

# Finance and Audit Scrutiny Committee

Tuesday 8 January 2019

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A meeting of the Finance and Audit Scrutiny Committee will be held at the Town Hall, Royal Leamington Spa on Tuesday 8 January 2019 at 6.00pm.

Membership:

	Councillor Quinney (Chair)	
Councillor Cain		Councillor Mrs Knight
Councillor Day		Councillor Margrave
Councillor Gifford		Councillor Murphy
Councillor Howe		Councillor Noone
Councillor Illingworth		Councillor Wright

## Emergency Procedure

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

## Agenda

### Part A – General Items

#### 1. Apologies and Substitutes

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

#### 2. Declarations of Interest

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

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

Members are also reminded of the need to declare predetermination on any matter. If Members are unsure about whether or not they have an interest, or about its nature, they are strongly advised to seek advice from officers prior to the meeting.

#### 3. Minutes

To confirm the minutes of the meeting held on 27 November 2018 **(To follow)**

## **Part B - Audit Items**

None.

## **Part C – Scrutiny Items**

### **4. Scrutiny of Service Area Performance – Chief Executive**

To consider a report from the Chief Executive **(Pages 1 - 36)**

### **5. Pump Room Gardens Restoration Project – Briefing Paper**

To consider a report from Neighbourhood Services **(Pages 1 to 5)**

### **6. Review of the Work Programme, Forward Plan and Comments from the Executive**

To consider a report from Civic & Committee Services **(Pages 1 - 9)**

### **7. Executive Agenda (Non Confidential Items and Reports) – Wednesday 9 January 2019**

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)**

### **8. Public and Press**

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

### **9. Executive Agenda (Confidential Items and Reports) – Wednesday 9 January 2019**

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.

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

# Finance and Audit Scrutiny Committee

Minutes of the meeting held on Tuesday 27 November 2018 at the Town Hall, Royal Leamington Spa at 6.00pm.

**Present:** Councillor Quinney (Chair); Councillors Barrott, Cain, Day, Gifford, Illingworth, Margrave, Murphy, Noone and Wright.

**Also present:** Councillors Coker, Phillips, Rhead, Thompson and Whiting.

## 82. Apologies and Substitutes

- (a) Apologies for absence were received from Councillor Murphy; and
- (b) Councillor Barrott substituted for Councillor Mrs Knight.

## 83. Declarations of Interest

Minutes 93 & 95 – Items 3 and 13 – Europa Way Progress Update and Next Steps, Executive Agenda (Non-Confidential & Confidential Items & Reports – Wednesday 28 November 2018)

Councillor Gifford declared a pecuniary interest because he was a Warwickshire County Councillor and left the room whilst the item was discussed.

Minute 93 – Item 7 – Whitnash Community Hub, Executive Agenda (Non-Confidential Items & Reports – Wednesday 28 November 2018)

Councillor Margrave declared a pecuniary interest because he was a Whitnash Town Councillor and left the room whilst the item was discussed.

## 84. Statement of Accounts

The Committee received a report from Finance which presented the 2017/18 Audited Statement of Accounts to be agreed by the Committee. It also presented a change to the 2017/18 Annual Governance Statement and the External Auditor's Audit Findings Report was presented.

In July the Committee had received a report explaining how it had not been possible for the 2017/18 Statement of Accounts and audit thereof to be completed by the new statutory deadline of 31 July.

Draft accounts were published by the 31 May deadline, however, there were two notes within the accounts that were incomplete. In addition, the Accountants had concerns as to the accuracy of some of the figures within that draft, for which shortage of time had prevented them being corrected.

As previously reported to the Committee, in seeking to make the corrections needed, further significant errors had been discovered. The cause of these errors and related issues had already been reported to Members.

The changes to the four main statements were shown in Appendices 1-4. Most of these changes related to the capital accounting requirements. Within these appendices, "V1" referred to the original Statement of Accounts published in draft on the Council's website on 31 May 2018 and "V2" was the amended version, taking into account primarily capital accounting changes, as presented to the auditors at the commencement of the audit. The table at section 3.5 in the report summarised the impact of these changes.

As reported previously to the Committee, the original Statements included Group Accounts in respect of the PSP Warwick LLP. This was the first year for which Group Accounts had been included. In discussion with the auditors, it had been agreed that Group Accounts were not necessary for 2017/18, with the figures being non-material. In place of the Group Accounts, an extended Related Party Transaction Note (31) had been included. Based on the expenditure of the LLP during this year, it was likely that Group Accounts would be required for the 2018/19 Statement of Accounts.

In May 2018, the Finance and Audit Scrutiny Committee agreed the Annual Governance Statement for 2017/18. Within that Statement there were no significant governance issues identified. However, the subsequent failure of the Council to meet the statutory deadline for the publication of its audited financial statements had been identified as a significant governance issue and the Annual Governance Statement within the Statement of Accounts attached to the report had been updated to reflect this point. The report therefore asked Members to approve the amended Annual Governance Statement.

As previously agreed, regular reports would be brought to the Executive and the Finance and Audit Scrutiny Committee on the progress of the recommendations contained within the Audit Findings Report, as well as the progress of the overarching action plan presented to the Executive on 31 October.

The audit of the accounts was now complete, with the Audit Findings Report from the external auditors having been issued and attached to the report. The Audit Findings Report included an Action Plan, attached as Appendix A to the report.

The auditors anticipated issuing an unqualified opinion of the Statement of Accounts. In terms of the Value for Money Conclusion, they would issue a "qualified 'except for' conclusion" in respect for securing economy, efficiency and effectiveness in the Council's use of resources. As explained in the Audit Findings Report, the Value for Money Conclusion had to be partly qualified due to the issues identified in respect of timely financial reporting.

Members were requested to agree the Statement of Accounts and the Letter of Representation.

The report advised that there was the potential that the auditors may discover further issues which may not be possible to resolve prior to the meeting. Therefore, the recommendations in Section Two would need to be amended to enable delegation to the Head of Finance, in consultation with

the Finance Portfolio Holder and Chairman of Finance and Audit Scrutiny to sign off the Accounts and the Letter of Representation.

Members were reminded that the last few months had been extremely difficult for the Accountants in producing updated accounts. This involved contending with staff shortages whilst continuing to provide on-going service to officers and Members. The period had also been very difficult for the auditors but there had been an on-going dialogue with the auditors throughout the process.

Consequently, the auditors had to be extremely flexible in the timing of the audit and the scheduling of their resources. It was suggested that the Council's thanks be passed to the Accountants and the Auditors for their hard work and commitment throughout the last few very difficult months.

Representatives from Grant Thornton introduced the report and signposted Members to the main highlights of the report. Although it was disappointing that the signing of the accounts had been delayed, the auditors had extended their testing mechanisms to ensure the process was robust.

In addition, whilst the wording of the audit opinion would alter slightly as a result of the issues raised, Members were assured that the significant message would not change.

The Head of Finance introduced a new member of staff, Ms Bamber, Principal Accountant (Revenue) who had played a large part in helping the Accountants to move forward with the action plan and ensured progress received regular monitoring.

In response to questions from Members, the Head of Finance advised that the Council would not be penalised financially for the delay in closing the accounts but that the additional staff time resulted in additional costs and would be included in the Budget report.

Members did not feel that it was unreasonable to request details of the increased cost to the finance department, even if this was covered in a broad report to the Finance & Audit Scrutiny Committee.

It was proposed by the Chairman that a quarterly report be submitted to the Committee on the implementation of all of the outstanding issues raised in the Audit Findings report. However, on reflection, it was agreed that these could be incorporated into the monthly Action Plan update report, submitted by the Chief Executive.

The Portfolio Holder, Councillor Whiting, addressed Members and stated that there needed to be cultural changes in the department and his challenge was how to ask the right questions to ensure the appropriate steps were being taken.

The Committee thanked the Auditors, Grant Thornton, for their work and for attending and

**Resolved** that

(1) the 2017/18 Audit Findings Report, is noted;

- (2) the changes to the Annual Governance Statement, are approved;
- (3) the letter of representation on behalf of the Council, is approved;
- (4) the 2017/18 Audited Statement of Accounts, is approved and authority is delegated to the Head of Finance in conjunction with the Portfolio Holder for Finance and the Chairman of Finance & Audit Scrutiny Committee to sign off the Accounts and the Letter of Representation should further issues be raised by the auditors;
- (5) the recommendations contained within the Audit Findings Report are endorsed; and
- (6) the outstanding issues raised in the Audit Findings report be incorporated into the monthly Action Plan update report from the Chief Executive.

**85. Minutes**

The minutes of the meeting held on 30 October 2018 were taken as read and signed as a correct record.

**86. Treasury Management Activity Report for the period 1 April 2018 to 30 September 2018**

The Committee received a report from Finance which detailed the Council's Treasury Management performance for the period 1 April 2018 to 30 September 2018.

The Council's 2018/19 Treasury Management Strategy and Treasury Management Practices (TMP's) required the performance of the Treasury Management Function to be reported to Members on a half yearly basis in accordance with the Treasury Management Code of Practice.

A detailed commentary of the economic background surrounding the report and conducted by the Council's Treasury Consultants, Link Asset Services, was attached as Appendix C to the report.

The report explained the Interest Rate Environment and highlighted that one of the major influences on the Council's investment was the bank rate. The Council's Treasury Management Advisors, Link Asset Services, had provided a forecast as at October 2018 for future Bank Rates and this was detailed at section 9.1 of the report.

The Council aimed to achieve the optimum return on investments commensurate with the proper levels of security and liquidity. The Annual Investment Strategy 2018/19 was approved by Council on 21 February 2018. This approved the current lending criteria which reflected the level of

risk appetite of the Council. However, the Council continued to review its Standard Lending List as a result of frequent changes to Banking Institutions' credit ratings, to ensure that it did not lend to those institutions identified as being at risk. A copy of the current lending list was shown as Appendix D to the report.

Section 10 of the report related to Investment Performance and included details on Core Investments, Cash Flow Derived Funds and Accounts. The Committee thanked the officers for the report and for attending and Call Accounts. A table detailing the Investment Return was provided at section 10.13 of the report, along with an analysis of the overall in house investments held by the Council at the end of September 2018.

The report also provided information relating to Corporate Equity Funds, Counterparty Credit Ratings, Benchmarking, Borrowing and Prudential Indicators.

Work was about to commence on preparing the 2019/20 Treasury Management and Investment Strategies. Whilst security of the funds would be paramount, it was intended that the Council would continue to achieve the best returns possible. Details would be included within the forthcoming Treasury Management report in February.

**Resolved** that the report be noted.

**87. Annual Governance Statement 2017/18 Action Plan: Review of Progress**

The Committee received a report from Finance which reviewed the progress that was being made in addressing the 'Significant Governance Issue' facing the Council, set out in its Annual Governance Statement 2017/18. The appendix accompanying the report set out the progress in addressing the Significant Governance Issue.

This report was produced to help fulfil Members' responsibility for effective corporate governance within the Council. In addition, it provided assurance that the governance issue identified as part of the compilation of the Annual Governance Statement was being addressed.

In relation to Corporate Governance in Local Authorities, the report provided a definition of corporate governance as stated by the Chartered Institute for Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE). This was detailed at section 8.1 of the report. CIPFA/SOLACE had issued a framework and guidance, as set out in the Good Governance Standard for Public Services. The principles in relation to local government as set out in the framework were detailed at 8.2 of the report.

The production of an Annual Governance Statement was a statutory requirement for local authorities (Regulation Six of The Accounts and Audit (England) Regulations 2015). CIPFA Financial Advisory Network's advice was that the Annual Governance Statement was a key corporate document and the most senior Member and the most senior Officer (Leader and Chief Executive respectively) had joint responsibility as signatories for its accuracy and completeness. It advised that it should be owned by all senior



members and officers of the authority and that it was essential that there was buy-in at the top level of the organisation. It advised that the work associated with its production should not be delegated to a single officer.

The governance issue facing the Council had been identified from the production of the statutory Annual Governance Statement and was summarised in the Action Plan element of the Annual Governance Statement for 2017/18.

The governance issue had not been identified at the time the accounts were initially approved by Finance & Audit Scrutiny Committee on 30 May and so did not feature in the Annual Governance Statement that accompanied those sets of accounts. Since then, errors had been found in the accounting statements and the statements had to be re-presented to the Committee. This had led to the identification of a governance issue concerning production of the accounting statements. Further information was provided in another report on the Committee's agenda entitled the "2017/18 Statement of Accounts and Audit Findings Report".

The appendix accompanying the report set out the progress in addressing the Significant Governance Issue. Progress in addressing it was reported by the officer leading on it and had been endorsed by the Senior Management Team at a recent meeting. Further information in respect of progress in addressing the governance issue was set out in the "Update on Action Plan following Review of Closure of Accounts" report being considered by Executive on 29 November 2018.

The Audit & Risk Manager outlined the report and reminded Members that they should have received this report one quarter ago but no issue had been reported at that stage.

The Committee thanked the officers for the report and for attending and

**Resolved** that the Action Plan set out in the Appendix to the report is noted and Members are satisfied with the progress being made in addressing the Significant Governance Issue pertaining to the Annual Governance Statement 2017/18.

#### 88. **Internal Audit Quarter 2 2018/19 Progress Report**

The Committee received a report from Finance which advised on the progress in achieving the Internal Audit Plan 2018/19, 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.

At the start of each year, Members approved the Audit Plan setting out the audit assignments to be undertaken. An analysis of progress in completing the Audit Plan for 2018/19 was set out as Appendix 2 to the report.

With regard to internal audits, six assignments had been completed in the second quarter of 2018/19 and copies of all the reports issued during the quarter were available for viewing on the online agenda for the meeting.

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. No audits completed in the quarter had been awarded a lower than substantial assurance opinion.

Managers were required to implement recommendations within the following timescales:

- (a) Recommendations involving controls assessed as high risk to be implemented within three months.
- (b) Recommendations involving controls assessed as low or medium risk to be implemented within nine months.

The state of implementation of low and medium risk recommendations made in the third quarter of 2017/18 was set out in Appendix 5 to the report. There were no high risk recommendations issued in the first quarter of 2018/19 so none had been included in the appendix.

Responses had been received from all managers in order to provide the state of implementation of recommendations issued in this earlier quarter.

Members were reminded that they could access any files produced by Internal Audit that may help to confirm the level of internal control of a service, function or activity that had been audited or that would help to verify the performance of Internal Audit.

Councillor Barrott raised a query with regard to recommendation 4.2.6 of the report, issued following an internal audit report issued in Quarter 2, 2018/19 relating to Corporate Governance: Ethics. This was detailed in Appendix 3 to the report. The target implementation date was stated as 1 October 2019 but should have read 2018. The Head of Finance agreed to raise the issue at the next Corporate Management Team meeting.

The Committee thanked the officers for the report and for attending and

**Resolved** that the report should be noted and its contents be accepted or, where appropriate, acted upon.

## 89. **Corporate Fraud Team Update**

The Committee received a verbal update report from Finance along with copies of statistical data which were circulated at the meeting.

The Benefits & Fraud Manager addressed Members and reminded them that Oxford City Council provided the corporate fraud service which included prevention, detection and investigation of fraud. Reporting on this issue started in February 2017 so the figures did not match the financial year dates.

In total, 187 staff had been trained in data matching and three cases were currently out for investigation. Members were advised that there were no figures available for New Homes Bonus for 2018/19 and that Visiting teams provided a back-up resource to existing staff numbers.

The statistics circulated provided details on the number of cases with a financial outcome in 2017/18 and 2018/19 and the total value for both years.

Members raised a number of points with the officers and were advised that some of the savings were theoretical and non-cashable. It was suggested that a key against the savings would be useful or clarity as to what funds had been recovered or lost.

The Committee thanked the officers for the report and for attending and

**Resolved** that the Corporate Fraud Team Update be noted.

90. **Review of the Assigning of Parent Company Guarantees and Other Types of Securities to Council Contracts**

The Committee received a report from Finance which provided an update to Members on the progress being taken in managing securities within contracts following the report to Finance and Audit Scrutiny Committee in March 2018.

Following the difficulties earlier in the year with one of the Council's contractors ceasing to trade, a review was undertaken by the Council's Internal Audit Section entitled "The Assigning of Parent Company Guarantees and Other Types of Securities to Council Contracts". This review was reported to this Committee in March.

It was agreed that a further report would be brought to the Committee in the autumn on the progress in implementing the recommendations. The recommendations and progress to date were detailed in Appendix 1 to the report. This appendix showed that progress had been made with the most notable changes detailed below:

- The financial standings of all contractors were now actively monitored using "Credit Safe".
- Credit checks continued to be carried out for new contracts and renewals, now using Credit Check.
- In addition to Credit Check, the Accountants would review contractors for high value or high risk contracts.
- Contract Management Training being rolled out included a section on securities.
- Alongside the update to the Code of Procurement Practice, supporting guidance was available to officers.
- WCC Legal services had advised upon and assisted with updating the guidance and new contract templates.
- Further reviews of the Procurement function were proposed, including benchmarking, and a review by Internal Audit of the Council's approach to contract management.

Councillor Cain reiterated his concerns regarding PCG's and felt that a bond was a safer mechanism to use.

In response, Councillors Illingworth and Gifford felt that it was positive that action was being taken on the issues raised by the Finance & Audit Scrutiny Committee and were delighted that work was being undertaken to reduce risks.

The Chairman proposed that the report and progress being made be noted and advised that a larger review would be taking place in due course.

**Resolved** that the actions being taken within Appendix 1 to the report in respect of the Managing Securities audit reported to the Committee in March 2018, are noted.

#### 91. **Scrutiny of Service Area Performance – Development Services**

The Committee received a report from Development Services which brought together the contract register, risk register and budget for the Development Portfolio.

It had been requested by Members that the service contract and risk registers be considered together, along with details of the budget and performance for the relevant service.

The report highlighted that Development Services also encompassed the Business Portfolio, however, updates relating to this would be the subject of a separate report to the Committee in February 2019.

The Risk Register was last reviewed in October 2018 and the latest version was set out at Appendix A to the report. There were 30 risks contained in the risk register. There were five risks rated "green", 24 rated "yellow", and one rated "red", in accordance with the Council's risk scoring matrix. The risk rated red was the risk of "*Failure to secure sufficient or timely infrastructure funding through CIL/Section 106*".

The latest version of the contract register relating to the Development Portfolio was set out in Appendix B. There were nine live contracts listed, along with three service level agreements with Warwickshire County Council. Currently three of the live contracts were being re-procured.

Management of the budget set out in Appendix C to the report was part of the ongoing process 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 and 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.

The report advised that a more challenging aspect of the Development Services budget was monitoring and managing income. Both Development Management and Building Control generated significant amounts of income for the Council. Income from Planning Applications was budgeted to

generate £1.56m during 2018/19 whilst income from pre-application advice for the year, to date, had been £47,340 against an original budget of £50,000 for the whole of the 2018/19. The Building Control income was budgeted to generate £720,000 during 2018/19 and income from the first seven months of the financial year was £472,873.

Income from CIL and Section 106 agreements was not part of the Development Services budget because it was passed on to infrastructure providers on receipt.

The Portfolio Holder for Development Services and the Head of Development Services introduced the report. In response to questions from Members, they advised that:

- With regard to resourcing, the Council was investing in the service, assisted by an increase in planning fees and budget revision;
- There was a recruitment issue at senior officer level and the Council needed to look at the market supplements and private sector offerings;
- The Council was aiming to 'grow its own' officers and would be creating three new posts at higher levels;
- The impact on the service area would be greater due to the District handling more development but the Monitoring Officer would look at the trigger points;
- The 40% affordable housing policy was often report incorrectly in the Media resulting in members of the public receiving incorrect information; and
- The working group for the Infrastructure Delivery Plan was on track.

The Committee thanked the officers for the report and for attending and

**Resolved** that the Development Portfolio contract register, risk register and budget are noted.

92. **Review of the Work Programme, Forward Plan Comments from the Executive**

The Committee received a report from Democratic Services that set out its current work programme, the Forward Plan and responses from the comments made by the Committee to the Executive.

A request was made that the work at the Royal Pump Rooms be added to the work programme for the January 2019 meeting. This was with a view to the potential of financial risk to the Council. Councillor Quinney suggested that Councillors considered providing officers with their questions before the meeting.

**Resolved** that

- (1) the work at the Royal Pump Rooms be added to the work programme for 8<sup>th</sup> January 2019 meeting; and
- (2) the report be noted.

93. **Executive Agenda (Non Confidential Items & Reports – Wednesday 28 November 2018)**

The Committee considered the following items which would be discussed at the meeting of the Executive on Wednesday 28 November 2018.

Item 4 – Budget Review

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

Item 5 – Covent Garden Displacement Plan

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

Item 11 – 10, 12 & 14 Chapel Street, Warwick

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

Item 7 – Whitnash Community Hub

The Finance & Audit Scrutiny Committee supported the recommendations following a robust discussion of the project.

(Councillor Margrave left the room whilst this item was discussed)

Item 3 – Europa Way Progress Update and Next Steps

The Finance & Audit Scrutiny Committee supported the recommendations in the report whilst noting that marketing of the consultation was key and needed to be persuasive and well explained. In addition, Members highlighted the importance of setting up the capital accounting to avoid future complexity of year end processes and requested that resources were investigated to ensure this happened.

(Councillor Gifford left the meeting prior to discussion of this item)

94. **Public & Press**

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

95. **Executive Agenda (Confidential Items & Reports – Wednesday 28 November 2018)**

The Committee considered the following items which would be discussed at the meeting of the Executive on Wednesday 28 November 2018.


Item 16 – Victoria Park Café

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

Item 13 – Europa Way Progress Update and Next Steps

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

(The meeting ended at 9.18 pm)

	<b>Finance and Audit Committee</b> <b>8 January 2019</b>	<b>Agenda Item No.</b> <b>4</b>
<b>Title</b>	Chief Executive's Office - Service Review	
<b>For further information about this report please contact</b>	Andrew Jones Deputy Chief Executive & Monitoring Officer <a href="mailto:andrew.jones@warwickdc.gov.uk">andrew.jones@warwickdc.gov.uk</a> 01926 456830  Andrew Mobbs Leader & Strategic Leadership Portfolio Holder	
<b>Wards of the District directly affected</b>		
<b>Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	NA	
<b>Background Papers</b>	NA	

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

<b>Officer/Councillor Approval</b>		
<b>Officer Approval</b>	<b>Date</b>	<b>Name</b>
Chief Executive/Deputy Chief Executive	17/12/2018 17/12/2018	Andrew Jones Bill Hunt
Head of Service		
CMT		
Section 151 Officer	18/12/2018	Mike Snow
Monitoring Officer	17/12/2018	Andrew Jones
Finance	18/12/2018	Mike Snow
Portfolio Holder(s)	18/12/2018	Councillors Mobbs & Phillips
<b>Consultation &amp; Community Engagement</b>		
NA		
<b>Final Decision?</b>	Yes	
<b>Suggested next steps (if not final decision please set out below)</b>		



## 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 11 October 2018. 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 There are 3 risks rated "green", 11 rated "amber", and 1 rated "red", in accordance with the Council's risk scoring matrix.

- 3.3.6 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 Officer are set by the Council on an annual basis 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**

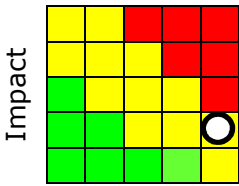
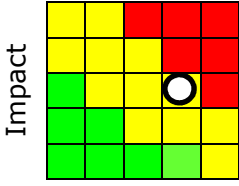
7.1 As this report is predominantly for information, at the request of the Finance and Audit Committee, no other options are proposed.

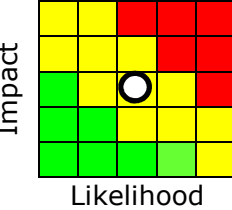
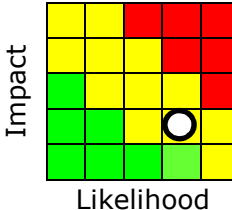
## Chief Executive’s Office Risk Register

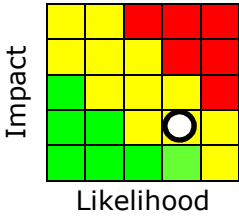
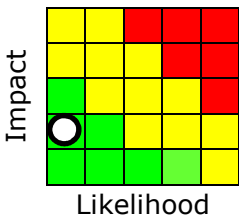
<b>CXO Risk Register Governance</b>	
<b>Accountable</b>	Chief Executive
<b>Responsible</b>	ICT Services Manager, Democratic Services Manager, HR Manager and Asset Manager
<b>Consulted</b>	All CXO Teams
<b>Informed</b>	Finance & Audit Scrutiny Committee
<b>Review Date</b>	11 <sup>th</sup> Oct 2018

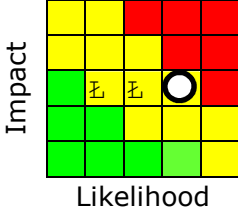
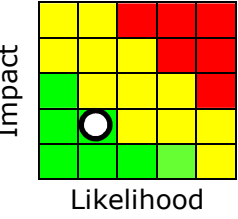
The Chief Executive’s Office has adopted a layered approach to risk management which ensures risks are managed at an appropriated level.

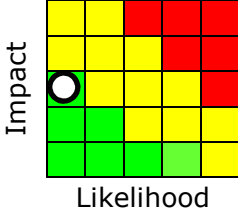
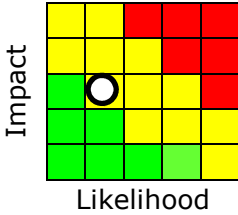
- The **Significant Business Risk Register** contains the CXO risks which have the potential to have a **significant** adverse impact on the Council. It is the responsibility of CXO team managers to advise, through their head of service, SMT of these risks so that SMT can decide whether to update the 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"> <li>i. Hacking</li> <li>ii. Spyware</li> <li>iii. Emailing the wrong recipient</li> <li>iv. Stolen equipment; laptops, USB devices</li> <li>v. Lost devices</li> <li>vi. Poor hardware disposal practices</li> <li>vii. Poor password management</li> <li>viii. Allowing unauthorised third parties, including family &amp; friends, to utilise Council equipment and/or software.</li> <li>ix. Forwarding council emails to unauthorised accounts/devices</li> <li>x. Intentional disclosure by Councillor/Officer.</li> <li>xi. Unintentional disclosure by Councillor/Officer.</li> </ul>	<ul style="list-style-type: none"> <li>i. Potential fines; ICO, DP.</li> <li>ii. Reputational damage.</li> <li>iii. Legal challenge; e.g. contract disclosure</li> <li>iv. Lost opportunity to develop projects.</li> <li>v. Legal challenge</li> <li>vi. Compensation claim made for distress, loss of business</li> </ul>	<ul style="list-style-type: none"> <li>i. Information Security Policy</li> <li>ii. Penetration testing</li> <li>iii. Perimeter protection; Firewall, 2 Factor Authentication</li> <li>iv. Disk encryption</li> <li>v. USB device restriction and encryption.</li> <li>vi. Virtual Desktops</li> <li>vii. Sandboxed applications</li> <li>viii. Information governance is a standing item on the ICTSG agenda.</li> <li>ix. Third Party Network Access Agreement</li> <li>x. Non-Disclosure Agreements</li> <li>xi. Destruction certificates for equipment disposal.</li> <li>xii. Ad-hoc compliance monitoring</li> <li>xiii. Appropriate Codes of Conduct.</li> <li>xiv. Information Governance Manager (DPO).</li> <li>xv. Staff training</li> </ul>	i. Staff training (on-going)	CMT SMTplus SIRO IGM/DPO	 <p>Evidence of multiple unauthorised disclosures due to not following existing policies. To date minimum impact. Follow up training provided as appropriate.</p>
2. Non-Availability of Staff.	<ul style="list-style-type: none"> <li>i. Failure to identify gaps in staff skills &amp; capacity that could lead to poor service delivery.</li> <li>ii. Poor planning to cover holidays, sickness, training, elections, etc.</li> <li>iii. Poor project management.</li> <li>iv. Epidemic</li> <li>v. Strike Action</li> </ul>	<ul style="list-style-type: none"> <li>i. Additional costs for specialist advice.</li> <li>ii. Increased service outages.</li> <li>iii. Increased duration of service outages.</li> <li>iv. Inability to deliver Council objectives.</li> <li>v. Failure to meet statutory or contractual obligations</li> <li>vi. Increased stress on residual staff.</li> <li>vii. Reduced level of service</li> <li>viii. Reduced level of resilience</li> <li>ix. Reputational damage</li> </ul>	<ul style="list-style-type: none"> <li>i. Shared Services.</li> <li>ii. Workforce planning.</li> <li>iii. Generic Roles where ever possible.</li> <li>iv. Third party Support &amp; Maintenance Contracts.</li> <li>v. Business Continuity – Staff Absence Strategy.</li> <li>vi. Documented procedures</li> <li>vii. Contract staff/consultancy</li> <li>viii. Training on roles to build resilience</li> <li>ix. Managing Attendance Policy</li> <li>x. Long Term Sickness and Ill Health Capability Policy</li> </ul>	i. Completion of Assets Team redesign	DMO HRM IAM ICTSM DMT CMT	

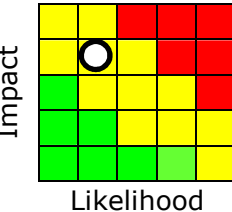
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
3. Inability to retain and subsequently recruit staff.	<ul style="list-style-type: none"> <li>i. Staff turnover due to:               <ul style="list-style-type: none"> <li>a. Salary</li> <li>b. Training</li> <li>c. T&amp;C</li> <li>d. Working Environment</li> <li>e. Career Progression</li> <li>f. Morale</li> <li>g. Age profile</li> </ul> </li> <li>ii. Uncertainty of employment prospects with WDC and Local Government</li> <li>iii. Poor recruitment processes</li> </ul>	<ul style="list-style-type: none"> <li>i. Additional costs for specialist advice.</li> <li>ii. Increased service outages.</li> <li>iii. Increased duration of service outages.</li> <li>iv. Inability to deliver Council objectives.</li> <li>v. Failure to meet statutory or contractual obligations</li> <li>vi. Increased stress on residual staff.</li> <li>vii. Reduced level of service</li> <li>viii. Reduced level of resilience</li> <li>ix. Reputational damage</li> </ul>	<ul style="list-style-type: none"> <li>i. Shared Services.</li> <li>ii. Workforce planning.</li> <li>iii. Generic roles where ever possible.</li> <li>iv. Appropriate training budget to enable training and development opportunities.</li> <li>v. Contract staff/consultancy</li> <li>vi. Training on roles to build resilience</li> <li>vii. Robust recruitment process with staff training programme</li> <li>viii. Performance management framework including one to ones/appraisals/staff development.</li> <li>ix. Redeployment Policy</li> <li>x. Development paths linked to PDP's</li> <li>xi. Publicise the benefits of working for the Council</li> <li>xii. Market Forces Supplement Policy</li> </ul>		DMO HRM IAM ICTSM DMT CMT	
4. Loss of Data or Data Integrity.	<ul style="list-style-type: none"> <li>i. Hacking.</li> <li>ii. Human error.</li> <li>iii. Poor change management.</li> <li>iv. Little or no testing of new software releases.</li> <li>v. Viruses.</li> <li>vi. Poor password management.</li> <li>vii. Insecure web applications.</li> <li>viii. Software bugs.</li> <li>ix. Inappropriate access rights.</li> <li>x. Hardware corruption.</li> <li>xi. Poor training.</li> <li>xii. Malicious intent.</li> <li>xiii. Unlocked computers during absence.</li> </ul>	<ul style="list-style-type: none"> <li>i. Loss of service to the customer.</li> <li>ii. Processing backlogs.</li> <li>iii. Potential loss of income.</li> <li>iv. Reputational damage.</li> <li>v. Fraud.</li> <li>vi. Cost of recovery</li> </ul>	<ul style="list-style-type: none"> <li>i. Perimeter protection; Firewall, 2 Factor Authentication, Spam filter, Antivirus, etc.</li> <li>ii. Test plans.</li> <li>iii. Penetration testing (Ethical Hacking).</li> <li>iv. Antivirus strategy.</li> <li>v. Audits (Internal, 3rd Party ICT Auditors, Communications-Electronics Security Group (CESG), PCI DSS)</li> <li>vi. Activity logs.</li> <li>vii. Staff Training.</li> <li>viii. Code of Connection.</li> <li>ix. Information Security Policy.</li> <li>x. Recruitment using the Baseline Personnel Security Standard.</li> <li>xi. Supplier support contracts.</li> <li>xii. GovCertUK notifications of threats and vulnerabilities.</li> <li>xiii. Nominated system owners to manage systems.</li> <li>xiv. Information governance is a standing item on the ICTSG agenda.</li> <li>xv. Information Governance Group</li> </ul>	Implement Intrusion detection.	SMT ICTSM HRM DMO IAM DMT SO	

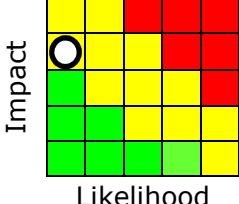
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
5. Loss of Council computer facilities (Servers, Storage, Network, Voice).	<ul style="list-style-type: none"> <li>i. Human error.</li> <li>ii. Hardware/software failure (OS).</li> <li>iii. Poor change management</li> <li>iv. Fire/Flood (Environmental and/or internal service failure)</li> <li>v. Loss of power</li> <li>vi. Theft</li> <li>vii. Malicious damage</li> <li>viii. Environmental (Too hot, too cold)</li> <li>ix. Telecoms failure.</li> <li>x. Firmware bug.</li> <li>xi. Lack of funding</li> </ul>	<ul style="list-style-type: none"> <li>i. Loss of service to the customer.</li> <li>ii. Processing backlogs</li> <li>iii. Potential loss of income.</li> <li>iv. Reputational damage</li> <li>v. Loss of data.</li> <li>vi. Significant stress on key personnel during recovery period.</li> <li>vii. Potential costs</li> </ul>	<ul style="list-style-type: none"> <li>i. Staff training.</li> <li>ii. Technical documentation.</li> <li>iii. Hardware resilience.</li> <li>iv. Backup generator/Uninterruptible Power Supply (UPS).</li> <li>v. Offsite backup tapes.</li> <li>vi. External Business continuity contract.</li> <li>vii. Change Management Policy / Back-out Plans.</li> <li>viii. Audits.</li> <li>ix. Fire/Flood detection.</li> <li>x. Fire suppression</li> <li>xi. Air conditioning</li> <li>xii. Proactive monitoring (System Centre Operations Manager)</li> <li>xiii. Redundant Array of Independent Disks – RAID 5.</li> <li>xiv. VMware High Availability.</li> <li>xv. Third party support &amp; Maintenance contracts.</li> <li>xvi. Environmental security policy.</li> <li>xvii. Insurance.</li> <li>xviii. Code of Connection.</li> <li>xix. Investment planning via the Equipment Renewal Reserve.</li> <li>xx. team Business Continuity plans</li> </ul>	i. Review business continuity arrangements for voice due to the repatriation of the contact centre (Ongoing)	CMT SMT ICTSM HRM DMO IAM DMT SO FM	
6. Failure of Service Providers or Contractors to deliver services.	<ul style="list-style-type: none"> <li>i. Bankruptcy.</li> <li>ii. Natural disaster.</li> <li>iii. Takeover.</li> <li>iv. Legal (Intellectual property infringement).</li> <li>v. Change of strategy (no longer wish to supply the product or service).</li> <li>vi. Poor procurement or contract management procedures</li> </ul>	<ul style="list-style-type: none"> <li>i. Non-supported system.</li> <li>ii. Impact on resources of system/contractor replacement; human, financial, etc.</li> <li>iii. Potential loss of service to the customer.</li> <li>iv. Potential loss of income.</li> <li>v. Potential inability to deliver Council objectives.</li> <li>vi. Potential inability to deliver statutory obligations</li> <li>vii. Potential damage to Council property assets</li> <li>viii. Hosted Systems; No access to system or data.</li> </ul>	<ul style="list-style-type: none"> <li>i. Change freeze.</li> <li>ii. Shared service.</li> <li>iii. Emergency procurement.</li> <li>iv. Business Continuity - Business Application Supplier Strategy.</li> <li>v. Financial vetting of suppliers as part of the procurement process.</li> <li>vi. Contract management training and processes</li> </ul>		ICTSM DMO HRM IAM SO Proc	 <p>One tactical product withdrawn by supplier</p>

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"> <li>i. Time constraints</li> <li>ii. Cost</li> <li>iii. Inconsistent assessment process.</li> <li>iv. Changes to the compliance regime with little or no notice.</li> </ul>	<p>Inability to deliver the following services:</p> <ul style="list-style-type: none"> <li>i. Government Connect Mail i.e. (gcsx.gov.uk)</li> <li>ii. DWP Customer Information System (Revs &amp; Bens)</li> <li>iii. Data Transfer Appliance (Revs and Bens)</li> <li>iv. Tell Us Once Appliance (Revs and Bens)</li> <li>v. National Resilience Extranet (Civil Contingencies)</li> <li>vi. Individual Electoral Registration</li> <li>vii. LoCTA Service (Revs &amp; Bens)</li> </ul>	<ul style="list-style-type: none"> <li>i. Undertake regular awareness training to understand the requirements.</li> <li>ii. Communicate the implications to the business to ensure compliance.</li> <li>iii. Where possible anticipate budget implications and make provision.</li> <li>iv. Engage a security specialist to advise on compliance.</li> </ul>	<ul style="list-style-type: none"> <li>i. Complete PSN action plan</li> </ul>	<p>SMT SIRO ICTSM DMO SO</p>	
8. Failure to communicate effectively/giving incorrect information and advice	<ul style="list-style-type: none"> <li>i. Untrained staff</li> <li>ii. Reorganisation</li> <li>iii. Inaccurate data on systems or website</li> <li>iv. Poor communication/information</li> <li>v. High workload.</li> <li>vi. Reliance on key staff.</li> <li>vii. Staff absence.</li> <li>viii. Human error.</li> <li>ix. Inappropriate form of communication.</li> </ul>	<ul style="list-style-type: none"> <li>i. Incorrect information used to carry out work.</li> <li>ii. Negligence and liability claims</li> <li>iii. Adverse publicity</li> <li>iv. Loss of reputation</li> <li>v. Waste of resource</li> <li>vi. Poor service to customers</li> <li>vii. Additional workload.</li> <li>viii. Impact to health &amp; wellbeing</li> </ul>	<ul style="list-style-type: none"> <li>i. Team meetings.</li> <li>ii. One-to-ones.</li> <li>iii. E-mail.</li> <li>iv. Core brief.</li> <li>v. Intranet.</li> <li>vi. Circulation of minutes from meetings.</li> <li>vii. Corporate communication strategy / Media Team.</li> <li>viii. Staff training.</li> <li>ix. Qualified/experienced staff</li> <li>x. Quality standards</li> <li>xi. Good IT/Information Systems</li> <li>xii. Web improvement plan</li> </ul>	<ul style="list-style-type: none"> <li>i. Review of corporate marketing and communication strategy</li> </ul>	<p>ICTSM DMO HRM IAM</p>	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Required Action(s)	Responsible Officer	Residual Risk Rating
9. Breaches of financial controls as they relate to the service	<ul style="list-style-type: none"> <li>i. Lack of awareness</li> <li>ii. Lack of training</li> <li>iii. Malicious intent</li> <li>iv. Unsuitable controls driving inappropriate behaviour</li> </ul>	<ul style="list-style-type: none"> <li>i. Fraud</li> <li>ii. Poor value for money</li> <li>iii. Contractual issues, inc performance</li> <li>iv. Reputational damage</li> </ul>	<ul style="list-style-type: none"> <li>i. Code of financial practice</li> <li>ii. Code of procurement</li> <li>iii. Whistleblowing policy</li> <li>iv. Anti-Fraud &amp; Corruption policy</li> <li>v. Audits</li> <li>vi. Staff training</li> <li>vii. Contracts register</li> <li>viii. Annual budget acceptance / signature by ICTSM</li> <li>ix. Monthly budget monitoring</li> <li>x. Corporate processes for managing expenditure.</li> <li>xi. Appropriate Codes of Conduct for Councillors/Officers</li> </ul>		DCE (AJ) ICTSM DMO HRM IAM Proc HoF Audit	
10. Insufficient budget to deliver the service	<ul style="list-style-type: none"> <li>i. Council budget constraints.</li> <li>ii. Poor budget management</li> <li>iii. Change to software licensing models by vendors; MS, Cisco, VMWare.</li> <li>iv. Dollar exchange rate</li> <li>v. Major uninsured/uninsurable incident</li> </ul>	<ul style="list-style-type: none"> <li>i. Inability to deliver the service.</li> <li>ii. Inability to deliver the Service Area Plan</li> <li>iii. Opportunity costs.</li> <li>iv. Increased service failures through lack of investment</li> </ul>	<ul style="list-style-type: none"> <li>i. Annual budget setting process</li> <li>ii. Creation of an ICT Services Equipment Reserve</li> <li>iii. Rigorous Software Asset Management (SAM)</li> </ul>		Council CMT ICTSM DMO HRM IAM	



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

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"> <li>i. Inability to locate/access required information within time;</li> <li>ii. failure to monitor deadline</li> <li>iii. insufficient resources</li> <li>iv. Poor planning</li> <li>v. Failure to identify appropriate responder.</li> <li>vi. Poor or insufficient training.</li> </ul>	<ul style="list-style-type: none"> <li>i. Loss of public confidence.</li> <li>ii. Referrals of the Council to the Information Commissioner by dissatisfied members of the public.</li> <li>iii. Intervention &amp; Sanctions</li> </ul>	<ul style="list-style-type: none"> <li>i. Awareness of changes in legislation/Government advice.</li> <li>ii. Monitoring of FOI/EIR/DP systems put in place Council wide to ensure they are working.</li> <li>iii. Emphasise importance of responding to these from CMT</li> </ul>		DMO	
14. The complaints process is not adhered to when considering a complaint.	<ul style="list-style-type: none"> <li>i. Lack of available resources due to demands of other projects and work on the team.</li> <li>ii. Inexperienced officers</li> <li>iii. Officers not aware of relevant process to be followed</li> <li>iv. Complaints policy does not reflect the current operating environment.</li> </ul>	<ul style="list-style-type: none"> <li>i. Also a lack of transparency for the public</li> <li>ii. Referral to LGO</li> <li>iii. LGO sanction</li> <li>iv. compromise an insurance claim which may be received after a complaint has been replied to.</li> </ul>	<ul style="list-style-type: none"> <li>i. Training</li> <li>ii. CST monitoring</li> <li>iii. HoS/CE sign-off complaints as appropriate</li> <li>iv. Referral to appropriate LGO material.</li> </ul>	Review of complaints process is in SA Plan 2018	CE DMO	
15. Failure to deliver corporate strategies / initiatives	<ul style="list-style-type: none"> <li>i. Insufficient resources</li> <li>ii. Poor planning</li> <li>iii. Lack of engagement with customers</li> <li>iv. Change in scope</li> </ul>	<ul style="list-style-type: none"> <li>i. Financial or opportunity loss</li> <li>ii. Failure to meet statutory responsibilities</li> <li>iii. Loss of staff/public confidence</li> <li>iv. Impact on health and wellbeing</li> <li>v. Reputational damage</li> </ul>	<ul style="list-style-type: none"> <li>i. Robust project planning</li> <li>ii. Staff/Union/Member engagement / Communication</li> <li>iii. SMT support</li> </ul>		SMT ICTSM HRM DMO IAM	<p>Limited progress on Digital Strategy</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  
IAM – Interim Asset Manager  
EM – Elections Manager & Deputy Returning Officer  
HRM – Human Resources Manager  
Proc – Procurement Manager  
HoF – Head of Finance  
ACG – Asset Compliance Group

Contract Reference Number	Procurement Procedure	Contract Title	Description	Contract Type	Supplier	Small Medium Enterprise (SME)/ Enterprise/ Voluntary/Community	Start date	End date	Review Dates	Annual budget £	Contract value £	2017-18 Spend against contract £	Extension Option	Comments - including price change provisions and review dates.	Signed Contract Agreement is with CST (Deed Store) YES / NO. The Deed Store reference number is also required! If the answer is NO please give reasons why. If only electronic version held, put N/A and enter link for electronic contract in next	Electronic copy of Contract Agreement? - if YES - please supply file location path. All electronic copies should be stored centrally on the L drive: L:\Works Contracts for Procurement\Electronic contracts
CC08DA0106	Direct Award	Website monitoring	Monitoring website availability	Services	NCC Group	Medium	23/01/2006	01/02/2019	01/10/2018	950	8,550	£950.00	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.	NO	YES: L:\Work Groups\WDC Website\Contracts
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	01/01/2019	5,488	72,799	5,488.00	Options to extend in 12 months increments within the contract Terms and Conditions upto a	Commoditised IT Hardware and Software (CITHS)	YES C15/2014, C15/2015	
CC07DA1005	Invitation to quote (3 + suppliers)	Website link checking	Monitoring website links and code validity	Services	SiteImprove	Small	20/10/2005	01/02/2019	02/01/2019	1,371	16,451	£1,438.92	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 for another 12 months to 02/02/19. Three quote reprocurement to be carried out for replacement contract. 3 months notice required for existing supplier.	N/A	YES: L:\Work Groups\WDC Website\Contracts
HC24LV0316	Invitation to quote (3 + suppliers)	The maintenance of pumping stations	The maintenance of pumping stations	Services	SPE Limited	Small	01/04/2016	31/03/2019	02/01/2019	15,000	30,000	15,155.00		Extension for 12months granted by Finance and accepted by supplier. 25/01/18 - Procurement to begin following Assets restructure	YES - C7/2016	
HP101OJ1215	OJEU	Housing Adaptations	The Provision of Minor Works Contractor for Housing Aids & Adaptations Contract	Services	FSG	Medium	01/04/2016	31/03/2019	01/01/2019	Call-off contract - no value attributed	2,000,000		2 Years +1+1 1st +1 extension taken	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	YES - C1/2016	
HP67OJ0213	OJEU	LOT 3 M&E	Fire alarm service & maintenance	Services	Fire Safe Services Ltd	Medium	01/04/2013	31/03/2023	01/01/2022	42,000	210,000	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	NO	
CE18XXXXXX	Direct Award	HTML mailout server	HTML mailout server	Goods	dotMailer		01/04/2015	31/03/2019	01/01/2019	1,284	1,854	1,498.00	1 year trial purchase with the option to extend	12 month subscription taking out for 2017/8. Review again 2018.	N/A	YES - L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2014_15\CE18XXXXXX_HTML mailout server
CE25DA0815	Shared Service	Ebulk - Disclosure & Barring Service	Ebulk - Disclosure & Barring Service	Services	Coventry City Council	LA	01/04/2016	31/03/2019	01/01/19	Dependent of usage	Dependant of usage	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.	N/A	YES - L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2014_15\CE35TQ0915 and HR03CF0710_DBS and Ebulk disclosure and barring
HP106LV0316	Non-OJEU Tender	Minor Works Engineering Contract	Minor works & engineering to Warwick District Council owned	Works	Allworks construction limited	Medium	01/04/2016	31/03/2021	01/04/2020	261,878	523,755	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 - C12/2016	YES - Extension only - L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2015_16\HP106LV0316- WDC Minor Works Engineering Contract
CC10DA0607	Direct Award by Exemption	Website Plain English accreditation	Internet Crystal Mark for Plain English	Services	Plain English Campaign	Small	01/06/2007	31/05/2019	01/04/2019	750	8,250	£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.	N/A	YES: L:\Work Groups\WDC Website\Contracts
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	LA	01/09/2015	01/06/2019	01/03/2019	Nil	Nil	6,559.00	y	Call off contract. No spend commitment. Agreed rate which will be reviewed annually.	N/A	YES - L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2014_15\CE35TQ0915 and HR03CF0710_DBS and Ebulk disclosure and barring
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	01/04/2019	31,526	63,051	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	YES - C14/2016	
CE06DA0114	Direct Award	Halarose	Polling Staff Web training	Services	Halarose	Small	01/01/2014	31/12/2019	01/09/2019	11,000	33,000	£10,888.00	None	The training package was purchased for four elections covering the whole of Warwick District. To date these have not been used up. April 2018 - confirmation received that 1 election is remaining. Planned for 2019. anotehr	YES C34/2014	
CE32CF0915	Direct Award by Exemption	E-learning license	e-learning	Services	Learning Nexus Ltd	SME	18/09/2015	18/03/2019	01/01/2019	2,000	7,325	2,093.00	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 - A58/2017	

Contract Reference Number	Procurement Procedure	Contract Title	Description	Contract Type	Supplier	Small Medium Enterprise (SME)/ Enterprise/ Voluntary/Community	Start date	End date	Review Dates	Annual budget £	Contract value £	2017-18 Spend against contract £	Extension Option	Comments - including price change provisions and review dates.	Signed Contract Agreement is with CST (Deed Store) YES / NO. The Deed Store reference number is also required! If the answer is NO please give reasons why. If only electronic version held, put N/A and enter link for electronic contract in next	Electronic copy of Contract Agreement? - if YES - please supply file location path. All electronic copies should be stored centrally on the L drive: L:\Works Contracts for Procurement\Electronic contracts
IT01TQ0411	Invitation to quote (3 + suppliers)	Snow Licence Manager	Snow is a Software Asset Management (SAM) product used for managing and optimizing the purchase, deployment, maintenance, utilization and	Services	Trustmarque Solutions	Medium	16/04/2016	15/04/2019	15/02/2019	N/A	15,606	0.00	Software licence (Rolling)	Software Licence, no contract. Multi year deal single payment	N/A	A copy of the software licence is held electronically in ICT's Software Asset Management (SAM) system SNOW.
CE21OJ0415	OJEU	Datacenter Support Contract	Software support and hardware break-fix contract for all of the Council's Server, Storage, backup and virtualisation technologies - server and desktop. In addition the	Services	OCSL	SME	01/05/2015	30/04/2019	02/01/2019	50,000	250,000	164,636.35	Option to extend for a further 2 year term. Contract will be extended till 2019	Open: Published Invitation to Tender. This contract is a framework agreement and hence the contract value is variable. The annual value is for ongoing support and maintenance of existing equipment and is the only guaranteed component of the contract. However, even this will fluctuate as new equipment is bought and old equipment is retired. The variable component of the contract allows for the purchase of consultancy, hardware and software. Retender in 2019 via mini competition	YES C24/2015	
CE53DA0817	Direct Award by Exemption	Impellus learning credits	100 Credits to obtain training courses	Services	Impellus	Enterprise	14/08/2017	13/08/2019	01/05/2019	17,000	17,000	17,000	None	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	YES - PO 97629	
HP113LV0916	OJEU	Supply & delivery of Bulk Kerosene	Supply & delivery of Bulk kerosene to Jubilee house	Goods	RIX Petroleum (Midlands) Ltd	Enterprise	01/10/2016	30/09/2019	30/03/2019	19,390	38,780	13,875.00	None	Open: Published Invitation to Tender. 10.05.2017: Extension agreed for further 1 year to 31.03.2019 - Signed extension letter	YES - C33/2016	
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	Small	01/10/2013	30/09/2019	01/01/2019	12,000	48,000	29,750.00	None	Open: Published Invitation to Tender. 27.07.2016: Contract on forward procurement plan and scheduled to be re-procured 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	YES C14/2013	
IT25TQ1113	Invitation to quote (3 + suppliers)	Antispam Appliance	Email filtering appliance	Services	Insight	Enterprise	14/12/2016	13/12/2019	13/09/2019	N/A	7,356	0.00	Software licence (Rolling)	Software Licence, no contract. Multi year deal single payment	N/A	A copy of the software licence is held electronically in ICT's Software Asset Management (SAM) system SNOW.
HR06CF0816	Framework: Direct Award	MSTAR 2 Managed Services For temporary	Recruitment of Temporary Staff Contract	Services	Comensura through Mstar	Enterprise	01/03/2017	29/02/2020	01/06/2019	900,000	3,600,000	89,083.00	1 Year		YES - C27/2016	
CE33DA1216	Collaborative Agreement	Recruitment and employment services	WMJobs subscription service for	Services	West Midland Employers	Membership	01/01/2017	31/03/2020	01/01/2020	4,000	12,000	4,000.00	1yr or 3 year extension available	Extension periods are by mutual agreement and subject to revised subscription fees being payable.	YES - A57/2017	
HR05CF0415	Shared Service	Payroll Bureau	Delivery of payroll services	Services	Coventry City Council	LA	01/04/2015	31/03/2020	01/04/19	30,000	150,000	30,750.00	y	Contract signed and in deeds store	YES - C23/2016	
DS19DA0410	Direct Award by 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	Small	01/04/2006	01/04/2020	01/04/2019	36,000	180,000	34,161.00	none	Adverts placed in the Courier include: entertainment adverts, ROP adverts and Public Notices. The planning advert is placed in the Courier 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	N/A	
CE42TQ0417	Invitation to quote (3 + suppliers)	Secure Content Filtering Gateways	Secure Content Filtering Gateways for Web & Email	Services	Chess CyberSecurity (formerly Foursys Ltd)	Enterprise	30/04/2017	29/04/2020	01/01/2020	N/A	37,100	37,100.00	No	Software Licence, no contract. Multi year deal single payment. 29/04/2020. Replaces IT21TQ0413	N/A	A copy of the software licence is held electronically in ICT's Software Asset Management (SAM) system SNOW.

Contract Reference Number	Procurement Procedure	Contract Title	Description	Contract Type	Supplier	Small Medium Enterprise (SME)/ Enterprise/ Voluntary/Community	Start date	End date	Review Dates	Annual budget £	Contract value £	2017-18 Spend against contract £	Extension Option	Comments - including price change provisions and review dates.	Signed Contract Agreement is with CST (Deed Store) YES / NO. The Deed Store reference number is also required! If the answer is NO please give reasons why. If only electronic version held, put N/A and enter link for electronic contract in next	Electronic copy of Contract Agreement? - if YES - please supply file location path. All electronic copies should be stored centrally on the L drive: L:\Works Contracts for Procurement\Electronic contracts
CC04UT0106	Invitation to quote (3 + suppliers)	Business Broadband	Multi-site business broadband connectivity	Services	Vodafone	Enterprise	01/01/2010	01/05/2020	01/01/2019	12,000	120,000	£10,885.00	Rolling Contract(s)	Utility service Will look to move broadband connections to Daisy under the RM1045 framework	N/A	There is no overarching contract. Each broadband line is procured separately.
CE12DA0515	Direct Award by Exemption	Support and maintenance for Committee Management	Support and maintenance for Committee Management	Services	Astech Consultants Limited	Small	01/05/2015	01/05/2020	01/05/2019	5,310	26,553	0.00	yes, rolling contract review at year 5	Contract includes the option to purchase Mycmis at discounted rate. See also contract CO16LV0409	YES C2/2010	<a href="L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2015_16\CE12DA0515_Astech">YES - variations: L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2015_16\CE12DA0515_Astech</a>
CE41DA0417	Direct Award by Exemption	Hall Hire for Election Count	To provide a venue to host election counts administered by Warwick District	Goods & Services	Grandstand Stoneleigh Events Ltd	Large	01/04/2017	31/05/2020	01/06/2019	12544.27 (year 1)	38285.47 (plus a further election at the fee for that year set within the contract if an unscheduled election is called)	24,193.50	Nil	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	N/A	L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2017_18
CO20DA0717	Framework: Direct Award	Office supplies	A range of office supplies required	Goods	Office Depot	Enterprise	01/07/2017	30/06/2020	01/04/2019	10,000	40,000	£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	NO	
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	01/04/2020	62,000	310,000	71,357	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 - A74/2017	
CE54DA0817	Direct Award by Exemption	Endpoint Security	AntiVirus (Sophos)	Services	Chess CyberSecurity (formerly Foursys Ltd)	Enterprise	29/08/2017	28/08/2020	01/03/2020	N/A	31,600	31,600	No	Multi year deal single payment. New contract to be direct awarded by exemption. Replaces CC06TQ0614	N/A	A copy of the software licence is held electronically in ICT's Software Asset Management (SAM) system SNOW.
HP102OJ0715	OJEU	Asbestos	Asbestos Survey and Testing services	Services	Tersus Consultancy Limited	Medium	03/09/2015	02/09/2020	02/09/2019	200,000	1,000,000	177,898.25	Option to extend for a further 2 terms	Restricted: Published Invitation to Tender. Option taken to roll on contract for a further year.	YES - C47/2015	
HP103OJ0715	OJEU	Asbestos	Asbestos Removal Services	Services	Shield Environmental Services Limited	Medium	03/09/2015	02/09/2020	02/09/2019	400,000	2,000,000	318,620.84	Option to extend for a further 2 terms	Restricted: Published Invitation to Tender. Option taken to roll on contract for a further year.	YES - C5/2016	
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. Sundance Imaging Ltd T/A Printworks Coventry; 11. Deltor Communication s Ltd; 12. MediaCo Ltd.	Medium	01/01/2017	31/12/2020	02/01/2019	96,000	288,000	66,062.23	1 Year	Open: Published Invitation to Tender. New printframework launched 1st January 2017.	YES - A42-A53/2017	NO

Contract Reference Number	Procurement Procedure	Contract Title	Description	Contract Type	Supplier	Small Medium Enterprise (SME)/ Enterprise/ Voluntary/Community	Start date	End date	Review Dates	Annual budget £	Contract value £	2017-18 Spend against contract £	Extension Option	Comments - including price change provisions and review dates.	Signed Contract Agreement is with CST (Deed Store) YES / NO. The Deed Store reference number is also required! If the answer is NO please give reasons why. If only electronic version held, put N/A and enter link for electronic contract in next	Electronic copy of Contract Agreement? - if YES - please supply file location path. All electronic copies should be stored centrally on the L drive: L:\Works Contracts for Procurement\Electronic contracts
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	01/07/2020	100,000	300,000	100,013	None	Direct Award via KCS framework YY17038 - National Software (20 March 2017-19 March 2021)	N/A	<a href="L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2017_18\CE49DA0617_Microsoft Enterprise Agreement">YES - L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2017_18\CE49DA0617_Microsoft Enterprise Agreement</a>
HP1050J0116	OJEU	Door Entry Systems Contract Maintenance and Upgrade	Provision of Maintenance and Upgrade of Housing Door Entry Systems Security	Services	Baydale	Enterprise	01/04/2016	31/03/2021	01/04/2020	181,095	362,191	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	YES - C6/2016	
DS35MC0615	Framework: Mini	Asset Valuations	Rolling Asset Valuations of WDC	Services	Carter Jonas	Large	10/07/2015	10/07/2021	10/07/2020	14,666	88,000	6,000.00		Option taken to roll on contract for a further year.	YES C37/2015	
CE40DA0417	Framework: Direct Award	Jadu CMS and Forms support	Website technical support	Services	Jadu	Small	14/08/2017	14/08/2021	01/07/2019	12,000	48,000	12,000		This is combining 2 support contracts with different end dates (IT19MC0313) into a single unified contract. Reviewed in July 2018, happy with the contract review againd 2019.	N/A	L:\Work Groups\WDC Website\Contracts
CE31DA1216	Direct Award by Exemption	Colour MFD	Colour MFD replacement	Goods	Ricoh UK Ltd	Enterprise	01/01/2017	31/12/2021	01/04/2019	16,400	82,000		1+1	5 year lease contract agreement direct with Ricoh signed. Printer delivery expected January 2017. Installed February 2017	YES - A41/2017	
CE39DA0417	Direct Award by Exemption	Elections Management	Elections Management	Services	Xpress	SME	01/04/2017	31/03/2022	01/04/2019	15,456	77,280	20,166.69	None	£15456 for first year, then subject to RPI for subsequent years	N/A	L:\Works Contracts for Procurement\Electronic contracts\Chief
CE44DA0417	Shared Service	Legal Services Contract	Provision of Legal advice and	Services	Warwickshire County Council	LA	01/04/2017	31/03/2022	01/04/2021	455,900	1,823,600	561,916.00	None		YES - A9	
CE38LV0417	Non-OJEU Tender	Polling Screens	Delivery and collection of	Services	Hi Lite Electrical Ltd	SME	01/04/2017	31/03/2022	01/01/2019	6,000	30,000	0.00	None		YES - C6/2017	
CE37LV0417	Non-OJEU Tender	Polling station cabins	Provision of polling station cabins	Services	Ashtead	SME	01/04/2017	31/03/2022	01/01/2019	4,000	20,000	6,157.31	None		N/A	L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2017_18\CE37LV0417_Polling station cabins
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	01/07/2021	22033.70 first year, £0 for remaining 4 years	22,034	26,049	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 - A73	
CE51LV0817	Non-OJEU Tender	Rate Payment & Revaluation Consultancy	Consultation service for the provision of rate	Services	Lambert Smith Hampton Ltd	Enterprise	01/08/2017	31/07/2022	01/06/2019	10,000	50,000	10,000	None	Consultancy service to be issued ad hock, when services are required.	YES - A79	
HP66OJ0213	OJEU	LOT 6 R&M	General Corporate repairs	Services	Pinner & Sons limited	Small	01/04/2013	31/03/2023	01/03/2022	244,190	1,220,950	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	YES C22/2013	<a href="L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2013_14\HP66OJ0213_Property R&amp;M\Lot 6">YES - Variation - L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2013_14\HP66OJ0213_Property R&amp;M\Lot 6</a>
HP66OJ0213	OJEU	LOT 1 R&M	Kitchen & Bathroom replacements and repairs	Services	Lovell's	Enterprise	01/04/2013	31/03/2023	01/03/2022	966,062	4,830,309	758,434.02	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	YES C19/2013, C20/2013	



Contract Reference Number	Procurement Procedure	Contract Title	Description	Contract Type	Supplier	Small Medium Enterprise (SME)/ Enterprise/ Voluntary/Community	Start date	End date	Review Dates	Annual budget £	Contract value £	2017-18 Spend against contract £	Extension Option	Comments - including price change provisions and review dates.	Signed Contract Agreement is with CST (Deed Store) YES / NO. The Deed Store reference number is also required! If the answer is NO please give reasons why. If only electronic version held, put N/A and enter link for electronic contract in next	Electronic copy of Contract Agreement? - if YES - please supply file location path. All electronic copies should be stored centrally on the L drive: L:\Works Contracts for Procurement\Electronic contracts
HP66OJ0213	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	01/03/2022	486,928	2,434,640	326,965.73	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	YES C19/2013, C20/2013	
HP67OJ0213	OJEU	LOT 6 M&E	Water Management inc Legionella testing	Services	HSL Compliance Ltd	Medium	01/04/2013	31/03/2023	01/03/2022	34,635	173,175	42,000.00	Option to extend for a further 5 year term	Open: Published Invitation to Tender. Company previously known as Hertel Solutions 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	NO	
HP67OJ0213	OJEU	LOT 7 M&E	Lightning Protection	Services	Horizon Specialist Contracting Ltd	Medium	01/04/2013	31/03/2023	01/03/2022	5,000	25,000	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	NO	
HP66OJ0213	OJEU	LOT 7 R&M	Gas Servicing (housing)	Services	D&K Heating	Medium	01/04/2013	31/03/2023	01/04/2022	1,000,256	5,001,282	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	YES C4/2013	
HP67OJ0213	OJEU	LOT 5 M&E	Air conditioning Service & maintenance	Services	D&K Heating	Medium	01/04/2013	31/03/2023	01/03/2022	4,996	24,980	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 15.05.2017: Extension agreed for further 5 years to 31.03.2023 - Signed extension letter	YES C4/2013	
HP67OJ0213	OJEU	LOT 4 M&E	Intruder Alarm service & maintenance	Services	Close Circuit Security Services	Enterprise	01/04/2013	31/03/2023	01/03/2022	15,000	75,000	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	NO	
HP104OJ0116	OJEU	The Maintenance & Repair of Electrical	Contract to carryout Electrical Maintenance & Repairs to	Services	Dodds	Enterprise	01/05/2016	30/04/2023	01/04/2022	1,122,934	2,245,868	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	YES - D1/2016	
HP77OJ1213	OJEU	Decorating Voucher Scheme	A Scheme to assist Council tenants to exchange decoration vouchers for	Services	PPG Architectural Coatings UK Ltd	Large	01/12/2013	30/11/2023	01/11/2022	60,000	300,000	72,397.39	None	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 C12/2013	
CE26TQ1015	Invitation to quote (3 + suppliers)	Net Support Service Desk System	Net Support Service Desk System	Services	Grey Matter	Medium	01/10/2015	30/09/2025	01/11/2024	1,200	15,000	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.	N/A	A copy of the software licence and the support and maintenance contract are held electronically in ICT's Software Asset Management (SAM) system SNOW.
CC02UT0412	Invitation to quote (3 + suppliers)	Internet Connectivity	Corporate Internet Connection	Services	Virgin Media	Enterprise	01/12/2015	30/11/2019	01/04/2019	7,500	22,500	£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.	N/A	YES - L:\Works Contracts for Procurement\Electronic contracts\IT\2015_16\CC02UT0412_internet_connectivity

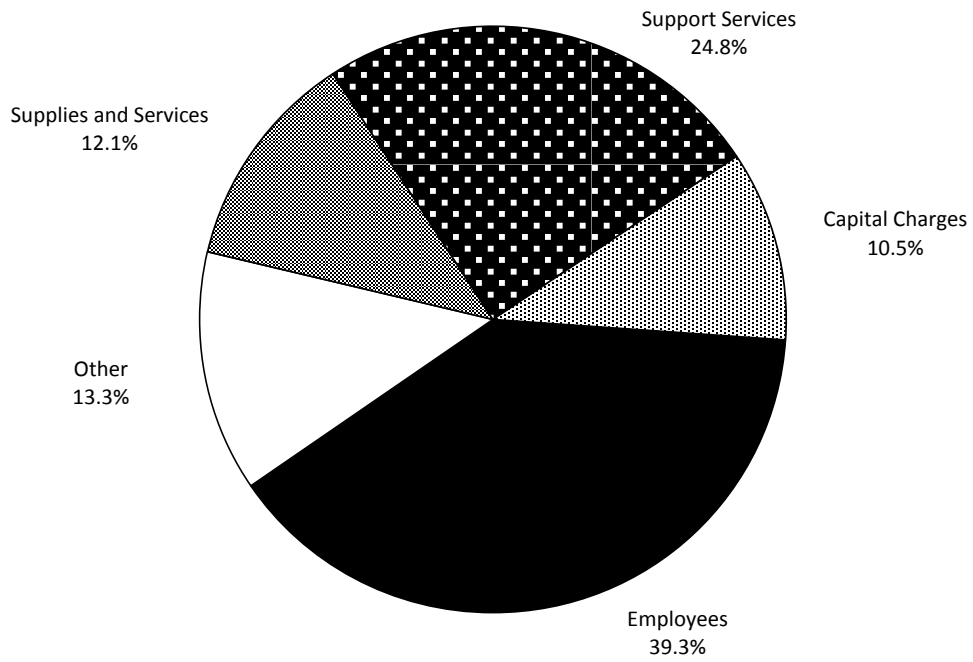
Contract Reference Number	Procurement Procedure	Contract Title	Description	Contract Type	Supplier	Small Medium Enterprise (SME)/ Enterprise/ Voluntary/Community	Start date	End date	Review Dates	Annual budget £	Contract value £	2017-18 Spend against contract £	Extension Option	Comments - including price change provisions and review dates.	Signed Contract Agreement is with CST (Deed Store) YES / NO. The Deed Store reference number is also required! If the answer is NO please give reasons why. If only electronic version held, put N/A and enter link for electronic contract in next	Electronic copy of Contract Agreement? - if YES - please supply file location path. All electronic copies should be stored centrally on the L drive: L:\Works Contracts for Procurement\Electronic contracts
EH08TQ0509	Framework: Direct Award	Mapping	OS Map Layers	Services	Ordnance Survey (Improvement & Development Agency - Contractual Framework)	Medium	06/05/2009	05/05/2021	05/05/2020	Nil	Nil	0.00	Software Licence (Rolling)	Sole supplier of base maps	N/A	A copy of the agreement is held electronically in ICT's Software Asset Management (SAM) system SNOW.
CE16XXXXXX	Direct Award by Exemption	GGP	Support and maintenance for the Council's Geographical Information Systems (GIS)	Services	GGP Systems	Enterprise	01/04/2013	30/06/2022	01/03/2020	7,639	344,685	7,639.00	Software licence (Rolling)	Software Licence, no contract. Exemption granted. Agreed to extend until 2021. Will be reviewed alongside IDOX. The number of licences was reduced in 2017-18, reducing the annual budget.	N/A	A copy of the contract is held electronically in ICT's Software Asset Management (SAM) system SNOW.
CE550J1017	OJEU	Election printing	Ballot papers, postal vote packs and polling cards	Goods	ERS	Enterprise	18/09/2017	17/09/2020	18/09/2019	varies as depends on scheduled election within each year.	800,434	71,659	24months	Open: Published Invitation to Tender	YES - C26/2017	<a href="#">YES - L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2017_18\CE550J1017 Elections printing</a>
CE56TQ1117	Invitation to quote (3 + suppliers)	HR Transcription	Transcription service for conversations	Services	Virtuoso Assistant	Small	02/11/2017	02/11/2020	01/11/2019	2,000	24,999	2,032	2 years	reviewed in 2018, more than happy with the contract	N/A	<a href="#">YES - L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2017_18\CE56TQ1117 Transcription</a>
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 consents, service charges and claims; • Rating support services;	Services	Bruton Knowles	Enterprise	01/11/2017	31/10/2022	01/10/2019	10,000	50,000	0	None	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.	N/A	<a href="#">Yes - L:\Works Contracts for Procurement\Electronic contracts</a>
CE60DA0118	Framework: Direct Award	Stationary and paper supplies	Stationary supplies, paper, office equipment	Services	Banner Group Ltd	Limited Company	15/01/2018	15/01/2022	01/01/2019	10,000	40,000	4,004		Direct Award through Birmingham City Framework. This portal will also be used for the ordering of health and Safety equipment.	NO	
CE61CO1117	Shared Service	Information Governance Service	Information Governance Service Manager shared post	Services	Stratford District Council	Public Body	15/01/2018	15/01/2020	01/01/2019	20,000	40,000	45,170		The agreement shall continue until the second anniversary from the date the Information Governance Service Manager takes up post. Contract will be reviewed with SDC every 2 months during the contract	N/A	<a href="#">YES - L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2017_18\CE61CO1117 Information Governance service</a>
CE63DA0318	Framework: Direct Award	Service & Maintenance of Stairlifts	Provision of Servicing and responsive repairs to Stairlifts owned	Services	Stannah Lifts Services Ltd	Large	03/04/2018	31/03/2020	01/04/2019	59,400	£13,000/annum (£26,000) + Responsive Repair Cost	0	Option to extend a further 2 yrs to 2022	Renewal subject to performance against KPI's 30/03/18: SH Contract signed and received - awaiting return of PCG.	N/A	<a href="#">L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2017_18\CE63DA0318 Stairlifts and hoists</a>
CE63MC0318	Framework: Mini Competition	Service & Maintenance of Passenger Lifts	Provision of Servicing and Maintenance of all Corporate and	Services	Stannah Lift Services Ltd	Large	03/04/2018	28/02/2021	01/04/2020	37,500	£37,500/annum (£112,500) + Responsive Repairs Cost	0	Option to extend a further 2 yrs to 2022	Renewal subject to performance against KPI's	YES - C3/2018	<a href="#">Yes - L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2017_18\CE63MC0318 Service &amp; Maintenance of Passenger Lifts</a>
CE64DA0318	Framework: Direct Award	Gas supply service	Supply of Gas to corporate buildings	Goods	Total Gas & Power Ltd	Enterprise	01/04/2018	31/03/2019	01/01/2019	135,000	170,000	0	None	Direct award through ESPO Framework 192: The Supply of Mains gas. ESPO managed contract. Already lined up replacement contract through new ESPO framework 192	YES - A87	
CE65OJ0218	OJEU	General housing repairs & voids	General housing repairs & voids	Services	Axis	Enterprise	01/04/2018	31/03/2022	01/01/2019	2,500,000	10,000,000	N/A	4 years	Restricted: Published Invitation to Tender. Contract being finalised ready for signing.	YES C3/2018	

Contract Reference Number	Procurement Procedure	Contract Title	Description	Contract Type	Supplier	Small Medium Enterprise (SME)/ Enterprise/ Voluntary/Community	Start date	End date	Review Dates	Annual budget £	Contract value £	2017-18 Spend against contract £	Extension Option	Comments - including price change provisions and review dates.	Signed Contract Agreement is with CST (Deed Store) YES / NO. The Deed Store reference number is also required! If the answer is NO please give reasons why. If only electronic version held, put N/A and enter link for electronic contract in next column.	Electronic copy of Contract Agreement? - if YES - please supply file location path. All electronic copies should be stored centrally on the L drive: L:\Works Contracts for Procurement\Electronic contracts
CE66MC0318	Framework: Mini Competition	Provision of: Network Infrastructure & Telephony support and maintenance including the design of new, modified or enhanced services which reduce the	Maintenance contract providing support and software/hardware maintenance for Warwick District Councils Cisco based ICT Data and Voice Network Infrastructure.	Services	European Electronique	SME	01/04/2018	31/03/2021	01/09/2020	33,884	102,000	0.00	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 - C24/2018	
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	Services	MetaCompliance Limited	SME	01/04/2018	31/03/2021	01/09/2020	N/A	22,500	22,500	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	CCS G-Cloud 9 Framework Agreement (RM1557ix) Lot 2 - Cloud software	N/A	<a href="L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2018_19\CE67DA0318_Metalearning">YES - L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2018_19\CE67DA0318_Metalearning</a>
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	31/03/2020	01/01/2020	19,000	38,000	0.00	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.	N/A	Yes - L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2018_19\CE68DA0318 - Desktop computing devices
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	01/09/2020	63,500	190,595	0.00	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 lines are migrated to the contract.	N/A	<a href="L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2017_18\CE69DA0318_Telephony SIP and broadband services">YES - L:\Works Contracts for Procurement\Electronic contracts\Chief Exec\2017_18\CE69DA0318_Telephony SIP and broadband services</a>

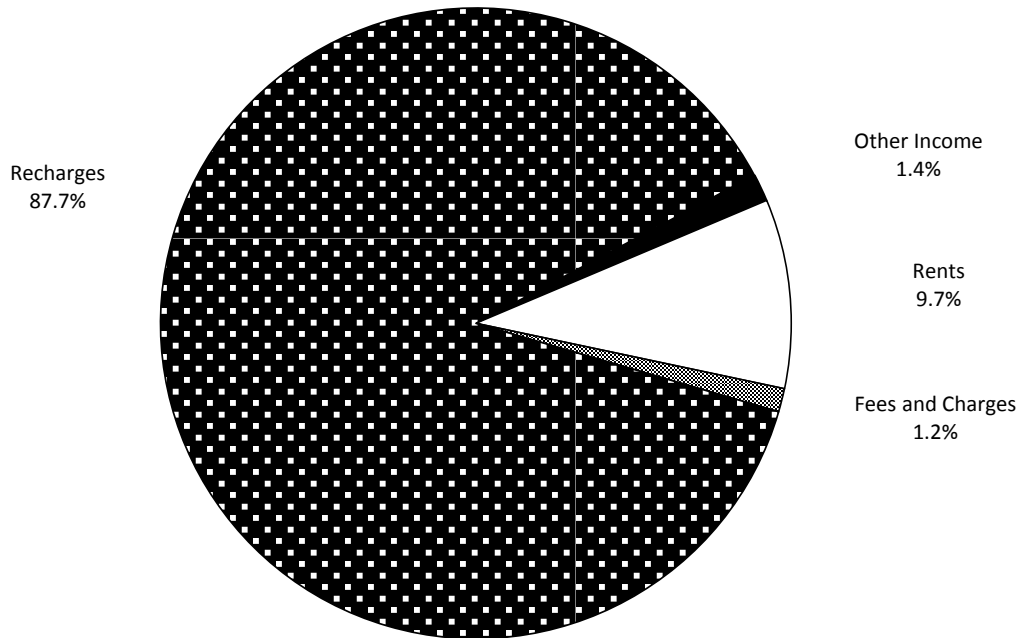
Item 4 - Appendix C

	ACTUAL 2017/18 £	ORIGINAL BUDGET 2018/19 £	LATEST BUDGET 2018/19 £	ORIGINAL BUDGET 2019/20 £
<b><u>STRATEGIC LEADERSHIP</u></b>				
S1270 GREEN SPACE DEVELOPMENT	35,163	14,500	14,500	14,500
S1289 OPEN SPACES	(106,830)	82,700	61,800	76,700
S1645 ASSET MANAGEMENT	12,302	30,000	-	-
S1650 ESTATE MANAGEMENT	(130,135)	60,600	92,700	47,500
S1660 WARWICK PLANT MAINTENANCE	-	-	-	-
S2000 CHIEF EXECUTIVE'S OFFICE	-	-	-	-
S2010 CORPORATE PROJECTS	34,334	69,100	20,800	3,400
S2060 HUMAN RESOURCES	5,269	50,200	-	-
S2080 MEMBER TRAINING	1,898	6,000	5,100	5,100
S2100 ORGANISATIONAL DEVELOPMENT	3,082	62,600	115,500	16,000
S2200 COMMITTEE SERVICES	-	(10,000)	-	-
S2220 DEMOCRATIC REPRESENTATION	944,161	1,091,600	1,162,000	1,123,900
S2240 ELECTIONS	109,152	70,900	41,900	192,300
S2260 ELECTORAL REGISTRATION	251,301	243,600	281,600	254,200
S2280 CHAIR OF THE COUNCIL	53,165	70,700	79,400	80,400
S2300 OFFICE ACCOMMODATION	1,230	-	-	-
S2340 MEDIA ROOM	6,832	-	-	-
S3350 CSTEAM	-	-	-	-
S3400 PAYMENT CHANNELS	-	-	-	-
S3452 CUSTOMER CONTACT MANAGER	-	-	-	-
S3470 WEB SERVICES	-	-	-	-
S3500 ICT SERVICES	(29,118)	(91,600)	(16,500)	(16,400)
S3600 ECONOMIC DEVELOPMENT	131,911	-	108,400	-
S3661 CUP - UNITED REFORM CHURCH	34,845	48,200	52,100	53,200
S4300 ENVIRONMENTAL PROTECTION	4,684	6,500	13,300	11,400
S4780 WDC HIGHWAYS	162,317	250,800	202,900	209,300
S4810 ALLEVIATION OF FLOODING	46,050	206,900	104,300	104,200
S4871 LEGAL SERVICES (SHARED SERVICE WCC)	-	15,000	-	-
SW000 CORPORATE R+M UNALLOCATED	-	417,800	533,200	415,500
<b>TOTAL STRATEGIC LEADERSHIP</b>	<b>1,571,613</b>	<b>2,696,100</b>	<b>2,873,000</b>	<b>2,591,200</b>
<b><u>EXPENDITURE:</u></b>				
Employees	3,809,625	3,628,900	3,701,800	3,867,900
Premises	641,239	945,100	1,063,800	963,600
Transport	46,482	16,200	31,200	33,800
Supplies and Services	1,431,420	1,228,900	1,362,300	1,196,500
Third Party Payments	468,733	311,000	490,500	315,500
Support Services	2,311,117	2,489,400	2,543,300	2,441,600
Capital Charges	375,127	1,029,800	1,029,800	1,029,800
<b>TOTAL EXPENDITURE</b>	<b>9,083,743</b>	<b>9,649,300</b>	<b>10,222,700</b>	<b>9,848,700</b>
<b><u>INCOME:</u></b>				
Government Grants	(378,462)	-	-	-
Other Grants and Contributions	(1,597)	-	(22,500)	(22,500)
Sales	(2,522)	(2,400)	(2,400)	(2,400)
Other Income	(365,252)	(74,500)	(113,200)	(74,500)
Fees and Charges	(91,250)	(86,000)	(86,000)	(86,000)
Rents	(623,837)	(668,800)	(666,200)	(703,600)
Recharges	(6,049,210)	(6,121,500)	(6,459,400)	(6,368,500)
<b>TOTAL INCOME</b>	<b>(7,512,130)</b>	<b>(6,953,200)</b>	<b>(7,349,700)</b>	<b>(7,257,500)</b>
<b>NET COST OF STRATEGIC LEADERSHIP</b>	<b>1,571,613</b>	<b>2,696,100</b>	<b>2,873,000</b>	<b>2,591,200</b>

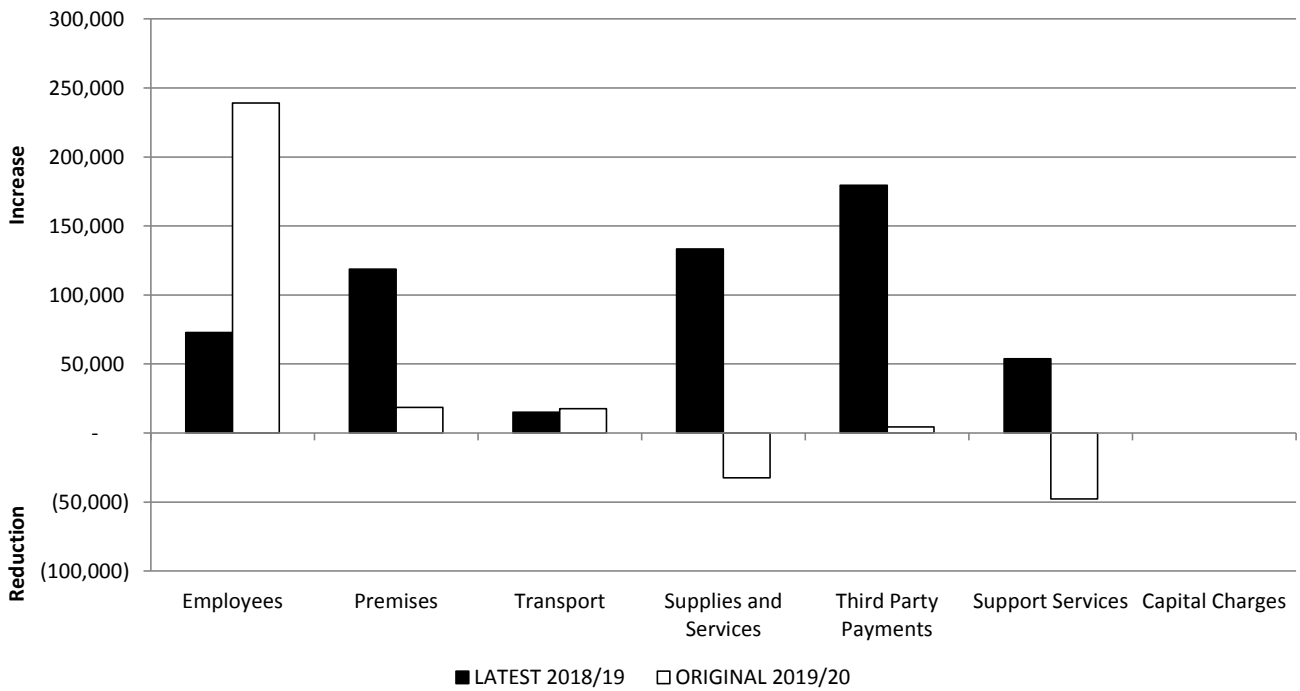
### STRATEGIC LEADERSHIP EXPENDITURE: 2019/20 BUDGETS



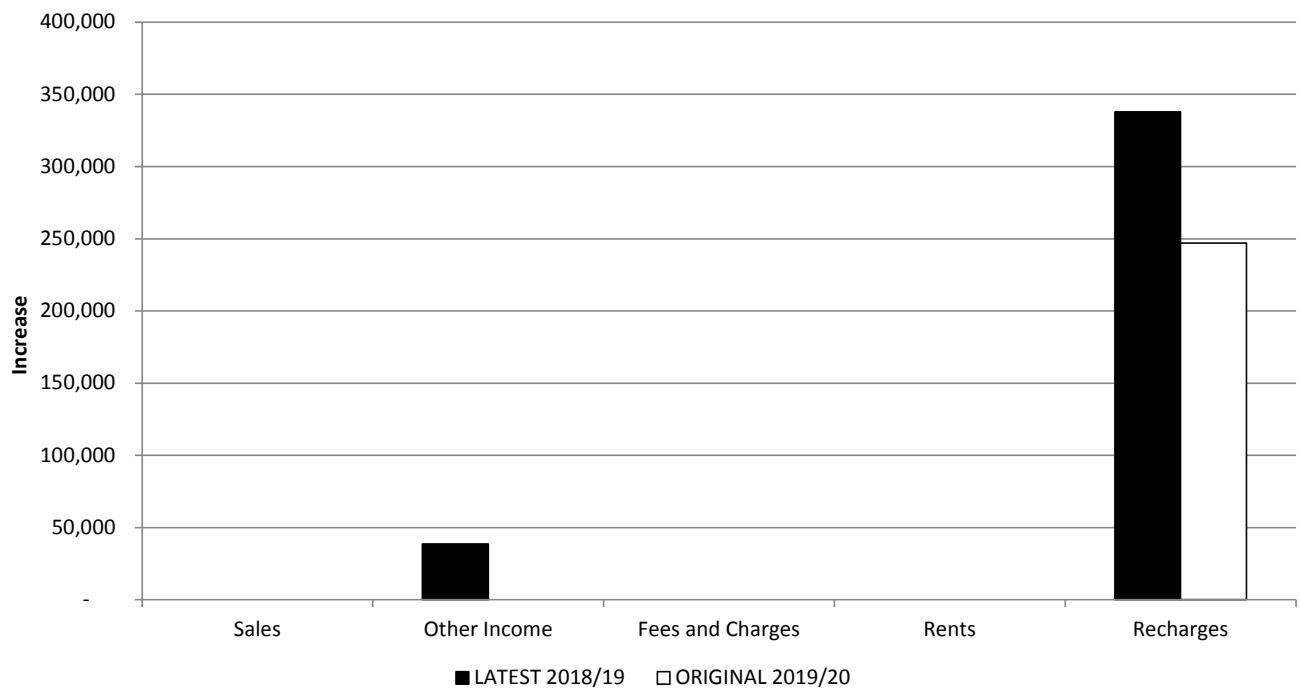
### STRATEGIC LEADERSHIP INCOME - 2019/20 BUDGETS



### STRATEGIC LEADERSHIP EXPENDITURE: CHANGE FROM 2018/19 ORIGINAL (£)



### STRATEGIC LEADERSHIP INCOME: CHANGE FROM 2018/19 ORIGINAL (£)



**STRATEGIC LEADERSHIP**

	<b>ACTUAL 2017/18 £</b>	<b>ORIGINAL BUDGET 2018/19 £</b>	<b>LATEST BUDGET 2018/19 £</b>	<b>ORIGINAL BUDGET 2019/20 £</b>
<b><u>S1270 GREEN SPACE DEVELOPMENT</u></b>				
<b>DIRECT EXPENDITURE</b>				
Premises	15,156	14,500	14,500	14,500
Third Party Payments	20,007	-	-	-
<b>TOTAL DIRECT EXPENDITURE</b>	<b>35,163</b>	<b>14,500</b>	<b>14,500</b>	<b>14,500</b>
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>35,163</b>	<b>14,500</b>	<b>14,500</b>	<b>14,500</b>
<b><u>S1289 OPEN SPACES</u></b>				
<b>DIRECT EXPENDITURE</b>				
Premises	11,059	8,600	8,800	8,900
Supplies and Services	11,070	-	-	-
Third Party Payments	11,110	10,000	10,200	10,300
<b>TOTAL DIRECT EXPENDITURE</b>	<b>33,239</b>	<b>18,600</b>	<b>19,000</b>	<b>19,200</b>
<b>DIRECT INCOME</b>				
Fees and Charges	(37,636)	(35,000)	(35,000)	(35,000)
Rents	(130,035)	(149,600)	(155,900)	(140,800)
<b>TOTAL DIRECT INCOME</b>	<b>(167,671)</b>	<b>(184,600)</b>	<b>(190,900)</b>	<b>(175,800)</b>
<b>NET DIRECT (INCOME) / EXPENDITURE</b>	<b>(134,432)</b>	<b>(166,000)</b>	<b>(171,900)</b>	<b>(156,600)</b>
Support Services	27,602	42,500	27,500	27,100
Capital Charges	-	206,200	206,200	206,200
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>(106,830)</b>	<b>82,700</b>	<b>61,800</b>	<b>76,700</b>

**STRATEGIC LEADERSHIP**

	<b>ACTUAL 2017/18 £</b>	<b>ORIGINAL BUDGET 2018/19 £</b>	<b>LATEST BUDGET 2018/19 £</b>	<b>ORIGINAL BUDGET 2019/20 £</b>
<b><u>S1645 ASSET MANAGEMENT</u></b>				
<b>DIRECT EXPENDITURE</b>				
Employees	716,227	911,500	955,100	1,053,200
Premises	3,875	1,300	1,300	1,300
Transport	16,947	6,500	6,500	6,500
Supplies and Services	8,444	17,800	17,800	17,100
Third Party Payments	28,077	3,900	4,000	4,000
<b>TOTAL DIRECT EXPENDITURE</b>	<b>773,570</b>	<b>941,000</b>	<b>984,700</b>	<b>1,082,100</b>
<b>DIRECT INCOME</b>				
Other Grants and Contributions	-	-	(22,500)	(22,500)
<b>TOTAL DIRECT INCOME</b>	<b>-</b>	<b>-</b>	<b>(22,500)</b>	<b>(22,500)</b>
<b>NET DIRECT (INCOME) / EXPENDITURE</b>	<b>773,570</b>	<b>941,000</b>	<b>962,200</b>	<b>1,059,600</b>
Support Services	220,297	250,600	238,400	228,800
Recharges	(981,565)	(1,161,600)	(1,200,600)	(1,288,400)
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>12,302</b>	<b>30,000</b>	<b>-</b>	<b>-</b>
 <b><u>S1650 ESTATE MANAGEMENT</u></b>				
<b>DIRECT EXPENDITURE</b>				
Employees	519	-	-	-
Premises	160,267	167,500	136,200	123,100
Supplies and Services	3,594	5,300	5,200	5,300
Third Party Payments	51,684	71,000	72,600	72,600
<b>TOTAL DIRECT EXPENDITURE</b>	<b>216,064</b>	<b>243,800</b>	<b>214,000</b>	<b>201,000</b>
<b>DIRECT INCOME</b>				
Other Income	(15,701)	(15,600)	(15,600)	(15,600)
Fees and Charges	(2,723)	(2,000)	(2,000)	(2,000)
Rents	(493,802)	(519,200)	(510,300)	(562,800)
<b>TOTAL DIRECT INCOME</b>	<b>(512,226)</b>	<b>(536,800)</b>	<b>(527,900)</b>	<b>(580,400)</b>
<b>NET DIRECT (INCOME) / EXPENDITURE</b>	<b>(296,162)</b>	<b>(293,000)</b>	<b>(313,900)</b>	<b>(379,400)</b>
Support Services	161,364	153,300	206,300	226,600
Capital Charges	4,663	200,300	200,300	200,300
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>(130,135)</b>	<b>60,600</b>	<b>92,700</b>	<b>47,500</b>



**STRATEGIC LEADERSHIP**

	<b>ACTUAL 2017/18 £</b>	<b>ORIGINAL BUDGET 2018/19 £</b>	<b>LATEST BUDGET 2018/19 £</b>	<b>ORIGINAL BUDGET 2019/20 £</b>
<b><u>S1660 WARWICK PLANT MAINTENANCE</u></b>				
<b>DIRECT EXPENDITURE</b>				
Employees	15,424	-	-	-
Transport	3,128	-	-	-
Supplies and Services	258	-	-	-
<b>TOTAL DIRECT EXPENDITURE</b>	<b>18,810</b>	<b>-</b>	<b>-</b>	<b>-</b>
Support Services	2,572	-	-	-
Recharges	(21,382)	-	-	-
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

**S2000 CHIEF EXECUTIVE'S OFFICE**

<b>DIRECT EXPENDITURE</b>				
Employees	439,857	440,600	433,800	443,600
Transport	216	800	500	800
Supplies and Services	8,416	11,100	10,600	11,100
Third Party Payments	44,724	18,400	20,100	19,300
<b>TOTAL DIRECT EXPENDITURE</b>	<b>493,213</b>	<b>470,900</b>	<b>465,000</b>	<b>474,800</b>
<b>DIRECT INCOME</b>				
Other Grants and Contributions	(1,097)	-	-	-
<b>TOTAL DIRECT INCOME</b>	<b>(1,097)</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>NET DIRECT (INCOME) / EXPENDITURE</b>	<b>492,116</b>	<b>470,900</b>	<b>465,000</b>	<b>474,800</b>
Support Services	107,991	106,400	69,900	72,400
Recharges	(600,107)	(577,300)	(534,900)	(547,200)
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

**STRATEGIC LEADERSHIP**

	<b>ACTUAL 2017/18 £</b>	<b>ORIGINAL BUDGET 2018/19 £</b>	<b>LATEST BUDGET 2018/19 £</b>	<b>ORIGINAL BUDGET 2019/20 £</b>
<b><u>S2010 CORPORATE PROJECTS</u></b>				
<b>DIRECT EXPENDITURE</b>				
Employees	52,694	65,700	13,100	-
Premises	6,437	3,300	3,200	3,300
Supplies and Services	298	-	11,500	-
Third Party Payments	37,561	-	88,600	-
<b>TOTAL DIRECT EXPENDITURE</b>	<b>96,990</b>	<b>69,000</b>	<b>116,400</b>	<b>3,300</b>
<b>DIRECT INCOME</b>				
Other Income	(1,637)	-	-	-
<b>TOTAL DIRECT INCOME</b>	<b>(1,637)</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>NET DIRECT (INCOME) / EXPENDITURE</b>	<b>95,353</b>	<b>69,000</b>	<b>116,400</b>	<b>3,300</b>
Support Services	5,751	100	3,200	3,200
Recharges	(66,770)	-	(98,800)	(3,100)
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>34,334</b>	<b>69,100</b>	<b>20,800</b>	<b>3,400</b>
<b><u>S2060 HUMAN RESOURCES</u></b>				
<b>DIRECT EXPENDITURE</b>				
Employees	456,791	428,700	433,100	425,100
Premises	146	-	-	-
Transport	920	1,200	1,200	1,200
Supplies and Services	74,525	57,000	77,000	77,000
Third Party Payments	25,432	23,400	23,700	23,700
<b>TOTAL DIRECT EXPENDITURE</b>	<b>557,814</b>	<b>510,300</b>	<b>535,000</b>	<b>527,000</b>
<b>DIRECT INCOME</b>				
Other Grants and Contributions	(500)	-	-	-
Fees and Charges	(29)	-	-	-
<b>TOTAL DIRECT INCOME</b>	<b>(529)</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>NET DIRECT (INCOME) / EXPENDITURE</b>	<b>557,285</b>	<b>510,300</b>	<b>535,000</b>	<b>527,000</b>
Support Services	142,789	133,000	173,300	166,500
Recharges	(694,805)	(593,100)	(708,300)	(693,500)
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>5,269</b>	<b>50,200</b>	<b>-</b>	<b>-</b>

**STRATEGIC LEADERSHIP**

	<b>ACTUAL 2017/18 £</b>	<b>ORIGINAL BUDGET 2018/19 £</b>	<b>LATEST BUDGET 2018/19 £</b>	<b>ORIGINAL BUDGET 2019/20 £</b>
<b><u>S2080 MEMBER TRAINING</u></b>				
<b>DIRECT EXPENDITURE</b>				
Employees	1,898	4,600	4,600	4,600
Supplies and Services	-	500	500	500
<b>TOTAL DIRECT EXPENDITURE</b>	<b>1,898</b>	<b>5,100</b>	<b>5,100</b>	<b>5,100</b>
Support Services	-	900	-	-
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>1,898</b>	<b>6,000</b>	<b>5,100</b>	<b>5,100</b>

**S2100 ORGANISATIONAL DEVELOPMENT**

<b>DIRECT EXPENDITURE</b>				
Employees	-	(31,000)	-	-
Transport	-	(9,200)	-	-
Supplies and Services	3,082	102,800	115,500	16,000
<b>TOTAL DIRECT EXPENDITURE</b>	<b>3,082</b>	<b>62,600</b>	<b>115,500</b>	<b>16,000</b>
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>3,082</b>	<b>62,600</b>	<b>115,500</b>	<b>16,000</b>

**STRATEGIC LEADERSHIP**

	<b>ACTUAL 2017/18 £</b>	<b>ORIGINAL BUDGET 2018/19 £</b>	<b>LATEST BUDGET 2018/19 £</b>	<b>ORIGINAL BUDGET 2019/20 £</b>
<b><u>S2200 COMMITTEE SERVICES</u></b>				
<b>DIRECT EXPENDITURE</b>				
Employees	172,534	190,100	189,100	184,100
Transport	59	400	400	400
Supplies and Services	17,232	20,100	19,800	20,100
Third Party Payments	23,385	38,000	39,100	39,100
<b>TOTAL DIRECT EXPENDITURE</b>	<b>213,210</b>	<b>248,600</b>	<b>248,400</b>	<b>243,700</b>
Support Services	123,002	122,400	116,500	116,900
Recharges	(336,212)	(381,000)	(364,900)	(360,600)
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>-</b>	<b>(10,000)</b>	<b>-</b>	<b>-</b>

**S2220 DEMOCRATIC REPRESENTATION**

<b>DIRECT EXPENDITURE</b>				
Employees	5,210	4,000	4,100	4,200
Transport	2,405	4,000	4,000	4,000
Supplies and Services	322,684	354,400	354,400	344,500
Third Party Payments	3,991	5,700	5,900	5,900
<b>TOTAL DIRECT EXPENDITURE</b>	<b>334,290</b>	<b>368,100</b>	<b>368,400</b>	<b>358,600</b>
Support Services	682,149	795,100	865,200	836,900
Capital Charges	1,222	1,900	1,900	1,900
Recharges	(73,500)	(73,500)	(73,500)	(73,500)
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>944,161</b>	<b>1,091,600</b>	<b>1,162,000</b>	<b>1,123,900</b>

**STRATEGIC LEADERSHIP**

	<b>ACTUAL 2017/18 £</b>	<b>ORIGINAL BUDGET 2018/19 £</b>	<b>LATEST BUDGET 2018/19 £</b>	<b>ORIGINAL BUDGET 2019/20 £</b>
<b><u>S2240 ELECTIONS</u></b>				
<b>DIRECT EXPENDITURE</b>				
Employees	303,790	6,300	12,800	75,300
Premises	109,067	-	900	29,100
Transport	9,693	-	300	2,000
Supplies and Services	209,291	7,100	9,900	47,300
<b>TOTAL DIRECT EXPENDITURE</b>	<b>631,841</b>	<b>13,400</b>	<b>23,900</b>	<b>153,700</b>
<b>DIRECT INCOME</b>				
Government Grants	(349,785)	-	-	-
Other Income	(268,203)	(500)	(10,900)	(500)
<b>TOTAL DIRECT INCOME</b>	<b>(617,988)</b>	<b>(500)</b>	<b>(10,900)</b>	<b>(500)</b>
<b>NET DIRECT (INCOME) / EXPENDITURE</b>	<b>13,853</b>	<b>12,900</b>	<b>13,000</b>	<b>153,200</b>
Support Services	95,299	58,000	28,900	39,100
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>109,152</b>	<b>70,900</b>	<b>41,900</b>	<b>192,300</b>

**S2260 ELECTORAL REGISTRATION**

<b>DIRECT EXPENDITURE</b>				
Employees	130,950	126,500	155,800	128,700
Premises	-	2,800	2,800	2,800
Transport	828	500	500	500
Supplies and Services	101,639	67,900	102,500	68,900
<b>TOTAL DIRECT EXPENDITURE</b>	<b>233,417</b>	<b>197,700</b>	<b>261,600</b>	<b>200,900</b>
<b>DIRECT INCOME</b>				
Sales	(2,522)	(2,400)	(2,400)	(2,400)
Other Income	(28,798)	-	(28,300)	-
<b>TOTAL DIRECT INCOME</b>	<b>(31,320)</b>	<b>(2,400)</b>	<b>(30,700)</b>	<b>(2,400)</b>
<b>NET DIRECT (INCOME) / EXPENDITURE</b>	<b>202,097</b>	<b>195,300</b>	<b>230,900</b>	<b>198,500</b>
Support Services	64,904	64,000	66,400	71,400
Recharges	(15,700)	(15,700)	(15,700)	(15,700)
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>251,301</b>	<b>243,600</b>	<b>281,600</b>	<b>254,200</b>

**STRATEGIC LEADERSHIP**

	<b>ACTUAL 2017/18 £</b>	<b>ORIGINAL BUDGET 2018/19 £</b>	<b>LATEST BUDGET 2018/19 £</b>	<b>ORIGINAL BUDGET 2019/20 £</b>
<b><u>S2280 CHAIR OF THE COUNCIL</u></b>				
<b>DIRECT EXPENDITURE</b>				
Employees	19,596	33,400	26,300	27,800
Transport	4,295	2,100	8,200	8,300
Supplies and Services	14,393	19,200	19,200	19,200
<b>TOTAL DIRECT EXPENDITURE</b>	<b>38,284</b>	<b>54,700</b>	<b>53,700</b>	<b>55,300</b>
<b>DIRECT INCOME</b>				
Other Income	(19)	-	-	-
<b>TOTAL DIRECT INCOME</b>	<b>(19)</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>NET DIRECT (INCOME) / EXPENDITURE</b>	<b>38,265</b>	<b>54,700</b>	<b>53,700</b>	<b>55,300</b>
Support Services	17,500	18,600	28,300	27,700
Recharges	(2,600)	(2,600)	(2,600)	(2,600)
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>53,165</b>	<b>70,700</b>	<b>79,400</b>	<b>80,400</b>

**S2300 OFFICE ACCOMMODATION**

<b>DIRECT EXPENDITURE</b>				
Premises	235,308	223,000	256,600	258,800
Supplies and Services	10,939	-	-	-
Third Party Payments	3,422	-	-	-
<b>TOTAL DIRECT EXPENDITURE</b>	<b>249,669</b>	<b>223,000</b>	<b>256,600</b>	<b>258,800</b>
<b>DIRECT INCOME</b>				
Other Income	(3,812)	-	-	-
<b>TOTAL DIRECT INCOME</b>	<b>(3,812)</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>NET DIRECT (INCOME) / EXPENDITURE</b>	<b>245,857</b>	<b>223,000</b>	<b>256,600</b>	<b>258,800</b>
Support Services	125,491	56,400	168,200	75,500
Capital Charges	164,690	379,600	379,600	379,600
Recharges	(534,808)	(659,000)	(804,400)	(713,900)
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>1,230</b>	<b>-</b>	<b>-</b>	<b>-</b>

**STRATEGIC LEADERSHIP**

	<b>ACTUAL 2017/18 £</b>	<b>ORIGINAL BUDGET 2018/19 £</b>	<b>LATEST BUDGET 2018/19 £</b>	<b>ORIGINAL BUDGET 2019/20 £</b>
<b><u>S2340 MEDIA ROOM</u></b>				
<b>DIRECT EXPENDITURE</b>				
Employees	225,507	230,000	229,500	249,100
Transport	701	800	800	800
Supplies and Services	97,170	97,300	94,000	96,900
Third Party Payments	-	400	400	400
<b>TOTAL DIRECT EXPENDITURE</b>	<b>323,378</b>	<b>328,500</b>	<b>324,700</b>	<b>347,200</b>
<b>DIRECT INCOME</b>				
Other Income	(44,582)	(58,400)	(58,400)	(58,400)
Fees and Charges	(709)	(4,000)	(4,000)	(4,000)
<b>TOTAL DIRECT INCOME</b>	<b>(45,291)</b>	<b>(62,400)</b>	<b>(62,400)</b>	<b>(62,400)</b>
<b>NET DIRECT (INCOME) / EXPENDITURE</b>	<b>278,087</b>	<b>266,100</b>	<b>262,300</b>	<b>284,800</b>
Support Services	105,616	110,400	108,200	103,500
Capital Charges	16,485	6,300	6,300	6,300
Recharges	(393,356)	(382,800)	(376,800)	(394,600)
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>6,832</b>	<b>-</b>	<b>-</b>	<b>-</b>
 <b><u>S3350 CSTEAM</u></b>				
<b>DIRECT EXPENDITURE</b>				
Employees	152,850	175,800	186,400	190,900
Transport	-	400	100	400
Supplies and Services	15,243	10,400	10,600	10,400
<b>TOTAL DIRECT EXPENDITURE</b>	<b>168,093</b>	<b>186,600</b>	<b>197,100</b>	<b>201,700</b>
Support Services	71,674	72,100	74,200	72,000
Recharges	(239,767)	(258,700)	(271,300)	(273,700)
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>

**STRATEGIC LEADERSHIP**

	<b>ACTUAL 2017/18 £</b>	<b>ORIGINAL BUDGET 2018/19 £</b>	<b>LATEST BUDGET 2018/19 £</b>	<b>ORIGINAL BUDGET 2019/20 £</b>
<b><u>S3400 PAYMENT CHANNELS</u></b>				
<b>DIRECT EXPENDITURE</b>				
Supplies and Services	32,917	21,500	21,500	21,500
Third Party Payments	79,228	120,000	120,700	120,000
<b>TOTAL DIRECT EXPENDITURE</b>	<b>112,145</b>	<b>141,500</b>	<b>142,200</b>	<b>141,500</b>
Support Services	44,917	20,500	14,300	17,200
Recharges	(157,062)	(162,000)	(156,500)	(158,700)
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b><u>S3452 CUSTOMER CONTACT MANAGER</u></b>				
<b>DIRECT EXPENDITURE</b>				
Digital transformation	3,823	-	-	-
<b>TOTAL DIRECT EXPENDITURE</b>	<b>3,823</b>	<b>-</b>	<b>-</b>	<b>-</b>
Recharges	(3,823)	-	-	-
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b><u>S3470 WEB SERVICES</u></b>				
<b>DIRECT EXPENDITURE</b>				
Employees	50,590	52,700	51,900	52,100
Transport	110	100	100	100
Supplies and Services	25,151	30,200	40,800	30,200
<b>TOTAL DIRECT EXPENDITURE</b>	<b>75,851</b>	<b>83,000</b>	<b>92,800</b>	<b>82,400</b>
Support Services	25,690	21,900	22,200	22,600
Recharges	(101,541)	(104,900)	(115,000)	(105,000)
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>



**STRATEGIC LEADERSHIP**

	<b>ACTUAL 2017/18 £</b>	<b>ORIGINAL BUDGET 2018/19 £</b>	<b>LATEST BUDGET 2018/19 £</b>	<b>ORIGINAL BUDGET 2019/20 £</b>
<b><u>S3500 ICT SERVICES</u></b>				
<b>DIRECT EXPENDITURE</b>				
Employees	1,065,188	990,000	1,006,200	1,029,200
Transport	2,706	4,000	4,000	4,000
Supplies and Services	433,260	406,300	419,400	403,900
Third Party Payments	17,358	-	-	-
<b>TOTAL DIRECT EXPENDITURE</b>	<b>1,518,512</b>	<b>1,400,300</b>	<b>1,429,600</b>	<b>1,437,100</b>
<b>DIRECT INCOME</b>				
Other Income	(2,500)	-	-	-
Fees and Charges	(48,256)	(45,000)	(45,000)	(45,000)
<b>TOTAL DIRECT INCOME</b>	<b>(50,756)</b>	<b>(45,000)</b>	<b>(45,000)</b>	<b>(45,000)</b>
<b>NET DIRECT (INCOME) / EXPENDITURE</b>	<b>1,467,756</b>	<b>1,355,300</b>	<b>1,384,600</b>	<b>1,392,100</b>
Support Services	201,859	210,200	227,200	221,900
Capital Charges	102,897	61,900	61,900	61,900
Recharges	(1,801,630)	(1,719,000)	(1,690,200)	(1,692,300)
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>(29,118)</b>	<b>(91,600)</b>	<b>(16,500)</b>	<b>(16,400)</b>

**S3600 ECONOMIC DEVELOPMENT**

<b>DIRECT EXPENDITURE</b>				
Supplies and Services	9,104	-	23,400	-
Third Party Payments	122,807	-	85,000	-
<b>TOTAL DIRECT EXPENDITURE</b>	<b>131,911</b>	<b>-</b>	<b>108,400</b>	<b>-</b>
Support Services	-	-	-	-
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>131,911</b>	<b>-</b>	<b>108,400</b>	<b>-</b>

**S3661 CUP - UNITED REFORM CHURCH**

<b>DIRECT EXPENDITURE</b>				
Premises	4,152	1,500	1,500	1,500
<b>TOTAL DIRECT EXPENDITURE</b>	<b>4,152</b>	<b>1,500</b>	<b>1,500</b>	<b>1,500</b>
Support Services	6,665	5,300	9,200	10,300
Capital Charges	24,028	41,400	41,400	41,400
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>34,845</b>	<b>48,200</b>	<b>52,100</b>	<b>53,200</b>

**STRATEGIC LEADERSHIP**

	ACTUAL 2017/18 £	ORIGINAL BUDGET 2018/19 £	LATEST BUDGET 2018/19 £	ORIGINAL BUDGET 2019/20 £
<b><u>S4300 ENVIRONMENTAL PROTECTION</u></b>				
<b>DIRECT EXPENDITURE</b>				
Transport	4,474	4,600	4,600	4,800
Supplies and Services	28,887	-	8,700	6,600
<b>TOTAL DIRECT EXPENDITURE</b>	<b>33,361</b>	<b>4,600</b>	<b>13,300</b>	<b>11,400</b>
<b>DIRECT INCOME</b>				
Government Grants	(28,677)	-	-	-
<b>TOTAL DIRECT INCOME</b>	<b>(28,677)</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>NET DIRECT (INCOME) / EXPENDITURE</b>	<b>4,684</b>	<b>4,600</b>	<b>13,300</b>	<b>11,400</b>
Support Services	-	1,900	-	-
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>4,684</b>	<b>6,500</b>	<b>13,300</b>	<b>11,400</b>

**S4780 WDC HIGHWAYS**

<b>DIRECT EXPENDITURE</b>				
Premises	93,044	94,400	94,400	94,400
<b>TOTAL DIRECT EXPENDITURE</b>	<b>93,044</b>	<b>94,400</b>	<b>94,400</b>	<b>94,400</b>
Support Services	50,346	116,300	68,400	74,800
Capital Charges	18,927	40,100	40,100	40,100
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>162,317</b>	<b>250,800</b>	<b>202,900</b>	<b>209,300</b>

**S4810 ALLEVIATION OF FLOODING**

<b>DIRECT EXPENDITURE</b>				
Premises	2,728	10,400	10,400	10,400
Third Party Payments	-	500	500	500
<b>TOTAL DIRECT EXPENDITURE</b>	<b>2,728</b>	<b>10,900</b>	<b>10,900</b>	<b>10,900</b>
Support Services	1,107	103,900	1,300	1,200
Capital Charges	42,215	92,100	92,100	92,100
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>46,050</b>	<b>206,900</b>	<b>104,300</b>	<b>104,200</b>

**STRATEGIC LEADERSHIP**

	<b>ACTUAL 2017/18 £</b>	<b>ORIGINAL BUDGET 2018/19 £</b>	<b>LATEST BUDGET 2018/19 £</b>	<b>ORIGINAL BUDGET 2019/20 £</b>
<b><u>S4871 LEGAL SERVICES (SHARED SERVICE WCC)</u></b>				
<b>DIRECT EXPENDITURE</b>				
Third Party Payments	(53)	19,700	19,700	19,700
<b>TOTAL DIRECT EXPENDITURE</b>	<b>(53)</b>	<b>19,700</b>	<b>19,700</b>	<b>19,700</b>
<b>DIRECT INCOME</b>				
Legal Fees	(1,897)	-	-	-
<b>TOTAL DIRECT INCOME</b>	<b>(1,897)</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>NET DIRECT (INCOME) / EXPENDITURE</b>	<b>(1,950)</b>	<b>19,700</b>	<b>19,700</b>	<b>19,700</b>
Support Services	26,532	25,600	26,200	26,000
Recharges	(24,582)	(30,300)	(45,900)	(45,700)
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>-</b>	<b>15,000</b>	<b>-</b>	<b>-</b>

**SW000 CORPORATE R+M UNALLOCATED**

<b>DIRECT EXPENDITURE</b>				
Premises	-	417,800	533,200	415,500
<b>TOTAL DIRECT EXPENDITURE</b>	<b>-</b>	<b>417,800</b>	<b>533,200</b>	<b>415,500</b>
<b>NET (INCOME) / EXPENDITURE TO SUMMARY</b>	<b>-</b>	<b>417,800</b>	<b>533,200</b>	<b>415,500</b>

## **Pump Room Gardens Restoration Project - Briefing Paper**

### **Finance and Audit and Overview and Scrutiny Committees, 8<sup>th</sup> January 2019**

#### **1.0 Background and Summary**

- 1.1 The restoration of the Pump Room Gardens is a £1.4m Heritage Lottery Fund (HLF) project funded through nearly £1m from HLF and further contributions from WDC and the Friends of the Pump Room Gardens (FoPRG). The capital works are being carried out by two contractors: idverde, for the main landscaping and works (contract value: £755K) and Lost Art Limited, for the bandstand restoration (contract value: £254K). A separate Activity Plan complements this work.
- 1.2 The project has had a number of quality issues, mostly dating from the early stages of the project. These have been raised at the highest level with idverde and they have committed to rectifying these issues at no additional cost to the project, whilst demonstrating their commitment to the project. The appointment of a Clerk of Works by WDC to oversee the works has helped to bring the programme back on track.
- 1.3 Governance structure – The two contractors report directly to the Contract Administrator (Ashmead Price) alongside a Project Manager (Red Kite Network), both of whom are HLF-funded posts. The CoW was appointed by WDC to focus upon the quality side of the works and liaises with all sides and signs-off the work as being of sufficient quality. The Green Spaces Project Team Leader, leads from the client side and also oversees the Activity Plan and the Community Engagement Officer, a WDC post, part-funded by HLF.

#### **2.0 Programme**

##### **2.1 Main contract**

- 2.1.1 The main contractor, idverde, was procured via a full OJEU-compliant process and was judged to be the most economically advantageous tender. They demonstrated that they had the requisite experience for a job of this nature and had provided examples of similar jobs they had completed elsewhere. Idverde are also WDC's grounds maintenance contractor, though this project is being run through the Northern Region section which is a separate arm of the same company.
- 2.1.2 The current position is that the main works are approximately three weeks behind the original programme end date of January 2019. Some of these delays have been due to the need to co-ordinate works with the County Council over the approach to the central path (which is adopted), and the negotiations with Western Power Distribution (WPD) over problems with

the electrical supply. The remediation works have not added any significant time delay to the project.

2.1.3 By the time of this meeting, the tarmac surfacing of all of the paths will have been completed. A decision needs to be made upon when to apply the final resin finish for the paths as this is temperature dependent and so may be delayed.

2.1.4 Planting is being done over the winter period and most of the beds are prepared and ready. The main work for January will be installing and painting the fencing and putting in the swale once the site compound has been taken down and moved.

**2.1.5 York Bridge** - Works to the bridge were omitted from the main contract as the works required were substantially more than originally expected and will now be carried out by the County Council. They have confirmed that work will begin in April 2019 for an 8-week period. The project will pay for the surfacing and painting of the bridge not for the structural element but close scrutiny of the methodology and works will be required to ensure no damage is done to the completed works.

## **2.2 Bandstand**

2.2.1 The bandstand is due to be reassembled on site from early January with a completion date of early February. The most significant delays were due to: the need to completely replace the decking which was only apparent when the works were underway; to agree the colour scheme for the bandstand, which took much longer than expected and followed lengthy discussions between Conservation, HLF and the FoPRG; and, agreeing with WPD the means of accessing the electricity supply. Access to an electricity supply will be retained for use by event organisers as previously.

## **3.0 Budget position**

3.1 The forecasted final accounts for both contracts are within budget. Whilst there have been some variations to both contracts, there have also been some omissions, and there is no forecasted overall increase in costs. The cost of the Clerk of Works is incorporated within the eligible costs of the project and this has been agreed with HLF. A verbal update will be provided at the meeting.

## **4.0 Quality of works**

4.1 Concerns about the quality of work came to light in the first phase of the project, and appeared to be a combination of poor sub-contractors and on the ground site supervision. To move things along and in the absence of in-house capacity, WDC appointed in September a Clerk of Works (CoW)

through the Built Environment Consultancy Services Framework on a one-day a week basis (over two half-days). Idverde has also engaged a different set of workers and ensured that an experienced Site Supervisor is permanently on site. This has worked well both in terms of picking-up on the quality issues whilst also supporting the Contract Administrator and liaising with the FoPRG advisor. A project of this nature was not considered to require a CoW from the outset but it soon became apparent that additional technical expertise was needed.

- 4.2 At the most recent meeting with the FoPRG, it was agreed that the CoW will use his report to highlight the areas that require remedial work that incorporates all parties and highlights ownership of the various risks and actions to be taken. This avoids the need for various different reports and can be used to control outstanding works / snagging issues. The intention is to extend the role until the end of the project. An updated version of the CoW spreadsheet, highlighting the status of the various issues will be issued prior to the meeting so it is the most current version. An update on the warranties relating to the project will also be provided at the meeting.
- 4.3 It should be made clear that the project is not a civil engineering project and the paths are not being built to a highways specification (aside from the central WCC path which receives a higher volume of vehicles). Such an approach would have significantly increased costs and HLF has made it quite clear that the project would not have been approved on this basis.
- 4.4 In terms of ongoing risks, an updated Management and Maintenance Plan for the site will incorporate the as-built plans but also highlight where control is needed to ensure that damage is not done to the completed works. This will particularly relate to events and maintenance vehicles and it will be made clear what mitigation measures are needed, such as protective matting. Bollards at the main entrances will restrict general access and site management will cover the on-site issues.

## **5.0 Reputational Risks – both locally and with the main funder (HLF)**

- 5.1 HLF has been kept apprised of the project position and the project's HLF mentor, Ellen Bramhill, visited the project twice in November and December. HLF has received correspondence directly from the Friends group but is comfortable that the problems identified are being addressed they are supportive of the approach taken. A further formal visit is planned for when the physical works have been completed.
- 5.2 The FoPRG have raised a number of concerns and consequently two formal meetings have been held (29th October and 3<sup>rd</sup> December) between senior officers of WDC, a ward councillor, the Clerk of Works, and representatives from the FoPRG. The latter meeting included senior

representatives of idverde at which they gave reassurances over performance. This gives the opportunity for issues to be formally raised and addressed and have generally been very positive. A further meeting is to be held in early January.

- 5.3 There are now weekly onsite meetings between Warwick District Council Clerk of Works and the FoPRG advisor. These meetings give the opportunity to assess any quality issues and how these are to be rectified.

## **6.0 Lessons Learned**

- 6.1 The bureaucratic and lengthy nature of funding projects of this nature and the amount of external interest in the project has made it clear that it requires a dedicated WDC project management resource to drive the project from the outset, not least for continuity but also to build relationships both external and internal and provide a more corporate approach to day-to-day issues. Invariably more time is required than consultants can provide, though it may be that additional resources are brought in to manage the HLF processes for example.
- 6.2 We would review the whole approach to project governance and communications, especially in relation to partnership working and stakeholder engagement which has proved to be problematic from the outset for a number of reasons. A more robust agreement needs to be in place that sets out responsibilities, liabilities and lines of accountability.
- 6.3 Agree communication channels before a start on site and require a more visible presence from the contractors in dealings with the public and stakeholders. This proved to be difficult from the start due to the on-set of the events season which required flexibility in terms of programming and to mitigate the impact of the works on events as far as possible.

## **7.0 Specific Issues - Bandstand undercroft**

- 7.1 There was an original intention to use the undercroft for events storage etc and the relocation of the electrical cabinets. However, the height of the proposed access door and practicalities of access were questioned by Lost Art from the outset, as was the potential for dampness and condensation. Western Power also expressed concerns over health and safety issues over use of any electrics put inside the undercroft
- 7.2 Lost Art explored the practical detail of constructing the steel security hatch and making it watertight against the proposed doorway. The hatch was to come part way down the door and lifting the hatch would be restricted by the adjacent structures. The door opening would still be very restricted by the nature of the steep steps and low opening. Hence, it was recommended that an alternative access through the bandstand floor would be preferable. There was always a concern about water ingress into

the bandstand undercroft at times of flooding. When it was discovered that the bandstand decking / floor was beyond repair and would need to be re-cast using the engineer's recommended detail, it was agreed to incorporate an access hatch into the new floor which would satisfy the future need for inspections.

- 7.3 Once the floor was stripped off it was found that the brickwork courses and the main joists needed repair/ replacement which have now all been done to an engineer's specification. Discussion included an approach to block the old access door but to backfill the steps leaving them in situ in line with good conservation practice. A contrasting engineering brick colour was also used as infill of the doorway, again to identify the original and replacement work.
- 7.4 In hindsight this should have been picked-up earlier with the Conservation Officer and, indeed the FoPRG, and this is an omission that is regrettable but a Listed Building Consent application has now been submitted. To have delayed the project at this stage would have taken 8-10 weeks, delaying works, leaving the undercroft exposed and causing subsequent contractual issues. A subsequent meeting was held on site with FoPRG, WDC and Lost Art to go through the reasoning and this appeared to have been satisfactory.


#### 8.0 **Activity Plan (AP)**

- 8.1 This is a key part of any HLF project and is designed to attract target audiences (especially those who don't normally use the PRG) using a mix of outreach and different activities. This is designed to run before and after the main capital works but is viewed as equally important in ensuring the sustainability and success of the entire project
- 8.2 Whilst it is due to end in 2020, we have been working closely with our HLF mentor to continue to develop the programme with a view to extending it beyond this period to allow for sufficient time post-completion to build up a range of activities. An example of this is Eco Fest 2019 which is being led through the HLF project.
- 8.3 The FoPRG, whilst involved from the outset, made it clear that they did not want to get involved in the delivery of the AP, though they are represented on the Delivery Group, which is the main mechanism for overseeing the AP.

#### 9.0 **Invite to visit the Pump Room Gardens restoration project**

Given that level of interest in the project, Members are invited to visit the site to see the restoration works themselves. We will ensure that both contractors are available to answer any questions with regards to the restoration.



	<b>Finance &amp; Audit Scrutiny Committee</b> <b>8 January 2019</b>	<b>Agenda Item No.</b> <b>6</b>
<b>Title</b>	Work Programme & Forward Plan	
<b>For further information about this report please contact</b>	Amy Barnes Civic & Committee Services Manager 01926 456114 or <a href="mailto:committee@warwickdc.gov.uk">committee@warwickdc.gov.uk</a>	
<b>Wards of the District directly affected</b>	N/A	
<b>Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	26 November 2018 – Minute Number 92	
<b>Background Papers</b>	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 2018 (Appendix 1) and of the current [Forward Plan](#).

## 2. Recommendation

- 2.1 Members consider the work programme (Appendix 1) and agree any changes as appropriate.
- 2.2 The Committee to; identify any Executive items on the Forward Plan which it wishes to have an input before the Executive makes its decision; and to nominate a Member to investigate that future decision and report back to the Committee.
- 2.3 The Committee notes the comments made by the Executive in response to the Committees comments on Executive reports, as set out at Appendix 2.

## 3. Reasons for the Recommendation

- 3.1 The work programme should be updated at each meeting to accurately reflect the workload of the Committee.
- 3.2 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 Appendix 2, Comments from Executive, is produced to create a dialogue between the Executive and the Overview and Scrutiny Committee. It ensures that the Overview and Scrutiny Committee are formally made aware of the Executive's responses.
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 new scrutiny process, the Committee is no longer 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 09.00am on the day of the Overview and Scrutiny Committee meeting to advise which Executive items they would like the Committee to consider.
- 4.12 As a result the Committee considered the items detailed in appendix 2. The response the Executive gave on each item is also shown.
- 4.13 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.

## Response from the meeting of the Executive on this Committee's Comments

27 November 2018

<b>Items no.</b>	3 & 13	<b>Title</b>	<b>Europa Way Progress Update and Next Steps</b>
<b>Scrutiny Comment</b>	The Finance & Audit Scrutiny Committee supported the recommendations in the report whilst noting that marketing of the consultation was key and needed to be persuasive and well explained. In addition, Members highlighted the importance of setting up the capital accounting to avoid future complexity of year end processes and requested that resources were investigated to ensure this happened.		
<b>Executive Response</b>			

<b>Items no.</b>	4	<b>Title</b>	<b>Budget Review to 30 September 2018</b>
<b>Scrutiny Comment</b>	The Finance & Audit Scrutiny Committee supported the recommendations in the report.		
<b>Executive Response</b>			

<b>Items no.</b>	5	<b>Title</b>	<b>Covent Garden Displacement Plan</b>
<b>Scrutiny Comment</b>	The Finance & Audit Scrutiny Committee supported the recommendations in the report.  Members noted the additional information supplied to the meeting that approval of this paper will bring the total cost of the Displacement Parking Strategy to £1.25m, excluding loss of car parking revenues during the project.		
<b>Executive Response</b>			

<b>Items no.</b>	7	<b>Title</b>	<b>Whitnash Community Hub</b>
<b>Scrutiny Comment</b>	The Finance & Audit Scrutiny Committee supported the recommendations following a robust discussion of the project.  The Committee's support for investing in community hubs, and in particular Whitnash given growing local needs, was confirmed. Main concerns expressed were about the very large increase in project costs, and the potential risks of further capital overruns and how they would be funded. Members noted that the contribution from the community will be		

	through a loan facility, funded by an increase in the local Tax precept; and that no significant local fundraising has so far taken place.
<b>Executive Response</b>	

<b>Items no.</b>	11 & 18	<b>Title</b>	<b>10, 12 &amp; 14 Chapel Street, Warwick</b>
<b>Scrutiny Comment</b>	The Finance & Audit Scrutiny Committee supported the recommendations in the report		
<b>Executive Response</b>	No response required.		

<b>Items no.</b>	16	<b>Title</b>	<b>Victoria Park Café</b>
<b>Scrutiny Comment</b>	The Finance & Audit Scrutiny Committee supported the recommendations in the report.		
<b>Executive Response</b>	No response required.		

<b>Items no.</b>	17	<b>Title</b>	<b>Update on Action Plan following Review of Closure of Accounts</b>
<b>Scrutiny Comment</b>	<p>The Finance &amp; Audit Scrutiny Committee noted and supported the report.</p> <p>During scrutiny of the End of Year Accounts and the Audit findings at the start of the F&amp;A meeting the Committee decided that they wished to see regular in-year reports on progress against all outstanding Audit recommendations from senior Officers. After debate it was agreed that this requirement to this monthly Action Plan report to Executive, by the Chief Executive, who agreed to extend the scope as requested.</p>		
<b>Executive Response</b>			

## Finance and Audit Scrutiny Committee WORK PROGRAMME 2018/19

### 8 January 2019

Title	Audit Item or Scrutiny Item	Format	Lead Officer/ Councillor	Next report date if applicable	Completion date
Scrutiny of Service Area Performance – <b>Chief Executives</b>	Scrutiny	Written report followed by Q&A	Chris Elliott / Cllr Mobbs		
Scrutiny of work at the Royal Pump Rooms	Scrutiny	Written report followed by Q&A	Rob Hoof / Cllr Grainger		

### 5 February 2019

Title	Audit Item or Scrutiny Item	Format	Lead Officer/ Councillor	Next report date if applicable	Completion date
Scrutiny of Service Area Performance – <b>Business</b>	Scrutiny	Written report followed by Q&A	Dave Barber / Cllrs Butler		
Local Plan Infrastructure Delivery Plan	Scrutiny	Written report followed by Q&A	David Butler / Cllr Rhead		Six monthly update

### 5 March 2019

Title	Audit Item or Scrutiny Item	Format	Lead Officer/ Councillor	Next report date if applicable	Completion date
Internal Audit Quarter 3 Progress Report	Audit	Written report followed by Q&A	Richard Barr		Quarterly

## Appendix 1

Internal Audit Strategic Plan (2019/20 to 2021/22)	Audit	Written report followed by Q&A	Richard Barr		
Annual Governance Statement Quarter 3 Action Plan Report	Audit	Written report followed by Q&A	Richard Barr		Quarterly
Scrutiny of Service Area Performance – <b>Culture</b>	Scrutiny	Written report followed by Q&A	Rose Winship / Cllr Coker		

### 2 April 2019

Title	Audit Item or Scrutiny Item	Format	Lead Officer/ Councillor	Next report date if applicable	Completion date
Procurement Strategy Annual Review	Scrutiny	Written report followed by Q&A	Mike Snow / Becky Reading		Annually

### 30 April 2019

Title	Audit Item or Scrutiny Item	Format	Lead Officer/ Councillor	Next report date if applicable	Completion date
Scrutiny of Service Area Performance – <b>Health &amp; Community Protection</b>	Scrutiny	Written report followed by Q&A	Marianne Rolfe / Cllr Thompson		

### First meeting of the new Municipal year in 2019

Title	Audit Item or Scrutiny Item	Format	Lead Officer/ Councillor	Next report date if applicable	Completion date
Internal Audit Annual Report	Audit	Written report followed by Q&A	Richard Barr		Annually

**Appendix 1**

Internal Audit Quarter 4 Progress Report	Audit	Written report followed by Q&A	Richard Barr		Quarterly
Annual Governance Statement	Audit	Written report followed by Q&A	Richard Barr		
Annual Governance Statement Quarter 4 Action Plan Report	Audit	Written report followed by Q&A	Richard Barr		Quarterly

<b>Service area review rota</b>
Finance
Housing
Neighbourhood Services
Development
Chief Executives
Cultural Services
Health & Community Protection