

**To: Deputy Leader and Members of the Resources Board  
(Councillors D Wright, Davey, Davis, N Dirveiks,  
Henney, Simpson, Smitten, E Stanley and Waters)  
For the information of other Members of the Council**

**For general enquiries please contact Emma Humphreys/Amanda Tonks on 01827 719221 or via email – emmahumphreys@northwarks.gov.uk or amandatons@northwarks.gov.uk.**

**For enquiries about specific reports please contact the Officer named in the reports.**

**This document can be made available in large print and electronic accessible formats if requested.**

## **RESOURCES BOARD AGENDA**

**1 June 2015**

The Resources Board will meet in The Committee Room, at the Council House, South Street, Atherstone, CV9 1DE on **Monday, 1 June 2015 at 6.30pm.**

### **AGENDA**

- 1 Evacuation Procedure.**
- 2 Apologies for Absence / Members away on official Council business.**
- 3 Disclosable Pecuniary and Non-Pecuniary Interests.**

4 **Request for discussion and approval of remaining En Bloc items.**

5 **Public Participation**

Up to twenty minutes will be set aside for members of the public to ask questions or to put their views to elected Members. Participants are restricted to five minutes each. If you wish to speak at the meeting please contact Amanda Tonks/Emma Humphreys on 01827 719221 or email [democraticservices@northwarks.gov.uk](mailto:democraticservices@northwarks.gov.uk).

6 **Minutes of the Resources Board held on 26 January 2015** – copy herewith, to be approved as a correct record and signed by the Chairman.

7 **Overview of the Functions of the Resources Board** – Chris Brewer (Deputy Chief Executive).

#### **PART A – ITEMS FOR DISCUSSION AND DECISION (WHITE PAPERS)**

8 **Internal Audit – Plan of Work for 2015-16** – Report of the Deputy Chief Executive

##### **Summary**

The report explains the basis upon which the Audit Plan for 2015-16 has been developed, using a variety of sources of information to ensure that all appropriate aspects of service activity continue to be embraced as part of the approved three year review programme.

The Contact Officer for this report is Barbara Haswell (719416).

#### **PART B – ITEMS FOR EN BLOC DECISIONS (YELLOW PAPERS)**

9 **Annual Treasury Report 2014/15** – Report of the Deputy Chief Executive

##### **Summary**

This report shows the out-turn for 2014/15 and highlights any areas of significance.

The Contact Officer for this report is Stephen Robbins (719337).

- 10 **Progress Report on Achievement of Corporate Plan and Performance Indicator Targets April 2014- March 2015** – Report of the Chief Executive and Deputy Chief Executive.

**Summary**

This report informs Members of the progress with the achievement of the Corporate Plan and Performance Indicator targets relevant to the Resources Board for April 2014 to March 2015.

The Contact Officer for this report is Robert Beggs (719238).

- 11 **Risk Management Annual Report 2014/15** – Report of the Assistant Director (Finance and Human Resources)

**Summary**

This report is to inform Members of risk management actions undertaken during 2014/15 and the risks identified for 2015/16.

The Contact Officer for this report is Sue Garner (719374).

- 12 **Members' Allowances Out-turn for 2014/15** – Report of the Assistant Director (Finance and Human Resources)

**Summary**

The purpose of this report is to advise Members of the allowances paid for 2014/15. The Council also has a duty to publish the amounts paid to Members under the Members' Allowance Scheme.

The Contact Officer for this report is Nigel Lane (719371).

- 13 **The Arcade – Community Use** – Report of the Assistant Director (Streetscape).

**Summary**

This report presents Members with a copy of the annual report on the community use of The Arcade, Atherstone, submitted by Atherstone Town Council.

The Contact Officer for this report is Richard Dobbs (719440).

- 14 **Minutes of the Housing Sub-Committee held on 20 April 2015** - (copy herewith to be received and noted).

**PART C – EXEMPT INFORMATION  
(GOLD PAPERS)**

**15 Exclusion of the Public and Press**

**Recommendation:**

**That under Section 110A(4) of the Local Government Act 1972, the public and press be excluded from the meeting for the following items of business, on the grounds that they involve the likely disclosure of exempt information as defined by Schedule 12A to the Act.**

**16 Housing Maintenance Section – Staff Requirements – Report of the Assistant Director (Housing).**

The Contact Officer for this report is Angela Coates (719369).

**17 Disposal of Coleshill Leisure Centre – Report of the Assistant Director (Streetscape) – REPORT TO FOLLOW.**

The Contact Officer for this report is Richard Dobbs (719440).

**18 Irrecoverable Local Taxation Debts – Report of the Assistant Chief Executive (Community Services).**

The Contact Officer for this report is Bob Trahern (719378).

JERRY HUTCHINSON  
Chief Executive

## NORTH WARWICKSHIRE BOROUGH COUNCIL

### MINUTES OF THE RESOURCES BOARD

26 January 2015

Present: Councillor Moore in the Chair

Councillors Butcher, N Dirveiks, Forwood, Humphreys, Johnston, Smith and Winter

An apology for absence was received from Councillor Davis.

Councillors B Moss and M Moss were also in attendance.

#### 54 **Disclosable Pecuniary and Non-Pecuniary Interests**

None were declared at the meeting.

#### 55 **Minutes of the Resources Board held on 17 November 2014**

The minutes of the meeting of the Board held on 17 November 2014, copies having previously been circulated, were approved as a correct record and signed by the Chairman.

#### 56 **Parking Places Order**

The Assistant Director (Streetscape) asked Members to consider the written objections received in relation to the revised Parking Places Order and associated Schedule(s) and to decide whether any amendments to the Order and Schedule were required as a result.

##### **Recommended:**

**That the revised Parking Places Order be approved, subject to the following amendment:**

- **Bus Station, Atherstone – A designated loading area should be created with a maximum waiting time of 30 minutes which ensures that a safe pedestrian walkway is maintained at all times.**

#### 57 **Information Security Policy**

The Assistant Director (Corporate Services) sought approval for the Council's Information Security Policy. The Policy was needed to help protect the Council's information and ensure it was used legally and effectively.

**Recommendation to the Executive Board:**

**That, the updated Information Security Policy, attached as Appendix A to the report of the Assistant Director (Corporate Services), be approved.**

**58 Corporate Plan 2015 – 16**

The Chief Executive sought approval for the Corporate Plan Key Actions for which it was responsible and the Board was asked to agree the 2015-16 Service Plans for the Housing, Finance and Human Resources, Community Services and Corporate Service Divisions and the Internal Audit Service.

**Recommendation to the Executive Board:**

- a That those Corporate Plan Key Actions, as set out in Appendix A to the report of the Chief Executive, for which the Resources Board is responsible be agreed; and**

**Resolved:**

- b That those elements of the Service Plans that are the responsibility of the Resources Board, as set out in Appendix B to the report, be agreed.**

**59 General Fund Fees and Charges 2015/16**

The Assistant Chief Executive and Solicitor to the Council, Assistant Director (Streetscape), Assistant Chief Executive (Community Services), Assistant Director (Housing), and Assistant Director (Finance and Human Resources) reported on the fees and charges for 2014/15 and the proposed fees and charges for 2015/2016.

**Resolved:**

**That, subject to the corrected CCTV charge, the schedule of fees and charges for 2015/2016, set out in the report of the Assistant Chief Executive and Solicitor to the Council, Assistant Director (Streetscape), Assistant Chief Executive (Community Services), Assistant Director (Housing) and Assistant Director (Finance and Human Resources), be agreed.**

**60 General Fund Revenue Estimates 2015/16 – Services Recharged Across All Boards**

The Deputy Chief Executive reported on the revised budget for 2014/15 and an estimate of expenditure for 2015/16, together with forward commitments for 2016/17, 2017/18 and 2018/19.

**Resolved:**

- a That the revised budget for 2014/15 be accepted; and

**Recommendation to the Executive Board:**

- b That, with the addition of the growth item relating to the Council House, the Estimates of Expenditure for 2015/16, as submitted in the report of the Deputy Chief Executive, be included in the budget to be brought before the meeting of the Executive Board on 10 February 2015.

**61 General Fund Revenue Estimates 2015/16 – Services Remaining within the Board**

The Deputy Chief Executive reported on the revised budget for 2014/15 and gave an estimate of expenditure for 2015/2016, together with forward commitments for 2016/17, 2017/18 and 2018/19.

**Resolved:**

- a That the revised budget for 2014/15 be accepted; and

**Recommendation to Executive Board:**

- b That the Estimates of Expenditure for 2015/16, as submitted in the report of the Deputy Chief Executive, be included in the budget to be brought before the meeting of the Executive Board on 10 February 2015.

**62 General Fund Revenue Estimates 2014/2015 – Summary**

**Summary**

The Deputy Chief Executive reported on the revised budget for 2014/15 and gave an estimate of expenditure for 2015/16, together with forward commitments for 2016/17, 2017/18 and 2018/19.

**Recommendation to Executive Board:**

**That the following items be recommended to the Executive Board for consideration in setting the Council Tax of the Borough Council:**

- a The revised budget for 2014/15; and
- b The schedule of expenditure requirements totalling £8,795,330 for 2015/2016, and the growth item set out in paragraph 7.2 of the report of the Deputy Chief Executive.

**63 Housing Revenue Account Estimates 2015/16 and Rent Review**

The Deputy Chief Executive reported on the revised budget for 2014/15 and gave an estimate of expenditure for 2015/16, together with forward commitments for 2016/17, 2017/18 and 2018/19.

**Resolved:**

- a That the revised estimates for 2015/16 be accepted;**
- b That rent increases, calculated on the basis of CPI plus 1%, be adopted;**
- c That the proposed fees and charges for 2015/16 as set out in Appendix D to the report of the Deputy Chief Executive, be approved;**
- d That the service charges for the cleaning of communal areas, as detailed in Appendix E to the report of the Deputy Chief Executive, be approved from April 2015;**
- e That the service charges for window cleaning, as detailed in Appendix F to the report of the Deputy Chief Executive, be approved from April 2015;**
- f That the Estimates of Expenditure for 2015/16, as submitted, be approved; and**
- g That the impact of the new rent policy for the 30 Year Business Plan be reported to the Housing Sub-Committee for consideration before a future meeting of the Resources Board.**

**64 Capital Programme Bids 2015/16 to 2017/18**

The Assistant Director (Finance and Human Resources) identified proposals for schemes to be included within the Council's capital programme over the next three years.

**Recommendation to the Executive Board:**

- a That the schemes shown in Appendix A to the report of the Assistant Director (Finance and Human Resources), previously approved within the Council's three-year capital programme, including any 2017/18 additions relating to previously approved schemes be approved;**



- b That the schemes shown in Appendix B to the report of the Assistant Director (Finance and Human Resources) which will not be included within the capital programme be noted; and**
- c That the proposed vehicle replacement schedule, shown in Appendix C to the report of the Assistant Director (Finance and Human Resources) be approved.**

**65 Internal Audit – Performance for Third Quarter 2014-15**

The Deputy Chief Executive detailed the progress of the Council's Internal Audit function against the agreed plan of work for the year.

**Resolved:**

**That the report be noted.**

**66 Progress Report on Achievement of Corporate Plan and Performance Indicator Targets April – December 2014**

The Chief Executive and Deputy Chief Executive informed Members of the progress with the achievement of the Corporate Plan and Performance Indicator targets relevant to the Resources Board for April to December 2014.

**Resolved:**

**That the report be noted.**

**67 Treasury Management Strategy Statement, Minimum Revenue Provision Policy Statement and Annual Investment Strategy for 2015/16**

The Deputy Chief Executive outlined the Treasury Management Strategy, Minimum Revenue Provision Policy Statement and Investment Strategy for 2015/16.

**Resolved:**

**That the proposed strategies for 2015/16 be approved.**

**68 Minutes of the Housing Sub-Committee held on 5 January 2015**

The minutes of the Housing Sub-Committee were approved.

69 **Exclusion of the Public and Press**

**Resolved:**

**That under Section 100A(4) of the Local Government Act 1972, the public and press be excluded from the meeting for the following items of business, on the grounds that they involve the likely disclosure of exempt information as defined by Schedule 12A to the Act.**

70 **Land at Hartshill**

The Assistant Director (Streetscape) advised Members on a request for the transfer of a small parcel of land.

**Recommendation to the Council:**

- a **That the parcel of land at Willow Close, Hartshill as shown in the report of the Assistant Director (Streetscape) be marked surplus to requirements of the Council and its transfer be agreed without charge as detailed in paragraph 3.3 of the report; and**
- b **That any reasonable legal costs incurred by the land owner relating to the transfer be met by the Council.**

71 **Request for Licence for Access over land at Kingsbury**

The Assistant Director (Housing) informed Members of a request from a resident in Kingsbury to have a retrospective licence to use Council's land.

**Resolved:**

**That the retrospective application for a licence be refused.**

CHAIRMAN

**1 Summary**

- 1.1 The report explains the basis upon which the Audit Plan for 2015-16 has been developed, using a variety of sources of information to ensure that all appropriate aspects of service activity continue to be embraced as part of the approved three year review programme.

<p><b>Recommendation to the Board</b></p> <p><b>That the Audit Plan for 2015-16 be approved.</b></p>
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**2 Report**

- 2.1 The Public Sector Internal Audit Standards document governs how Internal Audit in the public sector operates, and requires the Council to establish risk-based audit plans to determine the priorities of the internal audit activity consistent with the council's goals. An annual plan is used to enable the Chief Executive to produce an annual internal audit opinion on the assurance framework and to effectively manage the internal audit activity, ensuring that it adds value to the organisation.

- ... 2.2 The Audit Plan for 2015-16, which is attached as Appendix A reflects the assessment of risk, based upon defined criteria and the results of audits completed during recent years. The number of productive audit days remains constant with last year and given that over a period of three years the existing cyclical plan has been successfully completed, it has been decided that a change in focus for each audit will increase the benefit to each service.

- 2.3 As well as risk data, the Annual Plan also takes account of the external auditor's (PWC) requirement that key controls over fundamental systems are reviewed annually. Added to this reviews are based upon:
- National Government initiatives or flavours
  - Level of budget allocation
  - Any incidents of potentially fraudulent or corrupt activity
  - Any past history of weaknesses or problems, staffing changes or new/replacement software
  - Experience of delivery of the audit programme in previous years.

- Knowledge sharing with other similar authorities, external auditors and IT auditors of potentially weak or newly attractive activities.

The above considerations are also reflected in fundamental system work where the Plan does not call for a full audit.

2.4 This year, as referred to in 2.2, the individual audits will be focussed on reviewing all aspects of any particular service which upon completion will provide a more comprehensive opinion on the level of assurance given by the audit team. Previously there were several corporate audits carried out which resulted in a fragmented outcome for some services. Each review carried out this year will address all key areas of the service structure at the same time looking in depth at costs, risks, performance, management, counter fraud measures, value for money and identifying any potential for improvement or increased efficiency. This will pull together all audit work completed and enable service managers to form a view of the success of their service from one overarching report.

### 3 Report Implications

#### 3.1 Risk Management Implications

3.1.1 The Audit Plan for 2015-16 takes specific account of the Council’s strategic and operational risks.

3.1.2 Failure to produce and deliver an appropriate and flexible audit plan built on sound evidence may result in criticism from the external auditors.

#### 3.2 Links to Council’s Priorities

3.2.1 The Audit Plan for 2015-16 takes into account Council key priorities as outlined in a variety of documents.

The Contact Officer for this report is Barbara Haswell (719416).

#### Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

## APPENDIX A

**NORTH WARWICKSHIRE BOROUGH COUNCIL  
STRATEGIC AUDIT PLAN 2015/16**

**Estimate of Available Resources**

Internal Audit Section has an establishment of 2.5 full-time equivalent auditors. There is also budgetary provision to buy-in any necessary specialist one off support for the audit of IT. Counter Fraud support through TIAA (formerly CEAC) continues to be sourced.

**Calculation of Available Days:**

52 weeks x 5 days X 2.5	=	650 days
less bank holidays 12 X 2.5	=	30 days
less sickness provision 3%		19 days
less annual leave		75 days
Gross days available		<b>526 days internal resources</b>

**Allocation of Available Resources**

<b>START:</b>		<b>526 days</b>
Less		
Training & Development, general duties	22 days	
Management, planning, corporate	85 days	
	<b>107 days</b>	
<b>SECTION 151 ACTIVITIES</b>		<b>419 days</b>
<b>Consultancy/Contingency</b>		
• Contingency	15 days	
• Consultancy	25	
• External Audit	5	
	<b>45 days</b>	
<b>Special Investigations</b>	<b>15 days</b>	
<b>Strategic Audit Plan</b>		<b>359 days</b>
Cyclical Programme shows		<b>359 days</b>

## INTERNAL AUDIT PLAN FOR 2015-16

Strategic Audit Plan – Available Days

359 days

### Key Financial Systems

• Main Accounting	10
• Creditors	10
• Budgetary Control/Budgeting	3
• Payroll	10
• Benefits	20
• Capital Expenditure/Accounting	3
• Council Tax	15
• Cash and banking	10
• NDR	10
• Debtors	5
• Asset Management	2
• Housing Rents	10
• Treasury Management	3
	<u>111</u>

### Corporate Audits

Performance Indicators and performance management	5
Risk Management	10
NFI	5
Health and Safety	20
VAT	5
Insurances	8
Flexible working	15
	<u>68</u>

### Deputy CEO

#### Corporate Services

Printing and stationery	10
Procurement and contracts	10

#### Finance & HR

Training & development-appraisals etc	5
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#### Housing

Maintenance & Repairs inc stores & vehicles	35
Supporting Older people inc boro care vehicles	10
CCTV	5

#### Leisure & Community

Leisure centres and IT system	30
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#### Streetscape

Recycling	25
Office cleaning	5
	<u>135</u>

### ACEO & StC

Licensing – food	10
Council House sales	5
Commercial property- ind estates	10
Forward Planning & Local Plan	10
Land Charges	10
	<u>45</u>
	<u>359</u>

**Agenda Item No 9**

**Resources Board**

**1 June 2015**

**Report of the  
Deputy Chief Executive**

**Annual Treasury Report for  
2014/15**

**1 Summary**

- 1.1 This report shows the out-turn for 2014/15 and highlights any areas of significance.

**Recommendation to the Board**

- a That the Annual Treasury Report for 2014/15 be noted;**

**Recommendation to the Council**

- b That the Annual Treasury Report be approved.**

**2 Report**

- 2.1 The Council is required through regulations issued under the Local Government Act 2003 to produce an annual treasury report reviewing treasury management activities and the actual prudential and treasury indicators for 2014/15. This report meets the requirements of both the CIPFA Code of Practice on Treasury Management 2009 (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Prudential Code).
- 2.2 During 2014/15 the minimum reporting requirements were that the Resources Board and full Council should receive the following reports:
- An annual treasury strategy in advance of the year (Resources Board 27 January 2014);
  - A mid year treasury update report (Resources Board 17 November 2014); and
  - An annual report following the year describing the activity compared to the strategy (this report).

- 2.3 In addition, a report on the treasury management position at quarter 1 was received on 1 September 2014.
- 2.4 The regulatory environment places an onus on Members for the review and scrutiny of treasury management policy and activities. This report is important in that respect, as it provides details of the outturn position for treasury activities and highlights compliance with the Council's policies previously approved by Members.
- 2.5 This Council also confirms that it has complied with the requirement under the Code to give prior scrutiny to all of the above treasury management reports by the Resources Board before they were reported to the full Council. Member training on treasury management issues was undertaken in March 2010 in order to support Members' scrutiny role. No further training took place in 2014/15.
- 2.6 Treasury Management in this context is defined as: *The management of the local authority's investments and cash flows, its banking, money market and capital transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.*
- 2.7 The Annual Treasury report covers:
- The Council's treasury position as at 31 March 2015
  - Performance measurement
  - The strategy for 2014/15
  - The economy in 2014/15
  - The Borrowing out-turn for 2014/15
  - Compliance with treasury limits and Prudential Indicators
  - Investment rates in 2014/15
  - Investment out-turn for 2014/15

### 3 Current Treasury Position as at 31 March 2015

- 3.1 The Council's debt and investment position at the beginning and end of the year was as follows:

	31 March 2014 Principal £m	Ave Rate %	31 March 2015 Principal £m	Ave Rate %	Average Life Years
Fixed Rate Funding: PWLB	57.539	2.53	56.289	2.62	11.20
Short-term Funding	0	0	0	0	0
<b>Total Debt</b>	<b>57.539</b>	<b>2.53</b>	<b>56.289</b>	<b>2.62</b>	<b>11.20</b>
Investments	12.380	0.75	12.354	0.86	183 days



- 3.2 The investments held include £630,981 held on behalf of other organisations (£630,981 in 2013/14).

#### **4 Performance Measurement**

- 4.1 Part of the Code relates to the use of performance measurement relating to investments, debt and capital financing activities. Whilst investment performance criteria have been well developed, this is still a difficult area for a small Authority with limited cash balances, as generally we are only able to place funds for short periods and consequently at lower rates. For this reason, we measure investment interest against the 7 day LIBID rate.

- 4.2 As a member of the Capita Investment Benchmarking Group for the region, we can compare our treasury performance against those of other authorities in the Warwickshire, Worcestershire and Oxfordshire region. Overall for 2014/15, our performance has compared favourably to these authorities, with our investment portfolio deemed to have been 'Above' the benchmarked performance.

#### **5 The Strategy for 2014/15**

- 5.1 Within the Treasury Strategy for 2014/15 it was assumed that interest rates would remain at their low levels of 0.5%. Variable or short-term rates were expected to be the cheaper form of borrowing over the period. The economy was assumed to remain on a cautious footing given the continued recovery from the 2008 banking crisis, the looming General Election and the wider financial uncertainty across the globe.

- 5.2 In this scenario, the treasury strategy was to postpone external borrowing to avoid the cost of holding higher levels of investments and to reduce counterparty risk. As a result we continue to use internal borrowing for General Fund debt.

- 5.3 The strategy originally adopted in the Treasury Management Strategy Report for 2014/15 approved by Council on 26 February 2014, was subject to some limited revision during the year in order to give more flexibility in placing investment funds.

#### **6 Borrowing Outturn for 2014/15**

- 6.1 The Council's external borrowing of £56.289 million at the 31 March 2015 is shown below, and relates entirely to the Housing Revenue Account (HRA). The repayments have been profiled to take account of expected surpluses in the HRA, having regard to the HRA Business Plan, whilst still allowing some flexibility within the plan for unexpected events.

<b>Years</b>	<b>Total loans £000</b>	<b>Rate %</b>
1-5	7,800	0.99-1.99
6-10	11,210	1.21-2.82
11-15	14,300	2.92-3.21
16-19	12,979	3.26-3.34
20-25	0	0.00
25-30	10,000	3.49 – 3.50

6.2 The Council had no short term borrowing during the year.

## 7 **Investment Out-Turn for 2014/15**

7.1 The Council's investment policy is governed by CLG guidance, which has been implemented in the annual investment strategy. The Council manages its investments in-house with the institutions which fulfil its requirements with regards to credit ratings and security. Investments were made for a range of periods, although predominantly in call accounts, Certificate of Deposits, enhanced money market funds and money market funds.

7.2 The Council invested with external bodies on 81 occasions when the bank accounts had a surplus of funds. Investments were made in a Certificate of Deposit (through broker King & Shaxson) on 2 occasions and in a Money Market Fund 73 times. The remaining 6 investments were with banks for a fixed term. Funds were invested over a range of periods to take advantage of favourable interest rates or to fund expenditure later in the year, e.g. payment of precepts. The average amount invested was £1,140,048. The average total investment held was £15.8 million, and the rate of return was 0.83%, compared with the average 7 day rate of 0.44%, earning a total of £117,110 in the year.

## 8 **Prudential Indicators**

8.1 The 2003 Prudential Code for Capital Finance in Local Authorities introduced requirements for the way in which capital spending plans are to be considered and approved. The prudential code was developed which requires the Council to consider the affordability of its proposals, their prudence and sustainability, value for money, asset management planning, practicality and service objectives.

8.2 The Council is required to set and review regularly a range of indicators that have been developed as part of the Code, which will be used to support capital investment decision-making. In February 2014, the capital prudential indicators for 2014/15 were reported to the Executive Board as part of the 3-Year Capital programme and the treasury indicators were reported to the

Resources Board as part of the Council's Treasury Policy Statement and Annual Treasury Strategy Statement.

8.3 During the financial year the Council operated within the treasury limits. The Council's Prudential indicators will be reported to Executive Board in June.

## 9 Report Implications

### 9.1 Finance and Value for Money Implications

9.1.1 During 2014/15 the net interest earned on investments was £117,110.

### 9.2 Environment and Sustainability Implications

9.2.1 By having effective and prudent treasury management, this contributes towards sustainability and providing services that improve the quality of life for the communities of North Warwickshire.

### 9.3 Risk Management Implications

9.3.1 Credit ratings are used in assessing the institutions on the lending list and the maximum investment level permitted.

The Contact Officer for this report is Stephen Robbins (719337).

## Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

## Agenda Item No 10

### Resources Board

1 June 2015

#### Report of the Chief Executive and the Deputy Chief Executive

#### Progress Report on Achievement of Corporate Plan and Performance Indicator Targets April 2014 - March 2015

#### 1 Summary

- 1.1 This report informs Members of the progress with the achievement of the Corporate Plan and Performance Indicator targets relevant to the Resources Board for April 2014 to March 2015.

#### **Recommendation to the Board**

**That Members consider the performance achieved and highlight any areas for further investigation.**

#### 2 Consultation

- 2.1 Consultation has taken place with the relevant Members and any comments received will be reported at the meeting.

#### 3 Background

- 3.1 This report shows the end of year position with the achievement of the Corporate Plan and Performance Indicator targets for 2014/15. This is the fourth report showing the progress achieved so far during 2014/15.

#### 4 Progress achieved during 2014/15

- 4.1 Attached at Appendices A and B are reports outlining the progress achieved for all the Corporate Plan targets and the performance with our local performance indicators during April to March 2014/15 for the Resources Board.

- 4.2 Members will recall the use of a traffic light indicator for the monitoring of the performance achieved.

Red – target not achieved (shown as a red triangle)

Green – target achieved (shown as a green star)

## 5 Performance Indicators

- 5.1 The current performance indicators have been reviewed by each division and Management Team for monitoring for the 2014/15 year.

## 6 Overall Performance

- 6.1 The Corporate Plan performance report shows that 88% of the Corporate Plan targets and 73% of the performance indicator targets have been achieved. Individual comments from the relevant division have been included where appropriate. The table below shows the following status in terms of the traffic light indicator status:

### Corporate Plan

Status	Number	Percentage
Green	7	88%
Red	1	12%
Total	8	100%

### Performance Indicators

Status	Number	Percentage
Green	16	73%
Red	6	27%
Total	22	100%

## 7 Summary

- 7.1 Members may wish to identify any areas that require further consideration where targets are not currently being achieved.

## 8 Report Implications

### 8.1 Safer Communities Implications

- 8.1.1 There are community safety performance indicators which are reported to Executive Board.

## 8.2 Legal and Human Rights Implications

8.2.1 The national indicators were specified by the Secretary of State for Communities and Local Government. They have now been ended and replaced by a single list of data returns to Central Government from April 2011.

## 8.3 Environment and Sustainability Implications

8.3.1 Improvements in the performance and quality of services will contribute to improving the quality of life within the community. There are a number of actions and indicators which contribute towards the priorities of the sustainable community strategy including customer access strategy, outreach services, financial inclusion, health and well being services and decent and affordable housing.

## 8.4 Risk Management Implications

8.4.1 Effective performance monitoring will enable the Council to minimise associated risks with the failure to achieve targets and deliver services at the required performance level.

## 8.5 Equality Implications

8.5.1 There are a number of equality related actions and indicators highlighted in the report including improving broadband access, the borough care review and procurement strategy and practices.

## 8.6 Links to Council's Priorities

8.6.1 There are a number of targets and performance indicators contributing towards the priorities of access to services, tackling health inequalities, achieving a balanced budget and developing our workforce.

The Contact Officer for this report is Robert Beggs (719238).



### Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date
None			

	Action	Priority	Reporting Officer	Update	Status	Direction
NWCP 039	To continue to contribute to the effectiveness and savings targets through delivery projects which help implement the Procurement and Commissioning Strategy	Public Services & Council Tax	Bird, Linda	Work on specific projects, to support the delivery of the Strategy, such as the implementation of e-tendering and quarterly spend analysis have been completed as planned.	★ Green	↑
NWCP 040	To update the Council's ICT Strategy by March 2015 and to continue to contribute to the effective provision of services through implementing the actions and projects which help deliver the ICT Strategy	Public Services & Council Tax	Bird, Linda	A draft Strategy has been completed and has been through officer consultation. It will be reported to the next round of Boards.	Red	↓
NWCP 041	To monitor the operation of the Housing Revenue Account Business Plan and maintain a 30 year	Public Services & Council Tax	Garner, Sue	The Business Plan has been updated	★ Green	↑
NWCP 043	To undertake work in line with the Human Resources Strategy, including a) Monitoring/managing sickness absence;b) Ensuring compliance with employment legislation and report by March 2015	Local Employment	Garner, Sue	Training on the management of sickness absence has been delivered. Absence is monitored throughout the year. A new Reference Policy was approved during the year, in addition to the review and update of a number of existing policies.	★ Green	↑
NWCP 050	To work through a programme of key Council buildings community buildings, shops and industrial units, including seeking ways to reduce, where possible, our carbon footprint	Public Services & Council Tax	Dobbs, Richard	Energy efficiency measures have been introduced as part of the works to the Council Offices including roof insulation, new windows, LED lighting, new efficient boilers and BMS. CLC included renewables and meets current building standards for energy efficiency - highly inefficient buildings such as the Arcade and old Coleshill leisure centre have been (or will be) disposed of.	★ Green	↑
NWCP 082	To work to improve broadband access for the people and businesses of North Warwickshire through the work of the Council and specifically the Coventry, Solihull and Warwickshire BDUK Project	Access to Services	Bird, Linda	Recommendation on the principle of further match funding was approved by Council. Reports were considered by Exec Board and a provisional allocation of funding was agreed during the budget process. The 100th Cabinet to be commissioned was located in Kingsbury.	★ Green	↑
NWCP 084	To implement the work of the Task and Finish Group established to review the Borough Care Service and deliver any actions agreed by the Resources Board as part of the review	Housing	Coates, Angela	The Task Group has been meeting regularly to consider the service.	★ Green	↑

NWCP Resources 14/15

	Action	Priority	Reporting Officer	Update	Status	Direction
NWCP 088	To update Standing Orders and procurement practices to comply with modernised EU Procurement Rules when they become effective (estimated to be during 2014)	Public Services and Council Tax	Bird, Linda	Changes to the EU Procurement Regulations were reported to June Resources Board and the Public Contract Regulations 2015 came in to force on 26 February 2015. Advice on their impact and compliance has been issued to Officers and CSO's are being updated.	 Green	



Ref	Description	Section	Priority	Year End Target	Performance	Traffic Light	Direction of Travel	Comments
NWLPI 052	The % of invoices for commercial goods and services which were paid by the authority within 30 days of such invoiced being received by the Authority (former BV8)	Financial Accountancy	Public Services & Council Tax	98	95.43	▲ Red	➡	Following a dip in performance, the process has been reviewed and amended. Performance has since improved.
NWLPI 054	The proportion of working days / shifts lost to sickness absence (former BV12)	Human Resources	Public Services & Council Tax	8.5	12.33	▲ Red	➡	There were some significant long term sickness cases in the year.
NWLPI 055	Voluntary leavers as a % of staff in post (former BV13)	Human Resources	Public Services & Council Tax	10	13.39	▲ Red	➡	A high proportion of leavers were from the Leisure & Community Development division, which is an industry which has higher average turnover figures. Also there were a number of retirements in the year.
NWLPI 57	Percentage of calls answered through the Central Control system within 60 seconds. (TSA national standard 96.5%):	Community Support	Housing	99	99.50%	★ Green	➡	
NWLPI 135	Percentage of response repairs completed right first time	Housing Maintenance	Housing	94.90%	89.30%	▲ Red	➡	Performance is generally dampened because it is not possible to carry all of the gas parts needed to repair gas boilers as van stock.
NWLPI 068	Gas certificates completed	Housing Maintenance	Housing	100.00%	100.00%	★ Green	➡	
@NW:NI156	Number of households living in temporary accommodation (snapshot at end of each quarter)	Housing Management	Housing	3	0	★ Green	➡	
NWLPI 136	Number of tenants with more than 7 weeks rent arrears	Housing Management	Housing	2.75%	2.67%	★ Green	➡	
NWLPI 070	Average time taken to re-let local authority housing (former BV212)	Housing Management	Housing	22 days	45 days	▲ Red	➡	This improved from 67 days at the beginning of the year. This was because of the increase in number of tenancies becoming available due to welfare reforms.
NWLPI 039	The percentage availability of corporate systems available to users Monday to Friday 8.00 am to 5.30 pm :	Computer Services	Public Services & Council Tax	99.7	99.95	★ Green	➡	
NWLPI 040	The percentage of initial response to helpdesk calls within four hours of a call being placed :	Computer Services	Public Services & Council Tax	95	97	★ Green	➡	
NWLPI 041	Percentage of Service Desk Calls resolved in target (total of IS3 to IS6)	Computer Services	Public Services & Council Tax	95	97	★ Green	➡	
NWLPI 096	The Percentage of Calls answered in 20 seconds in the contact centre	Revenues & Benefits	Public Services & Council Tax	75	78	★ Green	➡	

NWLPI 100	Housing Benefit Security: : The number of prosecutions and sanctions, per 1,000 caseload (former BV76d)	Revenues & Benefits	Public Services & Council Tax	20	21	Green	👍	
@NW:NI181	The average time taken in calendar days to process all new claims and change events in Housing Benefit and Council Tax Benefit	Revenues & Benefits	Public Services & Council Tax	7.5	6.38	Green	👍	
NWLPI 106	The percentage of non-domestic rates due for the financial year which were received by the authority (former BV10)	Revenues & Benefits	Public Services & Council Tax	98.6	99.27	Green	👍	
NWLPI 107	Proportion of Council Tax collected (former BV9)	Revenues & Benefits	Public Services & Council Tax	97.8	98.24	Green	👍	
NWLPI 161	Percentage of abandoned calls in the Contact Centre	Contact Centre	Public Services & Council Tax	5	3	Green	👍	
NW: NI 158	Non decent homes relating to our stock	Housing Maintenance	Housing	2.13	-	-	-	This return will be available in July
NWLPI 066	The average waiting time for adaptations to local authority housing for people with disabilities (excluding major work) between, time taken between referral and completion of work	Housing Maintenance	Housing	5 months	4 months	Green	👍	
NWLPI 160	The percentage of all council tenants, or a representative sample of council tenants, stating that they are satisfied with the overall service provided by their landlord when surveyed	Housing Management	Housing	86	85%	Green	👍	
NWLPI 072	Local authority rent collection and arrears: Rent collected by the local authority as a proportion of rents owed on Housing Revenue Account (HRA) dwellings	Housing Management	Housing	99.2	98.72%	Red	👎	Very close to target
NWLPI 076	The number of private sector vacant dwellings that are found to be occupied, returned into occupation or demolished during the year as a direct result of action by the local authority	Private Sector & Public Health	Housing	20	-	-	-	This return will be available in June
NWLPI 137	The average waiting time for adaptations to private sector housing for people with disabilities: a; time taken between initial request and completion of work	Private Sector & Public Health	Housing	7 months	6 months	Green	👍	

## Agenda Item No 11

### Resources Board

1 June 2015

**Report of the Assistant Director  
(Finance and Human Resources)**

**Risk Management Annual Report  
2014/15**

#### 1 Summary

- 1.1 This report is to inform Members of risk management actions undertaken during 2014/15 and the risks identified for 2015/16.

#### **Recommendation to the Board**

**That progress be noted.**

#### 2 Background

- 2.1 Risk is the threat that an event or action will affect the Council's ability to achieve its objectives and to successfully execute its strategies. Risk Management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of corporate governance. The Council's Strategic risks are normally identified by Management Team, who will ensure that processes are in place to control them. They are risks which need to be taken into account in judgements about the medium to long term goals and objectives of the Council. Strategic risk assessments are carried out as part of the corporate, community and service planning process and as a key element of service reviews. Operational risks are identified and managed by each Division.
- 2.2 The risk management framework has been in place now for a number of years and takes into account any areas of perceived weakness identified by officers, including those identified by the Internal Audit section. It is used consistently throughout the Authority. The framework has been reviewed and no amendments were thought necessary. Risk Management is important as it enables us to ensure that our plans are sound and proportionate to the risks that exist in our area, and enable us to take preventative action where appropriate.
- 2.3 Risk implications are included in all Board reports. A full risk assessment will be included if the report relates to a new service, policy or significant change in service provision. Implications are identified to assist Members in making informed decisions.

### 3 Work Undertaken During 2014/15

- 3.1 As part of the internal control framework, members of Management Team and Assistant Directors complete an Annual Statement of Assurance on the risks within their area of control. This process informs the Annual Governance Statement, which is a statutory requirement and is reported to Executive Board. The review process carried out for the Statements of Assurance includes an assessment of how identified risks were managed during the year, as well as a forward look at the risks facing the Council and its services in the coming year.
- 3.2 A number of issues were identified in the Annual Governance Statement for 2013/14 which needed to be addressed in 2014/15. Examples of those carried out include:
- Updating the Medium Term Financial Strategy and working on savings for 2015/16 onwards;
  - An ICT disaster recovery test following the completion of the work on the Council Offices;
  - A review of Housing Maintenance contract management procedures;
  - Adoption of a revised Child Protection Policy 2014/17 and completion of the planned Section 11 audit; and
  - Monitoring the collection of business rates and the operation of the Local Business Rates Pool.
- 3.3 A lot of other risk management work was undertaken in 2014/15, which was identified through the Statement of Assurance reviews but which wasn't mentioned separately in last years Annual Governance Statement. Examples include: -
- Operational monitoring and efficiency improvements continued to be made to the Council's refuse and recycling services throughout the year. An external TEEP assessment was undertaken;
  - Work with partners to challenge the assessed impact of HS2 on the Borough;
  - Staff were trained on the new Procurement Regulations;
  - A review and update of safe working practices as part of the Jobcentre co-location in the council's One Stop Shop - aggressive customers, cash handling, data handling, disabled toilets, panic alarm testing;
  - Use of the ESPO framework agreement for the procurement of new play areas;
  - The achievement of TSA accredited status for the Community Support service; and
  - Emergency evacuation tests were undertaken, following the review and update of the fire risk assessment and procedure at the Depot.

- 3.4 The forward look at the risks facing the Council in 2015/16 required the 2014/15 strategic and operational risk registers to be updated, to ensure that changes in external factors and service provision or processes are taken into account.
- 3.5 Only one change has been made to the strategic risks of the Council, following the review. This is to recognise the risk to the Council of the emerging Duty to Co-operate.
- ... 3.6 A copy of the Authority's 2015/16 Strategic Risk Register is attached as Appendix A. The significant risks (classed as "red") are:-
- Expected efficiency savings and service improvements are not delivered whilst maintaining resilience;
  - Health and Safety is not managed effectively;
  - Impact on the Borough of the HS2 project.
- 3.7 There is an ongoing programme of work to establish potential savings, identify the level of risk involved and any service impacts resulting from them. The position will be kept under review and reported to Members. The score for the management of Health and Safety increased in 2014/15 as a result of the health and safety issues faced the year before. A review of the corporate monitoring arrangements for Health and Safety was undertaken and action identified to tighten the monitoring of controls. The score has not yet been reduced as further assessment will be undertaken to see if the identified action proves sufficiently robust. The Council has become a petitioning authority and is working with Warwickshire County Council to try to mitigate the impacts of HS2 on the Borough.
- ... 3.8 The individual assessments for the red risks are attached as Appendix B, together with the highest scoring amber risks. These show the controls that are already in place to manage the individual risks.
- 3.9 A review of operational risks in each Division has identified some risks which are no longer appropriate, as well as a few new risks for 2015/16. The new risks relate to the uncertainty around the market for disposal of recyclable materials, the Council's new build housing programme, the protection of public open spaces in perpetuity and non-delivery of the Lean review of the planning service.
- ... 3.10 A summary of the red operational risks and also the highest scoring amber risks are shown at Appendix C. Individual assessments are held for all of these risks, including the controls already in place. Further work will be carried out during 2015/16 to help mitigate these risks.

## 4 Report Implications

### 4.1 Safer Communities Implications

4.1.1 There are specific risks identified for the work the Council carries out with partners to help reduce crime and disorder in North Warwickshire. These are reflected within the Partnership Plan of the North Warwickshire Community Safety Partnership and in specific service plans of the Council.

### 4.2 Legal and Human Rights Implications

4.2.1 The Annual Governance Statement referred to in paragraph 3.1 is part of the legal framework for financial reporting.

### 4.3 Environment and Sustainability Implications

4.3.1 Having effective risk management will contribute towards the delivery of sustainability and helps the Council continue to provide services to help improve the quality of life for the communities of North Warwickshire.

### 4.4 Equality Implications

4.4.1 The risk to the Council in not complying appropriately with the requirements of the Equality Act is included as an operational risk. Our corporate approach of including the identification of equality implications in reports to boards wherever appropriate to do so and carrying out equality impact assessments on all significant changes in our policies and practices helps to minimise any associated risks.

### 4.5 Risk Management Implications

4.5.1 Regular reports, ongoing monitoring, further staff training and the strengthening of partnership arrangements will increase awareness of the importance of Risk Management. Individual risks fall into various categories, such as political, environmental, financial, economic, organisational, legal, technical etc. The implication of each risk is assessed and scored to identify whether there are sufficient controls in place or whether additional action needs to be taken.

The Contact Officer for this report is Sue Garner (719374).

## Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

APPENDIX A

2015/16 Strategic Risk Register (Reviewed by MT - 17 March 2015)

No.	Likelihood	Impact	Score	Risk	Responsible Officer	Corporate Objective
2015 S01	3	3	9	Council's procurement procedures are inadequate leading to poor VFM or lack of probity	LB	Public Services & Council Tax
2015 S02	3	4	12	Insufficient corporate capacity to deal with all the issues facing the Council	JH	Public Services & Council Tax
2015 S03	3	4	12	The Council's political arrangements cease to work effectively	JH	Public Services & Council Tax
2015 S04	3	3	9	Sickness absence is not managed effectively	SG	Public Services & Council Tax / Health & Well Being
2015 S05	3	3	9	The Council is unable to motivate/retain appropriately qualified staff	SG	Local Employment
2015 S06	3	4	12	Ineffective response to an incident (or business continuity plan fails)	JH	Public Services & Council Tax / Environment / Health & Well Being
2015 S07	2	3	6	A key partnership fails, or is ineffective for the Council	JH	Public Services & Council Tax
2015 S08	3	5	15	Expected efficiency savings and service improvements are not delivered whilst maintaining resilience	CJB	Public Services & Council Tax
2015 S09	2	3	6	The Council fails to meet its commitments arising from the Community and Corporate Plans	JH	Public Services & Council Tax
2015 S10	2	4	8	The council fails to comply with key legislation	SM	All Priorities
2015 S11	3	4	12	Inadequate resources to maintain the Council's capital assets	CJB	Public Services & Council Tax
2015 S12	3	5	15	Health & Safety is not managed effectively	SG	Public Services & Council Tax / Health & Well Being
2015 S13	3	3	9	Failure to manage staff concerns and well being, in the current economic climate	JH	Local Employment
2015 S14	3	3	9	The instability of the Business Rates system	CJB / BT	Public Services & Council Tax
2015 S15	5	4	20	Impact on the Borough of the HS2 project	SM	Environment
2015 S16	2	3	6	Impact of open cast mining on the local economy	SM	Environment
2015 S17	3	4	12	The impact of the emerging duty to cooperate on the Borough	SM	Countryside & Heritage / Environment

NWBC STRATEGIC RISK REGISTER – 2015/16

Corporate Priority: PUBLIC SERVICES & COUNCIL TAX

AMBER

Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2015 S02	Insufficient corporate capacity to deal effectively with all the issues facing the Authority	Poor staff morale Missed grant opportunity Poor use of resources Increased levels of sickness Not all services delivered or delivered well Poor public image Authority 'off the pace' seen as weak, failing Increased key person dependency Service intervention Legal challenge	5	4	20	Chief Executive Chief Executive AD (F&HR)  Chief Executive Chief Executive Individual ADs ACE&SIC CE HR Manager	Identification of priorities by Members and Management Democratic process kept under review to cut out unnecessary meetings/ reports HR Strategy-Management & Development, Recruitment & Selection, Training & Development, Sickness monitoring, Member training Management procedures in place through Corporate Plan, Community Plan, Divisional Plans & Appraisals Ability to buy in consultants Home/flexible working Business continuity plan Corporate plan On-going training and e learning	3	4	12
Risk Ref		Options for additional / replacement control procedure					Cost Resources	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
		Review structures periodically, prioritise key issues, review vacancies regularly								

Responsible Officer: Chief Executive

Reviewed By: 17 March 2015 by Management Team



NWBC STRATEGIC RISK REGISTER – 2015/16 Corporate Priority: PUBLIC SERVICES & COUNCIL TAX

Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2015 S03	The Council's political arrangements cease to work effectively  Voluntary Code of Conduct- lower standards or not adhered to	Policy leadership vacuum Lack of experienced lead in a crisis Decision making likely to take longer Crisis management more difficult Capacity of organisation to deal with changed priorities Decisions being overturned/ poor decisions Lack of effective scrutiny	5	4	20	Political Leaders  Chief Executive   Chief Executive   DCE/ ACE&SIC Chief Executive Chief Executive Chief Executive Chief Executive	<ul style="list-style-type: none"> <li>Mechanisms involving all political groups</li> <li>Mechanisms for rapid inclusion of Members- particularly those with Special Responsibilities, Chairs &amp; Vice Chairs</li> <li>Experienced Senior Management able to build relationships with leadership, give advice</li> <li>Statutory Officers</li> <li>Overview &amp; Scrutiny</li> <li>Task &amp; Finish groups</li> <li>Leaders Group</li> <li>Ongoing review of Constitution</li> </ul>	3	4	12
Risk Ref		Options for additional / replacement control procedure					Cost Resources	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
		Nb Score amended in recognition of recent elections								

Responsible Officer: Chief Executive Reviewed : 17 March 2015 by Management Team

NWBC STRATEGIC RISK REGISTER 2015/16 Corporate Priority: Public Services & Council Tax/ Environment/Health & Well Being AMBER

Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2015 S06	Ineffective response to an incident (or business continuity plan fails)	Services disrupted Staff unaware of correct procedures Decision making in the heat of the moment may not be correct decision Resources wasted in reacting Increased cost of providing back up services Challenged over lack of preparedness Operating in contravention of legislation Censure by audit/inspection Adverse publicity	5	5	25	Chief Executive  AD(Corporate Services) Chief Executive Chief Executive  Chief Executive Chief Executive Chief Executive Chief Executive	<ul style="list-style-type: none"> <li>Business Continuity Plan in place, with regular reviews</li> <li>Business continuity exercise carried out</li> <li>Disaster recovery procedures for Computer systems</li> <li>Emergency plan</li> <li>Ongoing training for Officers on emergency planning/Borough Council</li> <li>Ability to set up emergency centre</li> <li>Agreement in place with Wks Emergency Planning Unit</li> <li>Dedicated resource from EPU</li> <li>Community risk register</li> <li>Warks LRF</li> </ul>	3	4	12
Risk Ref	Options for additional / replacement control procedure									
	Business Continuity Exercises feed back into action plan									

Responsible Officer: Chief Executive Reviewed: 17 March 2015 by Management Team

NWBC STRATEGIC RISK REGISTER 2015/16

Corporate Priority: PUBLIC SERVICES & COUNCIL TAX

RED

Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2015 S08	Expected efficiency savings and service improvements are not delivered whilst maintaining resilience	<ul style="list-style-type: none"> <li>Poor service performance</li> <li>Council has a deficit budget</li> <li>Higher costs than budgeted for</li> <li>Staffing issues</li> <li>Adverse impact on service delivery</li> </ul>	5	4	20	Deputy Chief Executive	<ul style="list-style-type: none"> <li>Medium term financial strategy</li> <li>Lean systems reviews</li> <li>Savings programme to identify savings in advance</li> <li>Healthy level of reserves to help manage the process</li> </ul>	3	5	15
Risk Ref	Options for additional / replacement control procedure						Cost Resources	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating

Responsible Officer: Deputy Chief Executive

Reviewed: 17 March 2015 by Management Team

Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2015 S11	Inadequate resources to maintain the Council's capital assets	Poorly maintained / potentially dangerous buildings Injury to staff and public Reduced services Bad publicity Reputation damaged	5	4	20	Deputy Chief Executive	Long term capital programme which identifies shortfall - 10 year plan  Identified spending needs for assets  Review of assets, with sales where appropriate (eg. old CLC site)	3	4	12
Risk Ref	Options for additional / replacement control procedure						Cost Resources	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
	Major work to be carried out on the Depot Update Asset Management Strategy.									

Responsible Officer: Deputy Chief Executive

Reviewed : 17 March 2015 by Management Team

MBC STRATEGIC RISK REGISTER – 2015/16 Corporate Priority: HEALTH & WELL BEING/PUBLIC SERVICES & COUNCIL TAX

RED

Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2015 S12	Health & Safety is not managed effectively HR do not provide appropriate support on safety to the Council, leading to non compliance with legal standards	Injury to public or staff Impact on service delivery Compensation culture Reputation/ publicity Loss of service Financial sanctions High level of insurance claims	5	5	25	AD (Finance & HR)	Health & Safety Policy details responsibilities Regular risk assessments Safety audits H & S working party General Staff training IOSH training for Managers Qualified NEBOSH staff Sickness absence monitoring Specific policies, procedures, controls for individual areas of H & S H&S policies updated Accidents monitored & reported to HSE Additional staffing resource in Housing to assist with Health & Safety	3	5	15
Risk Ref	Options for additional / replacement control procedure									
	Further review of HR role / capacity									

Responsible Officer: AD (Finance & HR)

Reviewed: 17 March 2015 by Management Team

NWBC STRATEGIC RISK REGISTER – 2015/16 Corporate Priority: COUNTRYSIDE & HERITAGE, ENVIRONMENT

RED

Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2015 S15	Impact on the Borough of HS2 Project	<ul style="list-style-type: none"> <li>Loss of open spaces/community assets- may need to provide elsewhere</li> <li>Loss of residential properties</li> <li>Air/noise pollution</li> <li>Temporary increase in employment – possible stimulus to local economy</li> <li>Road/ travel disruption</li> <li>Reduced property prices</li> <li>Loss of business rates</li> </ul>	5	4	20	ACE&StC	<ul style="list-style-type: none"> <li>The Council has become a Petitioning Authority</li> <li>Membership of local authority group pushing for mitigation</li> <li>Representation to Select Committee on the potential impact of the loss of business rates</li> <li>Participation in the Special Management Zone for North Warwickshire</li> <li>Continued lobbying of Government</li> </ul>	5	4	20
Risk Ref	Options for additional / replacement control procedure						Cost Resources	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating

Responsible Officer: ACE&StC Reviewed and Updated: 17 March 2015 by Management Team

NWBC STRATEGIC RISK REGISTER – 2015/16 Corporate Priority: Countryside & Heritage / Environment **AMBER**

Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2015 S17	Emerging 'Duty to Co-operate'	Pressure to take more housing than required, with local considerations over ridden Impact on the rural nature of the Borough Inadequate infrastructure, leading to traffic issues, pressure on schools etc	4	5	20	ACE&StC	Core strategy approved Active engagement and dialogue with other councils in order to ensure that no more housing than is necessary is added to North Warwickshire's housing requirement	4	3	12
Risk Ref	Options for additional / replacement control procedure						Cost Resources	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating

Responsible Officer: ACE&StC

Reviewed By: 17 March 2015 by Management Team

## SUMMARY OPERATIONAL RISK REGISTER 2015

Risk Register number 2015/16	Risk	Gross Score	Net Score	Colour	Division	Corporate Priority
2015 F&HR13	The section does not provide appropriate monitoring and support on safety leading to non-compliance with legal standards	25	15	Red	Finance & Human Resources	H&W, LE, PSCT
2015 ACE07	Major incident – out of hours not responded to	20	12	Amber	ACE & StC	E, PSCT
2015 ACE22	North Warwickshire is considered a low priority for the allocation of resources commissioned by the PCC and for the use of policing resources	20	12	Amber	ACE & StC	C&D
2015 LCD04	Failure to ensure provision of sufficient appropriate leisure, recreation and play facilities and services to meet the identified needs of local communities in North Warwickshire	20	12	Amber	Leisure & Community Development	AS, C&D, E, H&W, LE, PSCT
2015 LCD07	Ineffective use and management of internal services	20	12	Amber	Leisure & Community Development	E, LE, PSCT
2015 LCD09	Loss of external funding support for mainstream service provision	25	12	Amber	Leisure & Community Development	AS, C&C, C&D, C&H, E, H&W, LE, PSCT, R
2015 LCD14	Failure to maintain Council's tree stock to appropriate safety standard	25	12	Amber	Leisure & Community Development	C&H, E, PSCT
2015 SS01	Failure to maintain assets	20	12	Amber	Streetscape	PSCT
2015 SS03	Enhanced risks from headline Health & Safety legislation	20	15	Red	Streetscape	H&W, PSCT
2015 SS14	Reduced market for recyclable materials	20	15	Red	Streetscape	PSCT, R

## KEY – Corporate Priorities

AS	Access to Services	H	Housing
C&C	Consultation & Communication	H&W	Health & Wellbeing
C&D	Crime & Disorder	LE	Local Employment
C&H	Countryside & Heritage	PSCT	Public Services & Council Tax
E	Environment	R	Recycling



**Agenda Item No 12**

**Resources Board**

**1 June 2015**

**Report of the Assistant Director (Finance and Human Resources)**

**Members' Allowances Out-turn for 2014/15**

**1 Summary**

- 1.1 The purpose of this report is to advise Members of the allowances paid for 2014/15. The Council also has a duty to publish the amounts paid to Members under the Members' Allowance Scheme.

**Recommendation to the Board**

**That the report be noted.**

**2 Report**

**2.1 Out-turn for 2014/15**

- 2.1.1 The cost of Members' Allowances and other payments made under the Members' Allowance Scheme in 2014/15 was £227,369.67. A breakdown of these costs is shown at Appendix A. There were no claims in respect of Dependents'/ Carers' Allowance.

**3 Report Implications**

**3.1 Finance and Value for Money Implications**

- 3.1.1 Provision was made in the cost of Democratic Processes.

**3.2 Legal and Human Rights Implications**

- 3.2.1 The Authority is obliged to publish details of the total sum paid to each Member in respect of each of the following:-  
Basic Allowance  
Special Responsibility Allowance  
Dependents'/Carers' Allowance  
Travel and Subsistence and  
Co-optees' Allowance.

- 3.2.2 This is a requirement under the Local Authorities (Members' Allowances) (England) Regulations 2003.

The Contact Officer for this report is Nigel Lane (719371).

## PAYMENTS TO MEMBERS 2014/15

Name	Initials	Basic Allowance £	Special Responsibility £	Travel (Mileage) £	Travel/Other (Train/Parking) £	Subsistence £	Total £
Barber	K	4,941.96					4,941.96
Butcher*	D	4,941.96	4,380.22	242.10			9,564.28
Davis	MC	4,941.96					4,941.96
Dirveiks	N	4,941.96	1,745.04				6,687.00
Dirveiks*	LE	4,941.96	767.40				5,709.36
Ferro	DC	4,941.96		202.05	5.90		5,149.91
Forwood*	A	4,941.96	105.60				5,047.56
Fowler	PJ	4,941.96		188.10			5,130.06
Fox	C	4,941.96					4,941.96
Freer	LE	4,941.96					4,941.96
Hayfield*	CC	4,941.96	211.09	139.50			5,292.55
Holland	AF	4,941.96					4,941.96
Humphreys*	DJ	4,941.96	1,533.94				6,475.90
Johnston	K	4,941.96					4,941.96
Lea	J	4,941.96					4,941.96
Lewis	A	4,941.96	1,745.04	95.40			6,782.40
May	MC	4,941.96		382.50			5,324.46
Moore	JS	4,941.96	4,983.00	130.05	5.50		10,060.51
Morson*	PF	4,941.96	1,745.03				6,686.99
Moss	BP	4,941.96		654.75	43.05		5,639.76
Moss	MC	4,941.96	873.00	142.65			5,957.61
Payne	RV	4,941.96			25.00		4,966.96
Phillips	H	4,941.96	4,983.00	1,034.25	30.90		10,990.11
Pickard	DN	4,941.96	4,983.00	623.70	8.25		10,556.91
Sherratt	GJ	4,941.96	873.00	335.25			6,150.21
Simpson	MC	4,941.96					4,941.96
Smith	LJ	4,941.96	5,123.04	870.30			10,935.30
Stanley	A	4,941.96					4,941.96
Stanley	ME	4,941.96	10,986.96				15,928.92
Stanley	Y	4,941.96					4,941.96
Sweet*	R	4,941.96	2,136.72				7,078.68
Turley	N	4,941.96					4,941.96
Watkins	A	4,941.96					4,941.96
Winter	JG	4,941.96	1,745.04	321.75			7,008.75
Wykes	TV	4,941.96					4,941.96
<b>TOTAL</b>		<b>172,968.60</b>	<b>48,920.12</b>	<b>5,362.35</b>	<b>118.60</b>	<b>0.00</b>	<b>227,369.67</b>

\* The Special Responsibility payment Includes an adjustment for changes in responsibility

**Report of the  
Assistant Director (Streetscape)**

**The Arcade – Community Use**

**1 Summary**

- 1.1 This report presents Members with a copy of the annual report on the community use of The Arcade, Atherstone, submitted by Atherstone Town Council.

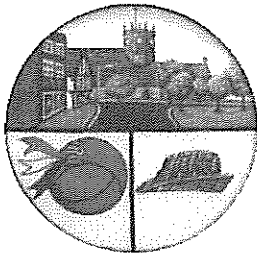
**Recommendation to the Board**

**That the report be noted.**

**2 Background**

- 2.1 The sale of the Arcade to Atherstone Town Council was completed on 20 December, 2013. The sale agreement included a covenant which requires the Town Council to ensure that all reasonable efforts are made to allow and encourage community use of the property (such use to include but not be limited to the use of offices or retain units within the property in general for training events, public meetings and meetings by community groups, local clubs, charities, voluntary organisations, parish councils etc.).
- 2.2 The covenant also requires the Town Council to submit an annual report demonstrating such encouragement of said community use. As a result, the Clerk to Atherstone Town Council has compiled a report on Community Use of The Arcade which is attached at Appendix A. The report was submitted towards the end of February, 2015 and covers the initial period following the Town Council's acquisition of the Arcade.
- ...

The Contact Officer for this report is Richard Dobbs (719440).



# Atherstone Town Council

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18<sup>th</sup>. February 2015

To; Richard Dobbs,  
Assistant Director,  
Streetscape,  
North Warwickshire Borough Council.

## REPORT FROM ATHERSTONE TOWN COUNCIL REGARDING COMMUNITY USE IN THE ARCADE BUILDING

Dear Richard,

In accordance with the agreement made, during the purchase of the Arcade, 71-73 Long Street, Atherstone, the Town Council is required to submit an annual report to NWBC, demonstrating its ongoing commitment to community use. This report covers the period from the time of purchase, December 2013 to February 2015, and was approved at the Town Council meeting of 18<sup>th</sup>. February 2015.

The Town Council has been active in pursuing the use of the downstairs units by community organizations, or small retail operations.

The Unit 7 has been let to the Friends of Atherstone Heritage, at a peppercorn rent, with the service charge being covered by the Town Council, this has now moved into its seventh month of tenancy.

Discussions are also taking place, with Warwickshire Police regarding the use of the Arcade to hold surgeries enabling better contact with the public.

There have been no other requests, from organizations wanting permanent bases, to date.

The Town Council has engaged an architect to produce a design for the installation of a DDA compliant toilet and kitchen facility, downstairs, this will then lead to the closing of the complete rear upstairs space, allowing for the development of the area for community groups wanting larger permanent or occasional use. Currently any requests for occasional use have been accommodated by the use of our current meeting room, although this does have space restrictions.

Yours sincerely,

Graham Day  
Town Clerk

**NORTH WARWICKSHIRE BOROUGH COUNCIL**

**MINUTES OF THE  
HOUSING SUB-COMMITTEE**

**20 April 2015**

Present: Councillor Winter in the Chair

Councillors Davis, N Dirveiks and Lewis.

Councillor Smith was also in attendance.

Apologies for absence were received from Councillors Holland, Johnston and Moore.

**23 Disclosable Pecuniary and Non-Pecuniary Interests**

None were declared at the meeting.

**24 Minutes of the Housing Sub-Committee held on 5 January 2015**

The minutes of the meeting of the Sub-Committee held on 5 January 2015, copies having previously been circulated, were approved as a correct record and signed by the Chairman.

**25 Progress Report on Achievement of Corporate Targets – April – December 2014**

The Chief Executive and the Deputy Chief Executive informed Members of the progress with the achievement of the Corporate Plan targets relevant to the Sub-Committee for April to December 2014.

**Resolved:**

**That the report be noted.**

**26 Grounds Maintenance Service for Council Sheltered Schemes**

The Assistant Director (Housing) provided the Sub-Committee with information about the review of the grounds maintenance service delivered to the Council's own stock and gave details of proposed new arrangements for grounds maintenance for sheltered schemes and other areas within the remit of the Housing Division.

**Resolved:**

- a That the service specification for the grounds maintenance service to the Council's own stock be agreed and noted; and
- b That the budget of £88,150, agreed by the Resources Board at its meeting in January 2015, for the grounds maintenance services, be supported.

**27 Update on Local Delivery Plan and Developments**

The Assistant Director (Housing) informed Members of the current housing developments that were coming forward within the Local Delivery Plan within 2015-2020 and a traineeships project that had been launched.

**Resolved:**

**That the revised Local Delivery Plan be agreed.**

**28 Decant Policy**

The Assistant Director (Housing) submitted to the Sub-Committee, for approval, a Decant Policy which brought together the approaches that could be used to decant tenants when undertaking regeneration projects or major repair works within the Council's own stock to ensure a consistent approach.

**Resolved:**

**That the decant policy be agreed.**

**29 Tenant Partnership Agreement & Tenant Involvement Impact Assessment**

The Assistant Director (Housing) presented the Council's Tenant Partnership Agreement and Tenant Involvement Impact Assessment to the Sub-Committee for their consideration and provided background information about the regulatory framework for social housing landlords.

**Resolved:**

- a That the revised Tenant Partnership Agreement be agreed;
- b That the Tenant Participation Impact Assessment be agreed; and

- c That the tenant participation activities undertaken during 2014-15 highlighted within the Tenant Involvement Impact Assessment be noted.**

**30 Housing Tenancy Fraud Policy & Procedures**

The Assistant Director (Housing) provided Members with draft Housing Tenancy Fraud Procedures to consider which should be implemented by the Housing Management teams.

**Resolved:**

**That the revised Tenancy Fraud Policy Statement and accompanying procedures be agreed.**

**31 Review of Lettings Scheme**

Under Section 100(B)(4)(b) of the Local Government Act 1972 the Chairman agreed to consideration of this urgent business by reason of the need to act expeditiously with regards to this matter.

The Assistant Director (Housing) provided the Sub-Committee with information about a Government Regulation to be included in the Council's Letting Scheme.

**Resolved:**

- a That inclusion of the new regulation in the Council's Lettings Scheme be noted;**
- b That the approach to quotas as set out in the report of the Assistant Director (Housing) be agreed; and**
- c That the Lettings Scheme, as detailed in Section 4.2 of the report of the Assistant Director (Housing), be amended.**

John Winter  
Chairman

**Agenda Item No 15**

**Resources Board**

**1 June 2015**

**Report of the  
Chief Executive**

**Exclusion of the Public and Press**

**Recommendation to the Board**

**That under Section 100A(4) of the Local Government Act 1972, the public and press be excluded from the meeting for the following items of business, on the grounds that they involve the likely disclosure of exempt information as defined by Schedule 12A to the Act.**

**Agenda Item No 16**

**Housing Maintenance Section – Staffing Requirements - Report of the Assistant Director (Housing)**

Paragraph 1 – by reason of the report containing information relating to an individual.

**Agenda Item No 17**

**Disposal of Coleshill Leisure Centre – Report of the Assistant Director (Streetscape)**

Paragraph 3 – by reason of the report containing financial information.

**Agenda Item No 18**

**Irrecoverable Local Taxation Debts – Report of the Assistant Chief Executive (Community Services)**

Paragraph 1 – by reason of the report containing information relating to an individual.

The Contact Officer for this report is David Harris (719222).