblowing Policy, Money laundering Policy, Employee Code of Conduct  Compliance with Code of Financial Practice & Authorisation limits supported by system based controls  Separation of duties and declarations of interests  Effective budgetary control  Electronic devices have integrated security systems so that systems cannot be accessed if they are stolen		3.2 Commission department wide document management system and processes to include recommendations for managing documents and implementation support.	Staff time	March 2017	



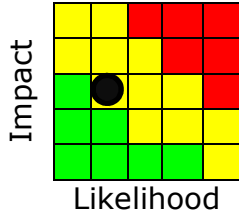
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
4. Significant loss of staff & systems	<p>Significant reduction in staff numbers for example due to; strike, sickness, pandemic etc.</p> <p>Staff unable to attend usual place of work for example due to; closure of building, petrol strike, severe weather etc.</p> <p>Staff unable to access electronic systems necessary to conduct their duties for example due to; Failure of WDC system or support, Power failure, System problems, including hacking/ cyber security threats &amp; cyber crime</p>	<p>Failure to meet statutory obligations</p> <p>Inability to provide services at normal levels</p> <p>Pressure on remaining staff leading to deterioration in staff morale</p> <p>Legal action</p> <p>Additional costs to employ temporary staff</p> <p>Reputational damage</p> <p>Death or ill health</p>	<p>The Service Area Crisis Plan has been updated to ensure sufficient plans are in place to maintain service in the event of significant loss of staff or systems</p> <p>Mobile (home) working practices in place</p> <p>Proactive assessment of upcoming events including reviewing Weather warnings sent by Community Protection and putting in place appropriate mitigations</p>	HPMT	<p>4.1 To investigate the opportunity for implementing further mobile working arrangements so that we have a more flexible workforce and working arrangements</p> <p>4.2 Teams to document procedures for all critical tasks</p>	<p>Staff Time</p> <p>Staff Time</p>	<p>March 2017</p> <p>March 2016</p>	

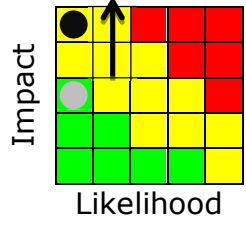
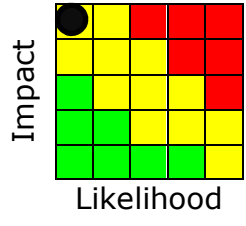
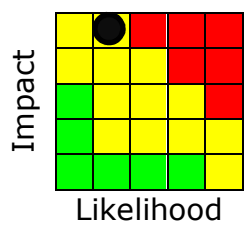
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
<b>Housing &amp; Property Services Specific Risks-Asset Management</b>								
5. Poor asbestos management practices –	Failure to survey, monitor or manage asbestos containing materials in accordance with CAR 2012	<p>Loss of confidence and reputational damage</p> <p>Improvement notices</p> <p>Prohibition notices</p> <p>Fines, compensation and imprisonment</p> <p>Exposure of staff, tenants and third parties to asbestos containing materials</p> <p>Ill health and/or death</p>	<p>Asbestos Management Plan reviewed and in place</p> <p>Asbestos survey and re-inspection programme</p> <p>Asbestos removal programme</p> <p>Asbestos register is maintained and is shared with staff &amp; contractors</p> <p>Survey recommendations are followed up and executed where reasonably practicable</p> <p>Staff and contractor asbestos awareness training</p> <p>Training log maintained</p> <p>Regular asbestos information articles in tenants newsletters</p> <p>Asbestos awareness is a standard agenda item on both contractor &amp; team meeting agendas</p> <p>Regular meetings held with asbestos contractors</p> <p>Regular asbestos management meetings held with key H &amp; PS staff</p> <p>Appropriate contracts in place for the survey, management and removal of asbestos</p> <p>Appropriate staff in place to manage council processes and contractor performance</p>	HPMT	<p>5.1 Asbestos awareness training to be provided for all relevant H &amp; PS staff</p> <p>5.2 Monitor training of staff and contractors to ensure it remains current</p> <p>5.3 Re-procurement of asbestos management and removal contracts to maintain services</p> <p>5.4 Review asbestos register software and re-procure new software if necessary</p> <p>5.5 Appoint asbestos contract administrator following team re-design</p>	<p>Staff time</p> <p>Staff time</p> <p>Staff time &amp; Budget</p> <p>Staff time &amp; Budget</p> <p>Staff time</p>	<p>On-going</p> <p>On-going</p> <p>01/06/15</p> <p>01/06/15</p> <p>31/05/15</p>	 <p>Impact</p> <p>Likelihood</p>

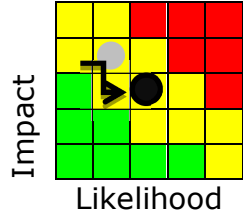
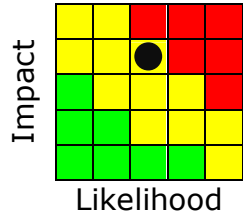
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
6. Inadequate gas appliance maintenance & certification	Failure to carry out repairs or annual servicing due to inability to gain access to properties or lack of knowledge about the existence of a gas supply	<p>Loss of confidence and reputational damage</p> <p>Improvement notices</p> <p>Prohibition notices</p> <p>Fines, compensation and imprisonment</p> <p>Ill health and/or death</p> <p>Damage to property</p>	<p>Gas servicing programme in place</p> <p>Monthly review of programme progress and performance</p> <p>Robust process for gaining access to properties enforceable by Law</p> <p>Installation of gas restrictors at known properties subject to boiler type</p> <p>Appropriate contracts in place for gas servicing</p> <p>Appropriate staff in place to manage council processes and contractor performance</p> <p>Certification stored in MIS database</p>	Gas Contract Administrator	<p>6.1 On-going monthly monitoring of gas servicing programme and progress</p> <p>6.2 Gas awareness training sessions to be provided for all appropriate staff (these can be provided as &amp; when needed i.e. for new starters)</p> <p>6.3 Review &amp; improve existing policy &amp; procedures in relation to gas</p>	<p>Staff time</p> <p>Staff time</p> <p>Staff time</p>	<p>On-going</p> <p>On-going</p> <p>31/3/16</p>	<p>Impact</p>  <p>Likelihood</p>
7. Inadequate electrical testing of Housing assets & operational Corporate assets in accordance with industry best practice & Council policy	<p>Failure to undertake electrical tests due to no access</p> <p>Poor management and lack of expertise</p> <p>Failure of existing systems due to lack of regular inspection or testing</p>	<p>Loss of confidence and reputational damage</p> <p>Improvement notices</p> <p>Prohibition notices</p> <p>Fines, compensation and imprisonment</p> <p>Ill health and/or death</p> <p>Damage to property</p>	<p>Electrical Safety testing programme in place.</p> <p>Monthly review of programme progress and performance</p> <p>Electronic copies of ECRs stored on asset database</p>	Electric Contract Administrator	<p>7.1 Ensure all "no access" properties have an ECR in place</p> <p>7.2 Review &amp; update existing policy &amp; procedures in respect of electrical testing</p>	<p>Staff time</p> <p>Staff time</p>	<p>30/6/15</p> <p>31/3/16</p>	<p>Impact</p>  <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
8. Service not compliant with Legionella procedure	Failure to maintain testing regime to all relevant properties	<p>Loss of confidence and reputational damage</p> <p>Improvement notices</p> <p>Prohibition notices</p> <p>Fines, compensation and imprisonment</p> <p>Ill health and/or death</p>	<p>Legionella Awareness Group</p> <p>Legionella Management Policy &amp; procedures</p> <p>Legionella testing programme in place</p> <p>Monthly review of programme progress and performance</p> <p>Training of premises managers of the actively managed sites in the weekly flushing of outlets &amp; monthly temperature testing</p> <p>All high risk WDC buildings have schematic drawings to show possible Legionella risk areas</p>	Mark Perkins	<p>8.1 Review &amp; update the Legionella Management Policy</p> <p>8.2 Ensure that all WDC buildings have schematic drawings to show possible Legionella risk areas</p> <p>8.3 Maintain training records for relevant H&amp;PS staff</p> <p>8.4 Ensure adequate records of statutory tests are maintained</p> <p>8.5 Develop legionella element of MIS database and transfer testing records to MIS.</p>	<p>Staff time</p> <p>Staff time</p> <p>Staff time</p> <p>Staff time</p> <p>Staff time/ICT</p>	<p>March 2016</p> <p>March 2016</p> <p>On-going</p> <p>On-going</p> <p>March 2016</p>	

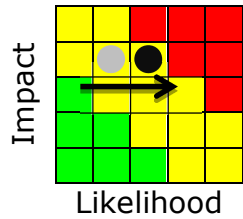
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
9. Risk of widespread fire in blocks of flats or corporate assets	<p>Fire in a communal area of a block of flats or individual flat which spreads to other parts of the building</p> <p>Damage by fire to a corporate property</p> <p>General acts or omissions by anyone</p> <p>Accidental or deliberate ignition of a fuel</p> <p>Electrical fault</p> <p>Gas explosion</p>	<p>Loss of confidence and reputational damage</p> <p>Improvement notices</p> <p>Prohibition notices</p> <p>Fines, compensation and imprisonment</p> <p>Ill health and/or death</p> <p>Damage to property</p>	<p>Compliant services testing programmes (gas, electric, biomass, fire detection and fire-fighting equipment)</p> <p>Fire risk assessment programmes</p> <p>Procedure for the inspection and removal of stored items from communal areas</p> <p>Tenants Newsletter articles advising of fire safety measures</p> <p>Procedure for leaseholder fire doors</p> <p>Compliance Register in place</p> <p>All repairs recommended in FRAs have been carried out</p>	HPMT	<p>9.1 Continue to operate services testing programmes</p> <p>9.2 Monitor and review Fire Risk Assessment programme</p> <p>9.3 Review content and format of Fire Risk Assessments with Corporate Compliance Group</p> <p>9.4 Automate FRA process in MIS including letters to tenants &amp; leaseholders</p>	<p>Staff time</p> <p>Staff time</p> <p>Staff time/Budget</p> <p>Staff time</p>	<p>June 2015</p> <p>December 2015</p> <p>March 2016</p> <p>December 2015</p>	<p>Impact</p> <p>Likelihood</p>

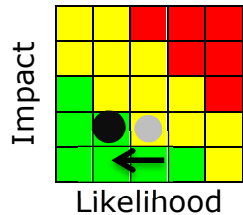
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
10. Housing and/or corporate building fabric falls into disrepair	Unapproved tenant alterations  Anti-social behaviour and vandalism  Lifestyle  Tenants choosing not to report repairs  Unlawful occupation  Poor quality work and/or materials  Repairs not undertaken on a timely basis  Lack of resources  Staff/management failure  Repairs incorrectly identified & allocated at point of report  Inadequate levels of inspections	Loss of confidence and reputational damage  Improvement notices  Prohibition notices  Fines, compensation and imprisonment  Ill health and/or death  Damage and deterioration to property  Weakening of legal position for lease covenants  Increased reactive repairs and reinstatement costs  Loss of income  Budget overspends	Maintenance and improvement works programmes the Council's operational Housing & Corporate Property portfolio  Accurate and properly maintained stock condition information  Cyclical survey programmes  Monthly inspections of operational corporate assets  Clear escalation process to be available for Building Managers and tenants  Performance management framework  Awareness articles in home news  Learning from complaints & complaints monitoring  Tenancy Agreement & Tenants Handbook  Adequate repair and maintenance covenants in corporate leases  Regular inspections & post inspections carried out by Housing & Property Services teams & by other teams outside the Service  Sitexing properties  Contract monitoring arrangements in place	Asset Manager	10.1 Develop robust asset management database  10.2 Complete 100% HRA stock condition survey  10.3 Maintain and develop corporate property stock condition information  10.4 Continue to monitor performance of maintenance and improvements works contracts	Staff time  Staff time  Staff time  Staff time	March 2016  March 2016  On-going  On-going	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
11. Failure to maintain Rural Footway Lighting	Anti-social behaviour i.e. tapping into street lighting electrical supply  Inefficient inspection regime	Death or ill health  Unstable and dangerous footway lighting  Increase in number of insurance claims & complaints  Reputational damage & loss of confidence  Fines and prosecution	Programme of EICR and periodical visual inspections in place  Responsive repairs service  Location of rural street lighting available on the GIS mapping system	Mark Perkins	11.1 Finalise programme to replace all remaining concrete lighting columns  11.2 Continue inspection programme	Staff time  Staff time	Complete  On-going	
12. Failure to maintain existing or replace missing street nameplates	Supplier failure & delay due to a shortage of manufacturers	Death or ill health due to emergency services being unable to or delayed in locating address  Failure to meet the Statutory Duty	Staff vigilance and communication	John Haughton	12.1 Continue to operate street nameplate replacement service	Staff time	On-going	
<b>Housing &amp; Property Services Specific Risks-Supporting People Services</b>								
13. Unable to respond to emergency calls from Lifeline users	IT system failure  Power Failure  Loss of Control Centre  Corporate recruitment and retention policies adversely affecting 24 hour services	Death or ill health  Reputational damage  Litigation	Business Continuity arrangements with Tunstall  Corporate SLA with ICT  Business resilience reviews in respect of lifeline as part of TSA accreditation (October 2012)	Jacky Oughton	13.1 Continuously review call performance against targets	Staff time	On-going	

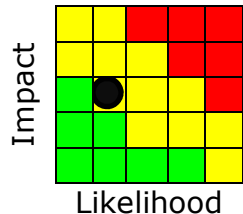
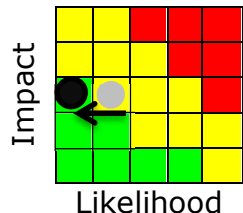
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
14. Using sheltered accommodation to temporarily house homeless people	Lack of alternative temporary accommodation	<p>Risk to tenants safety</p> <p>Customer dissatisfaction</p> <p>Failure to meet statutory duty to provide accommodation to homeless households</p>	<p>Sheltered Scheme staff inform Housing Strategy staff asap of any potential issues</p> <p>Interim policy in place which incorporates Risk Assessments &amp; the current tick list system</p> <p>Regular review of policies and procedures</p>	Abigail Hay/ Jacky Oughton				
<b>Housing &amp; Property Services Specific Risks-Rents &amp; Finance</b>								
15. Significant non-payment of rent leading to high rent arrears	<p>Ongoing welfare reform ( including Universal Credit)</p> <p>Ongoing economic uncertainty</p> <p>Supporting People Budget Cuts to floating support as a result of ongoing austerity measures.</p>	<p>Reduced rental income</p> <p>Increase in homelessness</p> <p>Reduced services</p> <p>Business plan revisions</p> <p>Negative publicity &amp; criticism from Members</p> <p>Reputational damage</p>	<p>Financial inclusion strategy</p> <p>Financial inclusion initiatives</p> <p>Additional staff Resources</p> <p>Vulnerable groups identified and offered support</p> <p>Staff training</p> <p>Increase tenant awareness</p> <p>Closer working with other departments – especially Health and Community Protection</p> <p>Ensure money advice services in the district are fit for purpose</p> <p>Work in partnership with other Registered Providers to deliver local and national financially inclusive initiatives</p> <p>Financial risk assessments for new tenants</p> <p>Increase tenant access to Direct Debit</p>	Jacky Oughton	<p>15.1 Raise opportunities of financial inclusion initiatives within other council departments</p> <p>15.2 work with partners to explore the benefits of collaborative working such as The Breathing Space</p> <p>15.3 Explore the potential of local and national affordable credit initiatives such as the Rental Exchange and Credit Unions</p> <p>15.4 Undertake analysis to identify future risks as a result of ongoing austerity measures on the “working poor”</p>	<p>Staff time</p> <p>Budget</p> <p>Staff time</p> <p>Staff time</p>	<p>ongoing</p> <p>ongoing</p> <p>December 2015</p> <p>December 2015</p>	



Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
<b>Housing &amp; Property Services Specific Risks-Housing Management</b>								
16. Inadequate management of accommodating dangerous customers in the community-subject to Multi Agency Public Protection Arrangement (MAPPA) level 2 & 3 or Prolific and Priority Offender (PPO)	<p>Lack of adequate policies and procedures</p> <p>Inexperienced staff or staff not knowing triggers &amp; procedures</p> <p>Lack of partnership working and information sharing</p> <p>WDC not being aware that a customer is subject to MAPPA level 2 or PPO level 3</p> <p>WDC Staff not regularly attending MAPPA &amp; PPO meetings</p>	<p>Risk of harm to members of the public and WDC employees</p> <p>Potential impact on community cohesion</p> <p>Negative press coverage</p> <p>Failure to safeguard vulnerable adults</p> <p>Reputational damage</p> <p>Litigation</p> <p>Ineffective partnership working</p>	<p>County-wide protocol for safeguarding vulnerable adults. (Currently working jointly with other Housing Districts, Boroughs and WCC )</p> <p>Involvement with other agencies to manage risk &amp; regular attendance at MAPPA &amp; PPO Meetings</p> <p>MAPPA &amp; PPO flags on Active H</p> <p>Staff Alert List database</p> <p>Training on safeguarding adults</p>	Andy Thompson	<p>16.1 To develop an internal procedure for accepting and allocating MAPPA and PPO customers, including a risk management plan template</p> <p>16.2 Develop an information sharing protocol for all interested parties</p>	<p>Staff Time</p> <p>Staff Time</p>	<p>September 2015</p> <p>September 2015</p>	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
17. Failure to understand and react to customer/client contributions	<p>Lack of staff support from the Service to facilitate involvement</p> <p>Not delivering the expectations of the Tenant Panel or the Leaseholders Action Group (LAG)</p> <p>Lack of interest by residents</p>	<p>Failure to meet tenant &amp; leaseholder expectations</p> <p>Failure to meet the HCA Regulatory Standard for Tenant Involvement &amp; Empowerment</p> <p>Tenant Panel or LAG could disband</p> <p>Negative press coverage</p> <p>Increase in corporate complaints</p> <p>Reduction in satisfaction levels</p> <p>Reputational damage</p>	<p>Tenant Panel and Leaseholders Action Group established</p> <p>The Priority Action Plan includes a performance management framework which is focussed on customer experience and includes a number of measures of customer satisfaction</p> <p>Trailing the publication of localised newsletters which are targeted to specific locations and/or customer base</p> <p>The Service Improvement Team is in place to support the service in developing its tenant contribution structures</p> <p>The new Housing Advisory Group will have 3 tenant representatives on which will enable tenants to have the opportunity to shape policy at an early stage</p> <p>Programme of Estates Walkabouts are in place which enable residents to directly improve the area in which they live in</p>	HPMT	17.1 A review of tenant's engagement opportunities to take place; including a programme of satisfaction surveys; a localised approach to engagement; more effective utilisation of internet and social media.	Staff Time	March 2016	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Housing & Property Services Specific Risks- Housing Strategy								
18. Inability to meet the Housing Strategy Objective number 2 – to meet the need for housing across the district	Worsening Housing Crisis and increase in homelessness	Not meeting the Housing Need	The Housing Strategy has an action plan to address the strategic objective which is included within the Priority Action Plan (PAP). The PAP is regularly monitored and updated by the management team and is published on the intranet.  Housing Revenue Account Business Plan directs all available resources towards building new affordable homes  The Council is exploring the potential to develop a Council Economic Development and Housing Company and other strategic opportunities to increase the delivery of affordable homes  Build partnerships with Housing Associations e.g. W2  Strategic market assessment  Affordable Housing Supplementary Planning Document in place to ensure developments deliver a suitable amount of affordable housing  Gypsy & Travellers Accommodation Assessments (GTAA) refreshed 2012/13  Local Plan process to be used to identify possible further G&T sites  Commuted Sums policy in place and regular monitoring of funds	Abigail Hay	18.1 Adoption of Local Plan	Staff Time	April 2016	<div><div>Impact</div><div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div><div></div><d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Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
19. Failure to meet statutory licensing scheme for homes in multiple occupation (HIMO)	<p>Inadequate staffing</p> <p>Inadequate systems</p> <p>Not being proactive in going out to assess properties</p>	<p>Failure to meet statutory requirements</p> <p>Reputational damage</p> <p>Legal challenge</p>	<p>Programme of inspections in place</p> <p>Regular performance reporting</p> <p>Maintain adequate staffing levels</p> <p>Continue to publicise &amp; highlight what we do in respect of HIMO's</p>	Abigail Hay	19.1 To review the HMO Licencing programme and consider options for smoothing out the profile of application due dates	Staff Time	March 2016	
<b>Housing &amp; Property Services - Business Plan Risks</b>								
20. Government changing the laws on Self-Financing	Unable to deliver agreed Business Plan commitments	Business Plan becomes unsustainable	<p>Keep abreast of policy developments and changes in Government.</p> <p>Any change in the law would affect all councils and in this case we would have collective bargaining power.</p>	Abigail Hay	20.1 Ensure that properties are maintained to sufficient standards to mitigate the risk of failing if the Government changes the rules on Self-Financing	Staff time	On-going	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
21. Unsustainable Business Plan	Significant variances in the assumptions that underpin the Business Plan	Reduction in Services  Reduction in the delivery of new homes	<p>Regular review of business plan performance which is reported to Finance and Audit Scrutiny Committee bi-annually</p> <p>Business Plan is updated annually and reported to Executive for approval</p> <p>All significant decisions are evaluated and impact on the business plan is considered</p> <p>Business Plan has its own risk register which is annually reviewed along with the Business Plan.</p>	HPMT	21.1 To update the stock condition information to ensure that the business plan is based on robust data and future liabilities are fully understood	Staff Time	March 2016	<p>The matrix is a 4x4 grid. The vertical axis is labeled 'Impact' and the horizontal axis is labeled 'Likelihood'. The grid is color-coded: Green for Low Impact/Likelihood, Yellow for Medium, and Red for High. A black dot is located in the second row from the bottom and the second column from the left, which is a yellow cell.</p>

## Methodology for assessing risk: Criteria for scoring residual risk rating

### Probability of Occurrence

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

### Consequences

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

**Risk Management Framework: Engagement of Members**  
**Endorsed by Executive 11<sup>th</sup> 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.

 <b>Finance &amp; Audit Scrutiny Committee</b> <b>8<sup>th</sup> April 2015</b>		<b>Agenda Item No.</b>  <div style="text-align: right; font-size: 2em;"><b>6</b></div>
<b>Title</b>	<b>Internal Audit Strategic Plan 2015/16 – 2017/18 and Internal Audit Charter</b>	
<b>For further information about this report please contact</b>	Richard Barr Tel: (01926) 456815 E Mail: richard.barr@warwickdc.gov.uk	
<b>Wards of the District directly affected</b>	Not applicable	
<b>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?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	Finance and Audit Scrutiny Committee – 15 April 2014	
<b>Background Papers</b>	Internal Audit risk assessment file; SMT minutes	
<b>Contrary to the policy framework:</b>	No	
<b>Contrary to the budgetary framework:</b>	No	
<b>Key Decision?</b>	No	
<b>Included within the Forward Plan? (If yes include reference number)</b>	No	
<b>Equality &amp; Sustainability Impact Assessment Undertaken</b>	N/A: no direct service implications	

Officer/Councillor Approval		
With regard to report approval all reports <u>must</u> be approved as follows		
Title	Date	Name
Chief Executive/Deputy Chief Executive	11 Mar 2015	Chris Elliott
Head of Service	Various dates	Mike Snow
CMT	11 Mar 2015	Corporate Management Team
SMT	11 Mar 2015	Heads of Service
Section 151 Officer	Various dates	Mike Snow
Monitoring Officer	11 Mar 2015	Andrew Jones
Finance	Various dates	As per S151 Officer
Portfolio Holder(s)	25 Mar 2015	Councillor Cross
Consultation & Community Engagement		
Consultation with managers and the Council's external auditors.		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below)		



## **1 SUMMARY**

- 1.1 The report presents, for Members' consideration and approval, the Internal Audit Strategic Plan 2015/16 – 2017/18 and the Internal Audit Charter for consideration and approval.

## **2 RECOMMENDATIONS**

- 2.1 That Members consider and approve the Internal Audit Strategic Plan 2015/16 – 2017/18 and the Internal Audit Charter.

## **3 REASON FOR THE RECOMMENDATIONS**

- 3.1 The Internal Audit Strategic Plan is an important element in providing the required independent and objective opinion to the organisation on its control environment, in fulfilment of statutory duties.
- 3.2 The compilation of the Internal Audit Charter is a requirement of the Public Sector Internal Audit Standards.

## **4 POLICY FRAMEWORK**

- 4.1 Although there are no direct policy implications, Internal Audit provides a view on all aspects of governance including the Council's policies.

## **5 BUDGETARY FRAMEWORK**

- 5.1 Although there are no direct budgetary implications arising from this report, Internal Audit provides a view on all aspects of 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.

## **6 RISKS**

- 6.1 Internal Audit provides a view on all aspects of governance, including corporate and service arrangements for managing risks.
- 6.2 It is difficult to provide a commentary on risks as the report is concerned with the provision of reviews by Internal Audit on other services. Having said that, there are clear risks to the Council in not dealing with issues raised within Internal Audit reports and there is an overarching risk associated with the Finance & Audit Scrutiny Committee not fulfilling its role properly e.g. not scrutinising this report robustly.

## **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 INTERNAL AUDIT STRATEGIC PLAN**

- 8.1 Internal Audit provides an independent opinion to the organisation on the control environment by evaluating its effectiveness in achieving the

organisation's objectives. It examines, evaluates and reports on the adequacy of the control environment as a contribution to the proper, economic, efficient and effective use of resources.

8.2 The Internal Audit Strategic Plan 2015/16 to 2017/18 comprising the planned reviews over this period is set out as the first Appendix to this report.

8.3 As for last year, the Audit Plan is organised as follows:

Risk-based coverage

Coverage for external audit reliance or to meet regulatory requirements

Other internal audit coverage

8.4 The audits set out in the first year of the Plan are carried out throughout the year with timings (start dates) agreed with managers on individual audits, usually at the beginning of the year.

8.5 The Internal Audit Charter for delivering this assurance is also included and is set out as Appendix 2.

## 9 **FORMULATION OF THE PLAN**

9.1 To produce the audit plan, the following has been taken into consideration:

The strategic objectives of the organisation and the specific risks associated with those objectives;

the content of risk registers and assurance frameworks to understand the risks faced, and the controls that the organisation places reliance on to manage those risks;

areas of concern or previous requests for coverage from management and the Finance & Audit Scrutiny Committee;

areas where the External Auditors will wish to place reliance on the testing performed by Internal Audit;

other sources of assurance available to the organisation;

any recent significant changes within the organisation and its operations;

regulatory requirements for internal audit coverage;

emerging issues, including any additional risks that do not appear on the risk profile but may merit internal audit coverage;

the timing for each internal audit review to maximise the benefit of assurance provided; and

the results of previous internal audit coverage.

9.2 In recent years we have strengthened our risk-based approach by placing greater reliance on the risk registers to identify priority areas. An exercise to link the audit plan to the risk registers also highlighted some new areas that required audit coverage. A good example of this was climate change where an audit of the Authority's preparations for responding to climate change was identified. We have continued that approach for this year.

- 9.3 An earlier draft of the Strategic Plan was issued to CMT and Service Area Managers for their views.
- 9.4 Views were sought on a number of aspects, including:
- √ The amounts of time allocated to the various proposed assignments.
  - √ Whether anything important has been missed.
  - √ Whether any planned assignments should be excluded (because, for example, the function is considered very low risk or because the function is no longer performed).
  - √ Whether any risk profiles had changed significantly in the last 12 months.
- 9.5 Service Area Managers were requested to share the draft Plan as widely as possible within their service areas and to feed back comments to Internal Audit so that a revised Plan could be presented to SMT. Responses were received from all service areas.
- 9.6 Due to the need to match the planned audits with the staffing resources that are available it is sometimes not possible to accommodate all requests or suggestions coming from service areas. Fortunately, this has not been the case this year, mainly due to the relatively small number of changes suggested or requested.
- 9.7 As part of this assessment, it should be noted that two audits planned for previous years but needing to be carried forward have again been brought forward to 2015/16 as priority audits for this year. These audits comprise:
- Equality and Diversity
  - Housing Stock Asset Management.

## **STRATEGIC AUDIT PLAN 1ST APRIL 2015 TO 31ST MARCH 2018**

### **RISK-BASED COVERAGE**

This section comprises the auditable areas mapped to the Council's key risks as represented in the Significant Business Risk Register

Assignment Name	Source	Risk Description	Assignment Objective	Year Last Audited	2015/16 (Days)	2016/17	2017/18
Corporate Governance	Significant Business Risk Register	Risk of corporate governance arrangements not maintained effectively. Risk of not complying with key legislation or legal requirements, including failure to protect data.	Evaluate and report on effectiveness of overarching structures, procedures and monitoring arrangements with reference to relevant standards.	2014/15		✓	✓
Performance Management	Significant Business Risk Register	Fit for the Future Change Programme not managed appropriately/effectively Risk of sustained service quality reduction Risk of major contractor going into administration.	Evaluate the effectiveness of corporate framework for managing performance in relation to the Council's priority objectives.	2010/11	10		
Emergency Planning	Significant Business Risk Register	Risk of a major incident not responded to effectively.	Evaluate the adequacy of arrangements in place to secure effective Council response to civil emergency incidents in accordance with its statutory duties.	2014/15			✓
Business Continuity Management	Significant Business Risk Register	Risk of a major incident not responded to effectively.	Evaluate the adequacy of systems to counteract interruptions to business activities, protect critical business processes from the effects of major failures of support systems/disasters and ensure their timely resumption.	2014/15			✓
Partnership Working	Significant Business Risk Register	Risk of partnerships not delivering stated objectives.	To evaluate the Council's framework for managing its partnerships to ensure effective governance aligned to the Council's legitimate interests, objectives and priorities.	2014/15			✓
Human Resources Management	Significant Business Risk Register	Risk of staff not developed effectively.	Evaluate the effectiveness of the HR function in ensuring that applicable organisational, legal and skills requirements are met through setting and implementation of appropriate strategies and policies.	2012/13		✓	
Information Governance	Significant Business Risk Register	Risk of not complying with key legislation or legal requirements, including failure to protect data.	Review of IT and Information governance arrangements in place to ensure ongoing compliance with legislation and regulations covering the storage and processing of data/information (including PSN, PCI DSS, FoI, DPA).	2011/12		✓	
ICT Strategies and Policies	Significant Business Risk Register	Risk of ineffective utilisation of information and communications technology.	Review of the IT and Information strategy following updates and realignment to corporate strategies where applicable.	2011/12	6		

## **STRATEGIC AUDIT PLAN 1ST APRIL 2015 TO 31ST MARCH 2018**

### **RISK-BASED COVERAGE**

This section comprises the auditable areas mapped to the Council's key risks as represented in the Significant Business Risk Register

Assignment Name	Source	Risk Description	Assignment Objective	Year Last Audited	2015/16 (Days)	2016/17	2017/18
Housing Investment/ Maintenance Programmes	Significant Business Risk Register	Risk of failing to provide, protect and maintain Council-owned property.	To ensure that capital monies available for Housing Improvement are appropriately allocated and that programmed maintenance works are sufficient to ensure that Council dwellings are kept in a good state of repair.	2010/11	14		
Housing Stock Asset Management	Significant Business Risk Register	Risk of failing to provide, protect and maintain Council-owned property.	Appraisal of systems for effective management of the portfolio including maintenance of proper records, asset utilisation, and progressing relevant provisions of Asset Management Plan (excludes rent accounting - covered as separate assignment).	None	10		
Corporate Property and Portfolio Management	Significant Business Risk Register	Risk of failing to provide, protect and maintain Council-owned property.	Appraisal of systems for effective management of the portfolio including maintenance of proper records, asset utilisation, income collection and progressing relevant provisions of Asset Management Plan.	2012/13		✓	
Climate Change	Significant Business Risk Register	Risk of climate change challenges not responded to effectively.	Evaluate the Council's arrangements to manage impacts of climate change.	2013/14		✓	
Medium Term Financial Strategy	Significant Business Risk Register	Risk of insufficient finance to enable the council to meet its objectives (including insufficient reduction in operational costs). Risk of additional financial liabilities. Risk of significantly reduced income	Assess processes for preparing and maintaining the Medium Term Financial Strategy to secure sufficient financial resource to meet the Council's priority objectives.	2013/14		✓	
Financial Planning and Budgetary Control	Significant Business Risk Register	Risk of insufficient finance to enable the council to meet its objectives (including insufficient reduction in operational costs). Risk of additional financial liabilities. Risk of not investigating potential income sources	Assess processes for financial planning (including alignment with MTFS) and budgetary control .	2013/14		✓	
Corporate Procurement	Significant Business Risk Register	Risk of improper procurement practices and legislative requirements not being complied with.	To ensure that there are suitable procedures and controls in place such that the council's procurement activity accords with best practice and complies with legislation.	2014/15			✓
Planning Policy	Significant Business Risk Register	Risk of Local Plan being unsound or delayed.	Report a level of assurance on the adequacy of structures and processes for developing and implementing the Local Plan and other plans/ policies for managing development in line with the Council's high level strategies and national policies.	2013/14		✓	
<b>TOTAL DAYS</b>					<b>40</b>		

## **STRATEGIC AUDIT PLAN 1ST APRIL 2015 TO 31ST MARCH 2018**

### **COVERAGE FOR EXTERNAL AUDIT RELIANCE OR TO MEET REGULATORY REQUIREMENTS**

This section comprises areas that traditionally required Internal Audit input to satisfy the provisions of the Joint Working Protocol with the external auditors and any other regulatory provisions.

Assignment Name	Risk Register Source	Assignment Objective	Year Last Audited	2015/16 (days)	2016/17	2017/18
Administration of Housing Benefit & Council Tax Reduction	Operational Risk Register	Appraise adequacy of systems for determination of entitlement to HB & CTR, award, payment, accounting and processing of statutory returns.	2014/15	10	✓	✓
Collection of Council Tax	Operational Risk Register	Appraise adequacy of systems for compiling and maintaining local valuation list, assessing liability, billing, collection, enforcement and granting of reliefs.	2014/15	5	✓	✓
Collection of National Non-Domestic Rates	Operational Risk Register	Appraise adequacy of systems for compiling and maintaining local valuation list, assessing liability, billing, collection, enforcement and granting of reliefs.	2014/15		✓	✓
Housing Rent Collection	Operational Risk Register	Appraise adequacy of systems for rent setting, collection and accounting of rents due, and control of arrears.	2013/14		✓	
Housing Repairs and Maintenance	Operational Risk Register	Appraise adequacy of systems for commissioning and paying for responsive repair work to domestic HRA properties.	2013/14		✓	
Main Accounting System	Operational Risk Register	Appraise adequacy of systems for ensuring complete and accurate accounting of all financial transactions and timely production of final accounts.	2013/14		✓	
Payment of Creditors	Operational Risk Register	Appraise adequacy of systems for ensuring only bona fide creditors and transactions properly accounted for (includes control of cheques used to pay creditors and rent allowances).	2011/12	12		
Payroll and Staff Expenses	Operational Risk Register	Appraise adequacy of systems for ensuring that only bona fide employees and Members are paid according to entitlement, and that all payments, deductions, etc. are properly discharged and accounted for.	2014/15	To be reviewed once outsourcing arrangements finalised.		
Sundry Debtors	Operational Risk Register	Appraise adequacy of systems for ensuring correct raising of invoices, proper accounting for invoices and cash received in payment thereof and effective recovery of arrears.	2012/13	12		
Treasury Management	Operational Risk Register	Appraise and report on the adequacy of controls in place to address the key risks in carrying out treasury management activities.	2014/15			✓
<b>TOTAL DAYS</b>				<b>39</b>		

## STRATEGIC AUDIT PLAN 1ST APRIL 2015 TO 31ST MARCH 2018

### OTHER INTERNAL AUDIT COVERAGE

This section groups the remaining auditable areas into three categories according to source of risk identification. The first group represents auditable areas mapped directly against entries in Service Risk Registers from which the risk indicators shown below have been drawn. **In recognition that the Registers referred to have now been superseded, the auditable areas will be reviewed against the up-to-date Registers from 2015/16.**

The second group comprises the areas identified from the IT Audit Needs Assessments commissioned by external contractors engaged under the multi-authority buying framework agreement for internal IT audit co-ordinated by Warwickshire County Council.

The third group represents areas with no direct links found to the Service Risk Registers but are considered from the audit needs assessment criteria as meriting input.

Assignment Name	Risk Register Source	Assignment Objective	No. of Risk Entries	Highest Risk Impact	Average Total Risk Score	Year Last Audited	2015/16 (Days)	2016/17	2017/18
Corporate Health and Safety	Operational Risk Register	Report a level of assurance on the adequacy of corporate systems in place to meet the Council's statutory obligations on health and safety as employer and provider of services and facilities to customers and the public.	12	5	12	2013/14		✓	
Electoral Registration	Operational Risk Register	Assess adequacy of controls to ensure the accuracy and completeness of the Electoral Register and supporting data, that the canvassing processes incorporate appropriate risk management and insurance provisions and canvassers are correctly paid.	22	5	11	2011/12	9		
Housing Related Support Services	Operational Risk Register	Appraisal of management systems for operating support services including sheltered/very sheltered schemes, Warwick Response and floating support services.	6	5	11	2012/13		✓	
Community Leisure Facilities	Operational Risk Register	Assess adequacy of control over on-site operational and financial activities	5	5	10	2014/15			✓
Golf Course	Operational Risk Register	Assess the adequacy of contract administration to ensure that the Golf Course is being operated in accordance with the prescribed policies, terms and conditions as applicable.	5	5	10	2011/12	10		
Outdoor Recreation Facilities	Operational Risk Register	To ensure that effective control is exercised over the charging and collection of fees various facilities offered, ensuring that the facilities remain adequately equipped and wellbeing of users and staff is safeguarded.	5	5	10	2012/13	8		
Health and Safety Enforcement in the District	Operational Risk Register	Appraisal of systems to ensure effective management of relevant policies, identification/ inspection of applicable premises, response to incidents, economic/efficient/effective deployment of resources and achievement of performance objectives.	3	5	10	2011/12	11		
Development Management	Operational Risk Register	Appraise adequacy of controls to ensure that the Development Management functions comply with governing legislation, policies, standards, etc. and are delivered economically, efficiently and effectively to met relevant priority objectives.	9	5	9	2014/15		✓	
Committee Services	Operational Risk Register	Report a level of assurance on the adequacy of systems of control operating to support the Council's democratic processes economically, efficiently and effectively.	7	5	9	2014/15			✓

### STRATEGIC AUDIT PLAN 1ST APRIL 2015 TO 31ST MARCH 2018

Assignment Name	Risk Register Source	Assignment Objective	No. of Risk Entries	Highest Risk Impact	Average Total Risk Score	Year Last Audited	2015/16 (Days)	2016/17	2017/18
Local Elections	Operational Risk Register	Appraise controls in place to ensure that election fees are correctly calculated and paid, other bodies correctly recharged, and procurement practices, training provision, risk management and insurance arrangements are appropriate.	45	5	8	2011/12	11		
Economic Development	Operational Risk Register	Appraise systems in place for managing economic development activity to ensure that resources are deployed economically, efficiently and effectively to achieve priority objectives and targets.	23	5	8	2014/15			✓
Refuse Collection and Recycling	Operational Risk Register	Appraisal of management systems to ensure compliance with statutory and regulatory requirements and economic/efficient/effective deployment of resources to achieve priority objectives, national targets, etc.	9	5	8	2014/15			✓
Bereavement Services	Operational Risk Register	Assess adequacy of controls in place to ensure economic, efficient and effective management of burial and cremation services and integrity of operational systems and statutory records.	7	5	8	2013/14		✓	
Royal Pump Rooms (including Art Gallery)	Operational Risk Register	Assess adequacy of control over on-site operational and financial activities.	7	5	8	2012/13	10		
Plant Maintenance	Operational Risk Register	Assess management systems to ensure proper, cost-effective repair and maintenance of major heating and ventilation plant.	2	5	7	2011/12	8		
Royal Spa Centre	Operational Risk Register	Assess adequacy of control over on-site operational and financial activities.	10	5	6	2014/15			✓
Private Sector Housing Grants	Operational Risk Register	Review of systems to ensure that all awards of grant are bona fide and within available budget, and that the conditions of award are met.	2	4	14	2012/13	10		
Private Sector Housing Regulation	Operational Risk Register	Report a level of assurance on the adequacy of systems in place to deliver private sector housing regulatory services economically, efficiently and effectively.	1	4	14	2013/14		✓	
VAT Accounting	Operational Risk Register	Report a level of assurance on the adequacy of controls in place to ensure that VAT is accounted for completely and correctly and that claims arising are processed promptly.	1	4	12	2013/14		✓	
Estate Management	Operational Risk Register	Review of the management of the function and an assessment of the efficiency and effectiveness of the service.	3	4	11	2012/13	8		
Flood Risk Management	Operational Risk Register	Assess adequacy of systems to ensure compliance with statutory requirements, economic/efficient/ effective deployment of resources and achieving performance objectives.	5	4	10	2014/15			✓
Car Parking	Operational Risk Register	Appraisal of management systems for developing and operating car parking facilities to ensure economic, efficient and effective deployment of resources to achieve the Council's priority objectives.	4	4	10	2011/12	10		
Affordable Housing Development Programme	Operational Risk Register	Appraisal of systems in place for implementation of Programme, monitoring adherence to relevant policies, management of funding, partnership working and performance review/reporting.	3	4	10	2012/13		✓	



**STRATEGIC AUDIT PLAN 1ST APRIL 2015 TO 31ST MARCH 2018**

Assignment Name	Risk Register Source	Assignment Objective	No. of Risk Entries	Highest Risk Impact	Average Total Risk Score	Year Last Audited	2015/16 (Days)	2016/17	2017/18
CCTV Services	Operational Risk Register	Evaluation of operational controls within the CCTV service to ensure effective continual serviceability and contribution to street scene objectives.	3	4	10	2012/13		✓	
Building Control	Operational Risk Register	Appraisal of systems to ensure compliance with statutory requirements and internal policies/regulations, due professional integrity, economic/efficient/effective use of resources, integrity of financial transactions and achievement of performance objectives.	14	4	9	2011/12	15		
Highways Functions	Operational Risk Register	Assess adequacy of systems to ensure compliance with statutory requirements, economic/efficient/ effective deployment of resources and achieving performance objectives.	13	4	9	2011/12	7		
Food Safety	Operational Risk Register	Appraisal of systems to ensure effective identification/inspection of applicable premises and response to incidents, economic/efficient/effective deployment of resources and achievement of performance objectives	6	4	8	2012/13		✓	
Licensing Services	Operational Risk Register	Evaluate management systems to ensure that the Council's licensing operations comply with statutory and regulatory requirements and that resources are deployed economically, efficiently and effectively to achieve relevant corporate objectives and targets.	6	4	8	2014/15			✓
Grounds Maintenance	Operational Risk Register	Appraisal of processes for determining grounds maintenance requirements, scheduling, setting standards and contract management.	3	4	8	2013/14		✓	
Insurances	Operational Risk Register	To review the purchase of Council's insurance cover to ensure that it is appropriate, compliant with legislation and competitive. To examine the basis for the allocation of costs and the contingency arrangements in place.	3	4	8	2012/13	10		
Local Land Charges	Operational Risk Register	Report a level of assurance on the adequacy of systems in place to ensure compliance with statutory requirements, completeness and accuracy of records and economic/efficient/effective service delivery.	3	4	8	2013/14	9		
Employee Absence Management	Operational Risk Register	Report a level of assurance on the adequacy of structures and processes to support effective absence management across the Council.	1	4	8	2012/13	10		
Energy Management	Operational Risk Register	Report a level of assurance on the structures and processes in place to ensure economic, efficient and effective procurement and consumption of all forms of energy resources and compliance with relevant legislation.	1	4	8	2012/13	12		
Media Services	Operational Risk Register	Review of Media Services business processes (planning, resourcing, operation, performance/financial monitoring and recharging).	1	4	8	2013/14		✓	
Shared Legal Services	Operational Risk Register	Report a level of assurance on the adequacy of controls to secure economic, efficient and effective delivery of legal services under the shared agreement with Warwickshire County Council.	15	4	7	2014/15		✓	

**STRATEGIC AUDIT PLAN 1ST APRIL 2015 TO 31ST MARCH 2018**

Assignment Name	Risk Register Source	Assignment Objective	No. of Risk Entries	Highest Risk Impact	Average Total Risk Score	Year Last Audited	2015/16 (Days)	2016/17	2017/18
Document Management Centre	Operational Risk Register	Evaluate adequacy of arrangements to secure economic, efficient and effective delivery of Document Management Centre functions, including proper adherence to core financial controls and safeguarding of information processed.	6	4	6	2013/14		✓	
Customer Access Facilities	Operational Risk Register	Evaluate management systems for operating and developing facilities for customer interaction with the Council to meet relevant availability, accessibility and take-up objectives.	14	4	5	2011/12	12		
Open Spaces	Operational Risk Register	Assess effectiveness of management processes in delivering relevant community, strategic and operational objectives in respect of open spaces.	6	4	5	2012/13		✓	
Homelessness and Housing Advice	Operational Risk Register	Appraisal of systems to ensure compliance with statutory/regulatory/policy requirements, achievement of relevant performance objectives and integrity of financial transactions.	2	3	12	2014/15			✓
Crime and Disorder	Operational Risk Register	Ensure compliance with legislation and that Crime and Disorder activity is properly managed i.e. there is a management structure in place, terms of reference, objectives and measuring and reporting of progress and performance.	4	3	9	2013/14		✓	
Lettings and Void Control	Operational Risk Register	Appraisal of systems to ensure statutory compliance, adherence to the approved allocation scheme and effective HRA stock turnaround.	4	3	9	2014/15			✓
Corporate Properties Repair and Maintenance	Operational Risk Register	Assess the adequacy of controls to maintain the Council's non-housing property assets in proper state of repair, including planning, procurement and work management processes.	2	3	7	2014/15		✓	
Environmental Protection Functions	Operational Risk Register	Report a level of assurance on the adequacy of systems in place to secure economic, efficient and effective discharge of the relevant functions in accordance with statutory requirements, national standards and corporate objectives.	2	3	6	2014/15			✓
Places and Projects	Operational Risk Register	Report a level of assurance on the adequacy of systems in place to secure economic, efficient and effective discharge of the relevant functions in accordance with statutory requirements, national standards and corporate objectives.	2	3	6	2014/15			✓
Catering Concessions	Operational Risk Register	Evaluate arrangements for managing catering concessions on Council Premises to ensure adherence to agreed conditions, proper collection and accounting for income due and approved terms of operation favourable to the Council subject to market constraints.	1	3	6	2013/14		✓	
Equality and Diversity	Operational Risk Register	Evaluate and report on the adequacy of systems for ensuring statutory compliance, adherence to policies and achieving key performance objectives.	1	3	6	2009/10	9		
Recruitment and Selection, Terms and Conditions	Operational Risk Register	Appraisal of systems to ensure compliance with statutory requirements and performance issues in setting/reviewing conditions of service, effective recruitment processes operated and appropriate action on termination of service.	2	2	6	2013/14		✓	

### STRATEGIC AUDIT PLAN 1ST APRIL 2015 TO 31ST MARCH 2018

Assignment Name	Risk Register Source	Assignment Objective	No. of Risk Entries	Highest Risk Impact	Average Total Risk Score	Year Last Audited	2015/16 (Days)	2016/17	2017/18
Leaseholder Service Charges	Operational Risk Register	Verify that arrangements for setting, levying and collection of leaseholder service charges are adequate to ensure compliance with legislation, inclusion of all chargeable persons and effective recovery of applicable service and management costs.	1	2	6	2013/14		✓	
Communications	Operational Risk Register	To report a level of assurance on the adequacy of the corporate framework for managing internal and external communications to ensure conformity with relevant standards and effectiveness in support of the Council's priority objectives.	3	2	5	2014/15		✓	
Corporate Training	Operational Risk Register	Appraisal of Council-wide processes for assessing and funding training needs and measuring the effectiveness of training to meet performance objectives and IIP requirements.	2	2	5	2014/15			✓
Castle Farm Recr. Centre & Abbey Flds. Swim. Pool	Operational Risk Register	Assess adequacy of control over on-site operational and financial activities	4	2	3	2011/12	12		
Newbold Comyn Leisure Centre	Operational Risk Register	Assess adequacy of control over on-site operational and financial activities.	4	2	3	2014/15			✓
St Nicholas Park Leisure Centre	Operational Risk Register	Assess adequacy of control over on-site operational and financial activities	4	2	3	2013/14		✓	
Street Cleansing	Operational Risk Register	Appraisal of planning and contract administration to ensure that street cleansing services are delivered to the requisite standards in an economic, efficient and effective manner.				2013/14		✓	
Section 106 Agreements	IT Audit Needs Assessment	Ensure that s106 agreements are being appropriately entered into; that other relevant sections are being consulted to ensure that their issues are being considered; and contributions are being received and are used in accordance with the agreement.				2014/15	8		✓
Business Applications - APP Civica	IT Audit Needs Assessment	Assess the adequacy of key IT controls in place for the APP Civica application to maintain the confidentiality, integrity and availability of data stored and processed within the system.				2010/11	10		
Business Applications - Civica OPENRevenues	IT Audit Needs Assessment	Assess the adequacy of key IT controls in place for the Civica OPENRevenues applications to maintain the confidentiality, integrity and availability of data stored and processed within the system.				2010/11	10		
Business Applications - IDOX Planning, Bldg. Control & Land Charges	IT Audit Needs Assessment	Assess the adequacy of key IT controls in place for the Plantech Acolaid application to maintain the confidentiality, integrity and availability of data stored and processed within the system.				2011/12		✓	
Business Applications - PARIS Income Management	IT Audit Needs Assessment	Provide a level of assurance over the key IT controls in place for the PARIS Income Management IT application to maintain the confidentiality, integrity and availability of data stored and processed within the system.				2012/13			✓
Business Applications - TOTAL Financial Management	IT Audit Needs Assessment	Assess the adequacy of key IT controls in place for the TOTAL Financials application to maintain the confidentiality, integrity and availability of data stored and processed within the system.				2011/12		✓	

### STRATEGIC AUDIT PLAN 1ST APRIL 2015 TO 31ST MARCH 2018

Assignment Name	Risk Register Source	Assignment Objective	No. of Risk Entries	Highest Risk Impact	Average Total Risk Score	Year Last Audited	2015/16 (Days)	2016/17	2017/18
Business Applications - MIS Housing and Corporate Property	IT Audit Needs Assessment	Assess the adequacy of key IT controls in place for the MIS ActiveH housing management application to maintain the confidentiality, integrity and availability of data stored and processed within the system.				2012/13			✓
Data Protection	IT Audit Needs Assessment	Report a level of assurance on the effectiveness of the corporate management framework in ensuring good practice in processing personal data and avoidance of unlawful disclosures and other security breaches.				2014/15	5		
Data Security	IT Audit Needs Assessment	Assess processes and procedures for securing data, considering in particular management of data protection risks from loss/theft of equipment.				None	10		
ICT Backup Strategy, Processes and Procedures	IT Audit Needs Assessment	To report a level of assurance on the controls in place to ensure that Council owned computer data is backed up and can be recovered in a secure and timely manner.				2012/13			
ICT Business Continuity / Disaster Recovery	IT Audit Needs Assessment	The review will consider the Council's business continuity plans in place and the supporting ITDR arrangements to ensure they are properly co-ordinated and fit for purpose. The review will include the arrangement with the business continuity provider.				2011/12		✓	
ICT Change Management and Testing	IT Audit Needs Assessment	To report a level of assurance on the key controls in place for managing changes to ICT systems owned by the Council.				2010/11		✓	
ICT Risk Management	IT Audit Needs Assessment	High level review of risk management framework informing the control environment around ICT service provision and dealing with changing threats.				2014/15			✓
Infrastructure Security and Resilience	IT Audit Needs Assessment	To report a level of assurance on the robustness of network infrastructure controls in place to ensure that systems and data are adequately protected and retrievable.				2014/15			✓
Patching and Firmware Updates	IT Audit Needs Assessment	Assess whether an adequate patch management policy is in place and is applied consistently.				None		✓	
Payment Card Industry - Data Security Standards	IT Audit Needs Assessment	Assess approach to ensuring compliance with PCI-DSS.				2014/15			✓
Public Services Network	IT Audit Needs Assessment	Review to monitor progress and identify risks to achievement of target compliance date.				None	4		

### STRATEGIC AUDIT PLAN 1ST APRIL 2015 TO 31ST MARCH 2018

Assignment Name	Risk Register Source	Assignment Objective	No. of Risk Entries	Highest Risk Impact	Average Total Risk Score	Year Last Audited	2015/16 (Days)	2016/17	2017/18
Software Licensing	IT Audit Needs Assessment	Report a level of assurance on the effectiveness of processes to ensure compliance with licensing conditions for software installed on all Council devices in a manner that delivers value for money.				2014/15			✓
Banking Arrangements	Internal Audit Needs Assessment	Assess arrangements to secure economy, efficiency and effectiveness of the banking services to the Council, prompt and correct posting of transactions and secure and reliable on-line transacting.				2014/15			✓
Building Cleaning Services	Internal Audit Needs Assessment	Report a level of assurance on the adequacy of structures and processes for sourcing cleaning services the Council's buildings to secure economic, efficient and effective delivery.				2013/14	11		
Council House Sales	Internal Audit Needs Assessment	Appraisal of arrangements to ensure compliance with legislation, efficient and effective processing of applications and adherence to conditions.				2006/7		✓	
Events Management	Internal Audit Needs Assessment	Report a level of assurance on the adequacy of arrangements to regulate approved markets and deliver events (including the Warwick MOP) economically, efficiently and effectively.				2013/14		✓	
Conservation and Design	Internal Audit Needs Assessment	Report a level of assurance on the adequacy of controls in place to ensure that grants schemes are properly administered within approved funding levels and that consultative and promotional functions are delivered economically, efficiently and effectively.				2013/14			✓
Funding of Voluntary Organisations	Internal Audit Needs Assessment	To ensure that grants to voluntary organisations are awarded in line with agreed policies.				2011/12	10		
Incentive Schemes	Internal Audit Needs Assessment	Appraisal of procedures to assess eligibility and ensure all payments are bona fide and correct				2012/13		✓	
Sports Development	Internal Audit Needs Assessment	Assess effectiveness of deployment and management of resources in developing sporting activity including the Youth Sports Development service and contribution from the Sports Council.				2011/12	8		
Town Hall Lettings	Internal Audit Needs Assessment	Review of systems to ensure statutory and approved policy compliance, prompt collection and proper accounting of income due and safeguarding of facilities against loss/damage.				2013/14		✓	
						<b>TOTAL DAYS</b>		<b>267</b>	

## STRATEGIC AUDIT PLAN 1ST APRIL 2015 TO 31ST MARCH 2018

### OTHER FUNCTIONS AND RESOURCE BALANCING

Category	Function	Days (2015/16)
Ongoing Advisory Input and Non-Audit Duties	Anti-Fraud and Corruption Framework	10
	National Fraud Initiative	15
	Sundry Advice & Consultancy	25
Contingency Audit Work	(Miscellaneous assignments)	28
Contingency Non-Audit Work	(Miscellaneous assignments)	10
<b>TOTAL OTHER FUNCTIONS</b>		<b>88</b>
TOTAL RISK BASED COVERAGE		40
TOTAL COVERAGE FOR EXTERNAL REQUIREMENTS		39
TOTAL OTHER AUDIT COVERAGE		267
<b>TOTAL AUDIT DAYS REQUIRED</b>		<b>434</b>
TOTAL INTERNAL AUDIT DAYS AVAILABLE *		354
ESTIMATED DAYS CONTRACTED OUT (IT AUDIT)		80
<b>Total Estimated Resources Available</b>		<b>434</b>
<b>SURPLUS / SHORTFALL (-)</b>		<b>0</b>

**\* Total Internal Audit Days Available**

Total Days for 2.2 FTE	578
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Less:

Absence (Annual Leave, Statutory Holidays, Sickness, etc)	111
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Management, Administration & Training	113
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Target productive time (days)	354
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Target productive time as % of available time	73%
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### **Internal Audit Charter**

#### **Introduction**

The Public Sector Internal Audit Standards require the Council to have an Internal Audit Charter that must be approved by Senior Management and the Audit Committee (or its equivalent). The Charter defines the purpose, authority and responsibility of Internal Audit. It also sets out the nature of the Chief Audit Executive's<sup>1</sup> functional relationship with the board<sup>2</sup> as well as the rights of access to records, personnel and physical properties relevant to internal audit engagements.

#### **Purpose of Internal Audit**

The Chartered Institute of Internal Auditors defines internal audit as follows:

"Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes."

#### **Statutory Basis of Internal Audit**

Within local government there is a statutory requirement for an internal audit function. The 2003 Accounts and Audit Regulations (as amended by the 2006, 2009 and 2011 Regulations) require that a local authority "must undertake an adequate and effective internal audit of its accounting records and of its system of internal control in accordance with the proper practices in relation to internal control".

In addition, the Council's Chief Finance Officer (the Head of Finance) has a statutory duty under Section 151 of the Local Government Act 1972 to "make arrangements for the proper administration of the authority's financial affairs". This assumes, amongst other duties, provision of an effective internal audit function. The S151 Officer relies, amongst other sources, upon the work of internal audit in reviewing the operation of systems of internal control and financial management.

#### **Role**

Internal Audit's responsibilities are defined by the Finance and Audit Scrutiny Committee, via this Charter, as part of their oversight role. Internal audit activity is approved and overseen by the Finance and Audit Scrutiny Committee.

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<sup>1</sup> This is the generic title used in the Public Sector Internal Audit Standards to describe the head of internal audit at an organisation. At WDC this officer is the Audit and Risk Manager.

<sup>2</sup> In the Council's case this is held to be the Finance and Audit Scrutiny Committee

Internal Audit may undertake consultancy activity (additional work requested by management) where it has the necessary skills and resources to do this, and this will be determined by the Audit and Risk Manager on a case-by-case basis.

### **Professionalism**

Internal Audit complies with the Public Sector Internal Audit Standards. This mandatory guidance constitutes principles of the fundamental requirements for the professional practice of internal auditing and for evaluating the effectiveness of Internal Audit's performance.

In addition, Internal Audit will adhere to the Council's relevant policies and procedures as well as its own operating procedures set out in its Internal Audit Manual.

### **Authority**

Internal Audit, with strict accountability for confidentiality and safeguarding records and information, has full and unrestricted access to all of the organisation's records, physical properties, and personnel pertinent to carrying out any engagement. All employees are required to assist Internal Audit in fulfilling its roles and responsibilities.

Internal Audit also has free and unrestricted access to the Finance and Audit Scrutiny Committee and senior management.

### **Organisation**

Internal Audit has direct access to senior management, the Finance and Audit Scrutiny Committee, the Chief Executive and the Leader of the Council. The Section 151 Officer and the Finance and Audit Scrutiny Committee will jointly agree the level of internal audit resource to be deployed at the Council. The Audit and Risk Manager will communicate and interact directly with the senior management and the Finance and Audit Scrutiny Committee.

For line management purposes, the Audit and Risk Manager will report to the post of Head of Finance at Warwick District Council. The Chief Executive will approve all decisions regarding the performance evaluation of the Audit and Risk Manager as part of the Council's Performance Management Framework.

For the purposes of the internal auditing function, the following groups are defined:

#### *Finance and Audit Scrutiny Committee*

The Finance and Audit Scrutiny Committee is responsible for overseeing the effectiveness of the internal audit function, and holding the Audit and Risk Manager to account for delivery, through the receipt of regular reports and updates. The Finance and Audit Scrutiny Committee is responsible for the effectiveness of the governance, risk and control environment within the Council, holding managers to account for delivery.



### *Senior Management*

Senior management is responsible for helping to shape the programme of assurance work through analysis and review of key risks. Senior management is responsible for responding to reports issued by Internal Audit and for implementing recommendations within agreed timescales.

### **Independence and Objectivity**

Internal Audit will remain free from interference by any element in the organisation, including matters of audit selection, scope, procedures, frequency, timing, or report content to permit maintenance of a necessary independent and objective mental attitude.

Internal auditors will have no direct operational responsibility or authority over any of the activities audited. Accordingly, they will not implement internal controls, develop procedures, install systems, prepare records, or engage in any other activity that may impair their judgement.

The Audit and Risk Manager will confirm to the Finance and Audit Scrutiny Committee, at least annually, the organisational independence of Internal Audit.

### **Conflicts of Interest**

Internal auditors must exhibit the highest level of professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined. Internal auditors must make a balanced assessment of all the relevant circumstances and not be unduly influenced by their own interests or by others when forming judgements.

In addition to the ethical requirements of the various professional bodies, each auditor is required to declare proactively any potential 'conflict of interest' prior to the commencement of each audit assignment.

All auditors are required to sign an annual declaration of interest to ensure that the allocation of audit work avoids conflict of interest. Auditors who undertake any consultancy work will be prohibited from auditing those areas. Audits are rotated within the team to avoid over-familiarity and complacency.

### **Responsibility and Scope**

The scope of internal auditing encompasses, but is not limited to, the examination and evaluation of the adequacy and effectiveness of the organisation's governance, risk management, and internal control processes in relation to the organisation's defined goals and objectives. Internal control objectives considered by internal audit extend to the entire control environment of the organisation and include:

- Consistency of operations with established objectives and goals
- Effectiveness and efficiency of operations and employment of resources
- Compliance with significant policies, plans, procedures, laws, and regulations

- Reliability and integrity of management and financial information processes, including the means to identify, measure, classify, and report such information
- Safeguarding of assets

Internal Audit is responsible for evaluating all processes ('audit universe') of the organisation including governance processes and risk management processes. It also assists the Finance and Audit Scrutiny Committee in evaluating the quality of performance of external auditors and ensuring a proper degree of coordination with internal audit is maintained.

Due to its detailed knowledge and understanding of risks and controls, internal audit is well placed to provide advice and support on emerging risks and issues. As a result, internal audit may perform consulting and advisory services as appropriate for the organisation. It may also evaluate specific operations at the request of the Finance and Audit Scrutiny Committee and senior management, as appropriate.

Based on its activity, internal audit is responsible for reporting significant risk exposures and control issues identified to the Finance and Audit Scrutiny Committee and to senior management, including fraud risks, governance issues, and other matters requested by these bodies. This can include the results of investigations, whether related to the conduct of staff or otherwise. This ensures Internal Audit plays a key role in providing assurance to the Finance and Audit Scrutiny Committee and senior management on the effectiveness of the entire control environment.

### **Role in Anti-Fraud**

The work programme of Internal Audit is designed, in part, to help deter fraud and corruption. With this in view, Internal Audit bases its planning on regular risk assessment, and works with senior managers and the Finance and Audit Scrutiny Committee in determining its programme of work.

Internal Audit also shares information with relevant partners, including with government via the National Fraud Initiative, to increase the likelihood of detecting fraudulent activity, and of reducing the risk of fraud to all.

The Audit and Risk Manager must be notified immediately of all suspected or detected fraud, corruption or impropriety so that the impact upon control arrangements can be evaluated.

### **Internal Audit Plan**

At least annually, the Audit and Risk Manager will submit to the Finance and Audit Scrutiny Committee an Internal Audit Plan for review and approval. The Internal Audit Plan will include timing as well as budget and resource requirements for the next financial year. The Audit and Risk Manager will communicate the impact of resource limitations and significant interim changes to senior management and the Finance and Audit Scrutiny Committee.

The Internal Audit Plan will be developed based on a prioritisation of the audit universe using a risk-based methodology and on extensive consultation with stakeholders, including the Council's managers.

Any significant deviation from the approved internal audit plan will be communicated through the periodic activity reporting process.

### **Reporting and Monitoring**

The Audit and Risk Manager will arrange for a written report to be prepared and issued following the conclusion of each internal audit engagement; this will be distributed as appropriate.

The internal audit report will include management's response and corrective action taken or to be taken in regard to the specific findings and recommendations.

Management's response will include a timetable for anticipated completion of action to be taken and an explanation for any corrective action that will not be implemented.

Internal Audit will be responsible for appropriate follow-up on engagement findings and recommendations and will report to the Finance and Audit Scrutiny Committee on the results of this activity.

The Audit and Risk Manager will consider any request from external stakeholders for reports on the results of internal audit activity, in consultation with senior management.

The Audit and Risk Manager will arrange for quarterly update reports to the Finance and Audit Scrutiny Committee to advise on the results of each internal audit engagement, and provide an annual report to the Finance and Audit Scrutiny Committee giving an opinion on the internal control environment.


### **Periodic Assessment**

In accordance with section 6 of the Accounts and Audit (England) Regulations 2011, Internal Audit will make arrangements for the conduct of a review of the effectiveness of internal audit.

The review is designed to ensure that the opinion given in the Annual Report of the Audit and Risk Manager may be relied upon as a key source of evidence in the Annual Governance Statement.

### **Review of the Audit Charter**

This Charter will be subject to annual review by the Audit and Risk Manager and any changes will be presented to Finance and Audit Scrutiny Committee for approval.

 <b>Finance &amp; Audit Scrutiny Committee</b> <b>8<sup>th</sup> April 2015</b>		<b>Agenda Item No.</b>  <div style="font-size: 2em; float: right;"><b>7</b></div>
<b>Title</b>	<b>Comments from the Executive</b>	
<b>For further information about this report please contact</b>	Peter Dixon Committee Services Officer 01926 456114 <a href="mailto:committee@warwickdc.gov.uk">committee@warwickdc.gov.uk</a>	
<b>Service Area</b>	Civic & Committee Services	
<b>Wards of the District directly affected</b>	n/a	
<b>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</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	n/a	
<b>Background Papers</b>	Finance & Audit Scrutiny Committee minutes 10/03/2015 Executive minutes from 11/03/2015	

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

<b>Officer/Councillor Approval</b>		
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).		
<b>Officer Approval</b>	<b>Date</b>	<b>Name</b>
Deputy Chief Executive		
Chief Executive		
CMT		
Section 151 Officer		
Legal		
Finance		
Portfolio Holders		

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

## **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 11 March 2015.

## **2. Recommendation**

- 2.1 That the responses made by the Executive be noted.

## **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 10 March 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 11 March 2015 to the Finance and Audit Scrutiny Committee's comments**

<b>Item no</b>	3	<b>Title</b>	<b>Updated Code of Financial Practice</b>
<b>Scrutiny Comment</b>	The Committee supported the recommendations in the report.		
<b>Executive Response</b>	-		

<b>Item no</b>	4	<b>Title</b>	<b>Procurement Strategy and Action Plan</b>
<b>Scrutiny Comment</b>	The Committee supported the recommendations in the report. Members asked that in future revisions to the Code of Procurement Practice be cross referenced with the Code of Financial Practice. The Committee also asked that further consideration be given to page 6 paragraph 1.2 to ensure they remain controlled and within the appropriate controls and budgets.		
<b>Executive Response</b>	The Portfolio Holder for Finance acknowledged the comments from the Committee and assurances were given that working practices would continue to be monitored.		

<b>Item no</b>	7	<b>Title</b>	<b>HRA Business Plan Review for 2015/16 to 2061/62</b>
<b>Scrutiny Comment</b>	The Committee supported the recommendations in the report.		
<b>Executive Response</b>	-		

<b>Item no</b>	9	<b>Title</b>	<b>Regeneration in Lillington</b>
<b>Scrutiny Comment</b>	The Committee supported the recommendations in the report.		
<b>Executive Response</b>	-		

<b>Item no</b>	11	<b>Title</b>	<b>Warwick District Council / Waterloo Housing Group Joint Venture (W2) State Aid Review</b>
<b>Scrutiny Comment</b>	The Committee supported the recommendations in the report.		
<b>Executive Response</b>	-		

<b>Item no</b>	12	<b>Title</b>	<b>Corporate Property Planned Preventative Maintenance Programme 2015/16</b>
<b>Scrutiny Comment</b>	The Committee supported the recommendations in the report.		
<b>Executive Response</b>	-		

<b>Item no</b>	13	<b>Title</b>	<b>Reinstatement of Land Kites Nest Lane, Beausale</b>
<b>Scrutiny Comment</b>	The Committee agreed it was the Council's responsibility to act for the interests of local residents and recommended to the Executive that, before this issue was considered, the complete budget outlining all associated costs be provided to the Executive and the Committee for due consideration.		
<b>Executive Response</b>	In response, the Executive was content that the complete budget was sufficient and all associated costs would be provided to the Portfolio Holder and the Chairman of Finance & Audit for assurance.		

<b>Item no</b>	14	<b>Title</b>	<b>Combined Authorities</b>
<b>Scrutiny Comment</b>	The Committee supported recommendation 2.4 in the report.		
<b>Executive Response</b>	The recommendations in the report were agreed with an amendment to recommendation 2.1 to ensure that all comments were received by the Chief Executive by 5.00pm on Wednesday 18 March 2015.		

<b>Item no</b>	15	<b>Title</b>	<b>Proposed Exemption from the Code of Procurement Practice</b>
<b>Scrutiny Comment</b>	<p>The Committee expressed disappointment over this matter because there was a contract register in place for which a main purpose was to bring forward early warnings and resolve any issues. It was of the view that it was not acceptable to carry on this way because this was a major contract and especially because the contracts register identified that work had started on this contract. The Committee explained that this should have been recognised and mitigated against through the proper procurement and resources allocated or requested if they were short.</p> <p>That said the Committee welcomed that the Procurement Team were looking at a new contract management system and that it was planned in the next financial year that this would provide the appropriate workflows and safeguards for contract management.</p> <p>The Committee welcomed that benchmarking would be undertaken on this work before the extension agreement was signed to confirm that value for money was achieved.</p> <p>With these views the Committee accepted the recommendations of the report because it felt there was no real alternative.</p>		

<b>Executive Response</b>	The Executive accepted the Committee's comments. The Portfolio Holder commented that this could be taken as positive recognition of procurement issues being addressed within Housing & Property Services.		
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<b>Item no</b>	17a	<b>Title</b>	<b>Historic Buildings Grants Allocations</b>
<b>Scrutiny Comment</b>	The Committee supported the recommendation in the report.		
<b>Executive Response</b>	-		


<b>Item no</b>	17b	<b>Title</b>	<b>Rural / Urban Capital Improvement Scheme (rucis) Application</b>
<b>Scrutiny Comment</b>	The Committee supported the recommendations in the report.		
<b>Executive Response</b>	-		

<b>Item no</b>	19	<b>Title</b>	Regeneration in Lillington
<b>Scrutiny Comment</b>	The Committee supported the recommendation in the report so long as the Executive had clarification on the funding split, between parties, for the funding outlined in recommendation 2.2c.		
<b>Executive Response</b>	In response, the Executive amended the wording of recommendation 22c.		

<b>Item no</b>	20	<b>Title</b>	Asset Management Redesign Update
<b>Scrutiny Comment</b>	The Committee supported the recommendations in the report.		
<b>Executive Response</b>	-		

<b>Item no</b>	22	<b>Title</b>	Strategic Opportunity Proposal
<b>Scrutiny Comment</b>	The Committee supported the recommendations in the report.		
<b>Executive Response</b>	-		



 <b>Finance &amp; Audit Scrutiny Committee</b> <b>8<sup>th</sup> April 2015</b>		<b>Agenda Item No.</b>  <div style="text-align: right;"><b>8</b></div>
<b>Title</b>	<b>Review of the Work Programme &amp; Forward Plan</b>	
<b>For further information about this report please contact</b>	Amy Carnall Committee Services Officer 01926 456114 or <a href="mailto:committee@warwickdc.gov.uk">committee@warwickdc.gov.uk</a>	
<b>Wards of the District directly affected</b>	n/a	
<b>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?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	n/a	
<b>Background Papers</b>	n/a	

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

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

## **1. Summary**

- 1.1 This report informs the Committee of its work programme for 2014/15 (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.



## **FORWARD PLAN**

### **Forward Plan April 2015 to July 2015**

**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.

## Section 1 – The Forward Plan April 2015 to July 2015

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
<b>April 2015</b>						
Social Mobility Fund (Ref 686)	To approve the submission of a bid for the Social Mobility Fund		Executive 9 April 2015	27 March 2015	Abigail Hay Cllr Vincett	
Payroll Review (Ref 689)	To request approval of working arrangements moving forwards  <b>It is intended that this report will be Confidential by virtue of the information relating to an individual; or information which is likely to reveal the identity of an individual</b>		Executive 9 April 2015	27 March 2015	Tracy Dolphin Cllr Mobbs	Executive – 12/2014
Review of Smoking Policy (Ref 690)	To approve changes to the policy already agreed by Employment Committee and Health Scrutiny		Executive 9 April 2015	27 March 2015	Richard Hall Cllr Coker	Employment Committee – 27 <sup>th</sup> Jan 2015  Health Scrutiny Sub-Committee – 15 <sup>th</sup> Dec 2014
Funding of Green Space Development Officer Post (Ref 691)	To seek approval to fund a fixed term post in the Green Space Team from the Commuted Sum Reserve		Executive 9 April 2015	27 March 2015	Rob Hoof Cllr Shilton	Employment Committee – 27 <sup>th</sup> Jan 2015

June 2015						
Tenants Incentive Grant Scheme (Ref 687)	To approve a revised Policy				Jacky Oughton Cllr Norman Vincett	
July 2015						
Final Accounts (Ref 669)	To report on the Council's outturn position for both revenue and capital				Marcus Miskinis Cllr Cross	
Housing Allocations Policy (Ref 607)	To approve a new housing allocations policy (Moved reason 1 Portfolio Holder has deferred the consideration of the report due to Purdah)		Executive 5 November 2014 Executive 9 April 2014	27 October 2014 27 March 2015	Ken Bruno Cllr Vincett	Housing Strategy 2014 – 2017
August 2015						

**Section 2 Key decisions which are anticipated to be considered by the Council between August 2015 and December 2015**

<b>Topic and Reference</b>	<b>Purpose of report</b>	<b>If requested by Executive –date, decision &amp; minute no.</b>	<b>Date of Executive, Committee or Council meeting</b>	<b>Publication Date of Agendas</b>	<b>Contact Officer &amp; Portfolio Holder</b>	<b>External Consultees/ Consultation Method/ Background Papers</b>
<b>September 2015</b>						
Leisure Development Programme (Ref 688)	To seek approval on the next stage of the programme on investment and management options		30 September 2015		Rose Winship Cllr Mrs Gallagher	Background Exec 05/11/14
<b>October 2015</b>						
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)		<del>Executive 11<sup>th</sup> February 2015</del>	<del>2 February 2015</del>	Jacky Oughton Cllr Vincett	
<b>November 2015</b>						
<b>December 2015</b>						
Private sector housing grants policy (Ref 658)	To propose a revised policy for the allocation of grant funding for private residents		Executive – 11 <sup>th</sup> March 2015	2 March 2015	Abigail Hay Cllr Norman Vincett	TBC

## 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)	<del>Executive 12 March 2014</del> TBC	Rob Chapleo  Cllr Coker	The strategy will need to take into account the approach of the new administration and County Health & Wellbeing Strategy		
Asset Management Plan (Ref 642)	To report on the activities planned for the current financial year to deliver the asset strategy.  (Moved Reason 6 Seeking further clarification on implications of report)		<del>5 November 2014</del> <del>Executive 14<sup>th</sup> Jan 2015</del>	5 February 2015	Bill Hunt Cllr Hammon	
5 year Action plan for Warwick's Town Centre Management Group (Ref 653)	To consider a 5 year action plan for Warwick Town		<del>Executive 11<sup>th</sup> Feb 2015</del>	2 February 2015	Nicki Curwood Cllr Hammon	Warwick businesses Warwick Town Council Town Centre Management Group
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)		<del>5 November 2014</del> Executive <sup>th</sup> October 2015	5 February 2015	Bill Hunt Cllr Hammon	



Cleaning Services (Ref 659)	To approve a revised way of delivering the Cleaning Services to Council buildings.  Moved from January – Reason 5 – pending further legal advice on implications of report		<del>14<sup>th</sup> Jan 2015</del> Executive <del>11<sup>th</sup> March 2015</del>	<del>2 February 2015</del> 2 March 2015	Jacky Oughton Cllr Vincett	
Destination Management Plan (Ref 681)	To receive a report from Economic Development and Regeneration		<del>Executive 11 March 2015</del>	<del>2 March 2015</del>	Joe Baconnet Cllr Hammon	

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

<b>Topic and Reference</b>	<b>Purpose of report</b>	<b>If requested by Executive – date, decision &amp; minute no.</b>	<b>Date of Executive, Committee or Council meeting</b>	<b>Publication Date of Agendas</b>	<b>Contact Officer &amp; Portfolio Holder</b>	<b>External Consultees/ Consultation Method/ Background Papers</b>
<b>April 2015</b>						
Review of Significant Business Risk Register (Ref 671)	To inform Members of the Significant Risks to the Council		April 2015		Richard Barr Cllr Cross	
Update to Scheme of Delegation (Ref 682)	To amend the Scheme of Delegation to reflect recent service area changes		April 2015		Amy Carnall Cllr Mobbs	
Update to Call in Procedure Rules (Ref 683)	To proposed amendments to the Call In Procedure Rules following review by the Constitution Working Party		April 2015		Amy Carnall Cllr Mobbs	
<b>May 2015</b>						
<b>June 2015</b>						
<b>July 2015</b>						
<b>August 2015</b>						
<b>September 2015</b>						

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:

1. Portfolio Holder has deferred the consideration of the report
2. Waiting for further information from a Government Agency
3. Waiting for further information from another body
4. New information received requires revision to report
5. 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](http://www.warwickdc.gov.uk/committees)**

**The forward plan is also available, on request, in large print on request, by telephoning (01926) 353362**

## Finance and Audit Scrutiny Committee Work Programme 2014/15

**8 April 2015**

### Audit Items

1	Housing & Property Services Risk Register Review	Report	Richard Barr	Approved Executive 11.01.12 minute 115
2	Internal Audit Strategic Plan 2015/16 – 2017/18 and Internal Audit Charter	Report	Richard Barr	Annual report

### Scrutiny Items

2	End of Term Report	Report	Peter Dixon / Chair	Annual report
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### **To be arranged**

Contract register reviews to be considered alongside Service Risk Registers. Chairman and officers to discuss format – agreed 25 March 2014 (minute 174) / 7 May 2014 (minute 197)

Presentation on Disabled Adaptations – agreed 11 December 2012 (minute 97, Executive item 5)

Scrutiny of Infrastructure Planning – 28 July 2015

### **Contracts Registers Reviews 2015/16 & 2016/17**

June 2015 – Development Services

August 2015 - Neighbourhood Services

November 2015 - Finance


February 2016 - Chief Executives

June 2016 - Health & Community Protection

### **Service Risk Register Reviews 2015/16**

July 2015 – Cultural Services

October 2015 – Development Services

 <b>Finance &amp; Audit Scrutiny Committee</b> <b>8<sup>th</sup> April 2015</b>		<b>Agenda Item No.</b>  <div style="text-align: right; font-size: 2em;"><b>9</b></div>
<b>Title</b>	<b>End of Term Report 2014/15</b>	
<b>For further information about this report please contact</b>	Peter Dixon Civic & Committee Services Officer 01926 456114 <a href="mailto:committee@warwickdc.gov.uk">committee@warwickdc.gov.uk</a>	
<b>Wards of the District directly affected</b>	n/a	
<b>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?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	n/a	
<b>Background Papers</b>	Minutes of all 2014/15 Finance & Audit Scrutiny Committee meetings	

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

<b>Officer/Councillor Approval</b>		
<b>Officer Approval</b>	<b>Date</b>	<b>Name</b>
Chief Executive/Deputy		
Head of Service		
CMT		
Section 151 Officer		
Monitoring Officer		
Finance		
Portfolio Holder(s)		
<b>Consultation &amp; Community Engagement</b>		
<b>Final Decision?</b>		
This report is for recommendation to Council.		

**1. SUMMARY**

- 1.1 An end of term report to the Council on the work the Committee has undertaken during the 2014/15 municipal year.

**2. RECOMMENDATION**

- 2.1 It is recommended to Council that the list of matters considered by this Committee during the municipal year 2014/15, as detailed in the Appendix to the report, be noted.

**3. REASONS FOR THE RECOMMENDATION**

- 3.1 Under Article 6 of the Council's Constitution, Overview and Scrutiny Committees and Policy Committees are required to provide an end of term report to the Council on work they have undertaken during the year.
- 3.2 This report will be updated to include items considered at the 8 April 2015 meeting of the Committee, prior to it being presented to Council.

**4. POLICY FRAMEWORK**

- 4.1 The recommendations of the report do not affect the Council's policy framework.

**5. BUDGETARY FRAMEWORK**

- 5.1 The recommendations of the report do not affect the Council's budgetary framework.

**6. RISKS**

- 6.1 There are no risks associated with this report.

**7. ALTERNATIVE OPTION(S) CONSIDERED**

- 7.1 There are no alternative options as this report complies with the requirements of Article 6 of the Council's Constitution.

## **Items considered by Finance & Audit Scrutiny Committee 2014/15**

### **AUDIT & SCRUTINY ITEMS**

- Annual Governance Statement
- Internal Audit Annual Report 2013/14
- Review of Effectiveness of Internal Audit
- Internal Audit Quarterly Report – Quarter 4 2013/14
- Housing Business Plan Performance Management Biannual Report
- Enterprise Projects – Update
- Review of Democratic Services Risk Register
- Anti Fraud and Corruption Progress Report
- Treasury Management 2013/14 Annual Report
- Draft Statement of Accounts
- Procurement Progress Update
- Internal Audit Quarter 1 2014/15 Progress Report
- Benefit Fraud Investigation – Performance
- Sports & Leisure Options Appraisal – Financial Models
- Audit Findings Report from External Auditor
- Statement of Accounts 2013/14
- National Fraud Initiative
- Risk Management Annual Report
- Neighbourhood Services Risk Register Review
- Review of Housing & Property Services Contracts Register
- Scrutiny of Partnerships
- Annual Audit Letter
- Treasury Management
- Internal Audit
- Risk Register Review – Chief Executives Office
- Procurement Progress Update
- Business Plan Performance Management Report
- Contract Register – Cultural Services
- Scrutiny of Infrastructure Planning
- External Audit Reports
- Internal Audit Quarter 3 2014/15 Progress Report

(Items considered by the Committee on 8 April 2015 will be added to the list prior to the report's presentation to Council)

### **ROUTINE ITEMS**

- Comments from the Executive
- Review of the Work Programme & Forward Plan

### **EXECUTIVE ITEMS CONSIDERED BY THE COMMITTEE**

#### **June 2014**

- Council Chamber AV System – Exemption to the Code of Procurement Practice
- HRA Setting for Void Properties
- Land off Wise Street, Royal Leamington Spa
- Final Accounts 2013/14

- Rural / Urban Capital Improvement Scheme (RUCIS) Application
- Microsoft Support Contract

### **July 2014 (two meetings)**

- Service Area Plan/FFF Performance 2013/2014
- Creation of Digital Gaming Hub at 26 Hamilton Terrace, Royal Leamington Spa
- Bowls 2014 Additional Marketing
- Refurbishment of 4 Jury Street, Warwick
- Land off Radford Road, Royal Leamington Spa
- Budget Review to 30 June 2014
- Significant Business Risk Register

### **September 2014 (three meetings)**

- Housing Benefits and Council Tax Reduction – Risk-Based Review
- Warwick District Council House Building
- South West Warwick Phase 9 Affordable Housing
- Housing and Property Services Staffing Review
- Oakley Wood Crematorium Proposed Improvements
- Fetherston Court Demolition Approval
- Settlement of Property Search Claim
- Building Control Joint Service
- Scrap Metal Dealers Act 2013
- Fees and Charges
- St Mary's Lands Business Strategy
- Multi-Storey Car Park Structural Surveys
- Significant Business Risk Register
- Skills Initiative
- Asbestos Contract

### **November 2014**

- Procurement Action Plan Update
- Sports & Leisure Options
- Budget Review to 30 September 2014
- Bishop's Tachbrook Community Centre
- Future use of the Warwick Limited Liability Partnership
- Prosperity Agenda
- Use of Delegated Powers – CSW Broadband

### **December 2014**

- Code of Procurement Practice
- Tachbrook Country Park
- Housing Revenue Accounts (HRA) Budgets latest 2014/15 and base budgets 2015-2016
- General Fund Base Budgets Latest 2014/15 and original 2015-2016
- Options for HR & Payroll Functions
- Review of Affordable Rent Policy
- Rural/Urban Capital Improvement Scheme Application

### **January 2015**

- Significant Business Risk Register
- Election 2015 Count Venue – Exemption to Code of Procurement Practice
- 2014 National Bowls Championships – Review
- Options Appraisal tender process and service specifications development – Exemption to Code of Procurement Practice – Sports Options



- Use of Emergency Powers in respect of authorising an Exemption to the Code of Procurement Practice
- Rural / Urban Capital Improvement Scheme Application
- The Introduction of a proposed Pre-Application Charging Regime for development proposals
- Open Land at Chase Meadow

### **February 2015**

- Treasury Management Strategy Plan
- Housing Revenue Account (HRA) Budget 2015/16 and Housing Rents
- Heating, Lighting and Water Charges 2015/16 – Council Tenants
- Exemption to the Code of Procurement Practice – Extension of Aids & Adaptations Building Works Contract
- Disposal of WDC owned land at Station Approach in Royal Leamington Spa
- Budget 2015/16 and Council Tax – General Fund Revenue and Capital

### **March 2015**

- Reinstatement of Land Kites Nest Lane, Beausale
- Procurement Strategy and Action Plan
- Proposed Exemption from the Code of Procurement Practice
- Corporate Property Planned Preventative Maintenance Programme 2015/16
- Asset Management Redesign Update
- HRA Business Plan Review for 2015/16 to 2061/62
- Regeneration in Lillington
- Strategic Opportunity Proposal
- Warwick District Council / Waterloo Housing Group Joint Venture (W2) State Aid Review
- Combined Authorities
- Historic Buildings Grants Allocations
- Rural / Urban Capital Improvement Scheme (rucis) Application
- Updated Code of Financial Practice

### **April 2015**

(Items considered by the Committee on 8 April 2015 will be added prior to the report's presentation to Council)