Overview & Scrutiny Committee
Tuesday 2 November 2021

A meeting of the above Committee will be held in the Town Hall, Royal Leamington Spa on Tuesday 2 November 2021, at 6.00pm and available for the public to watch via the Warwick District Council YouTube channel.

Councillor Milton (Chair)

Councillor G Cullinan	Councillor V Leigh-Hunt
Councillor A Dearing	Councillor R Margrave
Councillor J Dearing	Councillor T Morris
Councillor O Jacques	Councillor P Redford
Councillor P Kohler	Councillor D Russell

Emergency Procedure

At the commencement of the meeting, the emergency procedure for the Town Hall will be announced

Agenda

1. **Apologies & Substitutes**

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

2. **Declarations of Interest**

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

   Declarations should be disclosed 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 meeting held on 21 September 2021.   **(To follow)**

4. **Work Programme, Forward Plan & Comments from Cabinet**

   To consider a report from Democratic Services.   **(Pages 1 to 14)**

5. **Progress Update – Merger of ICT Systems**

   To consider a report from ICT.   **(To follow)**

6. **Update on Joint Work with SDC**

   To consider a report from the Chief Executive.   **(Pages 1 to 12)**

7. **Task & Finish Group – Equality & Diversity (Phase 2)**

   To consider a briefing note from the Task & Finish Group.   **(To follow)**

8. **Cabinet Agenda (Non-Confidential Items and Reports) – Thursday 4 November 2021**

   To consider the non-confidential items on the Cabinet 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 morning after Group meetings.
                                                                  (Circulated Separately)

9. **Public & 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 the paragraphs 1,2 & 3 of Schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006.

10. **Cabinet Agenda (Confidential Items and Reports) – Thursday 4 November 2021**

    To consider the confidential items on the Cabinet 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 morning after Group meetings.
                                                                  (Circulated separately)

General Enquiries: Please contact Warwick District Council, Riverside House, Milverton Hill, Royal Leamington Spa, Warwickshire, CV32 5HZ.
Telephone: 01926 456114
E-Mail: committee@warwickdc.gov.uk

For enquiries about specific reports, please contact the officers named in the reports. You can e-mail the members of the Committee at oandscommittee@warwickdc.gov.uk

Details of all the Council's committees, councillors and agenda papers are available via our website on the Committees page

We endeavour to make all of our agendas and reports fully accessible. Please see our accessibility statement for details.

The agenda is available in large print on request, prior to the meeting, by telephoning (01926) 456114

Overview and Scrutiny Committee

Minutes of the meeting held on Tuesday 21 September 2021 in the Town Hall, Royal Leamington Spa at 6.00 pm.

Present: Councillor Milton (Chair); Councillors Cullinan, A Dearing, J Dearing, Illingworth, Jacques, Kohler, Leigh-Hunt, Margrave and Russell.

Also Present: Councillor Day – Leader of the Council.

20.   **Apologies and Substitutes**

(a)   an apology for absence was received from Councillor Redford; and
(b)   Councillor Illingworth substituted for Councillor Morris.

21.   **Declarations of Interest**

Item 4 – Work Programme, Forward Plan & Comments from the Cabinet

Councillor Illingworth declared an interest because he was a Member of the Task & Finish Group, Race and Equality. He would not participate in any debate in respect of the decision the Committee had to make following the decisions made at the meeting of Cabinet in August.

22.   **Minutes**

The minutes of the Overview and Scrutiny Committee meeting held on 10 August 2021 were taken as read and signed by the Chair as a correct record.

23.   **Cabinet Agenda (Non-Confidential items and reports) – Thursday 23 September 2021**

The Committee considered the following item which would be discussed at the meeting of the Cabinet on Thursday 23 September 2021.

Item 4 – Service Integration and Joint Accommodation Work between WDC/SDC

The Committee considered that a summary of risks through a risk register was required and therefore recommended to Cabinet that regular risk reporting should be provided to Councillors.

The Committee also requested that regular service level performance data should be available to Councillors on the Service Area Dashboard, providing comparison between current service area performance levels against the merged service areas.

24.   **Update on Joint Work with SDC**

The Committee considered a report from the Chief Executive which set out the progress of the work being done to enable effective scrutiny of the proposals to achieve joint working with Stratford-on-Avon District Council.

Both WDC and SDC had agreed a vision to create a single statutory South Warwickshire Council covering all of the activities currently carried out by Stratford-on-Avon District Council and Warwick District Council by 1 April 2024.

Members asked that any new content to the report from the previous one issued was made obvious to the reader. They also asked for any issues that were not going to plan or challenges should also be made obvious so that the Committee was able to scrutinise these and provide guidance and help. The potential impacts under Climate Change should be noted in the relevant section of the report (currently 3.6) because this was one of the strategic priorities of the Council.

25. **Public and Press**

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

Minute Number	Paragraph Number	Reason
26	3	Information relating to the financial or business affairs of any particular person (including the authority holding that information)

26. **Cabinet Agenda (Confidential items and reports) – Thursday 23 September 2021**

The Committee considered the following confidential item which would be discussed at the meeting of the Cabinet on Thursday 23 September 2021.

Item 13 – Low Carbon Enabling Development

The Committee recommended to Cabinet that a business case and plan for hydrogen hubs should be referred to the Climate Emergency Programme Advisory Board (PAB) for consideration.

In noting the complexity of the scheme and difficulties faced, the Committee requested that a briefing be provided to all Councillors on the development proposals. The Committee also wished to know how this would contribute to the Council's Climate Emergency target to be net carbon zero.

(The meeting resumed public session.)

27. **Briefing Note on the Park Exercise Policy and Permit Scheme**

The Committee considered a written update from Cultural Services giving a first annual review subsequent to the introduction of the Park Exercise Policy and the accompanying Park Exercise Permit scheme that had been approved by the Executive in August 2020. The annual review of the fees and charges process had commenced for the forthcoming year.

In response to questions from Members, the Deputy Chief Executive (AJ) explained that:

- The report did highlight that the permit scheme did not give significant financial net gains and so this would be a subject management would raise for the PAB to deliberate. The PAB would be asked to consider if the amount of work caused by the permit scheme could be justified against the monetary net gains and effort in administration and effectiveness. The PAB would be asked to consider enforcement issues and what sports were played at parks where the permit scheme was not in operation.
- He would ask the Programme Manager from Cultural Services to send out a summary of financial figures pre-permit scheme implementation compared against post permit scheme introduction.
- The regulatory environment should be considered when reviewing the scheme and whether it should continue. The Council had a scheme and should not simply abandon it purely for financial reasons. However, the PAB would be asked to consider this too and whether the scheme could be justified to ensure that the parks were used in an acceptable manner.

The Chair asked that the Programme Manager receive feedback that he was pleased to note that the report did give details of problems faced, not just things going well.

Members asked that the PAB review what the Council was trying to achieve with the permit scheme and ensure that the community as a whole could enjoy the parks in the right way. The PAB should re-evaluate why the scheme was set up and what issues it was meant to address / its aims. It was noted that the scheme was time consuming to enforce and ensure that all groups setting up activities where the scheme was in operation held permits.

In response to a question raised ahead of the meeting, the Programme Manager had agreed that the list about group using the parks to exercise differed from the list provided on the Council's website. Permit holders were asked if they wished to appear on the list on the website and not all had asked to do so. The Programme Manager had suggested that the website list was a marketing opportunity for the groups rather than a register. Members asked for this to be reviewed by the PAB to determine whether the list was for marketing or for public information.

28. **HMO Licensing & Planning Permission Policy Effectiveness Review**

The Committee considered a report from Private Sector Housing. A new policy linking HMO Licensing with planning permission was introduced at the start of April 2021 with the aim to ensure that landlords of licensable HMO's who required planning permission for HMO use, applied for and obtained planning permission before they were granted an HMO licence.

The Chair informed the Committee that he had not asked officers to attend the meeting because he felt that the report gave enough information. Councillor Cullinan had asked some questions prior to the meeting which he expected would be dealt with by officers.

Resolved that the report be noted.

29. **Review of the Work Programme, Forward Plan and Comments from the Cabinet**

The Committee considered its work programme for 2021/2022 as detailed at Appendix 1 to the report.

Task & Finish Group – Equality & Diversity

The Chair referred Members to an email they had been sent earlier in the day giving an update on the Task & Finish Group – Equality and Diversity. The Group accepted the decisions made by Cabinet and Employment Committee that Phase 1 of the work would move to the Transformation PAB which would consider how the recommendations in the report the Group had submitted to Cabinet would be progressed.

The Group did not support the recommendation that Phase 2 of the work, to look at service delivery and how the community perceived this in respect of equality was also passed to the Transformation PAB. The Group felt it was better placed to look at this work based on the work undertaken already and the knowledge it had gained.

The Group therefore made a recommendation to the Overview & Scrutiny Committee that it dealt with the Phase 2 work and that at the next meeting of the Committee in November, it would provide:

- a plan for delivering Phase 2 that included timeline, resources / budget anticipated to be required along with the proposed method of working;
- an Equality Impact Assessment for Phase 2; and
- analysis of any potential constraints of delivering this in parallel to wider service delivery and integration, whilst being mindful that this should focus on discussion with the community rather than with officers.

Members agreed that Phase 2 of the work should remain with the Task & Finish Group and it was noted that Councillor Mangat was the Chair of not just the PAB but also the Task & Finish Group so would be there to ensure that the Phase 1 report recommendations would be dealt with.

Scrutiny of the SDC/WDC merger

The Chair reported that both WDC Scrutiny Chairs had held a meeting with the Scrutiny Chair at SDC to discuss arrangements for joint scrutiny as the merger progresses. The aim to scrutinise the merger separately had been made clear because each Council represented their own residents, but there would be a need for some consistency. An email sent to both Scrutiny Chairs at WDC the previous day by the Democratic Services Manager & Deputy Monitoring Officer was read to the Committee. Refresher training for all Councillors on scrutiny/questioning skills would be provided in November to ensure that all Councillors were prepared to look at the merger report in December to Cabinet.

Prior to the December report being published (or just after), a joint briefing would be provided to Councillors on the proposals. A Joint Scrutiny Chairs' briefing with SDC (just after the agenda was published) would be held to help focus and refine key questions, trying to use the WDC approach of pre-scrutiny questions.

Officers were synchronising agendas and reports for meetings in December.

Resolved that

(1)   appendices 1 and 2 to the Work Programme report be noted;

(2)   a report be provided by the Head of ICT at the meeting in November to cover some of the challenges faced by ICT as the merger progresses; and

(3)   Phase 2 of the Task & Finish Group – Equality & Diversity be retained under the control of Overview & Scrutiny Committee with the Task & Finish Group to continue the work.

(The meeting ended at 7.53pm)

CHAIR
2 November 2021

Overview & Scrutiny Committee
2 November 2021

Title: Work Programme, Forward Plan & Comments from Cabinet
Lead Officer: Lesley Dury, Principal Committee Services Officer
Portfolio Holder: Not applicable
Public report
Wards of the District directly affected: Not applicable
Accessibility checked: Yes

Summary

This report informs Members of Overview & Scrutiny Committee:

(1)   of the Committee's work programme for 2021/2022 (Appendix 1); and
(2)   responses that Cabinet gave to comments and recommendations made by Overview & Scrutiny Committee regarding the reports to Cabinet on 23 September 2021 (Appendix 2).

Recommendations

(1)   That Members consider the work programme (Appendix 1) and agree any changes as appropriate.

(2)   That the Committee:

• identifies any Cabinet items on the Forward Plan on which it wishes to have an input before the Cabinet makes its decision; and

• nominates a Member to investigate that future decision and report back to the Committee.

(3)   That Members note the responses made by the Cabinet on the Comments from the Cabinet report (Appendix 2).

1   Background/Information

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

1.2   The pre-decision scrutiny of Cabinet decisions falls within the role of 'holding to account'. To feed into the pre-decision scrutiny of Cabinet decisions, the Committee needs to examine the Council's Forward Plan and identify items which it would like to have an impact upon.

1.3   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.

1.4 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.

1.5 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.

1.6 There may also be policies identified on the Forward Plan, either as key or non-key decisions, which the Committee could pre-scrutinise and have an impact upon how these are formulated.

1.7 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.

1.8 At each meeting, the Committee will consider their work programme and make amendments where necessary, and also make comments on specific Cabinet items, where notice has been given by 9am on the morning after Group meetings. The Committee will also receive a report detailing the response from the Cabinet, on the comments the Committee made on the Cabinet agenda in the previous cycle.

1.9 The Forward Plan is considered at each meeting and allows the Committee to look at future items and become involved in those Cabinet decisions to be taken, if members so wish.

1.10 As part of the new scrutiny process, the Committee is no longer considering the whole of the Cabinet agenda.

1.11 On the day of publication of the Cabinet agenda all Councillors are sent an e-mail asking them to contact Committee Services, by 09.00am on the day of the Overview and Scrutiny Committee meeting to advise which Cabinet items they would like the Committee to consider.

1.12 As a result, the Committee considered the items detailed in appendix 2. The response the Cabinet gave on each item is also shown.

1.13 In reviewing these responses, the Committee can identify any issues for which they would like a progress report. A future report, for example on how the decision has been implemented, would then be submitted to the Committee at an agreed date which would then be incorporated within the work programme.

2   Conclusion/Reasons for the Recommendation

2.1 The work programme should be updated at each meeting to accurately reflect the workload of the Committee.

2.2 The proposed plan at Appendix 1 has been developed in order for the Committee to focus on the four agreed core themes (Covid 19, Climate Change, Medium Term Financial Strategy and Business Plan). While this Committee will not have as much focus on the Medium-Term Financial Strategy, it will have to spend significant times looking at the other areas in detail.

2.3 Two of the five main roles of overview and scrutiny in local government are to undertake pre-decision scrutiny of Cabinet decisions and to feed into policy development.

2.4   If the Committee has an interest in a future decision to be made by the Cabinet, or policy to be implemented, it is within the Committee's remit to feed into this process.

2.5   The Forward Plan is actually the future work programme for the Cabinet. If a non-cabinet member highlighted a decision(s) which is to be taken by the Cabinet which they would like to be involved in, that member(s) could then provide useful background to the Committee when the report is submitted to the Cabinet and they are passing comment on it.

2.6   Appendix 2, Comments from Cabinet, is produced to create a dialogue between the Cabinet and the Overview and Scrutiny Committee. It ensures that the Overview and Scrutiny Committee is formally made aware of the Cabinet's responses.

2.7   Where Overview and Scrutiny Committee has made a recommendation as opposed to a comment, the Cabinet is required to respond to the recommendation(s) made, including whether or not it accepts the recommendation(s).

Meeting Date: 2 November 2021

Title	Where did item originate from	Format	Lead Officer / Councillor	Next report date if applicable	Completion Date / Notes
Service Area Dashboard update	O&S May 2021	Verbal report	Councillors Kohler, Cullinan and Jacques		
Approach to the Scrutiny of the proposed Merger of Warwick District Council and Stratford-on-Avon District Council – Progress through the PI	O&S April 2021	Report or Update as part of the O&S Work Programme report	Chris Elliott	Every meeting until submission completed which is expected December 2021	Any changes from last report in the content to be made obvious to the reader; Challenges faced should be made evident as should impacts on Climate Change in section 3.6
Task & Finish Group – Equality & Diversity – Phase 2	O&S July 2021	Written report	Councillor Mangat	Every meeting until completed	
Update on the merging of ICT systems and data as the merger of the service areas of the two Councils moves forwards, including plans if authorisation for full political merger is denied.	O&S September 2021	Written report	David Elkington		

Meeting Date: 14 December 2021

Title	Where did item originate from	Format	Lead Officer / Councillor	Next report date if applicable	Completion Date / Notes
Approach to the Scrutiny of the proposed Merger of Warwick District Council and Stratford-on-Avon District Council – Progress through the PI	O&S April 2021	Report or Update as part of the O&S Work Programme report	Chris Elliott	Every meeting until submission completed which is expected December 2021	

Reminder for December 2021:

Governance Review of Warwick District Council – At Executive 29 July 2020, and action was placed on officers to liaise with both Chairs of Scrutiny Committees to bring back to Executive, an outline proposal for the independent assessment and proposed funding arrangements which would be undertaken in February 2022.

Meeting Date: 8 February 2022

Title	Where did item originate from	Format	Lead Officer / Councillor	Next report date if applicable	Completion Date / Notes
Current Arrangements for the South Warwickshire Community Safety Partnership.	This is a mandatory report.	Written report	Marianne Rolfe.	Late October / Early November 2022.	This is an annual report.
HEART Shared Service update including the implementation of the new IT system	April 2021	Written report	Lisa Barker / Mark Lingard	TBA	
A report on the Stratford Street Scene Team and on how its fly tipping enforcement service differs from the one operated currently at Warwick District Council.	February 2021	Written report	Zoe Court		The service is estimated to recommence in April 2021, so see if it has been operating for 6 month for a report October 2021. If not, move to a date when it will have.

Meeting Date: 8 March 2022

Title	Where did item originate from	Format	Lead Officer / Councillor	Next report date if applicable	Completion Date / Notes
Annual update from Shakespeare's England.	Committee meeting 29 August 2018	Written report.	Martin O'Neill and Councillor Hales.	March 2022.	This is an annual report.

Meeting Date: 12 April 2022

Title	Where did item originate from	Format	Lead Officer / Councillor	Next report date if applicable	Completion Date / Notes
Overview & Scrutiny End of Term report.	Standing Annual Item.	Written report.	Committee Services Officer.	April 2023.	This is an annual report.

Briefing Notes to All Councillors – April 2022: Not for O&S Agenda

Title	Where did item originate from	Format	Lead Officer / Councillor	Next report date if applicable	Completion Date / Notes
Children's and Adults' Safeguarding Champions: End of Term Report.	Standing Annual Item.	Briefing note to all Councillors with a paragraph explaining that if they have any concerns that they feel require scrutiny, to raise these for consideration as part of the work programme.	Lisa Barker.	April 2022.	This is an briefing note to all Councillors.

Title	Where did item originate from	Format	Lead Officer / Councillor	Next report date if applicable	Completion Date / Notes
Members' Annual Feedback on Outside Appointments / Annual review of membership/participation of Outside Bodies (Includes a short synopsis on Champions)	Standing Annual Items	Briefing note to all Councillors with a paragraph explaining that if they have any concerns that they feel requires scrutiny, to raise these for consideration as part of the work programme and if any are to be considered to be ceased, the Deputy Chief Executive will discuss these with the LCG	Andrew Jones	April 2022	This is an briefing note to all Councillors.

Municipal Year 2022/23 (Meeting dates still to be confirmed)

July/August 2022

Title	Where did item originate from	Format	Lead Officer / Councillor	Next report date if applicable	Completion Date / Notes
The Progress and Impact of the Equality & Diversity Task & Finish Group's Recommendations in the report that was presented to O&S 6 July 2021	O&S 6 July 2021	Written Report	Tracy Dolphin/Graham Leach		

September time 2022

Title	Where did item originate from	Format	Lead Officer / Councillor	Next report date if applicable	Completion Date / Notes
Park Exercise Permits – annual review of the scheme	August 2020 (Last report made to O&S - 21 September 2021)	Briefing Note	Padraig Herlihy	Annual update	

Meeting Date: To Be Advised

Title	Where did item originate from	Format	Lead Officer / Councillor	Next report date if applicable	Completion Date / Notes
Decide if an update is required on the Catering and Events Concessions Contract – Royal Pump Rooms and Jephson Gardens Glasshouse.	Committee meeting 26 September 2019.	Informal update.	Dave Guilding / Philip Clarke.	TBA	D Guilding and P Clarke were asked when they can give an informal update considering the impact of Covid-19 on this service. A response from them is awaited.
**Update on plans to improve accessibility to, and the condition / cleanliness of, toilets for people living with disabilities subsequent to the presentation of the plans at the September 2019 Overview & Scrutiny Committee meeting. **There is no new information on plans to improve	Committee meeting 26 September 2019 and briefing note 8 December 2020.	Briefing Note	Zoë Court	To be advised if applicable.	No officer will attend the Committee meeting unless there is a request. If there is a request, Members should send their questions to the report author before the meeting.

Title	Where did item originate from	Format	Lead Officer / Councillor	Next report date if applicable	Completion Date / Notes
accessibility to, and the condition / cleanliness of, toilets for people living with disabilities – Officers request that this update is postponed until such time as budget figures 2021/22 for improvements are known.					
Minimum Energy Efficiency Standards Enforcement Process – Private Sector Housing	O&S August 2020	Written Report	Mark Lingard		A review was requested once the scheme had been operation for 12 months. Covid Lockdown has meant that the 12 months has not been achieved yet.

**Response from the meeting of the Cabinet on the
O&S Committee's Comments – 23 September 2021**

<u>Item Number: 4 – Service Integration and Joint Accommodation Work between
Warwick District Council and Stratford-on-Avon District Council</u>

Requested by: Chair, O&S

Reasons Considered: Because of the strategic nature of the changes, its importance
and impact on residents.

Scrutiny Comment:

The Committee considered that a summary of risks through a risk register was
required and therefore recommended to Cabinet that regular risk reporting
should be provided to Councillors.

The Committee also requested that regular service level performance data
should be available to Councillors on the Service Area Dashboard, providing
comparison between current service area performance levels against the merged
service areas.

Cabinet Response:

The Chief Executive agreed with the need for a summary of risks. He also stated that
a performance baseline report could be provided but that SDC did not record the data
in the same way and therefore it would be difficult to draw direct comparisons.

The Cabinet agreed to the recommendation made by the Overview & Scrutiny
Committee and approved the recommendations as set out in the report with the
inclusion of the recommendation made by O&S.

<u>Item Number: 13 – Low Carbon Enabling Development</u>
*(Confidential report, but the content below does not contain any confidential
information)*

Requested by: Labour Group

Reasons Considered: The scale and impact of the proposals on the District, its
contribution to the ambitions and achievement of the District's response to climate
change, its feasibility in these terms and to take an initial view of the proposed land
and financial arrangements.

Scrutiny Comment:

The Committee recommended to Cabinet that a business case and plan for hydrogen
hubs should be referred to the Climate Emergency PAB for consideration.

In noting the complexity of the scheme and the difficulties faced, the Committee
requested that a briefing be provided to all Councillors on the development proposals.
The Committee also wished to know how this would contribute to the Council's
Climate Emergency target to be net zero carbon.

Cabinet Response:
The Cabinet agreed to the recommendation made by the Overview & Scrutiny Committee and approved the recommendations as set out in the report with the inclusion of the recommendation made by O&S.

Title: Progress Update – Merger of ICT Systems
Lead Officer: Head of ICT
Portfolio Holder: Councillor Hales
Wards of the District directly affected: All Indirectly

Summary

It was requested at the previous meeting of the Overview and Scrutiny Committee that a report would be brought forward to update on progress towards the merging of ICT systems and data, including plans if the authorisation for full political merger is denied, to enable effective Scrutiny of the proposals.

Recommendation(s)

(1) That the contents of the report are noted and any comments arising are fed back to the Head of ICT.

1   Background/Information

1.1   This report outlines the work that has already been undertaken and the plans that are in place for the merger of key ICT systems. These activities are in support of Warwick and Stratford District Council's merging services to create a single, statutory South Warwickshire Council by 1st April, 2024.

1.2   **Progress to date**

1.2.1   Whilst authorisation for a formal merger is still under consideration, some progress has already been made to make the sharing of ICT services easier with our existing systems. These include:

- *Consolidation of Email Accounts*

  Staff who are shared between Stratford and Warwick District Council's now only have one email account. Whist both an independent Stratford and Warwick district address is presented to the outside world, all messages are routed to a single address in the background. This significantly reduces the email management burden on shared staff and reduces the overall licensing costs incurred by the Council.

- *Shared Calendars*

  Staff across both organisations can now automatically share calendars, showing either free/busy or more detailed information of their choice. The sharing of calendars significantly improves how efficiently joint meetings can be organised and allows staff in teams with shared managers to access their service leads more easily.

  The principles put in place to share calendars between Warwick and Stratford District Council's could easily be applied to other public sector organisations in the future.

- *Shared Teams Environments*

  Services within both authorities can now request that shared Microsoft Teams environments are created, facilitating greater collaboration and closer working.

  The shared access goes beyond simple meetings and can also be used to share chat environments, supports the co-authoring of documents and the sharing of files.

- *Migration of both Council's to Office 365*

  Both Council's have now completed their initiatives to migrate all users to Office 365 for core services such as email, One Drive (for storage) and Teams.

- *Remote Access to Applications*

  Facilities have been put in place to allow shared staff members remote access to applications that are native to one organisation. Previously this could only be accommodated by providing the officer with a separate device. Instead, a remote connection to a virtual PC from the officer's native laptop now allows them to securely access services that are only available on their joint organisations network.

- *Joint Solution Procurement Methodology Agreed*

  The Joint Management Team recently approved a joint process for the design, evaluation, prioritisation and procurement of new ICT solutions. The introduction of new solutions will be co-ordinated by ICT in conjunction with service areas in a collaborative fashion and all services must now fully consult ICT before introducing new technology solutions.

- *Parallel ICT Audits*

  It was agreed by each Council's respective audit teams that this years (and future) ICT audit programmes will be carried out in parallel, with both organisations being subject to the same auditing activities. This year, two thirds of planned audits will be common across both Councils.

- *Joint Staff Portal*

  A central hub that is accessible to staff from both councils has been created and is currently being used to support collaboration and the dissemination of information relating to the merger process.

- *Common Desktop Solutions*

  Both Councils have rolled out desktop hardware solutions that are identical across their buildings and have utilised Dell laptops for their deployments to staff. Each desk in both Council's offices has a common combination of two 24" screens, a USB-C docking station, keyboard and a mouse. Physical phones have been removed and each staff member has been provided with a headset for telephony usage.

  Whilst the software configurations of laptops are currently bespoke to each authority, staff can work from either Council's site interchangeably, in the same way as they may work from any other agile location.

- *Common Hybrid Working facilities*

  Both Councils are currently equipping their meeting rooms to facilitate hybrid working. Whilst the long-term future of both Council's offices may

be in question, the solutions introduced may ultimately be re-located to a new site, and standard equipment has been used at both locations.

The solution being introduced should be simple for staff and visitors to use, presenting only two commonly recognised cables (USB-A and HDMI) for people to connect. Once plugged in, dedicated cameras and microphones will support clear conversations with remote participants, who will be displayed on a screen appropriately sized for the room.

1.3 **Our applications**

1.3.1 Both Warwick and Stratford District Council operate a significant number of legacy line-of-business applications. Some of these applications despite their age remain supported by the supplier and widely used within the local government space, but this does not mean they will be fit for use within the South Warwickshire Council of the future or adequately provide for services now.

1.3.2 The merger process will require the consolidation of major business applications and this will not be completed by 2024. The scope of work involved with merging applications is simply too big to fit within a two year window without massive and unrealistic investment in staff resources and external support. As such, ICT will work with the programme management team to identify the areas that require prioritisation, according to the service order within the merger, the priority areas of the Council, statutory requirements and service area satisfaction.

1.3.3 Table one identifies the major line of business applications in use by services at both Councils. As can be seen, all services except Revenues and Benefits have different platforms in use, but even where commonality does exist, there are significant differences in how the systems are operated, which will still require reconciliation.

Service Area	Warwick DC	Stratford DC
Revenues and Benefits	Civica	Civica
Housing Services	MIS Active H	Uniform / Arbitras (partnership)
Planning and Building Control	Idox Accolade	Idox Uniform
Customer Services	Cisco Telephony No CRM	Mitel Telephony In-House CRM
Regulatory Services	Civica APP / Arcus	Idox Uniform
Legal Services	NA	Iken
Democratic Services	CMIS	Modern Gov
Elections	Express	Express
Finance	Tech One FMS	Civica Financials
GIS	GGP	ESRI
Website	Jadu CMS	In-house CMS

Document Management	Multiple application specific vendors	Multiple application specific vendors
Payments	Capita / Allpay	Capita / Allpay
BACS DD	Bottom Line e-Pay	Pay Gate
LLPG	Idox Accolade	Idox Uniform
Asset Management	Active H	Idox
Licensing	APP	Uniform
Payroll and HR	iTrent	iTrent / Tempus
Carparks	Chipside	Chipside
Document Capture	Adhoc	Kofax
Table 1 - Major Line of Business Applications in use at both Councils.		

1.3.4 It is important to note that the merger of line of business applications will be an extremely complex undertaking. It will take a lot of time and will incur significant financial costs which may not have been fully described in the February outline business case. At this stage, it would be impossible to put an accurate figure on the costs of merging business applications as there are factors involved in deciding a future direction that simply cannot be addressed. As such, each merger will be considered on a case-by-case basis which fully explores the financial implications.

1.4 **Our Core ICT Infrastructure**

1.4.1 Core ICT services are provided at both Councils by ICT and whilst currently independent, are broadly based on the same technology and systems. For example, both Council's core server estate uses the Microsoft Windows operating system, anti-virus solutions are common and the use of Office 365 as a productivity tool is already established. However, the commonality of some components does not significantly reduce the magnitude of the task faced by ICT as outlined below:

- Telephony

  Both Councils currently use different telephony solutions. Stratford utilise the Mitel platform for their contact centre operations and Microsoft Teams for their general office telephony. At Warwick District Council, Cisco telephony is used throughout.

  Telephony will be one of the first services brought together, with key provisions required to support the launch of the joint waste service in August 2022. In a wider context, a common telephony platform will be essential to providing joint customer service operations and is seen as a priority component for merger.

- Server Estate

  Both Council's operate a significant on-premise server estate that in both instances, will require replacement within the next two years. This issue is complicated further as both Council's utilise different server virtualisation technologies, which will require reconciliation before any merged data centre operations begin.

It is expected that a significant number of the Council's current systems, if not directly replaced, will be migrated to cloud hosted solutions as part of their natural upgrade process. This however will not be the case for all solutions and ICT will investigate the future requirements for on-premises server hardware as part of its migration plans.

- Desktop Estate

Both Council's completed a refresh of their desktop estate during 2020-2021. As such, it is anticipated that the hardware purchased as part of this refresh will continue to be serviceable for at least the next five years.

There are presently several differences in how desktop services are provided between the Councils, such as deployment methods, VPN usage, two factor authentication systems and software versions. These will be reconciled as part of the merger process to establish a common desktop standard used across both organisations.

- Network Estate

Both Council's currently operate independent networks which utilise different physical hardware and, are supported by different suppliers for wide area network and internet access services.

As part of the merger process and in consideration of plans to move to a new shared headquarters, ICT will design a new network infrastructure and supporting hardware for the South Warwickshire authority. We will also consider the structure of our wide area network and internet services to remove any single points of failure, in support of the significantly enhanced agile working provisions both authorities now have. Improved security will also be a significant consideration in the new solution design, as a number of technologies and techniques now exist that were not possible when our current networks were designed.

1.4.2 The ICT team is currently working on a 12-month programme to bring as many core services together as possible. Work is currently underway to secure a common domain name, which will then be used to facilitate the creation of a new joint environment, whilst not affecting existing critical services. The production of a common environment will have financial implications and as with application consolidations, these will be brought forward on a case-by-case basis.

2   Alternative Options

2.1   Prepare for Shared Services

2.1.1 ICT is currently considering its solutions from the perspective of a joint South Warwickshire authority being created. However, many of the same activities would still need to be undertaken even if a proposal simply to share services was taken forward instead.

2.1.2 The solutions being designed will be flexible enough to maintain the sovereignty of each organisation should a full merger not be undertaken. A shared email system for example will still be capable of presenting independent email addresses for both Stratford and Warwick District Council's without any significant impact on how information is shared.

2.1.3 As a potential consequence of opting for shared services only, some applications for a limited number of services may have to remain as separate

systems. Most modern applications can accommodate multiple tenancies, but this is not a default position for all suppliers. Sharing services may also lead to more complex licensing arrangements as it will not be possible for one Council to simply use the software of the other without a contractual agreement.

2.1.4 Preparing for shared services is not necessarily an alternative option, but simply a choice that can be made in the future and is presented here to highlight that ICT can support either model of operation in the future.

2.2 **Remain Independent**

2.2.1 This option is essentially "do nothing" where both ICT services would continue to manage their own independent applications and core services.

2.2.2 As this report shows when discussing progress to date, this method of working can be done, but its benefits and advantages are very limited. At present, we have taken this method as far as it can go and whilst it is acceptable on a limited basis, it does not scale up to an authority wide solution. It also does nothing to support any of the strategic benefits identified as part of the merged authority business case.

2.2.3 This is not considered as a viable alternative option.

3 **Consultation and Member's comments**

3.1 The purpose of this report is to enable Members to make comments.

4 **Implications of the proposal**

4.1 **Legal/Human Rights Implications**

4.1.1 This report does not have any specific legal or human rights implications, but the subject matter of the report will have, in time. These will be considered on a case-by-case basis.

4.2 **Financial**

4.2.1 This report does not have any financial implications, but the subject matter of the report will have. These will be considered on a case-by-case basis.

4.3 **Council Plan**

4.3.1 The Council's Fit for the Future Strategy is designed to deliver the vision for the district of making it a Great Place to Live, Work and Visit. Whilst this report has no direct impact on the Fit for the Future outcomes, the subject matter of the report will. The potential, high level impacts are outlined in table two.

People	Services	Money
External		
No direct impact on intended outcomes.	The improvement of services through the Digital programme will contribute towards the Council becoming net	No direct impact on intended outcomes.

	Internal		
Digital Programme will improve the digital capabilities of staff, Councillors and Senior Leadership. Merger programme will result in the harmonisation of processes and technology, improving the tools available to staff to carry out their responsibilities. ICT's work programme will require full engagement with staff in service areas to support and empower them through the transformation of ICT provisions.	The Digital Programme champions putting the customer at the centre of all future service design activities from both a technology and process perspective. The transformation programme will require a comprehensive review of our internal processes to optimise these for digital delivery. Every aspect of ICT's involvement in the merger process will increase the digital provision of services.	The Digital Programme will seek to optimise the Council's use of both its technology and information assets. The optimisation of licensing and consolidation of line of business applications will support the Council's efforts to manage costs and seek best value for money.

Table 2 – High level anticipated impacts on the Council plan.

4.4 Environmental/Climate Change Implications

4.4.1 This report does not have any environmental or climate change implications, but the subject matter of the report will. These will be considered on a case-by-case basis.

4.5 Analysis of the effects on Equality

4.5.1 This report does not have any equality implications, but the subject matter of the report will. These will be considered on a case-by-case basis.

4.6 Data Protection

4.6.1 This report does not have any data protection implications, but the subject matter of the report will. These will be considered on a case-by-case basis.

4.7 Health and Wellbeing

4.7.1 This report does not have any health and wellbeing implications, but the subject matter of the report will. These will be considered on a case-by-case basis.

5 Risk Assessment

5.1 This report does not have any specific risk implications, but the subject matter of the report does. As such, the most significant risks identified to date are summarised below:

5.2 Failure to adequately cost software mergers

This risk describes the likelihood that the financial implications of fully merging software applications are not understood by the authority and as such, insufficient resources are put in place to deal with this.				
As Is			With Recommendations	
Likelihood – High	Impact – High		Likelihood	Impact
The strategic business case did not identify or fully explore the costs of merging ICT applications.	Applications may not be successfully merged, resulting in duplicated costs and additional support burdens.		Low	Low
Control Recommendations	Considering each merged system on a case by case basis, following the recently agreed ICT Solutions Procurement method, will allow the authorities to fully understand the costs and benefits of merging an application. In most instances, re-procurement of solutions would eventually be required anyway, to remain compliant with procurement regulations.			

5.3 Failure to adequately resource the merger process

This risk describes the likelihood that the merger process will not be fully resourced from an ICT perspective, with deficiencies in areas such as project management, business analysis and technical expertise.				
As Is			With Recommendations	
Likelihood – High	Impact – High		Likelihood	Impact
The strategic business case did not identify or fully explore how ICT related projects would be resourced.	Failure to resource projects effectively may result in prolonged implementation times, sub-standard implementations or significant service failures.		Medium	Medium
Control Recommendations	The workplan of ICT will be made visible to the Transformation Working Group and Joint Management teams. The prioritisation of workload will contribute to ensuring that ICT does not become overloaded with projects whilst still attempting to "keep the lights on" and conduct day to day operations. The introduction of appropriate project management resource will also help to ensure ICT's projects remain effective, on track and deliverable.			

6 Conclusion/Reasons for the Recommendation

6.1 This report sets out current position on the work being undertaken to provide a shared ICT service in conjunction with Stratford District Council.

7 Background Papers

7.1 Merger Business Case

7.2 Procurement Harmonisation and Project Support (JMT Report)

Report Information Sheet
Please complete and submit to Democratic Services with draft report

Committee/Date	2nd November 2021
Title of report	Progress Update – Merger of ICT Systems

Consultations undertaken		
Consultee *required	**Date**	**Details of consultation /comments received**
Ward Member(s)		
Portfolio Holder WDC & SDC *	25.10.21	Cllr. Hales
Financial Services *	25.10.21	Mike Snow
Legal Services *	25.10.21	Phil Grafton
Other Services		
Chief Executive(s)	25.10.21	Chris Elliott
Head of Service(s)	25.10.21	David Platts
Section 151 Officer	25.10.21	Mike Snow
Monitoring Officer	25.10.21	Phil Grafton
CMT (WDC)	25.10.21	Chris Elliott, Andy Jones, Dave Barber, Tony Perks
Leadership Co-ordination Group (WDC)		
Other organisations		

Final decision by this Committee or rec to another Ctte/Council?		Recommendation to Overview and Scrutiny Committee
Contrary to Policy/Budget framework		No
Does this report contain exempt info/Confidential? If so, which paragraph(s)?		No
Does this report relate to a key decision (referred to in the Cabinet Forward Plan)?		No
Accessibility Checked?		No issues

Title: Update on Joint Work with SDC
Lead Officer: Chris Elliott (01926 456000)
Portfolio Holder: Councillor Hales
Wards of the District directly affected: All

Summary

It was agreed at a previous meeting of the Overview and Scrutiny Committee and of the Finance and Audit Committee that a report would be brought to each meeting to set out the progress of the work being done to enable effective Scrutiny of the proposals.

Recommendation

(1) That the contents of the report and appendices are noted and any comments arising are presented to the Cabinets of both Councils and the Joint Advisory Steering Group (JASG).

---

1 Background/Information

1.1 This report re iterates the vision agreed by both Councils and the reasons for undertaking this approach; sets out work done to date; the next steps; the key benefits; and the key milestones and intended overall outcome. The changes form the last report are set out in italics.

1.2 Vision – both SDC and WDC at their respective Full Councils agreed the following vision:

To create a single statutory South Warwickshire Council covering all of the activities currently carried out by Stratford on Avon District Council and Warwick District Council by 1st April 2024.

1.3 Reasons for undertaking this approach:

- Both Councils have significant financial pressures
- Both Councils wish to continue to provide valued services to residents/businesses/local communities
- The two Councils have a good track record of partnership
- There is a shared economic geography between the two Councils
- There is a shared sense of community between the two Councils' areas
- There is a very strong political relationship in place
- The two Councils are within the same County Council area.

1.4 Work done to date (including ongoing work) includes:

- Deloitte Report commissioned and agreed by both setting out the high-level business case for the creation of a single South Warwickshire Council
- Vision stated above (paragraph 1.2) agreed by both Councils
- The Cabinet portfolios for both Councils are fully aligned
- Joint contract awarded for the Refuse and Recycling Service
- Developing jointly a South Warwickshire Local Plan
- Developing a joint Regulatory Services Enforcement Policy
- Developing a South Warwickshire Economic Strategy
- Agreed a shared set of ambitions regarding the Climate Emergency
- Joint Staff/HR policies agreed
- Agreed and have appointed a Transformation Programme Manager and Programme Support Officer
- Established a governance regime via the creation of an officer Programme Board (which meets weekly) and the Councillor led Joint Arrangements Steering Group (Reports and Notes of meeting available on the South Warwickshire Together Hub)
- Work on due diligence financially undertaken by LGA consultant and reported to JASG
- Regular meetings with Unison (both branches) on a fortnightly basis
- Communication Hub for all Staff and Councillors of both Councils established – South Warwickshire Together Hub
- Leaders and CEOs meet fortnightly
- Joint Management Team meets weekly (2 vacancies immediately saved)
- Discussions have started with the Government regarding the creation of a single South Warwickshire Council
- Agreed paper for public consultation proposals
- Sharing experience and likewise gaining experience from joint work of other Councils including those who have merged and those who are also considering the same step
- Update presentations given to Councillors, members of staff and Service Managers
- Scrutiny Chairs of SDC/WDC have met
- Start of public consultation on proposal from 6th September to 24th October – 600 representatives of the community directly surveyed; open form available for all to make their comments; stakeholders notified and asked for comments; focus groups for local residents; parish/town council; community/voluntary; business.
- *CEOs have held a consultation session with over 50 Parish/Town Councils; and with business representatives of the Chamber of Commerce; almost 600 staff have attended CEO briefing sessions. All 3MPs have been briefed.*
- *Programme of Service Integration and about principle of sharing an HQ was subject to a separate report that has been agreed by both Cabinets.*
- *Business Case for Joint Legal Service integration was agreed by both Cabinets.*
- *Report to Employment Committee re use of Section 113 Agreements for the Service Integration process.*

1.5 The next steps include the following:

- Both Councils to consider the decision to make a formal application to merge the two organisations to create a single South Warwickshire Council – on Monday 13th December

1.6   The expected benefits include:

- Delivery of significant net savings as envisaged in the Medium-Term Financial Strategy
- Enhanced partnership working
- Increased presence, influence, and strategic voice
- Increased service resilience
- Improved customer experience – residents and business
- Strengthened workforce opportunities arising from a larger workforce

1.7   The key milestones are:

- Agreement to the business case to be submitted to Government on 13th December 2021
- Approval granted by the Secretary of State within a year of the submission date
- Shadow Council in existence from April 2023 – elections inc. those of Parish deferred for a year
- All services merged by March 2024 having started the process in November 2021
- New Council comes into life on 1st April 2024
- Elections to new Council in May 2024

1.8   The overall outcome would be that a new South Warwickshire Council which has a sustainable financial foundation and so is able to deliver transformed, and relevant services for the residents, businesses, and communities of the area.

2   Alternative Options available to (name of Committee/Cabinet etc.)

2.1   Strategic options were evaluated as part of the work done for the public consultation and can be seen at the Hub.

3   Consultation and Member's comments

3.1   The purpose of this report is to enable Members to make comments.

4   Implications of the proposal

4.1   Legal/Human Rights Implications

4.1.1 If so decided by Members, and then by the Government, the proposal will have very significant legal implications in that both SDC and WDC will cease to exist and a new legal identify will come into being.

4.2   Financial

4.2.1 This report does not impact on the budgetary framework or budget, but the subject matter of the report will have an impact.

4.3   Council Plan

4.3.1 Fit for the Future (FFF)

4.3.2 The Council's FFF Strategy is designed to deliver the Vision for the District of making it a Great Place to Live, Work and Visit. To that end amongst other things the FFF Strategy contains several Key projects.

4.3.2 The FFF Strategy has 3 strands, People, Services and Money, and each has an external and internal element to it, the details of which can be found on the

Council's website. The table below illustrates the impact of this proposal if any in relation to the Council's FFF Strategy.

4.4 **FFF Strands**

External impacts of proposal(s)

People - Health, Homes, Communities - The report will have no direct impact for the community at this stage, but the overall programme will assist with the ability to continue to provide services.

Services - Green, Clean, Safe – As above.

Money- Infrastructure, Enterprise, Employment – As above.

Internal impacts of the proposal(s)

People - **Effective Staff** – The joint work will offer better protection to staff than the alternatives and by being part of a larger workforce it will offer more opportunities for training and progress.

Services - Maintain or Improve Services – The joint work is intended to better enable the two Councils to maintain or improve their services.

Money - Firm Financial Footing over the Longer Term – It is intended that the work does provide for a firm financial footing over the longer term.

Supporting Strategies & Changes to Existing Policies – The joint work will impact on the two Council's policies. Part of the Programme of work will be to bring the policies of the two Councils into line over the period to 2024 and in some cases beyond that.

4.5 **Environmental/Climate Change Implications**

4.5.1 The Councils have agreed a common set of priorities on Climate Change.

4.6 **Analysis of the effects on Equality**

4.6.1 A high-level impact statement prepared in conjunction with public consultation can be seen on the consultation website and will also be published on the South Warwickshire Together Hub.

4.7 **Data Protection**

4.7.1 Not applicable.

4.8 **Health and Wellbeing**

4.8.1 An indication of what might be possible is set out in a separate report on the November Cabinet agenda.

5 **Risk Assessment**

5.1 A risk register for the joint work is being developed and is attached as Appendix 1 for consideration and comment.

6 **Conclusion/Reasons for the Recommendation**

6.1 This report sets out current position on the work being done jointly with SDC.

Report Information Sheet
Please complete and submit to Democratic Services with draft report

Committee/Date	Overview and Scrutiny/Finance and Audit Committee 2nd/3rd November 2021
Title of report	Update on Joint Work with SDC

Consultations undertaken		
Consultee *required	**Date**	**Details of consultation /comments received**
Ward Member(s)	-	
Portfolio Holder WDC & SDC *	18.10.21	Cllr Hales
Financial Services *	18.10.21	Mike Snow
Legal Services *	18.10.21	Phil Grafton
Other Services	-	
Chief Executive(s)	18.10.21	Chris Elliott
Head of Service(s)	-	
Section 151 Officer	18.10.21	Mike Snow
Monitoring Officer	18.10.21	Phil Grafton
CMT (WDC)	18.10.21	Chris Elliott, Andy Jones, Dave Barber, Tony Perks
Leadership Co-ordination Group (WDC)	-	
Other organisations	18.10.21	SDC

Final decision by this Committee or rec to another Ctte/Council?		Recommendation to Overview and Scrutiny Committee/ Finance and Audit Committee
Contrary to Policy/Budget framework		No
Does this report contain exempt info/Confidential? If so, which paragraph(s)?		No
Does this report relate to a key decision (referred to in the Cabinet Forward Plan)?		No
Accessibility Checked?		File/Info/Inspect Document/Check Accessibility

Impact	5	Catastrophic	5	10	15	20	25
	4	Major	4	8	12	16	20
	3	Moderate	3	6	9	12	15
	2	Minor	2	4	6	8	10
	1	Negligible	1	2	3	4	5
			Rare	Unlikely	Possible	Likely	Very Likely
	Score		1	2	3	4	5
					Likelihood		

Programme Risk Register

Ref	Risk Owner	Risk Description	Potential Consequences	Risk Rating			Mitigation	
				Likelihood	Impact	Overall Risk Rating	Existing Controls	Proposed Actions/Comment
PR001	Programme Board	One or both Councils voting against a full constitutional merger	Both councils would have to seek further options to achieve savings and efficiencies Both Councils not realising the full potential of financial and non financial benefits	3	4	12	Continue to build a strong record of collaboration between the two Councils, strengthening the rationale for merging. Consult the public and show the results of this consultation. Openly and regularly engage with elected members about the outcomes of all options ahead of key decisions	Build a strong business case showing clear financial and non-financial benefits.
PR002	Programme Board	The Government may not give assent to the merger proposal.	Both councils would have to seek further options to achieve savings and efficiencies Both Councils not realising the full potential of financial and non financial benefits	3	4	12	Continue to build a strong record of collaboration between the two Councils, strengthening the rationale for merging. Consult the public and show the results of this consultation.	Build a strong business case showing clear financial and non-financial benefits.
PR003	Programme Board	A submission to merge the district councils could trigger a local government reorganisation review for the whole Warwickshire area	An invitation from Government would have to be responded to within a given timescale.	3	3	9	Previous scoping work has been undertaken in consultation with other district and borough councils that began to explore local government reorganisation options.	To note,this is not the primary intention of the proposed merger of the two district councils. Maintain dialogue with the DLUHC on position.

Ref	Risk Owner	Risk Description	Potential Consequences	Risk Rating			Mitigation	
				Likelihood	Impact	Overall Risk Rating	Existing Controls	Proposed Actions/Comment
PR004	Programme Board	Establishment of a larger local authority could lead to a 'democratic deficit' as a result of the reduction in the overall number of elected members.	Residents feeling further removed from their representatives	2	3	6	Maintain established links with Town and Parish Councils.	Establish arrangements to help elected members encourage community participation in decision making. Exploit the opportunities that modern technology offers to increase engagement between residents and elected members.
PR005	Programme Board	A bigger council may result in diseconomies of scale	If unchecked, could risk long term sustainability of local government.	2	4	8	Alignment of organisational policy, processes and contracts has begun.	Any changes to services should be carefully assessed and the right scale for all services should be found. Services do not have to be delivered at the super-district level if they are better delivered more locally. Economies of scale should only be made when suitable.
PR006	Programme Board	Lack of programme management and transformation capacity and capability to deliver the merger and transformation around the same time.	Failure to effectively manage interdependencies between transformation activities may lead to increased cost of delivery and / or implementation delays.	3	3	9	Transformational funding will be required to fund additional Council Staff posts to manage the change. This has been initially agreed at £200k annually for a 3 year period and will be monitored by the programme board. Programme Management Office (PMO) established to track and monitor delivery of the programme, realisation of benefits (with measurable targets), risk management, member engagement, governance and reporting.	Take a phased approach where the merger is implemented first along with robust change management processes before wider large scale transformation takes place will help ensure there is sufficient change management capacity. Additional funding for ICT, redundancy and external advice will be required to enhance the full potential outcomes and benfits to be realised in time. Where appropriate buy in the skills and capacity needed. Ensure timescales are realistic based on the resources available. Assessment of support required by services for their alignment.

Ref	Risk Owner	Risk Description	Potential Consequences	Risk Rating			Mitigation	
				Likelihood	Impact	Overall Risk Rating	Existing Controls	Proposed Actions/Comment
PR007	Programme Board	Newly formed teams and organisational cultures are not fully integrated	Could lead to staff issues such as reduced morale and increased staff turnover.	3	4	12	A clear rationale and set of principles for service integration are developed to integrate teams and enable further optimisation to take place afterwards. A communications strategy and plan should be produced explaining the transition process and the operating principles of the new authority.	Design and delivery of the 'One Team' Workstream will seek to implement culture change activities and initiatives. Identify opportunities to create capacity through new staffing models. Maximise the opportunities afforded by workforce agility, technology and partnership working with other public sector agencies. Senior leadership should model the new behaviours and actively manage culture change during the transition. Embed new ways of working into performance management and reward systems. Identify staff change champions.
PR008	Programme Board	Anticipated savings are not achieved and/or transition costs exceed estimates.	This may impact on the financial resilience of the new council.	3	4	12	Establishment of a programme management office. Undertake regular reviews of the savings profiles and calculations during implementation to ensure they remain realistic and achievable.	Develop thorough and realistic cost and savings plans. Use scenarios to stress test best and worst case outcomes.
PR009	Programme Board	Failure to effectively manage interdependencies between transformation activities may lead to increased cost of delivery and / or implementation delays.	May lead to increased cost of delivery and / or implementation delays.	3	4	12	Establishment of a programme management office Development of a detailed implementation plan. Implement a robust change management process.	Receive regular reports from workstream leads

Ref	Risk Owner	Risk Description	Potential Consequences	Risk Rating			Mitigation	
				Likelihood	Impact	Overall Risk Rating	Existing Controls	Proposed Actions/Comment
PR010	Programme Board	Integration of ICT systems across the two councils	The complexity of IT integration may undermine and put at risk the potential benefits of common working practices gained from IT integration.	4	4	16	The future IT architecture will need to be defined and the current position baseline understood. A clear plan for migrating IT systems during the migration implemented within the ICT and Digital Workstream	Being realistic about the pace of ICT integration - it will take several years and a lot of investment. Needs to correlate with the digital strategy and customer access strategy, when developed. Plan and estimated cost (including support) of ICT intergation programme required.
PR011	Programme Board	Preparing for the transition may draw resource away from delivering other council strategies and plans.	Reduction in performance and service delivery levels. Increase the risk of service disruption and reduce resilience of the existing and new council.	3	4	12	Development of a robust implementation programme plan, including more detailed plans of contributory workstreams and change activities. Manage the resources required to contribute towards the development and implementation of the programme of change	Test resilience to ensure crisis systems, risk capacity and risk management systems are in place. Establish a clear split between those working on the merger and those running the operational business and bring in additional resources where there are capacity and skills gaps.
PR012	Programme Board	The Grading Review as part of this process may result in potential extra costs due to some posts being uplifted and others being protected.	Could compromise the delivery of anticipated savings	3	3	9	Review potential savings on a continual basis through the implementation phase, especially during service integrations. Implement agreed Joint HR Policies	Implement a single job evaluation scheme by the time of the proposed merger. Further alignment of Terms and Conditions Cost of job evaluation process, outcomes and salary protction to be estimated.

Ref	Risk Owner	Risk Description	Potential Consequences	Risk Rating			Mitigation	
				Likelihood	Impact	Overall Risk Rating	Existing Controls	Proposed Actions/Comment
PR013	Programme Board	Implementation of a major change may be seen as a capacity risk at a time when there will also be a major focus on COVID-19 recovery activities.	Reduction in performance and service delivery levels	3	4	12	Joint management team to monitor matters arising within their service service areas and to escalate to the Programme Board accordingly.	Set out clear timescales and resource implications for implementation, and ensure these can be met under the current ways of working and COVID-19 pressures (including any backlog of work due to the pandemic). Review capacity against the timescales and resource requirements, and identify gaps where recruitment / external support is required.
PR014	Programme Board	The process of agreeing a new service design could lead to a service that is not ideal for either predecessor.	Reduced levels of service delivery for the existing councils now and threaten the effectiveness in a new Council.	3	4	12	Ensure the implementation plan allows enough time for services to be co-designed and agreed upon. Establish a clear rationale and principles for service integration and optimisation.	Any changes to services should be carefully assessed and the right scale for all services should be found. Services do not have to be delivered at the super-district level if they are better delivered more locally.
PR015	Programme Board	Significant changes in operational and political leadership	Could impact negatively on the appetite for shared services and joint working.	2	4	8	Robust terms of reference for the governance structures establshed for the programme A communications strategy and plan developed to explain and relay the transition process and principles of the change programme.	Senior leadership should model the new behaviours and actively manage culture change during the transition. Identify staff and member change champions across both Councils through One Team Workstream.
PR016	Programme Board	Lack of customer/stakeholder focus	Increase in complaints from customers. Loss of faith and support in current and proposed organisation of local government	2	4	8	Communications and engagement plan to include activities for key stakeholders including residents	Further engagement to take place at different stages in the run up to becoming a single Council
PR017	Programme Board	Underestimate of start-up and delivery costs	Increased budget spend could hamper any expected savings	3	3	9	Financials to be regularly reviewed through the programme lifecycle including spend and savings	Additional funding for ICT, redundancy and external advice will be required to enhance the full potential outcomes and benefits to be realised in time. Estimated costs being re-assessed for consideration by Board.

Ref	Risk Owner	Risk Description	Potential Consequences	Risk Rating			Mitigation	
				Likelihood	Impact	Overall Risk Rating	Existing Controls	Proposed Actions/Comment
PR018	Programme Board	Loss of service performance and council reputation	Increase in complaints from customers. Loss of faith and support in current and proposed organisation of local government	3	4	12	Joint Management Team oversee KPIs for their service areas and to escalate	Programme schedule to be reviewed regularly to reduce impact on business as usual service delivery
PR019	Programme Board	Not standardising policies and procedures, especially at organisational level	Left unchecked, this could lead to issues of imbalance and increase potential for mis management and underperformance	2	4	8	Organisational policiy alignment and harmonisation to be led through the Organisational Development Workstream Acknowledgment that this will take a considerable amount of time and effort.	Once integrated, service areas to further explore these through service delivery / action plans The corporate strategy workstream would seek to address this wider in the transitional run up to becoming one Council
PR020	Programme Board	Getting accurate comparable data on unit costs	Savings profile for both Councils could appear imbalanced	4	3	12	Acknowledgement of the current MTFPs of both couincils and the associated savings.	Consolidating and creating a single MTFP
PR021	Programme Board	Political balance and constitution of each Council could present challenges for key decisions and milestones.	Protracted decisions could lead to delays in programme and operational delivery	3	4	12	The Joint Arrangements Steering Group, with agreed representation and the group leaders from both Councils is used as an initial discussion forum ahead of consideration at decision making committees.	The possibility of establishing further joint committees such as Cabinet and Overview and Scrutiny to be considered at an appropriate stage
PR022	Programme Board	Loss or absence of key officers during key activities of work in the programme such as Service Integrations	Implementation of service integrations could be hampered or delayed , impacting on the schedule.	3	4	12	Programme board to decide and implement interim measures to address these promptly	As a contingency, other service integrations may be brought forward.

Ref	Risk Owner	Risk Description	Potential Consequences	Risk Rating			Mitigation	
				Likelihood	Impact	Overall Risk Rating	Existing Controls	Proposed Actions/Comment
PR023	Programme Board	Large proportion of officers leave during the transformation process, and before efficiencies are realised.	The retained workforce could be insufficient to deliver services and implement further transformation	2	3	6	Joint organisational change policy, recruitment and redepolyment procedures agreed and in place from April 2021. Ensure service integration is staggered so that there is sufficient staff to establish new processes and support the new organisation to manage the loss of any knowledge and experience. Implement a robust change management process with service areas as they integrate and then look to optimise over time..	Once new processes are established, consider further efficiencies and enhancement opprtunities.