

Finance and Audit Scrutiny Committee

Tuesday 25 September 2018

A meeting of the Finance and Audit Scrutiny Committee will be held at the Town Hall, Royal Leamington Spa on Tuesday 25 September 2018 at 6.00pm.

Membership:

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

Emergency Procedure

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

Agenda

Part A – General Items

1. Apologies and Substitutes

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

2. Declarations of Interest

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

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

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

3. Minutes

To confirm the minutes of the meeting held on 29 August 2018 **(To follow)**

Part B - Audit Items

4. Statement of Accounts 2017/18

To consider a report from Finance

(To follow)

Part C – Scrutiny Items

5. Scrutiny of Service Area Performance – Neighbourhood Services

To consider a report from Neighbourhood Services

(Pages 1 - 54)

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

To consider a report from Civic & Committee Services **(Pages 1 to 6)**

7. Executive Agenda (Non Confidential Items and Reports) – Wednesday 26 September 2018

To consider the non-confidential items on the Executive agenda which fall within the remit of this Committee. The only items to be considered are those which Committee Services have received notice of by 9.00am on the day of the meeting.

**You are requested to bring your copy of that agenda to this meeting.
(Circulated separately)**

8. Public and Press

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

9. Executive Agenda (Confidential Items and Reports) – Wednesday 26 September 2018

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)**

Agenda published Monday 17 September 2018

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&ascrutinycommittee@warwickdc.gov.uk

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

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.

 Finance and Audit Committee September 25th 2018		Agenda Item No. 5
Title	Neighbourhood Services – Service Review	
For further information about this report please contact	Rob Hoof Head of Neighbourhood Services Robert.hoof@warwickdc.gov.uk 01926 456302	
Wards of the District directly affected		
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	NA	
Background Papers	NA	

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

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	13/9/18	Chris Elliott
Head of Service	13/9/18	Rob Hoof
CMT	13/9/18	Bill Hunt
Section 151 Officer	13/9/18	Mike Snow
Monitoring Officer	13/9/18	Andrew Jones
Finance	13/9/18	Mike Snow
Portfolio Holder(s)	13/9/18	Cllr Moira-Ann Grainger
Consultation & Community Engagement		
NA		
Final Decision?		NA
Suggested next steps (if not final decision please set out below)		

1. **Summary**

- 1.1 This report brings together the Neighbourhood Services contract register, risk register and budget.

2. **Recommendation**

- 2.1 That Finance and Audit Committee should review the Neighbourhood Services contract register, risk register and budget.

3. **Reasons for the Recommendation**

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

- 3.2 Neighbourhood services are presenting a report to the Finance and Audit Scrutiny Committee that brings together:

- Neighbourhood Services risk register
- Neighbourhood Services contract register
- Neighbourhood Services budget outline

3.3 Risk Register

- 3.3.1 The latest version of the risk register is set out as Appendix A to this report.

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

- 3.3.3 In line with the traditional risk matrix approach, greater concern should be focused on those risks plotted towards the top right corner of the matrix whilst the converse is true for those risks plotted towards the bottom left corner of the matrix. If viewed in colour, the former-described set of risks are within the area shaded red, whilst the latter-described set of risks are within the area shaded green; the mid-range are in the area seen as yellow.

- 3.3.4 Neighbourhood services are responsible for a wide range of services which consequently lead to a number of potential risks. There are 59 risks contained in the risk register.

- 3.3.5 There are 19 risks rated "green", 35 rated "amber", and 5 rated "red", in accordance with the Council's risk scoring matrix. As with all the risks in the register, it is the controls and mitigations that are being undertaken to control the risks that are of importance. These reflect the tangible actions over which there is more control.

3.4 Contract Register

- 3.4.1 The latest version of the Neighbourhood Services contract register is set out in Appendix B.

There are 29 live contracts listed.

3.5 Budget

3.5.1 Details of Neighbourhood Services budgets are included as Appendix C.

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 Neighbourhood 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		
Provision of high quality parks and open spaces support a range of activities that support the health and wellbeing agenda including sports pitches, children's play equipment, walking, running etc. Servicing and maintenance of Neighbourhood areas are included with the maintenance contracts managed by Neighbourhood Services.	The services provided by Neighbourhood Services make a considerable contribution to making the district clean green and safe, as it maintains and develops green spaces, is responsible for street cleansing and the Ranger Service, and provides a wide range of waste collection services.	The provision of a high quality public realm makes the district a great place to live work and visit. Provision of off street car parking directly supports the vibrancy of town centres.
Internal		
Effective Staff	Maintain or Improve Services	Firm Financial Footing over the Longer Term
<u>Intended outcomes:</u> All staff are properly	<u>Intended outcomes:</u> Focusing on our	<u>Intended outcomes:</u> Better return/use of our

<p>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</p>	<p>customers' needs Continuously improve our processes Increase the digital provision of services</p>	<p>assets Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money</p>
Impacts of Proposal		
<p>Staff are continually developed using a range of methods including formal courses, in-house training and attendance at seminars, conferences or regional bodies.</p>	<p>The Service Area is continually looking at ways of improving the way services are delivered to customers, through improved working practices and use of ICT.</p>	<p>Neighbourhood Services ensures that any expenditure achieves the best value for money. It is also responsible for several major income streams to the Council which are continually reviewed to ensure income targets are met, and exceeded where possible.</p>

4.2 Supporting Strategies

There are several strategies that underpin the delivery of services including the Warwickshire Waste minimisation Strategy, Green Space Strategy, and the emerging Off Street Car Park Strategy.

4.3 Changes to Existing Policies

4.3.1 There are no changes to existing policies as a result of this report.

5. Budgetary Framework

5.1 Details of the Neighbourhood Services budgets are discussed at para 3.5 and appendix C.

5.2 Annual Budgets for Neighbourhood Services are set by the Executive on an annual basis and budget reports are routinely considered by the Senior Management Team, with quarterly reports issued to the Executive.

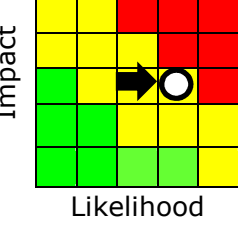
6. Risks

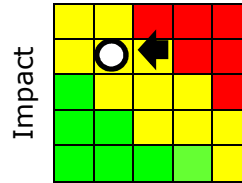
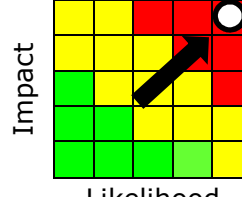
6.1 Details of the Neighbourhood Services Risk Register has been included in para 3.1 and Appendix A.

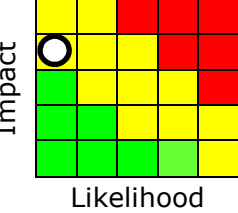
7. Alternative Option(s) considered

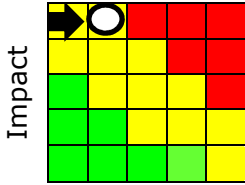
7.1 As this report is predominantly for information, at the request of the Finance and Audit Committee, no other options are proposed.

Neighbourhood Services Corporate Risk Register – Generic

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
Generic to Warwick District Council									
1.	Inability to recruit and retain staff	<p>Age profile of staff.</p> <p>Salary levels.</p> <p>DBS checks taking too long to complete.</p> <p>Failure to conclude appointments quickly leading to loss of candidates.</p> <p>Terms and Conditions.</p> <p>Lack of candidates with necessary skills/qualifications.</p> <p>Changes to terms and conditions prompting dissatisfied staff to leave/retire early</p> <p>Lack of progression opportunities</p> <p>High levels of employment locally.</p> <p>Serious Ill Health</p>	<p>Loss of key staff.</p> <p>Inability to recruit.</p> <p>Additional costs for specialist advice.</p> <p>Loss of technical staff to private sector.</p> <p>Reduces capacity to deliver services.</p> <p>Additional strain on other staff.</p> <p>Protracted recruitment process.</p> <p>New staff having less experience.</p>	<p>Shared Services.</p> <p>Workforce planning.</p> <p>Generic Roles where ever possible.</p> <p>Apprenticeships are a possibility for some areas.</p> <p>Bench mark terms and conditions with other organisation.</p> <p>Hand over process where possible.</p> <p>Good communication with staff.</p> <p>Extension of WDC Fixed Term posts.</p>	HR HNS DMT	<p>Use of career graded posts.</p> <p>More flexible job descriptions.</p>	HR DMT	Ongoing	

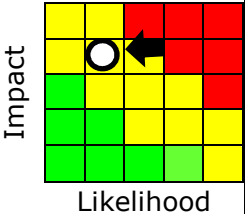
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
2.	Failure to meet “Fit for the Future” Objectives	Legislative changes. Policy changes. Financial changes. Service changes. Organisational changes.	Overspending on Medium Term Financial Strategy. Reduced service quality. Service Cuts.	Specific focus on statutory compliance and statutory consultation requirements. Early engagement with recognised Trade Unions. Monitoring to ensure FFF objectives are being delivered. Identifying efficiencies and delivering savings. Effective communication with staff and trade unions.	HR HNS DMT CMT SMT	Ongoing reviews of services	HNS DMT	Ongoing	 <p>FFF savings have been identified for 2018/19</p>
3.	Insufficient money resulting in an inability to provide normal services.	Poor financial planning. Unexpected loss of income and/or increase in expenditure. Fit for the future projects do not achieve sufficient savings. Changes to Government Policy/legislation. Reduced Government grants. Financial savings not made. Budgets exceeded. Insufficient money to provide services as specified. Introduction of shared Enforcement with Rugby BC	Loss making services. Problems delivering key services. Reduced quality of service. Budget exceeded and therefore subsequent budgets reduced. Forced to make large scale redundancies. Inability to repair or replace assets.	Effective management of Fit for the Future Programme. Effective audit of financial accounts. Effective fees and charges schemes. Delivery plans and overall project plans have been completed. Effective internal audit function. Codes of Financial and Procurement practice.	FIN HNS DMT	Longer term asset/financial planning Development of Corporate Asset Strategy Business cases being produced for replacement of car parks.	HNS Fin CMT DMT	Ongoing	 <p>Funding shortfall for replacement of multi storey car parks and children’s play equipment at the end of 2018 / 19.</p>
			Not able to sustain new initiatives.	Effective tracking and spending of money	DMT				

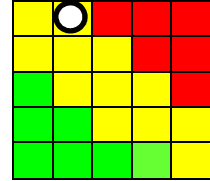
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
4.	<p>Failure to:- Respond to new legislation.</p> <p>Comply with new/existing legislation.</p> <p>Take into account legal implications of decisions.</p>	<p>Change in Government policy.</p> <p>Poor decision making.</p> <p>Lack of knowledge.</p> <p>Lack of stability in team resulting in insufficient capacity to implement required changes.</p> <p>New shared enforcement service with RBC</p> <p>GDPR Regulations (GDPR)</p>	<p>WDC unprepared for changes resulting in additional costs/workloads for staff.</p> <p>Damage to reputation.</p> <p>Judicial reviews.</p> <p>Financial impact.</p> <p>Legal action against the Council.</p> <p>Damage to reputation</p> <p>Potential fines and reputational damage</p>	<p>Legal advice available to staff.</p> <p>Communication with professional bodies and organisations to seek assistance and advice.</p> <p>Appropriate training.</p> <p>Stability and clarity in roles maintained</p> <p>Close liaison with RBC, Legal advice, Membership of Mallard Consultancy</p> <p>Ongoing preparation by Neighbourhood Services for Service area to be compliant including:-</p> <ul style="list-style-type: none"> Received written confirmation from contractors that they are GDPR compliant. Consultation with Legal department over GDPR recognised "Sensitive" contracts Integrated GDPR compliance into routine contract monitoring Ongoing liaison with WDC Information Governance Officer Reviewed information channels to ensure GDPR compliance 	<p>HNS DMT</p> <p>DMT</p>	<p>Attend meetings of Professional Bodies.</p> <p>Information sharing with peers</p>	<p>DMT</p> <p>DMT</p>	<p>Ongoing</p> <p>Ongoing.</p> <p>May 2018</p>	 <p>Impact</p> <p>Likelihood</p>

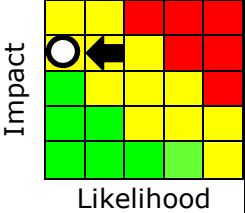
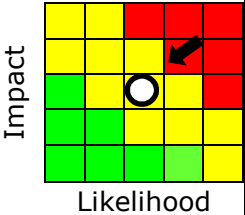
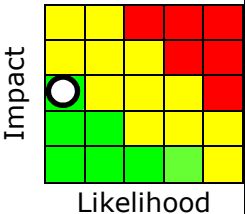
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
5.	Loss of IT.	Computer breakdown. Technology problems. System problems, including hacking. Reliance on key staff. Acts of God e.g. fire, hurricane, flood. Power failure. Malicious acts by employee. Reliance on key staff. Hacking/computer virus.	Staff not paid. Reduction in service delivery, failure to meet statutory requirements. Cost implications. Poor data. Dissatisfied customers (and staff). Loss of access to data, provision of data unavailable. Unable to deliver on line services. Staff morale.	IT support. System provider helpdesk. Contract with software supplier to maintain training needs. Well trained staff. Adequate cover. Business Continuity Plan. Back-ups. Manual records. System controls. Duplicate records. Procedure notes. Audit testing. WDC has robust contingency plans. Broadband installed at Oakley Wood.	Divisional managers. System owners.	Continually reviewing business continuity plans.	DMT ICT	Ongoing	<div><div><div>Impact</div><div>Likelihood</div></div></div>

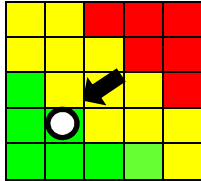
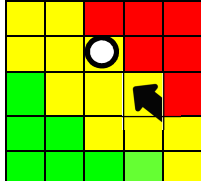
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
6.	ICT systems not able to support current service delivery and future improvements.	<p>Failure of the current ICT infrastructure being unable to meet demand.</p> <p>Lack of ICT resources.</p> <p>Systems failure of hardware and software.</p> <p>Use of unsupported third party systems.</p>	<p>Prolonged loss of systems.</p> <p>Additional cost to operate systems.</p> <p>Corrupted information and/or databases.</p> <p>Provision of data.</p> <p>Additional cost for external ICT support.</p> <p>Loss of data (breach of statutory duty)</p>	<p>Third party support and maintenance contracts.</p> <p>Training of super users.</p> <p>Better data management.</p> <p>Review systems to ensure they are fit for purpose.</p> <p>Service Head sits on the ICT Steering Group</p> <p>Not reliant on WCC ICT</p> <p>Retention policy for original source of data</p>	ICT DMT HNS	<p>Ongoing monitoring of new ICT issues until satisfied systems are stable.</p> <p>Implementation of new Bereavement Services System</p>	ICT ICT / BS	2019	
7.	Inaccurate / incomplete information made available to the public	<p>Not entering information.</p> <p>Entering incorrect information</p> <p>Not developing web site to assist access to service information or access to services.</p>	<p>Reduced service delivery.</p> <p>Damage to WDC reputation.</p> <p>Confused customers.</p>	<p>Implementation Plan and quarterly review of web-site.</p> <p>Business Support looking at Website on an ongoing basis</p> <p>Additional staff resources to assist with updating information.</p> <p>Repatriation of calls to WDC makes it easier to manage communications and service changes.</p> <p>Communication initiatives planned through Media Team</p>	HNS DMT	<p>Review process of updating website</p> <p>Communication Plan in place</p> <p>Data capture project has started.</p> <p>Update of website/consultation with Media Team</p>	DMT	Ongoing	

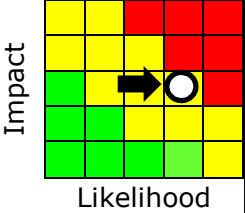
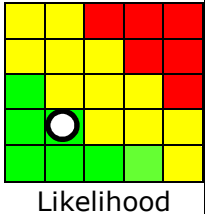
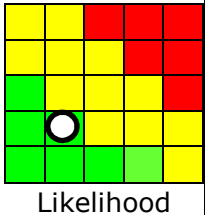
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
8.	High or increasing levels of sickness.	Individual workloads increase resulting in higher stress levels. Pandemic. Poor working environment. Staff on long term sick	Some services not delivered. Increase in stress/pressure on remaining staff. Reputational risk. Additional costs to cover key staff.	Detailed monitoring. Effective absence management policies and processes. Continuity planning. Filling vacant posts. Additional staff trained to cremate Working with surrounding authorities	DMS HNS HR	Team Operational Plans are realistic and deliverable Back to work interviews. Reports from Self-Serve System.	OH DMT HR	Ongoing	
9.	Impact of climate change on service delivery	Changes in weather as a result of climate change. Increased high winds, long periods of freezing temperatures, heavy rain or long dry spells.	Long periods of cold weather could reduce our ability to collect waste. Long periods of high winds would impact on trees and increase the risk of damage. Long periods of dry weather will reduce the amount of grass cutting required but will increase the requirement for watering of flowering plants. Changes in water table result in unstable grave conditions	Maintain flexibility in the contract to allow the impact to be minimised. Implement gritting policy when long periods of freezing weather. Reduce floral planting to minimise the watering of these areas. Green Travel Plan Ongoing review of Business Continuity Plan Implementation of Sustainability Action Plan Areas where new graves are to be excavated assessed in advance. Develop Car Park Strategy	DMT WCC	Ongoing review environmental impact of operations.	DMT SO WCC	Ongoing	

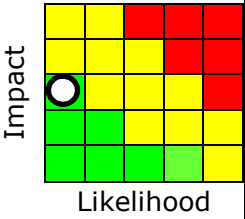
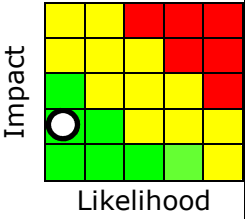
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
10.	Accidents/ health & safety of staff in office.	Lack of health & safety good practice. Lack of health and safety awareness. Lack of routine WDC H&S Group meetings A number of new staff members	Injuries to staff Financial claims. Loss of staff morale Adverse publicity/reputational damage Difficulty in service delivery. Increase in sickness.	Lone Worker (radio system). H&S Policy and Procedures in place. Joint Consultative Group (management and unions) Operation of robust risk assessments, safe working practices. Accident/incident reporting and investigation. Safety Advisors inspection of workplace. DSE assessments. Enhancing staff knowledge through IOSH training Appropriate training to new starters asap Introduction of In Case of Emergency (ICE) list of staff within NS	HNS DMS H+S A	Ongoing health and safety training for staff. (IOSH)	DMT	Ongoing	

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
11.	Accidents / health and safety of contractors	<p>Lack of health & safety good practice/training.</p> <p>Lack of appropriate supervision.</p> <p>Lack of policies and procedures</p> <p>Violence/threats from customers</p> <p>Adverse weather conditions</p>	<p>Injuries to staff.</p> <p>Financial claim.</p> <p>Loss of staff morale.</p> <p>Adverse publicity.</p> <p>Reputational damage.</p> <p>Difficulty in service delivery.</p> <p>Increase in sickness.</p> <p>Actual physical injury.</p>	<p>Regular monitoring of contractors Health and Safety.</p> <p>Embedded Health and Safety consultation process.</p> <p>Health and Safety Policy</p> <p>Robust Risk Assessments</p> <p>DSE Assessments</p> <p>Staff alert list</p> <p>Lone worker procedure</p> <p>Reporting/monitoring procedures</p> <p>Inspection by HSE</p> <p>Suspending or cancelling services due to bad weather</p>	DMT H+S A Contractors	<p>Neighbourhood Services Measure</p> <p>CO's now into routine of H&S checks.</p> <p>Need to undertake audit of process</p> <p>Inspection by H&S Executive</p> <p>Ongoing health and safety training for staff. (IOSH)</p> <p>New working practices introduced in April 17 in respect of H&S contract oversight, which include improved Joint inspection process, increased liaison meeting review, joint H&S committee with contractors, internal H&S policy audit.</p>	Staff time	Ongoing	 <p>Impact</p> <p>Likelihood</p>

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
12.	Impact of business continuity incident	Loss of building or office space. Loss or lack of key staff. Loss of key equipment or systems. Denial of access to place of work. Major incident. Loss of power source	Inability to provide services/reduced service delivery. Reputational damage. Financial Loss. Staff Morale. Customer dissatisfaction.	Service Area Crisis Plan Major Emergency Plan. Ability to work from home/contractor depot. IT disaster recovery plan Business Continuity Plan – critical services identified Installation of back-up generator at Oakley Wood Crematorium. Tested via desk top exercise.	HNS CCO Property Services	Ongoing testing and review.	Staff time	TBC	
13.	Growth within Warwick District outstrips the ability for the Council to deliver services.	Increased residential, commercial, and green space development above expectations. Changes in legislation. Vacant posts. Staff resource unable to deliver adequate service response to response due to increased areas	Gaps open up in Council services. Insufficient resource/capacity within the Council. Increase costs.	Growth built into various contracts. Local Plan. Joint planning and delivery arrangements. Fill posts as they become vacant Continually review Service Plans and Team Operational Plans Review of NS Structure	DS DMT FIN	Monitoring developments changes and actions require Review contractor capacity to take on additional work	Additional costs + staff time	Ongoing	 Projected property growth included in MTFS.
14.	Strike Action	National ballot Union Actions Unhappy staff	Breakdown of employment relationship Loss of reputation through disruption to service delivery Staff morale.	Strong formal and informal communication forums and mechanisms at a local level	CMT/SMT	Introduction of National Living Wage	Staff Time	NA	

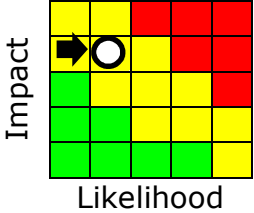
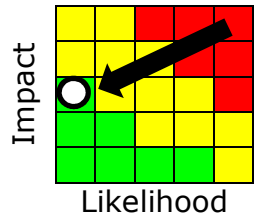
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
15.	Failure to communicate effectively	Untrained staff Reorganisation Inaccurate data on systems or website Poor communication/information High workload. Reliance on key staff. Staff absence. Human error. Inappropriate form of communication. New Staff	Incorrect information used to carry out work. Negligence and liability claims Adverse publicity Loss of reputation Waste of resource Poor service to customers Additional workload. Staff morale. Stress.	Monthly team meetings. One-to-ones. E-mail. Intranet. Circulation of minutes from meetings. Corporate communication strategy. Staff training. Qualified/experienced staff Quality standards Good IT/Information Systems Web improvement plan Use of social media	All staff. Media Team	NS Coms Plan	Staff Time	Ongoing	<div><div>Impact</div></div>
16.	Failure of other WDC/ partners/ stakeholders /department to provide services as agreed / expected	Reorganisation of collaborative departments Failure to recognise workflow through other departments Insufficient staff / resource available	Disjointed services to customers Missed opportunities Negative impact on staff morale Increased customer complaints Reputational damage	Good lines of communication between key members of staff Joint corporate working groups SMT intervention	DMT SMT	Regular meetings between NS and officers from other Service Areas	Staff Time	Ongoing	<div><div>Impact</div><div>Likelihood</div></div>

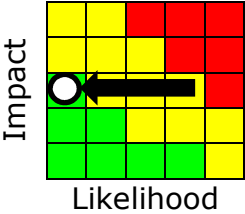
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
	Generic to Neighbourhood Services								
17.	Stratford Road Depot lost to development.	Local Plan	Lack of Contractor Depot. Contractor Depot needs to be moved within development site. Contractor needs to find new site.	Routine liaison with planning colleagues and strategic managers. Communication with contractors,	DMT Contractors	Monitor time scales	DMT	Ongoing	
18.	Council to meet its legal implications under Waste England and Wales Regulations 2001 i.e. the "TEEP test"	The legislation requires that Regulation 13 of the adjacent legislation is fulfilled by 1 January 2015	Potential legal challenge if requirements not met	Report produced setting out WDC compliance and shared with Members Use of a kerbside collection scheme to collect recyclables separately.	DMT Contractors			NA	
19.	Anti-Social Behaviour in Parks & Cemeteries	Quality and condition of park Perception of safety by public	Reduction in use of parks. Public feel unsafe Vandalism/costs to repair damage Staff assault	Well maintained parks Ranger Service Partnership working with homelessness charities and action groups. Changes to landscape to deter anti-social behaviour considered as part of general maintenance and when new areas are being designed.	DMT	Ongoing reviews	DMT	On-going	

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
20.	Driving for work (council and personal vehicles) – Accidents.	Poorly maintained vehicles Staff not trained in their responsibilities Stress/Tiredness	Damage to vehicle or property Persona injury, Legal action, insurance claims etc.	Regular maintenance and checks of 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 ICE contacts available for NS Staff	DMT	Highlight to SMT in corporate H&S Quarterly Report. Need to check individual's MOT, Licence etc. Who will do work? Corporate review of procedures to ensure all appropriate checks are in place.	Staff time	On-going	
21.	Homeworking – poor service level and health and safety risks present.	IT provision not working H&S risks not mitigated Appropriate level of service delivery not maintained	Inability to deliver work programme Legal challenge Customer expectation not met Poor staff welfare/increased stress/ Isolation Dissatisfaction for staff either being coerced into homeworking or denied homeworking Insurance claim	Effective H&S controls in place for work place assessment and lone working. Effective management of service delivery The issue of the use of routine use of laptops and DSE assessments and working at home needs to be resolved, arguably through the WDC H&S Group.	DMT HNS			NA	

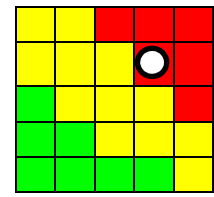
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
22.	Failure by WCC to provide appropriate disposal sites for waste i.e. landfills, Civic Amenity Sites etc.	Landfill Operators cease to trade. Fire / mechanical breakdown at facility. Poor access maintained.	Additional resources required by contractor. Additional cost. Inability to provide waste collection service.	Good communication between Warwickshire County Council and Warwick District Council. WCC have told us that HWRC at Princes Drive will be used in an emergency situation	WCC DMT	More robust WCC Continuity Plan	WCC	Ongoing	
23.	Possibility of Non-compliant procurement	Lack of awareness of issues Deliberate act Lack of training	Legal challenge Loss of reputation Failure to achieve best value	Effective staff training and management of procurement processes Review of procurement policy and processes. Regular discussions with the Procurement Team Use of Contract Register	DMT Procurement Team	Ongoing Review	DMT	Ongoing	
24.	Failure to correctly monitor/ manage budgets	Insufficient staff training Pressure of work leading to insufficient resource being committed Uncertainty of income due to external factors.	Uncertainty for corporate budgets Unable to meet service commitments	Regular budget monitoring Regular meetings with Finance Training of Budget Managers Total training More budget codes to be created alongside different individuals having responsibility	HNS DMT			Ongoing	

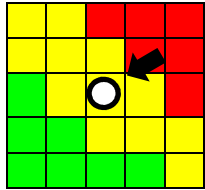
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
25.	Not applying Equality and Diversity principles	Non-compliance with legal requirements Discrimination against group or person	Challenge by Govt Department or external agency Legal action and/or compensation claim by group or individual	Staff training and awareness raising Regular review of Equality Impact assessments Information provided centrally	SMT DMT	Review with support of HR Team	HR	Ongoing	<div><div>Impact</div><div><div><div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div></div><div>Likelihood</div></div></div>
26.	Failure to make progress on corporate and departmental priorities	Unable to provide sufficient resources to support these areas of work. Restructure New Services Vacant posts	Reputation undermined due to failure to meet commitments that have been made publically. Organisational priorities not delivered.	Regular prioritisation of work through services and corporate meetings Managing expectations by publishing and sticking to realistic time scales Continually monitor workloads Realistic Service Plans and Team Operational Plans.	DMT	Continual Review	DMT CMT SMT	Ongoing	<div><div>Impact</div><div><div><div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div><div><div></div><div></div><div></div><div></div></div></div><div>Likelihood</div></div></div>

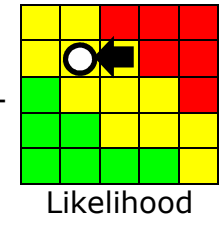
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
Bereavement Services									
27.	Customers or their agents not able to access facilities (on time)	<ul style="list-style-type: none"> Traffic incident or other emergency situation affecting access Extreme weather On site vehicle congestion 	<ul style="list-style-type: none"> Disruption to services and impact on other customers Unable to manage peak workflow Additional overtime and/or fuel costs Non-compliance with working time directive Increased risk of accident due to working in darkness Non-compliance with statutory instrument 	<ul style="list-style-type: none"> Emergency and contingency plans in place Good communication with key stakeholders Standard operating procedure Selection and training of staff Good communication with key contractors Enhancement of resilience – multi-skilled staff Capital plan to increase car parking facilities completed Nov 2016 Timeslots in chapels extended from June 2017 6 day services available from April 2017 	BSDM	.			
28.	Disruption in utilities (LPG or Electricity)	<ul style="list-style-type: none"> fuel shortage Changed to contacted supplier Breakdown of telemetry system. Emergency requiring isolation of LPG tanks Adverse weather conditions affecting power lines Incident involving sub-station or supply infrastructure 	<ul style="list-style-type: none"> Cremation services cease Potential build-up of volatile gasses in cremation chambers due to uncontrollable combustion Loss of reputation Non-compliance with environmental protection legislation Litigation from customers or regulator Cremators fail to pre-heat on schedule, causing delays and potential disruption to specific religious practices (eg witness charge) Vital elements of service not able to be provided (music, lights, curtains) Emergency generator installed and "live" test has taken place. 	<ul style="list-style-type: none"> Priority customer status through contract with LPG supplier. Emergency and Contingency plans in place Members of staff check if there has been a power cut out of hours Mutual aid arrangements in place with neighbouring authorities. UPS fitted to music systems 	BSDM	Install UPS to PC's that may be affected by any lag between power outage and generator start up (approx 5 mins) to prevent data crash	ICT	ongoing	

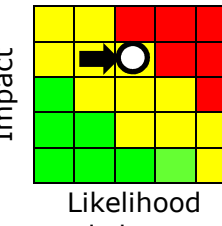
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
29.	3 rd party impact on service provision	<ul style="list-style-type: none"> Customer appointed agent or contractor failing to comply with regulations. Incorrect or last minute changes to information supplied Failure to implement proper controls or procedures Service or corporate appointed contractor failing to meet contract specifications. Poor resilience of contractors (eg having insufficient trained staff and/or plant and vehicles to perform duties N.B risk of failure of cremator service contractors is dealt with under risk 31 rather than in this section to aid clarity. 	<ul style="list-style-type: none"> Damage to cremation equipment Non-compliance with environmental protection legislation Breach of permit conditions Increased risk of infection or injury Unauthorised burial or cremation Reputational damage Litigation Failure in "duty of care" to visitors. Increased customer complaints due to standards not being properly maintained. Insufficient time to react to changes resulting in delayed or cancelled burial Increased contractor cost to call in extra labour to react to short-notice changes Poor standards of service for visitors Increased burden on officer time managing contractors and recalls for poor performance 	<ul style="list-style-type: none"> 3rd party cremation indemnity statements Regular liaison with key stakeholders and national stakeholder organisations Training offered to stakeholders when employing new staff Corporate Membership FBCA Officer membership of ICCM Permission to erect memorials only issued to monumental masons registered with BRAMM or NAMM RQMF Memorial safety inspection programme – with contracted stonemason Officers trained to NAMM standard Emergency and contingency plans in place *regular liaison with contract management officers and contractors *liaison with higher management from funeral directors who have short term issues with quality of information *Assist with CPD for new staff taken on by FDs * Default notice issued to contractors for failing to meet GM standards *WDC purchase of cemetery dumper to prevent lost time transporting equipment around. *additional contract staff have been COTS trained – improved resilience for burial services. *2018 GM schedule agreed between contract management and contractors 	BSDM	Review memorial safety policy in line with current industry standards	Officer Time	Ongoing	

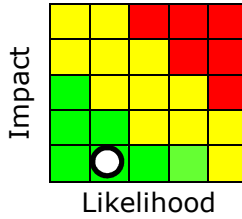
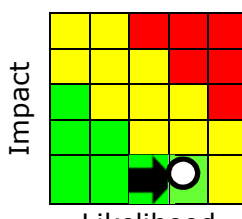
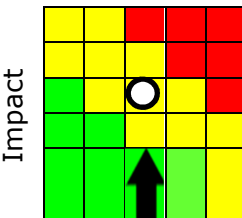
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
30.	Failure to adequately maintain buildings or infrastructure	<ul style="list-style-type: none"> Insufficient planned or reactive repairs budget available. Poorly planned repairs and allocation of resources Diminishing funds to allow improvements to facilities 	<ul style="list-style-type: none"> Customer dissatisfaction. Increased risk of accident or incident Damp damaging book(s) of remembrance Additional costs for emergency repairs inc wildlife protection if out of season 	Service representation at ASG (HNS) and Asset Steering Group and manager representation at Asset Management Group (AMG) Planned preventative maintenance programme Regular maintenance meetings held between Property surveyor and BSDM to highlight issues and plan programmes of work	BSDM	Ongoing financial pressures in council finances – not all future years PPM has been financed.	Asset Team	Staff shortages in Asset Tam have hindered progress in some areas	
31.	Loss of cremation equipment	<ul style="list-style-type: none"> Explosion caused by implants or unauthorised items in coffin Mechanical breakdown Planned maintenance. Lightning strike affecting PLC See also risk 28 – any interruption in utilities has the potential to affect cremation equipment. Failure of contractors to adequately maintain equipment Uncontrolled combustion or insufficient abatement 	<ul style="list-style-type: none"> Unexpected repair bills Services interrupted / delayed Loss of reputation Loss of market share Unacceptable working conditions H&S implications Prosecution or civil action Non-compliance with environmental acts Elongated recovery periods Unexpected expenditure to use neighbouring facilities, transport costs, etc... if facilities are not operational within 24hours Increased stress for members of staff and long working hours to catch up on backlog Closure enforcement by regulator 	<ul style="list-style-type: none"> Regular liaison with stakeholders Emergency and contingency plans Network of contact with other cremation authorities Use of specialist ICT consultants to retrieve data. Contract with ATI terminated due to poor performance. Special permission to “pay-as-you-go” using chief executive delegated powers to engage original supplier into repair and maintenance work 	BSDM	New maintenance and repair contract to be let.	BSDM/ HNS/ FIN	2018	

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
32.	Loss of statutory documents and other important (non-statutory) records	<ul style="list-style-type: none"> Disruption of Service, facilities. Major incident e.g. fire Deliberate act of vandalism Lightning strike affecting crematory PLC Damp ingress in chapel of remembrance Loss of ICT (see risk no 7) Missing information from some records/plans inherited from urban councils that were responsible for burial services prior to formation of Warwick District Council 	<ul style="list-style-type: none"> Unable to identify grave location Unable to identify registered owner of exclusive right of burial Incorrect legislative regulations applied if consecrated and unconsecrated land cannot be differentiated. Noncompliance with legislation Book(s) of remembrance damaged/destroyed 	<ul style="list-style-type: none"> Registers kept in fire proof safes Duplicate plans kept off site Burial and Cremation Registers scanned and kept off site Books of remembrance scanned and installed onto sookie server Only "todays" book kept in chapel of remembrance, other volumes kept in fire proof safes in office. Ashes location information cards from 1971-1983 has been scanned by BS staff Ashes location registers 1983-1993 have been scanned by BS staff Source documents retained for 15 years Project for DMC to photograph cremation registers from 1971 – 1993 complete Book of remembrance orders scanning complete April 2017 Improved back-up facilities, broadband link complete Aug 2017 	BSDM	<ul style="list-style-type: none"> ICT improvements to include facility to print computerised records (which can then be kept off site) ICT steering group have agreed there is a need to change the CAS system. BSDM, HNS & ICT reviewing potential CAS replacements Specific risk register detailing data transfer implications will be drawn up as part of the CAS replacement project. 	Staff Time and funding to digitise maps and historical data – backfilling of BSDM duties to be part of cost of CAS upgrade project		 <p>Waiting to commence replacement of BS ICT system.</p>

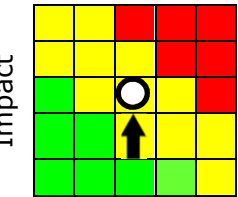
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Office r	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
33.	Loss of BS ICT	<ul style="list-style-type: none">• Failure of broadband infrastructure• Failure of onsite infrastructure• Failure in other council software or infrastructure• Failure of "Wesley music"• Malicious intent	<ul style="list-style-type: none">• No access to email, Total, Wesley Music downloads and other vital applications• Extra staff time needed to access software applications from other sites• Drain on staff recourses in other departments, especially ICT• Increased timescales to respond to customers leading to poor service• Increased likelihood of information being missed and wrong or out of date instructions being followed• Additional staff stress and fatigue• Daily workflow not printed if connection is lost.	<ul style="list-style-type: none">• Server "sookie" on site at crematorium• Local log on to "sookie" enabled for crematorium PCs• ICT monitoring data usage• Well tested contingency plans in place to ensure continued provision of music for services• Use of agile working from Riverside house or other WDC venue to enable access to email, Total and other vital applications• BSDM has email facilities enabled on WDC mobile phone	BSDM ICT	<ul style="list-style-type: none">• Purchase of portable music system for emergency use (system currently on loan)			 <p>Impact</p> <p>Likelihood</p>

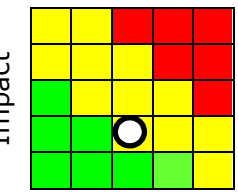
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
34	Accidents and Near Misses within Bereavement Services	<ul style="list-style-type: none"> Changes with key staff New/trainee staff Reduced staffing levels Changing legislation Safe Systems of Work and Risk Assessments not up to date Equipment failure Lone working conditions Lack of health & safety good practice. Lack of health and safety awareness. 	<ul style="list-style-type: none"> Injury to staff/public/Contractors Reputational risk legal proceedings Financial claims. Loss of staff morale Adverse publicity and reputational damage Difficulty in service delivery. Increase in sickness absence 	<ul style="list-style-type: none"> Competent cremator operatives H&S (IOSH) qualification mandatory for BS staff NS Training Matrix gives priority to IOSH and Cremator technician qualifications for BS staff Bank staff employed to enhance staffing levels during busy periods and at times of high absence levels. Lone working policy Corporate H&S expertise available Changes to protocol for charging coffins in place whilst automatic equipment is undergoing repairs. 	BSDM	<ul style="list-style-type: none"> Overview of Safe Systems of Work and Risk Assessments Additional training Completion of infrastructure changes highlighted in fire risk assessment Additional staff requirement report to Exec & Employment Replacement equipment to be ordered 	DMT DMT Prop BSDM BSDM	Ongoing Ongoing Nov 2018 Sept 2018	 <p>Impact</p> <p>Likelihood</p>

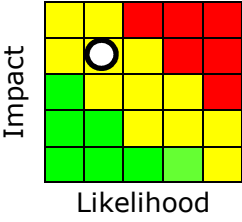
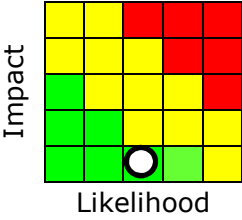
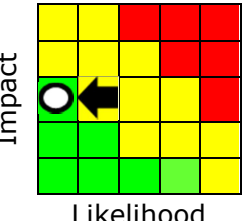
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
Off Street Car Parking									
35.	Shortfall in Car Park income.	<p>The general economic climate.</p> <p>Parking habits of customers altered by the closure of MSCP's</p> <p>Adverse weather conditions</p> <p>Closure of car parks</p>	Shortfall in off-street car park income.	Monthly monitoring of car park income against estimates allows us to identify income being behind budget.	DMT	<p>Current Car Park income is on budget.</p> <p>Positive out turn in previous years</p> <p>Closer monitoring and more focus on projections</p>	DMY	Ongoing	 <p>Impact</p> <p>Likelihood</p> <p>Proposed closure of Covent Garden in February 2019</p>

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
36.	Claims from Slippery conditions in car parks/parks during periods of freezing weather.	An increase in the frequency of cold winters resulting in periods of sustained periods of ice and snow.	Claims from members of the public resulting from accidents.	Where there is a forecast for periods of snow / icy conditions of over three days specified areas of the car parks should be gritted. This would be undertaken by the Rapid Response Teams with grit supplied by WCC as part of our agreement. The Car Park Manager or the Senior Rangers in their absence will confirm that gritting is to take place. The areas where gritting will take place are identified on plans maintained by parking services. A priority listing of the car parks to be gritted will be maintained and kept under review. Gritting Policy Review	DMT WCC Staff	Ongoing liaison with WCC	Staff time	Ongoing.	
37.	Damage to P&D machines in off-street car parks including Pay on Foot.	Vandalism / burglary.	Loss of income. Inconvenience to public.	Rangers as part of normal duties. Daily inspections of every machine. Increased frequency of cash collection. Sufficient insurance cover Improved security of targeted P&D machines	DMT / Staff	Ongoing inspection of machines. Annual review of cash collection frequencies and insurance levels.	Staff time	Ongoing	
38.	Damage to vehicles and persons in off-street car parks and parks	Vandalism. Accidents. Physical attacks.	Loss of Income. Reputation. Economic /Tourism.	Rangers / possible use of body cameras CCTV. Public. Police.	DMT / Staff	Ongoing inspection within car parks.	Staff time	Ongoing	

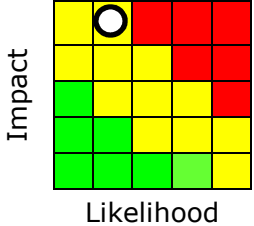
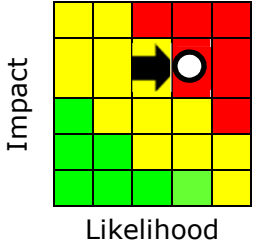
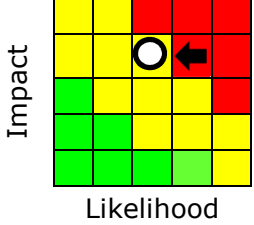
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	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
40	Increased complaints/queries/over car parking issues surrounding Covent Garden demolition and new HQ/Car Park	Lack of car parking generally. Parking not at the desired location. Users not aware of closure. Users not aware of alternative parking.	Increase calls, emails etc. Increase in PCN's	Recruitment of additional Rangers and Business Support Staff. Dedicated project management resource. Dedicated short stay parking at St. Peters Car Park. Use of Riverside House Car Park at weekends. Use of part of Riverside House Car Park on weekdays. Signage Strategy. Communication/Marketing Strategy. Engagement of parking consultant. New car parks at Archery Road/Princes Drive and Court Street. Increased parking capacity on-street. Working closely with partner organisations.	DMT CMT SMT	Ongoing monitoring during the displacement strategy and amend plan as necessary.	Staff time	July 2019 for 18 month period	

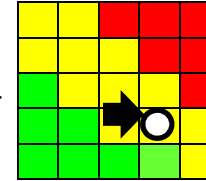
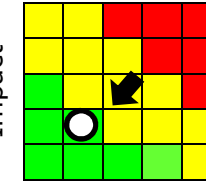
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Green Spaces									
41.	Playgrounds, playground equipment, BMX parks and Skate Parks not fit for purpose.	Vandalism. Misuse by users. Lack of maintenance. Unsupervised children. Wear and tear of equipment / surface. Litter / faeces. Poor design. Lack of funding.	Personal injury. Liability. Loss of reputation.	Inspections/Checks. Play area improvement programme. Play strategy. Annual independent inspection. Post installation inspection report for new equipment. Equipment installed to appropriate British Standard. Allocation of funding to provide equipment.	DMT	<p>Review accidents + insurance claims.</p> <p>There is now a play area team ROSPA trained</p> <p>Independent Annual inspection carried out in March 2017, and planned for 2018</p> <p>Refresher training for play area team and Council staff</p>	Staff time	Ongoing	

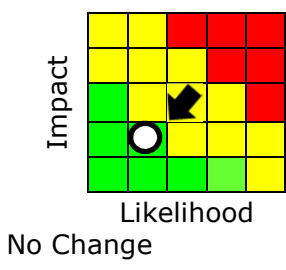
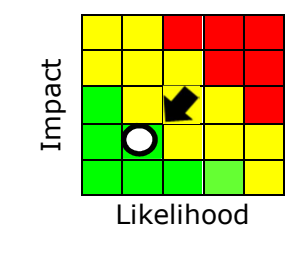
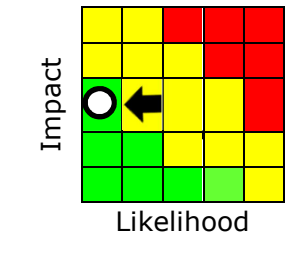
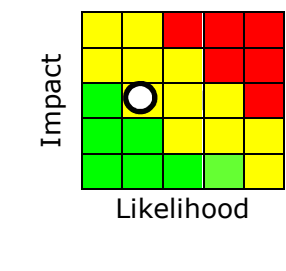
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
42.	Direct injury and damage caused by trees.	Poorly maintained trees. Extreme weather. Poor/ inaccurate inventory. Vandalism. Lack of proactive inspections. Not implementing actions. Insufficient budget. Insufficient resource.	Injury to people and property. Delays on Highway. Cost of making good. Loss of reputation.	Regular independent tree inspections. On-going maintenance. Informal monitoring.	DMT WCC	Monthly operational meetings with WCC Forestry Team and GST Agree work programme following tree survey - Ongoing New tree inspection regime in place	DMT and WCC Forestry	Reviewed annually	
43.	Insurance type claims/damage caused by trees.	Trees historically inappropriately located. Houses, buildings, structures built too close to trees. Insufficient information about current tree stock.	Risk of damage to property / infrastructure. Insurance claims from damage sustained. Loss of public trust and confidence in our operations.	Reactive maintenance. Regular independent tree inspections.	DMT WCC	Monthly operational meetings with WCC Forestry Team and GST Agree work programme following tree survey – ongoing New tree inspection regime in place	DMT and WCC Forestry	Reviewed annually	
44.	Long term reputational risk from trees.	Tree work not getting completed in timely manner due to lack of resource. Loss of tree specialism from Council.	Loss of public trust and confidence in our operations.	Work with partners. SLA with Warwickshire County Council. Additional funding.	DMT WCC	Monthly operational meetings with WCC Forestry Team and GST Agree work programme following tree survey – ongoing New tree inspection regime in place	DMT and WCC Forestry	Reviewed annually	

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
45.	Risk of trees becoming diseased	Pests and diseases. Spread of new disease. Climate change.	Loss of stock. Cost of maintenance and/or removal.	Risk Survey. Awareness of national issues. On-going maintenance.	DMT WCC	Review disease spread. GST to get monthly updates at operational team meetings. Reported cases of ash dieback now in West Midlands. Refer to Forestry Commission website for update and advise	Staff time Arb Assoc WCC.	Ongoing. Ongoing	
46.	Building-related problems.	Reduced staff within Asset Management Team due to sickness Lack of proactive inspections. Not implementing actions from these inspections Not responding to responsive repairs Insufficient budget for responsive repairs and the Open Spaces Planned Preventative Maintenance Programme	Closure of park, building and structure Personal injury. Liability. Loss of reputation.	An Open Spaces Planned Preventive Maintenance Programme was mainly completed 2017/18. The OS PPM is funded for 2018-2019. The OS PPM is to be repeated every three years A surveyor carries out regular inspections of all the buildings/structures that they are responsible for.	CMT	The OS PPM is not fully funded for future years which needs to be resolved. Update the OS PPM to add in any missed assets and re-calculate the costs for 5 – 25 years.	Staff time.	Annually when budget setting	
47.	Failure to consult affectively with "Friends of" groups.	Not aware of consultees. Poor relationship with friends group. Lack of resource/time. Lack of awareness.	Lack of funding. Reputation. Focus groups become protest groups.	Engage with groups. Dedicate resource to groups.	DMT	Part of very Project Brief. Community Ranger involved in consultation exercises	Staff time	Ongoing Ongoing	

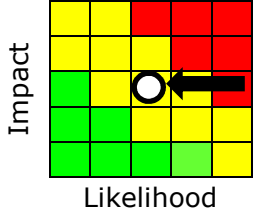
	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
48.	Drowning or injury as a result of water body in vicinity of park or open space.	Flooding. Public misuse. Lack of maintenance of structures and minor watercourses. Failure of water use operators.	Drowning / physical injury. Reputation. Cost. Compensation claim.	Water Safety Review. Maintenance of structures by Warwick District Council and third parties. A number of the no diving/jumping signs have been removed by vandals hence change in rating. Remedial work in hand – Need to look at alternatives for Charter Bridge	DMT	Review ROSPA recommendations	Staff time		
49.	Ability to deliver on Green Space Strategy.	Lack of funding Lack of resources. Changes in planning legislation.	Poor quality of open space. Lack of open space. Failure to meet Council Vision. Closure of children's play areas.	Delivery of action plan for Green Space Strategy. Lottery Funding. Disposal of low quality assets to give funding. Funding from Local Plan via planning department.	CMT HNS DMT FIN	Identify next PAR projects and there funding requirements Meet Green Space Development Group Review of the Green Space Strategy and refresh of the Green Space Action Plan Agree source of long term funding beyond 18/19 for PAR projects, PPM Open Spaces and PPM Play Areas.	Staff time Finance Public Amenity Reserve and offsite contribution reserve	Ongoing	
50	Direct injury and/or damage caused by footpath works by contractors in parks	Contractor procurement Contractor supervision Insufficient RAMS	Personal injury. Liability. Loss of reputation	Contractors that are fully H&S compliant Robust RAMS	DMT	Monthly operational meetings between H&P Services and GST on health and safety issues Pre start meetings and random checks being carried out by GST and Ian Carden		Monthly review	

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
51	The uncertainty around Sustainable Urban Drainage Systems (SuDS) in their provision, management, maintenance and their future liabilities.	No clear national or local guidance or policy on SuDS. More development means more SuDS provision No maintenance or budget provision on current SuDS on WDC land	Failure of SuDS leading to damage to properties and serious disruption Reputation Compensation claim. Poor water quality Poor open spaces.	Senior Officers currently meeting to review current and future provision to understand the issues and the best way forward with respect to statutory obligations, planning, design, management and maintenance.	CMT SMT DMT WCC Legal Team	The working group to meet on regular basis and report on actions.	Staff time	Ongoing	 <p>Looking at options to commission professional services in advising on SuDS</p>

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
Contract Services									
52.	Service disruption.	Strike action by Contractors. Bad weather. Loss of disposal route.	Piles of refuse/recycling on streets. Health Risks. Financial impact. Reputation undermined. Essential services not delivered. Increase in service demand. Inability to meet service demand. Failure to meet legislative requirements.	Business Continuity Plan. Contractors will employ staff from other areas. Flexibility of contractors and staff. If usual disposal route not an option would deliver to another disposal route. Reprioritise services.	HNS DMT Contractors WCC	WCC Continuity Plan Regular Liaison	Staff time	Ongoing	
53.	Demobilisation of previous Grounds Maintenance Contract – Stratford Road Depot.	Legal dispute Contractually the previous grounds maintenance contractor should have left Stratford Road Depot in good order. WDC claiming that they did not, and that it has cost WDC approximately £50,000 to put right.	Depot dilapidations not completed as required	Discussions with legal team Discussions with Assets Team	HNS Prop WCC Legal Team	Legal dispute still on-going with contractor and WDC legal team. Position being reviewed now that a lease has been signed with the new grounds maintenance contractor.		Ongoing	

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
54.	De-mobilisation of previous Grounds Maintenance Contract – completed work	Legal dispute From WDC perspective the previous grounds maintenance contractor did not complete all work and WDC deducted approx. £50,000 of payment as a result whilst they believe that WDC owe them approximately the same amount of money for 2 weeks' worth of work.	Work not completed before end of contract.	Discussions with legal team	HNS WCC Legal Team	Legal dispute still on-going with contractor and WDC legal team.		Ongoing	 <p>Impact</p> <p>Likelihood</p> <p>No Change</p>
55.	Lack of training in risk management and Construction Design and Management Regulations.	Lack of trained individuals Poor communications within Council Loss of trained individuals from Council.	Increased risk of accidents. Reputational risk	Understand who within Council is trained in construction regulations Basic awareness training in place for appropriate individuals within Contract Services. Agree Project PIDs including roles + responsibilities	HNS DMT Prop.	Ongoing monitoring of all project works. Officer assigned to this area of work		Start of each project.	 <p>Impact</p> <p>Likelihood</p>
56.	Impact on service delivery due to the introduction of the National Living Wage in April 2016.	Contractor reduces workforce to balance budget.	Financial impact. Reputation undermined. Essential services not delivered correctly. Inability to meet service demand. Failure to meet legislative requirements.	Discussions with legal team. Ongoing contractor meetings.	HNS DMT Contra ctors	The frequency of contract meetings has been increased to closely monitor performance levels of contractors.	Legal Services Staff time	Ongoing	 <p>Impact</p> <p>Likelihood</p>
57.	Performance of Waste Collection Contractor not to contract specification.	Contractor reduces workforce to balance budget due NLW. Lack of trained individuals. Poor communications within Council is changes to frequencies are required. Vehicles not fit for purpose. Poor contract oversight from WDC.	Financial Impact. Reputation undermined. Essential services not delivered correctly. Inability to meet service demand. Failure to meet legislative requirements. Detrimental impact on administrative support services to high customer complaints.	Daily/weekly works program spot checked by WDC Contract Officers Weekly joint inspections of the contracts by WDC Contract Officers. Daily interaction with contractors. Rectification notices issued for contract work not to specification. Default notices issued to the contractors for failure to deliver to contract specification.	HNS DMT Contra ctors	Regular Liaison Financial deductions being made as appropriate The frequency of contract meetings has been increased to closely monitor performance levels of contractors.	Staff Time	Ongoing	 <p>Impact</p> <p>Likelihood</p>

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
58.	Performance of Street Cleansing Contractor not to contract specification	Contractor reduces workforce to balance budget due NLW. Lack of trained individuals. Poor communications within Council is changes to frequencies are required. Vehicles not fit for purpose. Poor contract oversight from WDC.	Financial Impact. Reputation undermined. Essential services not delivered correctly. Inability to meet service demand. Failure to meet legislative requirements. Detrimental impact on administrative support services to high customer complaints.	Daily/weekly works program spot checked by WDC Contract Officers Weekly joint inspections of the contracts by WDC Contract Officers. Daily interaction with contractors. Rectification notices issued for contract work not to specification. Default notices issued to the contractors for failure to deliver to contract specification.	HNS DMT Contractors	Regular Liaison Financial deductions being made as appropriate The frequency of contract meetings has been increased to closely monitor performance levels of contractors.	Staff Time	Ongoing	

	Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Further Action(s) (if appropriate)	Resource	Due Date	Residual Risk Rating
59.	Performance of Grounds Maintenance Contractor not to contract specification	Contractor reduces workforce to balance budget due NLW. Lack of trained individuals. Poor communications within Council is changes to frequencies are required. Vehicles not fit for purpose. Poor contract oversight from WDC.	Financial Impact. Reputation undermined. Essential services not delivered correctly. Inability to meet service demand. Failure to meet legislative requirements. Detrimental impact on administrative support services to high customer complaints.	Daily/weekly works program spot checked by WDC Contract Officers Weekly joint inspections of the contracts by WDC Contract Officers. Daily interaction with contractors. Rectification notices issued for contract work not to specification. Default notices issued to the contractors for failure to deliver to contract specification.	HNS DMT Contractors	Regular Liaison Financial deductions being made as appropriate The frequency of contract meetings has been increased to closely monitor performance levels of contractors. More frequent Partnership Board meetings to agree improvement programme or alternative contract delivery arrangements. New working practices introduced in April 17, with closer monitoring of the contract, and an ongoing review of the changes! Improvement plan implemented	Staff Time	Ongoing	

Key: HR=Human Resources: HNS=Head of Neighbourhood Services DMT=Departmental Management Team. CMT=Corporate Management Team. SMT=Senior Management Team. FIN=Finance. CCO Civil Contingencies Officer. SO=Sustainability Officer. OH Occupational Health. BSDM=Bereavement Services Development Manager. Prop=Property Team

Contract Reference Number	Procurement Procedure	Agreement Type	Contract Title	Description	Contract Type	Supplier	Start date	End date	Review Dates	Annual budget £	Contract value £	2017-18 Spend against contract £	Extension Option	Comments - including price change provisions and review dates.	Signed Contract Agreement is with CST (Deed Store) YES / NO. The Deed Store reference number is also required! If the answer is NO please give reasons why . If only electronic version held, put N/A and enter link for electronic contract in next column	Electronic copy of Contract Agreement? - if YES - please supply file location path. All electronic copies should be stored centrally on the L drive: L:\Works Contracts for Procurement\Electronic contracts
NS28TQ0315	Open: Published Invitation to Tender	Contract/Service Agreement	Annual Outdoor Play Inspections	To carry out annual inspections on all play areas within the Warwick District	Services	Childrens Play Advisory Service	01/03/2015	28/02/2020	01/12/2018	2,861	8,583	2,861.00	3 year term with option to extend for 2 years	02/02/18 - extension for 2 years taken	YES C10/2015	
NS06CF0408	Framework: Mini Competition	Contract/Service Agreement	Parking machine maintenance	As stated in contract details	Services	Metric Group (ESPO Contract 509)	01/04/2008	31/10/2018	01/08/2018	13,239	132,390	38,142.00	No rolling contract with 90 day termination period	New Pay and Display machines were purchase through the ESPO Framework in 2008 at £121,706 with a maintenance contract at £13239/annum. As the machines, their internal parts and the software are protected through intellectual property rights the contract for maintenance was awarded to Metric who are the supplier. The current maintenance contract is written in such a way so that the term of the contract rolls on each year as long as we have the machines. May 17: exemption form submitted to procurement and passed to 151 officer for agreement as maintenance can only be provided by supplier of current parking machines	Yes - A90	
NS43OJ0816	Open: Published Invitation to Tender	Contract/Service Agreement	Memorial Safety Inspections and Maintenance	Memorial safety inspections and maintenance & Repair at WDC owned and maintained Burial sites	Services	Memsafe	01/09/2016	31/08/2021	01/02/2021	39,455	197,275	38,762.16	no further extensions. Option to extend for 3 years taken.	Initial contract was 2 years, with 3 year extension option. This option has been agreed and therefore the end date is now 31/08/2021	YES - C35/2016	extention agreement:
NS49DA1016	Direct Award by Exemption	Contract/Service Agreement	Continual Maintenance of Pay on foot Equipment	Maintenance of Pay on Foot Equipment	Services	Parkare	01/10/2016	30/09/2018	01/08/2018	14,800	29,600	17,652.00	N/A	Reprocurement will be in line with the refurbishment of car parks excersie. Review date completed, officers to go to executive to seek exemption for extending this contract, exec report completed for September, once confirmed exemption granted to extend contract to March 2019	YES - C7/2017	L:\Works Contracts for Procurement\Electronic contracts\Neighbourhood Services\2017_18
NS21LV1114	Invitation to quote (3 + suppliers)	Contract/Service Agreement	Lead Consultant	Provision of a Lead Consultancy service for the Restoration of the Pump Room Gardens	Services	Ashmead Price Ltd	01/10/2014	31/12/2018	01/09/2018	22,142	88,569	18,374.40	Further 2 years	Upon the successful submission to HLF on the proposed development the project will move to the delivery stage with a current provisional sum of £87569 agreed for this phase with conditions. The contract has inclusion of hourly rates additional to the overall fixed fee for any additional works if required	YES C26/2014	
NS37MC0416	Framework: Mini Competition	Contract/Service Agreement	Waste Containers & Recycling Products	Provision LOT C Waste & Recyling Containers	Goods	Straight Manufacturing Limited	01/04/2016	31/03/2020	01/09/2018	22,960	68,880	0.00	1 Year (taken in 2018 to extend to 2020)	Review complete, the contractor has peformed well during the existing contract period and has agreed to a one year extension. In addition to LOT C, they have been awarded LOT B as a variation to the contract. Copies of contract extension and the variation paperwork are stored with the Procurement Team. Contract spend for last financial was £0 due to there being sufficient stock from 16/17 to supply the year	YES - C9/2016 & C10/2016	
NS38MC0416	Framework: Mini Competition	Contract/Service Agreement	Waste Containers & Recycling Products	Provision LOT D Waste & Recyling Containers	Goods	Sackmaker/ J& HM Dickson	01/04/2016	31/03/2020	01/09/2019	8,820	26,460	0.00	1 Year (taken in 2018 to extend to 2020)	Review complete, the contractor has peformed well during the existing contract period and has agreed to a one year extension. Copies of contract extension stored with the Procurement Team. Contract spend for last financial was £0 due to there being sufficient stock from 16/17 to supply the year and the order for new stock was	YES C10/2016	
NS36MC0416	Framework: Mini Competition	Contract/Service Agreement	Waste Containers & Recycling Products	Provision LOT B Waste & Recyling Containers	Goods	Egbert H.Taylor	01/04/2016	31/03/2019	01/12/2018	4,192	12,577	503.00	1 Year	Review complete, as part of the review they returned an insufficient credit check as a result the option to extend has not been taken by WDC. The supply of LOT B has been given to Straight Manufacturing Ltd by way of variation to contract. Copies of the variation paperwork are stored with the Procurement Team.	YES - C8/2016	
NS35MC0416	Framework: Mini Competition	Contract/Service Agreement	Waste Containers & Recycling Products	Provision LOT A Waste & Recyling Containers	Goods	Craemer UK Ltd	01/04/2016	31/03/2020	01/09/2019	50,400	151,200	35,640.00	1 Year (taken in 2018 to extend to 2020)	Review complete, the contractor has peformed well during the existing contract period and has agreed to a one year extension. Copies of contract extension stored with the Procurement	YES - C11/2016	
NS30DA0415	Public contract exemption	SLA with other orgs	Local Nature Reserves in the Administrative Area of Warwick District Council	Management of Local Nature Reserves	Services	Warwickshire Nature Conservation Trust Limited	17/05/1994	16/05/2019	01/01/2019	16,705	417,625	18,374.40	Y		N/A	YES: L:\Works Contracts for Procurement\Electronic contracts

Contract Reference Number	Procurement Procedure	Agreement Type	Contract Title	Description	Contract Type	Supplier	Start date	End date	Review Dates	Annual budget £	Contract value £	2017-18 Spend against contract £	Extension Option	Comments - including price change provisions and review dates.	Signed Contract Agreement is with CST (Deed Store) YES / NO. The Deed Store reference number is also required! If the answer is NO please give reasons why . If only electronic version held, put N/A and enter link for electronic contract in next	Electronic copy of Contract Agreement? - if YES - please supply file location path. All electronic copies should be stored centrally on the L drive: L:\Works Contracts for Procurement\Electronic contracts
NS59DA0317	Framework: Direct Award	Contract/Service Agreement	Vehicle hire of Toyota LCV Hilux for Rangers	Ranger vehicle	Supplies	Lookers Leasing	01/06/2017	31/05/2019	01/01/2019	3,419	6,839	4,103	No	RM3710 framework portal. Annual spend is £3419. Aprox. £2580 saving per annum.	N/A	YES - L:\Works Contracts for Procurement\Electronic contracts\Neighbourhood Services\2016_17\NS59DA0317_ranger_car_park_vehicle
NS50DA1116	Framework: Direct Award	Contract/Service Agreement	Electronic Payment Services	Provision of Electronic payment services & multiple network managed services	Services	allpay.net	01/07/2017	30/06/2019	01/10/2018	29,827	59,655	47,126.00	N/A	Replacing contract FI06OJ0610. Direct Award through PFH Framework 2015/S 176-319591. Approximate Call off value £59654.67 (see clause 2 of the Contract document) R.T	Yes - C42/2016	
NS29LV0215	Open: Published Invitation to Tender	Contract/Service Agreement	Agronomy Advice for Bowling Green	Consultancy Agronomy advice for bowling green	Services	STRI	01/02/2015	31/01/2020	31/01/2019	9,998	49,990	10,490.00	Option to extend for a further 5 years	Annual value for 8 tournament visits, contract value may vary if options for further consultancy are taken up.	YES C16/2014	
NS46OJ0916	Open: Published Invitation to Tender	Contract/Service Agreement	Cash Collection Contract Lot 2	Provision of Cash Collection, Cash in Transit Services from Car parks including Pay & display machines	Services	Jade Security Services T/A Richard Talbot	01/11/2016	31/10/2020	01/11/2019	59,348	237,390	65,107.00	2 Years		Yes - C32/2016	
HC23LV0216	Invitation to quote (3 + suppliers)	Contract/Service Agreement	Project Manager	Provision of a Project Manager for the Restoration of the Pump Room Gardens	Services	Redkite Network Limited	09/02/2016	08/02/2021	01/07/2020	11,160	55,800	27,000.00	No	The contract also has the inclusion of hourly and service rates applicable as additional to the fixed fee if required.	YES - C3/2016 & C4/2016	
CS53LV1215	Open: Published Invitation to Tender	Contract/Service Agreement	Mini golf income to WDC	The Provision of St Nicholas Mini Golf Operator	Services	Warwick Tearooms Ltd	01/04/2016	01/03/2021	01/10/2020	Various range over the contract	£10,600 (Income)	0.00	5 Years	Contract was advertised on CSW JETS , 1 Bid was received and we enacted 6.2.5 of the Code of Procurement Practice to get an exemption from section 151 officer. This contract is to receive income from the crazy/mini golf at the park	YES - C46/2015	
NS57DA0413	Public contract exemption	SLA with other orgs	Tree Maintenance SLA with WCC	includes technical advice, tree inspections and	Services	Warwickshire County Council	01/04/2013	31/03/2021	01/04/2020	114,000	912,000	122,470.79	N/A	The price will raise each year due to RPI increase	NA	L:\Works Contracts for Procurement\SLA for Provision of Tree Related Services
NS14OJ1012	Open: Published Invitation to Tender	Contract/Service Agreement	WDC Waste contracts	Lot 3. Street Cleaning	Services	Veolia ES (UK) Ltd	01/04/2013	31/03/2021	01/01/2020	1,630,386	13,043,088	1,673,201.71	Option to extend for a further 8 years		YES - C3/2013	YES - Variations: L:\Works Contracts for Procurement\Electronic contracts\Neighbourhood Services\2012_13\NS14OJ1012_Waste
NS14OJ1012	Open: Published Invitation to Tender	Contract/Service Agreement	WDC Waste contracts	Lot 2. Grounds Maintenance	Services	Idverde (formerly The Landscapes Group)	01/04/2013	31/03/2021	01/01/2020	887,421	7,099,365	1,033,734.97	Option to extend for a further 8 years		YES - C3/2013	YES - Variations: L:\Works Contracts for Procurement\Electronic contracts\Neighbourhood Services\2012_13\NS14OJ1012_Waste
NS14OJ1012	Open: Published Invitation to Tender	Contract/Service Agreement	WDC Waste contracts	Lot 1 Waste & Recycling	Services	SUEZ Recycling and Recovery UK Ltd (formerly SITA UK)	01/04/2013	31/03/2021	01/01/2020	2,090,020	16,720,163	2,197,507.13	Option to extend for a further 8 years	Deed of variation for Waste Management - January 2017.	YES - C3/2013	YES - Variations: L:\Works Contracts for Procurement\Electronic contracts\Neighbourhood Services\2012_13\NS14OJ1012_Waste
NS54LV0516	Low Value Tender	Contract/Service Agreement	Sponsorship of Specified Initiatives	To manage the sponsorship of signs on roundabouts and other locations and generate a shared income	Services	Swiftrapid Ltd (t/a Immediate Solutions)	05/05/2016	04/05/2021	04/02/2020	(£14,000) income	Nil	(13,976.60) income	5 years	Concession Contract has been in place since 5th May 2006 with a rolling 5 year extension. Notice of contract termination to be provided at least 12 months before contract end date. There is no cost to the Council for the contract it is purely an income generation contract. The Income received for 2016-17 was £16,280.	YES - Mis34	
NS45LV0916	Open: Published Invitation to Tender	Contract/Service Agreement	Provision of Green Spaces Quality Audit	Provision of Green spaces Quality Assessment to WDC Open Spaces	Services	Redkite Network Limited	12/09/2016	11/09/2022	11/09/2021	Variable Prices Per annum	17,400	0.00	n/a	The inspections are carried out every three years so expenditure will be on the same cycle	Yes - C28/2016	

Contract Reference Number	Procurement Procedure	Agreement Type	Contract Title	Description	Contract Type	Supplier	Start date	End date	Review Dates	Annual budget £	Contract value £	2017-18 Spend against contract £	Extension Option	Comments - including price change provisions and review dates.	Signed Contract Agreement is with CST (Deed Store) YES / NO. The Deed Store reference number is also required! If the answer is NO please give reasons why . If only electronic version held, put N/A and enter link for electronic contract in next	Electronic copy of Contract Agreement? - if YES - please supply file location path. All electronic copies should be stored centrally on the L drive: L:\Works Contracts for Procurement\Electronic contracts
NS18LV0412	Open: Published Invitation to Tender	Contract/Service Agreement	Maintenance of Temperate House	Maintenance and education provision for the temperate House	Services	Debbie Williams Trading as Horticultural Services	01/04/2012	31/03/2020	01/03/2019	21,900	21,900	21,200.00	Yes -annual until 2020	Option for annual extensions up to 31st March2020 subject to performance and the ongoing requirement by the Council.	YES C19/2012	Appendix 1 to schedule 3 GDPR - L:\Works Contracts for Procurement\Electronic contracts\Neighbourhood Services\2017_18
NS61LV0118	Low Value Tender	Contract/Service Agreement	Data Capture for Warwick District	Grounds Maintenance data capture for the	Service	TEP	01/03/2018	30/12/2018	N/A	50,000	42,159	0.00	None	Contract to end when project is complete. Review date - July 2018- completed. Contract end date changed	YES - C7/2018	L:\Works Contracts for Procurement\Electronic contracts\Neighbourhood Services\2017_18\Data capture Services contract 05.04.18 TEP WDC Signed.PDF
NS64LV0518	Low Value Tender	Contract/Service Agreement	Maintenance of paddling pools and fountains	daily maintenance and service of paddling pools and fountains	Service	Poolcare Leisure LTD	21/05/2018	21/05/2019	01/11/2018	83,000	83,000	Nil	None	Contract to end after the period of one year	YES- C15/2018	
NS65LV0318	Low Value Tender	Contract/Service Agreement	Pump Room Gardens bandstand	Restoration and repair of Cast iron bandstand at Pump Room Gardens Leamington Spa	Services	Lost Art Limited	01/04/2018	01/10/2018	01/08/2018	254,421	254,421	nil			YES C23/2018	
NS66LV0518	Low Value Tender	Contract/Service Agreement	Pump Room Gardens Ground works	Ground works - new footpaths and restoration	Services	Id Verde	01/07/2018	01/07/2019	01/02/2019	754,972	754,972	nil			NO. Currently with contractor awaiting signature	
NS67LV0618	Low Value Tender	Contract/Service Agreement	Book of Remembrance Calligraphy	The Provision of Book of remembrance Calligraphy and associated services	Services	FG Marshall Ltd	22/01/2018	22/01/2022	30/01/2019	various	35,882	8,208	none	Overall value of £35888.81. Customer led depending on demand	N/A	_Electronic contracts\Neighbourhood Services\2017_18\Calligraphy
NS68DA0618	Framework: Direct Award	Contract/Service Agreement	Project Management, quantity Surveying and Civil Engineering services for the development of three car parks	Consultancy offering Project Management, quantity surveyng and civil engineering services for the development of three car parks	Services	Perfect Circle	11/06/2018	11/02/2019	11/11/2018	35,200	35,200	N/A	None		NO Currently with supplier for signature	

	ACTUAL 2016/17 £	ORIGINAL BUDGET 2017/18 £	LATEST BUDGET 2017/18 £	ORIGINAL BUDGET 2018/19 £
<u>NEIGHBOURHOOD SERVICES PORTFOLIO</u>				
S1020 NEIGHBOURHOOD SERVICES	-	(100)	-	-
S1105 CAR PARKS	(1,255,829)	(744,600)	(464,400)	(665,300)
S1250 WCC HIGHWAYS	33,203	21,300	46,500	54,900
S1258 GREEN SPACES CONTRACT MGT	336,665	469,700	310,900	356,900
S1270 GREEN SPACE DEVELOPMENT	816,312	1,467,700	1,540,700	1,545,100
S1289 OPEN SPACES	142,520	95,300	117,100	117,500
S1320 BEREAVEMENT SERVICES	(666,451)	(648,100)	(528,000)	(560,900)
S3100 ONE STOP SHOPS	-	49,600	-	-
S3200 RECEPTION FACILITIES & LEAMINGTON OSS	-	(300)	-	(41,700)
S3400 PAYMENT CHANNELS	-	-	-	-
S3450 CUSTOMER SERVICE CENTRE	-	-	-	-
S3655 HILL CLOSE GARDENS	25,000	20,000	20,000	20,000
S4060 STREET CLEANSING	1,429,709	1,310,800	1,500,100	1,544,000
S4090 CONTRACT MANAGEMENT	872,843	556,800	782,200	817,800
S4130 WASTE COLLECTION	1,887,964	1,867,600	1,975,200	2,059,000
S4180 ABANDONED VEHICLES	1,747	1,100	1,200	1,200
S4811 WATERCOURSES & CULVERTS	(4,979)	(200)	(200)	(200)
TOTAL NEIGHBOURHOOD SERVICES PORTFOLIO	3,618,704	4,466,600	5,301,300	5,248,300

SUBJECTIVE ANALYSIS:**EXPENDITURE:**

Employees	1,821,949	1,988,300	2,101,500	2,236,400
Premises	1,410,080	1,375,000	2,146,800	1,401,200
Transport	27,554	48,800	49,200	40,200
Supplies and Services	815,014	697,600	940,700	709,200
Third Party Payments	4,774,661	4,523,000	4,558,300	4,728,800
Support Services	2,067,853	2,448,100	2,530,300	2,586,400
Capital Charges	661,068	894,500	838,300	1,559,900
TOTAL EXPENDITURE	11,578,179	11,975,300	13,165,100	13,262,100

INCOME:

Other Grants and Contributions	(645,469)	(167,400)	(244,200)	(173,400)
Other Income	(577,618)	(499,900)	(499,900)	(513,900)
Fees and Charges	(4,792,111)	(4,691,100)	(4,792,600)	(4,954,400)
Rents	(61,515)	(51,300)	(75,300)	(82,300)
Recharges	(1,882,762)	(2,099,000)	(2,251,800)	(2,289,800)
TOTAL INCOME	(7,959,475)	(7,508,700)	(7,863,800)	(8,013,800)
NET COST OF NEIGHBOURHOOD SERVICES	3,618,704	4,466,600	5,301,300	5,248,300

NEIGHBOURHOOD SERVICES**S1020 NEIGHBOURHOOD SERVICES****DIRECT EXPENDITURE**

Employees	84,964	84,800	92,900	94,200
Transport	-	100	100	100
Supplies and Services	4,520	1,000	51,000	1,000
TOTAL DIRECT EXPENDITURE	89,484	85,900	144,000	95,300
Support Services	33,524	34,900	32,400	33,100
Recharges	(123,008)	(120,900)	(176,400)	(128,400)
NET (INCOME) / EXPENDITURE TO SUMMARY	-	(100)	-	-

The Head of Neighbourhood Services is responsible for the strategic management of a range of frontline services, delivered via external contractors, in-house teams and in partnership with other organisations. Services include:-

- Car Parking - off-street via paid for surface and multi-storey car parks
- Refuse Collection
- Recycling
- Street cleansing
- Grounds Maintenance - grass cutting, arboriculture, parks, play areas, etc. some of which is undertaken on behalf of Warwickshire County Council.
- Bereavement Services - Oakley Wood Crematorium, cemeteries and closed churchyards

NEIGHBOURHOOD SERVICES

S1105 CAR PARKS

	ACTUAL 2016/17 £	ORIGINAL BUDGET 2017/18 £	LATEST BUDGET 2017/18 £	ORIGINAL BUDGET 2018/19 £
DIRECT EXPENDITURE				
Employees	63,029	99,500	73,500	106,000
Premises	577,499	765,300	1,225,900	698,100
Transport	-	20,500	400	400
Supplies and Services	178,384	183,400	166,400	166,300
Third Party Payments	221,094	138,800	138,800	142,700
TOTAL DIRECT EXPENDITURE	1,040,006	1,207,500	1,605,000	1,113,500
DIRECT INCOME				
Other Grants and Contributions	(38,836)	-	-	-
Other Income	(41,964)	(45,000)	(45,000)	(45,000)
Fees and Charges	(3,114,529)	(2,973,000)	(3,043,000)	(3,113,000)
Rents	(11,720)	(9,400)	(9,400)	(9,400)
TOTAL DIRECT INCOME	(3,207,049)	(3,027,400)	(3,097,400)	(3,167,400)
NET DIRECT (INCOME) / EXPENDITURE	(2,167,043)	(1,819,900)	(1,492,400)	(2,053,900)
Support Services	656,402	668,300	766,900	778,900
Capital Charges	261,027	407,000	261,100	609,700
Recharges	(6,215)	-	-	-
NET (INCOME) / EXPENDITURE TO SUMMARY	(1,255,829)	(744,600)	(464,400)	(665,300)

There are approximately 3,850 off-street "pay and display" and "pay on foot" car parking spaces managed by Warwick District Council. This includes the enforcement of spaces in Royal Priors (437) not

owned by the Council, Myton Fields and Barrack Street in Warwick which have restricted periods of use. The charges for parking are shown in the Fees and Charges Section. Increases to charges for off-street parking are planned for January 2018.

Security Measures

All the multi-storey car parks are covered by CCTV and the pay on foot car parks have the additional security of an on-site staff presence for the duration of the opening periods. Many of the surface car parks also benefit from coverage as part of the extensive town centre CCTV system and have regular patrols by the enforcement team. In addition the St. Peter's "Pay on Foot" uses an Automatic Number Plate Recognition system to allow vehicle to come and park securely.

"Pay and Display" Off-street Spaces Provided (as at April 2018):

	Royal			
	<u>Leamington Spa</u>	<u>Warwick*</u>	<u>Kenilworth</u>	<u>Total</u>
- Multi-Storey	1,228	412	-	1,640
- Surface	495	1,192	425	2,112
- Disabled (wider space)	39	33	21	93
TOTAL SPACES	1,762	1,637	446	3,845

* There are 270 spaces in Barrack Street available weekends and Bank Holidays and 400 on Myton Fields which are available during the summer months.

Other Parking

We Currently provide a managed enforcement scheme for the Brays car park at Kenilworth Castle. In addition to the above pay and display spaces the Council also provides free parking:

- In Royal Leamington Spa at Newbold Comyn, Radford Road, Mason Avenue / Valley Road, Edmondscote Track, Royal Spa Centre, Eagle Recreation Ground, Sydenham Sports Centre and Victoria Park.
- In Kenilworth at Castle Farm Leisure Centre, Abbey Fields and Kenilworth Cemetery.
- In rural areas at Oakley Wood Crematorium and Brome Hill Lane in Lapworth.

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NEIGHBOURHOOD SERVICES

ORIGINAL LATEST ORIGINAL

S1250 WCC HIGHWAYS

	ACTUAL 2016/17 £	BUDGET 2017/18 £	BUDGET 2017/18 £	BUDGET 2018/19 £
DIRECT EXPENDITURE				
Third Party Payments	101,837	107,600	106,800	109,900
TOTAL DIRECT EXPENDITURE	101,837	107,600	106,800	109,900
DIRECT INCOME				
Other Grants and Contributions	(116,620)	(112,300)	(118,300)	(118,300)
TOTAL DIRECT INCOME	(116,620)	(112,300)	(118,300)	(118,300)
NET DIRECT (INCOME) / EXPENDITURE	(14,783)	(4,700)	(11,500)	(8,400)
Support Services	47,986	26,000	58,000	63,300
NET (INCOME) / EXPENDITURE TO SUMMARY	33,203	21,300	46,500	54,900

Amenities Grass Cutting is carried out in urban areas and the centre of rural villages on a frequency specification for the number of cuts per year. Warwickshire County Council pays an element of the cost on the basis of that which is necessary solely in the interests of highway safety.

The administrative charges incurred as a result of the Highways Grass Cutting, Hedges and Shrub work carried out for Warwickshire County Council are shown above.

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NEIGHBOURHOOD SERVICES

	ORIGINAL BUDGET	LATEST BUDGET	ORIGINAL BUDGET
ACTUAL			

S1258 GREEN SPACES CONTRACT MGT

	2016/17 £	2017/18 £	2017/18 £	2018/19 £
DIRECT EXPENDITURE				
Premises	10,907	12,400	12,400	12,600
Supplies and Services	196,168	193,700	161,700	171,700
Third Party Payments	110,170	137,900	94,900	138,100
TOTAL DIRECT EXPENDITURE	317,245	344,000	269,000	322,400
DIRECT INCOME				
Other Income	(6,050)	-	-	-
Other Grants and Contributions	(34,567)	(35,600)	(35,600)	(35,600)
TOTAL DIRECT INCOME	(40,617)	(35,600)	(35,600)	(35,600)
NET DIRECT (INCOME) / EXPENDITURE	276,628	308,400	233,400	286,800
Support Services	60,037	161,300	77,500	70,100
NET (INCOME) / EXPENDITURE TO SUMMARY	336,665	469,700	310,900	356,900

Improving the quality of parks, open spaces and playgrounds.

Management of the technical aspects of the parks service including, bowling green maintenance, sports pitch maintenance, floral displays, bedding, sustainable planting, tree and woodland management, and nature reserves.

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NEIGHBOURHOOD SERVICES

	ORIGINAL BUDGET 2017/18	LATEST BUDGET 2017/18	ORIGINAL BUDGET 2018/19
ACTUAL 2016/17			

	£	£	£	£
<u>S1270 GREEN SPACE DEVELOPMENT</u>				
DIRECT EXPENDITURE				
Employees	237,690	235,300	255,900	278,600
Premises	227,915	133,600	383,900	182,200
Transport	7,882	5,000	5,000	-
Supplies and Services	130,702	45,000	183,400	45,000
Third Party Payments	58,971	29,000	54,000	29,000
TOTAL DIRECT EXPENDITURE	663,160	447,900	882,200	534,800
DIRECT INCOME				
Other Grants and Contributions	(436,516)	(2,600)	(73,400)	(2,600)
Other Income	(8,207)	(4,400)	(4,400)	(4,400)
Fees and Charges	(1,250)	-	-	-
Rents	(2,290)	-	-	-
TOTAL DIRECT INCOME	(448,263)	(7,000)	(77,800)	(7,000)
NET DIRECT (INCOME) / EXPENDITURE	214,897	440,900	804,400	527,800
Support Services	419,659	747,300	546,500	559,900
Capital Charges	204,556	279,500	212,600	496,200
Recharges	(22,800)	-	(22,800)	(38,800)
NET (INCOME) / EXPENDITURE TO SUMMARY	816,312	1,467,700	1,540,700	1,545,100

A contract with The Landscape Group (now called Idverde), started on 1st April 2013 for a period of 8 years. The contract includes the maintenance of all parks and amenity land including the following areas:

Kenilworth Kenilworth	200 acres (including Abbey Fields 68 acres, Castle Farm 37 acres, Common 33 acres and Crackley Woods 30 acres).
Royal Leamington Spa	600 acres (including Newbold Common 300 acres, Victoria Park 23 acres

Royal Leamington Spa 600 acres (including Newbold Comyn 509 acres, Victoria Park 25 acres, Welches Meadow 22 acres, Jephson Gardens 16 acres, Campion venue Park 15 acres). Hills 15 acres and Mason

Warwick 270 acres (including St. Mary's Lands 150 acres, St. Nicholas Park 45 acres, Priory Park 25 acres and Myton Fields 14 acres).

Newbold Comyn, Edmondscote Athletic Track and Victoria Park including the bowling greens which are used for National Championships.

Cemeteries including interment.

Jephson Garden with its Green Flag status, St. Nicholas Park, Abbey Fields, Priory Park, St. Mary's Lands.

Grass verge mowing, all floral bedding, floral displays and maintenance of local nature reserves.

All public open spaces, housing sites, grass cutting which includes Warwickshire County Council Highway work.

Play areas, footpaths, car parks at parks and open spaces, shrubberies.

TREES

The maintenance of WDC trees is carried out in partnership with WCC under a service level agreement.

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NEIGHBOURHOOD SERVICES

	ACTUAL 2016/17 £	ORIGINAL BUDGET 2017/18 £	LATEST BUDGET 2017/18 £	ORIGINAL BUDGET 2018/19 £
<u>\$1289 OPEN SPACES</u>				
DIRECT EXPENDITURE				
Premises	141,704	94,500	117,100	117,500
Supplies and Services	816	-	-	-
TOTAL DIRECT INCOME	142,520	94,500	117,100	117,500
Support Services	-	800	-	-
NET (INCOME) / EXPENDITURE TO SUMMARY	142,520	95,300	117,100	117,500

The Green Space Team manages and develops a large and diverse range of green spaces across the District, including urban parks and gardens, many wildlife sites, important heritage sites, play areas and a large proportion of accessible green space.

In addition the Team provides expert, specialist advice to planners and other departments in relation to existing green space and the provision of new green space. The Team works closely with colleagues in Contract Services in delivering well managed and maintained green spaces.

There are currently 6 full time employees:
 Green Space Manager x 1
 Green Space Project Team Leader x 1
 Green Space Development Officers x 3
 Community Ranger x 1

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NEIGHBOURHOOD SERVICES

	ACTUAL 2016/17 £	ORIGINAL BUDGET 2017/18 £	LATEST BUDGET 2017/18 £	ORIGINAL BUDGET 2018/19 £
<u>S1320 BEREAVEMENT SERVICES</u>				
DIRECT EXPENDITURE				
Employees	232,959	235,000	294,700	297,600
Premises	390,969	308,700	347,000	331,700
Transport	5,428	5,800	4,900	3,400
Supplies and Services	81,026	92,600	92,600	92,600
Third Party Payments	142,305	122,800	133,800	137,300
TOTAL DIRECT EXPENDITURE	852,687	764,900	873,000	862,600
DIRECT INCOME				
Other Grants and Contributions	(151)	(2,900)	(2,900)	(2,900)
Other Income	(5,990)	(100)	(100)	(100)
Fees and Charges	(1,538,058)	(1,593,100)	(1,621,100)	(1,711,900)
Rents	(18,547)	(23,900)	(23,900)	(23,900)
TOTAL DIRECT INCOME	(1,562,746)	(1,620,000)	(1,648,000)	(1,738,800)
NET DIRECT (INCOME) / EXPENDITURE	(710,059)	(855,100)	(775,000)	(876,200)
Support Services	94,337	86,900	127,200	117,700
Capital Charges	(50,729)	120,100	119,800	197,600
NET (INCOME) / EXPENDITURE TO SUMMARY	(666,451)	(648,100)	(528,000)	(560,900)

Under the control of the Head of Neighbourhood Services the Bereavement Services Manager is responsible for this section.

The estimates reflect the cost of provision of Cemetery and Crematorium facilities and the upkeep of certain closed churchyards. The closed churchyards are:

All Saints)	
New Street)	Royal Leamington Spa
Leam Terrace)	

St. Mary Magdalene
St. Nicholas
St. Margaret's
St Michael's

Kenilworth
Whitnash
Budbrooke

There are areas at Leamington and Warwick cemeteries which were formerly Parish churchyard extensions taken over by the Local Authority and now officially closed.

St. Margaret's churchyard at Whitnash is maintained with voluntary assistance and the Council reimburses the costs incurred.

Following a service review presented to Members, 6 day operation at the Crematorium commenced on 1st April 2017.

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NEIGHBOURHOOD SERVICES

	ACTUAL 2016/17 £	ORIGINAL BUDGET 2017/18 £	LATEST BUDGET 2017/18 £	ORIGINAL BUDGET 2018/19 £
<u>S3100 ONE STOP SHOPS</u>				
DIRECT EXPENDITURE				
Employees	198,624	220,100	211,400	221,700
Premises	81	-	-	-
Transport	174	700	700	700
Supplies and Services	1,181	2,700	52,700	2,700
TOTAL DIRECT EXPENDITURE	200,060	223,500	264,800	225,100
DIRECT INCOME				
Other Income	(675)	-	-	-
TOTAL DIRECT INCOME	(675)	-	-	-
NET DIRECT (INCOME) / EXPENDITURE	199,385	223,500	264,800	225,100
Support Services	14,345	17,300	21,200	18,500
Recharges	(213,730)	(191,200)	(286,000)	(243,600)
NET (INCOME) / EXPENDITURE TO SUMMARY	-	49,600	-	-

Warwickshire Direct is a joint venture between Warwick District Council and Warwickshire County Council. We work in partnership with various Town and Parish Councils and other partners. Our teams are based within libraries at Kenilworth, Lillington and Whitnash, and provide a wide range of advice and information at a single point of contact. Warwickshire Direct - Warwick is based within Shire Hall, Warwick, whilst Warwickshire Direct - Leamington Spa is based within Riverside House. Costs of the service are recharged to users on the basis of statistics gathered over the year. A WDC initiated review of the OSS service is currently in progress due to report to the WDC Executive Committee in March 2018.

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NEIGHBOURHOOD SERVICES

	ACTUAL 2016/17 £	ORIGINAL BUDGET 2017/18 £	LATEST BUDGET 2017/18 £	ORIGINAL BUDGET 2018/19 £
<u>S3200 RECEPTION FACILITIES & LEAMINGTON OSS</u>				
DIRECT EXPENDITURE				
Employees	145,959	188,700	200,200	160,200
Transport	-	300	300	300
Supplies and Services	8,925	8,700	8,700	8,700
TOTAL DIRECT EXPENDITURE	154,884	197,700	209,200	169,200
Support Services	132,108	132,900	154,100	167,800
Recharges	(286,992)	(330,900)	(363,300)	(378,700)
NET DIRECT (INCOME) / EXPENDITURE	-	(300)	-	(41,700)

This budget is in respect of the main reception services provided at Riverside House. Reception staff provide a wide variety of information from Planning to Bus Passes.

Costs of the service are recharged to users on the basis of statistics gathered over the year.

S3400 PAYMENT CHANNELS

DIRECT EXPENDITURE				
Supplies and Services	26,647	21,500	24,500	21,500
Third Party Payments	85,777	120,000	92,000	120,000
TOTAL DIRECT EXPENDITURE	112,424	141,500	116,500	141,500
Support Services	31,124	35,700	42,500	20,500
Recharges	(143,548)	(177,200)	(159,000)	(162,000)

NET DIRECT (INCOME) / EXPENDITURE

-	-	-	-

Customers have a range of options for paying Council charges:

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

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

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NEIGHBOURHOOD SERVICES

ACTUAL	ORIGINAL	LATEST	ORIGINAL
2016/17	BUDGET	BUDGET	BUDGET
£	2017/18	2017/18	2018/19
	£	£	£

S3450 CUSTOMER SERVICE CENTRE**DIRECT EXPENDITURE**

Employees	23,758	-	-	-
Supplies and Services	(211)	-	-	-
Third Party Payments	19,221	-	9,000	-

TOTAL DIRECT EXPENDITURE

42,768	-	9,000	-
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Support Services	168	-	-	-
Recharges	(42,936)	-	(9,000)	-

NET DIRECT (INCOME) / EXPENDITURE

-	-	-	-

WDC telephony returned to Riverside House at the beginning of 2016/17 with all the calls going directly into the individual service areas.

S3655 HILL CLOSE GARDENS**DIRECT EXPENDITURE**

Supplies and Services	25,000	20,000	20,000	20,000
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NET DIRECT (INCOME) / EXPENDITURE

25,000	20,000	20,000	20,000

The Council have agreed to make a contribution of £20k per annum from 2015 until 2020 towards the maintenance of these historic Victorian gardens in Warwick.

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NEIGHBOURHOOD SERVICES

	ACTUAL 2016/17 £	ORIGINAL BUDGET 2017/18 £	LATEST BUDGET 2017/18 £	ORIGINAL BUDGET 2018/19 £
<u>S4060 STREET CLEANSING</u>				
DIRECT EXPENDITURE				
Premises	21,108	20,100	20,100	15,500
Transport	853	900	900	900
Supplies and Services	23,807	28,900	28,900	28,900
Third Party Payments	1,249,699	1,144,900	1,211,300	1,226,500
TOTAL DIRECT EXPENDITURE	1,295,467	1,194,800	1,261,200	1,271,800
DIRECT INCOME				
Other Income	(58,313)	-	-	-
TOTAL DIRECT INCOME	(58,313)	-	-	-
NET DIRECT (INCOME) / EXPENDITURE	1,237,154	1,194,800	1,261,200	1,271,800
Support Services	192,555	116,000	238,900	272,200
NET DIRECT (INCOME) / EXPENDITURE	1,429,709	1,310,800	1,500,100	1,544,000

Street cleansing is carried out at varying frequencies throughout the District as part of the new contract which commenced in April 2013 and covers the cleansing of public highways in urban and rural areas, shopping precincts, recycling centres, car parks and the emptying of litter bins. The three main town centres of Leamington Spa, Warwick and Kenilworth are cleansed continuously throughout the day to reduce the impact of litter on the environment. It is an 8 year contract delivered through Veolia.

In addition, there are four rapid response units able to deal quickly to reports of fly-tipping, accident debris, the removal of dead animals from the highway and to areas requiring additional cleansing in between the scheduled cleans. In late 2017 the RRU teams have started collecting evidence to support the enforcement of fly tipping.

NEIGHBOURHOOD SERVICES

	ACTUAL 2016/17 £	ORIGINAL BUDGET 2017/18 £	LATEST BUDGET 2017/18 £	ORIGINAL BUDGET 2018/19 £
<u>S4090 CONTRACT MANAGEMENT</u>				
DIRECT EXPENDITURE				
Employees	834,966	924,900	972,900	1,078,100
Premises	26,097	26,600	26,600	29,800
Transport	13,217	15,500	36,900	34,400
Supplies and Services	105,260	56,200	76,900	76,900
Third Party Payments	638,823	603,600	541,800	553,400
TOTAL DIRECT EXPENDITURE	1,618,363	1,626,800	1,655,100	1,772,600
DIRECT INCOME				
Other Income	(5,857)	-	-	-
Rents	(28,958)	(18,000)	(42,000)	(49,000)
TOTAL DIRECT INCOME	(34,815)	(18,000)	(42,000)	(49,000)
NET DIRECT (INCOME) / EXPENDITURE	1,583,548	1,608,800	1,613,100	1,723,600
Support Services	332,828	226,800	404,400	432,500
Recharges	(1,043,533)	(1,278,800)	(1,235,300)	(1,338,300)
NET DIRECT (INCOME) / EXPENDITURE	872,843	556,800	782,200	817,800

Waste Collection Services

The Contracts Services Manager has responsibility for the day to day management of this function. This includes the collection of non-recyclable waste, green and food waste recycling through a wheeled bin system on an alternate week collection schedule, together with the kerbside collection and sort of multi-materials, streets, car parks and the removal of abandoned vehicles.

There are currently 16 full time employees:

- Contract Service Manager
- Recycling and Waste Minimisation Officer
- Senior Contract Officer
- Contract Officers x 5
- Business Support & Development Manager
- System Development Officer
- Business Support Team Leader
- Business Support Officers x 5

Green Spaces Contract

The Contracts Services Manager has responsibility for the day to day management of this function. The contract includes the maintenance of all amenity land.

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

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NEIGHBOURHOOD SERVICES

	ACTUAL 2016/17 £	ORIGINAL BUDGET 2017/18 £	LATEST BUDGET 2017/18 £	ORIGINAL BUDGET 2018/19 £
<u>S4130 WASTE COLLECTION</u>				
DIRECT EXPENDITURE				
Supplies and Services	32,789	43,900	73,900	73,900
Third Party Payments	2,146,764	2,118,400	2,175,900	2,271,900
TOTAL DIRECT EXPENDITURE	2,179,553	2,162,300	2,249,800	2,345,800
DIRECT INCOME				
Other Income	(450,562)	(450,400)	(450,400)	(464,400)
Fees and Charges	(138,274)	(125,000)	(128,500)	(129,500)
TOTAL DIRECT INCOME	(588,836)	(575,400)	(578,900)	(593,900)
NET DIRECT (INCOME) / EXPENDITURE	1,590,717	1,586,900	1,670,900	1,751,900
Support Services	51,033	192,800	59,500	50,700
Capital Charges	246,214	87,900	244,800	256,400
NET DIRECT (INCOME) / EXPENDITURE	1,887,964	1,867,600	1,975,200	2,059,000

General

In April 2013 a new contract commenced for the provision of waste collection services, which is delivered via SITA. The collection and removal of abandoned vehicles is carried out under a contract managed and operated by WCC.

The contract period includes all bank holidays with the exception of Christmas Day and Boxing Day when alternative collection arrangements are made.

Waste Collection Services

The contract covers the collection of household waste from over 62,000 households throughout the District. Approximately 47,000 properties receive an alternate week kerbside collection via a wheeled bin system of non-recyclable waste (grey bin) and food/garden waste (green bin); 4,500 properties with storage and access difficulties remain on a weekly sack collection and the remaining properties are served by bulk/communal bin collections on a weekly basis. All properties, where practicable, receive a

served by bulk/communal bin collections on a weekly basis. All properties, where practicable, receive a fortnightly collection of dry recyclable material which is then sorted at the kerbside. Flats and other complexes are served by communal facilities.

A charge is made for the collection of bulky items such as refrigerators, freezers, cookers, furniture, also new and replacement receptacles including a delivery charge. Building and DIY waste and items classed as fixtures and fittings are not included within the scheme. No charge is currently made for the specialised clinical waste collection from designated properties.

These schemes form part of the Council's long term Waste Management Strategy which aims to encourage the minimisation of waste and to improve the rate of recycling.

There are also 26 communal recycling centres throughout the District to encourage recycling of bottles, cans and paper for those residents not wishing to or unable to participate in the kerbside schemes.

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NEIGHBOURHOOD SERVICES

	ACTUAL 2016/17 £	ORIGINAL BUDGET 2017/18 £	LATEST BUDGET 2017/18 £	ORIGINAL BUDGET 2018/19 £
<u>S4180 ABANDONED VEHICLES</u>				
INDIRECT EXPENDITURE				
Support Services	1,747	1,100	1,200	1,200
NET DIRECT (INCOME) / EXPENDITURE	1,747	1,100	1,200	1,200

The Council has a statutory duty to remove vehicles from the highway or land open to the public which are proven to be abandoned or are identified as a nuisance. A joint venture, in partnership with Warwickshire Police, Warwickshire Fire and Rescue Service and Warwickshire County Council, called Car Clear enables vehicles identified to be abandoned and at risk of vandalism to be removed within 24 hours under a contract managed by Warwickshire County Council.


S4811 WATERCOURSES & CULVERTS

DIRECT EXPENDITURE				
Premises	13,800	13,800	13,800	13,800
TOTAL DIRECT EXPENDITURE	13,800	13,800	13,800	13,800
DIRECT INCOME				
Other Grants and Contributions	(18,779)	(14,000)	(14,000)	(14,000)
TOTAL DIRECT INCOME	(18,779)	(14,000)	(14,000)	(14,000)

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NET DIRECT (INCOME) / EXPENDITURE	(4,979)	(200)	(200)	(200)
	<u> </u>	<u> </u>	<u> </u>	<u> </u>
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The Council is responsible for the discharge of the Land Drainage functions covered under the statutory requirement of the Land Drainage Act 1991 and the Local Government Act 1999.

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

 WARWICK DISTRICT COUNCIL	Finance & Audit Scrutiny Committee 25 September 2018	Agenda Item No. 6
Title	Work Programme & Forward Plan	
For further information about this report please contact	Graham Leach Democratic Services Manager & Deputy Monitoring Officer, 01926 456114 or committee@warwickdc.gov.uk	
Wards of the District directly affected	N/A	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	29 August 2018	
Background Papers	N/A	
This report is produced for Scrutiny meetings for governance purposes. It is part of the process for ensuring that the Council is held to account for the decisions it makes or may make.		

1. Summary

- 1.1 This report informs the Committee of its work programme for 2018 (Appendix 1) and of the current [September to November 2018 Forward Plan](#)

2. Recommendation

- 2.1 Members consider the work programme (Appendix 1) and agree any changes as appropriate.
- 2.2 The Committee to; identify any Executive items on the Forward Plan which it wishes to have an input before the Executive makes its decision; and to nominate a Member to investigate that future decision and report back to the Committee.

3. Reasons for the Recommendation

- 3.1 The work programme should be updated at each meeting to accurately reflect the workload of the Committee.
- 3.2 Two of the five main roles of overview and scrutiny in local government are to undertake pre-decision scrutiny of Executive decisions and to feed into policy development.
- 3.3 If the Committee has an interest in a future decision to be made by the Executive, or policy to be implemented, it is within the Committee's remit to feed into the process.
- 3.4 The Forward Plan is actually the future work programme for the Executive. If a non-executive member highlighted a decision(s) which is to be taken by the Executive which they would like to be involved in, that member(s) could then

provide useful background to the Committee when the report is submitted to the Executive and they are passing comment on it.

4. Background

- 4.1 The five main roles of overview and scrutiny in local government are: holding to account; performance management; policy review; policy development; and external scrutiny.
- 4.2 The pre-decision scrutiny of Executive decisions falls within the role of 'holding to account'. To feed into the pre-decision scrutiny of Executive decisions, the Committee needs to examine the Council's Forward Plan and identify items which it would like to have an impact upon.
- 4.3 The Council's Forward Plan is published on a monthly basis and sets out the key decisions to be taken by the Council in the next twelve months. The Council only has a statutory duty to publish key decisions to be taken in the next four months. However, the Forward Plan was expanded to a twelve month period to give a clearer picture of how and when the Council will be making important decisions.
- 4.4 A key decision is a decision which has a significant impact or effect on two or more wards and/or a budgetary effect of £50,000 or more.
- 4.5 The Forward Plan also identifies non-key decisions to be made by the Council in the next twelve months, and the Committee, if it wishes, may also pre-scrutinise these decisions.
- 4.6 There may also be policies identified on the Forward Plan, either as key or non-key decisions, which the Committee could pre-scrutinise and have an impact upon how these are formulated.
- 4.7 The Committee should be mindful that any work it wishes to undertake would need to be undertaken without the need to change the timescales as set out within the Forward Plan.
- 4.8 At each meeting, the Committee will consider their work programme and make amendments where necessary, and also make comments on specific Executive items, where notice has been given by 9am on the day of the Finance & Audit Scrutiny Committee meeting. The Committee will also receive a report detailing the response from the Executive, on the comments the Committee made on the Executive agenda in the previous cycle.
- 4.9 The Forward Plan is considered at each meeting and allows the Committee to look at future items and become involved in those Executive decisions to be taken, if members so wish.
- 4.10 As part of the new scrutiny process, the Committee is no longer considering the whole of the Executive agenda.

Finance and Audit Scrutiny Committee WORK PROGRAMME 2018/19

25 September 2018

Title	Audit Item or Scrutiny Item	Format	Lead Officer/ Councillor	Next report date if applicable	Completion date
Statement of Accounts 2017/18	Audit	Report	Mike Snow		
Scrutiny of Service Area Performance – Neighbourhood Services	Scrutiny	Written report followed by Q&A	Rob Hoof / Cllr Mrs Grainger		

30 October 2018

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

27 November 2018

Title	Audit Item or Scrutiny Item	Format	Lead Officer/ Councillor	Next report date if applicable	Completion date
Scrutiny of Service Area Performance – Development Services	Scrutiny	Written report followed by Q&A	Dave Barber / Cllrs Butler Rhead		
NFI and Corporate Fraud Team Update	Audit	Written report	Richard Barr Cllr Whiting		
TM Half Year Review	Audit	Written report	Karen Alison Cllr Whiting		
AGS Quarter 2 Action Plan Report	Audit	Written report	Richard Barr Cllr Whiting		
Use of Parent Companies update Report	Audit	Written report	Richard Barr Cllr Whiting		

8 January 2019

Title	Audit Item or Scrutiny Item	Format	Lead Officer/ Councillor	Next report date if applicable	Completion date
Scrutiny of Service Area Performance – Chief Executives	Scrutiny	Written report followed by Q&A	Chris Elliott / Cllr Mobbs		
Local Plan Infrastructure Delivery Plan	Scrutiny	Written report followed by Q&A	David Butler / Cllr Rhead		Six monthly update

5 February 2019

No planned items at this time

5 March 2019

Title	Audit Item or Scrutiny Item	Format	Lead Officer/ Councillor	Next report date if applicable	Completion date
Internal Audit Quarter 3 Progress Report	Audit	Written report followed by Q&A	Richard Barr		Quarterly
Internal Audit Strategic Plan (2019/20 to 2021/22)	Audit	Written report followed by Q&A	Richard Barr		
Annual Governance Statement Quarter 3 Action Plan Report	Audit	Written report followed by Q&A	Richard Barr		Quarterly
Scrutiny of Service Area Performance – Culture	Scrutiny	Written report followed by Q&A	Rose Winship / Cllr Coker		

2 April 2019

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

30 April 2019

No Planned items at this time

May 2019

Title	Audit Item or Scrutiny Item	Format	Lead Officer/ Councillor	Next report date if applicable	Completion date
Internal Audit Annual Report	Audit	Written report followed by Q&A	Richard Barr		Annually
Internal Audit Quarter 4 Progress Report	Audit	Written report followed by Q&A	Richard Barr		Quarterly
Annual Governance Statement	Audit	Written report followed by Q&A	Richard Barr		
Annual Governance Statement Quarter 4 Action Plan Report	Audit	Written report followed by Q&A	Richard Barr		Quarterly
Scrutiny of Service Area Performance – Health & Community Protection	Scrutiny	Written report followed by Q&A	Marianne Rolfe / Cllr Thompson		

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