

**WORCESTERSHIRE DISTRICT COUNCILS AND COUNTY COUNCIL**

**MEETING OF THE WORCESTERSHIRE SHARED SERVICES JOINT COMMITTEE**

THURSDAY 24TH NOVEMBER 2011 AT 4.00 P.M.

THE COMMITTEE ROOM, THE COUNCIL HOUSE, BURCOT LANE,  
BROMSGROVE

MEMBERS: Bromsgrove District Council: Councillor C. B. Taylor  
Bromsgrove District Council: Councillor M. A. Bullivant  
Malvern Hills District Council: Councillor Mrs. B. Behan  
Malvern Hills District Council: Councillor P. Grove  
Redditch Borough Council: Councillor M. Braley  
Redditch Borough Council: Councillor P. Mould  
Worcester City Council: Councillor Mrs. L. Hodgson  
Worcester City Council: Councillor F. Lankester  
Worcestershire County Council: Councillor A. N. Blagg  
Worcestershire County Council: Councillor D. Thain  
Wychavon District Council: Councillor Mrs. E. Stokes  
Wychavon District Council: Councillor K. Jennings  
Wyre Forest District Council: Councillor J. Baker  
Wyre Forest District Council: Councillor M. Hart

**AGENDA**

1. To receive apologies for absence and notification of substitutes
2. Declarations of Interest
3. To confirm the accuracy of the minutes of the Worcestershire Shared Services Joint Committee held on 29th September 2011 (Pages 1 - 4)
4. Worcestershire Regulatory Services Purposes and Outcome Measures - Verbal Update

Verbal Update from the Head of Worcestershire Regulatory Services following the Worcestershire Regulatory Services Away Day 24th November 2011. To include the proposed 3 Purposes and Outcome Measures for consideration by Worcestershire Shared Services Joint Committee Members.

5. Appointment of ICT Project Manager - Verbal Update from the Head of Worcestershire Regulatory Services
6. Worcestershire Regulatory Services Risk Register (Pages 5 - 10)

7. Worcestershire Regulatory Services Financial Monitoring April - September 2011/2012 (Pages 11 - 18)
8. Worcestershire Regulatory Services Budget 2012 / 2013 (Pages 19 - 22)
9. Worcestershire Shared Services Joint Committee - Proposed Meeting Dates 2012 / 2013

Thursday 23<sup>rd</sup> February 2012

Thursday 28<sup>th</sup> June 2012 – Annual Meeting

Thursday 29<sup>th</sup> September 2012

Thursday 22<sup>nd</sup> November 2012 – Budget Meeting

Thursday 21<sup>st</sup> February 2013

10. To consider any other business, details of which have been notified to the Head of Legal, Equalities and Democratic Services prior to the commencement of the meeting and which the Chairman considers to be of so urgent a nature that it cannot wait until the next meeting

K. DICKS  
Chief Executive

The Council House  
Burcot Lane  
BROMSGROVE  
Worcestershire  
B60 1AA

15th November 2011

## **BROMSGROVE DISTRICT COUNCIL**

### **MEETING OF THE WORCESTERSHIRE SHARED SERVICES JOINT COMMITTEE**

**THURSDAY, 29TH SEPTEMBER 2011 AT 4.00 P.M.**

PRESENT: Councillors Mrs. L. Hodgson (Chairman), M. Braley (Vice-Chairman), M. A. Bullivant, Mrs. B. Behan, P. Grove (during Minute No's 12/11 to 17/11), P. Harrison (substituting for Councillor J. Baker), P. Mould, A. N. Blagg, D. Thain, F. Lankester, K. Jennings, Mrs. E. Stokes and M. Hart

Also in attendance: David Evans, Audit Manager, Audit Commission (during Minute No. 12/11)

Observers: Mr. V. Allison, Deputy Managing Director, Wychavon District Council, Mr. I. Pumfrey, Head of Customer and Environmental Services, Malvern Hills District Council and Ms. A. Scarce, Committee Services Officer, Bromsgrove District Council

Invitees: Councillor J. Riaz, Licensing Chairman, Worcester City Council

Officers: Ms. J. Pickering, Mr. S. Jorden, Ms. C. Flanagan, Mrs. D. Randall, Mr. I. Edwards and Ms. P. Ross

#### 9/11 **APOLOGIES**

Apologies for absence were received from Councillors J. Baker, Wyre Forest District Council and C. B. Taylor, Bromsgrove District Council.

#### 10/11 **DECLARATIONS OF INTEREST**

No declarations of interest were received.

#### 11/11 **MINUTES**

The minutes of the meeting of the Worcestershire Shared Services Joint Committee held on 23rd June 2011 were submitted.

With reference to an undertaking given at the previous meeting, the Executive Director, Finance and Corporate Resources, Bromsgrove District Council apologised to Members for not having provided this information and agreed that more detailed information on miscellaneous expenses would be provided in future reports to the Joint Committee.

**RESOLVED** that the minutes be approved as a correct record.

12/11     **AUDIT COMMISSION ANNUAL GOVERNANCE REPORT 2010/2011**

A copy of the Annual Governance Report for 2010/2011 was considered. The Chairman welcomed Mr. D. Evans, Audit Manager from the Audit Commission to the meeting. Mr. D. Evans informed Members that he would present the report in the absence of Ms. L. Cave, District Auditor, who had submitted her apologies.

The Executive Director Finance and Corporate Resources, Bromsgrove District Council informed Members that this was the first year that accounts had to be prepared in compliance with The International Financial Reporting Standards, which had resulted in additional work for officers.

Mr. D. Evans informed Members of the minor issues and amendments that had been raised with the Executive Director Finance and Corporate Resources, Bromsgrove District Council. Officers had accepted these minor revisions and he asked the Joint Committee to consider these before approving the Annual Governance Report 2010/2011.

Mr. D. Evans responded to questions from Members with regard to the Joint Committee being considered as a 'smaller relevant body'.

**RESOLVED:**

- (a) that the Audit Commission Annual Governance Report 2010/2011 be noted;
- (b) that the Statement of Accounts 2010/2011 not be amended to reflect the issues raised by the Audit Commission for the reasons discussed during the meeting; and
- (c) that the letter of representation on behalf of the Joint Committee be approved.

13/11     **STATEMENT OF ACCOUNTS 2010/2011**

Consideration was given to the report relating to the financial information for the year 2010/2011. The Statement of Accounts reflected the position from June 2010 to March 2011 for the new Worcestershire Regulatory Services and therefore was the first set of accounts referred for approval by the Joint Committee.

**RESOLVED** that the Statement of Accounts 2010/2011 be approved.

14/11     **WORCESTERSHIRE     REGULATORY     SERVICES     PERFORMANCE**  
**INFORMATION APRIL - JUNE 2011**

The Committee considered a report which detailed the performance data for Worcestershire Regulatory Services for the period April 2011 to June 2011.

The Head of Worcestershire Regulatory Services responded to questions from Members with regard to future reporting. He informed Members that he was due to meet with the Joint Committee Management Board to discuss future reporting including a comprehensive list of key outcomes and performance

measures. Once determined this information would be made available to Joint Committee Members during 2012.

**RESOLVED** that the performance data for Worcestershire Regulatory Services for the period April 2011 to June 2011 be noted.

15/11 **PROJECT MANAGEMENT SUPPORT**

Mr. I. Edwards, Regulatory Services Project Manager provided Members with details of the current project management resources arrangement and the reduction in days due to the increased demand on the Project Manager from the Worcestershire County Council's Bold Programme.

Members were further informed that on 14th September 2011 the Worcestershire Regulatory Services Management Board had accepted the proposal to seek to recruit a full / part time Project Manager to manage delivery of the remaining Information Communications Technology (ICT) and Transformation products.

The Chairman expressed sincere thanks to Mr. I. Edwards for his contribution as Regulatory Services Project Manager.

Further discussion followed on the development of a robust ICT operating system and the role of Systems Thinking in order to determine the ICT needs and requirements for Worcestershire Regulatory Shared Services. The Head of Worcestershire Regulatory Services confirmed to Members that they would be advised of the procurement process and once developed the ICT Project Plan would be shared with the Joint Committee.

16/11 **WORCESTERSHIRE REGULATORY SERVICES ENFORCEMENT POLICY**

The Committee considered a report which sought to provide a Worcestershire Regulatory Services (WRS) single Enforcement Policy to be used across the county in relation to all enforcement activities.

The Head of Worcestershire Regulatory Services informed Members that The Regulators Compliance Code was fairly prescriptive in terms of what needed to be included within an Enforcement Policy, seeking to ensure that local authorities took a measured approach to enforcement. The Enforcement Policy would allow the service to operate in a consistent way across the county in relation to all enforcement matters.

The Legal Service Manager, Redditch Borough Council responded to questions from Members regarding minor changes to the WRS Enforcement Policy, Introduction. Comments received from the legal team at Bromsgrove District Council and Redditch Borough Council for inclusion within the policy had not been received in time to incorporate into the Enforcement Policy presented at the meeting.

Following further explanation and discussion with the Legal Service Manager, Redditch Borough Council with regard to the minor changes it was

**RESOLVED** that the agreed changes to the Worcestershire Regulatory Services (WRS) Enforcement Policy, Introduction, be incorporated and Members receive a copy of the WRS Enforcement Policy with the published Joint Committee minutes.

**RECOMMENDED** that, subject to the agreed changes to the Worcestershire Regulatory Services Enforcement Policy, Introduction, the Council for each Member Authority adopts the policy.

17/11 **WORCESTERSHIRE REGULATORY SERVICES JOINT COMMITTEE**  
**BUDGET MONITORING APRIL 2011 - JULY 2012**

The Committee considered a report which detailed the financial position for the period April 2011 to July 2012.

The Executive Director Finance and Corporate Resources, Bromsgrove District Council introduced the report and informed the Committee that there were no major issues to report in relation to the financial position April 2011 to July 2012.

Following further discussion, the Executive Director Finance and Corporate Resources, Bromsgrove District Council agreed to provide Joint Committee Members with more detailed information on miscellaneous expenses.

**RESOLVED:**

- (a) that the Executive Director Finance and Corporate Resources, Bromsgrove District, be tasked to provide Joint Committee Members with more detailed information on miscellaneous expenses by 10th October 2011, and
- (b) that the financial position for the period April 2011 to July 2012 be noted.

The meeting closed at 5.17 p.m.

Chairman



## JOINT COMMITTEE

Date 24<sup>th</sup> November 2011

### RISK REGISTER

|                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Recommendation</b>                                      | To note the current risk register.<br>.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Contribution to<br/>Priorities/<br/>Recommendations</b> | Not applicable.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Introduction<br/>Summary<br/>Background</b>             | <b>Background</b><br><br>WRS was requested to formulate a risk register. It was recommended by Management Board that a summary of risks and mitigating actions be provided to the Joint Committee annually.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>Report</b>                                              | <b>Risk Register Reporting</b><br><br>In October 2011, the Management Board of WRS received and signed off a detailed risk register for WRS. This was prepared using the templates provided by Bromsgrove.<br><br>It was agreed that the risk register would be monitored as follows:- <ul style="list-style-type: none"><li>• WRS officers would review and update the full register quarterly.</li><li>• That a report on any “red” risks would be provided to Management Board quarterly.</li><li>• That a summary of all risks and high level mitigation action would be provided to Joint Committee on an annual basis.</li></ul><br>It was also agreed that the risk register would be circulated to each partner council to ensure the overall “WRS Risk” can be incorporated into partner councils risk registers as deemed appropriate. |

## Key Risks

Annex 1 of this report shows the identified risks and summary of the mitigating activities.

The “red” risks relate to

- Possible failure of support services, in particular support re IT and telephony.
- Concerns that the business transformation process will not identify the budget savings required. However meetings since the register was drafted indicate that the necessary savings for 2012/13 have now been identified. The overall risk will be reviewed next quarter.

The “amber” risks relate to

- Risks associated with the identification and procurement of a single ICT system for WRS
- Changes to the pest control and dog warden services. However a decision on changes to elements of these services are due to be taken by Management Board in December 2011 and the risk will be reviewed next quarter.
- Ability to respond to civil contingencies.
- Risks associated with partner councils not providing stable funding for WRS

All others are currently “green” but will require ongoing monitoring.

## Risk Matrix

In order to assess red/amber/green the following matrix was used.

|            | Category | Impact |        |      |
|------------|----------|--------|--------|------|
|            |          | LOW    | MEDIUM | HIGH |
| Likelihood | HIGH     | 3      | 6      | 9    |
|            | MEDIUM   | 2      | 4      | 6    |
|            | LOW      | 1      | 2      | 3    |

## Financial Implications

There are no direct financial implications related to the risk register.

## Sustainability

Not applicable.

## Contact Points

Wendy Martin, Business Manager, Worcestershire Regulatory Services  
Tel: 07982 418423  
email: [wmartin@worcsregservices.gov.uk](mailto:wmartin@worcsregservices.gov.uk)

## Background Papers

None



**Risk Register**

Service: Regulatory

|                                                                                                            |  |  |  |  |            |  |  |  |  |                                                                                  |  |  |  |  |             |  |  |  |  |                                                      |  |  |  |  |                                        |  |  |  |  |                                                              |  |  |  |  |        |  |  |  |  |                                                                                                                              |  |  |  |  |     |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
|------------------------------------------------------------------------------------------------------------|--|--|--|--|------------|--|--|--|--|----------------------------------------------------------------------------------|--|--|--|--|-------------|--|--|--|--|------------------------------------------------------|--|--|--|--|----------------------------------------|--|--|--|--|--------------------------------------------------------------|--|--|--|--|--------|--|--|--|--|------------------------------------------------------------------------------------------------------------------------------|--|--|--|--|-----|--|--|--|--|--------|--|--|--|--|------------------------------------------------------------------------------------------------------------------------------------|--|--|--|--|--|--|--|--|--|
| Key Objective: Ref. No. 1                                                                                  |  |  |  |  |            |  |  |  |  | Key Objective: Ref. No. 2                                                        |  |  |  |  |             |  |  |  |  | Key Objective: Ref. No. 3                            |  |  |  |  |                                        |  |  |  |  | Key Objective: Ref. No. 4                                    |  |  |  |  |        |  |  |  |  | Key Objective: Ref. No. 5                                                                                                    |  |  |  |  |     |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| One effective and efficient database system across the partners                                            |  |  |  |  |            |  |  |  |  | Effective and efficient Business Continuity arrangements in place                |  |  |  |  |             |  |  |  |  | Maintain our capacity to achieve service delivery    |  |  |  |  |                                        |  |  |  |  | Effective and efficient contract arrangement for dog control |  |  |  |  |        |  |  |  |  | Robust arrangements in place in relation to obtaining legal advice and monitoring legislative changes                        |  |  |  |  |     |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| Responsibility: SJ                                                                                         |  |  |  |  |            |  |  |  |  | Responsibility: SJ                                                               |  |  |  |  |             |  |  |  |  | Responsibility: SJ                                   |  |  |  |  |                                        |  |  |  |  | Responsibility: SJ                                           |  |  |  |  |        |  |  |  |  | Responsibility: SJ                                                                                                           |  |  |  |  |     |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| Associated Key Risk(s)                                                                                     |  |  |  |  |            |  |  |  |  | Associated Key Risk(s)                                                           |  |  |  |  |             |  |  |  |  | Associated Key Risk(s)                               |  |  |  |  |                                        |  |  |  |  | Associated Key Risk(s)                                       |  |  |  |  |        |  |  |  |  | Associated Key Risk(s)                                                                                                       |  |  |  |  |     |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| Delays in procuring new single WRS IT System                                                               |  |  |  |  |            |  |  |  |  | Major Power failures or other reasons that access to Wyatt House is not possible |  |  |  |  |             |  |  |  |  | Major staff sickness (e.g. flu pandemic)             |  |  |  |  |                                        |  |  |  |  | Pest and Dog Control contractors cease operations            |  |  |  |  |        |  |  |  |  | Loss of Major Court Case                                                                                                     |  |  |  |  |     |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| Migration of the seven to one may be expensive. Could involve large scale data cleansing                   |  |  |  |  |            |  |  |  |  |                                                                                  |  |  |  |  |             |  |  |  |  | Unable to recruit or retain suitably qualified staff |  |  |  |  |                                        |  |  |  |  | Lack of kennelling for stray dogs                            |  |  |  |  |        |  |  |  |  | Need to ensure the legal vires of the service doing what is required by constituent authorities, to                          |  |  |  |  |     |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| Significant training needs to enable staff to input information accurately                                 |  |  |  |  |            |  |  |  |  |                                                                                  |  |  |  |  |             |  |  |  |  |                                                      |  |  |  |  |                                        |  |  |  |  |                                                              |  |  |  |  |        |  |  |  |  | There may be large on-going cases that could have significant impact on the finances of the new service if they are not won. |  |  |  |  |     |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| Question whether there will be sufficient expertise within the new structure to support the migration plan |  |  |  |  |            |  |  |  |  |                                                                                  |  |  |  |  |             |  |  |  |  |                                                      |  |  |  |  |                                        |  |  |  |  |                                                              |  |  |  |  |        |  |  |  |  |                                                                                                                              |  |  |  |  |     |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| Current                                                                                                    |  |  |  |  | Acceptable |  |  |  |  | Current                                                                          |  |  |  |  | Acceptable  |  |  |  |  | Current                                              |  |  |  |  | Acceptable                             |  |  |  |  |                                                              |  |  |  |  |        |  |  |  |  |                                                                                                                              |  |  |  |  |     |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| Impact                                                                                                     |  |  |  |  | Likelihood |  |  |  |  | Impact                                                                           |  |  |  |  | Likelihood  |  |  |  |  | Impact                                               |  |  |  |  | Likelihood                             |  |  |  |  |                                                              |  |  |  |  |        |  |  |  |  |                                                                                                                              |  |  |  |  |     |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| High                                                                                                       |  |  |  |  | Low        |  |  |  |  | Medium                                                                           |  |  |  |  | Low         |  |  |  |  | Low                                                  |  |  |  |  | Medium                                 |  |  |  |  |                                                              |  |  |  |  |        |  |  |  |  |                                                                                                                              |  |  |  |  |     |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| Risk Colour (Score)                                                                                        |  |  |  |  | GREEN (1)  |  |  |  |  | Risk Colour (Score)                                                              |  |  |  |  | GREEN (2)   |  |  |  |  | Risk Colour (Score)                                  |  |  |  |  | GREEN (2)                              |  |  |  |  |                                                              |  |  |  |  |        |  |  |  |  |                                                                                                                              |  |  |  |  |     |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| AMBER (3)                                                                                                  |  |  |  |  |            |  |  |  |  |                                                                                  |  |  |  |  | AMBER (3)   |  |  |  |  | GREEN (2)                                            |  |  |  |  | GREEN (2)                              |  |  |  |  |                                                              |  |  |  |  |        |  |  |  |  |                                                                                                                              |  |  |  |  |     |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| Action Ref.                                                                                                |  |  |  |  | Rating     |  |  |  |  | Action / Improvements                                                            |  |  |  |  | Action Ref. |  |  |  |  | Rating                                               |  |  |  |  | Action / Improvements                  |  |  |  |  |                                                              |  |  |  |  |        |  |  |  |  |                                                                                                                              |  |  |  |  |     |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| 1.1                                                                                                        |  |  |  |  | High       |  |  |  |  | Design specification correctly and on time                                       |  |  |  |  | 3.1         |  |  |  |  | Low                                                  |  |  |  |  | Have business continuity plan in place |  |  |  |  | 4.1                                                          |  |  |  |  | Medium |  |  |  |  | Design specifications contracts correctly and on time                                                                        |  |  |  |  | 5.1 |  |  |  |  | Medium |  |  |  |  | Legal advice to be sought throughout the entire process using internal and external lawyers according to the information required. |  |  |  |  |  |  |  |  |  |
| 1.2                                                                                                        |  |  |  |  | High       |  |  |  |  | Follow procurement process in timely fashion                                     |  |  |  |  | 2.2         |  |  |  |  | Low                                                  |  |  |  |  | Have business continuity plan in place |  |  |  |  | 4.2                                                          |  |  |  |  | Medium |  |  |  |  | Follow procurement process in timely fashion                                                                                 |  |  |  |  | 5.2 |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| 1.3                                                                                                        |  |  |  |  | High       |  |  |  |  | Ensure sufficient in-house support for system maintenance and                    |  |  |  |  | 2.3         |  |  |  |  |                                                      |  |  |  |  |                                        |  |  |  |  | 3.3                                                          |  |  |  |  | Medium |  |  |  |  | Restructure dog warden service                                                                                               |  |  |  |  | 5.3 |  |  |  |  |        |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |
| 1.4                                                                                                        |  |  |  |  |            |  |  |  |  |                                                                                  |  |  |  |  | 2.4         |  |  |  |  |                                                      |  |  |  |  |                                        |  |  |  |  |                                                              |  |  |  |  | 4.4    |  |  |  |  |                                                                                                                              |  |  |  |  |     |  |  |  |  | 5.4    |  |  |  |  |                                                                                                                                    |  |  |  |  |  |  |  |  |  |

|                                                                               |  |    |                                                 |  |    |                                                                                    |  |    |                                                                                                             |  |    |                                                                                                                                |  |    |
|-------------------------------------------------------------------------------|--|----|-------------------------------------------------|--|----|------------------------------------------------------------------------------------|--|----|-------------------------------------------------------------------------------------------------------------|--|----|--------------------------------------------------------------------------------------------------------------------------------|--|----|
| Key Objective: Ref. No. 6                                                     |  |    | Key Objective: Ref. No. 7                       |  |    | Key Objective: Ref. No. 8                                                          |  |    | Key Objective: Ref. No. 9                                                                                   |  |    | Key Objective: Ref. No. 10                                                                                                     |  |    |
| Robust arrangements in place to respond to an environmental incident/disaster |  |    | Effective and efficient budgetary control       |  |    | Service provision complies with Government requirements                            |  |    | Achieve stable levels of contribution from partner authorities,                                             |  |    | Host provides high quality support services to ensure effective service provision                                              |  |    |
| Responsibility:                                                               |  | SJ | Responsibility:                                 |  | SJ | Responsibility:                                                                    |  | SJ | Responsibility:                                                                                             |  | MB | Responsibility:                                                                                                                |  | KD |
| Associated Key Risk(s)                                                        |  |    | Associated Key Risk(s)                          |  |    | Associated Key Risk(s)                                                             |  |    | Associated Key Risk(s)                                                                                      |  |    | Associated Key Risk(s)                                                                                                         |  |    |
| Major infectious disease, incident or animal disease outbreak                 |  |    | Failure to maintain effective budgetary control |  |    | Criticism or intervention by Government if they are unhappy with service provision |  |    | Level of support from constituent authorities for Regulatory Services will vary due to variations in income |  |    | Failure of HR/ Finance support                                                                                                 |  |    |
|                                                                               |  |    |                                                 |  |    |                                                                                    |  |    | Residual Costs                                                                                              |  |    | Failure of ICT support                                                                                                         |  |    |
|                                                                               |  |    |                                                 |  |    |                                                                                    |  |    |                                                                                                             |  |    | Cost of hosting may increase and level of support required may not be met resulting in the service performance being affected. |  |    |
|                                                                               |  |    |                                                 |  |    |                                                                                    |  |    |                                                                                                             |  |    |                                                                                                                                |  |    |
|                                                                               |  |    |                                                 |  |    |                                                                                    |  |    |                                                                                                             |  |    |                                                                                                                                |  |    |
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|                                                                               |  |    |                                                 |  |    |                                                                                    |  |    |                                                                                                             |  |    |                                                                                                                                |  |    |
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| Key Objective: Ref. No. 11                                                                       |  |  |  |  |                                               |  |  |  |  | Key Objective: Ref. No. 12 |  |  |  |  |                        |  |  |  |  | Key Objective: Ref. No. 13                               |  |  |  |  |  |  |  |  |  | Key Objective: Ref. No. 14 |  |  |  |  |  |  |  |  |  |
| Minimise any perceived or real democratic deficit                                                |  |  |  |  | MB/JC                                         |  |  |  |  | SJ                         |  |  |  |  | MB                     |  |  |  |  | Business transformation to deliver required cost savings |  |  |  |  |  |  |  |  |  |                            |  |  |  |  |  |  |  |  |  |
| Responsibility:                                                                                  |  |  |  |  | MB/JC                                         |  |  |  |  | SJ                         |  |  |  |  | MB                     |  |  |  |  | Responsibility:                                          |  |  |  |  |  |  |  |  |  |                            |  |  |  |  |  |  |  |  |  |
| Associated Key Risk(s)                                                                           |  |  |  |  | Associated Key Risk(s)                        |  |  |  |  | Associated Key Risk(s)     |  |  |  |  | Associated Key Risk(s) |  |  |  |  | Associated Key Risk(s)                                   |  |  |  |  |  |  |  |  |  |                            |  |  |  |  |  |  |  |  |  |
| Local Member / Citizen identifies or perceives lack of democratic accountability for new service |  |  |  |  | Communication / interface with other services |  |  |  |  |                            |  |  |  |  |                        |  |  |  |  | service delivery problems                                |  |  |  |  |  |  |  |  |  |                            |  |  |  |  |  |  |  |  |  |
|                                                                                                  |  |  |  |  |                                               |  |  |  |  |                            |  |  |  |  |                        |  |  |  |  | Cuts in front line services                              |  |  |  |  |  |  |  |  |  |                            |  |  |  |  |  |  |  |  |  |
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## Joint Committee 24 November 2011

### REGULATORY SERVICES FINANCIAL MONITORING APRIL - SEPTEMBER 2011/12

#### Recommendation

That the Committee

- consider the financial position of the service for June – September 2011.

#### Contribution to Priorities

The development of a robust budget and financial management framework will ensure the priorities of the service are delivered within the agreed budget.

#### Introduction/Summary

The Worcestershire Shared Service Partnership commenced on the 1<sup>st</sup> June 2010, this is the second year for the operation of the joint provision of the service. The budget for this financial year (2011/12) was approved by the Joint Committee on the 25<sup>th</sup> November 2010.

This report provides members with details of the financial position from April 2011 to September 2011.

#### Background

As part of the financial managements arrangements relating to the service a regular monitoring statement is produced for Members to ensure that costs are managed within the budget approved by participating Councils.

The Head of Service has regular discussions with finance colleagues to review costings and to address any issues that may arise.

The Regulatory Services Management and Project Board also consider the reports on a monthly basis.

#### Report

The following statements are included for the Committee's attention:

- Revenue Monitoring April – September 2011/12 – Appendix 1
- Capital Projected outturn position 2011/12 – Appendix 2



## Revenue Monitoring

Appendix 1 details the financial position for the Regulatory Services function for the period from 1<sup>st</sup> April to 30<sup>th</sup> September 2011, with a projected outturn to the end of the financial year.

Reasons for variations in the expected level of expenditure are included on the Appendix. These have been agreed with the Head of Service and actions are in place to mitigate any current overspends to budget.

### Salary – significant underspend

The 2011/12 salary budget projects a saving of £190k due to salary savings arising from two Grade B posts remaining vacant. Plans are in place to recruit to one of the Grade B posts within the next 2 months. When a start date has been agreed the financial statements will be adjusted accordingly.

### Car Allowance – overspend

The overspend anticipated on the Car Allowance budget of £13k reflects the agreement made to pay a 12 month disturbance allowance to staff for mileage costs associated with the move to Wyatt House. This is absorbed by other savings within the service and has ensured that staff are supported financially during the transition.

The projected underspend has increased from that previously estimated (£46k). This is due to a number of reasons:

- The continued staff vacancies as detailed above.
  - A reduction in the anticipated expenditure on Furniture and Equipment as much of this was brought into the service from the partners.

### Transformation Project - Projected Outturn

Capital spend in this financial year continues to be lower than anticipated, due to the decision to undergo transformation of the service before establishing its ICT needs. Appointment of a Project Manager is anticipated in November, with the process for the procurement of the Management Information System commencing in December 2011 following the result of the Transformation review, with procurement completed in March 2012.

## **Financial Implications**

None other than those stated in the Appendices

## **Sustainability**

None as a direct result of this report

## **Contact Points**

Jayne Pickering – 01527-881400  
Debbie Randall – 01527-881235



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|                               | Summary -<br>Full year<br>Budget | Summary -<br>Budget 6 Mths<br>Sept 11 | Summary -<br>Expenditure to<br>Sept 11 | Summary -<br>Variance | Summary -<br>Projected<br>outturn | Summary -<br>Projected<br>Outturn<br>Variance | Narrative                                                                                                 |
|-------------------------------|----------------------------------|---------------------------------------|----------------------------------------|-----------------------|-----------------------------------|-----------------------------------------------|-----------------------------------------------------------------------------------------------------------|
|                               | £'000                            | £'000                                 | £'000                                  | £'000                 | £'000                             | £'000                                         |                                                                                                           |
| <b>Direct Expenditure</b>     |                                  |                                       |                                        |                       |                                   |                                               |                                                                                                           |
| Employees                     |                                  |                                       |                                        |                       |                                   |                                               |                                                                                                           |
| Salary                        | 4,251                            | 2,126                                 | 2,008                                  | -117                  | 4,061                             | -190                                          | Underspend is due to salary savings arising from two Grade B posts remaining vacant                       |
| Agency Staff                  | 3                                | 2                                     | 10                                     | 9                     | 18                                | 15                                            |                                                                                                           |
| Subscription                  | 5                                | 2                                     | 0                                      | -1                    | 3                                 | -2                                            |                                                                                                           |
| Training                      | 2                                | 1                                     | 0                                      | -1                    | 1                                 | -1                                            |                                                                                                           |
| Employee Insurance            | 19                               | 19                                    | 20                                     | 1                     | 20                                | 1                                             |                                                                                                           |
| CRB                           | 0                                | 0                                     | 0                                      | 0                     | 0                                 | 0                                             |                                                                                                           |
| <b>Sub-Total - Employees</b>  | <b>4,280</b>                     | <b>2,149</b>                          | <b>2,039</b>                           | <b>-110</b>           | <b>4,103</b>                      | <b>-177</b>                                   |                                                                                                           |
| <b>Premises</b>               |                                  |                                       |                                        |                       |                                   |                                               |                                                                                                           |
| Rent                          | 0                                | 0                                     | 39                                     | 39                    | 39                                | 39                                            | Accommodation Charges paid to partners to 30/06/11 - prior to move to Wyatt House                         |
| Room Hire                     | 6                                | 2                                     | 1                                      | -1                    | 3                                 | -3                                            |                                                                                                           |
| Business Rates                | 36                               | 36                                    | 36                                     | 0                     | 36                                | 0                                             |                                                                                                           |
| Cleaning                      | 8                                | 2                                     | 4                                      | 2                     | 11                                | 3                                             |                                                                                                           |
| Repairs & Maintenance         | 1                                | 1                                     | 7                                      | 6                     | 10                                | 9                                             |                                                                                                           |
| Service Charges               | 17                               | 5                                     | 3                                      | -2                    | 10                                | -7                                            |                                                                                                           |
| Secure Storage                | 15                               | 3                                     | 1                                      | -2                    | 14                                | -1                                            |                                                                                                           |
| Utilities                     | 20                               | 1                                     | 1                                      | 0                     | 20                                | 0                                             |                                                                                                           |
| Water & Sewerage Services     | 0                                | 0                                     | 0                                      | 0                     | 1                                 | 1                                             |                                                                                                           |
| <b>Sub-Total - Premises</b>   | <b>103</b>                       | <b>50</b>                             | <b>91</b>                              | <b>41</b>             | <b>143</b>                        | <b>40</b>                                     |                                                                                                           |
| <b>Transport</b>              |                                  |                                       |                                        |                       |                                   |                                               |                                                                                                           |
| Vehicle Hire                  | 8                                | 2                                     | 1                                      | -2                    | 5                                 | -3                                            |                                                                                                           |
| Vehicle Fuel                  | 8                                | 4                                     | 4                                      | 0                     | 7                                 | -1                                            |                                                                                                           |
| Tyres                         | 0                                | 0                                     | 0                                      | 0                     | 0                                 | 0                                             |                                                                                                           |
| Road Fund Tax                 | 1                                | 1                                     | 1                                      | 0                     | 1                                 | 0                                             |                                                                                                           |
| Vehicle Insurance             | 3                                | 3                                     | 3                                      | 0                     | 3                                 | 0                                             |                                                                                                           |
| Vehicle Maintenance           | 10                               | 3                                     | 0                                      | -3                    | 5                                 | -5                                            |                                                                                                           |
| Car Lease                     | 7                                | 4                                     | 3                                      | 0                     | 7                                 | -1                                            |                                                                                                           |
| Car Allowances                | 208                              | 94                                    | 102                                    | 8                     | 221                               | 13                                            |                                                                                                           |
| Public Transport              | 0                                | 0                                     | 1                                      | 1                     | 1                                 | 1                                             |                                                                                                           |
| <b>Sub-Total - Transport</b>  | <b>245</b>                       | <b>110</b>                            | <b>115</b>                             | <b>4</b>              | <b>249</b>                        | <b>5</b>                                      |                                                                                                           |
| <b>Supplies and Services</b>  |                                  |                                       |                                        |                       |                                   |                                               |                                                                                                           |
| Furniture & Equipment         | 77                               | 23                                    | 13                                     | -11                   | 60                                | -17                                           | This underspend is because furniture and equipment was brought into the service from the Partner Councils |
| Test Purchases                | 20                               | 5                                     | 0                                      | -4                    | 15                                | -5                                            |                                                                                                           |
| Clothes, uniforms and laundry | 8                                | 2                                     | 2                                      | 0                     | 8                                 | 0                                             |                                                                                                           |
| Printing & Photocopying       | 40                               | 14                                    | 8                                      | -6                    | 27                                | -13                                           |                                                                                                           |

|                           |     |     |     |    |     |     |
|---------------------------|-----|-----|-----|----|-----|-----|
| CRB Checks (taxi)         | 9   | 4   | 4   | 1  | 9   | 0   |
| Publications              | 48  | 18  | 9   | -9 | 33  | -14 |
| Postage                   | 9   | 3   | 6   | 3  | 12  | 3   |
| ICT                       | 101 | 55  | 59  | 4  | 113 | 12  |
| Legal Costs               | 23  | 6   | 0   | -6 | 14  | -9  |
| Telephones                | 52  | 20  | 16  | -3 | 50  | -1  |
| Training & Seminars       | 78  | 22  | 19  | -3 | 66  | -12 |
| Car Parking & Subsistence | 7   | 3   | 0   | -3 | 1   | -6  |
| Insurance                 | 20  | 20  | 33  | 13 | 33  | 13  |
| Miscellaneous Expenses    | 3   | 1   | 2   | 0  | 2   | -1  |
| Third Party Payments      |     |     |     |    |     |     |
| Support Service Recharges | 250 | 125 | 125 | 0  | 250 | 0   |
| Customer Services Hub     | 50  | 25  | 25  | 0  | 50  | 0   |
| Audit                     | 20  | 10  | 19  | 9  | 30  | 10  |

The final agreed fee from the Audit Commission was £20k. A virement has been made from furniture & equipment to fund the additional £10k budget required. The overspend reflects the previous year final account.

|                                           |            |            |            |            |            |            |
|-------------------------------------------|------------|------------|------------|------------|------------|------------|
| <b>Sub-Total - Supplies &amp; Service</b> | <b>815</b> | <b>356</b> | <b>341</b> | <b>-15</b> | <b>774</b> | <b>-41</b> |
|-------------------------------------------|------------|------------|------------|------------|------------|------------|

#### Contractors

|                         |     |    |    |    |     |    |
|-------------------------|-----|----|----|----|-----|----|
| Dog Warden              | 195 | 98 | 99 | 1  | 195 | 0  |
| Pest Control            | 50  | 25 | 23 | -2 | 48  | -2 |
| Analytical Services -   |     |    |    |    |     | 0  |
| Trading Standards       | 145 | 70 | 71 | 1  | 145 |    |
| Land Drainage           | 20  | 10 | 8  | -2 | 20  | 0  |
| Licensing               | 14  | 4  | 3  | -1 | 12  | -2 |
| Other                   | 66  | 28 | 43 | 15 | 100 | 34 |
| contractors/consultants |     |    |    |    |     |    |

This overspend relates to consultancy to cover the Grade B vacancy, and will be covered by the salary saving

|                          |            |            |            |           |            |           |
|--------------------------|------------|------------|------------|-----------|------------|-----------|
| Water Safety             | 11         | 5          | 4          | -1        | 9          | -2        |
| Food Safety              | 6          | 1          | 0          | -1        | 5          | -1        |
| Environmental Protection | 43         | 19         | 19         | 0         | 39         | -4        |
| Taxi Tests               | 19         | 8          | 9          | 1         | 23         | 4         |
| Grants / Subscriptions   | 3          | 2          | 12         | 10        | 12         | 9         |
| Advertisng               | 10         | 5          | 4          | -1        | 9          | -1        |
| Publicity & Promotions   | 5          | 2          | 0          | -1        | 4          | -1        |
| <b>Sub-Total</b>         | <b>586</b> | <b>276</b> | <b>295</b> | <b>20</b> | <b>620</b> | <b>34</b> |

#### Income

|                           |           |           |           |           |           |           |
|---------------------------|-----------|-----------|-----------|-----------|-----------|-----------|
| Car Lease Contributions / | -3        | -2        | -7        | -5        | -8        | -5        |
| Training Courses          |           |           |           |           |           |           |
| <b>Sub-Total</b>          | <b>-3</b> | <b>-2</b> | <b>-7</b> | <b>-5</b> | <b>-8</b> | <b>-5</b> |

|              |              |              |              |            |              |             |
|--------------|--------------|--------------|--------------|------------|--------------|-------------|
| <b>Total</b> | <b>6,026</b> | <b>2,939</b> | <b>2,874</b> | <b>-65</b> | <b>5,882</b> | <b>-144</b> |
|--------------|--------------|--------------|--------------|------------|--------------|-------------|

Percentage saving from original budget £7,181 in 2010-11

18.10%

| Capital Asset/ Investment description                                                            | Business Case<br>Total Estimated<br>Cost<br>£'000 | Total Budget<br>2011/12<br>( inc c/fwd from<br>2010/11)<br>£'000 | Actual<br>Spend<br>2011/12<br>£'000 | Projected<br>Actual<br>Spend to<br>31/03/12<br>£'000 | Projected<br>Variance<br>to 31/03/12<br>£'000 |
|--------------------------------------------------------------------------------------------------|---------------------------------------------------|------------------------------------------------------------------|-------------------------------------|------------------------------------------------------|-----------------------------------------------|
| <b>ICT</b>                                                                                       |                                                   |                                                                  |                                     |                                                      |                                               |
| Management information system (based on average of Mouchel Phase 1 & 2 costs less back scanning) | 431                                               | 431                                                              |                                     | 200                                                  | -231                                          |
| Integration costs - suppliers of other systems                                                   | 100                                               | 60                                                               |                                     | 30                                                   | -30                                           |
| Host ICT development capacity - temporary additional uplift                                      | 150                                               | 77                                                               | 22                                  | 77                                                   | 0                                             |
| Back scanning (provisional estimate for 30k files based on Mouchel costs)                        | 105                                               | 55                                                               |                                     | 0                                                    | -55                                           |
| Content management system development                                                            | 50                                                | 50                                                               |                                     | 50                                                   | 0                                             |
| Sharepoint (knowledge base) development                                                          | 50                                                | 50                                                               |                                     | 0                                                    | -50                                           |
| Desktop/ pc hardware refresh                                                                     | 144                                               | 28                                                               | 34                                  | 30                                                   | 2                                             |
| Server/ network refresh                                                                          | 60                                                | 20                                                               |                                     | 10                                                   | -10                                           |
| Workflow tool                                                                                    | 50                                                | 25                                                               |                                     | 12                                                   | -13                                           |
| Process mapping & workflow development Including self service                                    | 250                                               | 250                                                              |                                     | 100                                                  | -150                                          |
| Building works                                                                                   | 10                                                | 10                                                               |                                     | 0                                                    | -10                                           |
| Cabling                                                                                          | 2                                                 | 2                                                                |                                     | 2                                                    | 0                                             |
| Furniture                                                                                        | 5                                                 | -1                                                               |                                     | 0                                                    | 1                                             |
| Removals                                                                                         | 5                                                 | 5                                                                |                                     | 0                                                    | -5                                            |
| Project management                                                                               | 125                                               | 93                                                               | 26                                  | 93                                                   | 0                                             |
| <b>Total</b>                                                                                     | <b>1,537</b>                                      | <b>1155</b>                                                      | <b>82</b>                           | <b>604</b>                                           | <b>-551</b>                                   |
| <b>Capital Grants</b>                                                                            | <b>-270</b>                                       | <b>-270</b>                                                      | <b>-56</b>                          | <b>-270</b>                                          | <b>0</b>                                      |
| <b>Total to be Funded by Partners</b>                                                            | <b>1,267</b>                                      | <b>885</b>                                                       | <b>26</b>                           | <b>334</b>                                           | <b>-551</b>                                   |

**Notes to statement:**

Management Information System - procurement for this will commence in October 2011 following the result of the transformation exercise  
RIEP Grant reclaim has now commenced with the first quarter being due for payment  
Consideration will need to be ongoing as to the capital and revenue nature of the spend associated with the Transformation Project

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## Joint Committee 24 November 2011

### REGULATORY SERVICES BUDGET 2012/13

#### Recommendation

That the draft budget for 2012/13 be approved and that Members delegate to the Head of Service and S151 officers to agree the revisions in relation to Land Drainage.

#### Contribution to Priorities

The development of a robust budget and financial management framework will ensure the priorities of the service are delivered within the agreed budget.

#### Introduction/Summary

The budget for 2012/13 was included in the original business case for Regulatory Services as implemented 1<sup>st</sup> July 2010.

This report provides members with details of the ongoing budget for future years of service provision.

#### Background

The development of the business case for Regulatory Services included a detailed analysis of the financial implications for each partner.

The financial arrangements for the project have been agreed previously and these financial projections include all services provided by Regulatory Services.

#### Report

Officers have reviewed the financial position based on estimated expenditure and have prepared a detailed budget as attached at Appendix 1. This reflects the financial position associated with the establishment that is in place following the restructure.

The following assumptions have been made during the compilation of this budget:

- The costs attributed to general expenditure have been included based on the business case with no increase for inflation.
- The figures include the budgets for land drainage, which has subsequently been removed from this service area into a new shared service for both the North and South of the County. Officers are working

on the final position for the budget and therefore have requested delegation to the Head of Service and S151 officer to finalise the budget position to reflect the changes and to report this to the participating authorities.

The original business case savings of £357k will be delivered during 2012/13. This will be allocated across the participating authorities on the following basis as previously agreed:

|                | <b>Partner %</b> | <b>Saving 12-13<br/>£</b> |
|----------------|------------------|---------------------------|
| Bromsgrove     | 11.16%           | -39,868                   |
| Malvern        | 9.67%            | -34,545                   |
| Redditch       | 10.65%           | -38,047                   |
| Worcester City | 10.99%           | -39,261                   |
| Wychavon       | 16.72%           | -59,732                   |
| Wyre Forest    | 10.93%           | -39,047                   |
| County         | 29.88%           | -106,744                  |
|                |                  | <b><u>-357,244</u></b>    |

## **Financial Implications**

None other than those stated in the Appendix

## **Sustainability**

None as a direct result of this report

## **Contact Points**

Jayne Pickering – 01527-881400  
Debbie Randall – 01527-881235

## **Background Papers**

Detailed financial business case

## REGULATORY SERVICES BUDGET 2012/2013

| Account description                           | Draft<br>Budget<br>2012/2013<br>£'000 |
|-----------------------------------------------|---------------------------------------|
| <b>Employees</b>                              |                                       |
| Monthly salaries                              | 4,167                                 |
| Agency workers                                | 3                                     |
| Training for professional qualifications      | 2                                     |
| Medical fees (employees')                     | 1                                     |
| Employers' liability insurance                | 19                                    |
| Employees' professional subscriptions         | 2                                     |
| <b>Sub-Total - Employees</b>                  | <b>4,194</b>                          |
| <b>Premises</b>                               |                                       |
| Internal repair/maint.                        | 1                                     |
| Rents                                         | 182                                   |
| Room hire                                     | 6                                     |
| Water charges                                 | 0                                     |
| Cleaning and domestic supplies                | 0                                     |
| <b>Sub-Total - Premises</b>                   | <b>189</b>                            |
| <b>Transport</b>                              |                                       |
| Vehicle repairs/maint'ce                      |                                       |
| Diesel fuel                                   | 7                                     |
| Licences                                      | 1                                     |
| Contract hire of vehicles                     | 8                                     |
| Vehicle insurances                            | 3                                     |
| Car Lease                                     | 7                                     |
| Car allowances                                | 178                                   |
| Vehicle Maintenance                           | 10                                    |
| <b>Sub-Total - Transport</b>                  | <b>214</b>                            |
| <b>Supplies &amp; Service</b>                 |                                       |
| Equipment - purchase                          | 34                                    |
| Clothing and uniforms                         | 7                                     |
| Laundry                                       | 1                                     |
| Training fees                                 | 60                                    |
| General insurances                            | 20                                    |
| Printing and stationery                       | 40                                    |
| Books and publications                        | 27                                    |
| Postage/packaging                             | 6                                     |
| ICT                                           | 51                                    |
| Telephones                                    | 41                                    |
| Taxi Tests                                    | 20                                    |
| CRB Checks (taxi)                             | 10                                    |
| Legal fees                                    | 13                                    |
| Subsistence expenses                          | 7                                     |
| Support service recharges                     | 250                                   |
| Customer service posts                        | 50                                    |
| Audit                                         | 19                                    |
| <b>Sub-Total - Supplies &amp; Service</b>     | <b>656</b>                            |
| <b>Contractors</b>                            |                                       |
| Consultants / Contractors' fees/charges/SLA's | 403                                   |
| Advertising (general)                         | 10                                    |
| Grants and subscriptions                      | 2                                     |
| Marketing/promotion/publicity                 | 5                                     |
| <b>Sub-Total - Contractors</b>                | <b>420</b>                            |
| <b>Income</b>                                 |                                       |
| INCOME miscellaneous fees                     | -3                                    |
| <b>Sub-Total - Income</b>                     | <b>-3</b>                             |

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