

# Corporate Services Overview and Scrutiny Committee

10<sup>th</sup> July 2013

## Agenda

The Corporate Services Overview and Scrutiny Committee will meet in **COMMITTEE ROOM 2, SHIRE HALL, WARWICK** on **WEDNESDAY, 10<sup>TH</sup> JULY** at **2.00 p.m.**

The agenda will be:

**1. General**

**(1) Apologies**

**(2) Members' Disclosures of Pecuniary and Non-Pecuniary Interests**

Members are required to register their disclosable pecuniary interests within 28 days of their election or appointment to the Council. A member attending a meeting where a matter arises in which s/he has a disclosable pecuniary interest must (unless s/he has a dispensation):

- Declare the interest if s/he has not already registered it
- Not participate in any discussion or vote
- Must leave the meeting room until the matter has been dealt with (Standing Order 42).
- Give written notice of any unregistered interest to the Monitoring Officer within 28 days of the meeting

Non-pecuniary interests must still be declared in accordance with the new Code of Conduct. These should be declared at the commencement of the meeting.

**(3) Minutes of the meeting of the Overview and Scrutiny Board held on 20<sup>th</sup> February 2013 and 21<sup>st</sup> May 2013**

## **2. Public Question Time**

Up to 30 minutes of the meeting is available for members of the public to ask questions on any matters relevant to the business of the Overview and Scrutiny Board. Questioners may ask two questions and can speak for up to three minutes each. To be sure of receiving an answer to an appropriate question, please contact Georgina Atkinson 5 working days before the meeting. Otherwise, please arrive at least 15 minutes before the start of the meeting and ensure that Council representatives are aware of the matter on which you wish to speak.

## **3. Questions to the Portfolio Holders**

Up to 30 minutes of the meeting is available for the Committee to put questions to the Leader and Portfolio Holders on any matters relevant to the remit of the Overview and Scrutiny Committee.

## **4. Organisational Health Report – End of Year 2012/13**

To consider the areas of the Organisational Health report relevant to the remit of the Committee.

## **5. Annual Governance Statement 2012/13**

To consider the key risks outlined in the Statement.

## **6. Development of the Organisational Plan 2014-18**

To consider the timescales and delivery of the Organisational Plan.

## **7. Customer Services Business Unit**

To consider a report on the Customer Services department.

## **8. Work Programme 2013/14**

To consider the Committee's proposed Work Programme and future area of scrutiny activity.

**9. Any Urgent Items**

At the discretion of the Chair, items may be raised which are considered urgent (please notify Democratic Services in advance of the meeting).

**10. Dates of Next Meeting**

The next meeting of the Corporate Service Overview and Scrutiny Committee has been scheduled for 16<sup>th</sup> October 2013, commencing 2.00 p.m.

Jim Graham  
Chief Executive  
Shire Hall  
Warwick

## **Corporate Services Overview and Scrutiny Committee Membership**

**Councillors:** Nicola Davies, Neil Dirveiks, Martin Heatley (Vice-Chair), Phillip Morris-Jones, Bernard Kirton, Keith Kondakor, Chris Saint, June Tandy (Chair), Alan Webb, Chris Williams

### **Portfolio Holders:-**

Councillor Izzi Seccombe – Leader of the Council

Councillor Alan Cockburn – Deputy Leader

Councillor Colin Hayfield – Customers

Councillor Jeff Clarke – Corporate Business and Environment

For queries regarding this agenda, please contact:

Georgina Atkinson, Democratic Services Team Leader

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**Minutes of the meeting of the Overview and Scrutiny Board  
held on 20<sup>th</sup> February 2013**

**Present**

**Members:** Councillor John Appleton (Chair)  
Councillor Les Caborn  
Councillor Richard Chattaway (substitute for Cllr Tim Naylor)  
Councillor Jim Foster (substitute for Cllr John Ross)  
Councillor Dave Shilton  
Councillor John Whitehouse  
Councillor Sonja Wilson

**Co-opted members:** Councillor Claire Edwards (Rugby Borough Council)  
Councillor Bill Gifford (Warwick District Council)

**Other Councillors:** Councillor Colin Hayfield, Portfolio Holder, Customers,  
Access and Property  
Councillor Martin Heatley, Portfolio Holder Workforce and  
Governance  
Councillor Richard Hobbs, Portfolio Holder for Community  
Safety  
Councillor Wright, Portfolio Holder, Finance, Improvement  
and IT

**Officers:** Georgina Atkinson, Democratic Services Team Leader  
David Carter, Strategic Director, Resources Group  
Phil Evans, Head of Service Improvement and Change  
Management  
Andrew Lovegrove, Head of Corporate Financial Services  
Mark Ryder, Head of Localities and Community Safety

**1. General**

**(1) Apologies**

Apologies for absence were received on behalf of Councillors Alan Farnell, Julie Jackson, Tim Naylor, Jerry Roodhouse, John Ross, Chris Williams and Councillors John Haynes (Nuneaton and Bedworth Borough Council) and Derek Pickard (North Warwickshire Borough Council).

**(2) Members' Disclosures of Pecuniary and Non-Pecuniary Interest**

There were no declarations of interest on this occasion.

**Minutes of the meeting of the Overview and Scrutiny Board  
held on 20<sup>th</sup> February 2013**

**(3) Minutes of the meeting of the Overview and Scrutiny Board  
held on 12<sup>th</sup> December 2012**

The Board agreed that the minutes of the meeting held on 12<sup>th</sup> December 2012 be signed by the Chair as a true and accurate record.

**2. Public Question Time**

There were no public questions received or presented at the meeting.

**3. Questions to Cabinet and Portfolio Holders**

Members considered the Forward Plan of decisions by Cabinet and the Portfolio Holders.

A concern was raised in respect of the levels of debts that were being written-off, in respect of the 'Irrecoverable Debts' decision for the Portfolio Holder of Adult Social Care. The Chair advised that the issue be raised directly with the Portfolio Holder or referred to the relevant Overview and Scrutiny Committee for consideration.

A comment was raised with regard to 'Proposed Changes to On-Street Parking Charges in Warwick'. Cllr Shilton considered that the decision demonstrated a positive example of partnership working between the County Council and Warwick District Council and recommend that a similar approach be used with the other District and Borough Councils across the county.

In response to a question raised regarding 'Kenilworth Railway Station Project', Councillor Wright, Portfolio Holder for Finance, Improvement and IT, clarified that the virement from the highways maintenance budget would only be required if there was a shortfall in funding from the Department for Transport.

A discussion took place with regard to Fire Risk Assessment. Councillor Hobbs, Portfolio Holder for Community Safety, explained that all property owners had a responsibility to undertake a fire risk assessment. The Portfolio Holder decision proposed that a specialist contractor be commissioned to undertake fire risk assessments for all County Council properties. David Carter, Strategic Director of Resources Group, added that the bid had been approved by Budget Council on 5<sup>th</sup> February 2013. On a separate matter, Councillor Hobbs confirmed that the Fire and Rescue Service worked in partnership with a number of agencies to undertake fire risk assessments and install smoke alarms in the homes of vulnerable people.

## **Minutes of the meeting of the Overview and Scrutiny Board held on 20<sup>th</sup> February 2013**

In response to a question raised regarding the Police and Crime Commissioner (PCC) Police and Crime Plan 2013-17, Councillor Hobbs advised that the PCC had expressed a commitment to public consultation and attending public meetings, such as Community Forums and meetings of the Community Safety Partnership. He added that the Police and Crime Panel had a responsibility to hold the PCC to account for strategic decisions, but not the operational aspects of policing.

With regard to 'Contract Standing Orders Review', David Carter explained that the purpose of the review was to simplify the existing Standing Orders and raise the threshold for minor contracts to achieve a more efficient process. Other areas of the review included monitoring arrangements and the implementation of the Public Services (Social Value) Act 2012. In response to a specific question regarding the Rugby Western Relief Road project, Phil Evans, Head of Service Improvement and Change Management, explained that the 'lessons learnt' had been incorporated in the County Council's review of project management.

In response to a request for clarification of the 'benefits index' appertaining to the roll-out of Superfast Broadband, Councillor Wright explained that the index would be defined by the County Council. The purpose of the index would be to assess the benefit of rolling out Superfast Broadband in specific areas.

The Overview and Scrutiny Board agreed to note the decisions.

#### **4. Work Programme and Scrutiny Review Progress Report**

Georgina Atkinson, Democratic Services Team Leader, advised that the annual Work Programme sessions would be scheduled for June 2013. Each of the Overview and Scrutiny Committees would refresh the existing work programme with the assistance of the relevant Portfolio Holders and Heads of Service, in order to identify appropriate topics and areas for future scrutiny.

Members were advised that at its meeting on 14<sup>th</sup> February 2013, the Cabinet had agreed to a recommendation from the Communities Overview and Scrutiny Committee that a Task and Finish Group be appointed to participate in the soft market testing exercise prior to the formal tendering of Civil Parking Enforcement. The Portfolio Holder for Transport and Highways had agreed to adjust the timetable by one month, to allow the Task and Finish Group to commence in May 2013. Councillor Whitehouse, Chair of the Communities Overview and Scrutiny Committee, requested advice on the involvement of both 'twin-hatted' County Councillors and District/Borough Councillors on the Task and Finish Group. David Carter advised that as the review would present a conflict of interest for those members, it would not be

## **Minutes of the meeting of the Overview and Scrutiny Board held on 20<sup>th</sup> February 2013**

appropriate to appoint them as members of the Task and Finish Group. In light of this, it was agreed that 'twin-hatted' County Councillors and District/Borough Councillors would be invited to present their views to the Task and Finish Group as part of the evidence-gathering and consultation process.

The item continued with the Board's consideration of three proposals for Task and Finish Groups, which would commence in the new municipal year, as follows: 'Vulnerable Children with Mental Health Issues'; 'Transition from Children and Young People Services to Adult Services'; and 'Quality Accounts'. Members considered that it would be beneficial to achieve continuity in Task and Finish Group membership for the first two reviews, if possible.

The Overview and Scrutiny Board noted the agreed to updated Work Programme 2012/13 and agreed:

- 1) To note the arrangements for the annual Work Programme sessions;
- 2) To note the update on the existing Task and Finish Groups;
- 3) To endorse the Task and Finish Group regarding Civil Parking Enforcement and that this be conducted by the Communities Overview and Scrutiny Committee; and
- 4) That three Task and Finish Groups be appointed to consider the following – 'Vulnerable Children with Mental Health Issues'; 'Transition from Children and Young People Services to Adult Services'; and 'Quality Accounts' – and that these commence in the new municipal year.

### **5. Transformation through Strategic Commissioning**

Phil Evans, Head of Service Improvement and Change Management, provided members with a progress update on developments regarding the Transformation through Strategic Commissioning Programme. It was reported that since the last meeting of the Overview and Scrutiny Board, the Cabinet had considered three Business Cases for the following service reviews: IT Infrastructure and Support; Equality and Diversity; and Transport and Highways. Members of the Board had received a copy of the report prior to its consideration at Cabinet.

A copy of the Governance Chart from tranches one and two of the Programme was circulated to members. A discussion took place with regard to the review of Fire and Rescue and the Strategic Alliance with Northamptonshire. Members were advised that the review had been undertaken in parallel with the Integrated Risk Management Plan



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(IRMP) and it was anticipated that both key areas would be included in the Business Case.

In response to a question raised regarding the governance of the Programme, Phil Evans explained that as the approval of Business Cases would be made in accordance with the County Council's Scheme of Delegation, they could be approved by individual Strategic Directors via consideration by Corporate Board, Cabinet or Council depending on the decision that was being proposed. Following the approval of a Business Case, further stages of implementation and monitoring would be undertaken, during which the involvement of Overview and Scrutiny might be considered appropriate.

It was acknowledged that whilst there had been some slippage in the service reviews, that the Corporate Programme Office was committed to keeping the Programme on course whilst ensuring that the quality of reviews was not compromised. Councillor Whitehouse suggested where slippage had occurred that the dates be identified by using text in a different colour. Phil Evans agreed that this could be incorporated into the document.

The Overview and Scrutiny Committee agreed to note the verbal update.

### **6. Scrutiny Action Plan and Recommendations Monitoring Spreadsheet 2012/13**

Georgina Atkinson presented the Board with an update on the Scrutiny Action Plan document which had been designed to capture recommendations that had been previously submitted by the Board and subsequently approved by Cabinet. She explained that the document provided members with an opportunity to regularly track the implementation of recommendations and identify instances of delay.

With regard to the Recommendations Monitoring Report 2012/13, it was considered that the monitoring undertaken by the Overview and Scrutiny Committees needed to be more consistent. The Board stressed the importance of consistent and effective monitoring across each of the Overview and Scrutiny Committees.

The Overview and Scrutiny Board agreed:

- 1) To note the update on the Public Services Reform Scrutiny Actions Plan;
- 2) To note the Recommendations Monitoring Action Plan 2012/13; and

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- 3) That the Chair of each Overview and Scrutiny Committee review and refresh their Committee's section of the Recommendations Monitoring Report 2012/13.

**7. Public Engagement**

The Overview and Scrutiny Board was advised that the first section of the report outlined the wider public engagement activity that was undertaken across the County Council. In response to a question raised regarding the internal and external consultation groups, members were advised that they reported annually to Cabinet.

With regard to the second part of the report, Georgina Atkinson explained that it focused specifically on public engagement in Overview and Scrutiny. It had been recognised, both by members and officers, that scrutiny needed to be more 'outward-facing' and deliver improved and more consistent methods of public engagement. She explained that enhanced public engagement would increase the validity and relevance of scrutiny topics by reflecting issues which mattered to residents. In light of this, work had been undertaken to explore opportunities that would increase and improve scrutiny's interaction with the public.

It was reported that discussions had taken place with the Localities and Partnerships team to identify practical solutions for engaging members of the public in the work of scrutiny through the Community Forums. This had focused on two key areas: sharing of information; and public involvement in scrutiny reviews.

Georgina Atkinson explained that because of the extent of public engagement methodologies, there would be value in the development of a Public Engagement in Overview and Scrutiny Strategy. This would present a structured and co-ordinated approach by Overview and Scrutiny for engaging with the public, to ensure that an appropriate method was, used depending on the section of the public to be involved and the nature of the review. The Strategy would act as a toolkit, to provide scrutiny members and officers guidance when the need for public engagement in a particular piece of scrutiny work had been identified. Members were advised that the Strategy would be developed with the assistance of the Communications service, the Localities and Partnerships team, Warwickshire Observatory and the Third Sector.

It was acknowledged that the level of engagement, particularly through Community Forums, was dependent on the nature of the issue. In addition, it was considered that the County Council's libraries and One Stop Shops offered additional opportunities for public engagement and should be used to complement electronic methods of engagement, such as the use of social media.

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In response to a number of comments raised, Georgina Atkinson clarified that the report did not propose that scrutiny be undertaken by the Community Forums; the report proposed that Community Forum meetings be used as an opportunity to achieve direct contact with the public and invite their views on particular issues, as part of a Task and Finish Group's evidence-gathering process.

The Overview and Scrutiny Board agreed:

- 1) To request a copy of the annual report to Cabinet, regarding the County Council's internal and external consultation groups;
- 2) To note the proposals regarding methods of public engagement in Overview and Scrutiny; and
- 3) That a Public Engagement in Overview and Scrutiny Strategy be developed and presented for consideration and approval at its next meeting on 10<sup>th</sup> July 2013.

### **8. Scrutiny Outcomes Report**

Members considered the Scrutiny Outcomes Report in respect of the 'Communication with the Public and Financial Accountability' Task and Finish Group. Georgina Atkinson explained that the report was the first of its kind to present a 'before and after' account of how the scrutiny recommendations had delivered improvements for the County Council. The key areas of the report included: what the issue was; what the Task and Finish Group recommended; how the recommendation had improved the situation; and any required future action.

Members were advised that a Scrutiny Outcomes Report would be completed for each Task and Finish Group review, once all of the relevant recommendations had been agreed as completed by the responsible Overview and Scrutiny Committee. The Report could also be used to demonstrate the impact of other significant recommendations that an Overview and Scrutiny Committee may have submitted, and was not just restricted to recommendations arising from a Task and Finish Group review.

A discussion took place with regard to the publicity of Scrutiny Outcomes Reports. It was considered that although it was designed for a member audience, it could also be circulated to a wider audience. For example, the reports could be published on the County Council's web site and Intranet, and via the WarksDemocracy blog. In addition, relevant reviews could be sent to external partners.

The Overview and Scrutiny Board:

**Minutes of the meeting of the Overview and Scrutiny Board  
held on 20<sup>th</sup> February 2013**

- 1) Approved in principle the format and style of the Scrutiny Outcomes Report; and
- 2) Requested that a copy be sent to all members for comment and feedback.

**9. Treasury Management Monitoring**

Andrew Lovegrove, Head of Corporate Financial Services, presented the Overview and Scrutiny Board with the Treasury Management Monitoring report. It was reported that approximately 30 per cent of the County Council's reserves was invested in the external manager, Aviva Investors. Members were advised that the Council had adopted a very cautious Treasury Management Strategy 2012/13, with a decision to invest in high quality, low risk institutions. Andrew Lovegrove advised that a significant aspect of the policy included the placement of funds with the UK Government Debt Management Office for a period of up to three months. He confirmed that the cautious approach of the Treasury Management Strategy would remain unchanged for 2013/14.

In response to a question raised, members were advised that the County Council has commissioned the interest rate forecast from Sector Treasury Services. In addition, Sector Treasury Services also monitored the performance of Aviva Investors and ensured that the County Council's investments were safe and secure. He added that Aviva Investors used a wide range of AAA products, so the overall risk to the County Council was low.

The Overview and Scrutiny Board noted the report.

**10. Any Other Items**

No further matters were raised for discussion.

**11. Dates of Future Meetings**

The Overview and Scrutiny Board noted that the date of the next meeting had been scheduled for 10<sup>th</sup> July 2013, subject to approval at Annual Council.

The Board rose at 4.10 p.m.

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Chair

## **Minutes of the meeting of the Corporate Services Overview and Scrutiny Committee held on 21 May 2013**

### **Present**

#### **Members of the Committee**

(appointed by Council on 21 May)

Councillors Nicola Davies, Neil Dirveiks, Martin Heatley, Bernard Kirton, Keith Kondakor, Phillip Morris-Jones, Chris Saint, June Tandy, Alan Webb and Chris Williams.

#### **Other Councillors:**

John Appleton, John Beaumont, Sarah Boad, Mike Brain, Peter Butlin, Les Caborn, Richard Chattaway, Jonathan Chilvers, Jeff Clarke, Alan Cockburn, Jose Compton, Yousef Dahmash, Corinne Davies, Richard Dodd, Sara Doughty, Peter Fowler, Jenny Fradgley, Bill Gifford, Mike Gittus, Colin Hayfield, Bob Hicks, John Holland, John Horner, Julie Jackson, Philip Johnson, Kam Kaur, Danny Kendall, Joan Lea, Keith Lloyd, Ann McLauchlan, Peter Morson, Brian Moss, Bill Olnor, Dave Parsons, Caroline Phillips, Kate Rolfe, Wallace Redford, Keith Richardson, Clive Rickhards, Howard Roberts, Jerry Roodhouse, Izzi Seccombe, Dave Shilton, Bob Stevens, Jenny St John, Heather Timms, Angela Warner, Mary Webb, Matt Western and John Whitehouse.

Councillor Dave Shilton, the Chair of Council, opened the meeting.

### **1. General**

#### **(1) Apologies**

None.

#### **(2) Members Disclosures of Pecuniary and Non-Pecuniary Interests**

None.

### **2. Election of Chair**

Councillor Alan Webb proposed that Councillor June Tandy be Chair of the Committee and was seconded by Councillor Matt Western.

There were no other nominations.

#### **Resolved**

That Councillor June Tandy be Chair of the Corporate Services Overview and Scrutiny Committee.

**3. Election of Vice Chair**

The Chair of the Committee called for nominations for vice-chair.

Councillor Chris Saint proposed that Councillor Martin Heatley be Vice Chair and was seconded by Councillor Chris Williams.

There were no other nominations.

**Resolved**

That Councillor Martin Heatley be appointed Vice-Chair of the Corporate Services Overview and Scrutiny Committee.

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Chair

## Corporate Services Overview and Scrutiny Committee

10<sup>th</sup> July 2013

### Questions to Cabinet and Portfolio Holders

#### Recommendations

That the Corporate Services Overview and Scrutiny Committee consider the forthcoming Cabinet and Portfolio Holder decisions relevant to its remit, asking any relevant questions and considering areas for further scrutiny, where appropriate.

#### 1.0 Cabinet and Portfolio Holder Decisions

- 2.1 The decisions relevant to the remit of the Committee are listed below. Members are encouraged to seek updates on decisions and identify topics for pre-decision scrutiny. The responsible Portfolio Holders will be in attendance at the meeting to answer any questions from the Committee.
- 2.2 The list was last updated from the Forward Plan on 1<sup>st</sup> July 2013.  
(\* Key decision)

Decision	Description	Date due	Cabinet / PfH
Lease of Horsa Building, Nuneaton	This report seeks to assign a lease to the Veterans Contact Point for the Horsa Building, Nuneaton.	18 <sup>th</sup> July 2013	Cabinet
Development of the Organisational Plan 2014-2018	To outline the process and the timeframe for developing and signing off the Organisational Plan.	18 <sup>th</sup> July 2013	Cabinet
* Exempt – Vicarage Street Redevelopment Nuneaton	Redevelopment of the land at Vicarage Street/ Church Street, jointly owned by WCC and NBBC in Nuneaton. Consideration of the outcome of the procurement process.	18 <sup>th</sup> July 2013	Cabinet
Nuneaton & Bedworth Local Centre Accommodation	Following a detailed option appraisal, four properties have been identified as hosts for the Nuneaton & Bedworth Local Centres. Significant refurbishment works are required	26 <sup>th</sup> July 2013	Deputy Leader

Capital Expenditure	at all four locations to support both service delivery and the adoption of modern & flexible working.		
Insurance Tender	Report requests permission to invite tenders and award and subsequently renew contracts for all classes of insurance cover.	26 <sup>th</sup> July 2013	Deputy Leader
Annual Governance Statement 2012/13	This report presents the Annual Governance Statement for 2011/12 for consideration.	12 <sup>th</sup> September 2013	Cabinet

	Name	Contact details
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**Corporate Services  
Overview and Scrutiny Committee**

**10<sup>th</sup> July 2013**

**Organisational Health Report – End of Year 2012/13**

**Recommendation**

That the Corporate Services Overview and Scrutiny Committee:

- 1) Consider the report; and
- 2) Consider how the report should be presented to the Committee in future.

**1.0 Introduction**

1.1 A copy of the quarterly Organisation Health Report – End of Year 2012/13 was considered and approved by Cabinet on 20<sup>th</sup> June 2013.

1.2 A full copy of report to Cabinet is attached to this report. Please note that only those appendices (to the Cabinet report) are attached that are relevant to the remit of this Committee, as follows:

- Customer Service (Appendix G)
- Finance (Appendix H)
- Human Resources (Appendix I)
- Information Assets (Appendix J)
- Law & Governance (Appendix K)
- Physical Assets (Appendix L)
- Service Improvement (Appendix M)
- Other Services (Appendix S)
- Performance Summary (Appendix T, Ambition 7)
- Going for Growth (Appendix U)

1.3 These are attached to the agenda as A3 colour copies.



## Cabinet

20 June 2013

### Year End 2012/13 Organisational Health Report: Finance, Performance & Risk (April 2012 – March 2013)

#### Recommendations

It is recommended that Cabinet:

- I. Review and comment on the 2012/13 performance against targets set. (Appendix T)
- II. Review and comment on the 2012/13 revenue outturn position, the year end performance against the 2012/13 savings plan, the revised capital payments totals detailed in Appendices A to S and the level of reserves held by the authority (Appendix V).
- III. Approve the carry forward of £12.706 million service savings to support plans for the delivery of services in 2013/14 as outlined in paragraph 6.3.
- IV. Approve the use of £8.151 million to repay borrowing in 2013/14 and hence reduce the authority's outstanding debt.
- V. Support the approach to the financing of the 2012/13 capital programme as detailed in paragraph 7.4.
- VI. Note the management of significant risks as outlined in Section 8.

#### 1.0 Key Issues

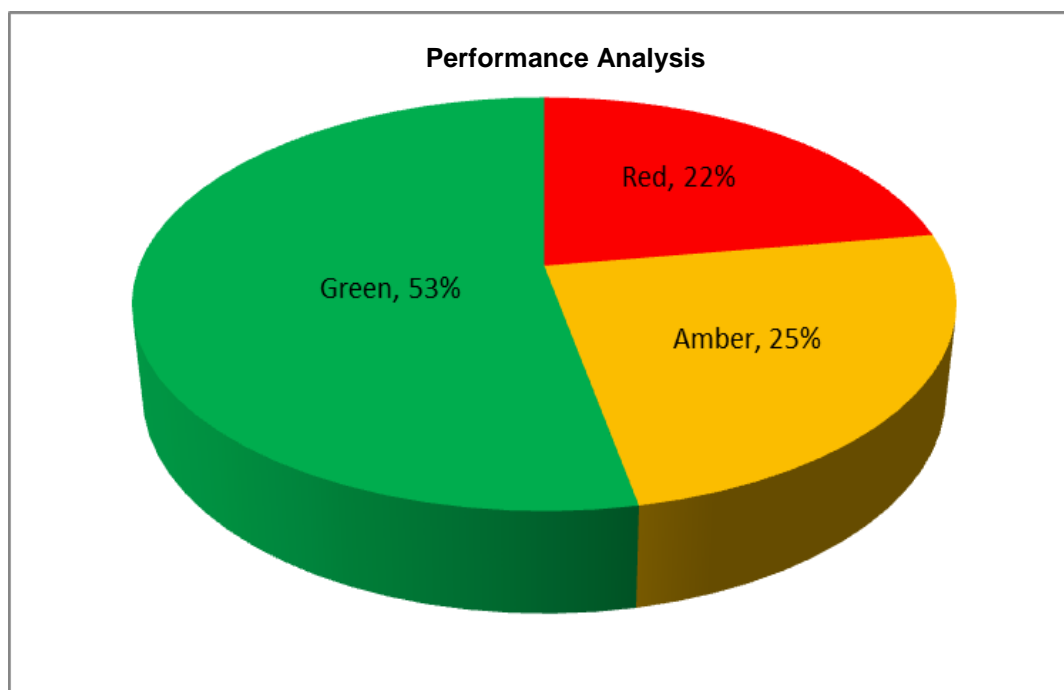
- 1.1 This report provides Members with a joint picture of how the organisation has performed in 2012/13 in terms of delivering our key performance measures, the financial management of our resources (including the capital programme and savings plans) and managing and responding to significant risks.
- 1.2 Overall the report presents a positive picture. We are on track to deliver the Aims and Ambitions as set out in the Corporate Business Plan. The majority of Business Units have met their 2012/13 savings targets. Where the delivery of savings is behind schedule, underspends and/or reserves are available to cover the shortfall on a temporary basis and actions are in place to ensure savings targets are met in 2013/14. The revenue outturn position for the authority (where we have direct control over the use and allocation of resources) is an

underspend of £17.196 million, reflecting a continued cautious approach towards spend from Business Units during a time when the level of future resources is so uncertain. This reflects a significant achievement in delivering challenging savings targets whilst maintaining high performance standards.

- 1.3 The financial outturn means the authority has maintained its prudent reserves position at the end of 2012/13. To continue the pace of change services are requesting to use £12.706 million to support their savings and transformation plans in 2013/14 as part of the medium term approach to the delivery of services and to use £8.151 million to repay borrowing and hence reduce the authority's outstanding debt. A review of all remaining reserves has been undertaken to make sure we are only holding reserves to cover identifiable financial risks. Until the extent of decisions needed to balance the Authority's budget over the life of the administration is known the advice from the Head of Finance is that the current level of general reserves should be maintained.
- 1.4 £16.823 million of the forecast capital spend at Quarter 3 has slipped into future years. This slippage has meant we have been able to avoid using any borrowing to finance capital spend in 2012/13, instead deferring the need to take out additional borrowing into future years.
- 1.5 Based on the information at the end of 2012/13 we remain on target to deliver the current Medium Term Financial Plan (MTFP) and Corporate Business Plan. However, the positive financial outturn position does not mean there is scope to divert focus away from the need for a new organisational plan. We are looking towards needing to identify permanent reductions in estimated costs of about £90 million over the next four years. A more detailed resource forecast and proposals for an approach for developing a 2014-18 organisational plan that is financially sustainable will be brought to Cabinet in July.

## **2.0 Performance – High Level Summary**

- 2.1. The Year End (April – March) 2012/13 Performance Summary (Appendix T) provides Members with a summary of progress against the delivery of our Corporate Ambitions.
- 2.2. As at the end of March, we are able to report progress against 49 of the 58 measures. Of the 58 measures, four are not due to be reported against in 2012/13 and will feature in 2013/14 performance reports and for the remaining five measures the data is not currently available. Performance of these 49 measures is detailed in the graph below, with 53% meeting targets and a further 25% within agreed tolerance levels.



### 2.3. Year End 2012/13 Performance Highlights

The table below presents year end performance information for each Ambition in the Corporate Business Plan. Further details about the individual measures under the relevant Ambitions are provided within Section 3 of Appendix T.

	Red	Amber	Green	Subtotal	Not Yet Available	Not collected this year*	Grand Total
<b>Ambition 1: Community &amp; Customers</b>	1	0	2	3	0	2	5
<b>Ambition 2: Safety &amp; Protection</b>	3	2	8	13	0	0	13
<b>Ambition 3: Care &amp; Independence</b>	2	3	6	11	0	2	13
<b>Ambition 4: Enterprise, Transport &amp; Tourism</b>	1	2	3	6	1	1	8
<b>Ambition 5: Environment &amp; Housing</b>	1	0	1	2	1	0	3
<b>Ambition 6: Schools &amp; Education</b>	1	2	2	5	0	0	5
<b>Ambition 7: Organisation</b>	2	3	4	9	2	0	11
<b>Total</b>	<b>11</b>	<b>12</b>	<b>26</b>	<b>49</b>	4	5	<b>58</b>

\* includes one indicator that is not targeted

### 2.4. 11 measures have missed the target set and they are:-

- Completion of BDUK Procurement Phase by March 2013
- Children who are both looked after and subject of a child protection plan

- % of people who use services who feel safe is in top quartile of comparator group
- Adult drug users exiting treatment successfully
- Admissions to Residential Care Homes per 1000 population
- The proportion of people who use services & carers who find it easy to find information about support
- Length of highway network where surface treatment was achieved
- The number of extra care units available for use by customers eligible for WCC Adult Social Care
- % of children in year 6 who are obese
- % net variation to budget
- Number of Service Reviews delivering a full business case to schedule

### 3.0 Going for Growth

- 3.1 The Year End (April – March) 2012/13 Going for Growth Summary (**Appendix U**) provides Members with a summary of progress against the delivery of our Going for Growth agenda.

### 4.0 Finance – High Level Summary

- 4.1 Table 1 provides a one page summary of the financial performance of each service compared to the approved budget. At the end of 2012/13 the revenue outturn position for the authority is an underspend of £22.489 million. £5.293 million of the underspend is a timing issue in respect of Government Grant received in 2012/13 for spending that will be incurred in 2013/14.
- 4.2 This means the outturn position for the authority (where it has direct control over the use and allocation of resources) is an underspend of £17.196 million. This includes an underspend across the Dedicated Schools Grant (DSG) that funds schools expenditure of £0.077 million. Any underspends by services form a contribution to reserves. This money is then available to support spending in future years and to fund the consequences of any delays in the delivery of the savings plan. The key messages in relation to the revenue budget are highlighted in Section 5.
- 4.3 A service-by-service breakdown of the variations compared to the budget, including where this is funded from DSG, and the reasons for the variations is shown in **Appendices A to S**. These appendices are available electronically on the committee administration system and a paper copy has also been placed in each of the Group rooms.

Table 1: Summary of 2012/13 Financial Performance as at 31/03/2013					
Col 1	Col 2	Col 3	Col 4	Col 5	
App.	Group/ Service	Revenue (Under)/ Over Spend  £'000	Savings (Above)/ Below Target  £'000	Capital Programme	
				2012/13 (Under)/ Over Spend £'000	Variation to total capital budget £'000
	<b>People Group</b>				
A	Safeguarding*	2,406	165	(22)	0
B	Social Care and Support	(1,940)	13	7	0
C	Business Manager*	0	41	(660)	0
D	Strategic Commissioning*	(1,765)	0	-	-
E	Early Intervention*	(1,195)	777	(77)	(4)
F	Learning and Achievement*	(1,477)	300	(4,520)	(4)
	<b>Resources Group</b>				
G	Customer Service	(491)	36	(290)	2
H	Finance	(1,487)	0	-	-
I	Human Resources & Organisation Development	(1,129)	0	-	-
J	Information Assets	(561)	0	300	369
K	Law and Governance	(223)	(2)	-	-
L	Physical Assets	(624)	0	(4,232)	429
M	Service Improvement and Change Management	(368)	0	-	-
	<b>Communities Group</b>				
N	Sustainable Communities	(2,706)	(184)	(2,845)	359
O	Localities and Community Safety	(1,512)	0	(26)	1
P	Transport and Highways	(790)	0	(4,189)	1,952
Q	Public Health	(166)	-	-	-
R	<b>Fire and Rescue</b>	(256)	0	(269)	214
S	<b>Other Services*</b>	(2,912)	-	-	-
	<b>Total</b>	<b>(17,196)</b>	<b>1,146</b>	<b>(16,823)</b>	<b>3,318</b>

Notes: There may be rounding differences

\* indicates services where the revenue outturn is partly funded by DSG

Column 3 shows the total revenue underspend for each service after deducting government grants received in advance. The breakdown of the corresponding budget is given in Appendices A to S.

Column 4 shows the financial variation from the target savings set for 2012/13. This is included in Column 3 too, as part of the overall revenue budgetary performance of the service.

Column 5 shows the variation in capital payments in 2012/13 compared to the budget and changes to the total cost of schemes over the life of the programme (again further details are given in Appendices A to S),

4.4 The 2012/13 Budget included a savings target of £41.291 million for 2012/13 and savings of £40.145 million were delivered during the financial year. Overall, therefore, there is a £1.146 million underachievement in the delivery of the savings plan in 2012/13. Plans are already in place for those Business Units who are not meeting their savings targets to do so in 2013/14.

4.5 In the Quarter 3 capital programme approved by Cabinet in January, the approved estimated value of capital payments due in 2012/13 was £98.080 million. The actual total 2012/13 capital payment is £81.257 million. This £16.823 million reduction is primarily a result of the re-phasing of project spend from 2012/13 into later years. The key messages in relation to the capital budget and its financing are highlighted in Section 7.

## 5.0 Revenue Spending – 2012/13 Outturn

5.1 A number of budget adjustments have happened during the last quarter that have resulted in the total budget being £1.496 million lower than reported at Quarter 3. These changes are shown in Table 2 below in the 'Agreed Changes' column.

Table 2: 2012/13 Revenue Budget – Summary of Agreed and Projected Changes						
App.	Group/ Service	Budget after Q3 report £'000	Agreed Changes* £'000	Revised Budget £'000	Variation	
					£'000	%
	<b>People Group</b>					
A	Safeguarding	35,822	0	35,822	2,406	6.7
B	Social Care and Support	100,584	98	100,682	(1,940)	-1.9
C	Business Manager	16,590	(523)	16,067	0	0.0
D	Strategic Commissioning	16,967	(869)	16,098	(1,765)	-11.0
E	Early Intervention	17,010	(49)	16,961	(1,195)	-7.0
F	Learning and Achievement	68,150	1,464	69,614	(1,477)	-2.1
	<b>Resources Group</b>					
G	Customer Service	9,228	(3)	9,225	(491)	-5.3
H	Finance	6,705	(256)	6,449	(1,487)	-23.1
I	Human Resources & Organisational Development	5,787	0	5,787	(1,129)	-19.5
J	Information Assets	6,629	0	6,629	(561)	-8.5
K	Law and Governance	1,126	0	1,126	(223)	-19.8
L	Physical Assets	14,319	113	14,432	(624)	-4.3
M	Service Improvement and Change Management	2,516	1	2,517	(368)	-14.6
	<b>Communities Group</b>					
N	Sustainable Communities	23,599	(274)	23,325	(2,706)	-11.6
O	Localities and Community Safety	9,985	(126)	9,859	(1,512)	-15.3
P	Transport and Highways	28,223	214	28,437	(790)	-2.8
Q	Public Health	193	0	193	(166)	-86.0
R	<b>Fire and Rescue</b>	20,831	(992)	19,839	(256)	-1.3
S	<b>Other Services</b>	(45,660)	(294)	(45,954)	(2,912)	6.3
	<b>Total</b>	<b>338,604</b>	<b>(1,496)</b>	<b>337,108</b>	<b>(17,196)</b>	<b>-5.1</b>

Note:

There may be rounding differences

\* The agreed changes have been approved by the Head of Finance in accordance with his approved delegations

5.2 When looking at the outturn position the most significant areas of variation are in relation to:

- ❖ **Safeguarding** – The overspend of £2.406 million was due to the increased number of child protection cases during 2012/13 as well as higher than anticipated payments to sessional staff who are required by the Courts Service to be present for child family meets.



- ❖ **Strategic Commissioning** – The underspend of £1.765 million was due to a combination of the early achievement of the 2013/14 savings target, a number of vacancies which were held and a reduction in both demand and costs of tuition in hospital schools.
- ❖ **Early Intervention** – The underspend of £1.195 million was due to a combination of the early achievement of the 2013/14 savings target and a contingency which was being held to cover any underachievement of savings within the former Children’s Directorate Business Units.
- ❖ **Finance** – The Finance Business Unit as a whole came in on budget after early repayment of some borrowing. The underspend of £1.487 million represents the Transformation Fund for the whole of the Resources Group which is held within the Finance Service. This Fund is used for one-off investments which will delivery savings and improvements across the whole authority.
- ❖ **Human Resources & Organisational Development** – Underspending of £0.752 million was mainly due to vacancies and delays in commissioning training during the year. A further £0.377 million of the underspend was due to the Apprenticeships Project, funded as part of the Going for Growth allocation, which was not fully in place until 1 April 2013.
- ❖ **Sustainable Communities** – The underspend relates to a number of services. There were delays in organising the projects funded from the Going for Growth allocations and reduced tonnages of waste going to landfill has also contributed to this underspend.

## 6.0 Reserves

6.1 Warwickshire County Council holds financial reserves as a contingency to fund unexpected spending need, manage financial risks or to build-up funds to meet a known or predicted future spending need.

### 6.2 Level of Reserves as at 31 March 2013

Section 5 outlined the spending against budget for each Business Unit. Any under or over spend at the end of the year falls into either corporate or business unit reserves. At the start of 2012/13 the authority held reserves of £92.968 million. With the approved in-year use of reserves and the effect of outturn the level of reserves at the end of the year have increased to £114.061 million. Table 3 shows the level of reserves held by the authority as at 31 March 2013 and how this has changed from the start of the 2012/13 financial year.

<b>Table 3: WCC Reserves</b>				
<b>Reserve</b>	<b>Opening Balance 01/04/2012 £'000</b>	<b>Approved In year changes £'000</b>	<b>Effect of Outturn* £'000</b>	<b>Balance As at 31/03/2013 £'000</b>
<b>Corporate Reserves</b>				
General Reserves	15,750	1,380	1,813	18,943
Medium Term Contingency	0	13,315	-	13,315
Service Realignment Fund	8,241	256	-	8,497
Capital Fund	326	61	-	387
Insurance	7,969	0	16	7,985
Schools	22,650	(3,054)	77	19,673
<b>Group Reserves</b>				
People	0	0	0	0
Communities	100	(96)	0	4
Resources	2,971	(2,326)	0	645
<b>Business Unit Reserves</b>				
Safeguarding	2,578	(1,138)	(2,406)	(966)
Social Care and Support	9,420	996	1,940	12,356
Business Manager	1,300	0	0	1,300
Strategic Commissioning	1,112	(343)	1,765	2,534
Early Intervention	1,347	(1,222)	1,195	1,320
Learning and Achievement	1,381	(1,131)	1,477	1,727
Customer Service	170	(170)	491	491
Finance	93	(93)	1,487	1,487
Human Resources	144	(144)	1,129	1,129
Information Assets	1,100	(304)	561	1,357
Law and Governance	34	(34)	223	223
Physical Assets	817	(503)	624	938
Service Improvement and Change Mgmt	50	(50)	368	368
Sustainable Communities	3,474	(3,106)	5,116	5,484
Localities and Community Safety	2,304	(302)	1,916	3,918
Transport and Highways	3,241	(1,716)	790	2,315
Public Health	58	(58)	427	427
Fire	2,196	86	256	2,538
Other Services	4,141	(1,700)	3,225	5,666
<b>Total Reserves *</b>	<b>92,968</b>	<b>(1,396)</b>	<b>22,489</b>	<b>114,061</b>

Notes:

There may be rounding differences

\* This figure includes the £5.293 million of grant income received in 2012/13 for projects to be delivered in 2013/14.

### 6.3 Use of Reserves to support 2013/14 activity

Table 3 shows the 'pure' impact of outturn upon the reserves held by the County Council. Business Units are requesting approval to use £12.706 million of these reserves to support services in 2013/14. These carry forward requests are listed in Table 4. The rationale behind these carry forward requests can be found in **Appendix V**.

<b>Table 4: List of Carry Forward Requests</b>	
	<b>£'000</b>
<b>People Group</b>	
Safeguarding	227
Social Care and Support Services	1,620
Business Manager	-
Strategic Commissioning	245
Early Intervention and Family Support	-
Learning and Achievement	907
<b>Resources Group</b>	
Customer Service	192
Finance	101
Human Resources & Organisational Development	516
Information Assets	341
Law and Governance	68
Physical Assets	80
Service Improvement and Change Management	13
<b>Communities Group</b>	
Sustainable Communities	3,951
Localities and Community Safety	935
Transport and Highways	998
Public Health	425
<b>Fire and Rescue</b>	1,775
<b>Other Services</b>	312
<b>Total Carry Forwards</b>	<b>12,706</b>

#### 6.4 Use of Reserves to Repay Borrowing

All Groups are requesting approval to use some of their reserves to repay borrowing. The total amount is £8.151 million with £5.602 million coming from People Group, £0.842 million coming from the Resources Group and £1.707 from the Communities Group. Using reserves in this way will reduce the total debt outstanding in the authority.

#### 6.5 Impact of the Reserves Review

Reserves are held at both Business Unit and Group level, reflecting which level is most appropriate for the risk being covered. All Groups have taken the opportunity at the end of the year to redistribute their reserves to help support the service needs and financial risks facing each of their Business Units.

The Fire and Rescue Service have reduced spending by £0.352 million in order to contribute towards the funding of the response to the Atherstone-on-Stour tragedy. The costs of this in 2012/13 were £0.461 million. This leaves an unfunded balance of £0.109 million which will be met from the Capacity Building Fund, as in previous years.

Assuming all carry forwards and use of reserves are approved and including the movements in reserves approved as part of the 2013/14 Budget set by Council in February 2013, the level of reserves held by the authority at the end of 2013/14 is estimated to be £95.602 million. Table 5 shows the breakdown of

this. The figures do not take into account any forecast of over/underspending in 2013/14.

Of these reserves £40.572 million are earmarked for specific purposes, either due to external requirements (such as grant conditions) or previous decisions of members. This leaves £55.030 million to support services and to provide cover for financial risks facing the authority.

<b>Table 5: Forecast Reserves as at 31 March 2014</b>							
Reserve	Balance 31/03/13 After outturn £'000	Change in Reserves After Outturn £'000	Carry Forwards £'000	Repay Borrowing £'000	2013/14 Budget £'000	Estimated Final Balance 31/03/14 £'000	Amount Ear- Marked £'000
<b>Corporate Reserves</b>							
General Reserves	18,943	-	-	-	(2,754)	16,189	0
Medium Term Contingency	13,315	-	-	-	-	13,315	0
Service Realignment Fund	8,497	-	-	-	214	8,711	8,711
Capital Fund	387	-	-	-	-	387	387
Insurance	7,985	-	-	-	-	7,985	7,985
Schools	19,673	-	-	-	-	19,673	19,673
<b>Group Reserves</b>							
People	0	-	-	-	-	0	0
Communities	4	-	-	-	-	4	0
Resources	645	2,948	-	(842)	-	2,751	0
<b>Business Unit Reserves</b>							
Safeguarding	(966)	1,693	(227)	-	-	500	0
Social Care and Support	12,356	(1,367)	(1,620)	(4,302)	5,312	10,379	0
Business Manager	1,300	-	-	(1,300)	-	0	0
Strategic Commissioning	2,534	427	(245)	-	-	2,716	0
Early Intervention	1,320	(1,070)	-	-	-	250	0
Learning and Achievement	1,727	317	(907)	-	-	1,137	0
Customer Service	491	(299)	(192)	-	-	0	0
Finance	1,487	(1,386)	(101)	-	-	0	0
Human Resources	1,129	(613)	(516)	-	-	0	0
Information Assets	1,357	(220)	(341)	-	-	796	625
Law and Governance	223	(155)	(68)	-	-	0	0
Physical Assets	938	80	(80)	-	-	938	403
Service Imp. & Change Mgmt	368	(355)	(13)	-	-	0	0
Sustainable Communities	5,484	(146)	(3,951)	(920)	(100)	367	0
Localities & Community Safety	3,918	(146)	(935)	(785)	(327)	1,725	500
Transport and Highways	2,315	292	(998)	-	-	1,609	1,416
Public Health	427	-	(425)	(2)	53	53	0
Fire	2,538	109	(1,775)	-	-	872	872
Other Services	5,666	(109)	(312)	-	-	5,245	0
<b>Total Reserves</b>	<b>114,061</b>	<b>-</b>	<b>(12,706)</b>	<b>(8,151)</b>	<b>2,398</b>	<b>95,602</b>	<b>40,572</b>

Note: There may be rounding differences

## 6.6 Earmarked Corporate Reserves

Of the £95.602 million reserves, £66.260 million are held at a corporate level, of which £36.756 million are earmarked for specific purposes. This includes £19.673 million of individual school reserves and other ring fenced DSG expenditure.

The Service Realignment Fund holds £8.711 million. This is used to help Business Units manage their employee costs when implementing their savings plans. During 2012/13 most Business Units have managed to meet these costs from within their own budget.

The Insurance Fund is the authority's contingency against any major insurance claims. The level of this fund is guided by advice from the Insurance Officer and currently holds £7.985 million. A full review of the appropriate level for the Insurance Fund will be undertaken over the summer to ensure it remains sufficient to cover known or expected liabilities.

The Capital Fund is a revenue reserve set up to support the capital programme. It helps meet expenses that are incurred when the authority generates capital receipts and smooth fluctuations in cash flow.

#### 6.7 **General Reserves**

At the end of 2013/14 General Reserves are expected to be £16.189 million. All of this reserve, above the £15.700 million minimum specified by the Head of Finance in his risk assessment, is earmarked as the third year of the Going for Growth project funding. There is no funding available in General Reserves to support additional spending in 2013/14 or future years.

#### 6.8 **Group Reserves**

Reserves held at the Group level total £2.755 million. Most of this reserve is held in the Resources Group and is earmarked to implement the transformation programme and money will be drawn down as projects are agreed.

#### 6.9 **Business Unit Reserves**

Business Units are holding £26.587 million of reserves. £3.816 million of this is earmarked for specific purposes such as the Fire Pension Reserves. The remainder of the reserves are being used to help mitigate against fluctuating demand or sudden unexpected expenditure. Full details of these risks can be found in **Appendix V**. A number of the larger reserves are outlined below:

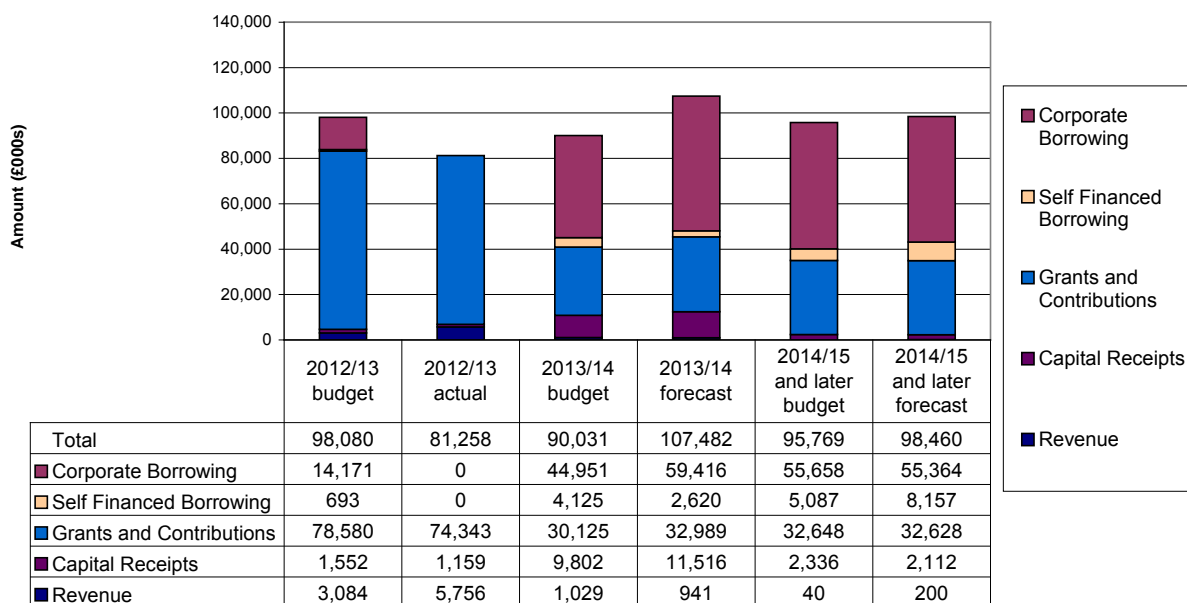
- ❖ **Social Care and Support services** - This reserve addresses general service risks recognising the scale, volatility and overall risk associated with adult social care services and the need to protect the wider council from the impact of these.
- ❖ **Strategic Commissioning** – Almost half the reserve is held to cover the general risk of overspends from year to year and to cover risks around the delivery of savings plans. The rest of the reserve is held for the specific purposes of investment in social care services that benefit health and a bidding fund for adult social care capital developments.
- ❖ **Transport and Highways** – These reserves are to fund the ongoing maintenance of the safety camera infrastructure including vandalism and provide enforcement on Community Concern sites and to meet ongoing maintenance costs of the Warwick Road site in Kenilworth, purchased to facilitate the Kenilworth Station scheme.
- ❖ **Localities and Community Safety** – These reserves are held for a number of reasons, including Drug and Alcohol Action Team, the Priority Families Initiative and the Family Intervention Project.

- ❖ **Other Services** - These are a number of cross service or centrally held reserves, for example, pay equalisation and elections.

## 7.0 Capital Programme

- 7.1 The capital budget provides for spending on assets which have a life of more than a year. Capital spending is defined by statute and includes;
- ❖ The acquisition of land, buildings, vehicles, equipment and computer software
  - ❖ The construction and improvement of buildings and roads
  - ❖ The provision of capital grants to enable third parties to acquire or improve assets.
- 7.2 In the Quarter 3 Budget Monitoring report the value of capital payments due in 2012/13 was £98.080 million with a further £123.807 million over the medium term. Since then, the total scheme cost on a number of projects has changed and new projects have been approved. As a result, the spending for 2012/13 is £81.257 million, with a total increase in payments in 2013/14 and later years of £51.830 million. Of this £51.830 million; £24.214 million relates to new allocations for projects approved by Council on the 5<sup>th</sup> February 2013 as part of the 2013/14 Budget Resolution, £24.295 million relates to the addition of the 2015/16 allocations for annually recurring maintenance programmes and £3.318 million relates to increases between Quarter 3 and Year End where additional funding for specific projects has been received.
- 7.3 Financial Standing Orders require Cabinet to approve changes to schemes where the figures have a variance of more than 10% or are greater than £25,000 on any individual scheme. These schemes are included in all tables and figures within this report and are identified in the appendices, with reasons for the variations provided.
- 7.4 As well as approving the revised spending in the capital programme, the County Council must also ensure it has sufficient funding available to meet its capital payments in each financial year. The chart below and Table 6 show how the capital expenditure shown in Appendices A to S is to be financed.

**Table 3 Estimated Financing to 2013/14 and later years**



7.5 The most significant change is the slippage of £16.823 from 2012/13 into later years which has meant we have not had to incur any borrowing to finance the 2012/13 capital spend. This is only a short-term reduction in the planned level of borrowing, as it will be required to fund the slippage in the capital programme when it occurs in future years.

## 8.0 Corporate Risk – High Level Summary

- 8.1 The Council has in place a Corporate Risk Management Strategy which details a corporate approach to risk management including consistent measures for likelihood and impact. It is regularly reviewed to ensure it continues to meet good practice and remains relevant.
- 8.2 Risk management is applied at all levels of service delivery both strategic and operational (business units, contracts and projects).
- 8.3 The corporate strategic risk register details those risks that could have an effect on the successful achievement of our long term strategic ambitions/aims. These risks are reviewed and agreed twice a year by Corporate Board and then subsequently taken to Audit and Standards Committee for consideration.
- 8.4 The table below lists the corporate strategic risks. The difference between gross and net risk levels indicates that actions are in place to manage these risks. Net red risks (R) are significant risks that need immediate management action, whilst net amber risks (A), although usually accepted, may need some additional mitigation.

Risk Description	Gross Risk Level	Net Risk Level
Failure to effectively transform WCC to reflect the political and economic environment	12 (R)	8(A)
Failure to deliver the agreed savings targets and balance the Council's budget	9(A)	9(A)
Failure to maintain an efficient regulatory framework	12(R)	8(A)
Ineffective and unsuccessful partnerships across Warwickshire and sub-regionally	9(A)	6(A)
Consequences of the Atherstone-on-Stour fire on the organisation	16(R)	8(A)
Fail to meet the needs, demands and expectations of the community	9(A)	4(A)
Young people & vulnerable adults suffer injury or death where the local authority & its partners could have intervened to avoid it happening	16(R)	12(R)
Market Failure – Commercial or contractual failure of private or independent care providers leads to disruption to care provision and impact on service users and carers	16(R)	9(A)

8.5 Excluding one risk that has been escalated to the Strategic Risk Register, there are currently no other net red business unit risks.

Risk Description	Gross Risk Level	Net Risk Level
Young people & vulnerable adults suffer injury or death where the local authority & its partners could have intervened to avoid it happening <i>(also included on the Corporate Strategic Risk Register)</i>	16(R)	12(R)

Net red business unit risks are identified and assessed by Heads of Service as significant risks, which may have a serious financial, reputational and/or service delivery impact on the Council and the achievement of its objectives if not managed. The risks are reported on regularly and actively managed by risk owners named in the **Appendices A - S** who can be contacted for more information. The following paragraph details further information, which has been provided by the risk owner.

Young people & vulnerable adults suffer injury or death where the LA & its partners could have intervened to avoid it happening.

There are on-going local pressures such as staff shortages, and periods of extreme demand. The environment is also dependent on the behaviour of third parties whom the Business Unit have no influence over and it is not always



obvious what action could be taken until after the event. Furthermore, the service is vulnerable to media and public attention with serious cases reported widely at a national level. Controls are in place to reduce the level of risk to WCC including Safeguarding Board business plans, CYPF plan, partnership arrangements, and a robust multi-agency training plan. The Department for Education has issued new guidance as a consequence of the Munro Review of Child Protection. However, the risk of this type of event happening will always remain, regardless of any controls in place which are under constant review. This risk has been escalated to the Corporate Strategic Risk Register.

- 8.6 Since the last quarterly report, the following previously net red business unit risks have been reassessed as amber:

#### Children's Centres Tendering

Detailed data analysis has now been completed to identify localised commissioning priorities and project delivery timescales have been established as part of the Early Years Transformation Programme for the commissioning process to be undertaken. Financial modelling of options is currently being developed for Cabinet in September. As these steps have now been established the risk of failure to deliver the required savings and re-commission provision is reduced.

#### Unable to provide an effective finance service.

The finance service was under increasing pressure to work within the Authority in delivering the austerity savings within increasingly complexity funding streams, whilst implementing one of the highest proportions of budget reductions across the Authority. As a result, there was a real risk around the capacity to deliver the proper administration of the Authority's financial affairs. The Council Budget in February 2013 included additional resources for capacity and investment in Agresso (the Council's new financial system). This, together with changes to the structure and delivery of the service, has substantially mitigated the risk of insufficient financial governance and oversight.

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## Customer Services - Kushal Birla

## 2012/13 Revenue Budget

Service	Agreed Budget £'000	Agreed Changes £'000	Latest Budget £'000	Final Outturn £'000	Variation Over/ (Under) £'000	Reason for Variation and Management Action
Customer Contact and E-services	1,969		1,969	2,000	31	
Marketing & Communications	301		301	322	21	The Print Unit reported an overspend of £51,000 . The cause of this is being investigated to ensure any work undertaken is done on a full cost recovery basis.
One Front Door (Formerly One Stop Shops)	268		268	242	(26)	
Registration Services	104		104	(333)	(437)	Income generation through the Registration Service activity was greater than planned.
Other Customer Services	694		694	694	0	Planned underspend used for provision for Library Redundancies. It will now complete the last phase of the Library Transformation Programme.
Library & Information Services	5,572	(3)	5,569	5,503	(66)	Variation was due to the mobile library purchases estimates being much lower than actual, increased discounts on stock purchase and also due to delays in recruitment as a result of a restructure.
Customer Relations	320		320	306	(14)	
<b>Net Service Spending</b>	<b>9,228</b>	<b>(3)</b>	<b>9,225</b>	<b>8,734</b>	<b>(491)</b>	

## 2012/13 Reserves Position

Reserve	Opening Balance 01.04.12 £'000	Movement in Year £'000	Effect of Outturn £'000	Closing Balance 31.03.13 £'000	Reason for Request
Service Savings	170	(170)	491	491	Appendix U details the proposals for the use of the closing balance on reserves
<b>Total</b>	<b>170</b>	<b>(170)</b>	<b>491</b>	<b>491</b>	

## 2012/13 to 2014/15 Savings Plan

Reference	Savings Proposal Title	2012/13		2013/14			2014/15		Reason for Variation and Management Action
		Target £'000	Final Outturn £'000	Target £'000	Actual to Date £'000	Forecast Outturn £'000	Target £'000	Forecast Outturn £'000	
	Savings delivered in 2011/12	452	416	452	416	416	452	416	
CW-CL-01 and 12	Restructure Community Safety and Localities management and teams & Additional income generation in Equality and Diversity and Complaints Handling (jointly with Customer Services)	18	18	68	18	68	68	68	
CW-CC-02	Library Services reconfiguration	311	311	782	311	782	932	932	
CW-CC-03	Integrated Model for Communications	43	43	136	43	136	136	172	
	<b>Total</b>	<b>824</b>	<b>788</b>	<b>1,438</b>	<b>788</b>	<b>1,402</b>	<b>1,588</b>	<b>1,588</b>	
	<b>Target</b>		<b>824</b>		<b>1,438</b>	<b>1,438</b>		<b>1,588</b>	
	<b>Remaining Shortfall/(Over Achievement)</b>		<b>36</b>		<b>650</b>	<b>36</b>		<b>0</b>	

G Customer Service

2012/13 to 2014/15 Capital Programme

Agresso Project Code	Description	Approved Budget					2012/13 Actual and Future Years Forecast					Variation		Reasons for Variation and Management Action
		Earlier Years	2012/13 £ 000's	2013/14 £ 000's	2014/15 and later £'000	Total £ 000's	Earlier Years	2012/13 £ 000's	2013/14 £ 000's	2014/15 and later £'000	Total £ 000's	Variance in Year £ 000's	Total Variance £ 000's	
10155000	Improve Customer Experience in Council Buildings and DDA Works 2009/10	62	235	204	0	501	62	(14)	453	0	501	(249)	0	No major One Front Door refurbishments have taken place during the year.
10624000	Libraries Radio Frequency Identification	720	97	37	0	854	720	50	85	0	855	(47)	1	
10627000	Improving The Customer Experience- Libraries	92	96	0	0	188	92	91	5	0	188	(5)	0	
10631000	Library Modernisation Linked To Best Value	0	150	150	0	300	0	221	79	0	300	71	0	Projects have been completed earlier than anticipated. The 2013-14 expenditure has been adjusted accordingly.
10645000	One-Stop Shops Expansion Programme 2009/10	0	0	150	120	270	0	0	150	120	270	0	0	
11040000	Improving the Customer Experience/One Front Door Improvements	0	50	1,000	1,950	3,000	0	0	1,000	2,000	3,000	(50)	0	
11077000	Capital Fund for Community Libraries	67	33	0	0	100	67	23	11	0	101	(10)	1	
	Historic schemes	37	0	0	0	37	37	0	0	0	37	0	0	
		<b>978</b>	<b>661</b>	<b>1,541</b>	<b>2,070</b>	<b>5,250</b>	<b>978</b>	<b>371</b>	<b>1,783</b>	<b>2,120</b>	<b>5,252</b>	<b>(290)</b>	<b>2</b>	

Performance Information April 2012 to March 2013

Customer Service - Member Level Report Card								
	Measure	2011/12 Actual	2012/13 Target	Year End Forecast 31/03/2013	Year End Alert	Period Actual 31/03/2013	Period Alert 31/03/2013	Progress to date
M01000	% Satisfaction level with the quality of services received	67.9	61.89	62		62		
M01005	Enquiries by the public resolved at first point of contact - OSS (%)	97	80	92		92		
M01009	% of clients who take up the 'Tell us once' service - births	47	0.46	0.46		0.46		• Baseline of 0.46% established for births
M01012	Number of visits to libraries	2079813	1673632	1721544		1721544		
M01013	Number of Virtual library visits (including use of subscription and online enquiry services, databases, and e-book downloads)	2909574	3055053	2628393		2628393		
M01030	No. of complaints responded to within agreed timescales - Corporate		95					• Measure tracks proportion of complaints resolved within agreed timescales. Still awaiting the data from the Champions to finalise corporate figure.
M01031	Benchmark social media Klout score		50	53		53		
M01095	% of clients who take up the 'tell us once' service - deaths		50	50		80.95		
M01096	No. of complaints responded to within agreed time scales - Adults		90	35		35		• Measure tracks proportion of complaints resolved within agreed timescales. The average completion time of 25 working days in adult social care.
M01097	No. of complaints responded to within agreed time scales - Children		60	58		58		• Measure tracks proportion of complaints resolved within agreed timescales. The average completion time of 21 working days in childrens social care.

Risk Information: Net Red Risks extracted from the Business Unit Risk Register

There are no net red risks on the Customer Services Business Unit Risk Register

## Finance - John Betts

## 2012/13 Revenue Budget

Service	Agreed Budget £'000	Agreed Changes £'000	Latest Budget £'000	Final Outturn £'000	Variation Over/(Under) £'000	Reason for Variation and Management Action
Head of Service	300	(343)	(43)	732	775	The underspend relates solely to the Transformation Fund for the Resources Group as a whole. This is currently accounted for within the budget for Finance, but relates to one-off resources held on behalf of the whole Resources Group. It is designed for one off investments to deliver on-going savings and improvements for the organisation as a whole (see the reason for requests below). In terms of the Finance Service as a whole, it came in on budget after early repayment of some borrowing. Additional savings were held in the "Head of Service" line and the corresponding savings are reflected in the underspends in the various teams. Savings have largely been delivered as a result of not filling vacancies, restructuring the service and shifting the emphasis of the service onto higher risk financial areas and more "self service" financial management for managers.
Budget and Technical & Fire Finance Team	527	0	527	416	(111)	
Financial Accounting & Projects	616	0	616	200	(416)	
Financial Systems & Transformation	1,870	2	1,872	1,834	(38)	
Communities Finance Team	530	0	530	487	(43)	
People Finance Team	920	85	1,005	977	(28)	
Resources & Schools Finance Team	655	0	655	516	(139)	
Finance Savings Target	(229)	0	(229)	(229)	0	
Resources Transformation Fund	1,516	0	1,516	29	(1,487)	
Contribution to repay Business Unit's own capital debt						
<b>Net Service Spending</b>	<b>6,705</b>	<b>(256)</b>	<b>6,449</b>	<b>4,962</b>	<b>(1,487)</b>	

## 2012/13 Reserves Position

Reserve	Opening Balance 01.04.12 £'000	Movement in Year £'000	Effect of Outturn £'000	Closing Balance 31.03.13 £'000	Reason for Request
Service Savings	93	(93)	1,487	1,487	Appendix U details the proposals for the use of the closing balance on reserves
<b>Total</b>	<b>93</b>	<b>(93)</b>	<b>1,487</b>	<b>1,487</b>	

## 2012/13 to 2014/15 Savings Plan

Reference	Savings Proposal Title	2012/13		2013/14		2014/15		Reason for Variation and Management Action
		Target £'000	Final Outturn £'000	Target £'000	Actual to Date £'000	Forecast Outturn £'000	Target £'000	
	Savings delivered in 2011/12	340	340	340	340	340	340	
RE-FI-01	Financial process efficiencies - savings will result from the implementation of new corporate financial systems and the upgrade/development of supporting systems.	785	785	1,510	785	1,510	1,510	The savings target for both 2011/12 and 2012/13 have been delivered and staffing structures and processes are in place to deliver the savings target for 2013/14, following the additional resources distributed through the corporate budgeting process in February 2013. Longer term sustainability is dependent on one-off investment from the Resources Group Transformation Fund (highlighted above) to minimise the impact in 2013/14, alongside the introduction of a different way of delivering financial support to the organisation (also highlighted in the request for transfer of reserves highlighted above).
RE-FI-03	Reduction in financial support to both members and mana							
RE-FI-04	Shared financial services							
	<b>Sub total</b>	<b>1,125</b>	<b>1,125</b>	<b>1,850</b>	<b>1,125</b>	<b>1,850</b>	<b>1,850</b>	
	<b>Target</b>		<b>1,125</b>		<b>1,850</b>		<b>1,850</b>	
	<b>Remaining Shortfall/(Over Achievement)</b>		<b>0</b>		<b>725</b>	<b>0</b>	<b>0</b>	

## Performance Information April 2012 to March 2013

Finance								
	Measure	2011/12 Actual	2012/13 Target	Year End Forecast 31/03/2013	Year End Alert	Period Actual 31/03/2013	Period Alert 31/03/2013	Progress to date
M02000	Net variation to budget							This report sets out the cumulative Authority's variation from budget.
M02001	Corporate revenue and capital spending plans (including MTFP) are produced and published by due date		Yes	Yes	★			• Detailed timetables were published, although late grant information from Department for Communities & Local Government was unhelpful.
M02004	Financial Accounting - Final Accounts (for previous financial year)	Yes	Yes	Yes	★	Yes	★	• External audit reported an unqualified opinion for 2011/12.
M02014	Treasury Management strategy produced that supports the MTFP			Yes		Yes		• Treasury Management Strategy approved by Council on 21 March 2013.
M02022	Deliver Finance Service within the set budget		Yes	Yes	★			• The service was delivered to budget (see comments above).
M02050	% of quarterly outturn forecasts produced by due date		100	100	★	100	★	• All reporting was on target.
M02051	% of group reporting targets met in accordance with agreed timetable		100	100	★	100	★	• Group reporting targets were all on track in accordance with agreed timetables.

## Risk Information: Net Red Risks extracted from the Business Unit Risk Register

There are no net red risks on the Finance Business Unit Risk Register

**Human Resources and Organisational Development - Sue Evans**

**2012/13 Revenue Budget**

Service	Agreed Budget £'000	Agreed Changes £'000	Latest Budget £'000	Final Outturn £'000	Variation Over/ (Under) £'000	Reason for Variation and Management Action
Advisory Services (including Health & Safety)	1,972	(377)	1,595	1,395	(200)	Healthy Workforce budget was £23,000 underspent to meet a savings target. Corporate Health and Safety was underspent by £56,000 whilst vacancies were held following a re-structure. HR advisory was underspent by £121,000 as £90,000 was held back in vacant posts to deliver the savings target and the posts have subsequently been deleted. A further £31,000 was underspent due to an unexpected vacancy which the service was unable to fill.
Equalities and Diversity	325	0	325	303	(22)	
Human Resources Service Centre	1,494	19	1,513	1,484	(29)	
Learning & Organisational Development	1,228	0	1,228	772	(456)	£210,000 Social Care Team - vacant posts and other changes during year (of this, £167,000 budget is held on behalf of People Group and will be reviewed). £190,000 L&D Levy - delay in funding being agreed meant there was insufficient time to organise courses once the level of funding was known. £56,000 Corporate Team - structural changes during year and delays in commissioning training.
Business Partners	508	0	508	469	(39)	
Human Resources Head of Service	259	358	617	235	(382)	Members approved the Apprenticeship Programme (£377,000) as part of the Going for Growth Strategy. Funding was released late in the year and it was not possible to fully utilise the funding. Spending is now planned for 2013/14.
<b>Net Service Spending</b>	<b>5,787</b>	<b>0</b>	<b>5,787</b>	<b>4,658</b>	<b>(1,129)</b>	

**2012/13 Reserves Position**

Reserve	Opening Balance 01.04.12 £'000	Movement in Year £'000	Effect of Outturn £'000	Closing Balance 31.03.13 £'000	Reason for Request
Service Savings (non-DSG)	144	(144)	1,129	1,129	Appendix U details the proposals for the use of the closing balance on reserves
<b>Total</b>	<b>144</b>	<b>(144)</b>	<b>1,129</b>	<b>1,129</b>	

**2012/13 to 2014/15 Savings Plan**

Reference	Savings Proposal Title	2012/13		2013/14			2014/15		Reason for Variation and Management Action
		Target £'000	Final Outturn £'000	Target £'000	Actual to Date £'000	Forecast Outturn £'000	Target £'000	Forecast Outturn £'000	
	Savings delivered in 2011/12	304	304	304	304	304	304	304	
CW-CL-01	Reduction in management posts in the Interpretation and Translation Service	34	34	34	34	34	34	34	
CW-CL-12	Additional income generation in Equality and Diversity	0	0	15	0	15	15	15	
CW-WS-01	Learning & Development	79	79	79	79	79	79	79	
CW-WS-03	HR Advisory Service	30	30	100	30	100	100	100	
CW-WS-04	HR Business Partnership	0	0	18	0	18	18	18	
CW-WS-05	HR Transactions	51	51	51	51	51	51	51	
CW-WS-06	Management restructure in Workforce, Strategy and Development	2	2	82	2	82	82	82	
	<b>Total</b>	<b>500</b>	<b>500</b>	<b>683</b>	<b>500</b>	<b>683</b>	<b>683</b>	<b>683</b>	
	<b>Target</b>		<b>500</b>		<b>683</b>	<b>683</b>		<b>683</b>	
	<b>Remaining Shortfall/(Over Achievement)</b>		<b>0</b>		<b>183</b>	<b>0</b>		<b>0</b>	

I Human Resources

Performance Information April 2012 to March 2013

HR & OD - Member Level Report Card								
	Measure	2011/12 Actual	2012/13 Target	Year End Forecast 31/03/2013	Year End Alert	Period Actual 31/03/2013	Period Alert 31/03/2013	Progress to date
M03000	% WCC staff agreeing that "the county Council is a good employer" as per the Corporate Staff Survey		75.5	73		73		
M03004	% of staff identifying themselves as disabled as reflected in the statutory Workforce Equalities & Diversity report in 2011/12		3	2.57		2.57		• This is not a target it is for monitoring purposes only (info from BVPI16)(Q4 data taken as at 31/03/13)
M03007	% staff believe that they have a real opportunity to develop their skills (through Corporate Staff Survey)		70	54.2		54.2		
M03008	% staff agreeing that they have the opportunity for personal development and growth (whilst at work) in the County Council (through Corporate Staff Survey)		60	46.5		46.5		
M03021	% Overall satisfaction from customer survey (internal or external)		70	58		58		• Results from Manager Customer Survey Oct 12 added - Results applicable to 'standard' 7 questions only.
M03022	Investors in people standards maintained	Yes	Yes	Yes		Yes		
M03019	% of staff satisfied with the training & development that they receive in their current job			66.6		66.6		• No target set.
M03020	% staff who believe the County Council is an equal opportunities employer		90	85.1		85.1		• Target cannot now be reached as survey will not be repeated within timeframe

Risk Information: Net Red Risks extracted from the Business Unit Risk Register

There are no net red risks on the Human Resources and Organisational Development Business Unit Risk Register

## Information Assets - Tonino Ciuffini

## 2012/13 Revenue Budget

Service	Agreed Budget £'000	Agreed Changes £'000	Latest Budget £'000	Final Outturn £'000	Variation Over/ (Under) £'000	Reason for Variation and Management Action
Head of Service	120		120	134	14	
Members Support	98		98	90	(8)	
ICT General Unit Charge	(507)		(507)	(507)	0	
Strategy and Programme (In future to be called Information and Innovation)	1,483		1,483	1,420	(63)	
Corporate ICT Development	1,291		1,291	1,289	(2)	
R&D Infrastructure Projects	636		636	542	(94)	Primarily due to £80,000 underspend due to delays on some R&D related projects.
Customer and Supplier Services	229		229	189	(40)	
Production Services	1,018		1,018	793	(225)	Primary reason was a positive contract renegotiation in March 2013 that saved £150,000
System Centre	1,173		1,173	1,240	67	
Schools and Network Team	803		803	604	(199)	This operates as a traded service and saw a further welcome increase in the previously forecast underspend in Quarter 4
Information Management	285		285	274	(11)	
<b>Net Service Spending</b>	<b>6,629</b>	<b>0</b>	<b>6,629</b>	<b>6,068</b>	<b>(561)</b>	

## 2012/13 Reserves Position

Reserve	Opening Balance 01.04.12 £'000	Movement in Year £'000	Effect of Outturn £'000	Closing Balance 31.03.13 £'000	Reason for Request
Information Assets - Equipment reserve	171	0		171	Appendix U details the proposals for the use of the closing balance on reserves
ICT - Unit Charge Equalisation Account	625	0		625	
Information Assets	304	(304)	561	561	
<b>Total</b>	<b>1,100</b>	<b>(304)</b>	<b>561</b>	<b>1,357</b>	

## 2012/13 to 2014/15 Savings Plan

Reference	Savings Proposal Title	2012/13		2013/14			2014/15		Reason for Variation and Management Action
		Target £'000	Final Outturn £'000	Target £'000	Actual to Date £'000	Forecast Outturn £'000	Target £'000	Forecast Outturn £'000	
	Savings delivered in 2011/12	433	433	433	433	433	433	433	
RE-IT-01-03	ICT savings via hours reduction, restructuring and general efficiencies	(3)	0	10	0	10	10	10	
RE-IT-04	Stopping the ICT Training initiative	50	0	50	0	0	50	0	No longer going to be taken
RE-IT-05	Removing the ICT extended out of hours support cover outside 8:30 to 5:30	0	150	250	150	250	250	250	While the savings have been taken from the budget, we are finalising how the last £100,000 is spread to balance overall budgets. Should be completed in Quarter 1 2013/14
RE-IT-06-10	Reductions in the ICT Development Fund, ICT strategy and research and development and the staff associated with them	400	275	550	275	550	550	550	
CW-CC-05	Transformation of Corporate Governance support	10	10	10	10	10	10	10	Complete plan delivered
New	Printing Savings	0	22	0	22	50	0	50	About to centralise the printer lease budget to complete the delivery of this saving.
		<b>890</b>	<b>890</b>	<b>1,303</b>	<b>890</b>	<b>1,303</b>	<b>1,303</b>	<b>1,303</b>	
	<b>Target</b>		<b>890</b>		<b>1,303</b>	<b>1,303</b>		<b>1,303</b>	
	<b>Remaining Shortfall/(Over Achievement)</b>		<b>0</b>		<b>413</b>	<b>0</b>		<b>0</b>	



J Information Assets

2012/13 to 2014/15 Capital Programme

Agresso Project Code	Description	Approved Budget					2012/13 Actual and Future Years Forecast					Variation		Reasons for Variation and Management Action
		Earlier Years	2012/13 £ 000's	2013/14 £ 000's	2014/15 and later £'000	Total £ 000's	Earlier Years	2012/13 £ 000's	2013/14 £ 000's	2014/15 and later £'000	Total £ 000's	Variance in Year £ 000's	Total Variance £ 000's	
10363000	Property Systems Development	71	0	129	0	200	71	0	129	0	200	0	0	
10966000	Centenary Business Centre Data Centre improvements and relocation	580	0	0	0	580	580	(69)	69	0	580	(69)	0	
11238000	Infrastructure E Government 2012/13	0	0	0	0	0	0	361	0	0	361	361	361	Purchase of capital assets which have been funded by revenue contribution.
11239000	Purchase of Vehicle - PJ62 WTD	0	0	0	0	0	0	8	0	0	8	8	8	Purchase of a capital asset which has been funded from revenue.
	Historic schemes	297	0	0	0	297	297	0	0	0	297	0	0	
		<b>948</b>	<b>0</b>	<b>129</b>	<b>0</b>	<b>1,077</b>	<b>948</b>	<b>300</b>	<b>198</b>	<b>0</b>	<b>1,446</b>	<b>300</b>	<b>369</b>	

Performance Information April 2012 to March 2013

Information Assets - Member Level Report Card								
Measure	2011/12 Actual	2012/13 Target	Year End Forecast 31/03/2013	Year End Alert	Period Actual 31/03/2013	Period Alert 31/03/2013	Progress to date	
M04004	% of support calls resolved at the point of contact	60	63	38.08		38.08		<ul style="list-style-type: none"> <li>Continuing issue with the falling number of operational incidents that this measure relates to and the ability to attain the target. The good news is that following the deployment of windows 7 and other changes to our infrastructure customers have fewer operational incidents but the pool we are left with are the more complicated ones and take longer to resolve. We are reviewing the way we are measuring and the validity of that measurement in light of the changing profile of incidents logged and the ability to solve at first point. We have amended the syntax in the report that is run from our service management system as there was an error and we have re-run the report for the year and amended the qtr 1 figure. We will develop a more meaningful KPI relating to speed of resolution which reflects on all call types. It is impossible to meet targets this year but please note that Customer satisfaction is very good as measured by both the SOCITM Survey and our Support Call Response survey and is a better indicator of performance</li> </ul>
M04006	% of support calls resolved with 8 Hours	75	80	72.32		72.32		<ul style="list-style-type: none"> <li>As above the changing nature of the type of incidents logged and the reduction in operational incidents has impacted on our ability to meet this target. The good news is that following the deployment of windows 7 and other changes to our infrastructure customers have fewer operational incidents but the pool we are left with are the more complicated ones and take longer to resolve. We are looking at how we can make small improvements but an underlying issue is the fact that our recording system cannot take account of customers putting calls on hold or requesting visits at a later date. We will address this in next years KPIs</li> </ul>
M04007	Overall Unavailability of ICT - (i.e. whole network) (SOCITM Level 1 KPI 15)	0	16	0		0		<ul style="list-style-type: none"> <li>No incidents affecting all users</li> </ul>
M04008	Unavailability of network to > 20% of users (SOCITM Level 2 KPI 15)	0	22	0		0		<ul style="list-style-type: none"> <li>No incidents affecting &gt;20% of users</li> </ul>
M04013	Customer satisfaction as measured by SOCITM Customer Satisfaction Survey or use of similar question	5.42	5.5	5.3		5.3		<ul style="list-style-type: none"> <li>This is the SOCITM result for 2012. This year has seen a small decline in the overall satisfaction score by our customers, however compared to the previous year and benchmarked against other Local Authorities of similar size we are still in the top third performing councils.</li> </ul>
M04014	Overall customer satisfaction as measured by ICT Service Desk Survey	94.6	96	94		94		<ul style="list-style-type: none"> <li>It does look like we will miss this by just over 1% but this is still an excellent figure</li> </ul>
M04018	Customer dissatisfaction as reported via complaints (formally recorded via the Corporate Complaints System)	22	0	0		0		
M04028	New arrangement agreed (July 2012) via ICT Strategy Review & Strategy Commissioning Work and implemented (March 2013)		Yes	Yes		Yes		<ul style="list-style-type: none"> <li>Strategy has been approved by Cabinet. Have completed the three stages of Strategic Commissioning. Now working on implementation of all agreed changes. We also provided a progress report on implementation of the ICT Strategy to O&amp;S Board in December 2012. New structures have been put in place and detailed stage activities are reported to Corporate Board</li> </ul>
M04029	Formal promotion plan for staff, to increase awareness of Information Security and responsibilities, developed and implemented by May 2012		Yes	Yes		Yes		<ul style="list-style-type: none"> <li>Approach approved at Information Systems Steering Group and underway. Poster campaigns are out. Also about to develop 60 second videos in line with Warwickshire News</li> </ul>
M04030	Formal e-learning facility implemented for staff around Information Security awareness by September 2012		Yes					<ul style="list-style-type: none"> <li>Options still being considered as part of wider Corporate e-learning approach. New estimated date June 2013, looking to utilise video approach.</li> </ul>
M04031	Sign-off process for Information responsibility introduced by September 2012		Yes					<ul style="list-style-type: none"> <li>Plan to implement in Quarter 2 2013. Revised document produced need to finalise and link to HRMS to record acknowledgement by staff.</li> </ul>

J Information Assets

Information Assets - Member Level Report Card								
	Measure	2011/12 Actual	2012/13 Target	Year End Forecast 31/03/2013	Year End Alert	Period Actual 31/03/2013	Period Alert 31/03/2013	Progress to date
M04032	Information Strategy reviewed and refreshed by September 2012		Yes	No	▲			• Draft Strategy was presented to ICT Strategy Board on the 18th December 2012. Requested amendments have been made. Awaiting board sign off
M04033	WCC strategy developed in relation to PSN and formal agreement negotiated (regionally or sub-regionally) by September 2012		Yes	Yes	★	Yes	★	• It has been agreed that we will procure as part of a West Midlands PSN approach being led by Solihull. We will be in phase 1 with Solihull, West Midlands Police and possibly Worcestershire CC. Formal Boards now in place. Tender currently under way.
M04034	Tender documentation produced for the replacement of the Wide Area Network by March 2013		Yes	Yes	★	Yes	★	• Joint WM PSN Tender currently underway within West Midlands Partnership.
M04035	PSN based replacement of lines implemented from Warwick House, Wheat Street by December 2012			No	▲		▲	• Tender let and awarded. Detailed plan suggest June date for final links being installed is early June 2013. Will be ceasing circuits in line with Property Assets targets.
M04036	Contract awarded in implementation of Rural Broadband facilities via BDUK project by December 2012		Yes	No	▲	No	▲	• The team delivering the BDUK programme are as far advanced in the process as they can be having successfully achieved all requirements and BDUK dates thus far. The project has successfully completed the BDUK B1 assurance checkpoint with no conditions. We have run the tender in early 2013, and plan to award the contract in May 2013
M04037	Supplier Design signed off in implementation of Rural Broadband facilities via BDUK project by June 2013		Yes	No	▲	No	▲	• We are planning to award the contract in May 2013 in line with BDUK timescales.. We will then start on the design phase and would hope to be rolling out the infrastructure with Initial engineering work starting in 2nd quarter 2013/14, but completion now not expected until 2016/17.
M04038	CSC able to take payments within PCIDSS regime		Yes	Yes	★	Yes	★	• The payment service was launched on the 5th November as per the revised timescale. Network segmentation was achieved as planned. Network logging software has also been purchased. Full PCIDSS compliance is on target for June 2013. Handover to internal teams is in progress.
M04039	Full PCIDSS application submitted by March 2013		Yes	Yes	★	Yes	★	• Following launch of service now seeking service accreditation. Currently believe we can submit as level 2 in May. No service delivery issues as relates to accreditation.
M04040	Google Migration completed by December 2012		Yes	No	▲	No	▲	• Completed April 2013 only new elected members outstanding
M04041	Key technical and management resources provided to deliver WFRS replacement command and control system by March 2013		Yes	Yes	★	Yes	★	• The project is on track for an agreed go-live date for the new Control system of June 2013. ICT staff are supporting the technical workstreams of the programme, and working actively in the partnership with Northamptonshire (as well as additional technical partnerships with Royal Berkshire, Oxfordshire and Buckinghamshire).
M04042	New facilities implemented for schools' learning platform, including Autology, by September 2012		Yes	Yes	★	Yes	★	• Completed - Implemented August 2012
M04026	WCC Contribution to Rural Broadband Development: Approval of the Local Broadband Plan by BDUK							
M04027	WCC Contribution to Rural Broadband Development: Completion of BDUK Procurement Phase							
M03001	% staff who are flexible workers							• No formal measure of these in place

**Risk Information: Net Red Risks extracted from the Business Unit Risk Register**

There are no net red risks on the Information Assets Business Unit Risk Register

## Law and Governance - Greta Needham

## 2012/13 Revenue Budget

Service	Agreed Budget £'000	Agreed Changes £'000	Latest Budget £'000	Final Outturn £'000	Variation Over/ (Under) £'000	Reason for Variation and Management Action
Governance and Members Services	639		639	511	(128)	The school governance underspend is due to changes to the historic staffing complement due to retirements during 2012/13. There are also currently vacancies in Democratic Services awaiting successful recruitment.
Legal Services	(425)		(425)	(453)	(28)	Internal income in Q4 was less than forecast in Q3, largely due to reduced demand by the People Group. However, increased demand from external customers has generated a surplus.
Insurance, Internal Audit and Risk Management	495		495	466	(29)	Staffing vacancies due to unsuccessful recruitment and changing demands from customers.
Legal Core	417		417	379	(38)	Limited Counsel's fees on legal challenges incurred in 2012/13. The potential for increasing legal challenge during the next phase of the Council's transformation agenda is likely to rectify the position in 2013/14.
<b>Net Service Spending</b>	<b>1,126</b>	<b>0</b>	<b>1,126</b>	<b>903</b>	<b>(223)</b>	

## 2012/13 Reserves Position

Reserve	Opening Balance 01.04.12 £'000	Movement in Year £'000	Effect of Outturn £'000	Closing Balance 31.03.13 £'000	Reason for Request
Service Savings (non-DSG)	34	(34)	223	223	Appendix U details the proposals for the use of the closing balance on reserves
<b>Total</b>	<b>34</b>	<b>(34)</b>	<b>223</b>	<b>223</b>	

## 2012/13 to 2014/15 Savings Plan

Reference	Savings Proposal Title	2012/13		2013/14			2014/15		Reason for Variation and Management Action
		Target £'000	Forecast Outturn £'000	Target £'000	Actual to Date £'000	Forecast Outturn £'000	Target £'000	Forecast Outturn £'000	
	Savings delivered in 2011/12	255	255	255	255	255	255	255	
CW-CC-05 and LG-02	Transformation of Corporate Governance support	74	76	131	76	131	131	131	We have over achieved this savings target by £2k due to savings made during 2011/12. The additional £55k savings will be achieved by 2013/14 .
CW-LG-03	Reduce core legal discretionary services	36	36	39	36	39	39	39	A comprehensive review of all Legal Services, including Core Legal, is already underway. This review will identify the actions to be taken to ensure that the core legal service is provided within budget which will in turn achieve £36k of the required savings in this financial year. The additional £3k savings will be achieved in 2013/14.
	<b>Total</b>	<b>365</b>	<b>367</b>	<b>425</b>	<b>367</b>	<b>425</b>	<b>425</b>	<b>425</b>	
	<b>Target</b>		<b>365</b>		<b>425</b>	<b>425</b>		<b>425</b>	
	<b>Remaining Shortfall/(Over Achievement)</b>		<b>(2)</b>		<b>58</b>	<b>0</b>		<b>0</b>	

K Law and Governance

Performance Information April 2012 to March 2013

Law & Governance - Member Level Report Card								
	Measure	2011/12 Actual	2012/13 Target	Year End Forecast 31/03/2013	Year End Alert	Period Actual 31/03/2013	Period Alert 31/03/2013	Progress to date
M05000	The annual governance is accepted without qualification by the Council's external auditors		Yes	Yes	★	Yes	★	• Draft AGS reported to Council 25 September 2012 and subsequently signed by Leader and Chief Executive before the deadline.
M05017	% of total LBU income generated from external	21	15	22	★	22	★	
M05019	% reduction in the Council's Legal Bill		5	1.4	▲	1.4	▲	• Increased cost likely as a result of more safeguarding work and input to Atherstone fire. Reduced hourly rates from 1st August helped to bring back on track as will LSR improvements and People Gp review but full impact not expected until 2013/14.
M05071	% Delivery of all deliverables in Legal Services Review Project Plan by 31 March 2013		90	85	●	85	●	• Internal service review completed and new project plan now in place
M05072	Agreed workflow designs completed in Visualfiles by 31 May 2012		85	85	★	85	★	• This target relates to Priority 1 workflows which have been reviewed and added to. A dedicated resource was identified to take forward the YPLS workflows and these are now complete
M05074	% Maintained schools purchasing School Governor Development Services		85	81	●	81	●	• Law & Governance are part of a corporate initiative to market WES services to schools and increase buy-back.
M05075	Strategic Commissioning Review Report of School Governance complete by 31st March 2013		Yes	Yes	★	Yes	★	• Internal Service Review has been completed and submitted into the SCR process
M05077	CMIS Business Manager Module (report process and forward plan) implemented and operational by 31 May 2012		Yes	Yes	★	Yes	★	• In place and now going through improvement stages
M05078	Overview & Scrutiny Plan implemented		Yes	Yes	★	Yes	★	• First phase implemented

Risk Information: Net Red Risks extracted from the Business Unit Risk Register

There are no net red risks on the Law and Governance Business Unit Risk Register

## Physical Assets - Steve Smith

## 2012/13 Revenue Budget

Service	Agreed Budget £'000	Agreed Changes £'000	Latest Budget £'000	Final Outturn £'000	Variation Over/ (Under) £'000	Reason for Variation and Management Action
Physical Assets General	593	(179)	414	460	46	Consultancy charges
Construction Services	2,520	7	2,527	2,123	(404)	Underspend on Salix Grant, Savings from the Carbon Reduction Commitment, and surplus income on building maintenance
Facilities Management	10,692	(159)	10,533	9,579	(954)	Surplus income from the Catering Service
Estates & Smallholdings	110	0	110	203	93	Overspend on Surplus Property budget, and additional maintenance works
Asset Strategy	304	0	304	275	(29)	Staff turnover savings
Programme Management & Special Projects	100	444	544	521	(23)	Savings on the cost of one-off dilapidation works
Early Repayment of Self Borrowing Capital Finance	0	0	0	647	647	
<b>Net Service Spending</b>	<b>14,319</b>	<b>113</b>	<b>14,432</b>	<b>13,808</b>	<b>(624)</b>	

## 2012/13 Reserves Position

Reserve	Opening Balance 01.04.12 £'000	Movement in Year £'000	Effect of Outturn £'000	Closing Balance 31.03.13 £'000	Reason for Request
Salix Energy Management Reserve	279	0	124	403	Appendix U details the proposals for the use of the closing balance on reserves
Catering Equalisation Account	375	(375)	302	302	
Glazing inspections & remedial H&S works for smallholdings	0	0	0	0	
Physical Assets	120	(120)	198	198	
Traded Services equipment	43	(8)		35	
<b>Total</b>	<b>817</b>	<b>(503)</b>	<b>624</b>	<b>938</b>	

## 2012/13 to 2014/15 Savings Plan

Reference	Savings Proposal Title	2012/13		2013/14		2014/15		Reason for Variation and Management Action
		Target £'000	Final Outturn £'000	Target £'000	Actual to Date £'000	Target £'000	Forecast Outturn £'000	
	Savings delivered in 2011/12	796	796	796	796	796	796	
EE-ER-03 and 04	Rural Services : Review of rents and income generation	13	13	18	18	18	18	
RE-PR-02 and 03	Rationalise existing accommodation - There are three aspects to this work - release, disposal and better utilisation - as well as the rationalisation of professional support	1,221	1,221	2,823	1,221	2,823	3,607	
	<b>Total</b>	<b>2,030</b>	<b>2,030</b>	<b>3,637</b>	<b>2,035</b>	<b>3,637</b>	<b>4,421</b>	
	<b>Target</b>		<b>2,030</b>		<b>3,637</b>	<b>3,637</b>	<b>4,421</b>	
	<b>Remaining Shortfall/(Over Achievement)</b>		<b>0</b>		<b>1,602</b>	<b>0</b>	<b>0</b>	

## 2012/13 to 2014/15 Capital Programme

Agresso Project Code	Description	Approved Budget					2012/13 Actual and Future Years Forecast					Variation		Reasons for Variation and Management Action
		Earlier Years	2012/13 £ 000's	2013/14 £ 000's	2014/15 and later £'000	Total £ 000's	Earlier Years	2012/13 £ 000's	2013/14 £ 000's	2014/15 and later £'000	Total £ 000's	Variance in Year £ 000's	Total Variance £ 000's	
<b>Building &amp; Construction</b>														
10160000	Warwick, Shire Hall Refurbish/Redevelop Office Space	517	0	0	0	517	517	30	0	0	547	30	30	Part of the Shire Hall refurbishment project (code 11190000). Financed from 11041000.
10292000	Improving the customer experience in WCC buildings & DDA works 08/09	240	0	0	0	240	240	20	0	0	260	20	20	Final Retentions paid, over original creditor estimates. Financed from 11041000.
10342000	Warwick, Northgate House Conversion	1,749	95	0	0	1,844	1,749	0	0	0	1,749	(95)	(95)	
10971000	Aylesford Flood Alleviation Scheme Contribution	0	925	0	0	925	0	189	736	0	925	(736)	0	Delay in sale of this land has resulted in the payment being postponed. The payment will be triggered once the land has been sold. This is now due in 2013/14
10972000	Planning Consent For Europa Way	1	51	248	0	300	1	72	227	0	300	21	0	
11041000	Rationalisation Of The Council's Property	56	650	2,226	0	2,932	56	473	2,347	0	2,876	(177)	(56)	Expenditure on Project 1123000 (£199k)
11041003	Nuneaton Library	34	19	0	0	53	34	19	0	0	53	0	0	
11053000	Demolition Works - Sparrowdale Special School	206	18	0	0	224	206	3	0	0	209	(15)	(15)	
11059000	Warwick Shire Hall - Relocation Of Warwick Library	1,759	26	0	0	1,785	1,759	(27)	0	0	1,732	(53)	(53)	
11078000	Warwick Saltisford Office Park - Alterations to Increase Capacity	550	27	0	0	577	550	6	0	0	556	(21)	(21)	
11097000	S/Avon Elizabeth House - Altns Re:Prop Ratnlstn	88	33	0	0	121	88	5	0	0	93	(28)	(28)	
11122000	Nuneaton Academy(Ald Smith) -Redevelopment	105	7,177	1,967	247	9,496	105	5,757	3,639	177	9,678	(1,420)	182	Additional costs relating to ICT equipment being funded for by Nuneaton Academy and DfE as part of the overall project.
11131000	Wark St Johns House Museum - Repl Activity Space Bldg	0	170	0	0	170	0	18	62	0	80	(152)	(90)	A change in the scope of the project has caused a delay to the start, and reduction in overall cost, of the project.
11134000	Wark Shire Hall - Refurb Of Old Shire Hall	0	750	0	0	750	0	0	750	0	750	(750)	0	A capital allocation was earmarked in 2012/13 for the refurbishment of Old Shire hall in conjunction with a successful tenderer. Unfortunately the tenderer withdrew their offer, alternative options are currently being explored.
11190000	Warwick Shire Hall - refurbishment (Phase 2 onwards)	0	784	1,116	0	1,900	0	1,260	1,117	0	2,377	476	477	Contribution from Planned Structural Maintenance (11033000) for £219,400 to complete refurbishments of Toilets and Heating to be included in the overall current refurbishment project. In addition to this a revenue contribution of £170,000 was necessary to meet the total increase of £389,400. Contribution from Energy Capital Budget (10400000) towards energy efficiency £37,200. Contribution from Facilities Management in 13/14 via a revenue contribution of £50,000 for planned devolved maintenance.
11230000	Bedworth Kings House - PRP refurbishment for N & B Local Centre	0	0	0	0	0	0	199	0	0	199	199	199	This scheme is part of the Property Rationalisation Programme (11041000) which has been split out as a stand alone scheme.
<b>Structural Maintenance</b>														
10474000	Major Structural Maintenance (Non Schools) Base Programme 2010/11	1,215	16	0	0	1,231	1,215	19	0	0	1,234	3	3	
10475000	Non-Schools Remedial Safe Water 2010/11	448	(17)	0	0	431	448	(19)	0	0	429	(2)	(2)	
10483000	Small Scale Reactive Property Maintenance - Base Programme 2010/11	415	(17)	0	0	398	415	(13)	0	0	402	4	4	
10493000	Non-Schools Maintenance Backlog 2010/11	715	(2)	0	0	713	715	(2)	0	0	713	0	0	
10499000	Structural Maintenance 2010/11 (Revenue Funded)	(13)	(4)	0	0	(17)	(13)	3	0	0	(10)	7	7	Final Accounts received from contractors for projects completed in 10/11 and not accrued for. Funded from current revenue allocation.
10502000	Fire Precautions - Base Programme 2010/11	40	(7)	0	0	33	40	(7)	0	0	33	0	0	

Agresso Project Code	Description	Approved Budget					2012/13 Actual and Future Years Forecast					Variation		Reasons for Variation and Management Action
		Earlier Years	2012/13 £ 000's	2013/14 £ 000's	2014/15 and later £'000	Total £ 000's	Earlier Years	2012/13 £ 000's	2013/14 £ 000's	2014/15 and later £'000	Total £ 000's	Variance in Year £ 000's	Total Variance £ 000's	
11028000	Non-Schools Capital Asbestos And Safe Water Remedial Works 2011/12	314	84	0	0	398	314	142	0	0	456	58	58	Contribution from 11032000 and 11033000 as Projects added to previous years block header, all part of the 2012/13 Structural Maintenance Non Schools work programme
11029000	Non-Schools Planned Capital Building, Mechanical And Electrical Backlog Maintenance	1,425	549	0	0	1,974	1,425	630	0	0	2,055	81	81	Funded from 11033000 as part of the Non Schools planned work programme, projects created in previous years block headers instead of this years.
11029005	Warwick Barrack St Block - Ph 2 Cathodic Protection	166	(1)	0	0	165	166	(1)	0	0	165	0	0	
11030000	Schools Capital Asbestos And Safe Water Remedial Works 2011/12	1,237	143	0	0	1,380	1,237	(97)	0	0	1,140	(240)	(240)	Previous Creditor not met, New Projects created on current Years code 1103400, slippage used to cover actuals costs on current year work programme codes.
11031000	Schools Planned Capital Building, Mechanical And Electrical Backlog Maintenance 2011/12	3,144	0	0	0	3,144	3,144	39	0	0	3,183	39	39	Projects booked to this code as part of the overall work programme for Schools 2012/13. Funding for this additional expenditure is from code 11034000
11031003	Exhall Ash Green Sch - Boiler Repl	147	(11)	0	0	136	147	(11)	0	0	136	0	0	
11032000	Non-Schools Capital Asbestos And Safe Water Remedial Works 2012/13	0	104	0	0	104	0	92	0	0	92	(12)	(12)	
11033000	Non-Schools Planned Capital Building, Mechanical And Electrical Backlog Maintenance 2012/13	0	2,422	0	0	2,422	0	1,844	58	0	1,902	(578)	(520)	Movement of Budget to the following Projects:- PRP - Shire Hall Refurbishment Phase Two (11041000), to complete scheduled maintenance work on the Second floor of shire Hall as part of the overall refurbishment £219,400. Alcester Fire Station (11147000) £57,467 towards planned maintenance now completed as part of Fire & Rescue project. Some delays in current year projects have been created by changes to the sensitive property list as part of PRP (Property Rationalisation Programme). This has caused some projects to be cancelled / postponed late on in the financial year (e.g. Montague Road).
11034000	Schools Capital Asbestos And Safe Water Remedial Works 2012/13	0	1,265	0	0	1,265	0	1,206	14	0	1,220	(59)	(45)	
11035000	Schools Planned Capital Building, Mechanical And Electrical Backlog Maintenance 2012/13	0	5,540	0	0	5,540	0	5,669	95	0	5,764	129	224	Increase of £109,939 is additional works funded from Revenue Contributions as part of the Work Programme. All other funds are used to cover expenditure in other codes for work relating to 2012/13.
11036000	Non-Schools Capital Asbestos And Safe Water Remedial Works 2013/14	0	0	311	0	311	0	0	311	0	311	0	0	
11037000	Non-Schools Planned Capital Building, Mechanical And Electrical Backlog Maintenance 2013/14	0	0	2,524	0	2,524	0	0	2,576	0	2,576	0	52	Carry forward Budget from 2012/13 work programme. Underspend due to large projects being cancelled late in the year due to amongst other things, Properties being placed and then moved off the sensitive properties list
11038000	Schools Capital Asbestos And Safe Water Remedial Works 2013/14	0	0	1,292	0	1,292	0	0	1,292	0	1,292	0	0	
11039000	Schools Planned Capital Building, Mechanical And Electrical Backlog Maintenance 2013/14	0	0	5,569	0	5,569	0	0	5,733	0	5,733	0	164	Carry forward from underspends in Schools structural maintenance
11042000	Structural Maintenance 2011/12 - Revenue Funded	222	0	0	0	222	222	11	0	0	233	11	11	
11062000	Warwick Shire Hall - Water Hygiene Impvts(Ph 3)	139	0	0	0	139	139	(10)	0	0	129	(10)	(10)	
11096000	Wark Barrack St Block - Roof Repl	185	12	0	0	197	185	10	0	0	195	(2)	(2)	
11107000	Wark Shire Hall - Asb Rem/Repl(Basemt)	114	201	0	0	315	114	227	0	0	341	26	26	Final Asbestos checks and works now complete, additional small works found and completed. Additional costs funded from project 11033000.
11142000	Non Schools Asb & Safe Water Remedials 2014/15	0	0	0	317	317	0	0	0	317	317	0	0	
11143000	Schools Asbestos & Safe Water Remedials 2014/15	0	0	0	1,318	1,318	0	0	0	1,318	1,318	0	0	
11144000	Non Sch - Planned Bldg, Mech & Elect Backlog 2014/15	0	0	0	2,574	2,574	0	0	0	2,574	2,574	0	0	
11145000	Schools Planned Bldg, Mech & Elect Backlog 2014/15	0	0	0	5,680	5,680	0	0	0	5,680	5,680	0	0	

Agresso Project Code	Description	Approved Budget					2012/13 Actual and Future Years Forecast					Variation		Reasons for Variation and Management Action
		Earlier Years	2012/13 £ 000's	2013/14 £ 000's	2014/15 and later £'000	Total £ 000's	Earlier Years	2012/13 £ 000's	2013/14 £ 000's	2014/15 and later £'000	Total £ 000's	Variance in Year £ 000's	Total Variance £ 000's	
11160000	Dunchurch Highways Sub-Depot - Maj Ext Struct Reprs	0	121	0	0	121	0	124	0	0	124	3	3	
11161000	Ansley Nursery Hill Prim Sch - Boiler Repl	0	0	0	0	0	0	74	25	0	99	74	99	Project should not be separated from Block Header, Schools Safe Water 11034000
11162000	Llandudno Marle Hall Oec - Boiler Repl	0	169	0	0	169	0	214	0	0	214	45	45	Additional cost on project due to 6 month delay as Welsh Gas fitting new mains. Extra costs also include a specialist chimney liner as standard would not fit, this was not included in original estimate.
11166000	Rugby Northlands Prim Sch - Boiler Repl & Htg Dist	0	194	0	0	194	0	176	0	0	176	(18)	(18)	
11167000	Atherstone Queen Elizbth Sch - Flat Roof Repl	0	120	0	0	120	0	122	0	0	122	2	2	
11168000	Warwick Shire Hall and Courts - Boiler Replacement	0	363	0	0	363	0	346	36	0	382	(17)	19	
11169000	Leamington The Fordsfield Centre - Major adaptations and replacement heating mains/pipework	0	250	0	0	250	0	154	0	0	154	(96)	(96)	
11224000	Non-Schools Capital Asbestos And Safe Water Remedial Works 2015/16	0	0	0	323	323	0	0	0	323	323	0	0	
11225000	Schools Asbestos & Safe Water Remedials 2015/16	0	0	0	1,344	1,344	0	0	0	1,344	1,344	0	0	
11226000	Non Sch - Planned Bldg, Mech & Elect Backlog 2015/16	0	0	0	2,626	2,626	0	0	0	2,626	2,626	0	0	
11227000	Schools Planned Bldg, Mech & Elect Backlog 2015/16	0	0	0	5,794	5,794	0	0	0	5,794	5,794	0	0	
<b>Facilities</b>														
10581000	Day Services Modernisation Programme 2005/2006	0	0	0	0	0	0	9	0	0	9	9	9	
10592000	Small Scale Reactive / Minor Improvements County-Wide	0	180	238	0	418	0	46	372	0	418	(134)	0	Planned Maintenance not completed in year and now re-prioritised for future year.
<b>Energy</b>														
10400000	Climate Change 2009/10	163	20	162	100	445	163	17	128	100	408	(3)	(37)	
10410000	Climate Change 2007/08	229	193	5	0	427	229	47	83	0	359	(146)	(68)	Variance is made up of £39,000 corporate funding for Frank Whittle project being moved from block header 10400000 and £107,000 self financed borrowing approval moved to project 11159000.
10410002	Kingsbury Water Park - New Biomass Fuel Heating System	1	7	0	0	8	1	6	0	0	7	(1)	(1)	
11135000	Various Properties - Reducing Energy	0	0	500	1,750	2,250	0	0	500	1,750	2,250	0	0	
11136000	Various Properties - Renewable Energy	0	450	2,950	2,500	5,900	0	2	1,000	4,898	5,900	(448)	0	Projects are taking longer to identify and deliver than originally hoped due to the need to ensure projects are viable on a life-cycle costing basis and meet the criteria for self-financing capital. In addition, amendments made nationally to the Feed in Tariff (FIT) and Renewable Heat Incentive (RHI) funding rules have delayed progress. One project has been put on hold due to the property being reclassified as 'sensitive'.
11159000	Wark Salfisford Office Park - Pv Micro Genertn Syst							108	0		108	108	108	Project is funded from block header 10400000, corresponding budget has dropped to match.
<b>Smallholdings</b>														
10419000	Nitrate Vulnerable Zone - Farm Waste Regulation	307	6	0	0	313	307	4	0	0	311	(2)	(2)	
10466000	Smallholdings Maintenance 2011/12	0	0	0	0	0	0	(18)	0	0	(18)	(18)	(18)	
11137000	Smallholdings - Nitrate Vulnerable Zone 2012	0	292	0	0	292	0	264	28	0	292	(28)	0	
11138000	Smallholdings - Decent Homes Standard 2012	0	508	0	0	508	0	429	79	0	508	(79)	0	
11139000	Rural Services Capital Maintenance 2012/13	0	942	0	0	942	0	701	98	0	799	(241)	(143)	Projects cancelled late in the year and now to be completed in 13/14. Due to late planning permission or approval for larger projects.
11140000	Rural Services Capital Maintenance 2013/14	0	0	789	0	789	0	0	922	0	922	0	133	Carry forward unallocated expenditure to 13/14 from 12/13 block header 11139000. Projects cancelled late in the year and now to be completed in 13/14.
11141000	Rural Services Capital Maintenance 2014/15	0	0	0	805	805	0	0	0	805	805	0	0	
11158000	Ilmington Wharf Farm - Demolish/Rebuild Bungalow	0	0	0	0	0	0	4	2	0	6	4	6	This project is part of block header (11139000).
11228000	Rural Services Capital Maintenance 2015/16	0	0	0	821	821	0	0	0	821	821	0	0	



Agresso Project Code	Description	Approved Budget					2012/13 Actual and Future Years Forecast					Variation		Reasons for Variation and Management Action
		Earlier Years	2012/13 £ 000's	2013/14 £ 000's	2014/15 and later £'000	Total £ 000's	Earlier Years	2012/13 £ 000's	2013/14 £ 000's	2014/15 and later £'000	Total £ 000's	Variance in Year £ 000's	Total Variance £ 000's	
<b>Historic Schemes</b>														
	Historic schemes	3,034	0	0	0	3,034	3,034	0	0	0	3,034	0	0	
		<b>18,952</b>	<b>24,817</b>	<b>19,897</b>	<b>26,199</b>	<b>89,865</b>	<b>18,952</b>	<b>20,585</b>	<b>22,230</b>	<b>28,527</b>	<b>90,294</b>	<b>(4,232)</b>	<b>429</b>	

## Performance Information April 2012 to March 2013

Physical Assets - Member Level Report Card								
	Measure	2011/12 Actual	2012/13 Target	Year End Forecast 31/03/2013	Year End Alert	Period Actual 31/03/2013	Period Alert 31/03/2013	Progress to date
M06000	% of our retained operational property portfolio having optimum utilisation	83	90	90	★	90	★	
M06019	Value of savings equating to a 30% (£4,376k) reduction in the cost of non-school property by 2013/14 (£k)		1221	1041.4	▲	1041.4	▲	• £179,629.6 under recovery, to be met from Physical Assets
M06022	Capital receipts target (£m)		5.75	1.22	▲	1.22	▲	• Delayed disposals subject to planning and deferred sale of WCC HEP's (£2.736M balance payment payable Jan 2018) and deferred disposal of 2-22 Northgate St. Warwick (£1.75M payable July 2013). Total deferred £2.91M which would have provided a total receipt of £4.134M
M06023	Delivering a viable solution for Old Shire Hall and Corporate Catering	Yes	Yes	Yes	★	Yes	★	• Project plan in place and currently running to schedule. Procurement completed resulting in a compliant bid which has now been withdrawn. New project being initiated to deliver an alternative solution.
M06024	Delivering a viable solution for Fire Headquarters replacement	Yes	Yes	Yes	★	Yes	★	• Outline Business Case complete and Capital Approved by Members 5th Feb 13 for Fin Years 13-14-15-16

## Risk Information: Net Red Risks extracted from the Business Unit Risk Register

There are no net red risks on the Physical Assets Business Unit Risk Register

## Service Improvement and Change Management - Phil Evans

## 2012/13 Revenue Budget

Service	Agreed Budget £'000	Agreed Changes £'000	Latest Budget £'000	Final Outturn £'000	Variation Over/ (Under) £'000	Reason for Variation and Management Action
Performance & Planning	806	-	806	700	(106)	Higher than expected income levels in current year for Business Improvement project support, and part year impact of temporarily vacant posts.
Observatory	426	-	426	409	(17)	Net position following delays in planned expenditure offset by increased staffing costs due to temporary staffing arrangements.
Service Improvement and Change Management Admin Development and Support	142	-	142	141	(1)	
	733	-	733	525	(208)	Part year effect of vacant Development Officer and Administration Officer Posts, 2013/14 Savings target realised early, vacant posts due to secondments not backfilled, one-off payment for specific project work, and £72,000 Resources Development Fund previously earmarked for expenditure in 2012/13 not being incurred.
Corporate Programme Management Office	245	-	245	242	(3)	
Commercial Enterprise	164	1	165	132	(33)	Part year effect of vacant administrative post, lower than expected costs on substantive posts (including fixed period secondment to cover maternity).
<b>Net Service Spending</b>	<b>2,516</b>	<b>1</b>	<b>2,517</b>	<b>2,149</b>	<b>(368)</b>	

## 2012/13 Reserves Position

Reserve	Opening Balance 01.04.12 £'000	Movement in Year £'000	Effect of Outturn £'000	Closing Balance 31.03.13 £'000	Reason for Request
Service Savings	50	(50)	368	368	Appendix U details the proposals for the use of the closing balance on reserves
<b>Total</b>	<b>50</b>	<b>(50)</b>	<b>368</b>	<b>368</b>	

## 2012/13 to 2014/15 Savings Plan

Reference	Savings Proposal Title	2012/13		2013/14			2014/15		Reason for Variation and Management Action
		Target £'000	Final Outturn £'000	Target £'000	Actual to Date £'000	Forecast Outturn £'000	Target £'000	Forecast Outturn £'000	
	Savings delivered in 2011/12	213	213	213	213	213	213	213	
CW-CL-14	Reduction in support services	15	15	32	15	32	32	32	
PPU-02	Generating income through charging for consultation activities	35	35	65	35	65	65	65	Economic downturn and budget cuts amongst public sector partners has led to a significant decrease in the market for the consultation services. Where work exists it is on a "low-cost/no-cost" basis. Service will meet this target through other savings activities.
	<b>Total</b>	<b>263</b>	<b>263</b>	<b>310</b>	<b>263</b>	<b>310</b>	<b>310</b>	<b>310</b>	
	<b>Target</b>		<b>263</b>		<b>310</b>	<b>310</b>		<b>310</b>	
	<b>Remaining Shortfall/(Over Achievement)</b>		<b>0</b>		<b>47</b>	<b>0</b>		<b>0</b>	

M Service Improvement

Performance Information April 2012 to March 2013

SICM - Member Level Report Card								
	Measure	2011/12 Actual	2012/13 Target	Year End Forecast 31/03/2013	Year End Alert	Period Actual 31/03/2013	Period Alert 31/03/2013	Progress to date
M07043	Going for Growth' is encapsulated into the Council's Planning Framework by February 2013		Yes	Yes		Yes		• For 2013/14, Going for Growth will be a key part of these arrangements and progress against the Going for Growth Measures will be reported alongside the Corporate Business Plan Measures.
M07044	Benefits Realisation: % of full business cases that have articulated measurable benefits		100	57		57		• Of 7 Business Cases presented to Corporate Board, it is the view of CPMO that of the Business Cases identified, measurable benefits have been articulated in 4/7 Business Cases. Further work is on-going to identify measurable benefits in the remaining cases.
M07045	Corporate Frameworks Review: New arrangements for each corporate Framework are implemented		Yes	Yes		Yes		• A Corporate Frameworks Programme Board has been established to oversee the review of 33 Corporate Frameworks. The reviews will deliver fit for purpose Corporate Frameworks to underpin the work of the Organisation. A prioritised schedule of review has been agreed and lead officers nominated. All reviews are proceeding to the timetable currently agreed with the Programme Board. The current status of the 33 reviews is: 13 completed, 13 progressing within agreed timescales, 7 to commence.
M07046	Corporate Enterprise post created		Yes	Yes		Yes		• Craig Cusack commenced in post
M07047	Progress against plan is achieved (Reconceptualise the Warwickshire Observatory and its governance arrangements)		Yes	No		No		• In SICM Business Plan 2013/14 for completion by September 2013.
M07041	% Increase in satisfaction with service provision (Transformation through Strategic Commissioning Programme)		5%	No data		No data		• There is a lag between the outcome of the review programme and being able to quantify increases in satisfaction, therefore no outturn actual is reported. CPMO are focusing on outcomes that meet customer need and are influencing service developments to improve access and CPMO are ensuring that customers are actively involved in the redesign of services., Whilst some Reviews have established their Business Cases, the full impact of those changes can't yet be fully measured. We will be working with HoS and RM to ensure that measures are put in place to monitor satisfaction with services following change and implementation of new models.
M07042	Number of Service Reviews delivering full business case to schedule		9	7		7		• The Strategic Commissioning Business Case and Business Management were originally included in the total. The no. of Business Cases that have been considered by Corporate Board have been counted, rather than the no. of Reviews. Some Reviews have multiple Business Cases, this was not known to be the case when the measure was originally set.

Risk Information: Net Red Risks extracted from the Business Unit Risk Register

There are no net red risks on the Service Improvement and Change Management Business Unit Risk Register

## Other Services - Virginia Rennie

## 2012/13 Revenue Budget

Service	Agreed Budget £'000	Agreed Changes £'000	Latest Budget £'000	Forecast Outturn £'000	Variation Over/ (Under) £'000	Reason for Variation and Management Action
Core Grants	(38,303)	301	(38,002)	(40,265)	(2,263)	£2.218m of this underspend relates to the funding received from the health service on a one-off basis to fund investment in adult social care. The use of the resource requires agreement with the PCT. This was not reached in sufficient time for the investment to be undertaken in 2012/13. Instead the resources will need to be carried forward to future years.
2012/13 Council Tax Freeze Grant - one off	(5,859)		(5,859)	(5,859)	0	
DSG & YPLA Grants, including school reserves	(281,723)		(281,723)	(275,372)	6,351	During the year, as schools convert to Academy status, both the DSG income and associated school budget will be reduced. There are currently 8 schools that have converted to Academy status as at the end of December and this reflects the latest recoupment of Academy Schools funding.
Individual Schools Budget (ISB)	237,679		237,679	231,251	(6,428)	
Community Infrastructure Levy	301	(251)	50	0	(50)	The implementation of the Community Infrastructure Levy across Warwickshire will be on-going until 2014/15 at least. Therefore any underspend in the current year will be needed to support the project in future years.
Capacity Building Fund			615	0	(615)	£109,000 of this underspend has been set aside to meet the balance of costs in relation to the Atherstone-on-Stour incident that cannot be met from the Fire and Rescue Service own resources. The balance has been deliberately held back to support the delivery of the next savings plan.
	615					
Capital Financing	39,727	(344)	39,383	37,110	(2,273)	Whilst interest rates remain low, limiting the interest we are able to earn on our balances, this is more than offset by all of the £20 million additional borrowing planned in the MTFP not being used in 2011/12 and 2012/13.
Interest on Revenue Balances	(2,141)		(2,141)	(1,677)	464	
Strategic Management Team	1,184		1,184	1,140	(44)	
County Coroner	378		378	458	80	
Environment Agency (Flood Defence Levy)	210		210	209	(1)	
External Audit Fees	377		377	145	(232)	Based on a fixed scale of fees independently set by the Audit Commission and applied to our contract with Grant Thornton. The planned audit fee was significantly lower than the budget and the value of unplanned audit work is yet to be ascertained but will be charged in the new year and it is proposed to set aside this underspend to accommodate any unplanned work.
LPSA Performance Reward Grant	93		93	93	0	
County Council Elections	110		110	0	(110)	
Members Allowances and Expenses	1,016		1,016	964	(52)	This includes an underspend on travel and subsistence.
Single Status	0		0	(33)	(33)	
Insurance Fund	0		0	(16)	(16)	
Other Administrative Expenses & Income	394		394	372	(22)	
Reorganisation Pensions			53	253	200	Most of the overspend is due the creation of £183,000 provision to meet Warwickshire's share of the pension liability for the West Midlands councils organisation of which we were a member. Creating this provision avoids an annual charge having to be funded for up to 25 years.
	53					
Subscriptions	229		229	142	(87)	
<b>Net Service Spending</b>	<b>(45,660)</b>	<b>(294)</b>	<b>(45,954)</b>	<b>(51,084)</b>	<b>(5,130)</b>	

## S Other Services

## 2012/13 Reserves Position




Reserve	Opening Balance 01.04.12	Movement in year	Effect of outturn	Forecast closing balance	Reason for Request
	£'000	£'000	£'000	£'000	
General Reserves	15,750	1,380	1,813	18,943	
Medium Term Contingency	0	13,315	0	13,315	
Service Realignment Fund	8,241	256	0	8,497	
Capital Fund	326	0	0	326	
Quadrennial elections	202	0	110	312	
Capacity Building Fund (former Development/Modernisation Fund)	333	0	615	948	
PSA Virtual Bank underspend	93	(93)	0	0	Appendix U details the proposals for the use of the closing balance on reserves.
Equal Pay Back Pay Account	2,275	(620)	0	1,655	
NHS Grant	854	(854)	2,218	2,218	
Early Intervention Grant	20	(20)	0	0	
Schools Balances			77	77	
External Audit	0	0	232	232	
Insurance Fund	7,968	0	16	7,984	
Community Infrastructure Levy	0	251	50	301	
New Homes Bonus	364	(364)	0	0	
<b>Total</b>	<b>36,426</b>	<b>13,251</b>	<b>5,130</b>	<b>54,807</b>	

**Corporate Business Plan: Performance Summary (April 2012 – March 2013)**

**1. Background**

- 1.1. The Performance Summary is the means for us to measure our progress against delivering our Aims and Ambitions as articulated in the Corporate Business Plan (CBP) as approved by Cabinet in January 2012.
- 1.2. Within this report, you will find information on our key performance indicators as set out in the Corporate Business Plan. This report should be read in conjunction with our financial and risk monitoring information.
- 1.3. At the heart of our CBP are 7 Ambitions:
  - Community & Customers
  - Safety & Protection
  - Care & Independence
  - Environment & Housing
  - Enterprise, Transport & Tourism
  - Schools & Education
  - Organisation
- 1.4. This Appendix provides a summary of progress for each of the ambitions, providing Members with a robust view of the progress that the Authority has made over this financial year in working towards delivering the Aims and Ambitions.

- 1.5. For 2012/13, progress against all measures and targets is presented against the use of Red / Amber / Green performance alerts as this aligns us with financial performance and risk.

<b>Green</b>	Target has been achieved or exceeded
<b>Amber</b>	Performance is behind target but within acceptable limits (10% tolerance of the target set*)
<b>Red</b>	Performance is significantly behind target and is below an acceptable pre-defined minimum (below the 10% tolerance*)
Direction of Travel arrows to show whether there have been any improvements, any changes or any falls in performance since April 2012.	
	Performance has improved relative to targets set
	Performance has remained static relative to targets set
	Performance has declined relative to targets set

***\*The 10% tolerance threshold is set automatically by Warwickshire Hub***

- 1.6. The performance information contained within this Appendix is based on data at the end of the financial year (April 2012 – March 2013). Further actual period performance, where it is available, can be accessed via the Corporate Business Plan on the Warwickshire Hub (the performance management system used to gather the indicator data). If you would like any more information on the Warwickshire Hub, please contact the Planning, Performance and Business Improvement Team on [performance@warwickshire.gov.uk](mailto:performance@warwickshire.gov.uk)

## 2. Overall Performance Summary for Year End (April 2012 – March 2013)

	Qtr. 1	Mid-Year	Qtr. 3	Year End	Direction of Travel
<b>Red</b>	5 (13.5%)	3 (7.1%)	4 (9.3%)	11 (23%)	↓
<b>Amber</b>	5 (13.5%)	12 (28.6%)	13 (30.2%)	12 (24%)	↔
<b>Green</b>	27 (73%)	27 (64.3%)	26 (61.5%)	26 (53%)	↔
<b>Subtotal</b>	<b>37</b>	<b>42</b>	<b>43</b>	<b>49</b>	
<b>Not Yet Available (NYA)</b>	<b>16</b>	<b>11</b>	<b>10</b>	<b>4</b>	
<b>Not collected this year/ not applicable</b>	<b>5</b>	<b>5</b>	<b>5</b>	<b>5</b>	
<b>Grand Total</b>	<b>58</b>	<b>58</b>	<b>58</b>	<b>58</b>	

Overall, at the end of the year, we are able to report on 84% of performance measures (49 out of 58) within the Corporate Business Plan.

We are unable to report progress against 8 measures. This includes 4 measures where the data is not currently available and 4 measures that we are unable to report against until 2013/14.


Finally, 1 indicator is not targeted and therefore is for information only.

The table below presents year end performance information by each Ambition in the Corporate Business Plan. Further details about the individual measures under the relevant ambitions are provided within this report.

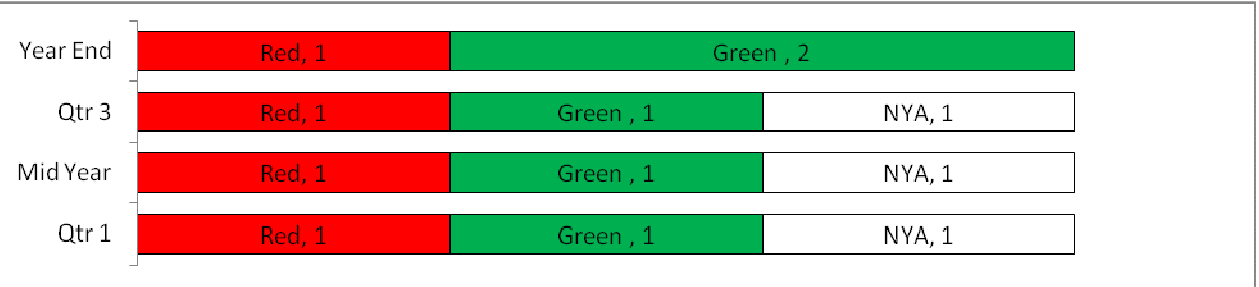
	Ambition 1: Community & Customers	Ambition 2: Safety & Protection	Ambition 3: Care & Independence	Ambition 4: Enterprise, Transport & Tourism	Ambition 5: Environment & Housing	Ambition 6: Schools & Education	Ambition 7: Organisation	Total
<b>Red</b>	1	3	2	1	1	1	2	11
<b>Amber</b>	0	2	3	2	0	2	3	12
<b>Green</b>	2	8	6	3	1	2	4	26
<b>Subtotal</b>	<b>3</b>	<b>13</b>	<b>11</b>	<b>6</b>	<b>2</b>	<b>5</b>	<b>9</b>	<b>49</b>
<b>NYA</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>2</b>	<b>4</b>
<b>Not collected this year/ not applicable</b>	<b>2</b>	<b>0</b>	<b>2</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>5</b>
<b>Grand Total</b>	<b>5</b>	<b>13</b>	<b>13</b>	<b>8</b>	<b>3</b>	<b>5</b>	<b>11</b>	<b>58</b>



### 3. Highlights by Ambition

<b>1. Community &amp; Customers</b>	 <b>Direction of Travel</b>
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- Outcomes:**
- **Work with partners to enhance Community engagement so as to engage with local residents in the context of strategic localisation of council services and teams including engagement with the Police**
  - **Enable Communities to help themselves**
  - **Encourage volunteering across the County and**
  - **Improve resident satisfaction with services and their role in shaping services**

 <p>The chart displays performance across four periods. For each period, there is 1 Red segment, 1 Green segment, and 1 NYA segment. The Year End period has 2 Green segments and 1 Red segment.</p>	<b>Data Notes</b>
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	2011/12 Actual	Target 2012/13	Qtr. 1	Mid-Year	Qtr. 3	Year End
% of people who feel they can influence decision in their local area	33.9% (G)		Both of these measures are bi-annual measures and are due to be collected in 2013/14			
% satisfaction with local area as a place to live.	83.6% (A)					
% satisfaction level with the quality of services received	67.9%(G)	61.89%	This information will be reported in Qtr. 4 as part of the Annual Satisfaction Survey			62% (G)

<b>Warwickshire's Contribution to Rural Broadband Development:-</b>						
Approval of the Local Broadband Plan by BDUK	New Measures	Yes	Yes (G)	Yes (G)	Yes (G)	Yes (G)
Completion of BDUK Procurement Phase by March 2013		Yes	No (R)	No (R)	No (R)	No (R)

**Commentary and Key Actions Taken**

**Completion of BDUK Procurement Phase by March 2013**

The original date for the completion of the Procurement phase was March 2013 which was subsequently rescheduled to May 2013 in line with BDUK's National Procurement Plan. The procurement phase was completed as planned, with the contract being awarded on 23<sup>rd</sup> May.

2: Safety & Protection		 <b>Direction of Travel</b>				
<b>Outcomes:</b> <ul style="list-style-type: none"> <li>Reduce further the number of people killed or seriously injured on Warwickshire's roads</li> <li>Proactively maintain the highways network to a safe standard, working with partners to do so</li> <li>Reduce abuse of children and vulnerable adults through improving the reach of co-ordinated safeguarding interventions</li> <li>Focus on tackling high harm causers and re-offenders</li> </ul>		<ul style="list-style-type: none"> <li>Work with Police to reduce levels of violent crime, especially domestic violence</li> <li>Reduce the damaging effects on families and communities caused by drugs misuse</li> <li>Work in partnership to reduce the significant consequences of the misuse of alcohol</li> <li>Work with partners to reduce instances of anti-social behaviour</li> <li>Reduce fire related deaths and injuries as well as reducing the economic cost of fire</li> </ul>				
		<b>Data Notes</b> 1. Benchmarking to determine the quartile outturn will not be available until July. Based on the top quartile value in 2011-2012 of 69%, this year's outturn of 61.4% may miss target.				
Measures	2011/12 Actual	Target 2012/13	Qtr. 1	Mid-Year	Qtr. 3	Year End
No. of people killed or seriously injured on our roads	313(A)	293	313 (A)	315 (A)	318 (A)	299 (A)
Number of children who are subject of a child protection plan (rate per 10,000 population)	New measures for 2012/13	47 per 10 K	50 (A)	50 (A)	50 (A)	49 (A)
Children who are both looked after and subject of a child protection plan		50	50 (G)	50 (G)	50 (G)	65 (R)
Alcohol related admissions for under 18s (rate/100,000)	63.9	62	58.32 (G)	58.32 (G)	58.32 (G)	58.32 (G)
Number of repeat safeguarding referrals	14.7%	13.2%	14% (R)	11% (G)	11% (G)	13 (G)
% of people who use services who feel safe is in top quartile of comparator group (see note 2)	68.7%	Remain in top quartile	NYA	NYA	NYA	No (R)
Incidents of serious acquisitive crime per 1,000	12.80(A)	Reduce 2011/12 actual	12.79 (G)	11.09 (G)	11.71 (G)	11.05 (G)
Adult drug users exiting treatment successfully	New measure for 2012/13	20%	NYA	NYA	NYA	15% (R)

Measures	2011/12 Actual	Target 2012/13	Qtr. 1	Mid-Year	Qtr. 3	Year End
Incidents of all Anti-social behaviour	21,725 (G)	Reduce from 2011/12 baseline	18,694 (G)	19,956 (G)	20,061 (G)	20,164 (G)
Incidents of serious violent crime per 1,000	5.38 (G)	Reduce 2011/12 actual	4.54 (G)	4.62 (G)	4.65 (G)	4.77 (G)
No. fire related deaths which were preventable per 100,000 population	0 (G)	0	0 (G)	0(G)	0 (G)	0 (G)
No. of fire related injuries per 100,000 population	11 ( G)	Year on Year Improvement	1 (G)	3 (G)	7 (G)	11 (G)
The economic cost of fire for Warwickshire	£13,940,394	Year on Year Improvement	£13,356,935 (G)	£10,650,000 (G)	£10,958,000 (G)	£11,324,256 (G)

### Commentary and Key Actions Taken

#### Number of people killed or seriously injured on Warwickshire's roads

The number of road users killed or seriously injured in Warwickshire fell to 299 in 2012. This is the lowest figure ever recorded, a reduction of 14 from 313 in 2011. There were noticeable reductions in the number of deaths and serious injuries compared to 2011 amongst cyclists, car occupants, older road users and 16-24 year old drivers and passengers.

#### Reducing the instances and impact of crime

Recorded performance against our crime measures at the yearend point is very encouraging Serious Acquisitive Crime beat the target by 13%; Serious Violent Crime is ahead of target by 11% and Anti-Social Behaviour is 7% better than the declared target. Co-ordinated partnership activity around the county has contributed to these decreases. Partners discuss performance at a monthly conference call (chaired by WCC) to ensure any local increases in crime are tackled effectively at an early stage, and also share good practice around the county. A Police restructure designed to provide effective policing of the night-time economy has had a significant, positive impact on violent crime. All 4 Community Safety Partnerships in the county have detailed action plans in place to tackle their local priority crime types.

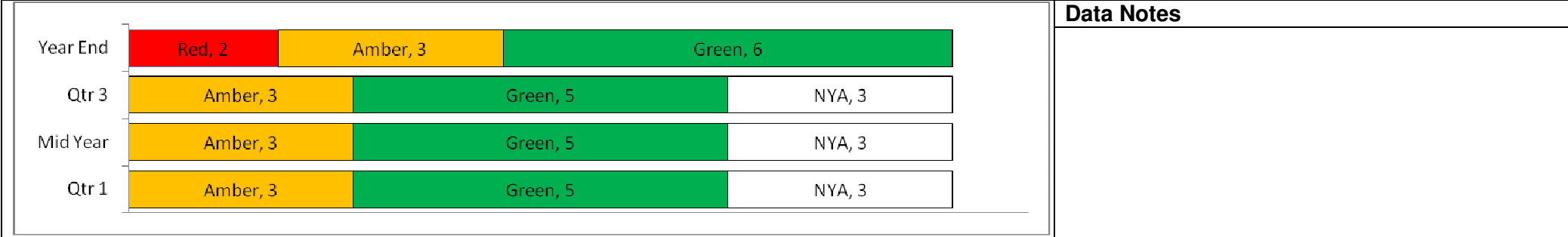
A new recommissioned service for adult drug users was initiated this year and the emphasis changed from an "in treatment" service to a "recovery based" programme. Following the initial transitional phase there are signs that this change has resulted in positive outcomes though the target for this year has not been achieved. Across the County performance is not uniform with some areas achieving better results than others and the challenge for this year is to monitor performance closely to bring all areas up to the same high standard by learning what works best.

#### Reducing fire related deaths and injuries

Across the County the number of fires continues to decline as does the associated economic cost of fire to the people who live and work in Warwickshire. Compared to 2011/12 the cost declined in excess of £2.6 million. Across this year there have not been any preventable fire related deaths and we are pleased to report that there have not been any deaths in the home since January 2011. Fire related injuries are at an all time low of only 11 and 9 of these were slight injuries only.

<b>3: Care &amp; Independence</b>	<b>Direction of Travel</b>
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- |  |   |
|--|---|
| <b>Outcomes:</b> <ul style="list-style-type: none"> <li>Fulfil our duty of care to older and vulnerable people</li> <li>Ensure that all those eligible are offered an adult care personal budget</li> <li>Increase the scope of re-ablement services</li> <li>Working with partners to improve number of older people living independently in their own homes</li> </ul> | <ul style="list-style-type: none"> <li>Embrace the Public Health Service within our responsibilities to improve the health of the County's population</li> <li>The successful transfer of the Public Health Service to the Local Authority</li> <li>Embed the principles of early intervention so that children, young people, parents &amp; carers have the support they need, when they need it.</li> </ul> |
|--|---|



Measures	2011/12 Actual	Target 2012/13	Qtr. 1	Mid-Year	Qtr. 3	Year End
The proportion of those using social care who have control over their daily life	73.7% (G)	75%	Annual Measures: Available Qtr. 4.			71.6% (A)
The proportion of people who use services & carers who find it easy to find information about support	77.4%(G)	79%	Annual Measures: Available Qtr. 4.			66.1% (R)
% of older people (65+) who are still at home after 91 days following discharge from hospital	4.1%(A)	4.3%	Annual Measures: Available Qtr. 4.			82.2 (G)
Delayed transfers of care between social care and health per 100,000 population	16.0(G)	13.0	14 (A)	14 (A)	14 (A)	13.1 (A)
Admissions to residential care homes per 1,000 population	595.5(A)	560	560 (G)	530 (G)	530 (G)	712.9 (R)
% of people using social care who receive self-directed support	45.2%	65%	60% (A)	60% (A)	60% (A)	70.7% (G)
% of customers not needing on-going social care 91 days after leaving Reablement	New measures for 2012/13	63%	65% (G)	59% (A)	59% (A)	62% (A)
% of Reablement customers where one or more agreed outcomes are fully met		80%	75%(A)	80%(G)	80%(G)	81% (G)
Successful establishment & operation of the Health & Wellbeing Board		Yes	Yes (G)	Yes (G)	Yes (G)	Yes (G)
Establishment of Local Healthwatch Function	New measures for 2012/13	Yes	Yes (G)	Yes (G)	Yes (G)	Yes (G)
Transfer of Public Health Function		Yes(G)	Yes	Yes (G)	Yes (G)	Yes (G)
% Delivery of the County Council's new & continuing duties to improve public health	New measures for 2012/13	100%	Not applicable until 2013/14			
% of WCC services committing to deliver the public health agenda through their service priorities where able to do so		100%				

## **Commentary and Key Actions Taken**

### **Delayed transfers of care**

The proportion of delayed transfers of care has reduced significantly this year from 17 to 13.3, narrowly missing the stretch target set. This is the result of proactive work undertaken with the hospital trusts to better identify and classify people who are delayed from leaving hospital and new joint processes between health and social care for more efficient discharge from hospital into rehabilitation or reablement. Warwickshire's reablement service has positive outturns with 81% achieving at least one of their outcomes and 62% of customers requiring no on going service, while this missed target it is accepted that the target was set too high as the service is now offered to a wider range of customer, the national standard for this indicator is 55%.

### **Proportion of customer who have control over their daily life**

The proportion of customer who have control over their daily life has reduced having increased in 2011-12. The proportion of customers and carers who find it easy to find information is not comparable with previous years as it includes carers views for the first time, a like for like comparison would be 67.9%. Both of these indicators are taken from the annual customer and carer surveys which has seen lower than anticipated outturns, a local survey will be undertaken to help us identify the best way to make changes to improve customer experience.

### **Admissions to residential care**

The number of admissions to residential care has increased more than anticipated and further investigation is underway. Initial indications are that we have a changing picture of higher admission rate but lower number of people in residential care overall, suggesting the length of stay in residential care is reducing.

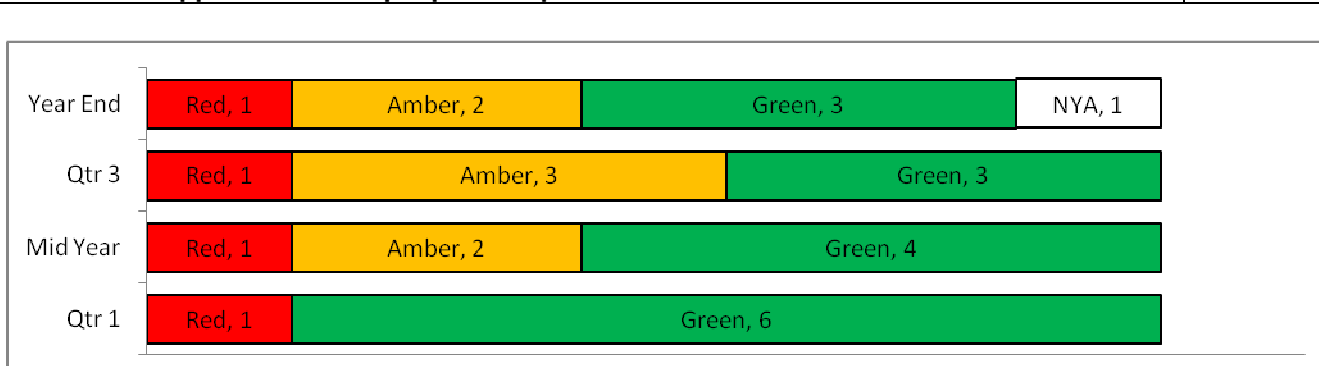
### **Integration of Public Health Function**

The transition of Public Health into the Communities Group of Warwickshire County Council was successfully completed in April this year. Alongside the successful transition Local Health Function has been established as well as the Health and Wellbeing Board.

**4: Enterprise, Transport & Tourism** ↔ **Direction of Travel**

- Outcomes:**
- Support economic growth by improving Warwickshire’s reputation as a good place to do business
  - Improve transport options within Warwickshire
  - Increase opportunities for people to improve their work related skills

- Make Warwickshire a place of destination for tourists and visitors and
- Work to reduce harm on Warwickshire’s businesses caused by any future approval of High Speed 2.



**Data Notes**

This indicator is now measured in kilometres rather than miles. The target has been adjusted accordingly.

Measures	2011/12 Actual	Target 2012/13	Qtr. 1	Mid-Year	Qtr. 3	Year End
The number of individuals undertaking Apprenticeships in the sub-region (LEP)	6,590(G)	5,800	6,370 (G)	6,370 (G)	8,340 (G)	8,490 (G)
The number of individuals undertaking Apprenticeships in Warwickshire		3,200	3,500 (G)	3,500 (G)	4,580 (G)	3,800 (G)
The number employed in key target growth sectors of the sub regional economy (LEP)	139,200(G)	143,000	143,000 (G)	140,410 (A)	140,410 (A)	140,410 (A)
The number employed in key target growth sectors of the Warwickshire economy	93,688	96,000	96,000 (G)	95,395 (A)	95,395 (A)	95,395 (A)
Businesses reporting skills shortages (LEP)	37.60%(A)	33%	33% (G)	33% (G)	36.2% (A)	NYA
WCC cost per passenger journey on WCC supported services	£0.82(G)	£0.78	£0.78 (G)	£0.78 (G)	£0.75 (G)	£0.76 (G)
Length of highway network where surface treatment was achieved (kms) (see data note)	246.85 kms (G)	249.9 kms	200.78 kms (R)	200.88 kms (R)	209.12 kms (R)	210.7 kms (R)
Length of highway network where maintenance is needed	757.8km		<b>Condition Indicator, for information only Figures are not yet available.</b>			

**Commentary and Key Actions Taken**

**Apprenticeships**  
 The year-end results are very positive for the number of people undertaking apprenticeships in both Warwickshire and the sub-region with both measures achieving the declared target. This is a result of sustained promotion of apprenticeships nationally and locally.

### **A thriving business community in Warwickshire**

The economic climate remains challenging locally and nationally and although the year end targets have been missed for the number employed in key target growth sectors of both Warwickshires and the sub regional economy, considerable progress has been made. Comparing to last year there has been growth across both economies and it is encouraging that Warwickshire accounts for the majority of the growth where as Coventry has experienced a decline.

### **WCC cost per passenger journey on supported services**

The cost per passenger journey on WCC supported services is expected to reduce by 6p or 7.3%, we are currently still awaiting final year end information from some operators. This reduction is as a result of a full year of changes being in force following previous budget reductions when the least cost effective services were cut from the schedule of services.

### **Highway Maintenance**

The very poor weather during the summer season has prevented completion of the entire surface dressing programme for 2012/13. The work is normally completed during the first half of the year when ambient conditions are normally favourable. In summary, 210.7 kms out of the 249.9 kms planned (84.3%) were completed and the sites that were not attended to are to be included in the 2013/14 surface dressing programme.

**5: Environment & Housing**



**Outcomes:**

- Work with Borough & District Councils to improve recycling rates, reduce the amount of waste sent to landfill and keep public spaces clean and well maintained
- Maintain our natural environment and relevant heritage for future generations
- Reduce Co2 emissions in the public sector and support the community to tackle climate change
- Support the provision of affordable homes and development of 'extra care' housing.

**Data Notes**

1. Year end actuals will not be available until August / September. Although expected to miss target, the year end forecast represents an 8% improvement on the previous year's actual

Year End	Red, 1	Green, 1	NYA, 1
Qtr 3	Red, 1	Amber, 1	NYA, 1
Mid Year	Amber, 1	Green, 1	NYA, 1
Qtr 1	Amber, 1	Green, 1	NYA, 1

Measures	2011/12 Actual	2012/13 Target	Qtr. 1	Mid-Year	Qtr. 3	Year End
Residual household waste per household is minimised (See note 1)	531.25 (G)	485kg	494kg (A)	516.8kg (A)	488kg (A)	NYA
The % Co2 reductions delivered through Corporate Projects	To be confirmed	2.5%	NYA	NYA	NYA	32% (G)
The number of extra care housing units available for use by customers eligible for use by customers eligible for WCC Adult Social Care	119 (G)	163	163 (G)	173 (G)	119 (R)	119 (R)

**Commentary and Key Actions Taken**

**Household Waste**

Although the year end actuals will not be available until late summer estimated figures are indicating that although there will be a year on year improvement of 8% the annual target will be missed by approximately 1%.

**Extra Care Housing**

Although the measure for extra care housing units is red the overall plane will still deliver a significant number of extra care units in the longer term



**6: Schools & Education**

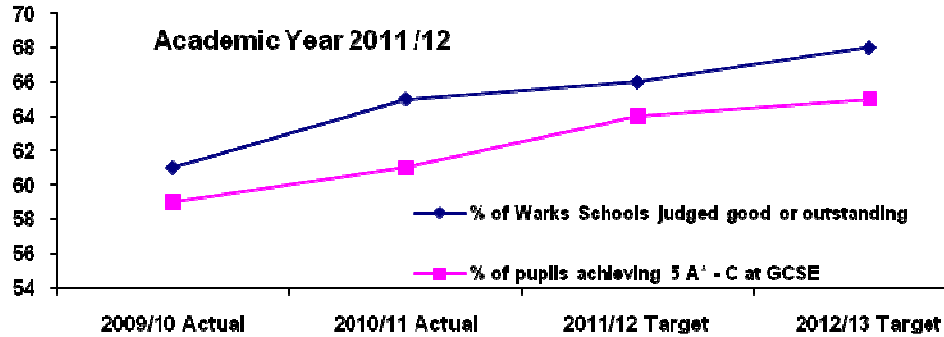


**Direction of Travel**

**Outcomes:**

- Support schools and colleges to improve their performance and challenge poor performance and
- Raise the educational aspirations of children and young people and families

**Commentary and Key Actions Taken:**



Educational performance measures are based on the academic school year and therefore run from September to August and are published in the Autumn following the end of the school year.

Measures (Academic Year September 2010 – August 2011)	2009/10 Actual	2010/11 Actual	2011/12 Target	2011/12 Actual	2012/13 Target
% of Warwickshire schools judged good or outstanding by Ofsted	61%	65% (G)	66%	66% (G)	68%
% of pupils achieving 5 A* - C at GCSE including English and Maths or equivalent	59%	61% (A)	65%	64% (A)*	65%

**Financial Year 2012/13**

Year End	Red, 1	Amber, 1	Green, 1
Qtr 3	Green, 1	NYA, 2	
Mid Year	Green, 1	NYA, 2	
Qtr 1	Amber, 1	Green, 1	NYA, 1

Measures (Financial Year April 2012 – March 2013)	2011/12 Actual	2012/13 Target	Qtr. 1	Mid-Year	Qtr. 3	Year End
% of 16-18 year olds who are not in education, employment or training	5.2%(G)	5.2%	4.5% (G)	5.2% (G)	5.2% (G)	3.6% (G)

(NEET)						
Prevalence of breast feeding at 6 – 8 weeks from birth	46.5%(G)	46.5%	45.5% (A)	NYA	NYA	44.02% (A)
% of children in year 6 who are obese	16.17%(G)	13%	NYA	NYA	NYA	17.38% (R)

### Commentary and Key Actions Taken

#### % of children in year 6 who are obese

Family Weight management programmes are commissioned in Rugby, Nuneaton and north Warwickshire. Overweight and obese children and their families are invited to attend. This was a two year pilot and we have just had the results form Coventry University who have collated data from the programmes - 13% children moved into a healthy weight category and 98% families were happy with the service. (0 children and 70 adults attended these during 2012/13.

Families are signposted to other health improvement/lifestyle interventions in communities using the MECC approach

Family Change4Life Advisory service is commissioned - There are 7 advisor located in the 7 School Health teams across the county. They follow up families with overweight/obese primary school age children as identified through the NCMP and offer support and advice face to face or over the telephone. They also signpost families using the MECC approach to community interventions adn send out and signpost to useful literature and links.

The Soil Association, Food For Life Partnership, is commissioned in 7 priority schools in Nuneaton and Bedworth where obesity prevalence is highest and where academic achievement is lower. The programme has a strong evidence base to support that academic achievement is increased by 13% with this programme and that Free School Meal uptake is increased. Evidence also shows that there is an increase in fruit and veg consumption in children, their families and communities around each school. In Warwickshire, the partnership works with County Caterers to support them to achieve a catering mark, it has been working with the Financial Inclusion Partnership to support the increase in uptake of school meals programme as well as signposting families to benefit checks. The Food For Life Partnership supports schools to achieve awards in healthy food policy, growing and cooking food and links with local farmers.

In order to support families to have the skills to cook and eat healthily before a child starts school, the family, Toddler and baby NOSH programme is delivered in each Children's Centre. The programme is currently being audited in order that the programme undertakes a full review and possible redesign in terms of how it's delivered because some Children's Centres are reporting that they do not have the capacity or resources or creche facilities to support the programme

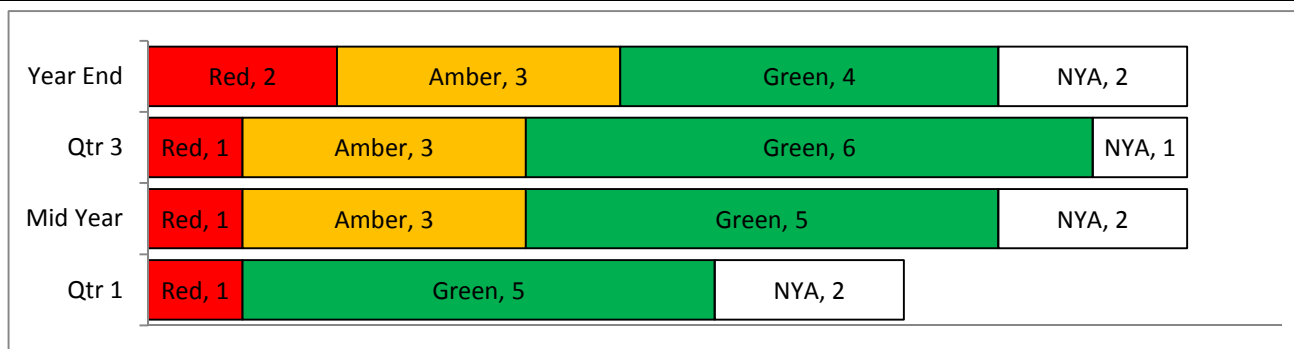
## 7: Organisation



### Outcomes:

- Ensure that the organisation is focused on delivering agreed outcomes by using commissioning processes to redesign and improve our service provision
- Work with other public sector organisations to integrate services and ensure services remain sustainable and based around need

- Ensure WCC continues to be recognised as a good employer
- Focus and rationalise local council services through One Front Door project and property rationalisation and
- Ensure a light touch management structure that encourages innovations and acts with pace



### Data Notes

1. There is a lag between the outcome of the review programme and being able to quantify increases in satisfaction, therefore no outturn actual is reported.
2. A mechanism for capturing data on the number of employees with flexible working agreements has been agreed and specified.

Measures	2011/12 Actual	2012/13 Target	Qtr. 1	Mid-Year	Qtr. 3	Year End
% Increase in satisfaction with service provision (See Note 1)	New Measures for 2012/13	5%	NYA	NYA	5% (G)	NYA
Number of Service Reviews delivering full business case to schedule		9	6 (R)	6 (R)	9 (G)	7 (R)
Complete the JSNA refresh to support commissioning decisions		Yes	Yes (G)	Yes (G)	Yes (G)	Yes (G)
Ensure the development & implementation of a Health & Well-being Strategy for Warwickshire		Yes	Yes (G)	Yes (G)	Yes (G)	Yes (G)
The annual governance is accepted without qualification by the Council's external auditors	Yes (G)	Yes	Yes (G)	Yes (G)	Yes (G)	Yes (G)
Net variation to budget	-3.30%	+1/-1%	-0.6% (G)	-0.5% (G)	-1.7% (R)	NYA
% of our retained operational property portfolio having optimum utilisation	83% (G)	90%	90% (G)	90% (G)	90% (G)	90% (G)
% staff who are flexible workers (See note 2)		NYA	NYA	NYA	NYA	NYA
% satisfaction that the Council is a good employer	No survey undertaken	77%	Annual Measure	73.0% (A)	Annual Measure	
% of staff satisfied with the training & development they receive in their current job	New measure for 2012/13	70%		66.6% (A)		
% of staff who believe the County Council is an equal opportunities employer		88%		85.1% (A)		

### Commentary and Key Actions Taken

#### Net variation to budget

The target for the variation to net budget of +/- 1% has not been met. On the positive side, there has not been an overall overspend, so additional cuts have not had to be implemented. However, there is a reasonable expectation from Members that spending voted for should be discharged to deliver expected outcomes. Elsewhere in this report there is more detail on the reason for spending variations, including the receipt of additional or early grants and the early delivery of planned savings. Monitoring will continue through quarterly reports to Cabinet and the next Medium Term Financial Plan will need to take into account any structural underspends as evidence of where resources can be reduced

## Going for Growth Performance Reporting Year End 2012/13

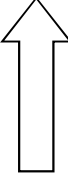

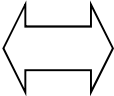
### Background

In April 2012 Cabinet endorsed Going for Growth as the Council’s County Council’s principal ‘guiding document’ over the medium term; this approach was formally agreed by Council in May. As part of the agenda it was agreed that there would be a limited number of measures and targets to support Going for Growth. Each part of the organisation was asked to provide specific measures and targets which the Council could use to monitor performance against delivering the Going for Growth agenda. Six measures and associated targets were adopted by Cabinet in June 2012 with People Group being responsible for one and Communities responsible for five of the agreed measures.



This report summarises progress to date and direction of travel for each of the six measures at the year end reporting point.

Measure	Target	Progress to Date	DoT
<p>Number of individuals undertaking apprenticeships within the County:</p> <ul style="list-style-type: none"> <li>• With WCC (as internal employees)</li> <li>• Outside WCC (with external employers)</li> </ul>	<ul style="list-style-type: none"> <li>• Adult apprenticeships 45</li> <li>• New apprenticeships 20</li> <li>• 2600 residents of Warwickshire starting an Apprenticeship programme in the year (note: revised target to align with Corporate Plan)</li> </ul>	<p>Internally, there are currently 11 apprentices working within WCC departments:</p> <ul style="list-style-type: none"> <li>• 4 at County Fleet Maintenance</li> <li>• 3 ICT</li> <li>• 1 business admin - Trading Standards</li> <li>• 1 business admin - Waste Management</li> <li>• 2 arborists – Forestry</li> </ul> <p>A further 3 are being recruited, 1 in Business Admin and 2 Country Rangers.</p> <p>It is reported that all the apprentices are performing well and are attending college.</p> <p>Further apprenticeships are planned for the forthcoming years.</p> <p>The Apprenticeship Hub project is progressing well. The Hub Manager post has been filled through an internal secondment, and while they will officially start on 1st April, they have already been providing support to the temporary officer working on the project to provide additional capacity. A website page has been established, along with a dedicated e-mail address and phone number. Marketing materials have been developed and will be ready for the planned launch in Apprenticeship Week. Discussions have been held with all key partners, who are all highly supportive of the scheme and applaud the aims and ambitions of our project.</p> <p>The final data for Apprenticeship Starts in Warwickshire for the 2011/12 Academic Year (August - July) was 4690 starts, up from 4100 in 2010/11 and 2470 in 2009/10, the significant jump in 2010/11 was due to the Government choosing Apprenticeships as the</p>	

## Communities

		route for the majority of funded work based learning. The subsequent rise locally of 590 is due in part to increased marketing nationally of Apprenticeships but locally the LEP's 100 in 100 campaign and the work of the Councils Secondary Phase team in increasing the awareness of Apprenticeships in Schools will have significantly contributed.	
Delivering Phase 1 of NUCKLE which will connect people with job opportunities throughout the north-south corridor including Nuneaton, Bedworth, Coventry and later Kenilworth, Leamington and Warwick	<ul style="list-style-type: none"> <li>Design and build tender accepted March 2013</li> </ul>	<ul style="list-style-type: none"> <li>The procurement exercise for a 'Design and Build' contractor has started</li> <li>The Award of a Design and Build contractor for the project will be at financial close which is expected in late 2013.</li> </ul>	
Securing improvements to M40 J12 to unlock up to 2600 jobs at Jaguar Land Rover and Aston Martin	<ul style="list-style-type: none"> <li>Announcement of Transport Pinch point Funding in early Autumn 2013</li> <li>Funding secured from Highways Agency "Pinch Point" fund September 2012.</li> <li>If unsuccessful continue to explore alternative funding streams during 2012/13.</li> </ul>	<ul style="list-style-type: none"> <li>The original cost element was approximately £12 million.</li> <li>The Highways Agency (HA) element of the scheme was estimated at £6million and they have secured funding of £10 million through the Autumn Statement to be spent on the scheme. The HA are now controlling their element of the scheme to include slip roads, signalised junctions and an additional lane on the B4451 over the M40 bridge.</li> <li>The WCC borrowing of £3 million was approved by full Council on the 5<sup>th</sup> February.</li> <li>Total cost of the WCC element of the scheme is £6.3M. WCC are awaiting the outcome of a £3.3M Regional Growth Fund bid. In addition a Local Pinch Point Fund (LPPF) bid to the DfT was submitted in February.</li> <li>JLR are now master planning for site development, this is creating uncertainty regarding site access design.</li> </ul>	
Working closely with Coventry and developers to unlock thousands of jobs at the Coventry Gateway site near	<ul style="list-style-type: none"> <li>Planning application submitted July 2012.</li> <li>Highways work start on site April 2013.</li> <li>If planning grants,</li> </ul>	The decision was deferred to January with a request for further information in April. The planning application is to be considered by the 12 June Planning Committee.	

## Communities

Baginton	construction of first buildings April 2013.		
Deliver Superfast broadband as an aid to economic growth	<ul style="list-style-type: none"> <li>To deliver by March 2015 speeds greater than 24Mbps to at least 90% of homes and businesses in Warwickshire, with basic broadband services of at least 2Mbps available to 100% of properties.</li> </ul>	<p>The project is currently running in line with the revised plan.</p> <ul style="list-style-type: none"> <li>The Clarification phase with the bidders has been completed and work is now ongoing to evaluate the responses in partnership with BDUK.</li> <li>A capital spend profile will be developed once the contract has been finalised with the successful bidder.</li> <li>Work is continuing in the following areas to prepare for contract finalisation.</li> <li>Work is continuing in the Data Room creating the latest versions of mapping for the project, these have been published on the website.</li> <li>The latest newsletter has been issued with a push to drive up responses to the business and residents' surveys. We are pushing to get all the information in by mid-April and we have already had a good level of response. The information received will be fed into the Data Room in time for producing the final intervention maps as part of the State Aid application.</li> </ul>	
No of Looked After Children aged 16-19 involved in work based activities, employment, education and training, supported by Tiffin Club activities, Virtual School and Getting Ready for Adult Life team (Care2Work plan).	90%	<p>Warwickshire gained the Care2Work Quality Mark Award in August 2012. This is a national project managed by Catch22's National Care Advisory Service (NCAS) which aims to improve employability outcomes for young people leaving care, by creating employability opportunities with national employers and sharing good practice between local authorities. The Quality Mark recognises those local authorities who demonstrate a commitment to improving employability and helping care leavers into the world of work. We are currently reviewing our plan, and are pleased that all actions plans are progressing well. The Care2Work plan will be reviewed each year and copies are available upon request.</p> <p>Our "Information Playing Cards" were launched in August 2012, and these have been provided to all looked after children over 13 years of age, and all care leavers up to 21. They were designed with care leavers to provide info via scanned bar codes to websites re improving employability, active citizenship and support to overcome obstacles to achievement. We are monitoring the usage of these cards and so have a new way to listen to what our young people are interested in, this means we can ensure that our staff are appropriately trained and able to meet their needs. We have held two county</p>	

		<p>workshops this year with a focus on improving employability for care leavers and comprehensive guidance has been developed for staff to support them to provide a high quality service.</p> <p>The leaving care service has developed a productive partnership with Nick Gower-Johnson's service. This has enabled 29 care leavers across the county to receive additional individual support to overcome their barriers to employability. This is funded through the DWP Priority Families initiative. We are now improving our links with JobCentre Plus to improve support to our care leavers across county. We are also developing links with our partners and commissioned services to promote volunteering and work placements. So we continue to complement our core work with new initiatives.</p> <p>The Tiffin Club has recently become a registered Charity and within the council there is great commitment to continue the Olympic legacy and raise funds to provide supplementary support for looked after children and care leavers. They continue to provide mentoring for LAC and care leavers, and are developing employability opportunities.</p> <p>We have almost completed the development of our database system to monitor the percentage of care leavers who have been in employment, training and education. In December 2012, the CSWP reported that 94% of looked after children in Warwickshire progressed into positive destinations. In April 2013, 82% of our care leavers who remained in contact with us continued to be in education, employment or training. We are monitoring this up to 21 years of age in the future.</p>	
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Appendix V - Use of Reserves - Resources Group

Service	Balance on Reserves at 31 March 2013 £'000	Change in Reserves after Outturn £'000	Carry Forward to 2013/14 £'000	Repay Borrowing £'000	What the requested carry forward will fund	2013/14 Budget	Retained Balance at 1 April 2013 £'000	What risks or expected spend is this being held for?
<b>Customer Services</b>	<b>491</b>	<b>(299)</b>						
General Customer Services			(192)		This funding is required to support some key initiatives across the Customer Services and Communications Business Unit including: Full roll out programme for the General Complaints procedure, following it's recent review (£22,000); to progress the Digital By Default programmes (£65,000); improvements to the Registrations service including on-line development, purchase of scanning software, and support to undertake scanning of historical records and certificates (£105,000).			These are key initiatives to support and improve further the customer framework and Registrations service for Warwickshire County Council. Long term benefits will not be realised if the funding is not agreed as well as putting pressure against the 2013/14 budget for known one-off expenditure that will be incurred.
<b>Finance</b>	<b>1,487</b>	<b>(1,386)</b>						
Finance Training			(101)		This funding will also allow the implementation of a finance training programme across the Authority to deal with the new Finance Service Offer to the Authority, involving both Finance Staff and Non Finance Staff. This requires external support. Benefits will be a more financially literate workforce.			The Agresso system is the key component for managers to effectively report and monitor their financial position. As the financial position reduces over the next few years, financial awareness and training will be critical to mitigate financial risk across the Authority.
<b>Human Resources</b>	<b>1,129</b>	<b>(613)</b>						
Training			(139)		This funding is required to support some key initiatives across the Human Resources and Organisation Development Business Unit, including: To deliver training initiatives across a number of areas including: of the newly formed corporate Health and Safety Team in "Train the Trainer refresher" and "Auditing Skill". Further training for 1) one module of CIPD for one employee, 2) conflict resolution skills and 3) delivery of HR skills training to the HR advisory service as identified in the Employee Relations business plan. (£13,000). Relaunch the AssessRite system and implement the Learning Pool e-learning and learning management system (£49,000); To run a series of workshops and training events to support the implementation of the Appraisal and Capability policies for teaching staff (£17,000); To provide additional support the HR Advisory Service to schools to develop the service thereby increasing buy back levels from Academies (£30,000); Additional resources required to support the People Group Transformation programme (£30,000).			Delivery of this training will ensure we have an appropriately skilled Health and Safety workforce to deliver the Health and Safety plan and meet employer and legislative obligations. All these elements will help to ensure HR Advisors offer more robust and seamless support to line managers. AssessRite is an essential tool to ensure the council meets its DSE obligations and plays a key role in preventing muscular skeletal injuries .
Apprenticeships			(377)		Member approved the Apprenticeships initiative as part of the Going For Growth strategy. Funding was released late in the year with expenditure planned during 2013/14.			
<b>Information Assets</b>	<b>1,357</b>	<b>(220)</b>						
IT Development			(341)		This funding is required to support some key initiatives across the Information Assets Business Unit, including: Deliver additional requirements associated with the Property Rationalisation Programme (£96,000); Google roll out, to take account of activities unavoidably delayed from failure of G-Cloud timelines via Google and Cabinet Office. This will cover the phase 2 Google Docs training (£120,000); to allow additional replacement of PCs as part of the technical refresh programme (£125,000).			
Equipment Reserve							171	Information Assets - Equipment reserve. This fund relates to provision allowed for Information Assets Business unit to procure equipment as required. This is funded through contributions from within the services to allow for future expenditure.
PC Unit charge							625	PC Unit Charge Equalisation Account. This provision funds the PC Unit replacement programme and is utilised in line with the contract . The fund will be drawn down as required within the programme.
<b>Law and Governance</b>	<b>223</b>	<b>(155)</b>						
Governor Services			(68)		This funding is required to support some key initiatives across the Law and Governance Business Unit, including: additional school improvement support for schools in a category of concern, particularly those identified through Ofsted as Requiring Improvement, Serious Weakness or Special Measures. Since the new Ofsted Framework September 2012 a number of schools have been inspected by Ofsted and have been required to undertake a Governance Review of Governing Body processes (£10,000); Further implementation of the full benefits of CMIS and associated training and development of officers and members and (£25,000); additional support to change initiatives as part of the transformation programme (£33,000).			

Appendix V - Use of Reserves - Resources Group (Continued)

Service	Balance on Reserves at 31 March 2013 £'000	Change in Reserves after Outturn £'000	Carry Forward to 2013/14 £'000	Repay Borrowing £'000	What the requested carry forward will fund	2013/14 Budget	Retained Balance at 1 April 2013 £'000	What risks or expected spend is this being held for?
<b>Physical Assets</b>	<b>938</b>	<b>80</b>						
Property Revaluation			(80)		Requirement to revalue all of the Council's property portfolio in 2113/14 for Capital Accounting Purposes (including smallholdings). Specific funding has not been approved for this work. It is proposed that consultancy staff are appointed to carry out this task to allow the existing teams to focus on core priorities: property disposals and achieving the Property Rationalisation Programme and property savings.			
Low Energy Initiatives					Central Government fund to be used in low energy alternatives, which are match funded by Warwickshire County Council. Central Government can recall funding when the scheme is completed. Funding will be drawn down from the reserve if required during 2013/14.		403	Central Government fund to be used in low energy alternatives, which are match funded by Warwickshire County Council. Central Government can recall funding when the scheme is completed.
Catering					The catering service to schools is based on a charge for a standard number of working days per school. This approach allows schools to have a consistent cost, which they can budget for as part of their financial planning. However, the number of working days that the service is delivered in schools changes each year because of various factors including: when the Easter Holidays fall, number of bank holidays etc. This impacts on the level of income that can be generated through the service and this equalisation account allows for annual differences between costs and income.		302	The schools catering services works on a three year cycle, in that all costs and expenditure match over this period. The equalisation account allows for these movements to be managed in a structured way and any movements out the reserve would impact directly on the Business Unit financial position and potentially reduce the opportunity to deliver other services.
Equipment Procurement							35	This fund relates to provision allowed for the Cleaning and Catering services to procure equipment as required. This is funded through contributions from within the services to allow for future expenditure.
Carbon Reduction Scheme							198	This relates to the reserve to fund Carbon Reduction Scheme Credits, the government initiative to apply a level to CO2 usage across the Warwickshire property portfolio.
<b>Service Improvement</b>	<b>368</b>	<b>(355)</b>						
WES Services Marketing			(13)		To develop a new WES website to effectively support the marketing strategy for WES Services. The current website does not meet business or customer needs and is hindering current ability to effectively market and generate new demand for WES Services. A newly designed and improved website will support the overall WES Strategy to improve customer retention.			
<b>Resources Group Reserves</b>	<b>645</b>	<b>2,948</b>						
Transformation Fund					The Resources Group continues to implement Information Management improvements for the Council. These initiatives will reduce the amount of paper entering the authority by rolling out eInvoicing and Scanning mail when it arrives. This programme is also reviewing key Business Systems and how information is both stored and used across the Authority. The result will see improved real time reporting for managers and members.		2,751	Initiatives have already been started with planned commitments over the coming year. Failure to retain this funding will result in abortive work that would impact on the Groups ability to significantly improve its information management processes and procedures, that will support and enhance information for managers across the Council and Members.
Repay Borrowing				(842)	This will be used to repay some of the Resources Group self financing debt, in particular early repayment of borrowing associated with the Financial System and some energy initiatives previously agreed, This approach will save the Council in the region of £200,000 in interest charges.			
General Savings								
<b>Total Resources Group</b>	<b>6,638</b>	<b>0</b>	<b>(1,311)</b>	<b>(842)</b>		<b>0</b>	<b>4,485</b>	

**Corporate Services  
Overview and Scrutiny Committee**

**10<sup>th</sup> July 2013**

**Annual Governance Statement 2012/13**

**Recommendation**

That the Corporate Services Overview and Scrutiny Committee consider the key risks outlined in the Annual Governance Statement 2012/13.

**1.0 Introduction**

- 1.1 A copy of the Annual Governance Statement was considered and approved by the Audit and Standards Committee on 24<sup>th</sup> June 2013.
- 1.2 A full copy of report is attached.



## Audit and Standards Committee

24 June 2013

### Annual Governance Statement 2012/2013

#### Recommendation

That the Audit and Standards Committee consider the results of the review of internal control and draft Annual Governance statement for the County Council.

#### 1.0 Background

- 1.1 The Accounts and Audit (England) Regulations 2011 require the authority to conduct a review, at least once in a year, of the effectiveness of its system of internal control. The findings of the review must be considered by a Committee, and following the review, the Committee must approve the Annual Governance Statement (AGS). The 2011 regulations also clarified that the AGS must *accompany* the accounting statements, rather than being included with the accounting statements. The purpose of this change was to make clear that the AGS is not part of the statement on which the auditor's opinion is given. But relevant bodies have discretion to decide whether it should be part of the same document as the accounting statements or be issued as a separate document.
- 1.2 The Annual Governance Statement recognises, records and publishes an authority's governance arrangements under the framework defined in CIPFA/SOLACE's publication 'Delivering Good Governance in Local Government: Framework'.
- 1.3 This framework sets out six core principles of governance that underpin the AGS and upon which the AGS should report:
  - Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.
  - Members and officers working together to achieve a common purpose with clearly defined functions and roles.
  - Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.
  - Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.
  - Developing the capacity and capability of members and officers to be effective.

- Engaging with local people and other stakeholders to ensure robust public accountability.

1.4 A key element of governance is the control environment, which CIPFA defines as comprising 'the systems of governance, risk management and internal control'. Key elements of the control environment include:

- establishing and monitoring the achievement of the organisation's objectives;
- the facilitation of policy and decision-making ensuring compliance with established policies, procedures, laws and regulations – including how risk management is embedded in the activity of the organisation, how leadership is given to the risk management process, and how staff are trained or equipped to manage risk in a way appropriate to their authority and duties;
- ensuring the economical, effective and efficient use of resources, and securing continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness;
- the financial management of the organisation and the reporting of financial management; and
- the performance management of the organisation and the reporting of performance management'.

1.5 During 2012 the CIPFA/SOLACE Joint Working Group reviewed the framework to ensure it remains fit for purpose. An addendum and a revised guidance note were issued in December 2012. In addition, Grant Thornton completed a national review of Annual Governance Statements produced by local authorities in England. Feedback was provided to the Council on its AGS Statement for 2011/12 highlighting good practice and areas for improvement. These documents have been taken into account when preparing the 2012/2013 statement.

## 2.0 The Assurance Gathering Process

2.1 **Appendix A** illustrates the recommended steps<sup>1</sup> for the process of reviewing the authority's governance arrangements and gathering assurance about the effectiveness of the system in order to produce the annual governance statement. This approach was adopted for the review which was carried out by a Panel consisting of:

- Greta Needham, Head of Law & Governance, Resources
- Garry Rollason, Chief Risk and Assurance Manager, Resources
- Andy McDarmid, Improvement and Development Manager, Communities
- Jim Onions, Assistant Chief Fire Officer, Fire & Rescue

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<sup>1</sup> The Annual governance statement; Meeting the requirements of the Accounts and Audit Regulations 2003, *Incorporating Accounts and Audit (Amendment) (England) Regulations 2006* – Rough Guide for Practitioners; CIPFA Finance Advisory Network

- Tricia Morrison, Project Manager - One Organisational Plan Project, Resources
- Liz Holt, Service Manager – Access and Organisation (Strategy for Change)

2.2 In carrying out their review, the Panel:

- Considered the approach of the authority to establishing its principal statutory obligations and organisational objectives.
- Considered the approach of the authority to identifying principal risks to the achievement of those obligations and objectives.
- Identified the key control frameworks that the authority has in place to manage its principal risks.
- Obtained assurance from managers on the operation of key control frameworks and on the results of relevant external or internal inspection.
- Evaluated the assurances provided and identified gaps.

2.3 This year, assurance statements have been based on risk registers that are in place for all Services. The latest version of the risk registers were extracted from the corporate risk management system and managers asked to provide evidence that the actions detailed in the risk registers are being addressed; this was then scrutinised by the evaluation panel.

2.4 This process has also been used for significant projects which have been included in the AGS for the first time, based on the register of significant projects agreed by Corporate Board.

2.5 In addition to Business Unit and significant project risks, the Corporate Board have identified key corporate risks. These risks are regularly reported to the Board where they are reviewed and updated. They are also reported periodically to the Audit and Standards Committee. At the meeting of the Corporate Board on 6 March 2013, it was confirmed that the actions identified are effective in managing the strategic risks currently faced by the organisation.

2.6 The draft AGS is reported to this meeting of the Committee as it is good practice for a draft Annual Governance Statement to be considered by members as soon as possible after the end of the financial year and also so that an agreed draft can be made available to the external auditors for their review. Following consideration of the draft AGS by external auditors and completion of the audit of the accounts, the final AGS (incorporating any comments by external auditors) will be reported to the September meetings of this Committee, Cabinet and Council. This will allow the Committee to take into account the results of the external audit and the content of the Authority's accounts which will also be on the agenda for the Committee's 11<sup>th</sup> September 2013 meeting.

2.7 The Internal Audit Annual Report for the year ended 31 March 2012 has to be considered at the same time as this statement. The Annual Report is also included on the agenda for this meeting (Item 6).

2.8 Section 4 of this report sets out the main findings of the review. A draft Annual Governance Statement reflecting these findings is attached in **Appendix B**.

### **3.0 The Annual Governance Statement**

3.1 The guidance on the process for reviewing the Authority's governance arrangements allowed the Panel a certain amount of discretion in recommending those items to be included in the annual governance statement. However, the Panel were mindful of the following factors in determining what constitutes a significant issue:

- The issue has severely prejudiced or prevented achievement of a principal objective.
- The issue has resulted in a need to seek additional funding to allow it to be resolved, or has resulted in significant diversion of resources from another aspect of business.
- The issue has led to a material impact on the accounts.
- The Audit and Standards Committee has advised that it should be considered significant for this purpose.
- The Head of Internal Audit has reported on it as significant, for this purpose, in the annual opinion on the internal control environment.
- The issue, or impact, has attracted significant public interest or has seriously damaged the reputation of the organisation.
- The issue has resulted in formal action being taken by the Chief Financial Officer or the Monitoring Officer.

3.2 CIPFA guidance also states that 'a 'good' governance statement should be 'an open and honest self-assessment of the organisation's performance across all of its activities [and] it is inevitable that, where the process of review has been rigorous and robust, issues will be identified that the organisation will need to address.'

3.3 The recommendation of the Panel is that the issues highlighted in Section 4 of this report should be included in the Annual Governance Statement as areas for ongoing improvement or future review.

### **4.0 Findings of the Review**

4.1 The Annual Governance Statement 2012/13 identified a number of areas of concern. As part of the Annual Governance Statement process for 2012/13, the Panel considered progress against areas of concern that were raised in the 2011/12 review. Due to the continuing significance of some of these areas the Panel has recommended their retention in this year's annual governance statement. As a result of this year's review of the Authority's systems of internal control and governance arrangements, the Panel identified new areas where the Authority must continue to improve controls and performance.



4.2 The Council has not experienced any significant governance failures during the last year. However, the Evaluation Panel have identified the following as major challenges for the Authority going forward, each carrying significant risks for the County Council. The issues that the Panel recommend are included in the AGS are:

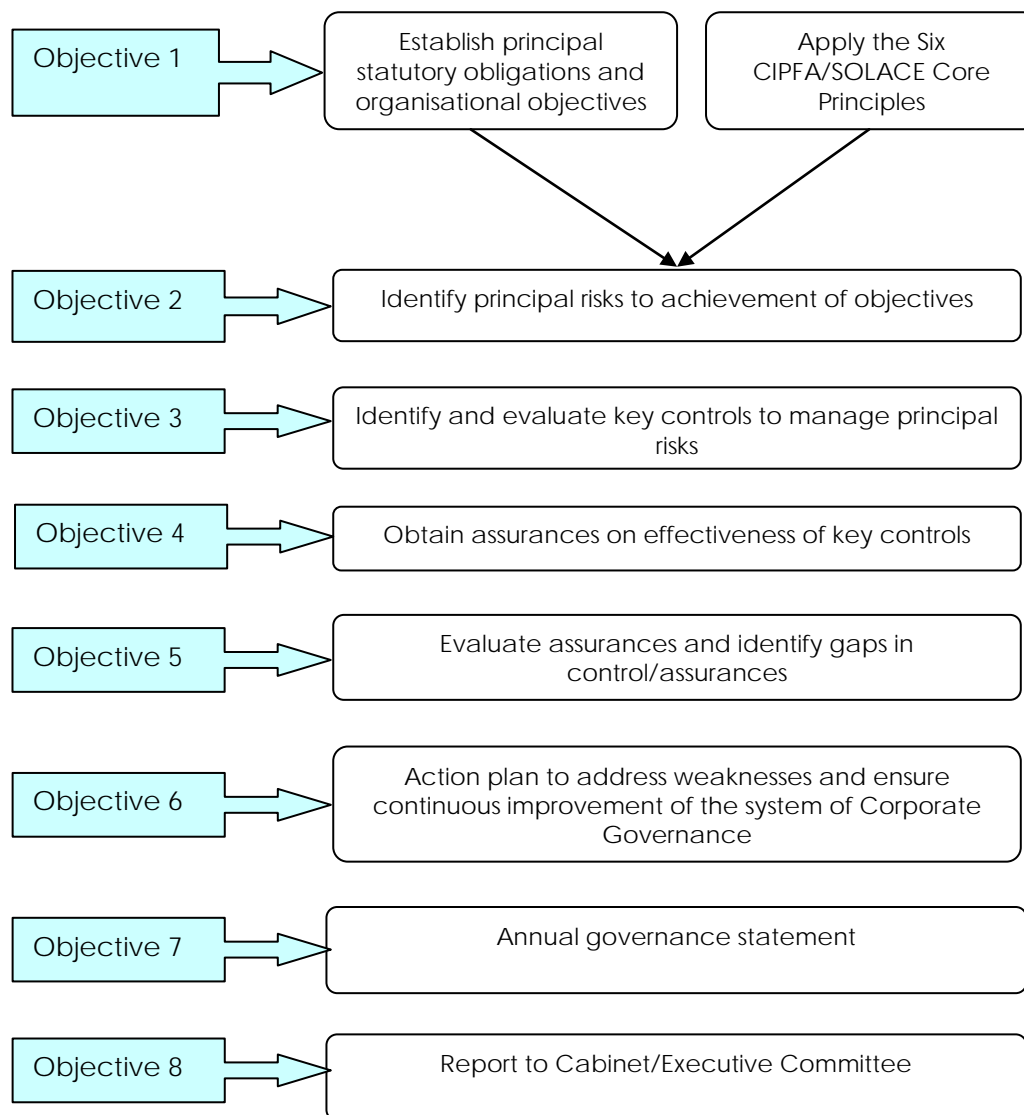
- Responding to the impact of Government policies
- Adult Social Care
- Keeping information safe
- Safeguarding children and vulnerable adults
- Coventry and Warwickshire Local Enterprise Partnership (CWLEP) and City Deal
- Warwickshire Fire and Rescue
- Business Continuity
- Changing relationship with schools
- Governance arrangements

These issues are set out in detail in the attached draft AGS. Although they are major challenges for the Authority the panel do not judge any of them to be significant governance issues.

4.3 The Committee is invited to scrutinise the draft Annual Governance Statement.

	<b>Name</b>	<b>Contact Information</b>
Report Author	Garry Rollason	01926 412680
Head of Service	Greta Needham	01926 412319
Strategic Director	David Carter	01926 412564
Portfolio Holder	Cllr Jeff Clarke	02475 012731

## Appendix A: Review of Annual governance statement and the Assurance Gathering Process



# Annual Governance Statement

Year ended 31 March 2013

DRAFT



*Working for  
Warwickshire*

# Annual Governance Statement 2012/2013

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# Annual Governance Statement 2012/2013

## 1. What are we responsible for?

We are responsible for carrying out our business in line with the law and proper accounting standards, and for using public money economically, efficiently and effectively, and accounting for it properly. We also have a duty under the Local Government Act 1999 to continually review and improve the way we work, while at the same time offering value for money and an efficient and effective service.

To meet our responsibility, we have put in place proper governance arrangements for overseeing what we do. These arrangements are intended to make sure that we do the right things, in the right way, for the right people, in a timely, inclusive, open and accountable manner. These arrangements consist of all the systems, processes, culture and values which direct and control the way in which we work and through which we account to, engage with and lead our communities.

We have approved and adopted a Code of Corporate Governance, which is consistent with the principles of the CIPFA/SOLACE Framework *Delivering Good Governance in Local Government*. You can obtain a copy of the Code from our website: <http://www.warwickshire.gov.uk/corporategovernance>

This statement explains how the Council has complied with the code and also meets the requirements of the Accounts and Audit (England) Regulations 2011.

## 2. The aim of the governance framework

The governance framework is basically the systems and processes, and the culture and values, by which we are controlled and how we account to, engage with and lead the community. The framework allows us to monitor how we are achieving our strategic aims and



ambitions, and to consider whether they have helped us deliver appropriate services that demonstrate value for money.

The system of internal control is an important part of the framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failing to achieve our policies, aims and objectives, so it can only offer reasonable assurance and not absolute assurance of effectiveness. The system of internal control is based on continuing processes designed to:

- identify and prioritise the risks that could prevent us from achieving our policies, aims and objectives;
- assess how likely it is that the identified risks will happen, and what will be the result if they did; and
- manage the risks efficiently, effectively and economically.

The framework underpins our Code and set out the commitments we have made about the way that we work. The governance framework has been in place at the Council for the year ended 31 March 2013 and up to the date of approval of the annual report and statement of accounts.

### 3 The Governance framework

#### **Core Principle 1: Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area**

##### **Identifying and communicating the authority's vision of its purpose and intended outcomes for citizens and service users**

Our current Vision, "Working in Partnership to put Customers First, Improve Services and Lead Communities" forms the centrepiece to our Strategic Delivery Framework and provides strategic direction to the Council. We have in place seven ambition areas, each linked to a set of aims which we seek to deliver through the Corporate Business Plan. The Vision is reviewed annually as part of our strategic planning process. <http://www.warwickshire.gov.uk/strategicdirection>

The Vision is informed by an extensive programme of consultation with the public and is based on the Quality of Life Report which identifies socio-economic drivers for Warwickshire. The report also focuses on both quantitative and qualitative outcome indicators which reflect objective measures such as unemployment and subjective measures such as fear of crime. The report is utilised to support decision making including the corporate business plan. The report has been published on our website: <http://www.warwickshire.gov.uk/qualityoflife>

The Vision, Aims and Ambitions and Intended Outcomes are communicated to citizens through a range of media including our website and, increasingly, social media: <http://www.warwickshire.gov.uk/businessplan>

## Reviewing the authority's vision and its implications for the authority's governance arrangements

We adopted a Corporate Governance Code of Practice in October 2004. This was revised in 2007/08 to reflect new CIPFA/SOLACE guidance. The Code identifies our commitment to corporate governance and supports our Vision and Aims and Ambitions. The Code underlines the critical role governance has in the delivery of objectives, stating that 'good governance is essential for the Authority to improve the quality of its services and has a significant impact on the public's level of trust in the services that the Authority delivers'. The Code can be found on our website: <http://www.warwickshire.gov.uk/corporategovernance>

## Translating the vision into objectives for the authority and its partnerships

The Strategic Delivery Framework "Achieving our Ambitions" pulls together the key elements of a number of different existing corporate plans and documents. Thereby acting as a key reference point in detailing our forward direction, priorities, and enabling us to monitor progress. <http://www.warwickshire.gov.uk/strategicdirection>

The framework is supported by the following documents:

- **The Corporate Business Plan** sets out the Council's aims. These are grouped around seven ambition areas which explain what we hope to achieve. <http://www.warwickshire.gov.uk/businessplan>
- **Framework for Transformation and Development** sets out the ways in which we will change and develop the way in which we work over the next 3-5 years. The framework brings together the strategy for Organisational Development which promotes, develops and sustains organisational success and a coherent plan which provides a route map to strengthening the organisation through its people and workforce planning.
- **Medium Term Financial Plan** outlines how we intend to use and raise the resources needed to deliver our services and priorities over the medium term. This includes a detailed three year savings plan. <http://www.warwickshire.gov.uk/financeplan>
- **Quality of Life Report** provides information and intelligence about Warwickshire and its people and helps provide the evidence base for the Strategic Delivery Framework, outlining how the quality of life in Warwickshire compares with elsewhere and how it changes over time. <http://www.warwickshire.gov.uk/qualityoflife>
- **Corporate Risk Register** sets out the risks that we have to manage to help us achieve our objectives.
- **Corporate Asset Management Plan** outlines our intentions for each of our non-school buildings and assets which we either occupy or own to ensure the efficient and effective use of all assets over the short, medium and long term.

## Measuring the quality of services for users, ensuring they are delivered in accordance with the authority's objectives and that they represent the best use of resources and value for money

Our approach to performance management is set out in the Performance Management Framework. Organisational health reports which integrate finance, performance and risk are presented to Cabinet on a quarterly basis. The Finance and Performance Working Group scrutinise, monitor and review these reports quarterly. The Working Group engages with Cabinet through the identification of key areas for improvement and by submitting recommendations aimed around improving the Council's service delivery and financial stability. Copies of performance reports are available on our website: <http://www.warwickshire.gov.uk/performance-report>

## Core Principle 2: Members and officers working together to achieve a common purpose with clearly defined functions and roles

### Defining and documenting the roles and responsibilities of the executive, non-executive, scrutiny and officer functions, with clear delegation arrangements and protocols for effective communication in respect of the authority and partnership arrangements

Elected members are collectively responsible for the governance of the Council. Decision making and scrutiny of member decisions has been separated through the executive arrangements introduced by the Local Government Act 2000. Responsibilities for decision-making, the role of individual members, the Council, Cabinet, and committees are defined in the Constitution.

Background work on potential options for the Council's governance arrangements have been carried out in preparation for discussion by the new Council in May 2013. Any changes adopted by the new Council will be reflected in changes to the Constitution.

The roles and responsibilities of the Head of Paid Service, Monitoring Officer and Chief Finance Officer, delegation of statutory powers and executive functions, and Protocols on member / officer relations are defined and documented within our Constitution which can be found on our website: <http://www.warwickshire.gov.uk/constitution>.

### Ensuring effective management of change and transformation

A systematic review of all Council services is currently underway. Our approach was endorsed by Cabinet in November 2011 and the "Transformation through Strategic Commissioning" programme commenced in January 2012. This is being carried out in four tranches over three years.



Overview and Scrutiny Committees are consulted on the scope of each review before they start. There are a number of gateway review points throughout the process:

- Assessment - Corporate Board consider the initial assessment of the service and agree recommended changes
- Options Appraisal – Corporate Board agree the future operating model for the service and / or decommission elements of the service
- Business Case – Corporate Board and then Cabinet or Council consider and agree the full detail of the new model
- Implement – Strategic Directors and Heads of Service confirm that the change to the new model or decommissioning is complete
- Review – Corporate Board and Cabinet consider a benefits realisation report.

The Cabinet Portfolio Holder is engaged throughout the process and progress updates on the overall programme and service reviews taking place is reported to all Overview and Scrutiny Board meetings.

**Ensuring the authority's financial management arrangements conform with the governance requirements of the *CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2010)* and, where they do not, explain why and how they deliver the same impact**

Arrangements are in place to ensure that we fully comply with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2010). They include the following:

- The Head of Finance is actively involved in the financial implications of all material business decisions, leads on promoting good financial management, is professionally qualified and suitably experienced and leads and directs a finance function fit for purpose.
- Although he is not a Strategic Director, he is entitled to attend at and offer advice to meetings of the Corporate Board and Cabinet/Corporate Board in relation to any item which he considers raises financial issues.
- Within the Financial Standing Orders of the Authority he has the responsibility to advise Strategic Directors as necessary on financial arrangements and has access to all documents concerned with finance.

**Ensuring the authority's assurance arrangements conform with the governance arrangements of the *CIPFA Statement on the Role of Head of Internal Audit (2010)* and, where they do not, explain why and how they deliver the same impact**

The Council has delegated responsibility for maintaining an adequate internal audit function to the Strategic Director for Resources. A programme of risk based audits is carried out by the Risk and Assurance Service. A summary of audit work is reported to the Audit and Standards Committee which has responsibility for oversight of probity and audit issues and meets four times a year.

Arrangements are in place to ensure that we fully comply with the governance requirements of the CIPFA Statement on the Role of the Head

of Internal Audit (2010). They include the following:

- The Head of Internal Audit has regular meetings with the Strategic Director of Resources (Monitoring Officer), Head of Finance (Section 151 Officer) and the Head of Law and Governance.
- The Head of Internal Audit will not take any part in any audit of risk management or insurance. The outcome of any audits will be reported direct to the Head of Law and Governance.

More information can be found on our website: <http://www.warwickshire.gov.uk/audit>

### **Ensuring effective arrangements are in place for the discharge of the monitoring officer function**

The Monitoring Officer has arrangements in place to ensure that all reports to member bodies are checked by qualified lawyers within the Authority and to ensure compliance with legislation, corporate policies and procedures. All decision making member bodies are supported by a legal advisor who attends meetings. In addition, the Monitoring Officer receives weekly briefings from the senior lawyers in the Authority highlighting if there are any:

- cases or potential cases where questions arise as to the Council's power to take action
- cases or potential cases of breaches of law or internal regulations, especially standing orders, contract standing orders or financial regulations
- proposals to act contrary to corporate policy or legal advice
- new legislation, statutory instruments or government proposals affecting areas of work carried out by the Authority

The Monitoring Officer exercises responsibility for reviewing and investigating complaints about elected member conduct (which includes co-opted members).

### **Ensuring effective arrangements are in place for the discharge of the head of paid service function**

The Chief Executive is designated as the Head of Paid Service and fulfils the responsibilities of the role. The functions of the Head of Paid Service and group structures that have been put in place are contained within the Constitution which can be found on our website: <http://www.warwickshire.gov.uk/constitution>

### **Undertaking the core functions of an audit committee, as identified in CIPFA's *Audit Committees: Practical Guidance for Local Authorities***

The Audit and Standards Committee operates to an agreed terms of reference which defines its core functions, roles and responsibilities. The terms of reference is contained within the Constitution which can be found on our website: <http://www.warwickshire.gov.uk/constitution>

### **Incorporating good governance arrangements in respect of partnerships and other joint working as identified by the Audit Commission's report on the governance of partnerships, and reflecting these in the authority's overall governance arrangements**

A partnership governance toolkit is in place for use when developing partnerships. Within the suite of documents is a tool which enables the assessment of a partnership's contribution to the Council's strategic objectives. A 'partnerships protocol' is available to staff which identifies the different types of partnership that can be established and aims to set out the arrangements needed to facilitate their smooth running and effectiveness. It also sets out the standards expected to ensure that the Council is protected in any partnership arrangement. The toolkit has been used most recently for developing the Code of Conduct for Partnership Working for the Health and Wellbeing Board.

## **Core Principle 3: Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour**

### **Developing, communicating and embedding codes of conduct, defining the standards of behaviour for members and staff**

Our Corporate Governance Code of Practice is supported by a programme of governance training for officers and a periodic corporate governance audit. The expectations for the behaviour of elected and co-opted members are published in the Member's Code of Conduct contained within the Constitution. This was revised and adopted by full Council in July 2012 to take into account changes arising from the Localism Act 2011. Standards of behaviour for staff are defined in the Officers Code of Conduct contained within the Constitution found on our website: <http://www.warwickshire.gov.uk/constitution>. Codes of conduct are provided to all staff on joining the Authority and available through the corporate intranet.

### **Ensuring effective counter-fraud and anti-corruption arrangements are developed and maintained**

We have a good record in preventing and identifying fraud but cannot afford to be complacent. We have an Anti-Fraud and Bribery Policy and Strategy outlining our commitment to creating an anti-fraud culture and maintaining high ethical standards in its administration of public funds.

This was reviewed during 2012 to incorporate changes in best practice and legislation, including the Bribery Act 2010. These documents were reviewed and approved by the Audit and Standards Committee and Cabinet in December 2012 and published on our website: <http://www.warwickshire.gov.uk/antifraud>

We participate in the National fraud Initiative and counter-fraud activities take place throughout the year including articles published on the intranet to raise fraud awareness.

### **Ensuring compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful**

Key roles in relation to ensuring compliance with policies, procedures, laws and regulations are performed by the Authority's Monitoring Officer and the Section 151 Officer.

A structured approach to financial and contract management is set out in Financial Standing Orders (FSOs) and Contract Standing Orders (CSOs). These provide guidance on managing our finances, ensuring compliance with legislation and value for money is considered in all purchasing activities. The current set of Contract Standing Orders was agreed by full Council on 21st March 2013 and became effective 1 April 2013. FSOs and CSOs can be found on our website: <http://www.warwickshire.gov.uk/constitution>. Audits of compliance with CSOs are undertaken periodically. The last audit was completed and reported to the Audit and Standards Committee in February 2012.

In addition, external audit and external inspection agencies such as Ofsted contribute to the review of the Authority's compliance with its policies, laws and regulations.

### **Whistleblowing, and receiving and investigating complaints from the public**

The Whistleblowing Policy outlines procedures for staff members wishing to raise a concern, the response they can expect from the Authority and the officers responsible for maintaining and operating the code (which is essentially all managers). The Strategic Director (Resources Group) has overall responsibility for the maintenance and operation of this policy. A confidential register of concerns raised and the subsequent outcome of investigations is held by the Resources Group. Details of whistleblowing arrangements have been published on our website: <http://www.warwickshire.gov.uk/whistleblowingreporting>

Complaints from members of the public are addressed according to the 'Corporate Complaints Procedure' ('making sure positive or negative customer feedback is valued and used to improve services') and managed corporately by the Customer Services business unit. Extensive guidance is available to staff through our intranet site, to the public on our website and through written publications: <http://www.warwickshire.gov.uk/complaints>

## Core Principle 4: Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

### Reviewing the effectiveness of the decision making framework, including delegation arrangements, decision making in partnerships and robustness of data quality

The Constitution sets out how the Council operates, how decisions are made and the procedures followed to ensure that these are efficient, transparent and accountable to local people. Responsibilities for decision-making, the role of individual members, the Council, the Executive, Committees and the process for determining the Authority's Key Decisions are defined in the Constitution. Delegations are detailed so that the functions of full Council, Cabinet, Cabinet members, Committees and Officers are specified. The Council is reviewing all main policies and procedures through a review of Corporate Frameworks; a timetable has been developed for this task which will be completed during 2013/14.

We have a forward plan which provides information about all of the decisions that the Council has scheduled. Formal agendas, reports and minutes for all committee meetings are published on our website. Where a report is considered in private, the reason for that is set out in the description of the decision: <https://democratic.warwickshire.gov.uk/cmis5/>

The Overview and Scrutiny Committees acts as a critical friend and holds Cabinet to account for its decisions to ensure that they have been made in the best interests of the community. The terms of reference for all O&S Committees are defined in the Constitution: <http://www.warwickshire.gov.uk/scrutiny>

The Overview and Scrutiny Board provides strategic direction for overview and scrutiny within the Council and oversees the implementation of the Overview and Scrutiny Strategy 2009 – 2013. The Board manages the overall Overview and Scrutiny Work Programme including the commissioning of scrutiny reviews, the appointment of Task and Finish Groups and scrutinising the functions of the Council relating in particular to the Budget, Medium Term Financial Plan, Corporate Business Plan, planning and performance arrangements and property. The Board liaises with the Overview and Scrutiny Committees over their respective work programmes, to ensure that there is efficient use of the Committees' time, and that the potential for duplication of effort is minimised: <http://www.warwickshire.gov.uk/osboard>

In compliance with the Freedom of Information Act 2000 procedures for requesting access to information are in place. Our Publication Scheme Guide is also available on our website: <http://www.warwickshire.gov.uk/foi>

### Reviewing the effectiveness of the framework for identifying and managing risks and demonstrating clear accountability

Risk management is an integral part of good management and corporate governance and is therefore at the heart of what we do. It is essential to our ability to deliver public services and as a custodian of public funds. Our approach to managing risk is explained in the Risk Management Strategy which has been approved by Cabinet and is available on our website: <http://www.warwickshire.gov.uk/riskmanagementstrategy>

## Core Principle 5: Developing the capacity and capability of members and officers to be effective

### Identifying the development needs of members and senior officers in relation to their strategic roles, supported by appropriate training

The development and training of elected members is managed by the Law & Governance Business Unit. At the beginning of their term of office, each elected member undergoes an induction programme which includes corporate governance training. A member development programme is agreed each year to ensure core development needs of members aligned to their respective roles are met and to take account of new and emerging issues. Democratic Services maintain a database of the training received by and planned for members.

Our approach to workforce planning both at a Corporate and a Business Unit level ensures that we can identify and address the necessary workforce implications of our transformation activity and that we can anticipate and tackle current and future workforce challenges. Business Units develop robust workforce plans and identify learning and development priorities alongside the development of their business plans. This ensures that Warwickshire has a fit for purpose workforce and staff resources are deployed most effectively in the delivery of the aims and ambitions as set out in the Corporate Business Plan. Business unit workforce plans are co-ordinated to ensure consistency, and are consolidated to form the Corporate Workforce Plan.

The Corporate Learning and Organisational Development team offers a range of services to address the learning and development needs of all employees across the organisation, also offering specialist advice and guidance to individuals, teams and Groups. The team works closely with HR Business Partners as part of the Business and Workforce planning process to develop Learning and Development plans that reflect and support current organisational priorities.

The Managing for Warwickshire Framework provides all staff with a guide, which details the knowledge, skills, and qualities we need from our Managers. This ensures that all managers and staff aspiring to be managers in the future are clear what is expected of them. It also clarifies to all staff the knowledge, skills and qualities expected from their manager. As part of this framework, new elements have been introduced to ensure managers are being supported effectively. A self-assessment tool has been developed which all managers across the organisation use when reviewing performance and agreeing development needs as part of their appraisals and 1:1 sessions.

The Chief Executive conducts appraisals of each of the three Strategic Directors and the County Fire Officer and they in turn appraise their respective Heads of Service. The corporate staff appraisal process applies to all staff across the organisation and is used as a tool to identify individual objectives and development needs.

## Core Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability

### Establishing clear channels of communication with all sections of the community and other stakeholders, ensuring accountability and encouraging open consultation

The Corporate Marketing and Communications Strategy (approved by Corporate Board during 2012) sets the minimum standard for managing communications with key stakeholders and encourages greater links with the Consultation and Engagement Strategy. The Consultation and Engagement Strategy provides the framework for planning and conducting consultation activities. As part of our approach to consultation the Ask Warwickshire website was launched in January 2013. This enables us to engage with a greater number of citizens on a wide range of consultation topics and to provide results of completed consultation activities: <http://askwarks.wordpress.com/>

The Petitions Scheme enables citizens to raise and formally present petitions to members and committees. This also provides for debates where petitions have a sufficient number of signatories. Petitions can be submitted by post or online: <http://www.warwickshire.gov.uk/petitions>

Our Locality Working Strategy outlines the objectives and working arrangements for engaging with the community alongside our partners and improving working with locality groups. This can be found on our website. <http://www.warwickshire.gov.uk/localityworkingstrategy>

We are responsible for the operation of a network of thirty Community Forums across the county, each of which meets on a minimum of four occasions per year. These are run in partnership with the District/Borough Councils, Warwickshire Police, and Health Service and provide the opportunity for the public to engage with Councillors and public service providers about their concerns and priorities. Governance arrangements will be kept under review. Agendas and minutes of community forum meetings are available on our website: <http://www.warwickshire.gov.uk/communityforums>

Equality and Diversity is an integral part of consultation. Equality Impact Assessments are used as a tool to identify the potential impact of strategies, policies, services and functions on customers and staff. It is an evidence based assessment tool, to ensure and evidence that services do not unlawfully discriminate. This is supported by equality guidance for public consultation and engagement activity which is available to staff online: <http://www.warwickshire.gov.uk/staffequalityanddiversity>

One of the biggest changes to the way that we organise and deliver social care services in Warwickshire is increasing the level of involvement of customers both in the commissioning of new services across the county and also reviewing our existing services to ensure they are meeting the needs of all our customers. The Transformation Assembly contributes to this by involving customers and carers in shaping future adult social care services. Highlight reports are produced which report on the contribution made by assembly members to projects and differences made as a result of their input. Information about the Transformation Assembly and highlight reports can be found on our website: <http://www.warwickshire.gov.uk/transformationassembly>

## Enhancing the accountability for service delivery and effectiveness of other public service providers

We are members of a number of sub-regional partnerships and groups. These have member and / or officer representation. Each partnership has its own governance arrangements in place. <http://www.warwickshire.gov.uk/partnerships>

The Police Reform and Social Responsibility Act 2011 established the arrangements for Police and Crime Commissioners (PCCs) and for Police and Crime Panels. The Police and Crime Panel is a joint committee of the County Council and the five district and borough councils. The Panel's role is to review or scrutinise the decisions and actions of the PCC but in a way that supports the effective exercise of the functions of the PCC. The Panel first sat in December 2012 when the terms of reference were agreed. <http://www.warwickshire.gov.uk/policeandcrimepanel>

Governance arrangements are in place for scrutinising health services. The Health and Wellbeing Board is an executive function that has statutory responsibility for developing joint health and wellbeing strategies. The Board reports to Cabinet and Council every 6 months and is subject to independent scrutiny by the Adult Social Care & Health Overview & Scrutiny Committee. <http://healthwarwickshire.wordpress.com/>

### 4. Review of effectiveness

We have responsibility for conducting, at least annually, a review of the effectiveness of our governance framework including the system of internal control. The review of effectiveness is informed by the work of the executive managers within the authority who have responsibility for the development and maintenance of the governance environment, the Head of Internal Audit's annual report, and also by comments made by external auditors and other review agencies and inspectorates.

The review of effectiveness was co-ordinated by an evaluation panel consisting of representatives from each group, the Head of Internal Audit and chaired by the Head of Law and Governance. In carrying out their review, the evaluation panel:

- considered the approach of the Authority to establishing its principal statutory obligations and organisational objectives;
- considered the approach of the Authority to identifying principal risks to the achievement of those obligations and objectives;
- identified the key control frameworks that the Authority has in place to manage its principal risks;
- obtained assurance from managers on the operation of key control frameworks and on the results of relevant external or internal inspection; and
- evaluated the assurances provided and identified gaps



The evaluation panel scrutinised a series of assurance statements prepared by executive managers. These statements describe and provide evidence of the control frameworks and, where appropriate, referred to the results of reviews carried out by external agencies during the year including the external audit of the accounts. The work of the evaluation panel was scrutinised by the Monitoring Officer and the Section 151 Officer before being submitted to the Audit and Standards Committee for further scrutiny and reported to Cabinet and Council.

The Authority's governance arrangements have also been reviewed throughout 2012/13 in a number of ways including:

- a review of democratic and corporate decision making undertaken by the Centre for Public Scrutiny and reported to full Council and the Overview and Scrutiny Board in May 2012;
- a review of key corporate policies and strategies contained within the Corporate Framework commenced in 2012 and is ongoing;
- a fundamental review of Contract Standing Orders;
- scrutiny reviews; and
- risk based reviews by internal audit.

The results of the Internal Audit work were reported to the Audit and Standards Committee throughout the year and the individual reviews feed into the overall Internal Audit Annual Report. This report concludes that the Authority's control environment provides moderate assurance that the significant risks facing the Authority are addressed. The internal audit findings were duly considered in the preparation of this statement by the evaluation team and the Audit and Standards Committee.

## **5. Governance issues**

We have been advised on the implications of the result of the review of effectiveness of the governance framework by Cabinet and the Audit and Standards Committee. The arrangements continue to be regarded as fit for purpose in accordance with the governance framework.

We have not experienced any significant governance failures during the last year. However the following have been identified as major challenges for the Authority going forward, each carrying significant risks for the County Council. Successes have been achieved/progress made in a number of key areas, for example, Public Health is no longer included in 2012/13 Governance issues following the successful completion of a complex transfer of the Public Health Service to the Council. The governance challenges recorded in this statement that have been carried over from 2011/12 reflect the fact that the organisation has now moved on and is recognising new and emerging challenges in the service areas concerned. Some of these challenges are already reflected in the organisation's Strategic Risk Register and accompanying actions, and as we move forward, all our governance challenges and our strategic risk register will become completely aligned. The Risk Register already highlights the significant actions taken and successes achieved in addressing the challenges of the past 12 months. A prime purpose of the governance framework is to minimise the occurrence of strategic risks and to ensure that any such risks arising are highlighted so that appropriate mitigating action can be taken. We are satisfied that the challenges

identified, some of which are carried over from 2011/2012, are prioritised in service business plans across the Council and that the actions identified in those plans will address the issues highlighted in our review of effectiveness.



## **Governance Challenge for 2013/14 and beyond**

### **Responding to the impact of Government policies**

The outlook for Local Government is a very demanding one with a number of central government policies combined with the national economic situation presenting significant challenges to us. The main challenges will be around the announcement of the next spending round in June (which will tell us the 2015-16 public sector funding settlement) and in the next spending review (which will indicate the medium term financial settlement for local government after the national elections in 2015).

The Chancellor's recent Statement reiterated that the period of austerity for public services will continue for some years. In this continuing climate for public finances we are looking at further significant savings in order to balance the budget over the medium term and to secure growth. These financial pressures mean that the organisation faces a significant challenge to meet its aims and objectives. 2013/14 is the final year of the existing Medium Term Financial Plan and Corporate Business Plan and Corporate Board are currently considering approaches to develop a new organisational plan covering the period to 2018.

On 21<sup>st</sup> November 2012, Corporate Board considered and agreed an approach and the timescales for developing Warwickshire County Council's Organisational Plan to cover the period 2014-2018. The aim is to have a comprehensive set of proposals and options for the new administration to consider over summer 2013 which will result in a policy led single plan for the Council.

In addition the Transformation through Strategic Commissioning programme continues. These reviews will consider options to meet the future financial challenges and priorities of the organisation. The outcome of this work is that we will be a leaner, more streamlined organisation focussing on commissioning rather than providing services.

The major focus for us in the coming year is to continue to:

- address the challenges we face in moving to a commissioning role;
- ensure that we are clear about what our priorities are, what needs we are trying to meet and that managers have the necessary skills to meet those needs;
- ensure we have clear and accurate data to support workforce planning and performance management;

## **Governance Challenge for 2013/14 and beyond**

- face the challenge of matching rising customer expectations with reduced resources;
- ensure that there is effective communication of change to all stakeholders and staff; and
- manage our budgets in a clear and prudent manner.

Good governance, sound project management and standards of control need to be appropriate for the future shape and development of the organisation and strictly upheld during the transformation process to ensure that risks are managed and we achieve the right outcomes. It is critical to manage the pace of change and understand the impact of that change.

## **Adult Social Care**

Adult social care continues to represent the most significant change agenda faced by the Council with a backdrop nationally about its future funding. The service faces significant cost, quality, and demographic pressures whilst at the same time moving from being a provider to a commissioner of services. A high proportion of Adult Services are already commissioned or are in the process of commissioning. Changes to the service require different skills and experience in market and contract management alongside management of the budget impact. In particular the move to a commissioning model across many adult services will require constant monitoring and market development to ensure that the appropriate services are available and that they support all our customers in Warwickshire. The Authority will continue to monitor progress through regular reporting to Cabinet and the Adult Social Care and Health Overview & Scrutiny Committee.

## **Keeping information safe**

Information security is a key issue for all public sector organisations in the light of well publicised data losses affecting many public bodies. A robust process for investigating data losses is in place and the Authority continues to ensure that the data of its staff, customers and business activities is stored securely, legally and in accordance with Council policy. The Authority places emphasis on the need to focus on improving awareness and practices in relation to information security.

## **Safeguarding children and vulnerable adults**

In light of high profile safeguarding cases at a national level, we cannot be complacent about protecting children and vulnerable adults from harm and providing appropriate services for children in need. The most recent Ofsted Inspection of Safeguarding and Looked After

## **Governance Challenge for 2013/14 and beyond**

Children was completed in November 2011. The Inspectors made a finding of "good" in relation to safeguarding and looked after children and a finding of "good" in relation to our capacity for improvement. However, responding to ever increasing levels of referrals against the backdrop of financial austerity will require careful judgements to be made both in terms of managing our exposure to risk and the associated increase in costs. An internal audit of safeguarding was completed during 2012 and an action plan has been agreed to specifically ensure that training for all relevant staff within Adult Social Care & Support is robust. Implementation of the agreed action plan will be carefully monitored.

## **Coventry and Warwickshire Local Enterprise Partnership (CWLEP) and City Deal**

CWLEP is a partnership and strategic body that plays a central role in determining local economic priorities and undertaking activities to drive economic growth and the creation of local jobs. The purpose of the partnership is to create a successful, thriving economy within Coventry and Warwickshire. The Government are supporting LEPs by increasingly providing funding and decision making to LEPs allowing them to decide and prioritise decision making to deliver their economic strategies. This includes the Regional Growth Fund, Growing Places Fund, City Deal and local major transport schemes.

Over the next year CWLEP is undertaking a number of major pieces of work in which we will have a stake. These include:

- establishing a Local Transport Board (LTB) that will identify and agree local major transport schemes;
- developing a detailed business plan submission for City Deal;
- developing a Growth Plan for Coventry & Warwickshire, and
- strategically aligning funding streams for the Regional Growth Fund, Growing Places Fund and LEP Core Funding to establish a 'single growth' fund.

We are working with our partners to:

- develop an assurance framework for the LTB and embed governance arrangements for the board;
- contribute to developing the prioritised list of transport schemes for 2015-2019;
- help put together a combined Coventry and Warwickshire business plan submission for City Deal;
- develop a Growth Plan for Coventry & Warwickshire;
- review governance arrangements to enable most effective access to, and utilisation of, the Single Local Growth Fund; and
- identify further opportunities to bid for funding to help deliver the key objectives and economic strategies of the partnership.

## **Governance Challenge for 2013/14 and beyond**

Significant efforts will be invested by the Council over the next year alongside our partners to take this work forward. However we recognise that there are a number of partnership risks which need to be managed. Close attention will be paid to ensure that our financial and strategic interests and obligations are protected, any potential conflicts of interest are addressed, governance arrangements are fair and robust, and decisions made by CWLEP reflect the best interests of Warwickshire residents and businesses.

### **Warwickshire Fire and Rescue**

Although criminal proceedings relating to the Atherstone on Stour fire in 2007 are now complete there still remain some issues to address.

We also face the difficult task of managing the continuing provision of fire and rescue services, whilst delivering a challenging modernisation plan within significant financial constraints. Following the announcement in November 2012 of the retirement of Warwickshire's Chief Fire Officer an interim Chief Fire Officer has been recruited with the specific remit to explore other possible collaboration arrangements with neighbouring brigades. There remain clear advantages to be gained by Warwickshire from collaborative working in areas such as joint fire control in order to achieve increasing levels of resilience and efficiency in a challenging public sector environment.

### **Business Continuity**

WCC has a statutory duty under the Civil Contingencies Act 2004 to have business continuity plans which ensure that critical services can continue in the event of an emergency or disruption and to fully recover all services as soon as possible. With the exception of some topical issues, e.g. swine flu and industrial action, the business continuity framework and corporate business continuity plan has not been fundamentally reviewed. An action plan has been agreed by Corporate Board to ensure that we have robust business continuity arrangements in place by the end of 2013/14.

### **The Council's Changing Relationship with Schools**

The Government's change agenda for schools has brought about a significantly different education landscape in Warwickshire, with 34 schools now having left the Authority's control having been granted academy status. The local authority is continuing to review its changing relationship with schools and to reinforce its continuing responsibilities for school improvement, its priority being to continue to promote the welfare of all children in education in Warwickshire and to work in partnership with all schools, regardless of status, in order to ensure high levels of academic achievement.

## Governance Challenge for 2013/14 and beyond

The shift towards academy schools is now being overtaken by a preference, particularly by primary schools, to explore the possibilities offered by sharing resources as the result of clustering and federating arrangements. This development highlights the need for the Council's services to schools to respond positively to this new and emerging market, and a comprehensive review of the viability of those services is being undertaken. The increasing autonomy of schools and changes to the Ofsted Inspection framework, alongside a reduction in the capacity of the Learning and Improvement team, will continue to present challenges for the local authority over the coming year. Robust management controls are required to manage the risks associated with these various significant developments in the education agenda and the authority's role as champion of the child. The local authority will therefore be investing time and resources in the building of proactive and close working relationships with all schools and school governing bodies across the county.

### Governance arrangements

Following a change in political control following the elections in May 2013 the Council will need to agree revised governance arrangements and consequential changes to the Constitution which will ensure clear transparent and robust decision making.

## 6. Certification

**We propose over the coming year to take steps to address each of the above matters to further enhance our governance arrangements. We are satisfied that the issues we have identified are prioritised in service business plans across the Council, that the actions identified will address the need for improvements that were highlighted in our review of effectiveness and that we will monitor their implementation and operation as part of our next annual review.**

Signed:

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**Jim Graham**  
**Chief Executive**

.....  
**Cllr Izzi Seccombe**  
**Leader**

Date:

.....

.....

DRAFT





## Corporate Services Overview and Scrutiny Committee

10<sup>th</sup> July 2013

### Development of the Organisational Plan 2014-18

#### Recommendation

That the Corporate Services Overview and Scrutiny Committee:

- 1) Consider the report; and
- 2) Submit any comments or recommendations regarding the report to Cabinet for the meeting on 18<sup>th</sup> July 2013.

#### 1.0 Introduction

- 1.1 A report which outlines the process and the timeframe for developing and approving the Organisational Plan 2014-18 will be considered by Cabinet at its meeting on 18<sup>th</sup> July 2013.
- 1.2 This report is currently being developed and will be circulated to the Committee by Tuesday 9<sup>th</sup> July. At the Committee meeting, members will have the opportunity to discuss the content of the report and submit any comments or recommendations to Cabinet for consideration.

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**Corporate Services  
Overview and Scrutiny Committee**

**10<sup>th</sup> July 2013**

**Customer Services Business Unit**

**Recommendations**

That the Corporate Services Overview and Scrutiny Committee consider the report, asking questions in relation to its content and making recommendations as considered appropriate.

**1.0 Key issues**

1.1 This report provides an overview of the Customer Service Business Unit.

**2.0 Executive summary**

2.1 The Customer Service Business Unit provides a front facing service to members of the public on behalf of Warwickshire County Council (WCC). It plays a crucial role in supporting WCC to deliver its strategic priorities in meeting customers' needs. The Unit also manages WCC's relationships with the media and provides practical support functions to WCC services. Through its Warwickshire Direct branded services, it delivers customer focused services on behalf of all the Groups within WCC. In 2012-13, through the various delivery routes (channels), the unit had over 6,000,000 contacts with WCC customers. The Unit also provides customer-facing services for a number of our public sector partners, including Warwick District Council and Warwickshire Police. The current annual budget for the Customer Service Business Unit is £9,951,949.

**3.0 Customer Service Business Unit – background and context**

3.1 The Customer Service Business Unit plays the corporate lead role in the development of WCC as a customer focused organisation. Its purpose is to:

- Enable customers to access all public services through 'one front door' comprising face to face, telephone and electronic channels
- Provide an accessible library and information service with particular emphasis on the needs of children and families, older people and vulnerable/disadvantaged groups
- To ensure that information is readily available for service users, citizens and staff and to promote the County Councils reputation

- To provide a trusted and accessible Registration Service

3.2 Customer service is one of the most visible and significant aspects of organisational performance. Meeting customer needs through effective customer service enables service excellence, and high levels of customer satisfaction, which in turn has a beneficial impact on staff morale and motivation. The Customer Service Excellence Standard is a framework which allows WCC to test how it is doing in meeting customers' needs, understand and identify what is being done well and also improvements required to ensure the customer is at the heart of all WCC does. The Customer Service Business Unit leads this work on behalf of WCC.

3.3 The Business Unit's objective is to ensure that WCC's customers will:

- **Get** – information, advice, service and help. A quick response and not be passed around lots of people.
- **Know** – the information that they are given is correct and the service provided will be value for money.
- **Trust** – WCC to make things simple to understand and to treat information confidentially.
- **Feel** – that the enquiry is understood, that WCC wants to help and cares that every enquiry matters.

3.4 The Business Unit consists of the following services:

- **Communications** – the service manages press contact with local, national and specialist media, a PR service for pro-active campaigns, reputation management enabling WCC to take control when bad news breaks, social media channels through Twitter, Facebook and more, media training, design work ensuring branding and corporate identity, print services, and ensuring all WCC staff are kept informed.
- **Customer relations** – the service manages customer feedback, ensuring that WCC listens to feedback from customers and learns from this to improve service delivery to customers.
- **Customer Service Centre** – the service delivers support to WCC services as well as to Warwick District Council. During 2012-13, it dealt with:
  - 342,814 WCC switchboards calls;
  - 156,867 WCC service calls;
  - 147,253 Warwick District Council service calls;
  - 9,951 blue badge applications processed;
  - 778 concessionary bus pass applications processed;
  - 8,974 emails responded to, on behalf of Highways;
  - 1,544 web feedback emails dealt with;
  - 3,840 web feedback emails forwarded to specific services; and
  - The Warwickshire Local Welfare Scheme is also managed by the service; it is anticipated this will generate 9,000 customer contacts per year.

- **Library and Information Service** – the service delivers a network of 19 WCC libraries, provides support to 13 community managed libraries, operates five mobile libraries which cover the whole of the county, provides a home delivery service for those who are housebound or in residential care, holds community events and activities throughout the year across the county and also delivers services on behalf of the District and Borough Councils and Warwickshire Police. During 2012-13, there were 1,917,593 visits to libraries and 1,721,544 loans issued. Whilst part of the Customer Service Business Unit, the Library service falls under the Terms of Reference for the Communities Overview and Scrutiny Committee.
- **One stop shops** – the service delivers a network of 15 One Stop Shops which not only deliver services for WCC but also on behalf of District and Borough Councils and Warwickshire Police. During 2012-13 405,624 customer service enquiries were dealt with.
- **Registration Services** – the service provides four main registration offices in Warwick, Rugby, Stratford and Nuneaton. As well as providing services in relation to births, marriages and deaths, it also provides nationality checking and conducts citizenship ceremonies. The service also provides a ‘Tell Us Once’ service where when registering a birth or death, WCC can also inform other government organisations. During 2012-13:
  - 5,294 births were registered;
  - 4,222 deaths, including still births, were registered;
  - 3,737 marriage notices were issued;
  - 66 civil partnerships ceremonies were held; and
  - 29 citizenship ceremonies were held, welcoming 510 new British citizens.
- **Web** – the service supports all web design and management. During 2012-13:
  - 3,553,905 visits were made to the website;
  - 10,816 (82%) of school admissions applications were made online;
  - 24,457 school closure texts were sent out;
  - 317,170 library books were renewed online; and
  - 48,468 library book reservations were made online.
- **Business development and service improvement** – the service supports business development and service improvement with respect to the corporate customer service agenda. The team also leads the work corporately for Customer Service Excellence.

## 4.0 Future priorities for the Business Unit

- 4.1 The Business Unit has already been through a process of transformation in reshaping services to deliver efficiencies whilst also improving the quality of service to customers. Services have been pulled together where it makes

sense for the customer to do so; for example, libraries, One Stop Shops and Registrars now all sit together within one service area. The on-going Library Transformation Programme has seen the required efficiencies delivered, but by working closely with our staff, customers and communities has also seen the sustained presence of library services across the county with enhanced services for those who are most vulnerable, for example, the home delivery service for those who are house bound or in residential care.

4.2 The experience the Unit has in transformation and service redesign provides opportunities to explore new ways of delivering services to and for customers that increases access for the customer but also the quality of the outcomes achieved for them.

4.3 The priorities for the Customer Service Business Unit for 2013/14 and beyond include:

- Progressing the 'one-front-door' agenda which minimises and simplifies the routes for customers to access WCC services, whilst ensuring these are delivered in the most efficient and effective way. For the customer, this means being able to access a whole range of services that are important to them through one point of contact and experience a seamless customer journey with the minimum number of transfers between services.
- Progressing the 'digital by default' agenda where we are able to identify services that could be transferred to online processes which deliver efficiencies and also provide a quicker and more informative service to customers. Current successes include the schools admission application process with 82% of applications processed online. Future service provision could include highways public contacts, access to adult social care advice, information and support, booking of speed awareness courses and online booking of concessionary bus passes and registration appointments.
- Continue with the Library Transformation Programme and explore the opportunities created by bringing libraries, One Stop Shops and registrars together in one service. For the customer, this will see more services provided through a wider network of community-based services.
- Delivering targeted campaigns which focus on and support the delivery of the seven key ambitions of WCC which in turn ensure customers are aware of the services and support they can access. These campaigns will pull services together to deliver joint and integrated support to customers.
- Widening the scope of the services offered by the Business Units to services across WCC and also to partner agencies, improving customer access and simplifying the processes they must go through to access services.

- Achieving the Customer Service Excellence accreditation, on behalf of WCC as a corporate body.
- Delivering the required efficiencies required of its services whilst seeking to improve our customers experience as part of this.

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**Corporate Services  
Overview and Scrutiny Committee**

**10<sup>th</sup> July 2013**

**Work Programme 2013/14**

**Recommendations**

That the Corporate Services Overview and Scrutiny Committee:

- 1) Agrees the proposed 2013/14 Work Programme and makes any additional or changes, as required;
- 2) Considers the use of an Action Plan to update the Committee on any actions or recommendations agreed by the Committee; and
- 3) Notes the scheduled future meeting dates.

**1.0 Work Programme**

- 1.1 The proposed Committee Work Programme for 2013/14 is attached at Appendix A.

**2.0 Committee Action Plan**

- 2.1 An Action Plan for the Committee has been created to track any recommendations and actions that are agreed by members at meetings of the Committee. The document is attached at Appendix B for information.

**3.0 Briefing Notes**

- 3.1 No Briefing Notes have been circulated recently to the Committee.

**4.0 Dates of Future Meetings**

- 4.1 Future meetings of the Committee have been scheduled for 2.00 p.m. on the following dates:
  - 16<sup>th</sup> October 2013
  - 11<sup>th</sup> December 2013

- 19<sup>th</sup> February 2014

**Appendices:**

Appendix A – Work Programme 2012/13

Appendix B – Recommendations / Actions raised by the Committee

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**Corporate Services Overview and Scrutiny Committee  
Work Programme 2013/14**

Item	Report detail	Date of last report	Date of next report
Questions to the Portfolio Holders / Forward Plan decisions	Report which includes Forward Plan decisions relevant to the remit of the Board. (Georgina Atkinson)	N/a	* Standing item for every meeting
Organisational Health Report 2013/14	Quarterly report to scrutinise the financial aspects of the report, with the appendices relevant to the remit of the Committee. (John Betts). The Committee will consider the most recent version.	N/a	* Standing item for every meeting?
Organisational Health Report – End of Year 2012/13	To review the report and appendices that are applicable to the remit of the Committee. (John Betts)	N/a	10 <sup>th</sup> July 2013
Annual Governance Statement	Consideration of the key risks outlined in the statement. (Garry Rollason / Greta Needham)	N/a	10 <sup>th</sup> July 2013
Customer Services	An outline of the roles and responsibilities of the service, including key future challenges and changes to the service. (Kushal Birla / Tejay De Krester)	N/a	10 <sup>th</sup> July 2013
Organisational Plan and Medium Term Financial Plan	To scrutinise the timetable. Will be circulated on 8/9 <sup>th</sup> July. (John Betts)	N/a	10 <sup>th</sup> July 2013

**Corporate Services Overview and Scrutiny Committee  
Work Programme 2013/14**

Item	Report detail	Date of last report	Date of next report
Property Rationalisation Programme and Modern and Flexible Working	<p>Steve Smith will provide an update on the Programme. Members may wish to consider the following areas:</p> <ul style="list-style-type: none"> <li>• how far has the Council progressed and what more can be achieved?</li> <li>• what has been the impact on the community? This to focus on both internal and external customers</li> <li>• what has been the impact on staff, in terms of their ability to deliver the service?</li> <li>• where have services improved as a result of the programme?</li> <li>• what are the service delivery outcomes?</li> </ul>	3 <sup>rd</sup> October 2012	16 <sup>th</sup> October 2013
Transformation through Strategic Commissioning Programme	<ul style="list-style-type: none"> <li>• To scrutinise the delivery of the Programme, including timescales and updates on service reviews.</li> <li>• Final Business Cases to be presented at the discretion of the Chair – additional Board meetings may need to be arranged. (Phil Evans)</li> </ul>	N/a	16 <sup>th</sup> October 2013
Public Engagement in Overview and Scrutiny	<p>To consider and approve a methodology for public engagement in Overview and Scrutiny, which will include:</p> <ul style="list-style-type: none"> <li>• How public issues are raised</li> <li>• Different methods of engagement to use</li> <li>• How to identify if engagement in scrutiny activity is required</li> <li>• Who should be engaged and how</li> </ul>	20 <sup>th</sup> February 2013	16 <sup>th</sup> October 2013
Community Infrastructure Levy	To consider an outline of CIL and its impact on the County Council.	N/a	16 <sup>th</sup> October 2013

**Corporate Services Overview and Scrutiny Committee  
Work Programme 2013/14**

Item	Report detail	Date of last report	Date of next report
Customer Service Excellence Project	There is an on-going project to achieve the Customer Service Excellence (CSE) standard, which would address the level of community access to services. The Committee to consider the outcome of the assessment. (Ajub Khan / Kushal Birla)	12 <sup>th</sup> December 2012	11 <sup>th</sup> December 2013
The Council's Procurement Procedures	To receive a progress report on how the Council's procurement procedures encourage small businesses to bid for Council contracts. (Paul White)	12 <sup>th</sup> December 2012	11 <sup>th</sup> December 2013
Traded Services to Schools	TBC	N/a	TBC
Community Infrastructure Levy	To have a discussion with representatives from the District/Borough Councils regarding the changes and implications arising from CIL.	16 <sup>th</sup> October 2013	TBC
Appointment of Chair and Vice-Chair	To formally appoint the Chair and Vice-Chair for 2014/15.	N/a	May/June 2014
Workforce Planning	To consider the impact of budget cuts on staff resources and the changing role of the workforce to achieve the County Council's priorities. (Sue Evans)	N/a	TBC
BDUK Project	To receive an overview of the project. (Tonino Ciuffini / Leigh Hunt)	N/a	TBC

**Corporate Services Overview and Scrutiny Committee  
Work Programme 2013/14**

Item	Report detail	Date of last report	Date of next report
Review of Small-holdings	To consider the outcome of the review.	N/a	TBC
Register of Major Projects	To consider an update on the County Council's major projects.	N/a	TBC

**Briefing Notes**

Item	Briefing Note detail	Date requested	Date circulated

Recommendations and Actions raised by Corporate Services OSC  
2013/14

Date raised by the OSC	Recommendation / Action	Lead Member / Officer	Board Update	Progress Notes