

Finance and Audit Scrutiny Committee

Tuesday 31 October 2017

A meeting of the Finance and Audit Scrutiny Committee will be held at the Town Hall, Royal Leamington Spa on Tuesday 31 October 2017 at 6.00pm.

Membership:

	Councillor Barrott (Chair)
Councillor Cain	Councillor Illingworth
Councillor Davies	Councillor Margrave
Councillor Gallagher	Councillor Noone
Councillor Gifford	Councillor Quinney
Councillor Howe	Vacancy - Conservative

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 26 September 2017 **(To follow)**

4. **Minutes of Joint Scrutiny Committee**

To confirm the minutes of the meeting held on 18 September 2017
(Pages 1 to 2)

Part B Audit Items

5. **National Fraud Initiative Update**

To receive a report from Finance **(Pages 1 to 6)**

Part C – Scrutiny Items

6. **Review of Health & Community Protection Services Risk Register**

To consider a report from Health & Community Protection **(Pages 1 to 27)**

7. **Comments from the Executive**

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

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

To consider a report from Democratic Services **(Pages 1 to 15)**

9. **Executive Agenda (Non Confidential Items and Reports) – Wednesday 1 November 2017**

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)**

10. **Public and Press**

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

11. **Executive Agenda (Confidential Items and Reports) – Wednesday 1 November 2017**

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)**

12. Confidential Minutes

To confirm the minutes of the meeting held on 30 August 2017

**(Pages 1 to 3)
(Not for Publication)**

Agenda published Monday 23 October 2017

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

Telephone: 01926 456114

E-Mail: committee@warwickdc.gov.uk

For enquiries about specific reports, please contact the officers named in the reports

You can e-mail the members of the Committee at f&a@warwickdc.gov.uk

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

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

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

Minutes of a joint meeting of the Finance and Audit and Overview & Scrutiny Committees held on Monday 18 September 2017, at the Town Hall, Royal Leamington Spa at 6.00pm.

Present: Councillors G Cain, Mrs Cain, D'Arcy, Davies, Davison, Mrs Falp, Gifford, Miss Grainger, Illingworth, Mrs Knight, Margrave, Naimo, Noone, Parkins, Quinney, Mrs Redford, Shilton and Weed.

Also Present: Councillors Coker, Cooke, Cross, Doody, Mrs Hill, Mobbs and Rhead.

1. **Appointment of Chairman**

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

Resolved that Councillor Mrs Falp be appointed as Chairman for the meeting.

2. **Apologies and Substitutes**

- (a) Apologies for absence were received from Councillor Gallagher.
- (b) Councillor D'Arcy substituted for Councillor Bromley and Councillor Weed substituted for Councillor Barrott.

3. **Declarations of Interest**

Minute 4 - Executive Agenda (Non-Confidential Items & Reports – Wednesday 20 September 2017) – Item 2 and Council Agenda (Non-Confidential Items & Reports – Wednesday 20 September 2017) – Item 11 – Local Plan Adoption

All Members declared an interest because the report concerned adoption of Warwick District Council's Local Plan.

4. **Executive Agenda (Non Confidential Items and Reports) – Wednesday 20 September 2017**


The Committees considered the following non-confidential item which would be discussed at the meeting of the Executive on Wednesday 20 September 2017.

Item 2 and Council Agenda (Non-Confidential Items & Reports – Wednesday 20 September 2017) – Item 11 – Local Plan Adoption

The Committees considered a report from the Policy & Projects Manager which sought agreement from the Council to adopt the Local Plan 2011-2029, subject to the main modifications put forward by the Inspector in his report, set out in Appendix 2 to the report, and encompassing a number of minor modifications set out in Appendix 3 to the report. The report also sought agreement to adopt the Policies Map to accompany the Local Plan as set out in Appendix 4 to the report.

The Committees agreed with the Local Plan as set out in the report and supported the Plan going forward.

(The meeting ended at 6.07 pm)

 Finance and Audit Scrutiny Committee 31st October 2017		Agenda Item No. 5
Title	National Fraud Initiative	
For further information about this report please contact	Ian Wilson, Senior Internal Auditor	
Wards of the District directly affected	None	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	Finance and Audit Scrutiny Committee 1 st November 2016 (Minute 64)	
Background Papers	NFI Referrals Database (Cabinet Office) NFI Internal Working Papers (Internal Audit)	

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

Subject matter relates to mandatory participation under statute in a long established national process overseen by the Cabinet Office (taken over from the former Audit Commission).

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	16/10/2017	Andy Jones
Head of Service	13/10/2017	Mike Snow
CMT	13/10/2017	CMT
Section 151 Officer	13/10/2017	Mike Snow
Monitoring Officer	16/10/2017	Andy Jones
Finance	13/10/2017	Mike Snow
Portfolio Holder(s)	16/10/2017	Councillor Whiting
Consultation & Community Engagement		
Not applicable		
Final Decision?	Yes	

1. **Summary**

- 1.1 The purpose of this report is to present to Members details of progress to date on the Council's investigations into the data matches from the 2016-17 National Fraud Initiative (NFI) programme.

2. **Recommendation**

- 2.1 That this Committee notes outcomes to date and relevant explanations from the 2016-17 round of the NFI.

3. **Reasons for the Recommendation**

- 3.1 Members have requested annual updates on NFI activities.
- 3.2 The NFI considers itself to be a major contributor to public sector counter-fraud activity and continually seeks to expand its influence in both the public and private sectors. From Warwick District Council's perspective the contribution of NFI to counter fraud activity has always been marginal overall, but offers significant value as a source of independent assurance on the effectiveness the Council's preventative controls and as a deterrent against fraud.
- 3.3 The results to date from the 2016-17 NFI programme are discussed in Section 9 below.

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

FFF Strands		
People	Services	Money
External		
Health, Homes, Communities	Green, Clean, Safe	Infrastructure, Enterprise, Employment
<u>Intended outcomes:</u> Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	<u>Intended outcomes:</u> Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	<u>Intended outcomes:</u> Dynamic and diverse local economy Vibrant town centres Improved performance/productivity of local economy Increased employment and income levels
Impacts of Proposal None directly applicable		

FFF Strands		
People	Services	Money
Internal		
Effective Staff	Maintain or Improve Services	Firm Financial Footing over the Longer Term
<u>Intended outcomes:</u> All staff are properly trained All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	<u>Intended outcomes:</u> Focusing on our customers' needs Continuously improve our processes Increase the digital provision of services	<u>Intended outcomes:</u> Better return/use of our assets Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money
Impacts of Proposal		
None directly applicable	None directly applicable	The report relates to ongoing processes that contribute to continued cost management by helping to minimise financial loss through fraud, error and failure in duties to report circumstances impacting on entitlement to Council benefits and liability reductions.

4.2 **Supporting Strategies**

Each strand of the FFF strategy has a number of supporting Strategies, but direct reference to them is not necessary in considering the subject matter of this report.

4.3 **Changes to Existing Policies**

This section is not applicable.

4.3 **Impact Assessments**

This section is not applicable.

5. **Budgetary Framework**

There are no direct budgetary impacts arising.

6. **Risks**

Effective participation in the NFI reinforces the Council's measures for mitigating the risk of fraud.

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

- 7.1 There are no alternative options to participating in the NFI as it is a statutory requirement.

8. **Background**

- 8.1 The National Fraud Initiative (NFI) is a national inter-organisational data matching service developed by the Audit Commission but now managed by the Cabinet Office.
- 8.2 While the NFI has traditionally focused on housing benefit fraud as its main target area, recent years have seen pensions and council tax discount overtake housing benefits in terms of monetary value attributed to fraud and irregularities detected through its activities. Of the other areas targeted by NFI, those relevant to Warwick District Council are:
- council tax reduction (under local scheme)
 - employment
 - social housing tenancies
 - right to buy
 - social housing waiting lists
 - trade creditors
 - licensing (taxi and alcohol)
 - insurance claims.
- 8.3 To meet its obligations under the NFI, Warwick District Council is required to:
- extract and supply data to the managing body (now the Cabinet Office);
 - review and, where appropriate, investigate output referred back from the data matching processes and report the outcomes to the managing body.
- 8.4 To comply with law and best practice in handling and sharing personal information, the process is governed by a Code of Data Matching Practice adopted (and currently under review by) the Cabinet Office.
- 8.5 The Responsible Financial Officer has overall management responsibility for the NFI at each local authority. NFI operations at Warwick District Council are overseen by a member of Internal Audit as designated 'Key Contact'.
- 8.6 Results of NFI data matches are processed through a secure web-based application system. Only a small number of Council and contracted-in staff have access to this system and they are required to observe special data handling instructions in addition to the Council's policies on information security.


9 **NFI Outcomes**

- 9.1 The following table summarises the results to date for the 2016-17 round of the NFI alongside the final outcomes of the 2014-15 round for comparison. This is followed by explanatory notes where appropriate.

Match Type	No. of matches received	No. of matches processed	Outcomes 2016-17		Outcomes 2014-15	
			No. of cases of fraud/ error identified	Over-payments identified £	No. of cases of fraud/ error identified	Over-payments identified £
Housing Benefit	488	163	1	181	3	1,721
Payroll	40	40	1	-	Nil	-
Housing Tenants	209	206	Nil	-	4	-
Right to Buy	13	13	Nil	-	1	-
Taxi Drivers	7	5	Nil	-	Nil	-
Creditors – duplicate suppliers	158	158	3	-	12	-
Creditors – duplicate payment transactions	44	44	2	9,596.91 (incl. VAT)	1	9,208 (incl. VAT)
Creditors – VAT overpaid	148	148	Nil	-	Nil	-
Council Tax Discount	3,670	403	2	1,865	271	139,720
Waiting List	98	51	6	-	12	-
Council Tax Reduction	552	472	1	247	3	1,112

- 9.2 While the matches in relation to payroll and creditors have been processed by the Key Contact, the remaining matches have been assigned to two officers of the Council's fraud investigation partnership with Oxford City Council Investigation Service for review. The performance of the Partnership is due to be reported to Finance and Audit Scrutiny Committee later in November.
- 9.3 It should be emphasised that there is no strict requirement under the NFI to examine all matches processed and it is expected that match groups will be prioritised on a risk basis, especially where there are large numbers. This is particularly so in the case of the Housing Benefit, Council Tax Discount and Council Tax Reduction categories.
- 9.4 Although investigation of housing benefit fraud is now the responsibility of the Single Fraud Investigation Service (Department for Work and Pensions), the Cabinet Office advised that the Council is expected to 'sift' all NFI housing benefit matches initially.

- 9.5 The low proportion of Housing Benefit matches processed is due to risk-based prioritisation which has concentrated primarily on:
- matches flagged as recommended priority by the NFI;
 - other new matches (i.e. matches not repeated from previous NFI cycles).
- 9.6 What appears to be a substantial proliferation of Council Tax Discount matches is the result of a new report with 2,396 matches released in April 2017 in addition to the annual routine match reports. Unlike the routine reports which solely match council tax accounts to the electoral register, the new report comes from matching with a wide range of internal and external data, most predominantly blue badge and concessionary travel records held by Warwickshire County Council.
- 9.7 While the annual routine council tax matches to the electoral register are normally processed and referred back promptly by the NFI, those in the new report are based on data submitted almost 5 months before the matches were received. Such a time lapse often leads to false positives and creates additional work for staff.
- 9.8 The Council Tax Team periodically undertakes a review of all single person discount awards and now has access to additional data matching technology to assist with this process which will return more up to date information. A full single person discount review by the Team has been planned to begin in November, and a decision was made not to process the 2016 NFI matches per se to avoid duplication.
- 9.9 It was agreed, with the approval of the Head of Finance, that a more resource-effective way to deal with these matches would be to submit them for independent matching on the data intelligence solution used by the Oxford Investigation Service. The same approach is also envisaged for the next round of Council Tax Discount matches due in December.
- 9.10 The overpayment of £2,337 on one of the two duplicate creditor payments has been refunded and recovery of the remaining overpayment is still being pursued.

 FINANCE & AUDIT SCRUTINY		Agenda Item No. 6
Title	Review of Health & Community Protection Services Risk Register	
For further information about this report please contact	Marianne Rolfe , Head of Health & Community Protection Tel: 01926 456700 Email: Marianne.rolfe@warwickdc.gov.uk or Richard Barr, Audit & Risk Manager Tel: 01926 456815 email: richard.barr@warwickdc.gov.uk	
Wards of the District directly affected	Not applicable	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	Yes/No If yes state why	
Date and meeting when issue was last considered and relevant minute number	12 January 2016, Agenda Item No. 5 Finance & Audit Scrutiny Committee (last service risk register review)	
Background Papers	WDC risk management policy & guidelines	

Contrary to the policy framework:	Yes/No
Contrary to the budgetary framework:	Yes/No
Key Decision?	Yes/No
Included within the Forward Plan? (If yes include reference number)	Yes/No
Equality Impact Assessment Undertaken	Yes/No (If No state why below)
Not applicable as no direct service implications	

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	20/09/17	Chris Elliot/ Andrew Jones
Head of Service	20/09/17	Marianne Rolfe
CMT	20/09/17	Chris Elliot/ Andrew Jones
Section 151 Officer		Mike Snow
Monitoring Officer	20/09/17	Andrew Jones
Finance		Mike Snow
Portfolio Holder(s)	06/10/17	Cllr Andrew Thompson
Consultation & Community Engagement		
Final Decision?		Yes/No
Suggested next steps (if not final decision please set out below)		

1. **Summary**

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

2. **Recommendation**

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

3. **Reasons for the Recommendation**

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

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

FFF Strands		
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Impacts of Proposal		
Managed the risks associated with service delivery in order to ensure the delivery of the intended outcomes	Managed the risks associated with service delivery in order to ensure the delivery of the intended outcomes	Managed the risks associated with service delivery in order to ensure the delivery of the intended outcomes
Internal		
Effective Staff	Maintain or Improve Services	Firm Financial Footing over the Longer Term
<u>Intended outcomes:</u> All staff are properly trained	<u>Intended outcomes:</u> Focusing on our customers' needs	<u>Intended outcomes:</u> Better return/use of our assets

All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	Continuously improve our processes Increase the digital provision of services	Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money
Impacts of Proposal		
Managed the risks associated with service delivery in order to ensure the delivery of the intended outcomes	Managed the risks associated with service delivery in order to ensure the delivery of the intended outcomes	Managed the risks associated with service delivery in order to ensure the delivery of the intended outcomes

4.2 Supporting Strategies

Each strand of the FFF Strategy has several supporting strategies and the relevant ones for this proposal are contained within the WDC Risk Management Policy & Guidelines.

4.3 Changes to Existing Policies

No proposed changes to existing policies.

4.3 Impact Assessments – An impact assessment has not been carried out as this report does not require a change or amendment of policy.

5. Budgetary Framework

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

6. Risks

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

7. Alternative Option(s) considered

- 7.1 This report is not concerned with recommending a particular option in preference to others so this section is not applicable. In this section the reporting officer would set out the alternative options which have been considered before making their recommendation. This section is required because it is a requirement of any Executive decision taken to consider and record alternative options before taking the decision.

8. Responsibility for Risk Management

- 8.1 In its management paper "Worth the risk: improving risk management in local government", the Audit Commission sets out clearly the responsibilities of members and officers: "Members need to determine within existing and new leadership structures how they will plan and monitor the council's risk management arrangements. They should:
- decide on the structure through which risk management will be led and monitored;
 - consider appointing a particular group or committee, such as an audit committee, to oversee risk management and to provide a focus for the process;
 - agree an implementation strategy;
 - approve the council's policy on risk (including the degree to which the council is willing to accept risk);
 - agree the list of most significant risks;
 - receive reports on risk management and internal control – officers should report at least annually, with possibly interim reporting on a quarterly basis;
 - commission and review an annual assessment of effectiveness: and
 - approve the public disclosure of the outcome of this annual assessment, including publishing it in an appropriate manner.
- 8.2 The role of senior officers is to implement the risk management policy agreed by members. It is important that the Chief Executive is the clear figurehead for implementing the risk management process by making a clear and public personal commitment to making it work. However, it is unlikely that the Chief Executive will have the time to lead in practice and, as part of the planning process, the person best placed to lead the risk management implementation and improvement process should be identified and appointed to carry out this task. Other people throughout the organisation should also be tasked with taking clear responsibility for appropriate aspects of risk management in their area of responsibility."

9. Background

- 9.1 Executive agreed on 11th January 2012 that:
- a) Portfolio Holders should review their respective Service Risk Registers
 - b) quarterly with their service area managers.
 - c) Portfolio Holder Statements should include each service's top three risks.
 - d) Executive should note the process for the review by Finance & Audit
 - e) Scrutiny Committee of service risk registers.
 - f) The relevant Portfolio Holders should attend the Finance & Audit Scrutiny
 - g) Committee meetings at which their respective service risk registers are
 - h) reviewed.
- 9.2 The full framework endorsed by Executive at that meeting is set out as Appendix 3.
- 9.3 Risk registers are in place for all significant risks facing service areas in the provision of their services. In addition to service risk registers for all service areas there is the Significant Business Risk Register that contains the organisation's corporate and strategic risks (the latest version of this being presented to the January Executive meeting).

10 Health & Community Protection Service Risk Register

- 10.1 The latest version of the Health & Community Protection Risk Register is set out as Appendix 1A to this report. The register is regularly reviewed and updated.
- 10.2 Health & Community Protection also maintain a summary table as a supplement to the Risk Register to manage their key risks more closely. This is set out as Appendix 1B.
- 10.3 The scoring criteria for the risk register are subjective and are based on an assessment of the likelihood of something occurring, and the impact that might have. Appendix 2 sets out the guidelines that are applied.
- 10.4 In line with the traditional risk matrix approach, greater concern should be focused on those risks plotted towards the top right corner of the matrix whilst the converse is true for those risks plotted towards the bottom left corner of the matrix. If viewed in colour, the former-described set of risks are within the area shaded red, whilst the latter-described set of risks are within the area shaded green; the mid-range are in the area seen as yellow.
- 10.5 **Overview of Health & Community Protection Services Risk Management**
- 10.6 The Health & Community Protection Risk Register is owned and managed by the Portfolio Holder & the Health & Community Protection Management Team. The register is reviewed on a monthly basis by the Management Team and is discussed on a regular basis by Head of Health & Community Protection and Portfolio Holder at their one-to-one meetings.
- 10.7 Amendments to existing risks are made to the register as appropriate and when any new risks are identified. Any changes to risks are shown on the matrix attached as Appendix 1B, allowing officers to track the history of the risk and the impact of mitigation.
- 10.8 The Risk Register includes the significant business risks across the service; some of these are common across the service and others, given the broad range of services, are specific to a particular part of the service. Sitting beneath this Risk Register are a series of detailed risk assessments within each part of the service which identify the day to day risks which exist within the service. In general terms these are health & safety risks relevant to the type of service being provided. There are also the Service Area Crisis Plan and Business Continuity Plans which address emergency situations.
- 10.9 **Health & Community Protection Service Risks**
- 10.10 Health & Community Protection is responsible for the provision of a wide range of services. The risk register (Appendix 1A) includes generic risks at the start of the document. These are divided in to various categories. Service-specific risks are then listed, relevant to the various sections of the service.
- 10.11 There are 46 risks contained in the Risk Register; 24 are service-specific risks and 22 are generic risks. There are currently 1 risks in the "red zone". One risks has moved from the "red" to the yellow since the last review. The table in Appendix 1B summarises changes since the last review.
- 10.12 The three main risks within the service are considered to be:-

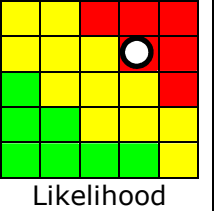
- **GR 1– staff resources and loss of key staff.** There are a number of reasons for this, not least the recent departmental restructure, carried vacancies (3 of which active recruitment is underway and 1 of which are awaiting persons to start their employment, 1 of which non active recruitment until the supervisor post is filled).
- **GR2 - Health and Safety risks to staff - evening/ night time enforcement, Lone working, staff safety, Injuries and abuse.** The recent lone worker audit commissioned by SMT has highlighted the risk officers face during lone working. The service as always felt that this is an area of higher risk due to the nature of the work of many of the officers within the service.
- **GD8 - Unable to meet levels of service expected.** The service has experiencing an increased workload in a number of areas due to the increase in workload that is also being experienced in other service areas. In addition the service is carrying a number of vacancies as outlined in GR1.

10.13 **Review of Risk Register by Members**

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

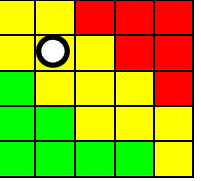
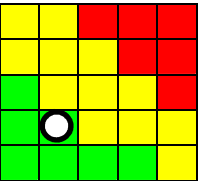
Health & Community Protection - Risk Register

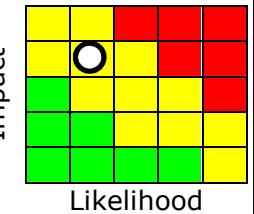
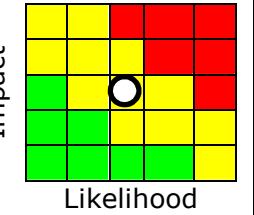
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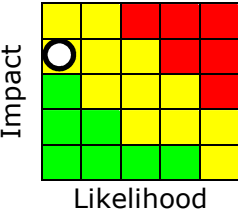
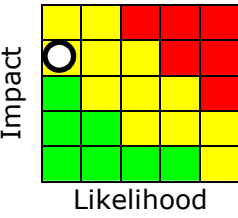
GENERIC – STAFF/HUMAN RESOURCES									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GR1	<p>Staff Resources - Loss of key staff/skills, Appointment & Retention, ill health and other emergencies.</p> <p>Staff Transitions, Settling in of restructure arrangements, vacant post</p>	<ul style="list-style-type: none"> • Ill health inc infectious disease outbreaks, stress • Staff turnover (finding work elsewhere, low pay, dissatisfaction, low morale, qualifications, poor working conditions, shortage of skilled staff, lack training opportunities, lack development opportunities, Redundancy, retirement) • Lack of key staff/knowledge. • Lack of adequate cover bank holidays/emergencies, including outbreaks/epidemics • Lack of succession planning and Unfilled Vacancies • External emergency situation (Flood, Act of Terrorism, Pandemic Flu, other hazard). • Retirements or other duties (elections) 	<ul style="list-style-type: none"> • Skills shortage. Unable to respond to service area matters. • Insufficient resources to maintain adequate service/ reduced service/ service failure • Lack of Proper officer/officer with delegated authority/officer with relevant certification/ qualifications available to progress workflow. • Failure to meet customer expectations • Failure to meet statutory requirements • Unable to respond to emergencies • Low staff morale. • Additional pressure on remaining staff • Loss of additional Key Staff. • Impacts on the Councils financial Profile. • Loss of IIP award. • Threat to business critical tasks. • Financial penalties. • Additional budgetary pressure if agency staff or overtime is required to fill the gap • Breach of working time directive. • Staff fatigue leading to increased risk of accident / stress /absence 	<ul style="list-style-type: none"> • Effective staff management, including stress management, one to ones/appraisals & staff development. • Supportive, equitable, transparent and consistent corporate culture. • Adherence to the principles, aims and objectives of Investors in People, the Health & Wellbeing Strategy and the Wellbeing Charter • Succession planning as part of Service Planning process. • Maintenance of competence, CPD, • Knowledge pairing within department. • Use of temporary staff as needed/appropriate • Effective monitoring of performance. • Enhance resilience by encouraging staff to train in additional competencies and certification, share knowledge. • Encourage phased retirement if appropriate to enable transfer of knowledge • Regular review of Business Continuity Plan 	DMT HR HHCP STL	<ul style="list-style-type: none"> • Awaited start of persons recruited (9th Oct) • Active recruitment process for 3 posts • One post not under active recruitment process at this time. 		ASAP	 <p>Decreased with current changes - inc restructuring, vacancy filling numbers. However posts filled in October.</p>

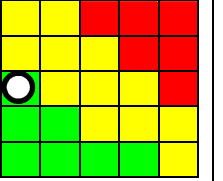
GENERIC – STAFF/HUMAN RESOURCES									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GR2	Health and Safety risks to staff - evening/ night time enforcement, Lone working, staff safety, Injuries and abuse.	<ul style="list-style-type: none"> Failure to implement safe systems of work Insufficient knowledge of required procedures Inadequate corporate systems in place System failure Lone working; Abusive applicants and disgruntled customers Exposure to drunk people, taxi drivers, publicans and customers Working outside daylight hours Condition of premise being visited 	<ul style="list-style-type: none"> Staff at risk from accidents etc. Injury to staff Risk of prosecution/ litigation Insurance claim/ compensation Loss of reputation Physical and verbal activities. Staff reduction due to ill health. Accident outcome may be worsened by not being able to readily summon aid Increased perception of peril leading to stress 	<ul style="list-style-type: none"> Competent Corporate Health & Safety staff in place. Work Procedures and use of Lone Worker system (Tunstall) Good health & safety practice through management system Training at induction and updating Risk assessments completed. Dynamic risk assessments undertaken. Staff awareness and training. Liaison with CCTV staff and Street Marshals. Use of radio system to remain in contact, panic alarms and torches. Support from specialist officers in locations where specific problems identified Office layout Regular review, use and update of Staff Alert List Updated ICE lists 	H&S Advisor CMT DMT HHCP	<ul style="list-style-type: none"> Introduction of Total mobile technologies Participation and lead in the lone worker review activities Re enforce use of the current system whilst reviews under way. 	Staff time	APR 18	
GR3	Driving for work (council and personal vehicles) – Accidents.	<ul style="list-style-type: none"> Poorly maintained vehicles Staff not trained in their responsibilities Stress/Tiredness Illness/ Medications 	<ul style="list-style-type: none"> Damage to vehicle or property Personal injury, Legal action, insurance claims etc. Convictions for driving poor maintained vehicles. Accidents/ Unable to work as result. 	<ul style="list-style-type: none"> Knowing where the council vehicles are. Regular maintenance and checks of council vehicles Staff training at commencement of job role. Effective health & safety controls and risk assessments Staff Provision of own insurance for Business use of personal vehicles 	DMT	Insurance and driving licence to be checked.	Staff Time	DEC 17	

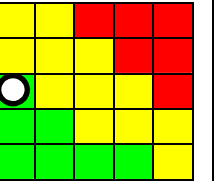
GENERIC – STAFF/HUMAN RESOURCES									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GR4	Home & Mobile working – poor service delivery level and health and safety risks present.	<ul style="list-style-type: none"> IT provision not working H&S risks not mitigated Appropriate level of service delivery not maintained Loss of staff buy in Condition of premises 	<ul style="list-style-type: none"> Inability to deliver work programme Legal challenge Customer expectation not met Poor staff welfare/increased stress/ Isolation Insurance claim Accident 	<ul style="list-style-type: none"> Effective H&S controls in place for work place assessment and lone working. Effective management of service delivery 	DMT HHCP	<ul style="list-style-type: none"> Introduction and development of total mobile systems 		MAR 18	<p>Impact</p> <p>Likelihood</p>
GR5	Inadequate training provided to staff	<ul style="list-style-type: none"> Lack of time/money to invest in training Budget pressures Non identified skills gaps 	<ul style="list-style-type: none"> Staff not skilled to provide service Wrong advice/decisions Non-compliance with statutory instrument where specific qualifications or delegations are required. Loss of IIP status. Loss of professional competence and thus ability to do role Legal challenge on decisions Complaints 	<ul style="list-style-type: none"> One to ones/appraisals personal development plans Legal support Budget for training Identify necessary training (via effective methods) 	DMT	<ul style="list-style-type: none"> Continuing use of RDNA and GRIP tools Ongoing work with external bodies to identify training need/free training. Food Law Code of Practice Competences Ongoing legal skills training to maintain competences 			<p>Impact</p> <p>Likelihood</p> <p>Food Officers completed food law competences. SMT Enforcement project. HCP training matrix and PDP training planner. Legal Skills enforcement training provided</p>
GR6	Failure to identify legislative changes	<ul style="list-style-type: none"> Staff not keeping up to date (awareness/ competence/ short notice implementation etc) Not being implemented or brought into force at proposed time. 	<ul style="list-style-type: none"> Statutory procedures not followed Reviews Complaints upheld Transfer of budgets to new statutory authority 	<ul style="list-style-type: none"> personal development plans Legal support Service planning Management practices Completing adequate training and CPD up to date Attendance at regional and county technical groups 	DMT				<p>Impact</p> <p>Likelihood</p>

GENERIC – INFRASTRUCTURE & ACCOMODATION									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GI1	Loss of IT and records Web-site Maintaining Computerised Systems and Records Integration of different software solutions	<ul style="list-style-type: none"> Loss of Building, Flood, Fire, external emergency situation affecting access Power and system Failures Contractor failure Data Corruption IT security issue Staff resources Sabotage, Malfunction, Hacking/malicious acts Poor Procedures, Ineffective computer systems for service needs. IT not able to rectify the problem Poor knowledge /understanding Broadband connections lost Loss of hardware Staff understanding of software and 'drives' 	<ul style="list-style-type: none"> Loss of access to data, Data loss. Operating systems not working Failure to meet customer expectations or to provide requested information Reduced service provision, failure to meet statutory requirements Unable to deliver online services Out of date information Adverse Publicity, Impacts on the Councils financial Profile. Systems not set up adequately resulting in additional work Unable to continue service Complaints & claims 	<ul style="list-style-type: none"> Emergency and Business Continuity Planning, including arrangements for Homeworking. Good procurement procedures and contract management Implementation of effective backing up and storage procedures. Introduction of checking systems. On-going training and engagement of staff Adequate training and resourcing of web authors and editors Regular review procedures and systems Insurance cover. 	SMT DMT ICT HHCP	<ul style="list-style-type: none"> Review number of web editors and provide required training 		Ongoing	 Refresher training on CIVICA app provided. Software testing activities provided. Phased integrations
GI2	Loss of accommodation/ Non availability of Office Building Non availability of CCTV control room	<ul style="list-style-type: none"> Flood, Fire, Gas explosion, Tempest etc. External emergency situation affecting access Power Failures 	<ul style="list-style-type: none"> Loss of access to data Loss of access to equipment and materials Restriction of service provision Danger to occupants. Non availability of service. Additional expenditure. Bad Publicity. Loss of records, IT equipment. 	<ul style="list-style-type: none"> Emergency and Business Continuity Planning and their regular review. Normal operating procedure. Homeworking availability 	SMT DMT				

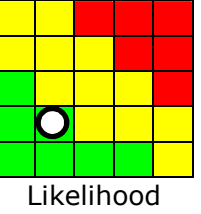
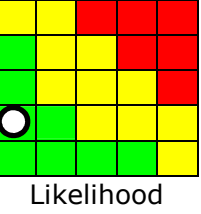
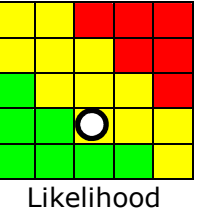
GENERIC – SUPPLIERS									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GS1	<p>Supplier failure or unable to provide services as agreed/ expected. I.e., royal mail, ADT, kennels.</p>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

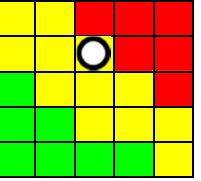
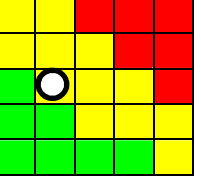
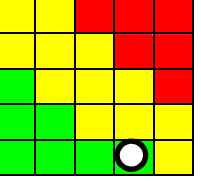
GENERIC – EMERGENCY SITUATIONS									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GE1	Increased demand on services due to Emergency situation; Emergency stops basic Council Operations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

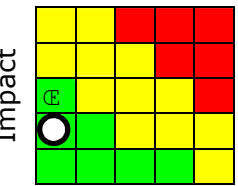
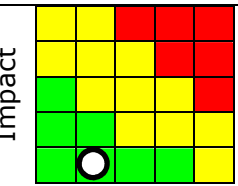
GENERIC – EMERGENCY SITUATIONS									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GE3	Ineffective Emergency preparedness	<ul style="list-style-type: none"> Failure of Officers to carry out parts/all of responsibilities under the WDC Duty Officer Role/Normal business duties. Officers unavailable to fulfil duties 	<ul style="list-style-type: none"> Loss of public confidence. Damage to property/environment in District. Ineffective use of resources. 	<ul style="list-style-type: none"> Training of staff for emergency situations. 24/7 Duty Officer role and Reserve Duty Officer, to offer support. Flood Plan. Continued Training and Exercising. Service Area Plans Business Continuity Plans Major Emergency Plan and standard operating procedures 	STL HHCP	<ul style="list-style-type: none"> Ongoing training of named staff Phased review of MEP, SOP etc in light of incidents 		APR 18	

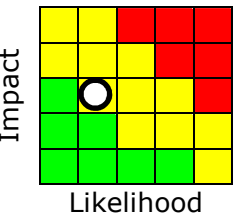
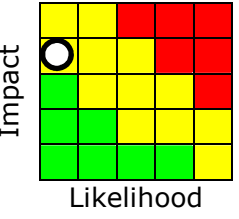
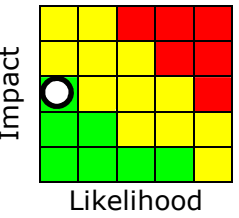
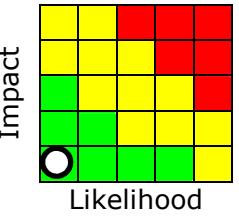
GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD1	Provision of incorrect/ poor quality information/ advice	<ul style="list-style-type: none"> Error in transferring information Staff error Insufficiently trained staff Confrontation Advice not fit for purpose Poor decision making 	<ul style="list-style-type: none"> Failure to meet customer expectations. Corporate /LGO Complaints dissatisfaction of customers. Reputational damage Poor working relationships Remedial actions and litigation costs Information Commissioner criticism or fine Staff stress Compensation claims 	<ul style="list-style-type: none"> Effective systems and procedures in place. Staff training and knowledge sharing Appraisals Performance monitoring Specialist area of Flood Engineering transferred to SLA with WCC. 	DMT	<ul style="list-style-type: none"> Contract monitoring of specialist SLA contractor 	Staff time	Ongoing	

GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD2	Possibility of Fraud/ Corruption	<ul style="list-style-type: none"> Insufficient finance and IT security controls in place. 	<ul style="list-style-type: none"> Loss of money Loss of reputation Legal action 	<ul style="list-style-type: none"> Abide by Finance and IT procedures and rules through effective internal management. Attendance of appropriate staff at training provided and refresher training Staff permissions/authorities/authorisations threshold limits 	SMT DMT				
GD3	Possibility of Non-compliant procurement Ineffective procurement	<ul style="list-style-type: none"> Lack of awareness of issues Deliberate act Poor standard of documentation produced upon which procurement is based Insufficient time allowed 	<ul style="list-style-type: none"> Legal challenge Loss of reputation Failure to achieve best value No commercial interest Bidder mistakes invalidating applications Failure to have contract in place 	<ul style="list-style-type: none"> Effective staff training and management of procurement processes Staff training Regular review of contracts register and forecast of future procurement needs. 	DMT	<ul style="list-style-type: none"> Continuing refresher training and training for new starters Continuing liaison with procurement 			
GD4	Failure to correctly monitor/ manage budgets Impact of the self-service system upon budget control	<ul style="list-style-type: none"> Insufficient staff training Pressure of work leading to insufficient resource being committed Expanding use of self-service systems 	<ul style="list-style-type: none"> Uncertainty for corporate budgets Unable to meet service commitments Monies coded to wrong budgets due to system of self service 	<ul style="list-style-type: none"> Regular budget monitoring Regular meetings with Finance Training of Budget Managers 	HHCP DMT	<ul style="list-style-type: none"> Continuing training and for new starters. Active monthly monitoring Testing of solution to miscoding through self serve 			<p>Manual adjustments replaced with solution.</p>

GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD5	Compliance with legal duty. / Failure to deliver service within statutory timescales/ Failure to meet requirements of civil contingencies act.	<ul style="list-style-type: none"> Insufficient resources Negligence Deliberate act Failure to understand or be aware of new/ changing legislation and regulations Staff workload, poor training, motivation, Inappropriate planning/preparedness works prior to event Failure of officers to carry out parts/ all of responsibilities under the WDC major incident plan and response. Scale of incident Temporary staff vacancy/seasonal shortages Long term absence/vacancy 	<ul style="list-style-type: none"> Legal challenge Compensation claims Loss of reputation and public confidence. Impact on resources and finances Reduced service effectiveness, poor customer service, impacts on motivation and stress levels, Damage to property/ environment in district Threat to life Public enquiry 	<ul style="list-style-type: none"> Sufficient resource of competent staff. Effective training and development for staff Effective management controls in place through service planning and monitoring Major Emergency Plan and Annual review. Training and exercising 24/7 duty officer role Flood plan Local resilience forum Adherence to best practice advice. Performance management Regular review of Business Continuity Plan 	DMT STL HHCP				
GD6	Not applying Equality and Diversity principles	<ul style="list-style-type: none"> Non-compliance with legal requirements Discrimination against group or person Policies not suitable 	<ul style="list-style-type: none"> Challenge by Govt Department or external agency Legal action and/or compensation claim by group or individual 	<ul style="list-style-type: none"> Staff training and awareness raising Regular review of Equality Impact assessments 	SMT DMT				 Staff attendance on EIA training.
GD7	Changes to Economic climate	<ul style="list-style-type: none"> National and International factors Changes in Govt policy which affect national and local issues Local factors affecting businesses 	<ul style="list-style-type: none"> Impact on service delivery generally either increase or decrease Loss of revenue, unexpected shortfall in budget surplus 	<ul style="list-style-type: none"> Service Planning and Business Continuity planning Budget monitoring 	CMT DMT				

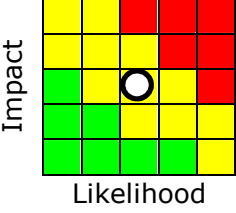
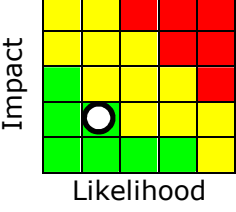
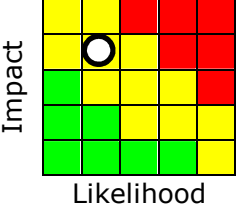
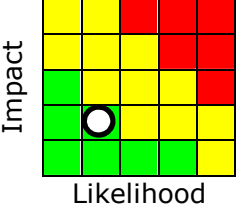
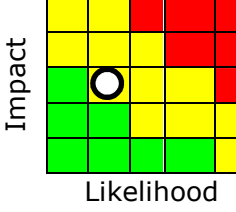
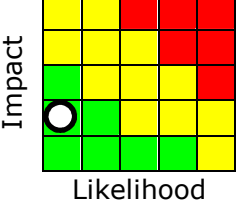
GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD8	Unable to meet levels of service expected Responding to statutory consultations within time HS2 workload	<ul style="list-style-type: none"> Insufficient staff Increase in demand from public or new work areas Pressure from external agencies Corporate issues Specific problem occurring in district e.g. pollution incident etc. New development e.g. impacting on contaminated land or noise, food poisoning outbreak Through unexpected surge / Increased workload HS2 workload 	<ul style="list-style-type: none"> Customer dissatisfaction Complaints to Ombudsman Reputational damage Stress on staff 	<ul style="list-style-type: none"> Service Planning Resource planning MoU with other Councils Stress Assessment One to one Meetings Open communication and discussion. Resources for planning application responses merged. Restructured service to address the changing demands. 	DMT	<ul style="list-style-type: none"> Review of service delivery methods Continue to review the resource requirement from HS2 Recruiting to the carried vacancies. Evidence being collated in order to evidence resource need. 		ongoing	
GD9	Failure to make progress on corporate and departmental priorities	<ul style="list-style-type: none"> Unable to provide sufficient resources to support these areas of work 	<ul style="list-style-type: none"> Reputation undermined due to failure to meet commitments that have been made publically. Refusal of staff to use cars Strike action 	<ul style="list-style-type: none"> Regular prioritisation of work through services and corporate meetings Managing expectations by publishing and sticking to realistic time scales Continually monitor workloads Open communication 	DMT				 <p>Decrease due to time passed since Terms and Conditions Review, restructure.</p>
GD10	Inappropriate third party disclosure Non-compliance with Sharing of Information Protocol	<ul style="list-style-type: none"> Personal information shared with individuals not party to the WSIP Information becoming public which should not be. Poorly trained staff. Loss or theft of equipment 	<ul style="list-style-type: none"> Legal Challenge Reputational damage to partnership working/ council Risk to vulnerable person increases Legal action and/or compensation claim by group or individual Failure of formal actions by council 	<ul style="list-style-type: none"> Check info going out under Freedom of Information Act. Training of appropriate staff Use of E-CINs software Mobile Device hardware locked to prevent unauthorised access to data. Administrative remote deactivation. Retention and disposal of records 	DMT SCM	<ul style="list-style-type: none"> Complete review of HCP retention policy 	Staff Time	MAR 18	

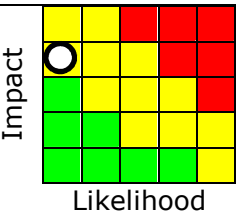
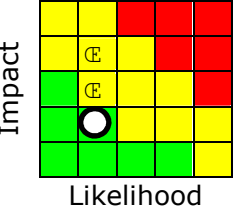
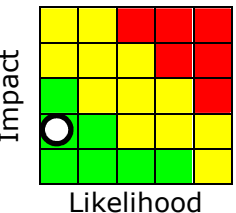
GENERIC – SERVICE DELIVERY									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
GD11	Failure to deliver projects to target	<ul style="list-style-type: none"> Lack of support after Public consultation. Non Commitment by the Council due to no financial allocations. Executive Committee delays. Poorly scoped project/programme Third party failure Support from other service areas 	<ul style="list-style-type: none"> Design delays resulting in Project slippage, impact on Service Delivery, the Council's Financial Profile, and Failure to Achieve Targets. Contracts not being assigned and started on time. Failure to meet corporate strategy. Failure to meet DDA and equality standards. Failure to deliver expected savings Failure to meet customer expectations 	<ul style="list-style-type: none"> Work Early with Members to gain Commitment. Resource management sufficient time in programme with SMART targets. Review of quality Manual to ensure compliance. Review the Equality & Diversity Impact Assessments Training requirements, having correct skills in team, and undertake duties aligned to experience. Outsource if in-house services cannot be provided in desired timescales. Appropriate training Effective management control and project management. Project management training 	HHCP DMT				 <p>No longer delivering construction projects May 2017</p>
GD12	Failure to maintain equipment calibration e.g. sound level meters, thermometers, test calibrators.	<ul style="list-style-type: none"> Human error missing the test dates. Equipment Company going out of business. Failure to follow work instructions. 	<ul style="list-style-type: none"> Inaccurate/unreliable data produced 	<ul style="list-style-type: none"> Work instructions Regular supervision of the calibration activities by supervisor Diarise calibration retests dates. 					

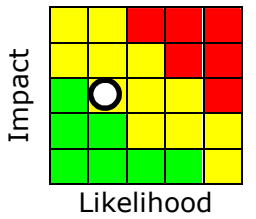
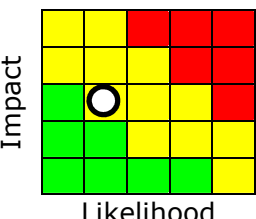
SERVICE SPECIFIC – SERVICE DELIVERY (REGULATORY)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SR 1	Inappropriate issue of licence/ misuse by licensee Failure to properly determine licence	<ul style="list-style-type: none"> Fraudulent application Poor staff training Out of date procedures Application of incorrect or out dated procedures 	<ul style="list-style-type: none"> Reputation Bad publicity Impact of challenges /appeals. 	<ul style="list-style-type: none"> Maintain accurate controls and vigilance Proactive monitoring of staff training needs. Continues monitoring and improvement of procedures. Consulting with other responsible bodies and the Licensing Officers. 	RM	<ul style="list-style-type: none"> Continuing Staff training & training of new starters Continuing Quality monitoring Continuing procedural review 			
SR 2	Incorrect conditions attached to licence	<ul style="list-style-type: none"> Staff error incorrect information provided 	<ul style="list-style-type: none"> Injury and Nuisance Reputation damage Bad publicity Impact of challenge/appeals 	<ul style="list-style-type: none"> Continues monitoring and improvement of procedures. Maintain accurate controls and vigilance Staff training Consulting with appropriate bodies 	RM	<ul style="list-style-type: none"> Continuing Staff training & training of new starters Quality monitoring scheme 			
SR 3	Failure to set appropriate fees	<ul style="list-style-type: none"> Incorrect record keeping failure to follow guidance failure to advertise fees legislative and case law changes 	<ul style="list-style-type: none"> legal challenge reputation damage 	<ul style="list-style-type: none"> Record keeping for time spent/ monies spent to allow accurate fee setting. Referral to guidance Use of well documented and challenged methodologies Staff training Councillor challenge of fees Advertisement of fees 	RM	<ul style="list-style-type: none"> Continuing Staff training & training of new starters Systems development to introduce time monitoring Annual review 			 <p>Historical 6 year review completed</p>
SR 4	Loss of Paper records	<ul style="list-style-type: none"> Fire, flood Incorrect disposal 	<ul style="list-style-type: none"> Loss of history, plans, of premises. 	<ul style="list-style-type: none"> Move to digital competed 	RM				 <p>Project to digitise records completed.</p>

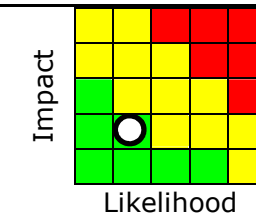
SERVICE SPECIFIC – SERVICE DELIVERY (REGULATORY)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SR 5	Failure to carry out routine/ reactive work Failure to deal with those failing to comply with licence conditions	<ul style="list-style-type: none"> Staff levels, capacity, Inadequate staff knowledge or experience Increase in reactive workload or required formal action Lack of respect by licence holders for the conditions of licence 	<ul style="list-style-type: none"> Failure to meet statutory targets Failure to act upon non compliance 	<ul style="list-style-type: none"> Prioritisation of workload to those businesses that are non-compliant. Incidents of mandatory nature prioritised. Fleet inspections of taxis Increased monitoring of taxis, premises through compliance inspections Routine fleet inspections Routine premises compliance inspections. Policies review completed for street trading, sex establishments, taxi trade in 2016. 	RM	<ul style="list-style-type: none"> Ongoing review of policies associated with licensing and procedures. 			<p>Completed historic</p>
SR 6	Incorrect FHRS management	<ul style="list-style-type: none"> Human error Poor staff training Out of date procedures Reference to out of date standards Software integration 	<ul style="list-style-type: none"> Reputation Bad publicity Appeals 	<ul style="list-style-type: none"> Maintain accurate controls and vigilance Proactive monitoring of staff training needs. Continuous monitoring and improvement of procedures. 	RM				
SR 7	Failure of Primary authority arrangements. Provision of poor or incorrect assured guidance	<ul style="list-style-type: none"> Staff Error Insufficiently trained staff. Failure to understand primary authority process and arrangements Advice not fit for purpose Poor decision making Poor service delivery 	<ul style="list-style-type: none"> Not meeting terms of primary authority arrangement Not recovering cost of the service provided Impact of advice implementation on business and WDC Poor reputation Revocation of arrangement 	<ul style="list-style-type: none"> Maintain accurate records Nominated named signatory for assured advice Advice provision monitoring Staff training Competency Professional development Effective systems and procedures. 	RM				
SR 8	Legal challenge to fee setting	<ul style="list-style-type: none"> Request from licence holder, previous licence holder or legal representative for evidence of six year accounts 	<ul style="list-style-type: none"> Unable to demonstrate that no profit or loss has been made for the services for which a fee is set. Unable to demonstrate that excess income was not entered into council funds rather than remaining ring-fenced. Refund licence holders 	<ul style="list-style-type: none"> Fee setting review annually Account review Contained within separate budget 	RM	<ul style="list-style-type: none"> Ongoing annual fee reviews review of animal licensing budgets 			

SERVICE SPECIFIC – SERVICE DELIVERY (REGULATORY)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
			the monies paid for six years. <ul style="list-style-type: none">• Legal challenge and costs associated						6 year review.

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

SERVICE SPECIFIC – SERVICE DELIVERY (SAFER COMMUNITIES)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
				assessments					
SS7	Unsuitable use of poisons	<ul style="list-style-type: none"> Access to the poisons room by other staff members Use of poisons New brands/change of bait type Change in legislation/guidance 	<ul style="list-style-type: none"> Poisonings of human/animal/ wildlife and environment Use of inappropriate poison 	<ul style="list-style-type: none"> Staff training COSHH assessments H&S procedures in place Locked storage 	SCM	<ul style="list-style-type: none"> Keeping up to date with changes in the legislation surrounding poison application. 			
SS 8	Identified Flood Alleviation Schemes unable to be delivered or supported	<ul style="list-style-type: none"> Lack of support after Public consultation. Non Commitment by the Council due to no financial allocations. Executive Committee delays. Refusal of Planning Permission. Staff resource 	<ul style="list-style-type: none"> Possible flooding events. 	<ul style="list-style-type: none"> Work Early with Members to gain Commitment. Joint Working with EA and WCC Engage suitable contractor to deliver projects. 	HHCP	<ul style="list-style-type: none"> Work in partnership with corporate assets team and head of housing 			 <p>Decrease as no current projects for delivery by WDC. However supporting those delivered by partners.</p>
SS 9	Breakdown of affiliated AURN monitoring station (Hamilton Terrace)	<ul style="list-style-type: none"> Loss of connectivity. Failure to carry out routine servicing. Vandalism/ fire or theft 	<ul style="list-style-type: none"> Loss of data. Loss of DEFRA contract. Removal of DEFRA equipment. 	<ul style="list-style-type: none"> Regular service schedule. Maintenance contract with specialist supplier. 	SCM EPTL				

SERVICE SPECIFIC – SERVICE DELIVERY (SAFER COMMUNITIES)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SS 10	Failure to maintain contaminated land database	<ul style="list-style-type: none"> Staff error Inaccurate identification of land Poor record maintenance Change or software and poor integration 	<ul style="list-style-type: none"> Impact on human health and/or environmental damage. Financial liability. Reputation. Development of land without appropriate remediation. Incorrect information provided to land charges Failure to identify land in planning applications 	<ul style="list-style-type: none"> Keeping database up to date. Effective assessment of relevant planning applications. Staff training Effective integration of data 	SCM EPTL				
SS 11	Failure to improve air pollution (NO2) levels	<ul style="list-style-type: none"> NO2 levels continue to exceed EU standards Failure to deliver air quality action plans 	<ul style="list-style-type: none"> Potential EU infringement fines against the UK are likely to be passed on to local authorities 	<ul style="list-style-type: none"> Partnership working with WCC to reduce traffic congestion in town centres Ongoing local air quality monitoring 2015 Action Plan adopted 	SCM EPTL	<ul style="list-style-type: none"> Continuous working in partnership with WCC and PHE to deliver air quality action plan 			

SERVICE SPECIFIC – SERVICE DELIVERY (COMMUNITY PARTNERSHIP)									
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
SC1	Informal Partnership working with WCC fails	<ul style="list-style-type: none"> Staff integration Reduced funding Reduced support Policy changes at WCC or WDC Further WDC restructure 	<ul style="list-style-type: none"> Reduced resources available Reduced service level and or quality Reduced support for communities 	<ul style="list-style-type: none"> Regular dialogue & monitoring Regular review of policy and changes 	CPTM	<ul style="list-style-type: none"> Revising and developing new partnerships 			 <p>Decrease due to Informal partnership in place for 18+ months</p>

SC2	<div>Failure to or delay in payments to grants recipients</div> <div>Incorrect amounts paid</div>	<div>Untrained staff</div> <div>Loss of key staff</div> <div>Inaccurate data</div> <div>Lack of planning</div> <div>Resource Capacity</div> <div>Failure of the payment system</div> <div>Forget to make payment</div>	<div>Grant recipients distressed</div> <div>Community activities stopped or delayed due to financial shortfall</div> <div>Negative publicity</div>	<div>Monthly monitoring of budgets against SLA's</div> <div>Trained staff</div> <div>Forward planning</div>	CPTM					<div>Impact</div> <div><div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div></div><div></div><div></div><div></div><div></div></div><div><div><div></div><div></div><div></div><div></div><div></div></div></div></div><div>Likelihood</div></div></div></div></div></div>
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Key:
CMT = Corporate Management Team
CPTM = Community Partnership Team Manager
DMT = Departmental Management Team
ESTL = Environment Protection Team Leader
HHCP = Head of Health and Community Protection
RM = Regulatory Manager
SCM = Safer Communities Manager
SMT = Senior Management Team
STL = Service Team Leader

Generic																					
		Oct 2016	Nov 2016	Dec 2016	Jan 2017	Feb		Mar		Apr	May	Jun	Jul	Aug		Sept Annual Review (Peer etc)	Oct	Nov	Nov Portfolio Holder review	Dec	Jan 2017
GR1.	Staff Resources - Loss of key staff/skills, Appointment & Retention, ill health and other emergencies. HCP restructure, Staff Transitions						PH Review		PH Review						PH Review	Risk Decrease - Recruitment to vacant posts. Officers not yet in post (october)					
GR2.	Health and Safety risks to staff - evening/ night time enforcement, Lone working, staff safety, Injuries and abuse.																				
GR3.	Driving for work (council and personal vehicles) – Accidents.																				
GR4.	Home & Mobile working – poor service delivery level and health and safety risks present.																				
GR5.	Inadequate training provided to staff		Training Provided																		
GR6.	Failure to identify legislative changes																				
GI1.	Loss of IT and records Web-site Maintaining Computerised Systems and Records Integration of different software solutions																				
GI2.	Loss of accommodation/ Non availability of Office Building																				
GS1	Impact of climate change on service delivery																				
GS2	Failure of other WDC/ partners/ stakeholders department to provide services as agreed / expected (neighbourhood/ property)																				
GE1	Increased demand on services due to Emergency situation; Emergency stops basic Council Operations																				
GE2	Widespread disaster beyond local capabilities to cope and reasonable attempts to plan																				
GE3	Ineffective Emergency preparedness																				
GD1	Provision of incorrect/ poor quality information/ advice																				
GD2	Possibility of Fraud/ Corruption																				
GD3	Possibility of Non-compliant procurement Ineffective procurement																				
GD4	Failure to correctly monitor/ manage budgets Impact of the self service system upon budget control									Decreased Risk – Implemented a solution (under test)											
GD5	Compliance with legal duty. / Failure to deliver service within statutory timescales/ Failure to meet requirements of civil contingencies act.																				
GD6	Not applying Equality and Diversity principles																				
GD7	Changes to Economic climate																				
GD8	Unable to meet levels																				

	of service expected																			
GD9	Failure to make progress on corporate and departmental priorities													Decreased Risk						
GD10	Inappropriate third party disclosure Non-compliance with Sharing of Information Protocol																			
GD11	Failure to deliver projects to target e.g. complete design and construction projects on time	Completed Construction projects																		
GD12	Failure to maintain calibration of equipment																			
	SPECIFIC																			
SR1	Inappropriate issue of licence/ misuse by licensee Failure to properly determine licence																			
SR2.	Incorrect conditions attached to licence																			
SR3	Failure to set appropriate fees		Approved & Review completed																	
SR4	Loss of Paper records	Project Completed																		
SR5	Failure to carry out routine/ reactive work Failure to deal with those failing to comply with licence conditions																			
SR6	Incorrect FHRS management																			
SR7	Failure of Primary authority arrangements. Provision of poor or incorrect assured guidance																			
SR8	Legal challenge to fee setting																			
SS1	Non-compliance with Section 17 of the Crime & Disorder Act (1998)																			
SS2	Provision of incorrect information to police or other agencies																			
SS3	Reduced Funding for Community Safety Partnership Initiative																			
SS4	Loss of power to CCTV & Control room																			
SS5	Effectiveness of Dog Service																			
SS6	Theft of council pest control vehicles																			
SS7	Unsuitable use of poisons																			
SS8	Identified Flood Alleviation Schemes unable to be delivered or supported									SLA introduced					Decreased risk					
SS9	Breakdown of affiliated AURN monitoring station (Hamilton Terrace)																			
SS10	Failure to maintain contaminated land database																			
SS11	Failure to improve air pollution (NO2) levels																			
SC1	Informal Partnership working with WCC fails														Decreased Risk					
SC2	Failure to or delay in payments to grants recipients Incorrect amounts paid																			

Methodology for assessing risk: Criteria for scoring residual risk rating

Probability of Occurrence

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

Consequences

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

Risk Management Framework: Engagement of Members

Endorsed by Executive 11th January 2012

Executive

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


Finance & Audit Scrutiny Committee

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

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

Portfolio Holders

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

 Finance & Audit Scrutiny Committee – 31 October 2017		Agenda Item No. 7
Title	Comments from the Executive	
For further information about this report please contact	Amy Barnes Senior Committee Services Officer 01926 456114 committee@warwickdc.gov.uk	
Wards of the District directly affected	n/a	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	n/a	
Background Papers	Executive – 08.02.2017	

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

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive		
Head of Service		
CMT		
Section 151 Officer		
Monitoring Officer	19/10/2017	Andrew Jones
Finance		
Portfolio Holder(s)		
Consultation & Community Engagement		
n/a		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below)		

1. **Summary**

- 1.1 This report summarises the Executive's response to comments given by the Finance & Audit Scrutiny Committee on reports submitted to the Executive on 27 September 2017.

2. **Recommendation**

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

3. **Reasons for the Recommendation**

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

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

FFF Strands		
People	Services	Money
External		
Health, Homes, Communities	Green, Clean, Safe	Infrastructure, Enterprise, Employment
<u>Intended outcomes:</u> Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	<u>Intended outcomes:</u> Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	<u>Intended outcomes:</u> Dynamic and diverse local economy Vibrant town centres Improved performance/productivity of local economy Increased employment and income levels
Impacts of Proposal		
Nil	Nil	Nil
Internal		
Effective Staff	Maintain or Improve Services	Firm Financial Footing over the Longer Term
<u>Intended outcomes:</u> All staff are properly trained All staff have the appropriate tools	<u>Intended outcomes:</u> Focusing on our customers' needs Continuously improve our processes	<u>Intended outcomes:</u> Better return/use of our assets Full Cost accounting Continued cost

All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	Increase the digital provision of services	management Maximise income earning opportunities Seek best value for money
Impacts of Proposal		
Nil	Nil	Dialogue between Scrutiny and Executive enables robust decision making and ensures all elements of the proposal are taken into account.

4.2 **Supporting Strategies**

Each strand of the FFF Strategy has several supporting strategies; however, this report is for governance purposes. It is important that when the Executive has not accepted a recommendation by the Scrutiny Committee, an explanation is provided.

4.3 **Changes to Existing Policies**

There are no changes to existing policies.

4.4 **Impact Assessments**

There are no new policy changes in respect of equalities.

5. **Budgetary Framework**

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

6. **Risks**

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

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

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

8. **Background**


- 7.1 As part of the scrutiny process, the Committee no longer considers the whole of the Executive agenda.
- 7.2 Councillors are emailed at the time of the publication of the Executive and Scrutiny Committee agendas, asking them to contact Committee Services by 9.00 am on the day of the Scrutiny Committee, to advise which Executive items they wish the Scrutiny Committee to pass comment on and the reasons why.

- 7.3 As a result, at its meeting on 4 April 2017, the Finance & Audit Scrutiny Committee considered the items detailed in the appendices. The responses which the Executive gave are also shown.

Responses from the meeting of the Executive held on 27 September 2017 to the Finance and Audit Scrutiny Committee's comments

Item no	3	Title	Fees and Charges 2018/19
Scrutiny Comment	The Finance & Audit Scrutiny Committee supported the recommendations in the report.		
Executive Response	The Executive noted the support.		

Item no	7	Title	Risk Management Annual Report 2016-17
Scrutiny Comment	The Finance & Audit Scrutiny Committee supported the recommendations in the report.		
Executive Response	The Executive noted the support.		

 Finance & Audit Scrutiny Committee – 31 October 2017		Agenda Item No. 8
Title	Review of the Work Programme & Forward Plan	
For further information about this report please contact	Amy Barnes Senior Committee Services Officer 01926 456114 committee@warwickdc.gov.uk	
Wards of the District directly affected	n/a	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	n/a	
Background Papers	n/a	

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

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive		
Head of Service		
CMT		
Section 151 Officer	19/10/2017	Andrew Jones
Monitoring Officer		
Finance		
Portfolio Holder(s)		
Consultation & Community Engagement		
n/a		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below)		

1. **Summary**

- 1.1 This report informs the Committee of its work programme for 2017/18 (Appendix 1) and the current Forward Plan (Appendix 2).

2. **Recommendation**

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

3. **Reasons for the Recommendation**

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

4. **Policy Framework**

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

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<u>Intended outcomes:</u> Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	<u>Intended outcomes:</u> Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	<u>Intended outcomes:</u> Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels

Impacts of Proposal		
Nil	Nil	Nil
Internal		
Effective Staff	Maintain or Improve Services	Firm Financial Footing over the Longer Term
<u>Intended outcomes:</u> All staff are properly trained All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	<u>Intended outcomes:</u> Focusing on our customers' needs Continuously improve our processes Increase the digital provision of services	<u>Intended outcomes:</u> Better return/use of our assets Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money
Impacts of Proposal		
Nil	Nil	Dialogue between Scrutiny and Executive enables robust decision making and ensures all elements of the proposal are taken into account.

4.2 **Supporting Strategies**

Each strand of the FFF Strategy has several supporting strategies; however, this report is for governance purposes. Members need to be mindful of the objectives above, when deciding what topics to add to the work programme.

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

4.3 **Changes to Existing Policies** - There are no changes to existing policies.

4.3 **Impact Assessments** – There are no new policy changes in respect of equalities.

5. **Budgetary Framework**

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

6. **Risks**

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

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

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

8. **Background**

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

Finance and Audit Scrutiny Committee WORK PROGRAMME 2017/18

31 October 2017

1	Service Risk Register Review (Health & Community Protection)	Audit Item	Marianne Rolfe
2	Significant Business Risk Register	Audit Item	Richard Barr
3	National Fraud Initiative Update	Audit Item	Ian Wilson

28 November 2017

1	Internal Audit Quarter 2 2017/18 Progress Report	Audit Item	Richard Barr
2	Annual Governance Statement Qtr 2 Action Plan Report	Audit Item	Richard Barr
3	Treasury Management Half Year Review	Audit Item	Karen Allison
4	Update on Corporate Fraud Team	Scrutiny Item	Mike Snow / Andrea Wyatt

3 January 2018

1	Contracts Register – Chief Executive	Scrutiny Item	Chris Elliott
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6 February 2018

1	Service Risk Register Review (Cultural Services)	Audit Item	Head of Service
2	Significant Business Risk Register	Audit Item	Richard Barr

6 March 2018

1	Internal Audit Quarter 3 2017/18 Progress Report	Audit Item	Richard Barr
2	Annual Governance Statement Qtr 3 Action Plan Report	Audit Item	Richard Barr

4 April 2018

2	Internal Audit Strategic Plan (2018/19 to 20/20/21 plan)	Audit Item	Richard Barr
3	Procurement Strategy Annual Review	Audit Item	John Roberts
4	2018/19 External Audit Plan	Audit Item	Mike Snow
5	End of Term Report	Scrutiny	Amy Barnes /

Appendix 1

		item	Chair
6	Health & Community Protection – Contracts Register	Scrutiny Item	Marianne Rolfe

30 May 2018

1	Annual Governance Statement	Audit Item	Richard Barr
2	Internal Audit Quarter 4 Progress Report	Audit Item	Richard Barr
4	Service Risk Register Review (Finance)	Audit Item	Rob Hoof
1	Significant Business Risk Register	Audit Item	Richard Barr

June 2018

1	Treasury Management Annual report	Audit Item	Karen Allison
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Warwick District Council Forward Plan November 2017 to January 2018

**Councillor Andrew Mobbs
Leader of the Executive**

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

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

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

If you would like to make representations or comments on any of the topics listed below, including the confidentiality of any document, you can write to the contact officer, as shown below, at Riverside House, Milverton Hill, Royal Leamington Spa, Warwickshire, CV32 5HZ. Alternatively you can phone the contact officer on (01926) 456114. If your comments are to be referred to in the report to the Executive or Committee they will need to be with the officer 7 working days before the publication of the agenda. You can, however, make comments or representations up to the date of the meeting, which will be reported orally at the meeting. The Forward Plan will be updated monthly and you should check to see the progress of the report you are interested in.

(907)

Section 1 – The Forward Plan November 2017 to January 2018

Topic and Reference	Purpose of report	If requested by Executive – date, decision & minute no.	Date of Executive, Committee or Council meeting	Publication Date of Agendas	Contact Officer & Portfolio Holder	External Consultees/ Consultation Method/ Background Papers
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29 November 2017

12 Month Review of New Housing Allocations Policy (Ref 858)	To review the working of the new Housing Allocations Policy.		Executive 29/11/2017	21/11/2017	Ken Bruno Cllr Phillips	
General Fund Base Budgets 2018/19 to include Budget Review for the current year and FFF update (Ref 877)	To consider the following year revenue budgets for the General Fund and update Members on the latest Budgets for 2017/18 and Fit for the Future (FFF) update.		Executive 29/11/2017	21/11/2017	Marcus Miskinis Cllr Whiting	
HRA Base Budgets 2018/19 (Ref 878)	To consider the following year revenue budgets for the HRA and update Members on the latest position for the current year.		Executive 29/11/2017	21/11/2017	Andrew Rollins Cllr Phillips	
Consideration of a Hackney Carriage Vehicle Limitation Policy (Ref 851)	To update members on the results of the WDC Hackney Carriage Unmet Demand Survey and: Meeting 1 – Introduce highlights of survey and propose a 6 week consultation on recommended options outlined in the survey. Meeting 2 – Update on the consultation & determine any		Executive 29/11/2017	21/11/2017	Lorna Hudson Cllr Thompson	Taxi trade, local business, safer communities, disability, equality and other local group representatives, Town Councils, Police. Questionnaire on website/email.

	change to policy, following the consultation.					CTS Traffic & Transportation Final Report - July 2016 Licensing & regulatory Committee 25/9/2017
Corporate Apprenticeships Funding (Ref 903)	To consider the funding for the corporate apprenticeship scheme		Executive 1/11/2017 29/11/2017	21/11/2017	Elaine Priestley Cllr Mobbs	

December 2017 – No scheduled Executive meetings at this time

4 January 2018 – No items planned for consideration at this time

Re-commissioning of services provided by the Voluntary and Community Sector 2018-2021 and review of VCS investment (Ref 884)	For members to approve the tender specification for the re-commissioning of VCS services for 2018-2021 and to approve the recommendations for savings relating to the Council's investment in the VCS within the H&CP budget for 2018 – 19. (It is anticipated that part or all of this report will be considered in confidential session by the Executive because it contains information relating to the financial or business affairs of any particular person (including the authority holding that information))		Executive 29/11/2017 Reason 5 4/1/2018	19/12/2018	Liz Young Cllr Thompson	To follow
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Revisions to the Constitution/ Delegation Agreement (Ref 819)	To request revisions to the Constitution/ Delegation Agreement with regard to the determination of Planning Applications.		Executive 4/1/2018	19/12/2018	Tracy Darke/Gary Fisher Cllr Rhead	
Business Improvement District Leamington (Ref 906)	To receive an update on the renewal process for Leamington Spa BID		Executive 4/1/2018	19/12/2018	Suzee Laxton Cllr Butler	

Section 2 Key decisions which are anticipated to be considered by the Council between February and April 2018

Topic and Reference	Purpose of report	If requested by Executive – date, decision & minute no.	Date of Executive, Committee or Council meeting	Publication Date of Agendas	Contact Officer & Portfolio Holder	External Consultees/ Consultation Method/ Background Papers
7 February 2018						
General Fund 2018/19 Budgets & Council Tax (Ref 885)	To update Members on the overall financial position of the Council, consider the General Fund Revenue and Capital Budgets for the following financial Year. To propose the Council Tax for the following year		Executive 7/2/2018	30/1/2018	Mike Snow Cllr Whiting	
HRA Rent Setting 2018/19 (Ref 886)	To report on the proposed level of Housing Rents for the following year and the proposed budget		Executive 7/2/2018	30/1/2018	Mike Snow Cllr Phillips	
Heating, Lighting and Water Charges 2018/19 – Council Tenants (Ref 887)	To propose the level of recharges to council housing tenants to recover the costs of communal heating, lighting and water supply		Executive 7/2/2018	30/1/2018	Mike Snow Cllr Phillips	
Treasury Management Strategy (Ref 888)	To seek member approval of the Treasury Management Strategy and Investment Strategy for the		Executive 7/2/2018	30/1/2018	Mike Snow Cllr Whiting	

	forth coming year					
7 March 2018						
One Stop Shop Business Case (Ref 894)	Provide a Business Case to ensure that the shared One Stop Shop Service is in line with Warwick District Council's ICT & Digital Strategy 2015-19		Executive 7/3/2018	27/2/2018	Graham Folkes-Skinner Cllr Grainger	
Car Park Strategy (Ref 895)	To seek approval for the proposed car parking strategy 2018-2028		Executive 7/3/2018	27/2/2018	Paul Garrison Cllr Grainger	

Section 3 Key decisions which are anticipated to be considered by the Council but the date for which is to be confirmed

Topic and Reference	Purpose of report	History of Committee Dates & Reason code for deferment	Contact Officer & Portfolio Holder	Expansion on Reasons for Deferment	External Consultees/ Consultation Method/ Background Papers	Request for attendance by Committee
Council Development Company (Ref 727)	To consider a report on establishing a Council Development Company.	Executive 9/3/2016 2/6/2016 29/6/2016 Reasons 1 & 2	Bill Hunt Cllr Phillips	Awaiting further information on the implications of the Housing & Planning Act.		
Leisure Development – Phase II (Kenilworth) (Ref 803)	To agree the scope of Phase II.	Executive 28/9/2016 Reason 5	Rose Winship Cllr Coker			

HRA Asset Management and Development Policy (Ref 829)			Bill Hunt Cllr Phillips			
Recording and Broadcasting of Public Meetings (Ref 840)	To inform members of the research into the potential to record and broadcast all Council meetings as per the Notice of Motion to Council.	Council 29/6/2016 Executive 5/1/2017 8/2/2017 Reason 3	Graham Leach Cllr Mobbs	Currently being investigated in tandem with Council Chamber PA issues.		
Councillors IT (Ref 841)	To report back on the work of the Councillor IT Working Party.	Executive 5/1/2017 8/2/2017 Reason 3	Graham Leach Cllr Mobbs	Awaiting the outcome of Members' Allowances Review.		
WDC Enterprise – New Trading Arm (Ref 817)	To seek approval to establish a Local Authority Trading Company, to expand support provision whilst capitalising on existing skills to maximise income.	Executive 2/11/2016 Reason5 5/1/2017 Reason5 8/2/2017 Reason 5	Gayle Spencer Cllr Butler			
Events Review (Ref 832)	To review the provision and support of events in the District.	Executive 8/3/2017 Reason 4	James DeVile Cllr Butler			
HQ Relocation Project – outcome of phase 1 work (Ref 801)	To consider the outcomes of the phase 1 work and, if appropriate, seek approval for commencement of the phase 2 delivery works.	Executive 26/07/2017 Reason 3	Bill Hunt Cllrs Mobbs, Whiting, Rhead, Butler, Grainger	Timing is dependent on the completion of the planning, marketing and procurement processes.		
Proposed Relocation of Kenilworth School (Ref 869)	To agree the Council's level of support in enabling the school to take its proposals forward.	Executive 28/06/2017 Reason 3	Andrew Jones Cllr Mobbs			

Policy on Regulating the Private Rented Sector (Ref 880)	To adopt a revised policy on private rented sector regulation in light of new legislation and guidance.		Ken Bruno Cllr Phillips	Awaiting the publication of government guidance.		
Linen Street Car Park (Ref 861)	To consider recommendations for redevelopment for the Linen Street Car Park facility	Executive 28/06/2017 Reason 3	Paul Garrison Cllr Grainger			Ward Councillors
Leamington Cemetery North Lodge (Ref 828)	To review the future use of Leamington Cemetery North Lodge.	Executive 4/4/2017 28/06/2017 31/08/2017 Reason 3	Rob Hoof Cllr Grainger			
Corporate Asset Management Strategy (Ref 641)	To propose an Asset Management Strategy for all the Council's buildings and land holdings.	Executive 29/6/2016 Reason 5 1/9/16 Reasons 3 & 5 5/1/2017 Reasons 3 & 5 8/2/2017 Reasons 3 & 5 26/07/2017 Reasons 3 & 5 31/8/2017 Reason 3	Bill Hunt Cllrs Mobbs, Butler, Grainger, Coker & Whiting			
Leamington Spa Car Parking Displacement Plan (Ref 844)	To set out the options available should vehicles be displaced from Covent Garden car park and to consider alternative parking options within Leamington Town Centre.	Executive 4/4/2017 Reason 2 31/08/2017 Reason 3 27/9/2017 Reason 5	Gary Charlton Cllr Grainger			

Section 4 – Items which are anticipated to be considered by the Executive but are NOT key decisions						
Topic and Reference	Purpose of report	If requested by Executive – date, decision & minute no.	Date of Executive, Committee or Council meeting	Publication Date of Agendas	Contact Officer & Portfolio Holder	External Consultees/ Consultation Method/ Background Papers

29 November 2017

Rural Urban Community Initiative Scheme Applications	To consider applications for Rural and Urban Initiative Grants.		Executive 29/11/2017	21/11/2017	Jon Dawson Cllr Whiting	
Internal Audit Quarter 2 Progress Report	To review progress in achieving the Audit Plan.		Executive 29/11/2017	21/11/2017	Jon Dawson Cllr Whiting	

December 2017 – No scheduled Executive meetings at this time.

4 January 2018

Rural Urban Community Initiative Scheme Applications	To consider applications for Rural and Urban Initiative Grants.		Executive 4/1/2018	21/12/2017	Jon Dawson Cllr Whiting	
Review of Significant Business Risk Register	To inform Members of the Significant Risks to the Council		Executive 4/1/2018	21/12/2017	Richard Barr Cllr Mobbs	

7 February 2018

Rural Urban Community Initiative Scheme Applications	To consider applications for Rural and Urban Initiative Grants.		Executive 7/2/2018	30/1/2018	Jon Dawson Cllr Whiting	
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7 March 2018 - No scheduled reports at this time.

Delayed reports:

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

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

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

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