

A meeting of the Finance and Audit Scrutiny Committee will be held at the Town Hall, Royal Leamington Spa on Tuesday 11 February 2020 at 6.00pm.

Membership:

Councillor J Nicholls (Chair)

Councillor L Bartlett

Councillor S Syson

Councillor J Dearing

Councillor N Tangri

Councillor R Dickson

Councillor J Tracey

Councillor O Jacques

Councillor T Wright

Councillor V Leigh-Hunt

Vacancy – Whitnash RA

Emergency Procedure

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

Agenda

Part A – General Items

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 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 17 December 2019

(Pages 1 to 11)

Part B - Audit Items

4. **External Audit Progress Report**

To consider a report from Finance

(Pages 1 - 18)

Part C – Scrutiny Items

5. **Strategic Leadership / Chief Executive – Service Area Update**

To consider a report from the Chief Executive's Office

(To follow)

6. **Significant Business Risk Register**

To consider the report set out on the Executive Agenda for 12 February 2020

(Circulated separately)

7. **Review of the Work Programme and Forward Plan & Comments from the Executive**

To consider a report from Civic & Committee Services

(Pages 1 to 7)

8. **Executive Agenda (Non-Confidential Items and Reports) – Wednesday 12 February 2020**

To consider the 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.

(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 items by reason of the likely disclosure of exempt information within the paragraph 3 of Schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006.

10. **Executive Agenda (Confidential Items and Reports) – Wednesday 12 February 2020**

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)

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

fandascrutinycommittee@warwickdc.gov.uk

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

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

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

Finance and Audit Scrutiny Committee

Minutes of the meeting held on Tuesday 17 December 2019 at the Town Hall, Royal Leamington Spa at 6.00pm.

Present: Councillor Nicholls (Chair); Councillors: R Dickson, Jacques, Leigh-Hunt, Illingworth, Syson, Tangri and Wright.

82. **Apologies and Substitutes**

(a) there were apologies for absence from Councillors Bartlett and J Dearing; and

(b) Councillor Illingworth substituted for Councillor Tracey.

83. **Declarations of Interest**

Minute 85 – Executive Agenda (Non-Confidential Items & Reports – Wednesday 18 December 2019)

Executive Item 7 – Relocation of Kenilworth School – Playing Pitch Strategy and Land Purchase

Councillor Wright declared an interest because of his association with the school and left the room while the item was considered.

84. **Minutes**

The Minutes of the meeting held on 12 November 2019 were taken as read and signed by the Chairman as a correct record.

85. **Executive Agenda (Non-Confidential Items & Reports – Wednesday 18 December 2019)**

The Committee considered the following non-confidential items which would be discussed at the meeting of the Executive on Wednesday 18 December 2019.

Item 7 – Relocation of Kenilworth School – playing pitch strategy and land purchase

The Committee were appreciative of the assurances from the Deputy Chief Executive in respect of the current governance structure for the project and the opportunities this project provided for the Council. The Committee noted the report.

(Councillor R Dickson left the meeting after this item.)

86. **Environment & Business Portfolio – Service Review**

The Committee received a report from the Environment & Business Portfolio Holder that detailed the performance within the Portfolio area.

The Business part of this portfolio predominantly focused on services within the Development Services. The Development Services risk register, contracts register and budget had been used as the basis for reporting on this. However, the Environment part of this portfolio cut across all services and was a new dimension to the portfolio created in May 2019. This part of the portfolio was subject of a report to the Executive in November 2019. It did not have an independent risk register, contracts register or budget because these were dispersed across all services. The reporting and governance arrangements for the Environment element of the portfolio were still being established following the approval of the update on the Climate Change Emergency Action Plan at Executive. The report therefore concentrated on the Business element of the portfolio.

Updates relating to the Development Portfolio were not included in the report and were the subject of a separate report to the Committee in November 2019.

The Business Portfolio risk register was last reviewed on 26 November 2019. This version of the risk register was set out as Appendix A to the report.

The scoring criteria for the risk register were subjective and were based on an assessment of the likelihood of something occurring, and the impact that might occur.

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 was true for those risks plotted towards the bottom left corner of the matrix. If viewed in colour, the former-described set of risks were within the area shaded red, whilst the latter-described set of risks are within the area shaded green; the mid-range were in the area seen as yellow.

The Business element of the portfolio was responsible for a wide range of services which consequently led to a number of potential risks. There were 21 risks contained in the risk register.

There were four risks rated "green", 16 rated "yellow", and one rated "red", in accordance with the Council's risk scoring matrix. The risk rated red was the risk of *"Network Rail arches to be sold (confirmed - this refers to ALL arches whether under active or inactive tracks)"*.

As with all the risks in the register, it was the controls and mitigations that were being undertaken to control the risks that were of importance. These reflected the tangible actions over which there was more control. As a result, many of the risks had reduced in likelihood over time which explained why a significant proportion were **within the "yellow" band**. In addition, a number of risks that were included within the risk register in previous years had now fallen away.

The latest version of the contract register that related to the Business element of Portfolio was set out in Appendix B to the report and was last reviewed on 19 November 2019. There were 17 live contracts listed. All the contracts reviews planned for 2019 had been completed.

Details of the budgets relevant to the Business element of the Portfolio were included as Appendix C to the report.

Management of the budgets was part of the ongoing processes which ensured that significant variances were discussed with finance. The budgets were devolved to budget managers who were responsible for the delivery of specific services. Each budget manager was trained on their responsibilities. Those responsibilities included regular liaison with the relevant accountant in finance to discuss and resolve issues and variances associated with the budget. Managing expenditure in line with the budget was therefore part of the established practice of the service.

In response to questions from the Committee, the Portfolio Holder explained that:

- the mitigation relating to Risks 15 and 16, relating to enterprise projects, had been completed, and the scoring shown in the Appendix reflected this;
- there was continual monitoring ; of how the local economy was performing and for opportunities of how the Council could further enhance this;
- an Economic Impact Assessment had been commissioned to review the impact of events held in the District, which would then be used to inform decisions on which events to support in future;
- the majority of key performance indicators had been agreed with Shakespeare England and more were under discussion to ensure the Council achieved value for money from the contract;
- there was a need to monitor the exposure of the District from events and this formed a part of the Economic Impact Assessment;
- there was a need to consider disruption to local businesses when holding events in Town Centre but this needed to be balanced against the overall economic benefit from an event; and
- the new events officer had been appointed and was due to start in the new year.

Resolved that the report be noted.

87. **Executive Agenda (Non-Confidential Items & Reports – Wednesday 18 December 2019)**

The Committee considered the following item which would be discussed at the meeting of the Executive on Wednesday 18 December 2019.

Item 5 – Housing Revenue Account (HRA) Base Budgets 2020/21

The Committee noted the report and that paragraph 8.2.4 was included in error and should not be considered.

88. **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 item by reason of the likely disclosure of exempt information within paragraph 3 of Schedule 12A of the Local Government Act 1972, following the Local

89. **Executive Agenda (Confidential Items & Reports – Wednesday 18 December 2019)**

The Committee considered the following confidential item which would be discussed at the meeting of the Executive on Wednesday 18 December 2019.

Item 13 – Acquisitions and Disposals of Land and Property North of Gallows Hill, Warwick District Council

The Committee noted the report and that there was a known error with current Land Registry Certificate that Officers were in the process of resolving.

(The meeting resumed in public session.)

90. **Executive Agenda (Non-Confidential Items & Reports – Wednesday 18 December 2019)**

The Committee considered the following item which would be discussed at the meeting of the Executive on Wednesday 18 December 2019.

Item 3 - Council Loans Policy

The Committee suggested to Executive that (1) they amended the Policy so that Officers could refuse loan requests that did not meet the criteria; (2) the policy clearly stated it was for capital schemes only; and (3) there were some minor wording amendments that the Deputy Chief Executive would feedback to the Executive.

91. **Financial implications of the delayed HQ relocation**

The Committee received a report from the Deputy Chief Executive (BH) regarding the financial update on Covent Garden Car Park and the financial implications of delaying the HQ relocation.

The two issues were fundamentally linked following the Council decision in April 2016 to **relocate the Council's HQ offices, allowing the Riverside House** site, allocated for housing development in the Local Plan, to be vacated to enable that development to come forward and approve a comprehensive redevelopment of the Covent Garden site comprising of:

- a new multi-storey car park providing more spaces than contained in the existing multi-storey and surface car parks combined;
- an office block providing new HQ offices to allow the Council to vacate both Riverside House and the Town Hall; and
- **'enabling development' of housing apartments.**

Council had agreed that the development of both sites would be delivered through the PSP Warwick Limited Liability Partnership (LLP) that the Council had established with a private company, Public Sector PLC, in 2013.

The Council subsequently signed a Project Agreement with the LLP in July 2016. Under this agreement, the Council would fund the construction of the

new car park (with costs recovered from future income) and the LLP would fund the development of the new offices and enabling housing development. The LLP would be granted an option on the Riverside House site and would dispose of the site to a housing developer once the Council had moved to the new offices. The sale of the Riverside House site for development would cover the costs of the construction of the offices and **enabling development, the LLP's Facilitation Return and return a profit to be shared by the partners.**

The HQ relocation was scheduled to deliver £300,000 per annum of revenue savings to the General Fund and facilitate the relocation of Council functions from the Town Hall, saving a further £85,000 per annum.

The Executive considered a confidential report on the PSP Warwick LLP on 21 August 2019. Following that meeting, the Council issued a press statement on 3 September 2019 confirming the HQ relocation project would not be delivered by the LLP and, as the project was the only one that the LLP was responsible for, the Council would now be working with its partner, PSP, to discuss the future of the LLP. The statement included the following quote from the Leader of the Council: "No decisions have been made on the proposed HQ relocation or the future redevelopment of the Covent Garden area pending the outcome of the review that was announced by the new administration. These issues will be the considered by the Council at a **future date.**"

The Covent Garden car park remained operational and would continue to do so until a future decision was made on whether the site was redeveloped in part or full. Equally, a final decision would be required on whether to **relocate the Council's HQ offices from the Riverside House site and until that time, the building would need to remain fully operational.**

The 511 spaces Covent Garden multi-storey car park was a predominantly concrete structure. The Council routinely inspected its three multi-storey car parks and additionally, it commissioned periodic specialist structural surveys. Survey work undertaken in 2015 had identified two significant issues at Covent Garden:

- Corrosion of the rebar (internal steel rods within the concrete supporting structure) within the ramp to the upper decks and extensive delamination of the concrete structure on those decks following water ingress as a result of sealing to the upper (open) decks failing.
- Identification of Alkali Silica Reaction (ASR), which occurred when the alkaline pore fluid in concrete and the siliceous minerals in some aggregates used to form it reacted to form a calcium alkali silicate gel. This gel expanded when it absorbed **water to 'blow' open the concrete,** allowing further chemical reactions to occur and water ingress to the rebar. ASR could not be repaired and could only be slowed by preventing moisture ingress into the concrete and this was problematic in this structure due to the issues with the upper decks.

As a result of this survey work the top two floors of the car park, decks 7 and 8 were closed in 2015, reducing the operational capacity of the car park to 387 spaces. Significant remedial repairs were also undertaken to:

- replace/enhance vehicle impact barriers to protect the parapet walls, identified as at risk of being weakened by ASR;
- replacement of handrails;

- refurbishment of the drainage system to prevent further water ingress **to the central ramp 'core'**; and
- additional pedestrian protection along the ramps.

A further survey was commissioned in respect of the ASR with the findings reported to Executive in February 2016. This survey concluded that **"ASR is present throughout the building but at a lower risk than first considered and can be managed in the short term. There are however, substantial costs associated with maintaining Covent Garden for any length of time"**. Those costs were identified as c£2.3m, of which £814,000 was required within three years, that could allow the car park to remain operational for up to 20 years, although this life-cycle could not be guaranteed given the unknown factor of how quickly the ASR could activate and lead to the deterioration of the structural integrity of the building. These considerations were explored in more detail in the April report and were an important factor in determining the decision to relocate the HQ offices to Covent Garden, with the financial modelling indicating it was more cost effective to replace the car park than repair it.

As a result of the decision to defer the relocation project, a further specialist structural survey had been commissioned. This had found:

- No evidence of any new areas of ASR since the 2015 survey but micro-cracking as a result of ASR to the parapets on the north/south elevation.
- Significantly increased chloride levels since the 2015 survey which found negligible levels to all decks. The latest survey found over half of the test locations showed medium levels of corrosion and five test locations showed high levels of corrosion (Chloride ion content in concrete was one of the most common initiators of corrosion in the steel reinforcement embedded in concrete). The highest levels of corrosion were identified in the soffits and decks at levels 3, 5 and 7, with lower levels on decks 2 and 6. Of these, all except deck 7 were currently operational.
- No evidence that structural reinforcement was fundamentally compromised in any area, but continuing justification for the closure of decks 7 and 8, a need for remedial repairs to inhibit salt accumulation and water ingress, and continued monitoring given the on-going deterioration of the structure.

If the car park was to remain open, it was estimated that repair work to the value of c£1.3m (2019 prices) would be required in the next two to five years. This expenditure would need to be incurred every 10 years to maintain the effectiveness of the works. Although the current survey indicated that this level of expenditure should allow the car park to remain operational for c10 years, the works would not resolve the existing ASR and chloride corrosion and any further deterioration could lessen the remaining lifespan of the structure.

In addition, there were on-going maintenance costs for the car park which were currently averaging at £30,000 per annum. If the car park were to remain open long-term, the likely future costs were estimated as set out in Table 1 below.

Table 1

Term	Total Estimated Cost	R & M based on £30k p.a.	Cumulative Total
Immediate (1yr)	£44,000	£30,000	£74,000
Short (2yr)	£916,000	£30,000	£1,020,000
Medium (5yr)	£380,000	£90,000	£1,490,000
Long (beyond 10 years)	£1,340,000	£300,000	£3,130,000

The immediate expenditure requirements for 2020/21 could be accommodated within the proposed Planned & Preventative maintenance Budget that would be presented to for approval in February 2020 as part of the Councils budget. However, the costs beyond that period were currently unfunded and careful consideration needed to be given as to how they could be met in future years, pending future decisions made by Council.

Whilst the Covent Garden car parks remained operational, they generated an income for the Council. The current estimate for 2019/20 was £450,000 and a similar sum for 2020/21 had been built into the base budget. These estimates were based on the following income receipts for recent years as set out in Table 2 below.

Table 2

	Short stay	Long stay (Multi storey only)	Season Tickets	Total
	£	£	£	£
2016/17	145,000	330,000	58,000	533,000
2017/18	142,000	300,000	48,000	490,000
2018/19	134,000	288,000	25,000	447,000
2019/20 Q1	57,000	125,000	19,000	201,000

One further complication for the continued operation of the Covent Garden car parks was the age of the current Pay on Foot equipment. This was now obsolete and parts difficult to obtain, causing inconvenience for customers, loss of ticket income due to delays in repairs being able to be completed and additional repair costs. In the short term, it was intended to install Pay and Display ticket machines using old machines recycled from other car parks, although these could not be made operational until the new Parking Orders for 2020 were approved and sealed in January. However, this was a stop-gap solution and if the car park was to remain operational in the medium to long term, a new ticketing system would be required. This had not been costed and was not included in the sums referred to in Table 1 above.

The delays to the project meant that the revenue savings planned of £300,000 per annum, from the relocation of the HQ, to the General Fund budget would not be made as originally profiled within the Medium Term Financial Strategy. Within the July 2019 Fit For the Future Report, it was reported that the savings were now profiled from April 2022. The slipping of the project had not reduced the overall level of savings to be found by the Council on an on-going basis and required other savings to be secured sooner.

While active plans for the office move had been in place, expenditure on repairs and maintenance at Riverside House had been kept to a bare minimum for several years with only responsive repairs being undertaken. Despite this, it was an expensive building to operate and expenditure on repairs, utilities, maintenance contracts and other operating costs in recent years were set out in Table 3 below.

Table 3

Financial Year	£
2016/17	493,250
2017/18	534,700
2018/19	643,270

With the decision to put the relocation project on hold pending a future Council decision, it had not been possible to keep repair expenditure at historic low levels during the current financial year. In addition to any responsive repairs, expenditure estimated at c£70,000 would have been **incurred on 'backlog' repairs.**

Further expenditure on the building would need to be included within the draft Planned and Preventative Maintenance budget for 2020/21. This was currently estimated at £172,000.

If the Council decided to stay in the building in the longer term, further estimated expenditure of £1,890,000 would be required within the next five years.

The building had an extremely high carbon footprint and the above sums were likely to increase significantly were carbon reduction measures to be included in the maintenance programme.

The future costs of replacing the ICT cabling within Riverside House were also not included in the costs set out above. This was currently certified until 2025 but would work beyond that date. The data centre fabric, such as power, cooling and fire suppression, had been reviewed by the Assets team and expenditure to update the fire suppression and cooling systems was included within the figures above.

The servers, storage and backup solution were unaffected by the delay to the development of the new Council offices and their replacement was accounted for in the ICT Asset Reserve.

The physical computer network, including items such as switches, routers and firewalls were also largely unaffected by the delay and their replacement was accounted for in the ICT Asset Reserve. However, unlike the servers and storage which would be moved to the new build when it occurs, the network equipment was, to a degree, bespoke to the building and the services it supported. Greater certainty about a relocation date would allow the network asset replacements to be aligned to the office move.

If significant remodelling of Riverside House was to occur in the short to medium term and/or new working practices were introduced, such as hot-desking, then this could lead to additional ICT costs.

The printers/copiers currently within Riverside House (and the Town Hall) were leased on three and five-year leases. The shorter leases were to enable the number of machines to be reduced on the office move. With the delay to the office move, it was expected that four of the five short-term leased machines would be required for the full five years. Extending the leases on the four machines was estimated to cost an £9,993.28 for two years. This sum was allowed for within current budgets but would have been a saving as part of the office move.

The delays to the project meant that the revenue savings planned of £85,000 per annum from the Town Hall would not be made as originally profiled within the Medium Term Financial Strategy. Within the July 2019 Fit For the Future Report, it was reported that the savings were now profiled from July 2022.

The Town hall building was within the proposed remit of the Creative Quarter, but at its November meeting, the Executive agreed that the Council would determine the future of the building before inviting its regeneration partner, CDP, to develop any proposal for the building.

Officers were considering options, in open dialogue with Leamington Town Council, and these would be reported to a future Executive meeting. Any cost implications and/or impact on the current saving assumptions would be included as part of that report.

In response to a question from the Committee, the Deputy Chief Executive confirmed that at some point, a decision would need to be taken on the future of the Covent Garden Car Park.

It was observed by the Committee that there was a risk with the Covent Garden Car Park that it might be unavailable, either at short notice or because of redevelopment, for use during the Commonwealth Games in the summer of 2022.

Resolved that the report be noted.

92. **Internal Audit Quarter 2 2019/20 Progress Report**

The Committee received a report from Finance that advised on progress in achieving the Internal Audit Plan 2019/20, summarised the audit work completed in the second quarter and provided assurance that action had been taken by managers in respect of the issues raised by Internal Audit.

Members had a responsibility for corporate governance, of which internal audit formed a key part. **This Committee was the Council's** audit committee in the context of receiving and acting upon this report. Guidance on the role and responsibilities of audit committees was available from a number of sources. That which related **to audit committees' relationship with internal audit** and in particular the type and content of reports they should receive from internal audit was summarised in Appendix 1 to the report. However, essentially, the purpose of an audit committee was:

- To provide independent assurance of the associated control environment.

- **To provide independent scrutiny of the authority's financial and non-financial performance** to the extent that it affected **the authority's** exposure to risk and weakened the control environment.

To fulfil these responsibilities, audit committees should review summary internal audit reports and the main issues arising, and seek assurance that action had been taken where necessary.

At the request of the Deputy Chief Executive (AJ) and the Head of Health and Community Protection, an audit of Crime and Disorder had been replaced with a consultancy review of CCTV in order to help the Council prepare for an inspectorate review. The Crime and Disorder audit would be carried forward to next year. Previous reviews of this subject did not reveal any significant problems so this deferral was not considered a risk.

Seven audits were completed in the second quarter of 2019/20. Copies of all the reports issued during the quarter were available online.

The action plans accompanying all Internal Audit reports issued in the quarter were set out as Appendix 3 to the report. These detailed the recommendations arising from the audits together with the management responses, including target implementation dates. Responses had been received from managers to all recommendations contained in audit reports issued during the quarter in question.

Two audits completed in the quarter were awarded a lower than substantial **assurance opinion. These were in respect of the 'Grounds Maintenance' and 'Utilities Management.**

Resolved that the report, including its appendices, be noted.

93. **Executive Agenda (Non-Confidential Items & Reports – Wednesday 18 December 2019)**

The Committee considered the following non-confidential item which would be discussed at the meeting of the Executive on Wednesday 18 December 2019.

Item 4 – General Fund Base Budgets 2020/21

The Committee noted the report and the addendum with regard to Shakespeare England.

Item 9 – Finance Systems Replacement

The Committee supported the recommendations in the report and recommended to the Executive that a non-Executive Member should be on the Project Board for the report.

Item 6 – Rural/Urban Capital Improvement Scheme (RUCIS) Changes

The Committee noted the report.

94. **Review of the Work Programme and Forward Plan & Comments from the Executive**

The Committee received a report from Committee Services which informed the Committee of its work programme for 2019 as attached at Appendix 1 to the Report, as well as the current Forward Plan.

Resolved that the report and its Appendices be noted.

95. **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 item by reason of the likely disclosure of exempt information within paragraph 3 of Schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006.

96. **Confidential Minutes**

The Confidential minutes of the meeting held on 12 November 2019 were taken as read, subject to a clarification in Minute Number 79, regarding the answers provided by the Portfolio Holder for Housing so that it read "**40% social housing had been achieved by Warwick District Council in the houses that it has built**". The minutes were signed by the Chairman as a correct record.

(The meeting ended at 8.00pm)

CHAIR
11 February 2020

 WARWICK DISTRICT COUNCIL	Finance and Audit Scrutiny Committee 11 February 2020	Agenda Item No. 4
Title	External Audit Progress Report	
For further information about this report please contact	Mike Snow 01926 456800	
Wards of the District directly affected	N/A	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No.	
Date and meeting when issue was last considered and relevant minute number	N/A	
Background Papers	External audit papers included as appendices	

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

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	31/1/2020	Andrew Jones
Head of Service	31/1/2020	Mike Snow
CMT	31/1/2020	
Section 151 Officer	31/1/2020	Mike Snow
Monitoring Officer	31/1/2020	Andrew Jones
Finance	31/1/2020	Andrew Rollins,
Portfolio Holder(s)		
Consultation & Community Engagement		
Final Decision?	Yes/No	
Suggested next steps (if not final decision please set out below)		

1. **Summary**

1.1 The Council’s external auditors, Grant Thornton, have provided the attached Progress Report and Sector Update.

2. **Recommendations**

2.1 It is recommended that Finance and Audit Scrutiny Committee note the contents of the Progress Report and Sector Update.

3. **Reasons for the Recommendations**

3.1 The auditors completed the audit of the 2018/19 Accounts in July 2019. Work has now commenced on the 2019/20 Audit. Details of the Audit Plan for the 2019/20 Audit is due to be presented to Finance and Audit Scrutiny Committee in March.

3.2 **Benefits Subsidy Audit**

The auditors have completed the audit of the 2018/19 Housing Benefit Audit, with details included in the attached report. Much testing is undertaken by officers and auditors as part of this audit, considering many samples. It will be noted from the letter: -

- The overall claim is £28m, the amendments totalled £423.
- Some errors were identified that had no overall impact on the level of subsidy being claimed.

3.3 Due to the errors identified, the auditors were required to qualify the claim. As explained to members in previous years, nationally it is the exception for the Benefits Subsidy claim not to be qualified.

3.4 The report also provides updates various issues including: -

- Review into local government audit
- Key development for 2019/20 accounts

4. **Policy Framework**

4.1 **Fit for the Future (FFF)**

The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal if any in relation to the Council’s FFF Strategy.

FFF Strands		
People	Services	Money
External		
Health, Homes, Communities	Green, Clean, Safe	Infrastructure, Enterprise, Employment
<u>Intended outcomes:</u> Improved health for all Housing needs for all	<u>Intended outcomes:</u> Area has well looked after public spaces	<u>Intended outcomes:</u> Dynamic and diverse local economy

met Impressive cultural and sports activities Cohesive and active communities	All communities have access to decent open space Improved air quality Low levels of crime and ASB	Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels
Impacts of Proposal		
The Subsidy Benefits seeks to provide assurance that claimants are in receipt of the correct level of benefit.	No direct impact.	No direct impact.
Internal		
Effective Staff	Maintain or Improve Services	Firm Financial Footing over the Longer Term
<u>Intended outcomes:</u> All staff are properly trained All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	<u>Intended outcomes:</u> Focusing on our customers' needs Continuously improve our processes Increase the digital provision of services	<u>Intended outcomes:</u> Better return/use of our assets Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money
Impacts of Proposal		
No direct impact.	No direct impact.	The work provided by the Council's external auditors should provide members with assurance that the Council's finances are being properly managed and reported upon in accordance with statutory requirements.

4.2 Supporting Strategies

This report indirectly impacts upon all of **the Council's strategies on the basis** that they all require funding and for that funding to be properly managed. It is **part of the role of the external auditors to confirm that the Council's finances** are being properly managed.

4.3 Changes to Existing Policies

No changes to existing policies are proposed.

4.3 Impact Assessments

Not applicable.

5. **Budgetary Framework**

- 5.1 The fee charged to the 2018/19 Benefits Subsidy was £14,250, as previously agreed. £2,850 extra has recently been agreed for further work on the 2017/18 benefits audit.
- 5.2 The report details how further additional fees are potentially going to be due in respect of additional work that the auditors are required carry out from the 2019/20 audit. When more details are known, these will be reported to members. For the 2018/19 audit, an additional £4,500 was charged for these matters.

6. **Risks**

The requirement for external auditors is part of the assurance framework under which all local authorities operate. The audit of the accounts and associated **grant claims seeks to provide assurance to all stakeholders that the Council's** finances, as reported in the Accounts, are being properly managed.

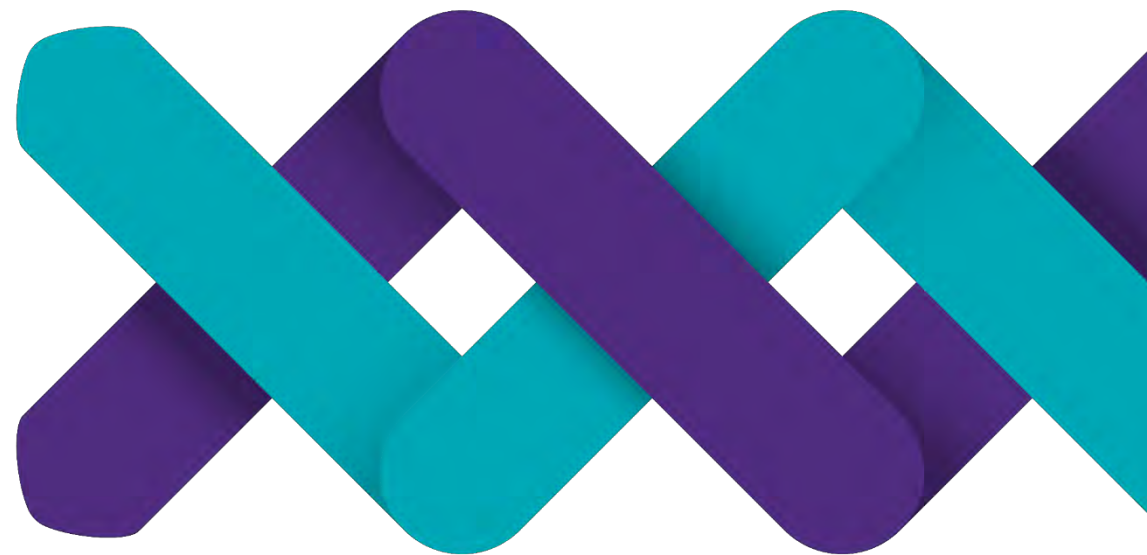
7. **Alternative Option(s) considered**

- 7.1 None.

Audit Progress Report and Sector Update

Warwick District Council
Year ending 31 March 2020

11 February 2020



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Introduction



Grant Patterson

Engagement Lead

T 0121 232 5296

E grant.b.patterson@uk.gt.com



Mary Wren

Engagement Manager

T: 0121 232 5234

E: mary.wren@uk.gt.com

This paper provides the Finance and Audit Scrutiny Committee with a report on progress in delivering our responsibilities as your external auditors.

The paper also includes:

- a summary of emerging national issues and developments that may be relevant to you as a local authority; and
- includes a number of challenge questions in respect of these emerging issues which the Committee may wish to consider (these are a tool to use, if helpful, rather than formal questions requiring responses for audit purposes)

Members of the Finance and Audit Scrutiny Committee can find further useful material on our website, where we have a section dedicated to our work in the public sector. Here you can download copies of our publications www.grantthornton.co.uk.

If you would like further information on any items in this briefing, or would like to register with Grant Thornton to receive regular email updates on issues that are of interest to you, please contact either your Engagement Lead or Engagement Manager.

Progress at January 2020

Financial Statements Audit

We issued our opinion on your 2018/19 Statement of Accounts on 31 July 2019 and issued our certificate, closing the audit on the same date.

We started our planning for the 2019/20 audit in December and will issue a detailed audit plan, setting out our proposed approach to the audit of the Council's 2019/20 financial statements in March.

We have also begun our interim audit in January 2020. Our interim fieldwork includes:

- Updated review of the Council's control environment
- Updated understanding of financial systems
- Review of Internal Audit reports on core financial systems
- Early work on emerging accounting issues
- Early substantive testing

We will report our work in the Audit Findings Report and aim to give our opinion on the Statement of Accounts by 31 July 2020.

Value for Money

The scope of our work is set out in the guidance issued by the National Audit Office. The Code requires auditors to satisfy themselves that; "the Council has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources".

The guidance confirmed the overall criterion as: "in all significant respects, the audited body had proper arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people".

The three sub criteria for assessment to be able to give a conclusion overall are:

- Informed decision making
- Sustainable resource deployment
- Working with partners and other third parties

Details of our initial risk assessment to determine our approach will be included in our Audit Plan. We will report the findings of our work in the Audit Findings Report.

The National Audit Office (NAO) has published the final draft of the new Code of Audit Practice 2020. The Code, which is set to come into effect in April 2020 pending parliamentary approval, sets out what local auditors of relevant local public bodies, such as councils, police, fire and NHS bodies, are required to do to fulfil their statutory responsibilities under the Local Audit and Accountability Act 2014.

The new Code will apply to audits of local bodies' 2020-21 financial statements.

Key changes to the Code include the introduction of a narrative-style commentary on bodies' arrangements for securing value for taxpayers, a sharper focus on arrangements supporting financial sustainability, governance, and improving value for money, and clearer expectations on timely and effective auditor reporting.

The final draft maintains the principles-based approach through a single Code covering both local government and NHS sectors.

Progress at January 2020 (Cont.)

Other areas

Certification of claims and returns

We certify the Council's annual Housing Benefit Subsidy claim in accordance with procedures agreed with the Department for Work and Pensions. The certification work for the 2018/19 claim was completed by the 30 November 2019 deadline. See page 6 for a detailed summary of our findings in the period.

We have been requested to complete additional procedures by the Council in relation to the 2017/18 Housing Benefits Subsidy claim. Further details are provided on page 6.

We also certify the Council's annual pooling of housing capital receipts return in accordance with procedures agreed with the Ministry of Housing, Communities and Local Government. The certification work for the 2018/19 claim is ongoing and will be completed prior to the 7 February 2020 deadline.

Meetings

We met with Finance Officers and the Deputy Chief Executive in December as part of our periodic liaison meetings and continue to be in discussions with finance staff regarding emerging developments and to ensure the audit process is smooth and effective.

Events

We provide a range of workshops, along with network events for members and publications to support the Council. Your officers have been invited to our Financial Reporting Workshop in February, which will help to ensure that members of your Finance Team are up to date with the latest financial reporting requirements for local authority accounts.

Further details of the publications that may be of interest to the Council are set out in our Sector Update section of this report.

Audit Fees

During 2017, PSAA awarded contracts for audit for a five year period beginning on 1 April 2018. 2019/20 is the second year of that contract. Since that time, there have been a number of developments within the accounting and audit profession. Across all sectors and firms, the Financial Reporting Council (FRC) has set out its expectation of improved financial reporting from organisations and the need for auditors to demonstrate increased scepticism and challenge and to undertake additional and more robust testing.

Our work in the Local Government sector in 2018/19 has highlighted areas where financial reporting, in particular, property, plant and equipment and pensions, needs to improve. There is also an increase in the complexity of Local Government financial transactions and financial reporting. This combined with the FRC requirement that all Local Government audits are at or above the "few improvements needed" (2A) rating means that additional audit work is required.

We are currently reviewing the impact of these changes on both the cost and timing on the 2019/20 and future audits. We will discuss this with your s151 Officer including any proposed variations to the Scale Fee set by PSAA Limited, before communicating fully with the Finance and Audit Scrutiny Committee.

As a firm, we are absolutely committed to meeting the expectations of the FRC with regard to audit quality and local government financial reporting.

Housing Benefit Assurance Process (HBAP): Housing Benefit Certification 2018/19 & 2017/18

Background

The HBAP Module 1 Framework sets out the Department for Work and Pensions' (DWP) requirements for the reporting accountant to provide a report of factual findings on the completion of the housing benefit subsidy assurance process. This work must be delivered to the DWP no later than 30 November.

Warwick District Council – 2018/19

In 2018/19 we were able to meet the 30 November deadline.

The Council completes the Module 3 HBAP workbooks for us to review and we re-perform work on cases on a sample basis. The quality of evidence within the workbooks produced by the Council's team consistently met the standards required under HBAP. We would like to thank members of the Housing Benefit and Finance team at the Council for their assistance during this process.

We identified a small number of issues from our certification work and, as a result of the errors identified, the claim was amended and qualified, and we reported our findings to the DWP in our HBAP Report dated 28 November 2019. A high level summary is included in the table below along with details for the comparative period.

Year	Value	Amended?	Amendment	Qualified?
2017-18	£28,415,641	Yes	£14	Yes
2018-19	£27,837,888	Yes	£423	Yes

Issues identified in 2018/19 included:

In accordance with HBAP modules an initial sample of cases was completed for all general expenditure cells. We re-performed a sample of the Local Authority's testing and confirm the tests we have carried out concur with the Local Authority's results:

Non HRA Rent Rebate (Cell 11)

As a result of errors found in 2017/18 all cases included in the current year Cell 011 were tested. 7 cases contained errors and amendments were applied unless the error resulted in an underpayment of benefit. The following errors were noted:

- 1 claim where benefit had been overpaid as the standard room rate services deduction had not been applied. For the same claim a misallocation of expenditure between Cells 012 and 011.
- 1 claim where benefit had been underpaid as additional child premium should have been applied.
- 1 claim which was an HRA claim.
- 1 claim which was a Rent Allowance claim.
- 2 claims where the overpayment was misclassified as an eligible overpayment when it should have been recorded as LA error overpayment.
- 1 claim where benefit had been overpaid as carers allowance income has been omitted.

HRA Rent Rebates (Cell 55)

The following errors were noted:

- 1 claim where there was no evidence to support carers premium as an applicable amount. The Local Authority identified all claims which included carers premium in Cell 055 and tested each claim. Amendments were agreed.
- 1 claim where the rent assessment an ineligible service charge. As it was not possible to correctly establish the error for amendment additional testing of the rent assessment for 40 cases in cell 055 was completed.
- 1 claim where the state retirement pension income figure has been incorrectly entered. As it was not possible to correctly establish the error for amendment additional testing of 40 cases which included state retirement pension income was completed.

Rent allowances (cell 94)

No issues were identified.

2017/18 Further work

The Council has put forward a case to DWP for 'Further Work' in relation to errors found during the 2017/18 HBAP review. The Council informed DWP that it wished to test the entire sub-population of cases from Cell 103 containing Family Premium.

The further work will focus on whether all the appropriate cases have been captured in the sub-population, and the detailed testing focussed on the application of family premium in that sub-population.

The DWP agreed to the request for Further Work to be carried out in relation to the final subsidy claim for 2017/18 in its letter to the Council dated 10 December 2019. The DWP require assurance that cases tested by the Council have been correctly tested and the results correctly reported. This requires a level of re-performance testing to be carried out by us as Reporting Accountant.

We have agreed separate terms of engagement with the Council and proposed a fee of £2,850 plus VAT in order to complete this work specified by DWP in their letter to the Council dated 10 December.

We will report our findings to the March Finance and Audit Scrutiny Committee.

Audit Deliverables

2018/19 Deliverables	Planned Date	Status
<p>Audit Findings Report</p> <p>The Audit Findings Report was reported to the July Finance and Audit Scrutiny Committee.</p>	July 2019	Complete
<p>Auditors Report</p> <p>This is the opinion on your financial statement, annual governance statement and value for money conclusion.</p>	July 2019	Complete
<p>Annual Audit Letter</p> <p>This letter communicates the key issues arising from our work.</p>	August 2019	Completed
2019/20 Deliverables	Planned Date	Status
<p>Fee Letter</p> <p>Confirming audit fee for 2019/20.</p>	April 2019	Complete
<p>Accounts Audit Plan</p> <p>We are required to issue a detailed accounts audit plan to the Finance and Audit Scrutiny Committee setting out our proposed approach in order to give an opinion on the Council's 2019-20 financial statements.</p>	March 2020	Not yet due
<p>Interim Audit Findings</p> <p>We will report to you the findings from our interim audit and our initial value for money risk assessment within our Progress Report.</p>	April 2020	Not yet due
<p>Audit Findings Report</p> <p>The Audit Findings Report will be reported to the July Finance and Audit Scrutiny Committee.</p>	July 2020	Not yet due
<p>Auditors Report</p> <p>This is the opinion on your financial statement, annual governance statement and value for money conclusion.</p>	July 2020	Not yet due
<p>Annual Audit Letter</p> <p>This letter communicates the key issues arising from our work.</p>	August 2020	Not yet due

Sector Update

Councils continue to try to achieve greater efficiency in the delivery of public services, whilst facing the challenges to address rising demand, ongoing budget pressures and social inequality.

Our sector update provides you with an up to date summary of emerging national issues and developments to support you. We cover areas which may have an impact on your organisation, the wider local government sector and the public sector as a whole. Links are provided to the detailed report/briefing to allow you to delve further and find out more.

Our public sector team at Grant Thornton also undertake research on service and technical issues. We will bring you the latest research publications in this update. We also include areas of potential interest to start conversations within the organisation and with Finance and Audit Scrutiny members, as well as any accounting and regulatory updates.

- [Grant Thornton Publications](#)
- [Insights from local government sector specialists](#)
- [Reports of interest](#)
- [Accounting and regulatory updates](#)

More information can be found on our dedicated public sector and local government sections on the Grant Thornton website by clicking on the logos below:

Public Sector

Local
government

MHCLG – Independent probe into local government audit

In July, the then Communities secretary, James Brokenshire, announced the government is to examine local authority financial reporting and auditing.

At the CIPFA conference he told delegates the independent review will be headed up by Sir Tony Redmond, a former CIPFA president.

The government was “working towards improving its approach to local government oversight and support”, Brokenshire promised.

“A robust local audit system is absolutely pivotal to work on oversight, not just because it reinforces confidence in financial reporting but because it reinforces service delivery and, ultimately, our faith in local democracy,” he said.

“There are potentially far-reaching consequences when audits aren’t carried out properly and fail to detect significant problems.”

The review will look at the quality of local authority audits and whether they are highlighting when an organisation is in financial trouble early enough.

It will also look at whether the public has lost faith in auditors and whether the current audit arrangements for councils are still “fit for purpose”.

On the appointment of Redmond, CIPFA chief executive Rob Whiteman said: “Tony Redmond is uniquely placed to lead this vital review, which will be critical for determining future regulatory requirements.

“Local audit is crucial in providing assurance and accountability to the public, while helping to prevent financial and governance failure.”

He added: “This work will allow us to identify what is needed to make local audit as robust as possible, and how the audit function can meet the assurance needs, both now and in the future, of the sector as a whole.”



In the question and answer session following his speech, Brokenshire said he was not looking to bring back the Audit Commission, which appointed auditors to local bodies and was abolished in 2015. MHCLG note that auditing of local authorities was then taken over by the private, voluntary and not-for-profit sectors.

He explained he was “open minded”, but believed the Audit Commission was “of its time”.

Local authorities in England are responsible for 22% of total UK public sector expenditure so their accounts “must be of the highest level of transparency and quality”, the Ministry of Housing, Local Government and Communities said. The review will also look at how local authorities publish their annual accounts and if the financial reporting system is robust enough.

Redmond, who has also been a local authority treasurer and chief executive, is expected to report to the communities secretary with his initial recommendations in December 2019, with a final report published in March 2020. Redmond has also worked as a local government boundary commissioner and held the post of local government ombudsman.

The terms of reference focus on whether there is an “expectation gap” between the purpose of external audit and what it is currently delivering. It will examine the performance of local authority audit, judged according to the criteria of economy, effectiveness and efficiency.

Other key areas of the review include whether:

- 1) audit recommendations are effective in helping councils to improve financial management
- 2) auditors are using their reporting powers appropriately
- 3) councils are responding to auditors appropriately
- 4) Financial savings from local audit reforms have been realised
- 5) There has been an increase in audit providers
- 6) Auditors are properly responding to questions or objections by local taxpayers
- 7) Council accounts report financial performance in a way that is transparent and open to local press scrutiny

Financial Reporting Council – Summary of key developments for 2019/20 annual reports

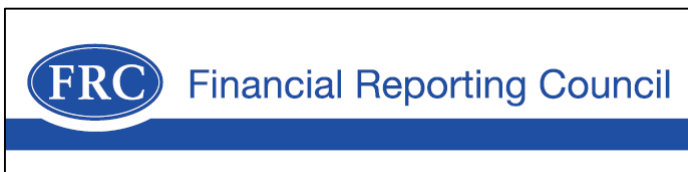
On 30 October the Financial Reporting Council (FRC) wrote an Open Letter to Company Committee Chairs. Some of the points are relevant to local authorities.

The reporting environment

The FRC notes that, “In times of uncertainty, whether created by political events, general economic conditions or operational challenges, investors look for greater transparency in corporate reports to inform their decision-making. We expect companies to consider carefully the detail provided in those areas of their reports which are exposed to heightened levels of risk; for example, descriptions of how they have approached going concern considerations, the impact of Brexit and all areas of material estimation uncertainty.” These issues equally affect local authorities, and the Statement of Accounts or Annual Report should provide readers with sufficient appropriate information on these topics.

Critical judgements and estimates

The FRC wrote “More companies this year made a clear distinction between the critical judgements they make in preparing their accounts from those that involve the making of estimates and which lead to different disclosure requirements. However, some provided insufficient disclosures to explain this area of their reporting where a particular judgement had significant impact on their reporting; for example, whether a specific investment was a joint venture or a subsidiary requiring consolidation. We will continue to have a key focus on the adequacy of disclosures supporting transparent reporting of estimation uncertainties. An understanding of their sensitivity to changing assumptions is of critical value to investors, giving them clearer insight into the possible future changes in balance sheet values and which can inform their investment decisions.” Critical judgements and estimates also form a crucial part of local authority statements of account, with the distinction often blurred.



IFRS 16 Leases

The FRC letter notes “IFRS 16 is effective for periods beginning on or after 1 January 2019. We recently conducted a thematic review looking at how companies reported on their adoption of the new standard in their June 2019 interim accounts. In advance of our detailed findings which will be published shortly, I set out what we expect to see by way of disclosures in the forthcoming accounts, drawing on the results of our work.

- Clear explanation of the key judgements made in response to the new reporting requirements;
- Effective communication of the impact on profit and loss, addressing any lack of comparability with the prior year;
- Clear identification of practical expedients used on transition and accounting policy choices; and
- Well explained reconciliation, where necessary, of operating lease commitments under IAS 17, ‘Leases’, the previous standard and lease liabilities under IFRS 16.”

The implementation of IFRS is delayed until 1 April 2020 in the public sector when it will replace IAS 17 Leases and the three interpretations that supported its application. Authorities will need information and processes in place to enable them to comply with the requirements. They will need to make disclosures in the 2019/20 accounts about the impact of IFRS 16 in accordance with IAS 8/ Code 3.3.4.3 requirements for disclosure about standards which are issued but are not yet effective.

Financial Reporting



Challenge question:

Will you have the opportunity to review and comment on your authority’s statement of accounts before they are published at the end of May?

What is the future for local audit?

Paul Dossett, Head of local government at Grant Thornton, has written in the Municipal Journal “Audit has been a hot topic of debate this year and local audit is no exception. With a review into the quality of local audit now ongoing, it’s critical that part of this work looks at the overarching governance and management of the audit regime. We believe there is a strong need for new oversight arrangements if the local audit regime is to remain sustainable and effective in the future.”

Paul goes on to write “Local (local authority and NHS) audit has been a key part of the oversight regime for public services for more than a century. The National Audit Office (NAO) has exercised this role in central government for several generations and their reporting to Parliament via the Public Accounts Committee is a key part of the public spending accountability framework.

Local audit got a significant boost with the creation of the Audit Commission in 1983 which provided a coordinated, high profile focus on local government and (from 1990) NHS spending and performance at a local level. Through undertaking value for money reviews and maintaining a tight focus on the generational governance challenges, such as rate capping in the 1980s and service governance failings in the 1990s, the Commission provided a robust market management function for the local audit regime. Local audit fees, appointments, scope, quality and relevant support for auditors all fell within their ambit.

However, the Commission was ultimately deemed, among other things, to be too expensive and was abolished in 2010, as part of the Coalition Government’s austerity saving plans. While the regime was not perfect, and the sector had acknowledged that reform of the Commission was needed, complete abolition was not the answer.

Since then, there has been no body with complete oversight of the local audit regime and how it interacts with local public services. The Ministry of Housing, Communities and Local Government; Department of Health; NHS; NAO; Local Government Association (LGA); Public Sector Audit Appointments Ltd (PSAA); the Financial Reporting Council (FRC); the Chartered Institute of Public Finance & Accountancy (CIPFA), audit firms and the audited bodies themselves all have an important role to play but, sometimes, the pursuit of individual organisational objectives has resulted in sub-optimal and even conflicting outcomes for the regime overall.

These various bodies have pursued separate objectives in areas such as audit fee reduction, scope of work, compliance with commercial practice, earlier reporting deadlines and mirroring commercial accounting conventions – to name just a few.

This has resulted in a regime that no stakeholder is wholly satisfied with and one that does not ensure local audit is providing a sufficiently robust and holistic oversight of public spending.

To help provide a more cohesive and co-ordinated approach within the sector, we believe that new oversight arrangements should be introduced. These would have ultimate responsibility for ensuring the sustainability of the local audit regime and that its component parts – including the Audit Code, regulation, market management and fees – interact in an optimal way. While these arrangements do not need to be another Audit Commission, we need to have a strategic approach to addressing the financial sustainability challenges facing local government and the NHS, the benchmarking of performance and the investigation of governance failings.

There are a number of possible solutions including:

- 1) The creation of a new arm’s length agency with a specific remit for overseeing and joining up local audit. It would provide a framework to ensure the sustainability of the regime, covering fees, appointments, and audit quality. The body would also help to create a consistent voice to government and relevant public sector stakeholders on key issues arising from the regime. Such a body would need its own governance structure drawn from the public sector and wider business community; and
- 2) Extending the current remit of the NAO. Give it total oversight of the local audit regime and, in effect, establish a local audit version of the NAO, with all the attendant powers exercised in respect of local audit. In this context, there would be a need to create appropriate governance for the various sectors, similar to the Public Accounts Committee.

While the detail of the new arrangements would be up for debate, it’s clear that a new type of oversight body, with ultimate responsibility for the key elements of local audit, is needed. It would help to provide much-needed cohesion across the sector and between its core stakeholders.

The online article is available here:

<https://www.themj.co.uk/What-is-the-future-for-audit/214769>

Grant Thornton's Sustainable Growth Index Report

Grant Thornton has launched the Sustainable Growth Index (formerly the Vibrant Economy Index) – now in its third year. The Sustainable Growth Index seeks to define and measure the components that create successful places. Our aim in establishing the Index was to create a tool to help frame future discussions between all interested parties, stimulate action and drive change locally. We have undergone a process of updating the data for English Local Authorities on our online, interactive tool, and have produced an updated report on what the data means. All information is available on our online hub, where you can read the new report and our regional analyses.

The Sustainable Growth Index provides an independent, data-led scorecard for each local area that provides:

- businesses with a framework to understand their local economy and the issues that will affect investment decisions both within the business and externally, a tool to support their work with local enterprise partnerships, as well as help inform their strategic purpose and CSR plans in light of their impact on the local social and economic environment
- policy-makers and place-shapers with an overview of the strengths, opportunities and challenges of individual places as well as the dynamic between different areas
- Citizens with an accessible insight into how their place is doing, so that they can contribute to shaping local discussions about what is important to them

The Index shows the 'tip of the iceberg' of data sets and analysis our public services advisory team can provide our private sector clients who are considering future locations in the UK, or wanting to understand the external drivers behind why some locations perform better than others.

Our study looks at over 50 indicators to evaluate all the facets of a place and where they excel or need to improve.

Our index is divided into six baskets. These are:

- 1 Prosperity
- 2 Dynamism and opportunity
- 3 Inclusion and equality
- 4 Health, wellbeing and happiness
- 5 Resilience and sustainability
- 6 Community trust and belonging

This year's index confirms that cities have a consistent imbalance between high scores related to prosperity, dynamism and opportunity, and low scores for health, wellbeing, happiness inclusion and equality. Disparity between the richest and poorest in these areas represents a considerable challenge for those places.

Inclusion and equality remains a challenge for both highly urban and highly rural places and coastal areas, particularly along the east coast from the North East to Essex and Kent, face the most significant challenges in relation to these measures and generally rank below average.

Creating sustainable growth matters and to achieve this national policy makers and local authorities need to do seven things:

- 1 Ensure that decisions are made on the basis of robust local evidence.
- 2 Focus on the transformational trends as well as the local enablers
- 3 Align investment decisions to support the creation of sustainable growth
- 4 Align new funding to support the creation of sustainable growth
- 5 Provide space for innovation and new approaches
- 6 Focus on place over organisation
- 7 Take a longer-term view

The online report is available here:

<https://www.grantthornton.co.uk/en/insights/sustainable-growth-index-how-does-your-place-score/>



Institute for Fiscal Studies – English local government funding: trends and challenges in 2019 and beyond

The Institute for Fiscal Studies (IFS) has found “The 2010s have been a decade of major financial change for English local government. Not only have funding levels – and hence what councils can spend on local services – fallen significantly; major reforms to the funding system have seen an increasing emphasis on using funding to provide financial incentives for development via initiatives such as the Business Rates Retention Scheme (BRRS) and the New Homes Bonus (NHB).”

The IFS goes on to report “Looking ahead, increases in council tax and additional grant funding from central government mean a boost to funding next year – but what about the longer term, especially given plans for further changes to the funding system, including an expansion of the BRRS in 2021–22?”

This report, the first of what we hope will be an annual series of reports providing an up-to-date analysis of local government, does three things in this context. First, it looks in detail at councils’ revenues and spending, focusing on the trends and choices taken over the last decade. Second, it looks at the outlook for local government funding both in the short and longer term. And third, it looks at the impact of the BRRS and NHB on different councils’ funding so far, to see whether there are lessons to guide reforms to these policies.

The report focuses on those revenue sources and spending areas over which county, district and single-tier councils exercise real control. We therefore exclude spending on police, fire and rescue, national park and education services and the revenues specifically for these services. When looking at trends over time, we also exclude spending on and revenues specifically for public health, and make some adjustments to social care spending to make figures more comparable across years. Public health was only devolved to councils in 2013–14, and the way social care spending is organised has also changed, with councils receiving a growing pot of money from the NHS to help fund services.”

The IFS reports a number of key facts and figures, including

- 1) Cuts to funding from central government have led to a 17% fall in councils’ spending on local public services since 2009–10 – equal to 23% or nearly £300 per person.
- 2) Local government has become increasingly reliant on local taxes for revenues.
- 3) Councils’ spending is increasingly focused on social care services – now 57% of all service budgets.

The IFS report is available on their website below:

<https://www.ifs.org.uk/publications/14563>



 Finance and Audit Committee 11th February 2020		Agenda Item No. 5
Title	Chief Executive's Office - Service Review	
For further information about this report please contact	Andrew Jones Deputy Chief Executive & Monitoring Officer andrew.jones@warwickdc.gov.uk 01926 456830	
Wards of the District directly affected	All	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	6 th February 2019	
Background Papers	See above	

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

Officer/Councillor Approval	Date	Name
CMT	31 st January 2020	Chris Elliott Bill Hunt Andrew Jones
Section 151 Officer	31 st January 2020	Mike Snow
Monitoring Officer	31 st January 2020	Andrew Jones
Assets, Democratic Services, Human Resources, ICT	31 st January 2020	Steve Partner, Graham Leach, Tracy Dolphin, Ty Walter
Portfolio Holder	31 st January 2020	Councillor Day
Consultation & Community Engagement		
NA		
Final Decision?	Yes	
Suggested next steps (if not final decision please set out below)		

1. **Summary**

- 1.1 This report brings together the Chief Executive's Office contract register, risk register and budget.

2. **Recommendation**

- 2.1 That Finance and Audit Committee should review the Chief Executive's Office contract register, risk register and budget.

3. **Reasons for the Recommendation**

- 3.1 Following several years of reviewing service contract and risk registers, it has been requested by Members that the two registers for each Service Area should be considered together, along with details of the budget and performance for the relevant service.

- 3.2 **The Chief Executive's Office** is presenting a report to the Finance and Audit Scrutiny Committee that brings together:

The Chief Executive's Office risk register (Appendix A)

The Chief Executive's Office contract register (Appendix B)

The Chief Executive's Office budget outline (Appendix C)

3.3 Risk Register

- 3.3.1 The risk register was last reviewed on 31ST January 2020. This version of the risk register is set out as Appendix A to this report.

- 3.3.2 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 occur.

- 3.3.3 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.

- 3.3.4 **The Chief Executive's Office is responsible for a wide range of services which** consequently lead to a number of potential risks. There are 15 risks contained in the risk register.

- 3.3.5 As with all the risks in the register, it is the controls and mitigations that are being undertaken to control the risks that are of importance. These reflect the tangible actions over which there is more control. As a result, many of the risks have reduced in likelihood over time which explains why a significant proportion **are now within the "yellow" band.**

3.4 Contract Register

- 3.4.1 The latest version of the contract register in so far as it relates to the Chief **Executive's Office** is set out in Appendix B.

3.5 Budget

- 3.5.1 Details of the budgets (as relevant to the **Chief Executive's Office**) are included as Appendix C.
- 3.5.2 Management of the budget set out in Appendix C is part of the ongoing processes which ensures that significant variances are discussed with finance. The budgets are devolved to budget managers who are responsible for the delivery of specific services. Each budget manager is trained on their responsibilities. Those responsibilities include regular liaison with the relevant accountant in finance to discuss and resolve issues and variances associated with the budget. Managing expenditure in line with the budget is therefore part of the established practice of the service.

4. **Policy Framework**

4.1 **Fit for the Future (FFF)**

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.

The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it.

- 4.2 Supporting Strategies - **Within the Chief Executive's Office there are two** strategies which directly contribute towards the outcome of FFF.

- People Strategy 2016-2020
- ICT & Digital Strategy 2015-19

- 4.3 Changes to Existing Policies - There are no changes to existing policies as a result of this report.

5. **Budgetary Framework**

- 5.1 Details of the budgets are set out in section 3.5 above and appendix C.
- 5.2 Annual Budgets for **Chief Executive's Office** are set by the Council and budget reports are routinely considered by the Senior Management Team, with quarterly reports issued to the Executive.

6. **Risks**

- 6.1 Details of the Risk Register has been included in para 3.3 and Appendix A.

7. **Alternative Option(s) considered**

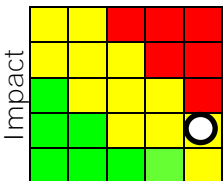
- 7.1 As this report is predominantly for information, at the request of the Finance and Audit Committee, no other options are proposed.

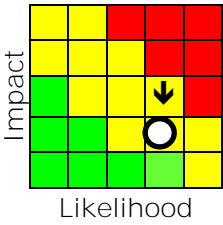
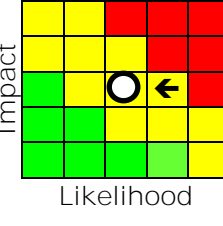
Chief Executive's Office Risk Register

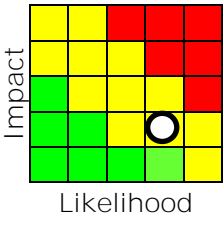
CXO Risk Register Governance	
Accountable	Chief Executive
Responsible	ICT Services Manager, Democratic Services Manager, HR Manager and Asset Manager
Consulted	All CXO Teams
Informed	Finance & Audit Scrutiny Committee
Review Date	31 st Jan 2020

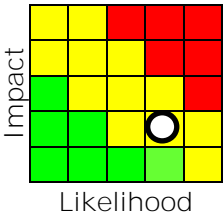
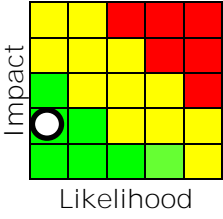
The Chief Executive's Office has adopted a layered approach to risk management which ensures risks are managed at an appropriated level.

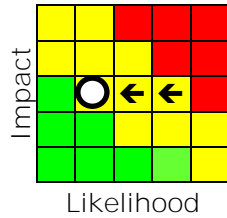
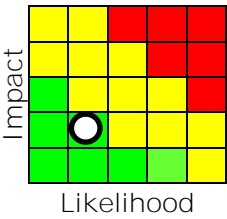
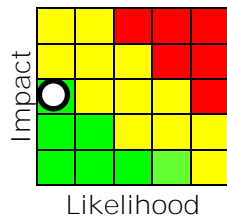
- The **Significant Business Risk Register** contains the CXO risks which have the potential to have a **significant** adverse impact on the Council. It is the responsibility of CXO team managers to advise, through their head of service, SMT of these risks so that SMT can decide whether to update the corporate risk register as appropriate.
- The **CXO Risk Register** identifies the high level Service Area risks that have the potential to adversely impact multiple Service Areas. The document uses the corporate formatting standard and uses language that is more understandable to the business. The format also supports political scrutiny.
- **Thematic Risk Registers** are used to identify risks associated with particular aspects of the CXO's service that requires additional focus and risk management. For example, ICT has a specific risk register that relates to malware.
- **Project Risk Registers** are created, when appropriate, to manage the risks associated with the introduction of new technology.
- **Individual Risks Assessments** are created when a Request for Service requires a deviation from an agreed policy.
- The **Team Operational Plan** contains the key operational service risks for the period of the plan.

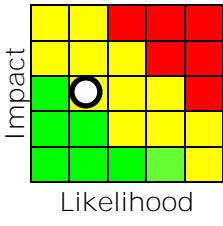
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
1. Unauthorised Disclosure.	<ul style="list-style-type: none"> i. Hacking ii. Spyware iii. Emailing the wrong recipient iv. Stolen equipment; laptops, USB devices v. Lost devices vi. Poor hardware disposal practices vii. Poor password management viii. Allowing unauthorised third parties, including family & friends, to utilise Council equipment and/or software. ix. Forwarding council emails to unauthorised accounts/devices x. Intentional disclosure by Councillor/Officer. xi. Unintentional disclosure by Councillor/Officer. 	<ul style="list-style-type: none"> i. Potential fines; ICO, DP. ii. Reputational damage. iii. Legal challenge; e.g. contract disclosure iv. Lost opportunity to develop projects. v. Legal challenge vi. Compensation claim made for distress, loss of business 	<ul style="list-style-type: none"> i. Information Security Policy ii. Penetration testing iii. Perimeter protection; Firewall, 2 Factor Authentication iv. Disk encryption v. USB device restriction and encryption. vi. Virtual Desktops vii. Sandboxed applications viii. Information governance is a standing item on the ICTSG agenda. ix. Third Party Network Access Agreement x. Non-Disclosure Agreements xi. Destruction certificates for equipment disposal. xii. Ad-hoc compliance monitoring xiii. Appropriate Codes of Conduct. xiv. Information Governance Manager (DPO). xv. Staff training xvi. Register of Processing Activities & Data Retention Schedules in place and reviewed quarterly 	i. Staff training (on-going)	CMT SMTplus SIRO IGM/DPO	<div style="text-align: center;">  <p>Impact</p> <p>Likelihood</p> </div> <p>Evidence of multiple unauthorised disclosures due to not following existing policies. To date minimum impact.</p> <p>Follow up training provided as appropriate.</p>

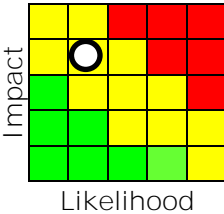
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
2. Non-Availability of Staff.	<ul style="list-style-type: none"> i. Failure to identify gaps in staff skills & capacity that could lead to poor service delivery. ii. Poor planning to cover holidays, sickness, training, elections, etc. iii. Poor project management. iv. Epidemic v. Strike Action 	<ul style="list-style-type: none"> i. Additional costs for specialist advice. ii. Increased service outages. iii. Increased duration of service outages. iv. Inability to deliver Council objectives. v. Failure to meet statutory or contractual obligations vi. Increased stress on residual staff. vii. Reduced level of service viii. Reduced level of resilience ix. Reputational damage 	<ul style="list-style-type: none"> i. Shared Services. ii. Workforce planning. iii. Generic Roles where ever possible. iv. Third party Support & Maintenance Contracts. v. Business Continuity – Staff Absence Strategy. vi. Documented procedures vii. Contract staff/consultancy viii. Training on roles to build resilience ix. Managing Attendance Policy x. Long Term Sickness and Ill Health Capability Policy 	<ul style="list-style-type: none"> i. Completion of Assets Team redesign 	DMO HRM AM ICTSM DMT CMT	
3. Inability to retain and subsequently recruit staff.	<ul style="list-style-type: none"> i. Staff turnover due to: <ul style="list-style-type: none"> a. Salary b. Training c. T&C d. Working Environment e. Career Progression f. Morale g. Age profile h. Service redesign ii. Uncertainty of employment prospects with WDC and Local Government iii. Poor recruitment processes 	<ul style="list-style-type: none"> i. Additional costs for specialist advice. ii. Increased service outages. iii. Increased duration of service outages. iv. Inability to deliver Council objectives. v. Failure to meet statutory or contractual obligations vi. Increased stress on residual staff. vii. Reduced level of service viii. Reduced level of resilience ix. Reputational damage 	<ul style="list-style-type: none"> i. Shared Services. ii. Workforce planning. iii. Generic roles where ever possible. iv. Appropriate training budget to enable training and development opportunities. v. Contract staff/consultancy vi. Training on roles to build resilience vii. Robust recruitment process with staff training programme viii. Performance management framework including one to ones/appraisals/staff development. ix. Redeployment Policy x. Development paths linked to PDP's xi. Publicise the benefits of working for the Council xii. Market Forces Supplement Policy xiii. Recruitment branding e.g. refer a friend & social media 	<ul style="list-style-type: none"> i. Vacancies – Assets & Democratic 	DMO HRM AM ICTSM DMT CMT	

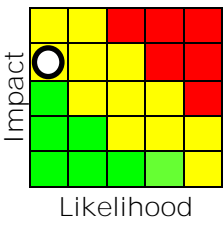
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
4. Loss of Data or Data Integrity.	<ul style="list-style-type: none"> i. Hacking. ii. Human error. iii. Poor change management. iv. Little or no testing of new software releases. v. Viruses. vi. Poor password management. vii. Insecure web applications. viii. Software bugs. ix. Inappropriate access rights. x. Hardware corruption. xi. Poor training. xii. Malicious intent. xiii. Unlocked computers during absence. 	<ul style="list-style-type: none"> i. Loss of service to the customer. ii. Processing backlogs. iii. Potential loss of income. iv. Reputational damage. v. Fraud. vi. Cost of recovery 	<ul style="list-style-type: none"> i. Perimeter protection; Firewall, 2 Factor Authentication, Spam filter, Antivirus, etc. ii. Test plans. iii. Penetration testing (Ethical Hacking). iv. Antivirus strategy. v. Audits (Internal, 3rd Party ICT Auditors, Communications-Electronics Security Group (CESG), PCI DSS) vi. Activity logs. vii. Staff Training. viii. Code of Connection. ix. Information Security Policy. x. Recruitment using the Baseline Personnel Security Standard. xi. Supplier support contracts. xii. GovCertUK notifications of threats and vulnerabilities. xiii. Nominated system owners to manage systems. xiv. Information governance is a standing item on the ICTSG agenda. xv. Information Governance Group xvi. Register of Processing Activities & Data Retention Schedules in place and reviewed quarterly 	<ul style="list-style-type: none"> i. Implement intrusion detection. 	<ul style="list-style-type: none"> SMT ICTSM HRM DMO AM DMT SO 	 <p>The residual risk rating is represented by a 5x5 grid. The vertical axis is labeled 'Impact' and the horizontal axis is labeled 'Likelihood'. The grid contains a circle in the center cell, which is colored yellow, indicating a low residual risk rating. The surrounding cells are colored green (low impact/likelihood) or red (high impact/likelihood).</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
5. Loss of Council computer facilities (<i>Servers, Storage, Network, Voice</i>).	i. Human error. ii. Hardware/software failure (OS). iii. Poor change management iv. Fire/Flood (Environmental and/or internal service failure) v. Loss of power vi. Theft vii. Malicious damage viii. Environmental (Too hot, too cold) ix. Telecoms failure. x. Firmware bug. xi. Lack of funding	i. Loss of service to the customer. ii. Processing backlogs iii. Potential loss of income. iv. Reputational damage v. Loss of data. vi. Significant stress on key personnel during recovery period. vii. Potential costs	i. Staff training. ii. Technical documentation. iii. Hardware resilience. iv. Backup generator/Uninterruptible Power Supply (UPS). v. Offsite backup tapes. vi. External Business continuity contract. vii. Change Management Policy / Back-out Plans. viii. Audits. ix. Fire/Flood detection. x. Fire suppression xi. Air conditioning xii. Proactive monitoring (System Centre Operations Manager) xiii. Redundant Array of Independent Disks – RAID 5. xiv. VMware High Availability. xv. Third party support & Maintenance contracts. xvi. Environmental security policy. xvii. Insurance. xviii. Code of Connection. xix. Investment planning via the Equipment Renewal Reserve. xx. team Business Continuity plans	i. Review business continuity arrangements for voice due to the repatriation of the contact centre (Ongoing)	CMT SMT ICTSM HRM DMO AM DMT SO FM	
6. Failure of Service Providers or Contractors to deliver services.	i. Bankruptcy. ii. Natural disaster. iii. Takeover. iv. Legal (Intellectual property infringement). v. Change of strategy (no longer wish to supply the product or service). vi. Poor procurement or contract management procedures	i. Non-supported system. ii. Impact on resources of system/contractor replacement; human, financial, etc. iii. Potential loss of service to the customer. iv. Potential loss of income. v. Potential inability to deliver Council objectives. vi. Potential inability to deliver statutory obligations vii. Potential damage to Council property assets viii. Hosted Systems; No access to system or data.	i. Change freeze. ii. Shared service. iii. Emergency procurement. iv. Business Continuity - Business Application Supplier Strategy. v. Financial vetting of suppliers as part of the procurement process. vi. Contract management training and processes		ICTSM DMO HRM AM SO Proc	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
7. Failure to achieve or maintain PSN compliance	<ul style="list-style-type: none"> i. Time constraints ii. Cost iii. Inconsistent assessment process. iv. Changes to the compliance regime with little or no notice. 	Inability to deliver the following services: <ul style="list-style-type: none"> i. Government Connect Mail i.e. (gcsx.gov.uk) ii. DWP Customer Information System (Revs & Bens) iii. Data Transfer Appliance (Revs and Bens) iv. Tell Us Once Appliance (Revs and Bens) v. National Resilience Extranet (Civil Contingencies) vi. Individual Electoral Registration vii. LoCTA Service (Revs & Bens) 	<ul style="list-style-type: none"> i. Undertake regular awareness training to understand the requirements. ii. Communicate the implications to the business to ensure compliance. iii. Where possible anticipate budget implications and make provision. iv. Engage a security specialist to advise on compliance. 	<ul style="list-style-type: none"> i. Complete PSN action plan 	SMT SIRO ICTSM DMO SO	
8. Failure to communicate effectively/giving incorrect information and advice	<ul style="list-style-type: none"> i. Untrained staff ii. Reorganisation iii. Inaccurate data on systems or website iv. Poor communication/information v. High workload. vi. Reliance on key staff. vii. Staff absence. viii. Human error. ix. Inappropriate form of communication. 	<ul style="list-style-type: none"> i. Incorrect information used to carry out work. ii. Negligence and liability claims iii. Adverse publicity iv. Loss of reputation v. Waste of resource vi. Poor service to customers vii. Additional workload. viii. Impact to health & wellbeing 	<ul style="list-style-type: none"> i. Team meetings. ii. One-to-ones. iii. E-mail. iv. Intranet. v. Circulation of minutes from meetings. vi. Corporate communication strategy / Media Team. vii. Staff training. viii. Qualified/experienced staff ix. Quality standards x. Good IT/Information Systems xi. Web improvement plan 	<ul style="list-style-type: none"> i. Review of Intranet content ii. Emergency information portal on O365 	ICTSM DMO HRM AM	
9. Breaches of financial controls as they relate to the service	<ul style="list-style-type: none"> i. Lack of awareness ii. Lack of training iii. Malicious intent iv. Unsuitable controls driving inappropriate behaviour 	<ul style="list-style-type: none"> i. Fraud ii. Poor value for money iii. Contractual issues, inc performance iv. Reputational damage 	<ul style="list-style-type: none"> i. Code of financial practice ii. Code of procurement iii. Whistleblowing policy iv. Anti-Fraud & Corruption policy v. Audits vi. Staff training vii. Contracts register viii. Annual budget acceptance / signature by ICTSM ix. Monthly budget monitoring x. Corporate processes for managing expenditure. xi. Appropriate Codes of Conduct for Councillors/Officers 		DCE (AJ) ICTSM DMO HRM AM Proc HoF Audit	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
10. Insufficient budget to deliver the service	i. Council budget constraints. ii. Poor budget management iii. Change to software licensing models by vendors; MS, Cisco, VMWare. iv. Dollar exchange rate v. Major uninsured/uninsurable incident vi. Increase in organisational demand which impacts support services: growth in staff, users, cllrs, assets	i. Inability to deliver the service. ii. Inability to deliver the Service Area Plan iii. Opportunity costs. iv. Increased service failures through lack of investment	i. Annual budget setting process ii. Creation of an ICT Services Equipment Reserve iii. Rigorous Software Asset Management (SAM)		Council CMT ICTSM DMO HRM AM	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
<p>11. Failure to protect staff, Councillors, contractors and customers from physical Health and Safety Risks</p>	<ul style="list-style-type: none"> i. Lack of health and safety good practice ii. Customer dissatisfaction. iii. Accident. iv. Intruders in offices. v. Staff in building very early and/or very late. vi. Violence/threatening customers. vii. Agile working. viii. Driving for work. ix. D.S.E. / V.D.U. usage. x. Manual handling. xi. Person falling from height. xii. Items falling from height. xiii. Failure to undertake necessary adaptations for individual needs. xiv. Inadequate risk assessments or method statements xv. Failure to survey, monitor or manage asbestos containing materials in accordance with CAR 2012 xvi. Failure of contractor to check the Asbestos Register xvii. Poor contractor training xviii. Tenants or leaseholders not informed of the presence of asbestos containing materials in HRA homes or leased assets xix. Inadequate safety compliance regime xx. Inadequate gas appliance maintenance and certification xxi. Inadequate electrical testing of HRA and corporate assets xxii. Inadequate fire safety measures in HRA blocks or corporate assets xxiii. Failure to adequately maintain the building fabric of assets, paths, structures, rural street and footway lighting etc. 	<ul style="list-style-type: none"> i. Actual physical injury ii. Exposure to asbestos or legionella iii. Health and safety investigation iv. Traumatized staff v. Stress vi. Increase in sickness absence vii. Death viii. Reduced staff morale ix. Legal action including imprisonment x. Penalties/Fines/Compensation xi. Reputational damage 	<ul style="list-style-type: none"> i. Health and Safety Policy and reporting/monitoring procedures ii. Partnership links with MAPPA, Police and Social Services iii. Robust Risk Assessments, iv. Regular DSE Assessments v. Accident/incident reporting and investigation vi. Tunstall lone working procedure. vii. Joint consultative safety Panel. viii. Asset Compliance Group ix. Asset Steering Group x. Training/induction xi. Manual Handling Procedures xii. Door access controls xiii. Portable Appliance Testing (PAT) xiv. Corporate health and safety policy including Home working and Driving at work. xv. Eye tests. xvi. Health and safety risk assessments (AssessNET). xvii. Training and training logs. xviii. Insurance cover. xix. Health & safety on team meeting agendas. xx. Home working policy. xxi. Procedures for public meetings and monitoring of staff alert list to see if the public known to be attending meetings requires additional staffing/security to be deployed xxii. Liaison with the Town Hall for meetings anticipated to have significant (greater than 35) levels of public present. xxiii. Asbestos Management Plan, Asbestos Register, Asbestos removal programme, issue of information at letting/lease signing xxiv. Appropriate testing, repair and improvement contracts in place. xxv. Provision of PPE to appropriate staff xxvi. Accident reporting and investigation xxvii. COSSH, safe systems at work and permits to work 	<ul style="list-style-type: none"> i. Risk assessments need reviewing for public meetings ii. Corporate review of Lone Working arrangements iii. Complete Asset Compliance Group baseline mapping to enable Asset Steering Group to review need for revised procedures or allocation of responsibilities iv. Review adequacy of ActiveH to store compliance information v. Procure new FRAs for multi-storey blocks when programme of works completed vi. Refresh Home Working Policy (Agile) 	<p>CMT SMT DCE (BH) ACG ICTSM DMO AM HRM Health & Safety Officer Theatre and Town Hall Manager Building Managers</p>	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
			xxviii. Gas servicing, electrical programme xix. Legal procedures for gaining access to properties to undertake gas services xx. Storage of compliance and testing records on assets database xxi. Appropriate building insurance xxii. Programme of updating Fire Risk Assessments xxiii. Post-Grenfell programme of works to HRA multi-storey blocks xxiv. Liaison with WFRS xxv. Stock Condition survey information and cyclical updating programme xxvi. Inspection regimes xxvii. Tenancy and lease agreements			
12. Failure to adhere to the Constitution, legislative requirements and guidance by the Council.	i. Misinterpret regulations or the Constitution ii. Constitution not maintained so does not reflect current legislation iii. Failure to publish agendas in line with statutory requirements iv. Failure to comply with policies or procedures v. Lack of concentration; vi. Poor chairing of meeting; vii. Human error. viii. Lack of awareness ix. Incorrect legal advice x. Incorrect interpretation xi. Lack of training xii. Inadequate supervision or management procedures xiii. Fraud/corruption by staff or contractors	i. Ultra vires decision ii. Failure to deliver statutory or contractual obligations iii. Potential legal action iv. Potential costs to the Council following successful legal decision v. Bad publicity vi. Decisions delayed vii. Financial loss. viii. Project delays	i. Training / MetaCompliance ii. Knowledge of Constitution, legislative requirements and guidance iii. Attendance of Legal Services at Planning, Licensing and Regulatory Panels iv. Comprehensive induction for Councillors v. Regular reviews of Constitution to ensure it reflects current legislation vi. Ensuring hand over of work for Committee team members when away from the office to ensure deadlines are not missed vii. Checks and procedures within team; effective Chair to ensure clarity on decision being taken. viii. Effective supervision and management controls in place including; one to ones, team meetings, appraisals, training, recruitment & selection, capability etc. ix. Corporate audit programme x. Separation of duties xi. Declarations of interest and gifts & hospitality xii. Budgetary control regime xiii. Ability to deactivate stolen electronic devices	i. Complete delivery of the new chair induction programme	DCE (AJ) DCE (BH) DMO ICTSM HRM AM	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
13. Failing to respond to requests for information under DP/FOI/EIR appropriately and within timescales	<ul style="list-style-type: none"> i. Inability to locate/access required information within time ii. Failure to monitor deadline iii. Insufficient resources iv. Poor planning v. Failure to identify appropriate responder vi. Poor or insufficient training 	<ul style="list-style-type: none"> i. Loss of public confidence. ii. Referrals of the Council to the Information Commissioner by dissatisfied members of the public. iii. Intervention & Sanctions 	<ul style="list-style-type: none"> i. Awareness of changes in legislation/Government advice. ii. Monitoring of FOI/EIR/DP systems put in place Council wide to ensure they are working. iii. Emphasise importance of responding to these from CMT 		DMO IGM/DPO	
14. The complaints process is not adhered to when considering a complaint.	<ul style="list-style-type: none"> i. Lack of available resources due to demands of other projects and work on the team. ii. Inexperienced officers iii. Officers not aware of relevant process to be followed iv. Complaints policy does not reflect the current operating environment. 	<ul style="list-style-type: none"> i. A lack of transparency for the public ii. Referral to LGO iii. LGO sanction iv. compromise an insurance claim which may be received after a complaint has been replied to. 	<ul style="list-style-type: none"> i. Training ii. CST monitoring iii. HoS/CE sign-off complaints as appropriate iv. Referral to appropriate LGO material. 	i. Review of complaints process is in SA Plan 2020	CE DMO	
15. Failure to deliver corporate strategies / initiatives	<ul style="list-style-type: none"> i. Insufficient resources ii. Poor planning iii. Lack of engagement with customers iv. Change in scope v. Politics 	<ul style="list-style-type: none"> i. Financial or opportunity loss ii. Failure to meet statutory responsibilities iii. Loss of staff/public confidence iv. Impact on health and wellbeing v. Reputational damage vi. Morale 	<ul style="list-style-type: none"> i. Programme prioritisation ii. Robust project planning iii. Staff/Union/Member engagement / Communication iv. SMT support 		SMT ICTSM HRM DMO AM	<p>Limited progress on Digital Strategy</p> <p>Office Move</p>

Key:

New narrative

Narrative transferred from former H&PS Risk Register

~~Deleted narrative~~

○ = Current risk score

→ ← ↑ ↓ ↻ = Previous risk score (and direction)

Personnel Key:

CMT – Corporate Management Team

SMT – Senior Management Team

CE – Chief Executive

DCE (AJ) – Deputy Chief Executive & Monitoring Officer

DCE (BH) – Deputy Chief Executive

DMO – Deputy Monitoring Officer and Democratic Services Manager
DMT – Departmental Management Team
ICTSM – ICT Services Manager
SIRO – Senior Information Risk Owner (DCE AJ)
DPO – Data Protection Officer (DMO)
SO – System Owners
FM – Facilities Manager
AM – Asset Manager
EM – Elections Manager & Deputy Returning Officer
HRM – Human Resources Manager
Proc – Procurement Manager
HoF – Head of Finance
ACG – Asset Compliance Group
IGM/DPO - Information Governance Manager/Data Protection Officer

Contract Ref.	Procurement Procedure	Contract Title	Description	Contract Type	Supplier	Organisation Size	Start Date	End Date	Review Dates	Annual Budget	Contract Value	Annual Spend	Extension Option	Comments	Signed Hardcopy of Contract?	LocationOfElectronicCopy
CE29OJ1216	OJEU	Print Services Framework	A Framework for a range of Print Services examples include: leaflets, car park, folders & half term flyers; magazines; posters; promotional print, bags, t-shirts; signs (external) Each of suppliers have been awarded to certain Lots. The Media Team will advise on ways forward for all print work .	Services	1. Budbrooke Signs Ltd T/A Signs Express; 2. JAFRE Ltd T/A Interprint; 3. Harris Sign Group Ltd; 4. Pinstripe Holdings Ltd T/A Pnstripe Print; 5. Lichfield Printers Ltd; 6. John Baxter & Son Ltd; 7. Allwag Promotions Ltd; 8. LG Davis Ltd; 9. Graphic Arts (Coventry) Ltd; 10.	SME	01/01/2017	31/12/2020	January 2020	£ 96,000.00	£ 288,000.00		1 Year	Open: Published Invitation to Tender. New printframework launched 1st January 2017.	Yes	
HP106LV0316	Non-OJEU Tender	Minor Works Engineering Contract	Minor works & engineering to Warwick District Council owned properties sites and open spaces	Works	Allworks construction limited	SME	01/04/2016	31/03/2021	April 2020	£ 261,877.71	£ 4,000,000.00	£830,953.75	3 Years taken. No further extensions available	Open: Published Invitation to Tender. 05/05/2017: Extension Letter sent and signed extension letter received. 01/03/18 - spend up to 31/12/17 is 1.5million.	Yes	L:\Works\Contracts for Procurement\Electronic contracts\Chief Exec\2015 16\HP106LV0316-WDC Minor Works Engineering Contract
CE37LV0417	Non-OJEU Tender	Polling station cabins	Provision of polling station cabins	Services	Ashtead	SME	01/04/2017	31/03/2022	January 2021	£ 4,000.00	£ 20,000.00	£6,157.31	No		No	L:\Works\Contracts for Procurement\Electronic contracts\Chief Exec\2017 18\CE37LV0417 Polling station cabins
CE12DA0515	Exemption	Support and maintenance for Committee Management system	Support and maintenance for Committee Management system	Services	Astech Consultants Limited	SME	01/05/2015	01/05/2021	January 2021	£ 5,310.00	£ 26,553.22	£0.00	yes, rolling contract review at year 5	Contract includes the option to purchase Mycmis at discounted rate. See also contract CO16LV0409	Yes	L:\Works\Contracts for Procurement\Electronic contracts\Chief Exec\2015 16\CE12DA0515 Astec h

CE79TQ0118	Quotation (min 3 suppliers)	Teradici Desktop Access	Teradici Desktop Access inc. Management Console Enterprise for Zero Clients	Services	Axess Systems Ltd	SME	31/01/2018	30/01/2021	November 2020	£ 6,490.00	£ 6,490.00	0	No	A copy of the contract is held electronically in ICT's Software Asset Management (SAM) system SNOW.	No	http://Located in Snow application http://Located in Snow application
CE65OJ0218	OJEU	General housing repairs & voids	General housing repairs & voids	Services	Axis	Enterprise	01/04/2018	31/03/2022	March 2021	£2,500,000.00	£ 10,000,000.00	£0.00	4 years	Restricted: Published Invitation to Tender. Contract being finalised ready for signing. 04/04/18: Expected to be signed by 06/04/18 We have a Brexit impact statement from Axis which we will keep under review. Possible impact on imported materials and labour resources but not yet quantifiable. Regular part of contract meetings	Yes	
CE60DA0118	Framework: Direct Award	Stationery and paper supplies	Stationery supplies, paper, office equipment	Services	Banner Group Ltd	Enterprise	15/01/2018	15/01/2022	January 2021	£ 10,000.00	£ 40,000.00	£4,004.00	No	Direct Award through Birmingham City Framework. This portal will also be used for the ordering of health and Safety equipment.	No	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2017_18\CE60DA0118_Office_stationery
HP105OJ0116	OJEU	Door Entry Systems Contract Maintenance and Upgrade	Provision of Maintenance and Upgrade of Housing Door Entry Systems, Security Doors, CCTV and Common Area Fire detection Systems Keep Brexit implications under review in contract meetings	Services	Baydale	Enterprise	01/04/2016	31/03/2021	April 2020	£ 181,095.27	£ 362,190.54	£220,000.00	2 Years with Option to extend by further 3 years - Option to extend taken.	Open: Published Invitation to Tender. 27.07.2016: Contract in place with Baydale, expires 31.03.2018. 05.05.2017: Variation of contract confirmed to include service, maintenance and replacement of fire fighting equipment. Extension receipt received 09/08/17 Scope to be expanded to include HP100CF1015 - Alphatrack when this is reproced.	Yes	

CE59LV1117	Non-OJEU Tender	Valuation Consultancy	Provision of Valuations & General Service , to include (not an exhaustive list): • Acquisition of freehold and leasehold property; • Disposal (includes letting or other commercial arrangements) of freehold and leasehold property; • Rent reviews; • Lease breaks and lease expiries; • Lease renewals; • Dilapidations; • Landlord and Tenant issues including Landlord	Services	Bruton Knowles	Enterprise	01/11/2017	31/10/2022	October 2020	£ 10,000.00	£ 50,000.00	47,050.25	No	It is expected the consultant will evaluate the properties over the 5 year period from a programme of works devised by the council. This may also be subject to change dependent upon the sale or acquisition of property by the council.	No	L:\Works Contracts for Procurement\Electronic contracts
CE80TQ0418	Exemption	Corporate Health care cash plan	A subscription to a corporate health care package for staff to recover payments.	Services	BUPA	Enterprise	01/04/2018	30/09/2020	April 2020	£ 24,700.00	£ 37,050.00	£8,815.08	30 day rolling subscription.	Following approval from executive, we have committed to an 18month subscription contract, which will be reviewed following this initial trial period. As this contract is light touch, it is approved to be extended up to a total value of £615,000.	No	L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2018_19\CE80TQ0418_corporate health care cash plan
HP107LV0416	Non-OJEU Tender	Supply and Delivery of Bulk Liquefied Petroleum Gas	Contract for the Provision of Supply & Delivery of Bulk Liquefied Gas LPG	Goods	Calor Gas Limited	Enterprise	01/05/2016	30/06/2020	January 2020	£ 31,525.64	£ 63,051.28	£50,000.00	2 Years	Open: Published Invitation to Tender. 07/2017 - deadline of March given to accept extension. 25/01/18 - if extension not accepted on original prices, carry out extension with variation. 29/06/18 - Extension with variation carried out for 2 years under the current terms and conditions, price increased to 31p per litre (fixed rate) We will ask	Yes	
F143DA0618	Exemption	Managed Payment Service	For collecting payment to the Council and transactional fees	Services	CAPITA	Enterprise	01/06/2018	01/06/2021	June 2020	£ 101,000.00	£ 304,000.00	£0.00	Ongoing - 12 months notice required from either party	old contract in perpetuity . 15/05/17: Exemption completed and VEAT issued. New 3 year fixed term contract to replace to allow investigation of system and determine if FFF.	Yes	FILE://L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2018_19\CE60DA0118_payment management
DS35MC0615	Framework: Mini Competition	Asset Valuations	Rolling Asset Valuations of WDC properties	Services	Carter Jonas	Enterprise	10/07/2015	10/07/2021	July 2020	£ 14,666.00	£ 88,000.00	39,096.32	No	Option taken to roll on contract for a further year.	Yes	

CE81LV1218	Non-OJEU Tender	ICT Business Continuity	Business Continuity Services (ICT)	Services	Centerprise International Ltd	SME	01/12/2018	30/11/2021	November 2020	£ 9,875.00	£ 29,625.00	£0.00	1+1		No	L:\Works\Contracts for Procurement\Electronic contracts\Chief Exec\2018_19\CE81LV1218 WDC - Business continuity
CE74TQ0718	Quotation (min 3 suppliers)	Log monitoring Software	Logpoint - log monitoring, to meet PSN, GDPR and external audit requirements	Services	Chess Cybersecurity	SME	29/06/2018	28/06/2023	July 2020	£ 24,923.00	£ 24,923.00	£0.00	No	A copy of the software licence is held electronically in ICT's Software Asset Management (SAM) system SNOW.	No	http://Softwareassetmanagement system
CE42TQ0417	Collaborative Agreement	Secure Content Filtering Gateways	Secure Content Filtering Gateways for Web & Email	Services	Chess CyberSecurity (formerly Foursys Ltd)	Enterprise	30/04/2017	30/04/2022	January 2022	£ 37,100.00	£ 37,100.00	£37,100.00	No	Software Licence, no contract. Multi year deal single payment. 29/04/2020. Replaces IT21TQ0413. A copy of the software licence is held electronically in ICT's Software Asset Management (SAM) system SNOW. Copy of Contract variation form saved in electronic contract folder	No	http://L:\Works\Contracts for Procurement\Electronic contracts\Chief Exec\2019_20\CE42TQ0417 Secure content Filtering Gateways
CE54DA0817	Exemption	Endpoint Security	AntiVirus (Sophos)	Services	Chess CyberSecurity (formerly Foursys Ltd)	Enterprise	29/08/2017	28/08/2020	March 2020	£ 31,600.00	£ 31,600.00	£31,600.00	No	Multi year deal single payment. New contract to be direct awarded by exemption. Replaces CC06TQ0614. A copy of the software licence is held electronically in ICT's Software Asset Management (SAM) system SNOW.	No	http://softwareassetmanagementsystem
IT27DA0115	Framework: Direct Award	CITHS Software Products	CITHS Software Products (Mapping Solutions)	Services	Civica UK Ltd, formerly Civica Services Ltd	Enterprise	19/01/2015	18/01/2021	June 2020	£ 5,488.00	£ 72,799.00	£5,488.00	Options to extend in 12 months increments within the contract Terms and Conditions upto a maximum of four years (2025)	Commoditised IT Hardware and Software (CITHS)	Yes	

CE80DA0718	Framework: Direct Award	Passive Fire Safety	For the installation, refurbishment, upgrade and design of passive fire safety measures to provide fire rated building compartments & passage & containment of cables & servives within a range of residential and multi-storey blocks owned & maintained by WDC	Works	CLC Contractors Ltd	Enterprise	02/07/2018	01/04/2020	January 2020	£3,000,000.00	£ 9,000,000.00	£3,760,980.64	YES - Contract can be extended for a further 5 years on a 1+1+1+1+1 basis	Awarded to CLC Contractors via direct award from Fusion 21 Compliance & FM Framework, Lot 6 Passive Fire Safety. Following first 21 month term, extendable by a further 12 months on up to 5 separate occasions(up to 02/04/25) Possible materials import issues? Rates to be reviewed on 02/04 beginning 2020. Sept 2019 - Contract to be extended but prelims to be reduced to account for joined up working with the housing and adaptations contract. Contract to end on due date. Reprocare via Same Framework from April 2020, allowing section 20.	Yes	
HP67OJ0213 LOT4	OJEU	LOT 4 M&E	Intruder Alarm service & maintenance	Services	Close Circuit Security Services	Enterprise	01/04/2013	31/03/2023	March 2022	£ 15,000.00	£ 150,000.00	£10,000.00	Option to extend for a further 5 year term	Open: Published Invitation to Tender. Initial contract period ends on 31.03.2018. 10.05.2017: Extension agreed for further 5 years to 31.03.2023 - Signed extension letter received. January 2020 - Spend to date approx. £86,000	Yes	
HR06CF0816	Framework: Direct Award	MSTAR 2 Managed Services For temporary Agency Resources	Recruitment of Temporary Staff Contract	Services	Comensura through Mstar	Enterprise	01/03/2017	28/02/2021	June 2020	£ 900,000.00	£ 3,600,000.00	£89,083.00	1 Year	Taken 1 year extension option in 2019 to take contract to 2021	Yes	
CE25DA0815	Shared Service	Ebulk - Disclosure & Barring Service	Ebulk - Disclosure & Barring Service	Services	Coventry City Council	Public Sector	01/04/2016	31/03/2021	September 2020	£ 7,000.00	£ 35,000.00	£6,559.00	2 months notice to terminate	This advice is delivered through a a service level agreement which is reviewed annually. As the agreement is reviewed on an ongoing basis, there is no end specific date, however an end date of 31/08/16 has been included as the date on which the arrangement will be reviewed.	No	L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2014 15\CE35TQ0915 and HR03CF0710 DB S and Ebulk disclosure and barring
CE35TQ0915	Shared Service	DBS Disclosure checks	for DBS Disclosure checks to be undertaken on behalf of Warwick District Council HR Team.	Services	Coventry City Council	Public Sector	01/09/2015	01/06/2020	April 2020	£ -	£ 35,000.00	£4,326	y	Call off contract. No spend commitment. Agreed rate which will be reviewed annually.	No	L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2014 15\CE35TQ0915 and HR03CF0710 DB S and Ebulk disclosure and barring

HP66OJ0213 LOT7	OJEU	LOT 7 R&M	Gas Servicing (housing)	Services	D&K Heating	SME	01/04/2013	31/03/2023	April 2020	£1,000,256.31	£ 5,001,281.55	£1,541,821.55	Option to extend for a further 2* 5 year terms 16/08/17 - SNH: 1st extension taken to 2023. 1*5 year extension remaining.	Open: Published Invitation to Tender. 27.07.16: Initial contract period ends on 31.03.2018, with an option to renew with current provider. The future shape and nature of these service procured under this contract will be informed by the outcome of Housing Futures, which will reflect the review of the Housing Revenue Account Business Plan and the outcome of the Stock Condition Survey, now on site and scheduled to complete September 30th, 2016. Performance and tenant satisfaction to date will also be taken into account in deciding the best way forward. SCS complete 07.10.16; smoothing and modelling of date 30.11.16; needs assessed, analysed and long term Housing Investment Programme 31.01.17; contract and service design - including cost model - to reflect evidenced needs; contract preparation to start April 2017) 16/08/2017 - Signed confirmation letter received of 1st Contract Extension to 2023. Component parts supply especially biomass	Yes	
HP67OJ0213 LOT5	OJEU	LOT 5 M&E	Air conditioning Service & maintenance	Services	D&K Heating	SME	01/04/2013	31/03/2023	March 2022	£ 4,996.00	£ 24,980.00	£10,000.00	Option to extend for a further 5 year terms	Open: Published Invitation to Tender. Initial contract period ends on 31.03.2018 15.05.2017: Extension agreed for further 5 years to 31.03.2023. - Signed extension letter received. Parts supplies issues?	Yes	
CE69DA0318	Framework: Direct Award	Connectivity, Broadband, SIP Trunks & Traditional Telephony	Provision of SIP Trunks, Broadband & PSTN services.	Services	Daisy Communications Ltd	Enterprise	01/04/2018	31/03/2021	September 2020	£ 63,500.00	£ 190,594.86	£24,412	24 Months	CCS Network Services Agreement RM1045 Lots 1 & 3 The full annual value of the contract will not be realised until existing PSTN and broadband links are migrated to the contract	No	L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2017_18\CE69DA0318_Telephony SIP and broadband services
CE68DA0318	Framework: Direct Award	Provision of desktop computing devices.	Provision of laptops, desktops and thin client devices.	Goods	Dell Corporation Ltd	Enterprise	01/04/2018	31/03/2022	January 2022	£ 19,000.00	£ 38,000.00	£33,162.95	The contract can be extended by two further 12 month periods.	NHS Link 2: IT Hardware and Services This is a call off contract and therefore the annual expenditure and subsequently the contract value is variable.	No	L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2018_19\CE68DA0318 - Desktop computing devices
HP104OJ0116	OJEU	The Maintenance & Repair of Electrical Appliances & Installation	Contract to carryout Electrical Maintenance & Repairs to Appliances and Installations	Services	Dodds	Enterprise	01/05/2016	30/04/2023	April 2020	£1,122,934.20	£ 2,245,868.40	£1,319,635.99	2 Years with option to extend for a further 5 year term	Open: Published Invitation to Tender. 27.07.2016: Contract in place with Dodd Group Limited, expires 30.04.2018 09.05.2017: Extension agreed for further 5 years to 31.03.2023 - Signed extension letter received. We will check	Yes	

CE18XXXXX	Quotation (min 1 supplier)	HTML mailout server	HTML mailout server	Goods	dotMailer	Enterprise	01/04/2015	31/03/2021	January 2021	£ 1,284.00	£ 1,854.00	£1,498.00	1 year trial purchase with the option to extend	12 month subscription taking out for 2017/8. Review again 2018.	No	L:\Works\Contracts for Procurement\Electronic contracts\Chief Exec\2014_15\CE18XXXXX HTML mailout server
CE55OJ1017	OJEU	Election printing	Ballot papers, postal vote packs and polling cards	Goods	ERS	Enterprise	18/09/2017	17/09/2020	April 2020	£ 72,000.00	£ 800,434.00	£71,658.50	24months	Open: Published Invitation to Tender	Yes	L:\Works\Contracts for Procurement\Electronic contracts\Chief Exec\2017_18\CE55OJ1017 Elections printing
CE66MC0318	Framework: Mini Competition	Provision of: Network Infrastructure & Telephony support and maintenance including the design of new, modified or enhanced services which rely on the network or telephony for their delivery.	Maintenance contract providing support and software/hardware are maintenance for Warwick District Councils Cisco based ICT Data and Voice Network Infrastructure.	Services	European Electronique	SME	01/04/2018	31/03/2021	September 2020	£ 33,884.49	£ 102,000.00	£37,343.35	Option to extend the contract for a further two years (31 Mar 2023)	CCS Technology Services 2 RM3804 Lots 1,2 & 3 (Lot 4a + 4b where Lot 3 services are included) The annual contract price will vary as new equipment is added and old equipment is either decommissioned or replaced. Any new equipment will be purchased using direct award via the CCS Technology Products 2 framework.	Yes	
HP67OJ0213 LOT3	OJEU	LOT 3 M&E	Fire alarm servicing & maintenance	Services	Fire Safe Services Ltd	SME	01/04/2013	31/03/2023	January 2021	£ 42,000.00	£ 210,000.00	£59,000.00	Option to extend for a further 2* 5 year terms	Open: Published Invitation to Tender. Initial contract period ends on 31.03.2018 05/05/2017: Extension Letter sent 08/17: FSS have sent proposal to vary costs - Awaiting authorisation to vary. 01/02: Variation Letter sent 03/18: Signed Variation received. Components supplies?	Yes	
HP125MC0618	Framework: Mini Competition	Supply of Biomass Fuel	Supply of Biomass Fuel to 3 sites with Biomass Boilers	Goods	Forest Fuels LTD	Enterprise	01/06/2018	30/06/2020	April 2020	£ 60,000.00	£ 120,000.00	£0.00	Option to extend for a further 2 years to 2022		Yes	

HP1010J1215	OJEU	Housing Adaptations	The Provision of Minor Works Contractor for Housing Aids & Adaptations Contract	Services	FSG	SME	01/04/2016	31/03/2020	January 2020	£ -	£ 2,000,000.00	£0.00	2 Years +1+1 1st +1 extension taken. 2nd Extension taken 2019 - taking to 2020	Open: Published Invitation to Tender. 08.09.16 This will be reviewed later in 2017 and a decision will be made as to whether we extend or not. We are joining HEART and need to consider how this affects this contract. 05/17: Contract extended to 31/03/2019 04/04/18 SH: Housing & Assets to make a decision on who owns this contract and whether we extend or reprocure next year by the end of FYQtr1. Extended until 2020, need to look at reprocuring on this. Sept 2019 - Direct award to CLC made through framework to take over from this contract.	Yes	
CE16XXXXX	Exemption	GGP	Support and maintenance for the Council's Geographical Information Systems (GIS)	Services	GGP Systems	Enterprise	01/04/2013	30/06/2022	March 2021	£ 7,638.80	£ 344,685.00	£12,159.60	Software licence (Rolling)	Software Licence, no contract. Exemption granted. Agreed to extend until 2022. Will be reviewed alongside IDOX. The number of licences was reduced in 2017-18, reducing the annual budget. A copy of the contract is held electronically in ICT's Software Asset Management (SAM) system SNOW.	No	http://softwareassetmanagementsystem
CE41DA0417	Exemption	Hall Hire for Election Count	To provide a venue to host election counts administered by Warwick District	Goods & Services	Grandstand Stoneleigh Events Ltd	Enterprise	01/04/2017	31/05/2020	February 2020	£ 12,500.00	£ 38,285.47	£24,193.50	No	This covers election counts for WCC election, WDC in 2019, Parliament & PCC in 2020. It also covered one other election but at additional cost for the appropriate fee. This additional election has now been used via the Parliamentary election in June 2017	No	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2017_18\CE41DA0417 Stoneleigh hall elections hire
CE26TQ1015	Quotation (min 3 suppliers)	Net Support Service Desk System	Net Support Service Desk System	Services	Grey Matter	SME	01/10/2015	30/09/2025	November 2024	£ 1,200.00	£ 15,000.00	£1,200.00	Software Licence (Rolling)	Software licence no contract. Year 1 cost is software licence and 2years maint.Year 3 and after is maint due. A copy of the software licence and the support and maintenance contract are held electronically in ICT's Software Asset Management (SAM) system SNOW.	No	http://softwareassetmanagementsystem
HP76LV0813	Non-OJEU Tender	Rural Footway Lighting Replacement and Maintenance	Replacement of Rural Footway Lighting Columns and Lanterns including Maintenance and Reactive Repairs	Services	Hi Lite Electrical Ltd	SME	01/10/2013	30/09/2020	January 2020	£ 12,000.00	£ 48,000.00	£29,750.00	No	Open: Published Invitation to Tender. 27.07.2016: Contract on forward procurement plan and scheduled to be reprocured for 01.10.2017. 05/05/2017: Extension Letter sent 19/06/17: Extension agreed for further 2 years to 30/09/2019 - Signed extension letter received. Exemption granted to extend for another year to sept 2020	Yes	
CE38LV0417	Non-OJEU Tender	Polling Screens	Delivery and collection of polling screens	Services	Hi Lite Electrical Ltd	SME	01/04/2017	31/03/2022	January 2021	£ 6,000.00	£ 30,000.00	£0.00	No		Yes	

HP67OJ0213 LOT7	OJEU	LOT 7 M&E	Lightning Protection	Services	Horizon Specilist Contracting Ltd	SME	01/04/2013	31/03/2023	March 2022	£ 5,000.00	£ 25,000.00	£7,500.00	Option to extend for a further 5 year term	Open: Published Invitation to Tender. Initial contract period ends on 31.03.2018 08.05.2017: Extension agreed for further 5 years to 31.03.2023 - Signed extension letter received. We will check	Yes	
HP67OJ0213 LOT6	OJEU	LOT 6 M&E	Water Management inc Legionella testing	Services	HSL Compliance Ltd	SME	01/04/2013	31/03/2023	March 2020	£ 34,635.00	£ 420,000.00	£42,000.00	Option to extend for a further 5 year term	Open: Published Invitation to Tender. Company previously known as Hertel Soltuions Limited - name changed during the contract to HSL Limited. No changes to contractual relationship arising from name change. Initial contract period ends on 31.03.2018 08.05.2017: Extension agreed for further 5 years to 31.03.2023 - Signed extension letter received.	Yes	
CE53DA0817	Exemption	Impellus learning credits	100 Credits to obtain training courses	Services	Impellus	Enterprise	14/08/2017	13/08/2020	April 2020	£ 17,000.00	£ 17,000.00	0	No	Credits purchased in conjunction with RBC and NBBC to obtain discounted rate. Exemption granted to allow direct award as would not be able to obtain the same rate on our own. Whether this contract will need a replacement will be dependent on the 50% government grant funding still being available. Nothing spent in 2018/19	Yes	
CE40DA0417	Framework: Direct Award	Jadu CMS and Forms support	Website technical support	Services	Jadu	SME	14/08/2017	14/08/2021	July 2020	£ 12,000.00	£ 48,000.00	11,918	No	This is combining 2 support contracts with different end dates (IT19MCO313) into a single unified contract. Reviewed in July 2018, happy with the contract review againd 2019.	No	FILE://L:\Work Groups\WDC Website\Contracts
CE51LV0817	Non-OJEU Tender	Rate Payment & Revaluation Consultancy Service	Consultation service for the provision of rate payment advice and re-evaluations	Services	Lambert Smith Hampton Ltd	Enterprise	01/08/2017	31/07/2022	June 2020	£ 10,000.00	£ 50,000.00	15,896	No	Consultancy service to be issued ad hock, when services are required.	Yes	
DS19DA0410	Exemption	Press advertisements	Ongoing contract to place advertisements required under the relevant legislation in relation to development proposals in a local newspaper	Services	Leamington Courier	SME	01/04/2017	01/04/2022	November 2020	£ 36,000.00	£ 182,455.00	£34,161.00	No	Adverts placed in the Courier include: entertainment adverts, ROP adverts and Public Notices. The planning advert is placed in the Coruier as planning legislation requires that publicity for planning applications (where necessary) should be placed in a local newspaper. The Courier was selected because of its extent of circulation within the District. Other alternatives were considered and discounted for that reason. The advertising service is provided on an annual ongoing basis and for that reason a total contract value figure has not been provided. An end date of 1/4/20 has been indicated as the contract has just been reviewed. A procurement exemption form is to be completed. Oct 2019: Planning notice annual spend at £22,700/annum, remainder spend at £10,300/annum though likely to drop again as Spa Centre is dropping its weekly advert.	No	FILE://L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2018 19\Leamington courier

CE32CF0915	Exemption	E-learning license	e-learning	Services	Learning Nexus Ltd	SME	18/09/2015	18/03/2021	September 2020	£ 2,000.00	£ 7,325.00	£7,543	option to extend on an annual basis	Pilot period undertaken for 18 months until 18/03/17. Upon review, 2 year extension taken until 18/03/19. Initial 18month period - 3139. Follow on: £2093/annum	Yes	
HP66OJ0213 LOT1	OJEU	LOT 1 R&M	Kitchen & Bathroom replacements and repairs	Services	Lovell's	Enterprise	01/04/2013	31/03/2023	March 2021	£ 966,061.80	£ 4,830,309.00	£466,329.07	Option to extend for a further 5 year term	Open: Published Invitation to Tender. 27.07.16: Initial contract period ends on 31.03.2018, with an option to renew with current provider. The future shape and nature of these service procured under this contract will be informed by the outcome of Housing Futures, which will reflect the review of the Housing Revenue Account Business Plan and the outcome of the Stock Condition Survey, now on site and scheduled to complete September 30th, 2016. Performance and tenant satisfaction to date will also be taken into account in deciding the best way forward. SCS complete 07.10.16; smoothing and modelling of date 30.11.16; needs assessed, analysed and long term Housing Investment Programme 31.01.17; contract and service design - including cost model - to reflect evidenced needs; contract preparation to start April 2017) 11.05.2017: Extension agreed for further 5 years to 31.03.2023 - Signed extension letter received. materials supply?	Yes	
HP66OJ0213 LOT3	OJEU	LOT 3 R&M	Window & Door. Housing Planned maintenance for window and door replacement	Services	Lovell's	Enterprise	01/04/2013	31/03/2023	March 2021	£ 486,927.99	£ 2,434,639.95	£387,005	Option to extend for a further 5 year term	Open: Published Invitation to Tender. 27.07.16: Initial contract period ends on 31.03.2018, with an option to renew with current provider. The future shape and nature of these service procured under this contract will be informed by the outcome of Housing Futures, which will reflect the review of the Housing Revenue Account Business Plan and the outcome of the Stock Condition Survey, now on site and scheduled to complete September 30th, 2016. Performance and tenant satisfaction to date will also be taken into account in deciding the best way forward. SCS complete 07.10.16; smoothing and modelling of date 30.11.16; needs assessed, analysed and long term Housing Investment Programme 31.01.17; contract and service design - including cost model - to reflect evidenced needs; contract preparation to start April 2017) 11.05.2017: Extension agreed for further 5 years to 31.03.2023 - Signed extension letter received. Material supply?	Yes	

CE67DA0318	Framework: Direct Award	MetaLearning	MetaLearning is an innovative learning solution that provides an effective way to educate employees, third party suppliers and the Senior Management Team in order to increase awareness and to mitigate the risk associated with a compliance failure.	Services	MetaCompliance Limited	SME	01/04/2018	31/03/2021	September 2020	£ 22,500.00	£ 22,500.00	0	This Call-Off Contract can be extended by the Buyer for two period(s) of up to 12 months each, by giving the Supplier three months written notice before its expiry. nothing spent in 2018/19.	CCS G-Cloud 9 Framework Agreement (RM1557ix) Lot 2 - Cloud software	No	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2018_19\CE67DA0318_MetaLearning
HP129MC0718	Framework: Mini Competition	Cyclical External Painting and Decorating	External painting and decorating of Council properties	Services	Novus Property Solutions Ltd	Enterprise	01/08/2018	31/03/2020	February 2020	£ 163,364.00	£ 248,046.00	£86,406.38	No	Indications that paint suppliers may be impacted by Brexit. Sept 2019 - Direct award made to Bell via framework to take over from this contract.	Yes	
HP126DA0118	Exemption	National Schedule of Rates Electronic version	Electronic copy of national schedule of rates which is copyright protected by NSR Management Ltd	Services	NSR Management Ltd	Enterprise	01/04/2018	01/04/2022	April 2020	£ 2,117.50	£ 8,470.00	£0.00	No		No	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2018_19\HP126DA0118_National Schedule of rates
CO20DA0717	Framework: Direct Award	Office supplies	A range of office supplies required	Goods	Office Depot	Enterprise	01/07/2017	30/06/2020	April 2020	£ 10,000.00	£ 40,000.00	£6,843.21	1 year	Direct Award through RM3703 for 3+1 years. Following non receipt of the signed call of contract from Office Depot, plus many issues with supplier contract management, it has been decided to put this contract on hold pending a review of service. An alternative stationery supplier is being sort through the BCC framework due to the non-exclusivity of the Office Depot arrangement.	No	

EH08TQ0509	Framework: Direct Award	Mapping	OS Map Layers	Services	Ordnance Survey (Improvement & Development Agency - Contractual Framework Agreement)	SME	06/05/2009	05/05/2021	May 2020	£ -	£ -	£0.00	Software Licence (Rolling)	Sole supplier of base maps. A copy of the agreement is held electronically in ICT's Software Asset Management (SAM) system SNOW.	No	http://softwareassetmanagementsystem
CE49DA0617	Framework: Direct Award	Enterprise Agreement	Enterprise Agreement for WDC Desktop Microsoft Product Set	Services	Phoenix Software Ltd	Enterprise	01/02/2018	31/01/2021	July 2020	£ 100,000.00	£ 300,000.00	£108,651.44	No	Direct Award via KCS framework YY17038 - National Software (20 March 2017-19 March 2021)	No	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2017_18\CE49DA0617_Microsoft Enterprise Agreement
HP66OJ0213 LOT6	OJEU	LOT 6 R&M	General Corporate repairs	Services	Pinner & Sons limited	SME	01/04/2013	31/03/2023	March 2021	£ 500,000.00	£ 5,000,000.00	£623,979.07	Option to extend for a further 1* 5 year terms	Open: Published Invitation to Tender. 27.07.16: Initial contract period ends on 31.03.2018, with an option to renew with current provider. 1st Option to extend to 31/03/2023 confirmed on 05/10/17. Contract value stated as £500,000/annum within contract. Spend as of Jan 2020 is £4.9m.	Yes	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2013_14\HP66OJ0213_Property R&M\Lot 6
CC10DA0607	Exemption	Website Plain English accreditation	Internet Crystal Mark for Plain English	Services	Plain English Campaign	SME	01/06/2007	31/05/2021	February 2021	£ 750.00	£ 8,250.00	£750.00	Annual renewal option	Due to the on-going nature of this contract and transparency requirements we have chosen to publish the details within the contract register. Contract renewed June 2018.	No	FILE://L:\Work\Groups\WDC\Website\Contracts
HP77OJ1213	OJEU	Decorating Voucher Scheme	A Scheme to assist Council tenants to exchange decoration vouchers for decorating materials only. To be used within WDC properties.	Services	PPG Architectural Coatings UK Ltd	Enterprise	01/12/2013	30/11/2023	November 2020	£ 60,000.00	£ 300,000.00	£72,397.39	No	Open: Published Invitation to Tender. 20.10.14: Procured in accordance with WDC policy and practice and signed contracts in place. 10.05.2017: Extension agreed for further 5 years to 31.11.2023 - Signed extension letter received.	Yes	
IT29BE1118	Exemption	Data Analyst L4 Apprenticeship Training Provider	Data Analyst L4 Apprenticeship Training Provider	Services	QA Limited	Enterprise	01/11/2018	28/08/2020	June 2020	£ 7,500.00	£ 15,000.00	£0.00	No	New Training Provider for the Data Analyst Level 4 Apprenticeship post which commenced in September 2018. Previous Training provider ceased trading shortly after commencement. See IT28TQ0618.	No	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2018_19\IT29BE1118 - Apprenticeship Training Provider 2

CE48MC0717	Framework: Mini Competition	MFD and MFP devices	Copiers and printers for Riverside House and satellite sites	Services	Ricoh UK Ltd	Enterprise	24/07/2017	23/07/2020	April 2020	£ 62,000.00	£ 310,000.00	£71,357.00	Ability to extend by up to 2 years to a max 5years (3 year lease) and 7 years (5 year lease)	Procured as part of the 2017 copier replacement plan via mini competition using ESPO framework.	Yes	
CE31DA1216	Exemption	Colour MFD	Colour MFD replacement	Goods	Ricoh UK Ltd	Enterprise	01/01/2017	31/12/2021	April 2020	£ 16,400.00	£ 82,000.00	£0.00	1+1	5 year lease contract agreement direct with Ricoh signed. Printer delivery expected January 2017. Installed February 2017	Yes	
CE47MC0717	Framework: Mini Competition	Print management software	Equitrac print management and follow-me print software	Services	Ricoh UK Ltd	Enterprise	01/07/2017	30/06/2022	July 2021	£ 5,000.00	£ 22,033.70	£26,049.00	Ability to continue with support contract past 5 years on a 12 month renewal basis	Procured as part of the 2017 copier replacement plan via mini competition using ESPO framework.	Yes	
HP1030J0715	OJEU	Asbestos Removal	Asbestos Removal Services	Services	Shield Environmental Services Limited	SME	03/09/2015	02/09/2020	January 2020	£ 400,000.00	£ 2,000,000.00	£318,620.84	Option to extend for a further 2 terms (5+5+3)	Restricted: Published Invitation to Tender. Option taken to roll on contract for a further year.	Yes	
CE76DA0518	Quotation (min 1 supplier)	Online survey tool	Create online surveys, gather feedback and produce reports.	Services	SmartSurvey	SME	22/05/2018	22/05/2021	January 2021	£ 540.00	£ 540.00	540	Annual renewal option	Due to the on-going nature of this contract and transparency requirements we have chosen to publish the details within the contract register. No contract. Annually renewed subscription	No	http://annualsubscription
CE82DA0618	Quotation (min 1 supplier)	Website customer survey	Gathers data from web customers and benchmarks against other councils	Services	Socitm	Enterprise	26/06/2018	26/06/2021	January 2021	£ 960.00	£ 960.00	960	Annual renewal option	Due to the on-going nature of this contract and transparency requirements we have chosen to publish the details within the contract register. No contract. Annually renewed subscription	No	FILE:///L:/Work Groups/WDC Website/Contracts
DS60MC0718	Framework: Mini Competition	Apprenticeship training for building control level 3	Apprenticeship Training for building control level 3 via Apprenticeship DPS	Services	Solihull college	SME	01/07/2018	30/06/2022	July 2020	£ 9,000.00	£ 20,000.00	£0.00	No	awarded via DPS framework, savings made against the annual budget of £9000, with £5000 projected annual spend	No	File:///L:/Work Contracts for Procurement/Electronic contracts/Development Services/2018_19/DS60MC0718_Apprenticeship training for building control
HC24LV0316	Quotation (min 3 suppliers)	The maintenance of pumping stations	The maintenance of pumping stations	Services	SPE Limited	SME	01/04/2016	31/03/2020	January 2020	£ 15,000.00	£ 30,000.00	£15,155.00	2 years	Extension for 12months granted by Finance and accepted by supplier. 25/01/18 - Procurement to begin following Assets restructure. Extension option taken for final year up to 31/03/2020. Contract manager working on clear specifications and back ground info in order to re-procure in 2019/2020	Yes	

CE63MC0318	Framework: Mini Competition	Service & Maintenance of Passenger Lifts	Provision of Servicing and Maintenance of all Corporate and HRA Lifts	Services	Stannah Lift Services Ltd	Enterprise	03/04/2018	28/02/2021	April 2020	£ 37,500.00	£ 112,500.00	£0.00	Option to extend a further 2 yrs to 2022	Renewal subject to performance against KPI's. £37,500/annum (£112,500 for first 3 years) + Responsive Repairs Cost Components supplies issues?	Yes	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2017_18\CE63MC0318_Servjce & Maintenance of Passenger Lifts
CE63DA0318	Framework: Direct Award	Service & Maintenance of Stairlifts	Provision of Servicing and responsive repairs to Stairlifts owned by WDC and outside of Warranty	Services	Stannah Lifts Services Ltd	Enterprise	03/04/2018	31/03/2022	March 2021	£ 59,400.00	£ 240,000.00	£0.00	Option to extend a further 2 yrs to 2022 (taken this option)	Renewal subject to performance against KPI's 30/03/18: SH Contract signed and received - awaiting return of PCG. £13,000/annum (£26,000 for first 2 years) + Responsive Repair Cost Component supplies issues?	No	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2017_18\CE63DA0318_Stairlifts and hoists
CE61CO1117	Shared Service	Information Governance Service	Information Governance Service Manager shared post	Services	Stratford District Council	Public Sector	15/01/2018	15/01/2024	January 2021	£ 20,000.00	£ 40,000.00	£45,170.00	No	SLA with no end date but will be reviewed every five years to ensure suitability	No	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2017_18\CE61CO1117 Information Governance service
HP102OJ0715	OJEU	Asbestos Testing	Asbestos Survey and Testing services	Services	Tersus Consultancy Limited	SME	03/09/2015	02/09/2020	January 2020	£ 200,000.00	£ 1,000,000.00	£177,898.25	Option to extend for a further 2 terms (5+5+3)	Restricted: Published Invitation to Tender. Option taken to roll on contract for a further year.	Yes	
CE65DA0318	Framework: Direct Award	Gas supply service	Supply of Gas to corporate buildings	Goods	Total Gas & Power Ltd	Enterprise	01/04/2019	31/03/2023	March 2021	£ 135,000.00	£ 680,000.00	£0.00	None	Direct award through ESPO Framework 192: The Supply of Mains gas.	No	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2018_19\CE64DA0318 WDC - Gas 2019 2023
CE78DA0918	Framework: Direct Award	Electricity	The energy supply to WDC buildings and other installations requiring electrical power	Goods	Total Gas & Power Ltd	Enterprise	01/10/2018	30/09/2022	September 2021	£ 750,000.00	£ 4,500,000.00	£0.00	No	Procured through ESPO framework	No	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2018_19\CE78DA0918 electricity 2018-22

IT01TQ0411	Quotation (min 1 supplier)	Snow Licence Manager	Snow is a Software Asset Management (SAM) product used for managing and optimizing the purchase, deployment, maintenance, utilization, and disposal of software applications.	Services	Trustmarque Solutions	SME	16/04/2019	15/04/2022	February 2022	£ -	£ 9,811.99	£0.00	Software licence (Rolling)	Software Licence, no contract. Multi year deal single payment. A copy of the software licence is held electronically in ICT's Software Asset Management (SAM) system SNOW.	No	http://softwareassetmanagementsystem
CC02UT0412	Quotation (min 3 suppliers)	Internet Connectivity	Corporate Internet Connection	Services	Virgin Media	Enterprise	01/12/2015	30/11/2020	April 2020	£ 7,500.00	£ 37,500.00	£7,500.00	Rolling annual contract at the end of the initial 3 year term	New contract commenced on 01 December 2015 reducing annual spend from £13000 to £7.5K. Staying on rolling contract until new HQ move.	No	FILE:///L:\Works\Contracts for Procurement\Electronic\contracts\IT\2015_16\CC02UT0412_internet_connectivity
CE56TQ1117	Quotation (min 3 suppliers)	HR Transcription	Transcription service for conversations involving 3 or more people.	Services	Virtuoso Assistant	SME	02/11/2017	02/11/2020	April 2020	£ 2,000.00	£ 24,999.00	£2,032.00	2 years	reviewed in 2018, more than happy with the contract	No	FILE:///L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2017_18\CE56TQ1117_Transcription
CE44DA0417	Shared Service	Legal Services Contract	Provision of Legal advice and practice	Services	Warwickshire County Council	Public Sector	01/04/2017	31/03/2022	April 2021	£ 455,900.00	£ 1,823,600.00	£719,957	No		Yes	FILE:///L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2017_18\CE44DA0417_Legal_services_SLA
CE72TQ0718	Quotation (min 3 suppliers)	Occupation Health Contract	Provider to provide bespoke service and tailor to WDC	Services	Washington House Occupational Health	SME	01/07/2018	30/06/2021	July 2020	£ 10,000.00	£ 10,000.00	£0.00	No		No	FILE:///L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2018_19\CE72TQ0718 - Occupational Health
CE33DA1216	Collaborative Agreement	Recruitment and employment services	WMJobs subscription service for recruitment	Services	West Midland Employers	Third Sector	01/01/2017	31/03/2020	January 2020	£ 4,000.00	£ 12,000.00	£4,000.00	1yr or 3 year extension available	Extension periods are by mutual agreement and subject to revised subscription fees being payable.	Yes	
CE39DA0417	Exemption	Elections Management system	Elections Management system	Services	Xpress	SME	01/04/2017	31/03/2022	April 2020	£ 15,455.58	£ 77,280.00	£20,166.69	No	£15456 for first year, then subject to RPI for subsequent years	No	FILE:///L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2017_18\CE39DA0417_Elections software

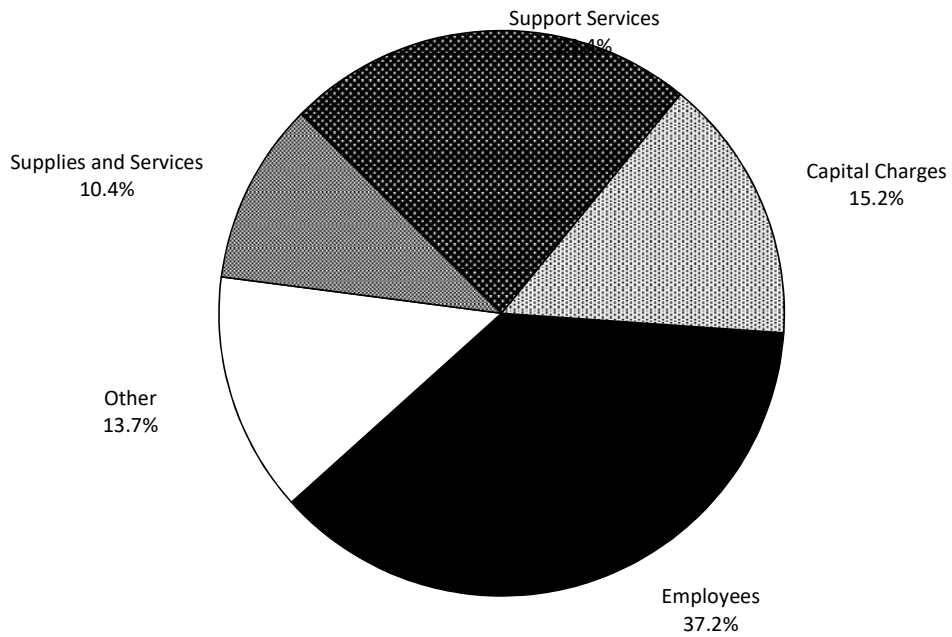
HP138TQ0119	Quotation (min 3 suppliers)	Building Surveyor Consultancy	Building surveyor consultancy work whilst restructure is completed	Services	Pick Everard Wells Senior	SME	01/01/2019	31/03/2020	January 2020	£ 25,000.00	£ 25,000.00	0	Yes depending on spend	building surveyor consultancy work while restructure is completed. Review spend after 12 months. Extension depending on spend and success.	No	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Housing\2018_19\HP138TQ0119 WDC Building Surveyor consultancy
CE84DA0519	Framework: Direct Award	Barcoded payments for Post Office and Paypoint	Over-the-counter payments service the Post Office and PayPoint outlets. Payments can be made via barcoded bill or plastic payment card.	Services	Allpay Ltd	Enterprise	01/07/2019	30/06/2021	June 2020	£ 83,000.00	£ 350,000.00	0	12 months extensions up to a maximum of 24 months	This contract was direct awarded through Gcloud 10 for 2 years with options to extend to allow for the migration of barcode ownership over to WDC		FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2018_19\CE84DA0519 Barcoded payments
CE85MC0319	Framework: Mini Competition	Datacentre support	Services to enable the lifecycle delivery of its Data Centre infrastructure.	Goods & Services	EE	SME	01/04/2019	31/03/2022	April 2020	£ 49,000.00	£ 147,000.00	0	An option to extend by 2 x 12 month periods		Yes	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2018_19\CE85MC0319 Data centre support
HP141DA0519	Exemption	Meter Reading	Reading of 179 PV meters (Solar Panels) to allow claims for feed in tariff	Services	SECURE Meters (UK) Ltd	SME	22/05/2019	22/05/2024	May 2020	£ 6,000.00	£ 30,000.00	0		Exemption granted as sole supplier, the meters are owned by the supplier		FILE://Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2019_20\Remote meters FILE://Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2019_20\Remote meters
CE86DA0419	Shared Service	Payroll, pensions and Employee Benefits	A shared service arrange with Coventry City Council to provide, payroll and associated services.	Services	Coventry City Council	Public Sector	01/04/2019	30/09/2020	June 2020	£ 35,000.00	£ 32,024.00	0	An inter-authority exemption with annual reviews	A variation will be required to amend the end date to rolling. Extended for 6 months, Tracy to review and potentially end agreement after this point, need to give 6 months notice.	No	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2019_20\CE86DA0419 Payroll SLA

CE87DA0719	Framework: Direct Award	For the provision of Fire Risk Assessments including Compartmentation and Door Surveys As the asset list provided Relating to a project comprising residential multi-storey blocks of flats, sheltered schemes, community centres and related ancillary build	Fusion21 C&M Framework Lot 5 Fusion21 Project Reference 11530 For the provision of Fire Risk Assessments including Compartmentation and Door Surveys As the asset list provided Relating to a project comprising residential multi-storey blocks of flats, sheltered schemes, community centres and related ancillary build	Services	Pennington Choices Ltd	Enterprise	01/07/2019	30/06/2020	April 2020	£ 100,000.00	£ 100,000.00	0	6 months + 6 months		Yes	
CE88DA0719	Framework: Direct Award	EEM 0028 Re-roofing service and new roof installation	The re-roofing or installation of new roofs to WDC owned assets	Goods	J Wright Roofing Limited	SME	13/05/2019	12/05/2022	May 2020	£1,000,000.00	£ 3,000,000.00	0	2+1		Yes	
CE93DA1019	Framework: Direct Award	Communications Link - Pump Rooms	Point to Point circuit 100mb/1gb	Goods	Daisy Communications Ltd	Enterprise	23/10/2019	22/10/2020	June 2020	£ 3,992.00	£ 6,440.00	0	12 months		No	FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2019_20\CE93DA1019_Pump rooms data link
CE89DA0719	Framework: Direct Award	Mobile canvassing devices	Mobile devices for electoral canvassing	Goods & Services	Xpress Software Ltd	Enterprise	01/08/2019	31/07/2021	August 2020	£ 10,000.00	£ 15,312.00	0		Procured through Gcloud 11 framework	No	http://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2019_20
CE91DA1019	Exemption	Energy Audit	Carry out an energy audit and provide recommendations to our 6 highest energy using buildings and to identify cost savings to meet the £35k saving required	Services	Nottingham City Council	Public Sector	01/12/2019	31/03/2020	February 2020	£ 11,253.00	£ 11,253.00	0			Yes	http://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2019_20\Energy audit

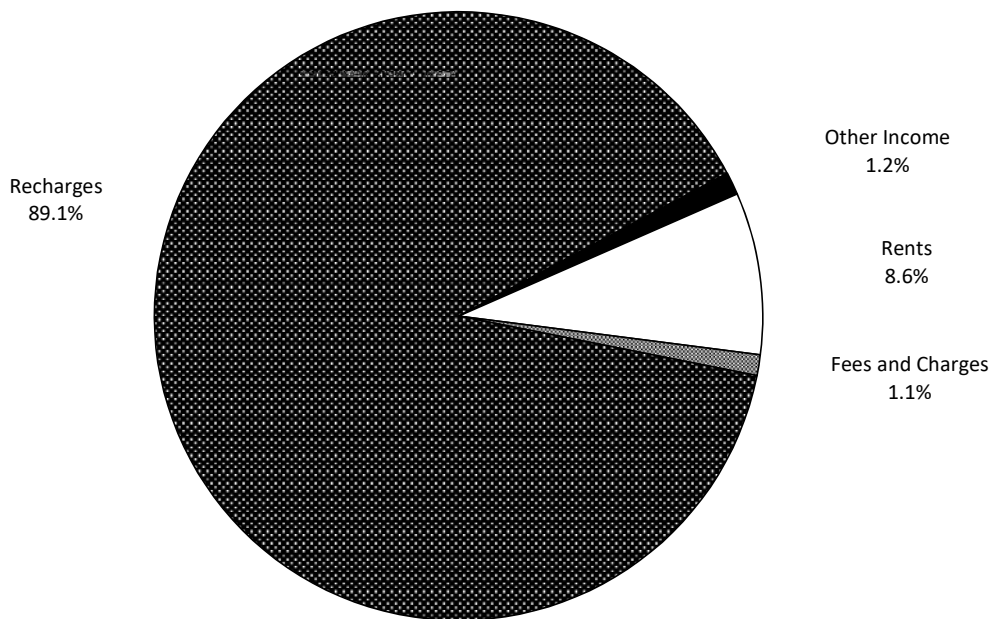
CE92TQ1119	Quotation (min 3 suppliers)	Paper for Colour Printer	As contract title	Goods	Premier Paper	SME	01/11/2019	01/11/2023	November 2020	£ 6,594.67	£ 19,784.00		1 year		FILE://L:\Works\Contracts for Procurement\Electronic\contracts\Chief Exec\2019_20\CE92TQ1119_Paper for colour printer
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	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £	Page
<u>STRATEGIC LEADERSHIP</u>					
S1270 GREEN SPACE DEVELOPMENT	6,383	14,500	4,500	14,500	4
S1289 OPEN SPACES	(131,284)	(125,800)	112,900	259,500	4
S1645 ASSET MANAGEMENT	(1)	-	48,500	-	5
S1650 ESTATE MANAGEMENT	510,547	406,600	365,100	552,900	6
S1660 WARWICK PLANT MAINTENANCE	190	-	-	-	6
S2000 CHIEF EXECUTIVE'S OFFICE	-	-	-	-	7
S2010 CORPORATE PROJECTS	2,444	-	172,500	257,400	8
S2060 HUMAN RESOURCES	19,829	80,000	-	-	9
S2080 MEMBER TRAINING	999	5,100	10,100	5,200	10
S2100 ORGANISATIONAL DEVELOPMENT	-	16,000	16,000	16,300	10
S2200 COMMITTEE SERVICES	-	-	-	-	11
S2220 DEMOCRATIC REPRESENTATION	1,190,058	1,123,600	1,228,000	1,268,700	12
S2240 ELECTIONS	40,568	192,300	229,900	68,100	13
S2260 ELECTORAL REGISTRATION	336,967	260,200	410,200	383,300	14
S2280 CHAIR OF THE COUNCIL	58,416	80,400	82,200	83,600	15
S2300 OFFICE ACCOMMODATION	(0)	41,300	-	-	16
S2340 MEDIA ROOM	-	17,900	-	-	17
S3350 CSTEAM	-	15,900	-	-	17
S3400 PAYMENT CHANNELS	-	-	-	-	18
S3452 CUSTOMER CONTACT MANAGER	(607)	-	100	100	18
S3470 WEB SERVICES	-	-	-	-	19
S3500 ICT SERVICES	(13,993)	88,300	(9,300)	(7,800)	20
S3600 ECONOMIC DEVELOPMENT	71,092	77,000	134,000	16,400	20
S3661 CUP - UNITED REFORM CHURCH	55,984	55,300	46,700	46,200	21
S4300 ENVIRONMENTAL PROTECTION	27,773	11,400	8,600	8,800	21
S4780 WDC HIGHWAYS	169,337	202,900	194,400	204,300	22
S4810 ALLEVIATION OF FLOODING	85,429	89,200	94,900	96,500	22
S4871 LEGAL SERVICES (SHARED SERVICE WCC)	-	-	-	-	23
SW000 CORPORATE R+M UNALLOCATED	-	415,500	1,359,000	413,200	23
TOTAL STRATEGIC LEADERSHIP	2,430,133	3,067,600	4,508,300	3,687,200	
<u>EXPENDITURE:</u>					
Employees	3,491,555	3,880,100	4,453,800	4,404,500	
Premises	739,093	964,000	1,927,900	982,200	
Transport	25,855	33,800	33,200	28,600	
Supplies and Services	1,254,215	1,237,000	1,549,700	1,234,300	
Third Party Payments	523,010	462,800	754,200	609,400	
Support Services	2,547,177	2,441,500	2,833,400	2,771,800	
Capital Charges	1,118,428	1,305,900	1,435,300	1,793,500	
TOTAL EXPENDITURE	9,699,334	10,325,100	12,987,500	11,824,300	
<u>INCOME:</u>					
Government Grants	(11,842)	-	(223,200)	-	
Other Grants and Contributions	-	(22,500)	(22,500)	(23,000)	
Sales	(2,722)	(2,400)	(2,400)	(2,400)	
Other Income	(129,063)	(74,500)	(78,500)	(76,000)	
Fees and Charges	(85,523)	(86,000)	(86,000)	(86,800)	
Rents	(628,211)	(703,600)	(690,500)	(702,800)	
Recharges	(6,411,840)	(6,368,500)	(7,376,100)	(7,246,100)	
TOTAL INCOME	(7,269,201)	(7,257,500)	(8,479,200)	(8,137,100)	
NET COST OF STRATEGIC LEADERSHIP	2,430,133	3,067,600	4,508,300	3,687,200	

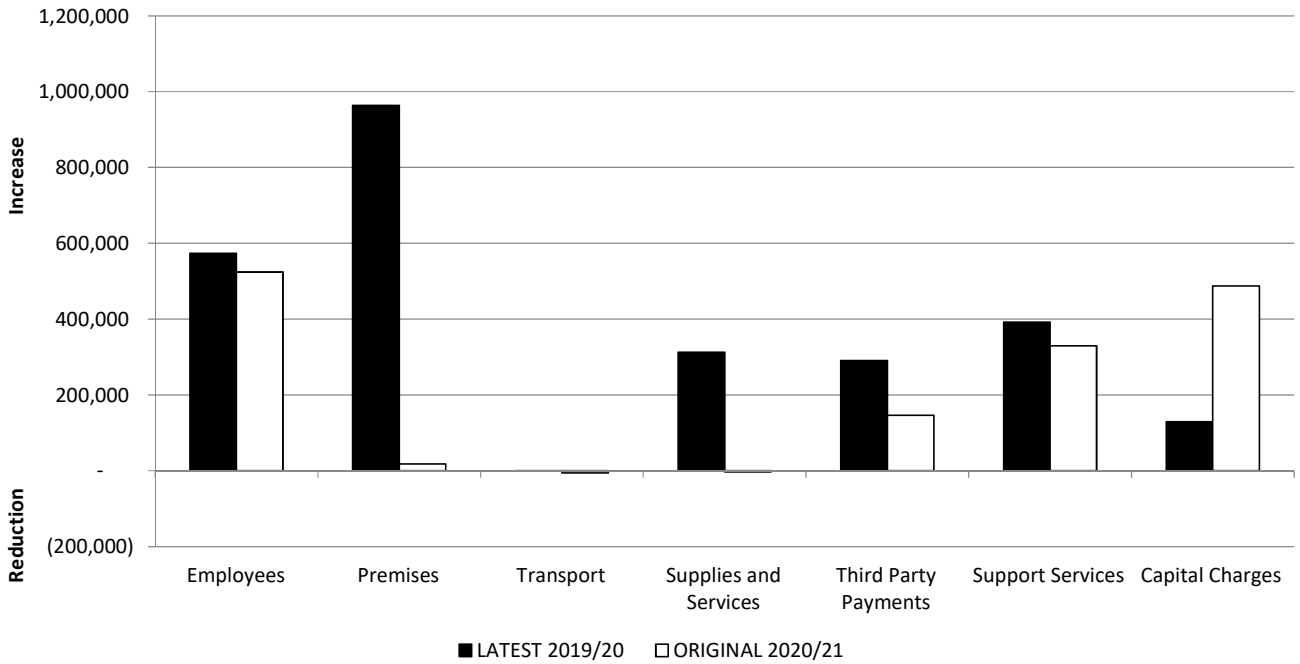
STRATEGIC LEADERSHIP EXPENDITURE: 2020/21 BUDGETS



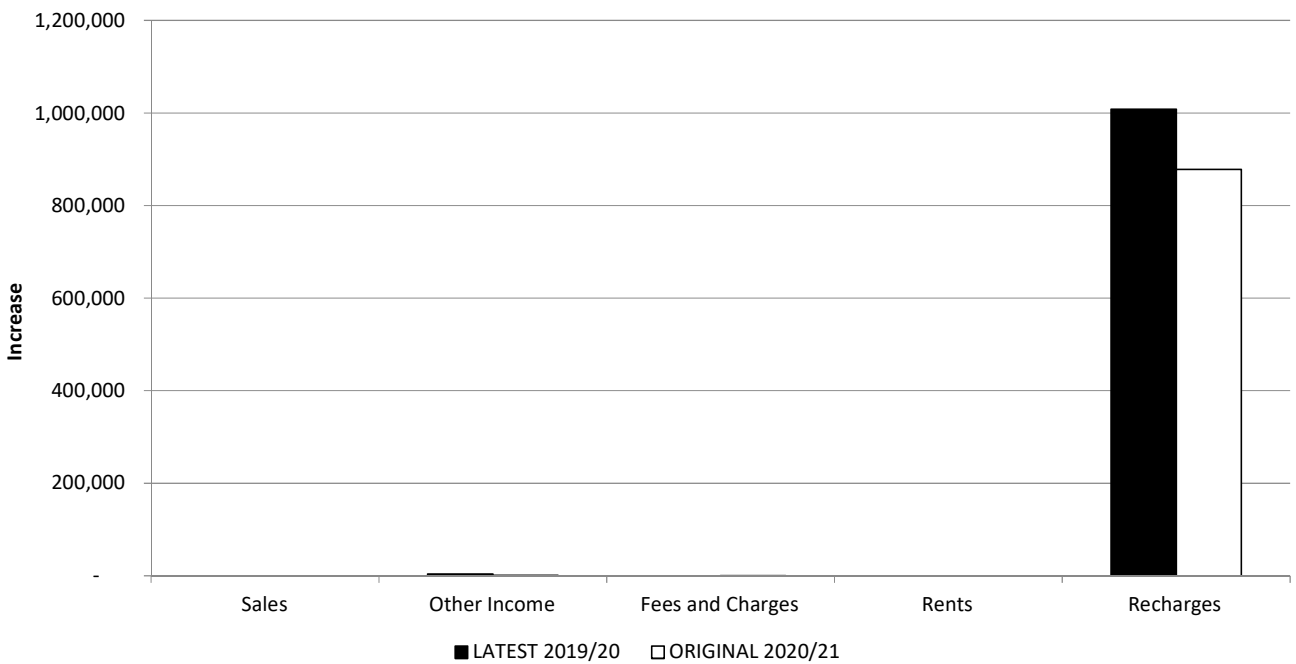
STRATEGIC LEADERSHIP INCOME - 2020/21 BUDGETS



STRATEGIC LEADERSHIP EXPENDITURE: CHANGE FROM 2019/20 ORIGINAL (£)



STRATEGIC LEADERSHIP INCOME: CHANGE FROM 2019/20 ORIGINAL (£)



STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S1270 GREEN SPACE DEVELOPMENT</u>				
DIRECT EXPENDITURE				
Premises	6,383	14,500	4,500	14,500
TOTAL DIRECT EXPENDITURE	6,383	14,500	4,500	14,500
NET (INCOME) / EXPENDITURE TO SUMMARY	6,383	14,500	4,500	14,500

This budget is in respect of maintaining the Council's pumping stations which is managed by the Asset Management Team.

S1289 OPEN SPACES

DIRECT EXPENDITURE				
Premises	10,624	12,600	12,600	11,800
Third Party Payments	10,418	10,300	11,100	10,800
TOTAL DIRECT EXPENDITURE	21,042	22,900	23,700	22,600
DIRECT INCOME				
Fees and Charges	(35,841)	(35,000)	(35,000)	(35,700)
Rents	(134,013)	(140,800)	(140,800)	(143,300)
TOTAL DIRECT INCOME	(169,854)	(175,800)	(175,800)	(179,000)
NET DIRECT (INCOME) / EXPENDITURE	(148,812)	(152,900)	(152,100)	(156,400)
Support Services	17,528	27,100	17,900	18,000
Capital Charges	-	-	247,100	397,900
NET (INCOME) / EXPENDITURE TO SUMMARY	(131,284)	(125,800)	112,900	259,500

This budget is in respect of the income received from the lettings of various properties and concessions within the Council's parks and open spaces. It is managed by the Council's Commercial Properties and Estates Manager.

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S1645 ASSET MANAGEMENT</u>				
DIRECT EXPENDITURE				
Employees	844,260	1,053,200	1,203,100	1,123,600
Premises	-	1,300	5,600	5,600
Transport	6,538	6,500	6,500	6,600
Supplies and Services	8,737	17,100	17,200	16,800
Third Party Payments	12,891	4,000	16,500	4,100
TOTAL DIRECT EXPENDITURE	872,426	1,082,100	1,248,900	1,156,700
DIRECT INCOME				
Other Grants and Contributions	-	(22,500)	(22,500)	(23,000)
TOTAL DIRECT INCOME	-	(22,500)	(22,500)	(23,000)
NET DIRECT (INCOME) / EXPENDITURE	872,426	1,059,600	1,226,400	1,133,700
Support Services	235,782	228,800	258,600	275,700
Recharges	(1,108,209)	(1,288,400)	(1,436,500)	(1,409,400)
NET (INCOME) / EXPENDITURE TO SUMMARY	(1)	-	48,500	-

Asset Management is part of the Chief Executive's Office. The Asset Management' team provides the Council with a comprehensive repair, improvement and renewal Service to all corporate properties and manages the capital investment programme and major/cyclical maintenance for the Council's housing stock. It also has a significant involvement in all Corporate Building Projects.

Asset Management:

- Manages, maintains and improves the Council's Corporate Property portfolio (operational and non-operational) to support the needs and requirements of those services and their clients
- Manages and coordinates implementation of the Council's Asset Management Strategy
- Is responsible for upgrades and major alterations to the Council's property portfolio
- Manages and improves the effective usage of energy across the Council and is a major contributor to delivering the Climate Emergency strategy
- Manages the Housing Investment Programme for the Council's housing stock
- Manage specialist mechanical and electrical and cyclical maintenance contracts for the housing stock
- Provides technical advice to improve the quality of affordable housing developments
- Supports the Council to earn income for services by managing and maintaining the Council's commercial portfolio

The majority of the Council's operational buildings are managed by the Cultural Services unit but maintained by Asset Management including:

- Royal Pump Rooms - Royal Leamington Spa
- The Royal Spa Centre - Royal Leamington Spa
- Town Hall – Royal Leamington Spa

Other corporate assets maintained by Asset Management include:

- Oakley Woods Crematorium
- Council Offices at Riverside House

The Council's housing stock includes approximately 5,500 dwellings and 1,900 garages. Asset Management manage the annual programme of planned maintenance and improvement/renewal work to maintain the condition of the fabric of the stock. Examples of work undertaken include improved thermal insulation, installation of central heating, kitchen and bathroom replacement, re-roofing, installation of double glazed windows, improved security systems and schemes that improve energy efficiency and the general environment for tenants.

The Council gains valuable income from the number of commercial properties that it owns by renting them out for a variety of business uses. In addition the Corporate Property Portfolio includes a number of properties that are let to clubs and voluntary groups which serve the community.

The cost of delivering Asset Management is covered by recharging staff time allocations to the services which have overall responsibility for individual properties and assets.

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S1650 ESTATE MANAGEMENT</u>				
DIRECT EXPENDITURE				
Employees	529	-	-	-
Premises	331,206	123,100	135,900	135,200
Supplies and Services	4,168	6,800	5,800	5,900
Third Party Payments	79,185	77,900	123,000	79,400
TOTAL DIRECT EXPENDITURE	415,088	207,800	264,700	220,500
DIRECT INCOME				
Other Income	(17,154)	(15,600)	(15,600)	(15,900)
Fees and Charges	(525)	(2,000)	(2,000)	(2,000)
Rents	(494,197)	(562,800)	(549,700)	(559,500)
TOTAL DIRECT INCOME	(511,877)	(580,400)	(567,300)	(577,400)
NET DIRECT (INCOME) / EXPENDITURE	(96,789)	(372,600)	(302,600)	(356,900)
Support Services	214,872	226,600	264,900	266,100
Capital Charges	392,463	552,600	402,800	643,700
NET (INCOME) / EXPENDITURE TO SUMMARY	510,547	406,600	365,100	552,900

The Estate Management Budget concerns the costs and incomes from properties which are non-operational assets - these are fixed assets held by the Council but not occupied directly or used in the delivery of the Council's services. It includes land acquired in advance for specific purposes, such as extinguishing inappropriate uses, improving conservation policies or in advance of redevelopment proposals; land and property held as an investment by the Council; and property surplus to requirements but held pending allocation or disposal.

The costs of support services affecting this budget concern the expenses of managing these non-operational assets. These property management costs are governed by the Council's duties under residential, commercial and industrial property lease arrangements, particularly the legal and financial matters, which include negotiating new leases, lease renewals, rent reviews and the assignment of leases.

The Council has approximately 160 non-operational assets, ranging from the general retail, office and industrial units to a boat house at St. Nicholas Park and numerous sporting clubhouses.

S1660 WARWICK PLANT MAINTENANCE

DIRECT EXPENDITURE				
Supplies and Services	190	-	-	-
NET (INCOME) / EXPENDITURE TO SUMMARY	190	-	-	-

Warwick Plant Maintenance was the in-house team of engineers who looked after the Council's mechanical and electrical plant and equipment in properties, such as heating and water treatment in the leisure centres. From 31st May 2017 as part of the 'Leisure Options' project, the Council no longer has a dedicated in-house team of engineers.

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S2000 CHIEF EXECUTIVE'S OFFICE</u>				
DIRECT EXPENDITURE				
Employees	436,136	443,600	452,400	466,500
Transport	198	800	600	800
Supplies and Services	9,205	11,100	10,200	9,100
Third Party Payments	99,145	19,300	29,300	21,600
TOTAL DIRECT EXPENDITURE	544,684	474,800	492,500	498,000
DIRECT INCOME				
Fees and Charges	(40)	-	-	-
TOTAL DIRECT INCOME	(40)	-	-	-
NET DIRECT (INCOME) / EXPENDITURE	544,644	474,800	492,500	498,000
Support Services	70,379	72,400	66,900	64,600
Recharges	(615,023)	(547,200)	(559,400)	(562,600)
NET (INCOME) / EXPENDITURE TO SUMMARY	-	-	-	-

The Chief Executive is the head of the Council's paid service. He is chief advisor to councillors on policy matters and is responsible for organisational management and development. This budget also includes the 2 Deputy Chief Executives.

The Deputy Chief Executives, along with the Chief Executive, provide strategic direction for the Council. The following Service Areas also come under their remit with HR and Media reporting directly to the Chief Executive:

Deputy Chief Executive 1

Finance
Cultural Services
Health and Community Protection
Information and Communications Technology
Democratic Services
Legal Services (provided by WCC)

Deputy Chief Executive 2

Development Services and Business
Housing Services
Neighbourhood Services
Asset Management

The Chief Executive, the Deputy Chief Executives and the Heads of the Service Areas make up the Senior Management Team.

The cost of the Chief Executive is recharged to Corporate Management. The rest of the service costs are recharged to services based on staff time allocations.

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S2010 CORPORATE PROJECTS</u>				
DIRECT EXPENDITURE				
Employees	12,639	-	-	-
Supplies and Services	1,138	-	85,000	-
Third Party Payments	51,969	-	162,500	257,400
	<u>65,746</u>	<u>-</u>	<u>247,500</u>	<u>257,400</u>
TOTAL DIRECT EXPENDITURE				
DIRECT INCOME				
Fees and Charges	(3,000)	-	-	-
	<u>(3,000)</u>	<u>-</u>	<u>-</u>	<u>-</u>
TOTAL DIRECT INCOME				
NET DIRECT (INCOME) / EXPENDITURE				
	<u>62,746</u>	<u>-</u>	<u>247,500</u>	<u>257,400</u>
Support Services	4,105	3,100	200	200
Recharges	(64,407)	(3,100)	(75,200)	(200)
	<u>2,444</u>	<u>-</u>	<u>172,500</u>	<u>257,400</u>
NET (INCOME) / EXPENDITURE TO SUMMARY				
	<u><u>2,444</u></u>	<u><u>-</u></u>	<u><u>172,500</u></u>	<u><u>257,400</u></u>

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S2060 HUMAN RESOURCES</u>				
DIRECT EXPENDITURE				
Employees	426,377	425,100	680,600	682,200
Premises	682	1,200	900	1,200
Supplies and Services	71,926	77,000	77,700	78,500
Third Party Payments	24,896	103,700	107,900	30,600
TOTAL DIRECT EXPENDITURE	523,881	607,000	867,100	792,500
DIRECT INCOME				
Other Income	(407)	-	-	-
Fees and Charges	(14)	-	-	-
TOTAL DIRECT INCOME	(421)	-	-	-
NET DIRECT (INCOME) / EXPENDITURE	523,460	607,000	867,100	792,500
Support Services	155,974	166,500	159,800	161,800
Recharges	(659,604)	(693,500)	(1,026,900)	(954,300)
NET (INCOME) / EXPENDITURE TO SUMMARY	19,829	80,000	-	-

Human Resources provides services to all units within the Council to support people management activities; these include:

- Support for organisational development and improvement
- Corporate training and management development programmes
- Corporate human resources policy development and implementation
- Union negotiations and consultation
- Advice on terms and conditions
- Full recruitment service to all service areas
- Job evaluation system
- Maintenance of corporate human resources procedures
- Payroll Services including Self Service

There are 10 established posts:

- HR Manager
- Senior HR Officer x 2
- HR Business Partner x 2
- Learning and Development Officer
- HR support x 4

The "Employees" estimates include an amount of £4,900 available to General Fund services in respect of additional training costs and a Corporate Training budget of £36,800.

The cost of this service is recharged out to other services on the basis of staff numbers.

The HR Manager is also responsible for Marketing & Communications and Website functions.

EQUALITIES

There are a number of legislative responsibilities for the Council in relation to a duty to positively promote equalities. The responsibility in relation to the Council's Community Leadership role is key in ensuring equal access to services to all aspects of our community through the understanding and development of the provision of the se services by our staff.

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S2080 MEMBER TRAINING</u>				
DIRECT EXPENDITURE				
Employees	999	4,600	9,000	4,700
Supplies and Services	-	500	1,100	500
	<u>999</u>	<u>5,100</u>	<u>10,100</u>	<u>5,200</u>
NET (INCOME) / EXPENDITURE TO SUMMARY	<u>999</u>	<u>5,100</u>	<u>10,100</u>	<u>5,200</u>

The Council provides a training programme for elected members. A programme of shared learning events is also planned in partnership with neighbouring authorities including the County Council.

S2100 ORGANISATIONAL DEVELOPMENT

DIRECT EXPENDITURE				
Supplies and Services	-	16,000	16,000	16,300
	<u>-</u>	<u>16,000</u>	<u>16,000</u>	<u>16,300</u>
TOTAL DIRECT EXPENDITURE	<u>-</u>	<u>16,000</u>	<u>16,000</u>	<u>16,300</u>
	<u>-</u>	<u>16,000</u>	<u>16,000</u>	<u>16,300</u>
NET (INCOME) / EXPENDITURE TO SUMMARY	<u>-</u>	<u>16,000</u>	<u>16,000</u>	<u>16,300</u>

These budgets relate to digital transformation costs.

STRATEGIC LEADERSHIP

<u>S2200 COMMITTEE SERVICES</u>	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
DIRECT EXPENDITURE				
Employees	179,171	184,100	201,700	234,600
Transport	862	400	400	400
Supplies and Services	18,440	20,100	24,300	20,800
Third Party Payments	19,548	39,100	39,100	39,900
TOTAL DIRECT EXPENDITURE	218,022	243,700	265,500	295,700
Support Services	117,118	116,900	135,800	125,200
Recharges	(335,140)	(360,600)	(401,300)	(420,900)
NET (INCOME) / EXPENDITURE TO SUMMARY	-	-	-	-

The Council's decision making process consists of an Executive, Overview and Scrutiny Committees, and other service specific committees. This budget reflects the cost of this process as well as the staff which supports it. The majority of these costs are recharged to the Democratic Representation Budget Code.

In addition, this budget also covers the process of administering the requests received by the Council under the Freedom of Information Act, Data Protection and Environmental Information Regulations.

The cost of this service is recharged to services based on staff time allocations.

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S2220 DEMOCRATIC REPRESENTATION</u>				
DIRECT EXPENDITURE				
Employees	4,995	4,200	6,000	6,100
Transport	758	4,000	3,900	4,100
Supplies and Services	357,699	344,500	347,000	371,700
Third Party Payments	-	5,900	5,900	6,000
	<hr/>	<hr/>	<hr/>	<hr/>
TOTAL DIRECT EXPENDITURE	363,451	358,600	362,800	387,900
Support Services	898,485	836,900	937,100	952,900
Capital Charges	1,622	1,600	1,600	1,400
Recharges	(73,500)	(73,500)	(73,500)	(73,500)
	<hr/>	<hr/>	<hr/>	<hr/>
NET (INCOME) / EXPENDITURE TO SUMMARY	1,190,058	1,123,600	1,228,000	1,268,700
	<hr/> <hr/>	<hr/> <hr/>	<hr/> <hr/>	<hr/> <hr/>

This includes all aspects of members' activities in their capacity as members of the Council, including corporate, service policy making and the more general activities relating to governance and the representation of local interests.

Activities covered include all meetings that involve members acting on behalf of the authority, such as meetings of the Council, the Executive, Overview and Scrutiny Committees, Regulatory Committee, Licensing Committee Planning Committee, Employment Committee and joint officer / member working groups. It also covers activities that members undertake as local representatives or to represent local interests.

Democratic Representation and Management costs also include the costs associated with officer advice and support to members.

As a result of the above, costs properly chargeable to Democratic Representation and Management include:

- All members' allowances and expenses, including telephone calls, postages, equipment costs, hospitality, accommodation costs, training, conference fees, etc.
- The costs associated with officer time spent on appropriate advice and support activities, including office support services, professional advice and support, preparation of agendas and minutes, attendance at meetings, production of specific papers for members, etc.
- Subscriptions to local authority associations.

The only recharge made is to the Housing Revenue Account to reflect its share of the costs.

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S2240 ELECTIONS</u>				
DIRECT EXPENDITURE				
Employees	6,884	75,300	188,900	6,700
Premises	3,444	29,100	63,100	-
Transport	263	2,000	5,700	-
Supplies and Services	13,438	47,300	136,600	7,400
Third Party Payments	378	-	-	-
	<u>24,407</u>	<u>153,700</u>	<u>394,300</u>	<u>14,100</u>
DIRECT INCOME				
Government Grants	(6,511)	-	(223,200)	-
Other Income	(11,610)	(500)	(500)	(500)
	<u>(18,120)</u>	<u>(500)</u>	<u>(223,700)</u>	<u>(500)</u>
TOTAL DIRECT INCOME	(18,120)	(500)	(223,700)	(500)
NET DIRECT (INCOME) / EXPENDITURE	6,287	153,200	170,600	13,600
Support Services	34,281	39,100	59,100	54,400
Capital Charges	-	-	200	100
	<u>40,568</u>	<u>192,300</u>	<u>229,900</u>	<u>68,100</u>
NET (INCOME) / EXPENDITURE TO SUMMARY	40,568	192,300	229,900	68,100

Warwick District Council is required to appoint an officer to be the Returning Officer for the election of District Councillors and their duties are separate from their duties as a local government officer. The Chief Executive is the appointed officer and as Returning Officer he is personally liable for the conduct of the election. The Electoral Services Manager is appointed as Deputy Returning Officer.

Electoral Services organise elections for local and national government held within the District Council area. This includes UK Parliamentary elections for the 2 Parliamentary Constituencies covering the District (Warwick and Leamington & Kenilworth and Southam), all types of referenda (including those for Neighbourhood Planning and local referendums held within the area), Warwick District Council elections, Warwickshire County Council elections, elections for the Parish and Town Councils and the Police and Crime Commissioner for the Warwickshire Police area. The Chief Executive is the current appointed Warwickshire Police Area Returning Officer.

The costs of the various levels of elections are reimbursed by the bodies in question - national, county or parish levels. The costs of the District Council elections are borne by this Authority. The next scheduled District Council elections are to be held on Thursday 4 May 2023 and these will be combined with elections for all Parish and Town Councils within the District.

The Electoral Commission set and monitors performance standards for Electoral Services, publishing the standards of performance for Returning Officers with a view to ensuring that elections are conducted in line with a set of key principals.

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S2260 ELECTORAL REGISTRATION</u>				
DIRECT EXPENDITURE				
Employees	148,745	128,700	148,300	176,800
Premises	-	2,800	2,800	2,800
Transport	1,368	500	500	500
Supplies and Services	169,021	74,900	137,700	97,900
Third Party Payments	6,487	-	19,800	-
TOTAL DIRECT EXPENDITURE	325,620	206,900	309,100	278,000
DIRECT INCOME				
Sales	(2,722)	(2,400)	(2,400)	(2,400)
Other Income	(57,907)	-	(4,000)	-
TOTAL DIRECT INCOME	(60,629)	(2,400)	(6,400)	(2,400)
NET DIRECT (INCOME) / EXPENDITURE	264,992	204,500	302,700	275,600
Support Services	87,676	71,400	123,200	123,700
Recharges	(15,700)	(15,700)	(15,700)	(16,000)
NET (INCOME) / EXPENDITURE TO SUMMARY	336,967	260,200	410,200	383,300

Warwick District Council is required to appoint a local government officer to be the Electoral Registration Officer as prescribe in Section 8 of the Representation of the People Act 1983 who is responsible for the preparation and maintenance of the register of electors and lists of absent voters within the District. The Chief Executive is the appointed officer and the work of compiling and maintaining the Register is undertaken by Electoral Services. The Electoral Services Manager is appointed as Deputy Electoral Registration Officer.

Since the introduction of Individual Electoral Registration in 2014 each person is now responsible to register to vote individually by providing their date of birth and national insurance number. Anyone unable to supply this information can provide an alternative form of evidence of their identity.

The Electoral Commission set and monitors performance standards for Electoral Services, publishing the standards of performance for Electoral Registration Officers with a view to ensuring that electors are registered in line with a set of key

STRATEGIC LEADERSHIP

<u>S2280 CHAIR OF THE COUNCIL</u>	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
DIRECT EXPENDITURE				
Employees	14,154	27,800	28,600	28,800
Transport	7,432	8,300	7,700	7,800
Supplies and Services	13,913	19,200	19,000	19,600
TOTAL DIRECT EXPENDITURE	35,498	55,300	55,300	56,200
DIRECT INCOME				
Other Income	(670)	-	-	-
TOTAL DIRECT INCOME	(670)	-	-	-
NET DIRECT (INCOME) / EXPENDITURE	34,828	55,300	55,300	56,200
Support Services	26,188	27,700	29,500	30,100
Recharges	(2,600)	(2,600)	(2,600)	(2,700)
NET (INCOME) / EXPENDITURE TO SUMMARY	58,416	80,400	82,200	83,600

The Chairman of the District Council is the first citizen of the area. In addition to obvious duties, e.g. chairing the meetings of the Council itself, the Chairman performs ceremonial and public functions such as meetings, representing the Council with local organisations and official openings.

To assist the Chairman in the performance of these duties during the year of office an allowance is made, there is also an allowance for the Vice-Chairman. In addition to the allowances paid, the Council will also pay the resultant income tax and national insurance assessments following liability changes introduced by the Inland Revenue.

The Chairman is aided by a Personal Assistant and has a car and a chauffeur to attend various functions, both local and national.

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S2300 OFFICE ACCOMMODATION</u>				
DIRECT EXPENDITURE				
Premises	310,560	258,800	250,600	292,400
Supplies and Services	10,259	-	-	-
TOTAL DIRECT EXPENDITURE	320,819	258,800	250,600	292,400
DIRECT INCOME				
Other Income	(3,528)	-	-	-
TOTAL DIRECT INCOME	(3,528)	-	-	-
NET DIRECT (INCOME) / EXPENDITURE	317,291	258,800	250,600	292,400
Support Services	124,015	75,500	142,700	68,600
Capital Charges	465,908	420,900	477,300	470,500
Recharges	(907,214)	(713,900)	(870,600)	(831,500)
NET (INCOME) / EXPENDITURE TO SUMMARY	(0)	41,300	-	-

The budgets shown above reflect the operational office accommodation costs of Riverside House, the Council's administrative headquarters.

The cost of this service is recharged to users based on floor area occupied.

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S2340 MEDIA ROOM</u>				
DIRECT EXPENDITURE				
Employees	223,807	255,900	262,700	253,500
Transport	382	800	800	800
Supplies and Services	74,311	96,900	96,800	101,900
Third Party Payments	-	400	400	400
TOTAL DIRECT EXPENDITURE	298,499	354,000	360,700	356,600
DIRECT INCOME				
Government Grants	(1,477)	-	-	-
Other Income	(37,787)	(58,400)	(58,400)	(59,600)
Fees and Charges	(2,051)	(4,000)	(4,000)	(4,100)
TOTAL DIRECT INCOME	(41,315)	(62,400)	(62,400)	(63,700)
NET DIRECT (INCOME) / EXPENDITURE	257,184	291,600	298,300	292,900
Support Services	112,265	103,500	132,100	118,700
Capital Charges	12,657	17,400	19,400	18,900
Recharges	(382,107)	(394,600)	(449,800)	(430,500)
NET (INCOME) / EXPENDITURE TO SUMMARY	-	17,900	-	-

The Council operates a centralised Media Team which delivers the Marketing and Communications Strategy 2019-2023 and includes the provision of marketing, communications, website management, social media, advertising, graphic design, print and copying as well as internal communications and engagement through which all of the Council's above requirements are sourced. They create action plans, collect and use data and analytics, putting the customers' needs first and informing our on-going marketing plans.. In addition, they support Councillors in delivering our news and promoting key initiatives.

The introduction of new processes has enabled more work to be carried out internally which has resulted in cost savings. When demand exceeds capacity, work will be placed with external printers using the Print Tender Framework. The department advises on brand guidelines, Equality & Diversity accessibility issues on documents, Plain English and ensures that all publications abide by the Government's Code of Publicity.

S3350 CSTEAM

DIRECT EXPENDITURE				
Employees	174,798	196,300	178,600	175,000
Transport	359	400	200	200
Supplies and Services	8,588	20,900	10,100	10,800
TOTAL DIRECT EXPENDITURE	183,745	217,600	188,900	186,000
DIRECT INCOME				
Government Grants	(1,556)	-	-	-
TOTAL DIRECT INCOME	(1,556)	-	-	-
Support Services	76,428	72,000	87,400	97,100
Recharges	(258,617)	(273,700)	(276,300)	(283,100)
NET (INCOME) / EXPENDITURE TO SUMMARY	-	15,900	-	-

The Corporate Support Team provide business support functions such as post opening, bulk mailing, corporate admin and scanning are undertaken in the centre. The team is accountable for the corporate postage and stationery budgets, ensuring efficiency savings are maximised. The costs of the service are recharged to individual business units on the basis of time allocations.

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S3400 PAYMENT CHANNELS</u>				
DIRECT EXPENDITURE				
Supplies and Services	23,324	21,500	21,500	21,900
Third Party Payments	132,525	120,000	125,500	128,000
TOTAL DIRECT EXPENDITURE	155,849	141,500	147,000	149,900
Support Services	14,108	17,200	10,500	11,500
Recharges	(169,957)	(158,700)	(157,500)	(161,400)
NET (INCOME) / EXPENDITURE TO SUMMARY	-	-	-	-

Customers have a range of options for paying Council charges:

- Direct Debit;
- Allpay cards and barcodes;
- Touchtone;
- Internet;
- Cheque.

Expenditure shown in this budget head relates to the processing costs . The costs of the service are recharged to users based on the number of transactions.

S3452 CUSTOMER CONTACT MANAGER

DIRECT EXPENDITURE				
Supplies and Services	(675)	-	-	-
TOTAL DIRECT EXPENDITURE	(675)	-	-	-
Recharges	68	-	100	100
NET (INCOME) / EXPENDITURE TO SUMMARY	(607)	-	100	100

This post supported the Interim Human Resources / Organisational Development Manager to support corporate projects in liaison with Corporate Management Team / Senior Management Team. The post was temporary until July 2016.

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S3470 WEB SERVICES</u>				
DIRECT EXPENDITURE				
Employees	54,698	52,100	54,800	55,300
Transport	156	100	100	100
Supplies and Services	37,801	30,200	29,200	30,800
	<u>92,655</u>	<u>82,400</u>	<u>84,100</u>	<u>86,200</u>
TOTAL DIRECT EXPENDITURE	92,655	82,400	84,100	86,200
Support Services	21,831	22,600	23,300	26,400
Recharges	(114,486)	(105,000)	(107,400)	(112,600)
	<u>-</u>	<u>-</u>	<u>-</u>	<u>-</u>
NET (INCOME) / EXPENDITURE TO SUMMARY	-	-	-	-

The website provides information and services for customers 24 hours a day and seven days a week. As well as finding information about this council, this area and other government services customers can:

- make payments;
- search and submit planning applications;
- book leisure facilities;
- bid for council housing;
- check council tax and benefit details; and
- report problems and make requests directly.

This area now reports direct to the HR Manager and liaises closely with the Marketing and & Communications functionality.

The cost of this service is recharged to users on the basis of gross expenditure.

The website address is www.warwickdc.gov.uk

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S3500 ICT SERVICES</u>				
DIRECT EXPENDITURE				
Employees	963,364	1,029,200	1,039,100	1,190,700
Transport	2,382	4,000	4,000	4,100
Supplies and Services	393,439	411,400	492,900	402,400
Third Party Payments	28,299	-	-	-
TOTAL DIRECT EXPENDITURE	1,387,484	1,444,600	1,536,000	1,597,200
DIRECT INCOME				
Government Grants	(1,600)	-	-	-
Fees and Charges	(42,345)	(45,000)	(45,000)	(45,000)
TOTAL DIRECT INCOME	(43,945)	(45,000)	(45,000)	(45,000)
NET DIRECT (INCOME) / EXPENDITURE	1,343,539	1,399,600	1,491,000	1,552,200
Support Services	230,108	221,900	262,600	254,500
Capital Charges	88,894	159,100	119,900	114,900
Recharges	(1,676,533)	(1,692,300)	(1,882,800)	(1,929,400)
NET (INCOME) / EXPENDITURE TO SUMMARY	(13,993)	88,300	(9,300)	(7,800)

The Information and Communications Technology Services (ICT) is an internal support service for staff and councillors.

The ICT Services is comprised of four teams:

- Desktop Services
- Infrastructure
- Application Support
- Geographical Information System, including Street Naming & Numbering

The budgets above also include the costs of operating the Council's main switchboard.

Direct Income is mainly derived from the Street Naming and Numbering service.

S3600 ECONOMIC DEVELOPMENT

DIRECT EXPENDITURE				
Supplies and Services	15,391	15,000	15,000	15,300
Third Party Payments	55,395	62,000	99,400	-
TOTAL DIRECT EXPENDITURE	70,786	77,000	114,400	15,300
Support Services	306	-	300	300
Capital Charges	-	-	19,300	800
NET (INCOME) / EXPENDITURE TO SUMMARY	71,092	77,000	134,000	16,400

The budgets above are in respect of various projects at St. Mary's Land in Warwick.

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S3661 CUP - UNITED REFORM CHURCH</u>				
DIRECT EXPENDITURE				
Premises	3,078	1,500	1,500	1,500
TOTAL DIRECT EXPENDITURE	3,078	1,500	1,500	1,500
Support Services	8,365	10,300	10,700	10,800
Capital Charges	44,541	43,500	34,500	33,900
NET (INCOME) / EXPENDITURE TO SUMMARY	55,984	55,300	46,700	46,200

The Creative Uplift Programme (CUP) scheme in respect of phase 2 development of Spencer's Yard was dependent on Government funding through Advantage West Midlands.

The new Government formed following the Parliamentary elections held in May 2010 abolished Advantage West Midlands and cancelled all outstanding schemes.

S4300 ENVIRONMENTAL PROTECTION

DIRECT EXPENDITURE				
Transport	4,476	4,800	1,900	2,000
Supplies and Services	23,903	6,600	6,600	6,700
TOTAL DIRECT EXPENDITURE	28,379	11,400	8,500	8,700
DIRECT INCOME				
Government Grants	(699)	-	-	-
TOTAL DIRECT INCOME	(699)	-	-	-
NET DIRECT (INCOME) / EXPENDITURE	27,680	11,400	8,500	8,700
Support Services	94	-	100	100
NET (INCOME) / EXPENDITURE TO SUMMARY	27,773	11,400	8,600	8,800

The budgets above are in respect of the costs associated with the use of electric vehicles.

STRATEGIC LEADERSHIP

	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S4780 WDC HIGHWAYS</u>				
DIRECT EXPENDITURE				
Premises	73,798	94,400	84,400	94,800
TOTAL DIRECT EXPENDITURE	73,798	94,400	84,400	94,800
Support Services	61,413	74,800	75,600	75,700
Capital Charges	34,127	33,700	34,400	33,800
NET (INCOME) / EXPENDITURE TO SUMMARY	169,337	202,900	194,400	204,300

Highway functions covered by the budget headings shown above include the provision and maintenance of street furniture including street seats, signs and nameplates, bus shelters and footway lighting, in rural areas.

S4810 ALLEVIATION OF FLOODING

DIRECT EXPENDITURE				
Premises	-	10,400	7,900	10,400
Third Party Payments	-	500	500	500
TOTAL DIRECT EXPENDITURE	-	10,900	8,400	10,900
Support Services	7,214	1,200	7,700	8,000
Capital Charges	78,215	77,100	78,800	77,600
NET (INCOME) / EXPENDITURE TO SUMMARY	85,429	89,200	94,900	96,500

The Council is responsible for the discharge of the Land Drainage functions covered under the statutory requirement of the Land Drainage Act 1991 and the Local Government Act 1999.

Warwick District Council also has the added responsibility of complying with its own flood defence policy which was reported in March 2000 to DEFRA and the Environment Agency. This requires an annual programme of inspections of ordinary watercourses, which are some 151 kilometres in length, to ensure that free flow is maintained. Certain works are carried out on a discretionary basis but the Council has no duty to carry out any works other than as riparian owner. Remedial works on behalf of other riparian owners may be undertaken on a rechargeable basis. Enforcement action is usually required to cajole Riparian owners to rectify problems in their stretches of watercourse.

STRATEGIC LEADERSHIP


	ACTUAL 2018/19 £	ORIGINAL BUDGET 2019/20 £	LATEST BUDGET 2019/20 £	ORIGINAL BUDGET 2020/21 £
<u>S4871 LEGAL SERVICES (SHARED SERVICE WCC)</u>				
DIRECT EXPENDITURE				
Third Party Payments	1,876	19,700	13,300	30,700
TOTAL DIRECT EXPENDITURE	1,876	19,700	13,300	30,700
DIRECT INCOME				
Fees and Charges	(1,707)	-	-	-
TOTAL DIRECT INCOME	(1,707)	-	-	-
NET DIRECT (INCOME) / EXPENDITURE	168	19,700	13,300	30,700
Support Services	28,575	26,000	27,300	27,300
Recharges	(28,743)	(45,700)	(40,600)	(58,000)
NET (INCOME) / EXPENDITURE TO SUMMARY	-	-	-	-

Legal work for the Council is now provided by a joint Warwick District Council / Warwickshire County Council team. The team is based at Shire Hall in Warwick. Legal work is only externalised if it is of a specialised nature.

SW000 CORPORATE R+M UNALLOCATED

DIRECT EXPENDITURE				
Premises	-	415,500	1,359,000	413,200
TOTAL DIRECT EXPENDITURE	-	415,500	1,359,000	413,200
NET (INCOME) / EXPENDITURE TO SUMMARY	-	415,500	1,359,000	413,200

This is a holding account. As necessary works are agreed the budget is reallocated to the appropriate Services for Planned, Preventative Maintenance (PPM).

	Finance & Audit Scrutiny Committee 11 February 2020	Agenda Item No. 7
Title	Review of Work Programme and Forward Plan & Comments from the Executive	
For further information about this report please contact	Graham Leach 01926 456114 or committee@warwickdc.gov.uk	
Wards of the District directly affected	N/A	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number		
Background Papers	N/A	
<p style="text-align: center;">This report is produced for Scrutiny meetings for governance purposes. It is part of the process for ensuring that the Council is held to account for the decisions it makes or may make.</p>		

1. Summary

- 1.1 This report informs the Committee of its work programme for 2019/2020 Municipal Year (Appendix 1) and of the current [Forward Plan](#).

2. Recommendation

- 2.1 Members consider the work programme attached as Appendix 1 to the report.
- 2.2 The Committee to:
- Note that that Closure of Accounts Review was completed in September 2019, and the Final accounts will be brought to March for consideration.
 - 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 as attached at Appendix 1 to the report should be updated at each meeting to accurately reflect the workload of the Committee.
- 3.2 Two of the five main roles of overview and scrutiny in local government are to undertake pre-decision scrutiny of Executive decisions and to feed into policy development.
- 3.3 If the Committee has an interest in a future decision to be made by the Executive, or policy to be implemented, **it is within the Committee's** remit to feed into the process.

- 3.4 The Forward Plan is actually the future work programme for the Executive. If a non-executive Member highlighted a decision(s) which is to be taken by the Executive 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 Executive and they are passing comment on it.
- 3.5 The review of the Closure of Accounts was completed in September 2019. While there will be a review of this process each year led by the Team any resultant actions will be included within the appropriate team plans.

4. **Background**

- 4.1 The five main roles of overview and scrutiny in local government are: holding to account; performance management; policy review; policy development; and external scrutiny.
- 4.2 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.
- 4.3 **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.
- 4.4 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.
- 4.5 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.
- 4.6 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.
- 4.7 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.
- 4.8 At each meeting, the Committee will consider their work programme and make amendments where necessary, and also make comments on specific Executive items, where notice has been given by 9am on the day of the Finance & Audit Scrutiny Committee meeting. The Committee will also receive a report detailing the response from the Executive, on the comments the Committee made on the Executive agenda in the previous cycle.
- 4.9 The Forward Plan is considered at each meeting and allows the Committee to look at future items and become involved in those Executive decisions to be taken, if members so wish.
- 4.10 As part of the scrutiny process, the Committee is not considering the whole of the Executive agenda.

- 4.11 On the day of publication of the Executive agenda, all Councillors are sent an e-mail asking them to contact Committee Services, by 9.00am on the day of the Committee meeting to advise which Executive items they would like the Committee to consider.
- 4.13 If the Committee made a comment on an Executive report a response will be provided to the Committee at its next meeting. In reviewing these responses, 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.

Finance and Audit Scrutiny Committee WORK PROGRAMME 2019/20

11 February 2020

Title	Audit Item or Scrutiny Item	Format	Lead Officer/ Councillor	Next report date if applicable	Completion date
Strategic Leadership/Chief Executive – Service Area Update	Scrutiny	Written report followed by Q&A	Chris Elliott / Leader of the Council		Annually
Closure of Accounts Review	Scrutiny	Item on the Executive agenda	Andrew Rollins / Cllr Hales		
Significant Business Risk Register	Scrutiny	Item on the Executive agenda	Richard Barr / Cllr Day		

17 March 2020

Title	Audit Item or Scrutiny Item	Format	Lead Officer/ Councillor	Next report date if applicable	Completion date
Internal Audit Quarter 3 2019/20 Progress Report	Audit	Written report followed by Q&A	Richard Barr		Quarterly
Health & Community Protection – Service Area Update	Scrutiny	Written report followed by Q&A	Marianne Rolfe / PH H&CP		Annually
Internal Audit Strategic Plan (2020/21 to 2022/23 plan)	Audit	Written report followed by Q&A	Richard Barr		Annually

21 April 2020

Title	Audit Item or Scrutiny Item	Format	Lead Officer/ Councillor	Next report date if applicable	Completion date
Procurement full year review	Scrutiny	Written report followed by Q&A	Becky Reading		
Culture – Service Area Update	Scrutiny	Written report followed by Q&A	Rose Winship / PH Culture		Annually
Significant Business Risk Register	Scrutiny	Item on the Executive agenda	Richard Barr / Cllr Day		

In addition to the above the Committee have agreed to receive quarterly reports on the introduction of the new Financial Management System, once the project initiation document is agreed by the Executive.

Service Area Update Rota
Finance
Housing & Property
Neighbourhood Services
Development Services
Environment & Business
Chief Executives
Culture
Health & Community Protection

**Response from the meeting of the Executive on the Committees' Comments –
18 December 2019**

Item no.	3	Title	Council Loans Policy
Scrutiny Comment	The Committee suggested to Executive that (1) they amend the Policy so that Officers can refuse loan requests that do not meet the criteria; (2) the policy clearly states it is for capital schemes only; and (3) there were some minor wording amendments that the Deputy Chief Executive would feedback to the Executive..		
Executive Response			

Item no.	4	Title	General Fund Base Budgets 2020/21
Scrutiny Comment	The Committee noted the report and the addendum with regard to Shakespeare England.		
Executive Response			

Item no.	5	Title	Housing Revenue Account (HRA) Base Budgets 2020/21
Scrutiny Comment	The Committee noted the report and that paragraph 8.2.4 is included by error and should not be considered		
Executive Response			

Item no.	6	Title	Rural/Urban Capital Improvement Scheme (RUCIS) Changes
Scrutiny Comment	The Committee supported the recommendations in the report.		
Executive Response			

Item no.	7	Title	Relocation of Kenilworth School – playing pitch strategy and land purchase
Scrutiny Comment	The Committee were appreciative of the assurances from the Deputy Chief Executive in respect of the current governance structure for the project and the opportunities this project provided for the Council. The Committee noted the report.		
Executive Response			

Item no.	9	Title	Finance Systems Replacement
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Scrutiny Comment	The Committee supported the recommendations in the report and recommended to the Executive that a non-Executive member should be on the Project Board for the report.
Executive Response	

Item no.	13	Title	Acquisitions and Disposals of Land and Property North of Gallows Hill, Warwick District Council
Scrutiny Comment	The Committee noted the report and that there was a known error with current Land Registry Certificate that Officers were in the process of resolving.		
Executive Response			