

Finance and Audit Scrutiny Committee

Tuesday 9 February 2016

A meeting of the above Committee will be held at the Town Hall, Royal Leamington Spa on Tuesday 9 February 2016 at **6.00pm**.

Membership:

| | | |
|-----------------------|----------------------------|------------------------|
| | Councillor Barrott (Chair) | |
| Councillor Butler | | Councillor Illingworth |
| Councillor Day | | Councillor Mann |
| Councillor Gifford | | Councillor Quinney |
| Councillor Harrington | | Councillor Rhead |
| Councillor Heath | | Councillor Thompson |

Emergency Procedure

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

Agenda

Part A – General Items

1. Apologies and Substitutes

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

2. Declarations of Interest

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

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

Members are also reminded of the need to declare predetermination on any matter.

3. **Minutes**

- (a) to confirm the minutes of the Finance & Audit Scrutiny Committee meeting held on 12 January 2016. **(Item 3/Page 1)**

Part B – Audit Items

None.

Part C – Scrutiny Items

4. **Chief Executives Contracts Register**

To consider a report from the Chief Executive **(Item 4/Page 1)**

5. **Comments from the Executive**

To receive a report from Civic & Committee Services **(Item 5/Page 1)**

6. **Review of the Work Programme & Forward Plan**

To consider a report from Civic & Committee Services **(Item 6/Page 1)**

7. **Executive Agenda (Non Confidential Items and Reports) – Wednesday 10 February 2016**

To consider non-confidential items on the Executive agenda, which fall within the remit of this Committee. The only items to be considered are those which Committee Services have received notice of by 9.00am on the day of the meeting. You are requested to bring your copy of that agenda to this meeting. **(Agenda circulated separately)**

8. **Public and Press**

To consider resolving that under Section 100A of the Local Government Act 1972 that the public and press be excluded from the meeting for the following item by reason of the likely disclosure of exempt information within paragraphs 1 and 3 of Schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006.

9. **Executive Agenda (Confidential Items and Reports) – Wednesday 10 February 2016**

To consider the confidential items on the Executive agenda which fall within the remit of this Committee. The only items to be considered are those which Committee Services have received notice of by 9.00am on the day of the meeting. You are requested to bring your copy of that agenda to this meeting. **(Agenda circulated separately)**

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

Telephone: 01926 456114
E-Mail: committee@warwickdc.gov.uk

Enquiries about specific reports: Please contact the officers named in the reports.

You can e-mail the members of the this Committee at
F&Ascrutinycommittee@warwickdc.gov.uk

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

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

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

Finance and Audit Scrutiny Committee

Minutes of the meeting held on Tuesday 12 January 2016 at the Town Hall, Royal Leamington Spa at 6.00pm.

Present: Councillors Barrott (Chair), Butler, Day, Gifford, Harrington, Heath, Illingworth, Mann, Quinney, Rhead and Thompson.

Also present: Councillors Mobbs, Phillips and Whiting.

98. **Apologies and Substitutes**

- (a) there were no apologies for absence; and
- (b) there were no substitutes.

99. **Declarations of Interest**

Minute Number 102 – Health & Community Protection Risk Register

During the course of the item, Councillor Heath declared an interest because he held a hackney carriage/private hire driver's licence and one of the risks detailed related to WDC licence holders.

Minute Number 105 - Executive Agenda Item 4 – Housing Revenue Account (HRA) Budgets latest 2015/16 and Base 2016/17

Councillor Gifford declared an interest because he was a Warwickshire County Councillor.

Minute Number 105 - Executive Agenda Item 5 – Fees and Charges – Lifeline Services (non HRA customers)

Councillor Gifford declared an interest because he was a Warwickshire County Councillor and because he was a member of Dale Street Methodist Church which had links with Lifeline.

Minute Number 105 - Executive Agenda Item 14 – Housing Related Support Services

Councillor Gifford declared an interest because he was a Warwickshire County Councillor.

100. **Minutes**

The minutes of the Joint Finance & Audit and Overview & Scrutiny meeting and the Finance & Audit Scrutiny Committee of 1 December 2015 were taken as read and signed by the Chairman as correct records.

101. 2014/15 Annual Audit Letter and Grant Claims

The Committee received a report from External Auditors, Grant Thornton and the Council's Finance department which outlined comments on the

Council's Annual Audit Letter, which was attached as an appendix to the report.

The letter was the Council's External Auditor assessment of the Council, drawing on audit, inspection and performance assessment work, prepared by Grant Thornton.

In addition, the auditors had also completed two Grants audits, with both the Benefits Claim and the Pooling of Housing Capital Receipts audits being signed off as unqualified.

The Committee were asked to consider the letter and Grants audit and agree any further information required from either officers or the Council's auditors, if necessary.

Ms Lillington from Grant Thornton attended the meeting and outlined the report. She commended the Council on the Housing Benefits Claim audit being signed off as unqualified, which was an excellent outcome.

The report outlined key issues and made recommendations to improve the audit process in the future. Ms Lillington advised that meetings were due to take place shortly with her and officers to begin the process of condensing and de-cluttering the accounts. She also highlighted that Appendix C to the report was new and gave an overview of how the individual parties had worked together over the year.

In response to a question about the outstanding objections, Ms Lillington assured members that the situation was unaltered from the last report and they were waiting for the final legal outcome before being in a position to sign the accounts off.

Members felt that some of the past objections were issues that could have been dealt with by way of the complaints or ombudsman process. As a result, the Council had to endure cost implications and delays in signing off the accounts. Ms Lillington advised that some changes were on the horizon with the timescales for objections having been shortened to three to four weeks and auditors would have the ability to declare an objection as vexatious, if appropriate.

Members queried how the Committee would be advised that the recommendations detailed in Appendix A had been implemented and whether the timescales were realistic. Due to the nature of the work needed on the accounts, it was unlikely that the improvements would be noticeable until later in the year. However, Ms Lillington agreed to provide a comment on progress when the Audit Plan report was submitted in April 2016.

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Resolved that the Annual Audit Letter and Grants Audit be noted and the officers be thanked for their hard work in completing the accounts.

102. Health and Community Protection Risk Register

The Committee received a report from Health and Community Protection reviewing the service areas risk register which was attached as an appendix to the report.

This process enabled members to fulfil their role in managing risk as set out by the Audit Commission and explained in section 8 of the report.

The Committee was asked to review the register and make comment on it as appropriate.

The Head of Health and Community Protection presented the report along with the Regulatory Manager. The Committee noted that the Portfolio Holder, Councillor Grainger was unable to attend the meeting to discuss the report but was advised that she had emailed her comments to the Chairman.

Members discussed a number of the risks including GE3 and GD4 which related to Emergency Preparedness, monitoring of budgets, self-service and staff training.

Officers assured Members that the mitigation measures in place relating to the Staff Resources risk had now started to emerge with the Regulatory Manager's post being advertised internally in light of her successful appointment to the Head of Health and Community Protection post.

In relation to risk SR8, Legal challenge to fee setting, the Regulatory Manager explained that all District Council licence holders could challenge the fees set, at which stage the Council would need to be able to demonstrate that no profit or loss had been made for that service, over the past six years.

Members were advised that, if challenged successfully, all licence holders would be entitled to a refund, not just the individual that had challenged the fee setting. Officers had therefore, highlighted this as a significant risk to the Council.

Whilst the Council would be able to provide six years' worth of payments received, it would need substantial work to accurately identify the individual amounts.

The Committee congratulated the officers for a comprehensive risk register and used risk SR8 as an example as to how the Risk Register should work, by identifying and being in a position to take action before any potential claim was received.

Resolved that the Health and Community Protection risk register be noted.

**103. Executive Agenda (Non Confidential Items & Reports) –
Wednesday 13 January 2016**

Agenda Item 9 – Significant Business Risk Register

The Committee supported the report.

104. Risk Management Feedback to Zurich

The Audit and Risk Manager introduced Mr Penter from Zurich Insurance Ltd. The Committee had been made aware at the previous meeting that the Council's audit team were to be externally audited by Zurich.

As part of that process Mr Penter had been invited along to the meeting to observe the scrutiny committee in action as part of the audit and would include his observations in his final report.

The Audit & Risk Manager then put some questions to the Committee in relation to its audit work and Members fed back their experiences to Mr Penter.

In response to the questions "What do Members perceive their role to be in Risk Management?" and "How well do Committee Members do this?" quite a few of the newly elected Members felt that the risk registers had been a good mechanism which gave them confidence to understand their roles on the Committee.

Councillor Rhead reminded Members that it was the Finance and Audit Scrutiny Committee that initially brought risk management to the committee and helped to form a standard process for scrutinising it.

It was agreed that the risks that had been identified by the Health and Community Protection department in the previous item, was a good example of the risk register working. This enabled officers being able to identify the risk and put mitigation measures in place in a timely manner.

In addition, Members felt that the working relationship between them and officers allowed Councillors to actively contribute towards risk management.

Mr Penter thanked the Committee for its contributions and asked "is the Council delivering what the community requires and are the Risk Registers helping to deliver that?"

Members admitted that, prior to being elected, some of them had pre-conceived ideas about committee meetings but had been pleasantly surprised by the mature attitude taken by the Council about the risks being faced by the organisation. It was felt that there had been proper deliberation about issues and the risk registers were a helpful tool for such a large body of work.

Mr Penter advised that he would combine the Committee's comments, along with other parties' that he was due to speak to over the next few

Agenda Item 3

weeks. He envisaged that a report would be with the Audit team by early February 2016 and this would be fed back to Members in due course.

The Chairman thanked Mr Penter for attending.

105. Executive Agenda (Non Confidential Items & Reports) – Wednesday 13 January 2016

Agenda Item 13 – Electric Vehicles and Charging Infrastructure

The Committee supported the recommendations in the report.

Agenda Item 4 – Housing Revenue Account (HRA) Budgets latest 2015/16 and Base 2016/17

The Committee supported the recommendations in the report.

Agenda Item 5 – Fees and Charges – Lifeline Services (non HRA customers)

The Committee supported the recommendations in the report.

Agenda Item 14 – Housing Related Support Services

The Committee supported the recommendations in the report.

Urgent Report – Exemption from the Code of Procurement Practice

The Committee supported the recommendations in the report. The Committee raised concerns that another exemption had been submitted but noted that this was an inherited issue and lessons had been learned.

Agenda Item 6 – Car Park Fees & Charges 2016/17

The Committee supported the recommendations although this was carried on a split vote.

Some Members had strong concerns that the difference in charges between Kenilworth and the other towns was unfair to not only users of the car parks but the businesses in Leamington and Warwick as well. Members felt that this resulted in Leamington subsidising Kenilworth.

Conversely, some Members agreed that due to the level of research and statistics used to underpin the recommendations, the officers' advice should be followed and the report supported.

As a future measure, it was suggested that a Task & Finish Group could be set up to investigate car parking across the District and take on board the concerns being raised.

106. **Comments from the Executive**

A report from Civic and Committee Services summarised the Executive's responses to comments which the Finance & Audit Scrutiny Committee gave on reports submitted to the Executive on 1 December 2016.

Councillor Gifford noted that the Executive's response to the Digital Transformation report, submitted in December 2015, was not totally correct. He felt that the summary gave the wrong impression about what the Committee had asked for. Members noted that the Deputy Chief Executive (AJ) had provided assurances at the meeting with regard to the number of customers paying by cash or cheque.

However, the Committee had wanted to ensure that the transition was not inflexible and customers should not be turned away from paying for services.

The Chairman agreed to raise the issue with officers at the next opportunity.

Resolved that the contents of the report be noted.

107. **Review of the Work Programme & Forward Plan**

The Committee considered its work programme for 2015/16 and the latest published version of the Forward Plan.


Following some confusion as to which service area was due to submit either Risk Register reports or Contract Register reports, the Committee Services Officer agreed to incorporate these two rotas into future work programmes and inform all Service Area Managers and Portfolio Holders when their reports were being expected.

For information, the next Service Area to submit a risk register would be Finance in April 2016 with the Chief Executive's contract register due to be submitted in June 2016.

Members voiced their disappointment that the HRA Business Plan report had again slipped to March 2016 and highlighted that the Forward Plan needed updating as a result. Whilst Members were very sympathetic to the reasons behind the slippage, it was noted that these circumstances had highlighted a lack of resilience in some service areas.

Resolved that the work programme be updated accordingly.

(The meeting ended at 9.05 pm)

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|---|--|--|
|  FINANCE & AUDIT SCRUTINY COMMITTEE 9th February 2016 | | Agenda Item No. <h1 style="text-align: center;">4</h1> |
| Title | Chief Executive's Office Contracts Register | |
| For further information about this report please contact | Andrew Jones, Deputy Chief Executive & Monitoring Officer Andrew.jones@warwickdc.gov.uk Tel: 01926 456830 | |
| Wards of the District directly affected | N/A | |
| Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006? | No | |
| Date and meeting when issue was last considered and relevant minute number | N/A | |
| Background Papers | Contracts Register | |

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

| Officer/Councillor Approval | Date | Name |
|--|-------------------------------|--------------------------------------|
| Chief Executive | 28 th January 2016 | Chris Elliott |
| CMT | 28 th January 2016 | Chris Elliott Bill Hunt Andrew Jones |
| Section 151 Officer | 28 th January 2016 | Mike Snow |
| Monitoring Officer | 28 th January 2016 | Andrew Jones |
| Portfolio Holder(s) | 28 th January 2016 | Cllr Andrew Mobbs |
| Consultation & Community Engagement | | |
| | | |
| Final Decision? | Yes | |
| Suggested next steps (if not final decision please set out below) | | |
| | | |

1. **Summary**

- 1.1 This report enables Finance & Audit Scrutiny Committee to review the Chief Executive's Office Contracts Register.

2. **Recommendation**

- 2.1 That Finance & Audit Scrutiny Committee review the Chief Executive's Office Contracts Register attached at Appendix 1 making any comments and/or suggestions it considers appropriate.

3. **Reasons for the Recommendation**

- 3.1 The review of Chief Executive's Office Contracts Register enables members of the Finance and Audit Scrutiny Committee to consider its robustness, make appropriate suggestions on how it could be improved, and consider the document within the context of promoting sound procurement practice across the Council.

4. **Policy Framework**

- 4.1 **Constitution** – In accordance with the Council's Code of Procurement Practice, details of all contracts for the supply of goods, services and supplies are to be held on the Council's central Contracts Register. The Code also describes the tender process to be used by officers when procuring goods and services.
- 4.2 **Fit for the Future** – By following the Council's Code of Procurement Practice in procuring goods, services and supplies, and works, officers will be contributing to the Council's vision, and key policy priorities included within the Sustainable Community Strategy. The following specific benefits should arise:-
- The Council will be sure it is obtaining value for money from its expenditure in the provision of all its services.
 - Opportunities will be given to local employers to tender for Council contracts, thus contributing to the Prosperity Agenda.
 - It will be demonstrable that the Council is operating fairly, in an open and transparent manner.

5. **Budgetary Framework**

- 5.1 There are no direct budgetary implications arising from this report. All of the Council's *buying expenditure* should be made in accordance with the requirements of the Council's Code of Procurement Practice. This enables the Council to achieve value for money from its expenditure through the correct tendering of contracts, and the subsequent management of those contracts.

6. **Risks**

- 6.1 It is important that all procurement across the Council complies with the relevant procurement regulations and directives and also the Council's Code of Procurement Practice. By following this approach the Council will reduce the risk of challenge.
- 6.2 Contract Management is an important element of procurement. Contracts need to be properly managed to ensure compliance with the contract whilst

considering all relevant aspect that may affect the performance of the contract. It is important that contract managers pro-actively plan ahead to ensure the procurement of future contracts is properly managed.

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

7.1 This report is not concerned with recommending a particular option in preference to others so this section is not applicable.

8. **Background**

8.1 The Terms of Reference for the Finance and Audit Scrutiny include "Promote value for money and good procurement practice". This is a role that the Committee has actively pursued. In carrying out this role the Committee appointed three of its members to act as Procurement Champions to assist and advise the Procurement Manager. Without doubt, partly as a result of these actions, the status and knowledge of procurement has increased substantially across the organisation in recent years.

8.2 In March 2014 the Finance and Audit Scrutiny Committee requested that it review each Service Area's Contracts Register in turn. These reviews were intended to follow the approach used to review the Risk Registers, whereby the relevant Portfolio Holder and Head of Service are available to answer the Committee's questions.


9. **Chief Executive's Contracts Register**

9.1 The latest version of the Chief Executive's Contracts Register is set out as Appendix 1.

| Contract Reference Number | Procurement Procedure | Status | Contract Title | Description | Contract Type | Supplier | SME/ Enterprise/ Voluntary/ Community | Company Registration Number | Lead Department | Contact | Stakeholders | Start date | End date | Review Dates | Annual value | Contract value | Irrecoverable VAT | 2014 - 2015 Spend against contract | Extension Option | Comments - including price change provisions and review dates. | Signed Contract Agreement is with DMC (Deed Store) |
|---------------------------|--|--------|---|---|---------------|--|---------------------------------------|---|------------------------|---|-------------------------------|------------|------------|--------------|--|--|-------------------|--|--|--|--|
| CC07DA1005 | Direct Award | Live | Website link checking | Monitoring website links and code validity | Services | SiteImprove | | | Chief Executive Office | Michael Branson | | 20/10/2005 | On-going | | 1,371 | Rolling contract | | | | Due to the on-going nature of this contract and transparency requirements we have chosen to publish the details within the contract register. | NO |
| CC08DA0106 | Direct Award | Live | Website monitoring | Monitoring website availability | Services | NCC Group | | | Chief Executive Office | Michael Branson | | 23/01/2006 | On-going | | 950 | Rolling contract | | | | Due to the on-going nature of this contract and transparency requirements we have chosen to publish the details within the contract register. | NO |
| CC09DA0606 | Direct Award | Live | Website customer survey | Gathers data from web customers and benchmarks against other councils | Services | Socitm | | | Chief Executive Office | Michael Branson | | 27/06/2006 | On-going | | 960 | Rolling contract | | | | Due to the on-going nature of this contract and transparency requirements we have chosen to publish the details within the contract register. | NO |
| CC10DA0607 | Direct Award | Live | Website Plain English accreditation | Internet Crystal Mark for Plain English | Services | Plain English Campaign | | | Chief Executive Office | Michael Branson | | 01/06/2007 | On-going | | 750 | Rolling contract | | | | Due to the on-going nature of this contract and transparency requirements we have chosen to publish the details within the contract register. | NO |
| IT13NK0109 | | Live | Software | IT Software solutions | | Northgate Information Systems | | | Chief Executive Office | IT | | 01/01/2009 | 01/12/2013 | | £65k per annum | TBC | | | | Unsure who this contract belongs to, not IT or finance. Customer contact centre? | NO |
| CO16LV0409 | Invitation to Quote (2+ Suppliers) | Live | Committee Management System | System for managing committee papers | Services | Astech Limited - CMIS | Small | 8359673 | Chief Executive Office | Graham Leach | Public, Councillors, Officers | 01/05/2010 | Ongoing | annually | Current year £5,900 | £50,000.00 | N/A | 6,708 | Option for rolling support contract based on current annual fee plus 1% over RPI | The majority of support and all upgrades are included within the support contract. There was a recent exemption to this with a migration of servers at WDC where an additional charge of £1900 was incurred. Linked to support and maintenance contract ref CE12DA0515 | YES |
| EH08TQ0509 | Framework: Direct Award | Live | Mapping | OS Map Layers | | Ordnance Survey (Improvement & Development Agency - Contractual Framework Agreement) | | | Chief Executive Office | GIS Manager | | 06/05/2009 | On-going | | Nil | Nil | Nil | Nil | Software Licence (Rolling) | free use of OS Maps | NO |
| FI06OJ0610 | Open: Published Invitation to Tender | Live | Over Counter Payment network | A payment solution enabling customers to pay using Post Office and PayPoint networks | Services | allpay.net | | | Chief Executive Office | DMC/Finance | | 01/06/2010 | 30/06/2017 | | £58k per annum | Est £406k | Nil | | | Contract extended for a further three years following agreement / approval from Executive April 2014. This time will allow for further competition to come to the market. | NO |
| HR03CF0710 | Direct Award | Live | Occupational Health | Occupational Health assessments for staff | | Team Prevent via WCC contract | N/A | 05770728 | Chief Executive Office | Tracy Dolphin | | 01/07/2014 | On-going | | Variable | Variable | Nil | 11,241 | | Variable contract with a unit price, annual and contract value will depend upon usage. | YES |
| CO06CF0610 | | Live | Office supplies | A range of office supplies required | Goods | Office Depot via Birmingham City Council Framework | N/A | 2654682 | Chief Executive Office | Janice Robbins - Procurement are leading on this one. | All Service Areas | 01/09/2010 | 31/08/2014 | | 40,000 | £90,000.00 | Nil | 12,267 | | Annual, Contract value includes Postal spend, The contract is being reviewed by procurement. To be review following issues with the BCC contract award. Looking to utilise the Crown Commercial Services framework with the current provider - Procurement Leading. | NO |
| CO18CF0411 | Shared Service | Live | Postal Services | Collection of mail, processing and delivery | Services | Royal Mail via Birmingham City Council wholesale contract | | N/A | Chief Executive Office | Janice Robbins | All Service Areas | 01/04/2011 | On going | annually | 134,600 | 134,600 | Nil | 134,600 | N/A | Reviewed regularly - Currently a BCC framework - in line with other local councils. | NO |
| IT03MC0511 | Framework: Mini Competition | Live | Multi-functional Devices Replacement | All of the MFD's within Council owned premises | Goods | Ricoh UK Ltd | N/A | 1271033 | Chief Executive Office | Ema Townsend | | 01/05/2011 | 13/09/2016 | 31/03/2016 | 32,143 | £32,143.00 | Nil | 32,143 | Can roll on maintenance contract for 12 months | WDC lease copiers from a finance lease company. Lease contract is due to end 13/09/2016 . Extended Maintenance Contract in place and due to end in June 2016. Looking into extending lease for a further period, to be decided. Ending lease for Colour print press in Sept 2016 and tendering for a new machine. | NO |
| IT03MC0511 | Framework: Mini Competition | Live | Multi-functional Devices Replacement - Phase 1 | All of the MFD's within Council owned premises other than those in phase 2 | Goods | JCB (lease agreement) | | | Chief Executive Office | Procurement of machines - Ema Townsend. Arranging Finance Lease - Roger Wyton | | 01/05/2011 | 13/09/2016 | 13/09/2015 | 30,964 | £154,819.00 | Nil | | Lease can be extended into a secondary rental period with no end date | WDC purchased machines via a finance package. Maintenance Contract in place and due to end in..... Lease contract is due to end 13/09/2016. Finance lease relates to financing only , it does not relate to any contract, maintenance or otherwise, that the Council has with the original suppliers Ricoh. | NO |
| IT03MC0511 | Framework: Mini Competition | Live | Multi-functional Devices Replacement - Phase 2 | MFD's in AIEC and Planning | Goods | JCB (lease agreement) | | | Chief Executive Office | Prpurement of machines - media room. Arranging Finance Lease - Roger Wyton | | 24/05/2012 | 24/05/2017 | 13/09/2015 | 1,179 | £5,986.00 | Nil | | Lease can be extended into a secondary rental period with no end date. Maintenance also to be extended for 12 months | WDC purchased machines via a finance package. Maintenance Contract in place and due to end in April 2015 however this has been extended until April 2016. Lease contract is due to end 24/05/2017. Finance lease relates to financing only , it does not relate to any contract, maintenance or otherwise, that the Council has with the original suppliers Ricoh. | NO |
| ITO4TQ0611 | Invitation to Quote (2+ Suppliers) | Live | RSA Authentication Manager Maintenance Renewal | RSA Authentication Manager Maintenance Renewal | | Softcat | | 2174990 | Chief Executive Office | Desktop Services Manager | All Service Areas | 01/07/2015 | 30/06/2016 | NA | 2,223 | 2,223 | Nil | 1,992 | Software licence (Rolling) | Software Licence, no contract. Price variance annually due to the number of mobile/home workers | NO |
| FI08TQ1211 | Invitation to Quote (2+ Suppliers) | Live | Scanning Management system for Payroll and HR Documents & maintenance | Scanning Management system for Payroll and HR Documents & maintenance | | PACSOL(Fortis) (Pacific Solutions) | N/A | 03113771 | Chief Executive Office | Tracy Dolphin | | 01/12/2011 | 30/11/2016 | | 1,000 | 12,885 | Nil | 1,572 | | 3 quote, £7,885 system cost and £1,000 pa maintenance and support | YES |
| CO11OJ0312 | | Live | Architectural Consultancy Service: Kenilworth (Project) Phase 1 | Delivery of the Kenilworth Public Service Centre, Architectural & Professional Services | Services | Robothams | | | Chief Executive Office | Tim Hepworth | | 01/03/2012 | On-going | | N/A | 85,230 | Nil | | No option to extend the contract beyond phase 1. 4 phases to the full contract. | The contract value is for phase 1 of the project, no annual value attributable and is a fixed fee for the length of the project. | YES |
| CC02UT0412 | Invitation to Quote (2+ Suppliers) | Live | Internet Connectivity | Corporate Internet Connection | Services | Virgin Media | | 2591237 | Chief Executive Office | Infrastructure Manager | All Service Areas | 01/12/2015 | 31/11/18 | 01/07/2018 | 7,500 | 22,500 | Nil | 13,000 | Rolling annual contract at the end of the initial 3 year term | New contract commenced on 01 December 2015 reducing annual spend from £13000 to £7.5K | NO |
| IT04TQ1012 | Invitation to Quote (2+ Suppliers) | Live | Good for enterprise | Secure Mail | | softcat | | 2174990 | Chief Executive Office | Desktop Services Manager | | 15/10/2015 | 14/10/2016 | N/A | 881 | 881 | Nil | 985 | Licence not to be renewed | Software Licence, no contract. Licence not to be renewed | NO |
| CS23OJ1012 | Restricted: Published Invitation to Tender | Live | Print Services Framework | A Framework for a range of Print Services examples include: leaflets | Services | 1.John Baxter&Sons; 2.BCQ Group Ltd; 3.Heron Press; 4.Standartu | | 1.John Baxter&Sons - 469211; 2.BCQ Group Ltd - 6039730; | Chief Executive Office | Ema Townsend & Rebecca Reading | | 01/10/2012 | 30/09/2016 | 01/12/2015 | Framework contract - no value attributed | Framework contract - no value attributed | Nil | Framework contract - no value attributed | No - contract to be re-evaluated and sent back out to tender. | Re-evaluating tender in May 2016 to go out via Ojjeu by July and implementing Oct 1 st 2016 | YES |

| Contract Reference Number | Procurement Procedure | Status | Contract Title | Description | Contract Type | Supplier | SME/Enterprise/Voluntary/Community | Company Registration Number | Lead Department | Contact | Stakeholders | Start date | End date | Review Dates | Annual value | Contract value | Irrecoverable VAT | 2014 - 2015 Spend against contract | Extension Option | Comments - including price change provisions and review dates. | Signed Contract Agreement is with DMC (Deed Store) |
|---------------------------|--------------------------------------|--------|---|---|---------------|-------------------------------------|------------------------------------|-----------------------------|------------------------|--------------------------|-------------------------------------|-------------------|--------------------|--------------|--|---------------------------|-------------------|--------------------------------------|--|---|--|
| HR02CF0213 | Framework: Direct Award | Live | Agency Staff | All temporary labour to include administration and professional services used by the Council | | Comensura through Mstar | N/A | 04085767 | Chief Executive Office | Tracy Dolphin | | 25/02/2013 | 24/02/2017 | 24/08/2016 | 900,000 | £3,600,000.00 | Nil | 631,503 | | | YES |
| CO15MC0313 | | Live | Letter folder & inserter machine | Purchase of machinery and subsequent servicing and maintenance. | Goods | Neopost | | 01997384 | Chief Executive Office | Janice Robbins | All Service Areas | 01/03/2013 | One off purchase | | | £30,000.00 | Nil | Nil | N/A | This machine is not a contract but purchased by WDC - should therefore be on Equipment renewal programme | N/A |
| CE01DA0413 | Shared Service | Live | Legal Services Contract | Provision of Legal advice and practice | Services | Warwickshire County Council | | | Chief Executive Office | Andrew Jones | | 01/04/2013 | 31/03/2017 | | 455,900 | 1,823,600 | Nil | | None | | NO |
| IT01TQ0411 | Invitation to Quote (2+ Suppliers) | Live | Snow Licence Manager | Snow is a Software Asset Management (SAM) product used for managing and optimizing the purchase, deployment, maintenance, utilization, and disposal of software applications. | | Trustmarque Solutions | | 2183240 | Chief Executive Office | Desktop Services Manager | | 01/04/2013 | 31/03/2016 | N/A | N/A | £13,398.00 | Nil | Nil | Software licence (Rolling) | Software Licence, no contract. Multi year deal single payment | NO |
| IT19MC0313 | Framework: Mini Competition | Live | Website CMS | Website software and maintenance | Services | Jadu | N/A | 04643244 | Chief Executive Office | Michael Branson | WDC | 01/04/2013 | 31/03/2017 | 01/08/2016 | N/A | £192,489.00 | Nil | | | | YES |
| HR04TQ0413 | Invitation to Quote (2+ Suppliers) | Live | Transcription Services | Transcription services for HR investigations etc | | Virtuoso Assistant | Small | 08425330 | Chief Executive Office | Tracy Dolphin | | 01/09/2015 | 29/09/2018 | 01/09/2016 | Various dependent on work but less than £10,000 pa | Various dependent on work | Nil | 3,185 | | Ongoing service, as and when required. | YES |
| IT25TQ1113 | Invitation to Quote (2+ Suppliers) | Live | Antispam Appliance | Email filtering appliance | | Bytes Software | | 1616977 | Chief Executive Office | Infrastructure Manager | All Service Areas | 14/12/2013 | 13/12/2016 | N/A | N/A | £7,896.00 | Nil | Nil | Software licence (Rolling) | Software Licence, no contract. Multi year deal single payment | NO |
| CE14XXXXXX | Shared Service | Live | SupportWorks | ICT Helpdesk Software | | Hornbill Service Management Limited | | 3033585 | Chief Executive Office | Desktop Services Manager | | 04/02/2015 | 03/02/2016 | | 5,053 | 5,053 | Nil | 5053.00 | Licence not to be renewed. Replacement helpdesk will reduce annual maintenance from 5K to 1K | Software Licence, no contract.Licence not to be renewed | NO |
| CE16XXXXXX | Direct Award | Live | GGP | Support and maintenance for the Council's Geographical Information Systems (GIS) | | GGP Systems | | 2685491 | Chief Executive Office | GIS Manager | All Service Areas | 01/04/2014 | 31/03/2015 | N/A | 21,606 | 21,606 | Nil | 21,606 | Software licence (Rolling) | Software Licence, no contract. | NO |
| IT21TQ0413 | Invitation to Quote (2+ Suppliers) | Live | Secure Content Filtering Gateways | Secure Content Filtering Gateways for Web & Email | Services | Foursys Ltd | | 2962709 | Chief Executive Office | Infrastructure Manager | All Service Areas | 30/04/2014 | 29/04/2017 | N/A | N/A | 34,394 | Nil | 34,394 | Software Licence (Rolling) | Software Licence, no contract.Multi year deal single payment | NO |
| CE18XXXXXX | | Live | HTML mailout server | HTML mailout server | Goods | dotMailer | N/A | 03762341 | Chief Executive Office | Ema Townsend | | 01/05/2014 | 30/04/2015 | 01/03/2017 | 1,284 | 1,854 | Nil | | 1 year trial purchase with the option to | Reviewing last 12months with a view to extend for another 12 months. This is a subscription based service. | NO |
| CC04UT0106 | Invitation to Quote (2+ Suppliers) | Live | Business Broadband | Multi-site business broadband connectivity | Services | Vodafone | | 1471587 | Chief Executive Office | Desktop Services Manager | All Service Areas | Multi Start Dates | Multiple End Dates | N/A | 12,000 | 12,000 | Nil | Spend variable | Rolling Contract(s) | Utility service | NO |
| CC06TQ0614 | Invitation to Quote (2+ Suppliers) | Live | Endpoint Security | AntiVirus | Services | Foursys Ltd | | 2962709 | Chief Executive Office | Desktop Services Manager | | 29/08/2014 | 28/08/2017 | N/A | N/A | 29,757 | Nil | 29,757 | Soft licence (Rolling) | Software Licence, no contract.Multi year deal single payment | NO |
| CE02DA0311 | Direct Award | Live | Idox Opt2Vote | Postal Vote Packs & Issue /Ballot Papers | Goods | Idox Opt2Vote | N/A | 2933889 | Chief Executive Office | Gillian Friar | Public | 03/07/2011 | 06/06/2016 | 01/10/2015 | 7,900 | | Nil | 32,530 | | Work with procurement team under way to let new contracts, tender specifications currently being drafted | YES |
| CE06DA0114 | Direct Award | Live | Halarose | Polling Staff Web training | Services | Halarose | N/A | 1362834 | Chief Executive Office | Gillian Friar | Elections Staff | 01/01/2014 | 31/05/2017 | | 11,000 | 33,000 | Nil | 10,800 | | Work with procurement team under way to let new contracts, tender specifications currently being drafted | YES |
| CE07DA0310 | Direct Award | Live | Xpress | Electoral Management System | Services | Xpress | N/A | 4152280 | Chief Executive Office | Gillian Friar | Customer service centre via web reg | 01/03/2010 | | | 36,000 | | Nil | 21,503 | | Rolling Support Contract. Initial high costs due to purchase arrangements of system as approved by the Executive in 2010. The cost will drop significantly to simple support fee from 2015 onwards. This is a rolling support cost which can be terminated at any time. | YES |
| CE10LV0813 | Open: Published Invitation to Tender | Live | Network Support Contract Cisco Maintenance Framework | Maintenance contract providing support and software/hardware maintenance for Warwick District Councils Cisco based ICT Data and Voice Network Infrastructure. | Services | BT INET | | 4190816 | Chief Executive Office | Infrastructure Manager | | 01/08/2014 | 31/03/2016 | 01/02/2016 | 30,311 | 121,244 | Nil | Framework Agreement (Spend Variable) | Annual optional extensions up to March 2018. Contract to be extended for 2016/2017 | Contract value variable, annual value is for ongoing support but contract includes adhoc consultancy and support. | YES |
| CE11LV1114 | Open: Published Invitation to Tender | Live | Microsoft support | 3rd Line Support Contract | Services | Risual Limited | | 5431646 | Chief Executive Office | Infrastructure Manager | | 03/11/2014 | 02/11/2016 | 01/07/2016 | 2,000 | 4,000 | Nil | Framework Agreement (Spend Variable) | Additional 2 Years | | YES |
| CE12DAXXXX | | Live | Construction contract for Oakly Wood Crematorium | Construction contract for Oakly Wood Crematorium | | Kier Construction Ltd | | | Chief Executive Office | Richard Jones | | TBC | TBC | | TBC | TBC | Nil | | | pre-contract project order procured through the Scape framework | NO |
| CE12DA0515 | Direct Award | Live | Support and maintenance for Committee Management system | Support and maintenance for Committee Management system | Services | Astech Consultants Limited | Small | 8359673 | Chief Executive Office | Graham Leach | Elected members & General public | 01/05/2015 | ongoing | annually | 5,310 | 26,553 | Nil | nil | yes, rolling contract review at year 5 | Contract includes the option to purchase Mycimis at discounted rate. See also contract CO16LV0409 | YES |

| Contract Reference Number | Procurement Procedure | Status | Contract Title | Description | Contract Type | Supplier | SME/ Enterprise/ Voluntary/ Community | Company Registration Number | Lead Department | Contact | Stakeholders | Start date | End date | Review Dates | Annual value | Contract value | Irrecoverable VAT | 2014 - 2015 Spend against contract | Extension Option | Comments - including price change provisions and review dates. | Signed Contract Agreement is with DMC (Deed Store) |
|---------------------------|--------------------------------------|--------|---|---|---------------|--|---------------------------------------|-----------------------------|------------------------|--------------------------|--------------|------------|------------|--------------|---|----------------|-------------------|--------------------------------------|--|---|--|
| IT26MC0115 | Framework: Mini Competition | Live | Enterprise Agreement | Enterprise Agreement for WDC Desktop Microsoft Product Set | Services | Phoenix Software Ltd | | 2548628 | Chief Executive Office | ICT Services Manager | | 01/02/2015 | 31/01/2018 | 01/07/2017 | 69,925 | 216,775 | Nil | Framework Agreement (Spend Variable) | No option to extend | | YES |
| IT27DA0115 | Framework: Direct Award | Live | CITHS Software Products | CITHS Software Products | Services | Civica Services Ltd | | 2374268 | Chief Executive Office | ICT Services Manager | GIS Manager | 19/01/2015 | 18/01/2018 | 01/07/2017 | Year 1 £31470 Year 2 £5235 Year 3 £5235 | 41,940 | Nil | 31,470 | Options to extend within the contract Terms and Conditions | | YES |
| CE20DA0215 | Direct Award | Live | Testing Tool | Subscription to US based testing tool | Services | Useresting | | | Chief Executive Office | Michael Branson | | 02/02/2015 | TBC | | 1900 + £250 per test (variable) | 2,150 | Nil | | Market test | Initially pilot but may be purchased long term if pilot successful | NO |
| CE10MC1214 | Framework: Mini Competition | Live | Business Continuity (ICT) | Business Continuity Services (ICT) | Services | Phoenix IT Managed Services Limited (formerly Servo Ltd) | | 1983540 | Chief Executive Office | ICT Services Manager | | 01/12/2014 | 30/11/2018 | | 13,452 | 53,808 | Nil | 13,452 | two year extension at year 2 of four year contract | Price Variable depending on equipment included,excluded from the contract | NO |
| CE210J0415 | Open: Published Invitation to Tender | Live | Datacenter Support Contract | Software support and hardware break-fix contract for all of the Council's Server, Storage, backup and virtualisation technologies - server and desktop. In addition, the contract provides a framework agreement for all datacenter projects during the life of the | Services | OCSL | N/A | 2563193 | Chief Executive Office | Infrastructure Manager | | 01/05/2015 | 30/04/2016 | 01/02/2016 | 42,452 | 169,808 | Nil | Framework Agreement (Spend Variable) | Option to extend for a further 2 year term. Contract will be extended 'till 2018 | Contract value variable, annual value is for ongoing support but contract includes adhoc consultancy and support. | YES |
| HR05CF0415 | Direct Award | Live | Payroll Bureau | Delivery of payroll services | Services | Coventry City Council | N/A | N/A | Chief Executive Office | Tracy Dolphin | | 01/04/2015 | 31/03/2020 | 31/03/2018 | 25,000 | 100,000 | Nil | Nil | | Awaiting final agreement from legal | NO |
| CE23DA0615 | Direct Award | Live | Printing of Poll cards | Printing of Poll Cards | Services | ERS | N/a | 958404 | Chief Executive Office | Gillian Friar | | 12/06/2015 | 11/06/2016 | 01/10/2015 | 2,000 | 2,000 | Nil | 0 | | To be procured as part of contract ref CE01DA0313 | YES |
| CE24TQ0815 | Invitation to Quote (2+ Suppliers) | Live | DATA WAN link from Riverside House to St Nicholas Park LC | DATA WAN link from Riverside House to St Nicholas Park LC | | British Telecom | n/a | 4190816 | Chief Executive Office | Infrastructure Manager | | 01/10/2015 | 30/09/2018 | 01/06/2018 | 4,488 | 13,463 | Nil | Nil | To be reviewed 01/06/2018 | | Yes |
| CE25TQ0915 | Invitation to Quote (2+ Suppliers) | Live | Transcription Services | Transcription services for HR | | Virtuoso Assistant | Small | | Chief Executive Office | Tarandeep Mahal | | 01/09/2015 | 31/08/2017 | | 1,000 | 2,000 | Nil | nil | one off purchase | | YES |
| CE26TQ1015 | Invitation to Quote (2+ Suppliers) | Live | Net Support Service Desk System | Net Support Service Desk System | | Grey Matter | Medium | 01671407 | Chief Executive Office | Desktop Services Manager | | 01/10/2015 | 30/09/2018 | 30/06/2018 | 5,274 | 5,274 | Nil | nil | Software Licence (Rolling) | Software licence no contract. Year 1 cost is software licence and 2years maint.Year 3 and after is maint due. | NO |
| CE27TQ1115 | Invitation to Quote (2+ Suppliers) | Live | Commercial Valuation advice for Lillington Project | Commercial Valuation advice for Lillington Project utilising the HCA consultancy Property panel framework | | GVA | N/A | 6382509 | Chief Executive Office | Philip Clarke | | 11/11/2015 | 31/05/2016 | 01/04/2016 | 4,500 | 4,500 | Nil | Nil | depended on requirement of the project | Contract awarded against HCA Consultancy Property panel Framework | No |
| CE28DA1215 | Direct Award | Live | SIP Telephony | SIP Telephony utilising the CCS RM1045 lot 5 | | Daisy Communications Limited | N/A | | Chief Executive Office | ICT Services Manager | | 01/12/2015 | 30/11/2018 | 30/06/2018 | | 28,356 | Nil | nil | Three years | Direct award utilising the CCS RM1045 framework | YES |
| New | Invitation to Quote (2+ Suppliers) | Live | NetSupport IT Helpdesk | ICT Helpdesk Software | | Grey Matter Limited | N/A | 1671407 | Chief Executive Office | Desktop Services Manager | | 22/06/2015 | on-going | N/A | Year 1 £5274 Year 2 £0.00 Year 3+ £880 | 5,274 | Nil | Nil | Software Licence (Rolling) | Software Licence, no contract. Year 1 cost is software licence and 2 years maint. Year 3 onwards, only maint due. | NO |

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|  Finance & Audit Scrutiny Committee 9 February 2016 | | Agenda Item No. <h1 style="text-align: center;">5</h1> |
| Title | Comments from the Executive | |
| For further information about this report please contact | Amy Carnall Committee Services Officer 01926 456114 committee@warwickdc.gov.uk | |
| Service Area | Civic & Committee Services | |
| Wards of the District directly affected | n/a | |
| Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006 | No | |
| Date and meeting when issue was last considered and relevant minute number | n/a | |
| Background Papers | Finance & Audit Scrutiny Committee minutes 1/12/2015 Executive minutes from 2/12/2015 | |

| | |
|--|----|
| Contrary to the policy framework: | No |
| Contrary to the budgetary framework: | No |
| Key Decision? | No |
| Included within the Forward Plan? (If yes include reference number) | No |

| | | |
|--|-------------|-------------|
| Officer/Councillor Approval | | |
| With regard to officer approval all reports <i>must</i> be approved by the report authors relevant director, Finance, Legal Services and the relevant Portfolio Holder(s). | | |
| Officer Approval | Date | Name |
| Deputy Chief Executive | | |
| Chief Executive | | |
| CMT | | |
| Section 151 Officer | | |
| Legal | | |
| Finance | | |
| Portfolio Holders | | |

| | |
|--|-----|
| Consultation Undertaken | |
| n/a | |
| Final Decision? | Yes |
| Suggested next steps (if not final decision please set out below) | |
| | |

1. Summary

- 1.1 This report summarises the Executive's response to comments given by the Finance & Audit Scrutiny Committee on reports submitted to the Executive on 13 January 2015.

2. Recommendation

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

3. Reasons for the Recommendation

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

4. Alternative Options Considered

- 4.1 The Committee receives and notes the minutes of the Executive instead.

5. Budgetary Framework

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

6. Policy Framework

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

7. Background

- 7.1 As part of the scrutiny process, the Committee no longer considers the whole of the Executive agenda.
- 7.2 Councillors are emailed at the time of the publication of the Executive and Scrutiny Committee agendas, asking them to contact Committee Services by 9.00 am on the day of the Scrutiny Committee, to advise which Executive items they wish the Scrutiny Committee to pass comment on and the reasons why.
- 7.3 As a result, at its meeting on 12 January 2016, the Finance & Audit Scrutiny Committee considered the items detailed in the appendices. The responses which the Executive gave are also shown.

Responses from the meeting of the Executive held on 13 January 2016 to the Finance and Audit Scrutiny Committee's comments

| | | | |
|---------------------------|---|--------------|--|
| Item no | 4 | Title | Housing Revenue Account (HRA) Budgets latest 2015/16 and Base 2016/17 |
| Scrutiny Comment | The Finance & Audit Scrutiny Committee supported the recommendations in the report. | | |
| Executive Response | The Executive made no response. | | |


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|---------------------------|---|--------------|---|
| Item no | 5 | Title | Fees and Charges – Lifeline Services (non HRA Customers) |
| Scrutiny Comment | The Finance & Audit Scrutiny Committee supported the recommendations in the report. | | |
| Executive Response | The Executive made no response. | | |

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|---------------------------|--|--------------|--|
| Item no | 6 | Title | Car Park Fees and Charges 2016/17 |
| Scrutiny Comment | <p>The Finance & Audit Scrutiny Committee supported the recommendations although this was carried on a split vote.</p> <p>Some Members had strong concerns that the difference in charges between Kenilworth and the other towns was unfair to not only users of the car parks but the businesses in Leamington and Warwick as well. Members felt that this resulted in Leamington subsidising Kenilworth.</p> <p>Conversely, some Members agreed that due to the level of research and statistics used to underpin the recommendations, the officers' advice should be followed and the report supported.</p> <p>As a future measure, it was suggested that a Task & Finish Group could be set up to investigate car parking across the District and take on board the concerns being raised.</p> | | |
| Executive Response | The Executive welcomed the idea of a Group of members looking at this issue, sooner rather than later, to enable an informed discussion to take place well in advance of setting the charges next year. | | |

| | | | |
|---------------------------|---|--------------|---|
| Item no | 9 | Title | Significant Business Risk Register |
| Scrutiny Comment | The Finance & Audit Scrutiny Committee supported the recommendations in the report. | | |
| Executive Response | The Executive made no response. | | |

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|---------------------------|---|--------------|--|
| Item no | 13 | Title | Electric Vehicles and Charging Infrastructure |
| Scrutiny Comment | The Finance & Audit Scrutiny Committee supported the recommendations in the report. | | |
| Executive Response | The Executive made no response. | | |

| | | | |
|---------------------------|--|--------------|--|
| Item no | 14 | Title | Urgent Report – Exemption to the Code of Procurement Practice |
| Scrutiny Comment | The Finance & Audit Scrutiny Committee supported the recommendations in the report. The Committee raised concerns that another exemption had been submitted but noted that this was an inherited issue and lessons had been learned. | | |
| Executive Response | Councillor Phillips provided reassurance that lessons had been learned and as a Council we had a responsibility to resolve this quickly. | | |

| | | |
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|  Finance & Audit Scrutiny Committee - 9 February 2016 | | Agenda Item No. 6 |
| Title | Review of the Work Programme & Forward Plan | |
| For further information about this report please contact | Amy Carnall Committee Services Officer 01926 456114 committee@warwickdc.gov.uk | |
| Wards of the District directly affected | n/a | |
| Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006? | No | |
| Date and meeting when issue was last considered and relevant minute number | n/a | |
| Background Papers | n/a | |

| | |
|--|-----|
| Contrary to the policy framework: | No |
| Contrary to the budgetary framework: | No |
| Key Decision? | No |
| Included within the Forward Plan? (If yes include reference number) | n/a |
| Equality & Sustainability Impact Assessment Undertaken | n/a |
| | |

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

1. Summary

- 1.1 This report informs the Committee of its work programme for 2016 (Appendix 1) and the current Forward Plan (Appendix 2).

2. Recommendation

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

3. Reasons for the Recommendation

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

4. Policy Framework

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

5. Budgetary Framework

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

6. Risks

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

7. Alternative Option(s) Considered

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

8. Background

- 8.1 The five main roles of overview and scrutiny in local government are: holding to account; performance management; policy review; policy development; and external scrutiny.

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



FORWARD PLAN

Forward Plan February 2016 to May 2016

COUNCILLOR ANDREW MOBBS
LEADER OF THE EXECUTIVE

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

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

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

If you would like to make representations or comments on any of the topics listed below, including the confidentiality of any document, you can write to the contact officer, as shown below, at Riverside House, Milverton Hill, Royal Leamington Spa, Warwickshire, CV32 5HZ. Alternatively you can phone the contact officer on (01926) 353362. If your comments are to be referred to in the report to the Executive or Committee they will need to be with the officer 7 working days before the publication of the agenda. You can, however, make comments or representations up to the date of the meeting, which will be reported orally at the meeting. The Forward Plan will be updated monthly and you should check to see the progress of the report you are interested in.

(758)

Section 1 – The Forward Plan December 2015 to March 2016

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

10 February 2016

| | | | | | | |
|--|---|--|--|----------|-----------------------------------|--|
| HRA Rent Setting (Ref 749) | To report on the proposed level of Housing Rents for the following year and the proposed budget | | Executive 10/2/2016 Council 24/2/2016 | 1/2/2016 | Andy Thompson Cllr Phillips | |
| General Fund 2016/17 Budgets & Council Tax (Ref 754) | To update member on the overall financial position of the Council, consider the General Fund Revenue and Capital Budgets for the following financial Year | | Executive 10/2/2016 Council 24/2/2016 | 1/2/2016 | Mike Snow Cllr Whiting | |
| Heating, Lighting and Water Charges 2016/17 – Council Tenants (Ref 755) | To propose the level of recharges to council housing tenants to recover the costs of communal heating, lighting and water supply. | | Executive 10/2/2016 Council 24/2/2016 | 1/2/2016 | Andy Thompson Cllr Phillips | |
| Treasury Management Strategy (Ref 756) | To seek member approval of the Treasury Management Strategy and Investment Strategy for the following year | | Executive 10/2/2016 Council 24/2/2016 | 1/2/2016 | Roger Wyton Cllr Whiting | |

| | | | | | | |
|--|--|--|---|----------|-----------------------------------|--|
| Future Delivery of Housing Aids and Adaptations Services – HEART (Ref 734) | To propose a revised approach to the delivery of aids and adaptations for residents of social and private housing. | | Executive 30/09/15 02/12/15 13/1/16 Reason 4&5 10/2/2016 | 1/2/2016 | Andy Thompson Cllr Phillips | |
| Waste container charging (Ref 731) | To consider whether to bring in a charge for wheeled bins, recycling boxes and bags. | | Executive 04/11/2015 02/12/2015 13/1/16 Reason 1 10/2/2016 | 1/2/2016 | Becky Davies Cllr Shilton | |
| Multi-storey car park update (Ref 728) | To consider a report on the structural repairs and refurbishment requirements of our multi-storey car parks | | Executive 02/12/15 13/1/16 | 1/2/2016 | Gary Charlton Cllr Shilton | |
| Design Guidance for the South of Royal Leamington Spa and Warwick (Ref 757) | To endorse the design guidance | | Executive 10/2/2016 | 1/2/2016 | Chris Sharp Cllr Cross | |
| Rural Urban Community Initiative Scheme applications (Ref 758) | Consider applications for Rural and Urban Initiative Grants | | Executive 10/2/2016 | 1/2/2016 | Jon Dawson Cllr Whiting | |

| 9 March 2016 | | | | | | |
|---|---|--|--|----------|--------------------------------------|----------------------------------|
| The Rental Exchange (Ref 747) | To seek approval for the Council to pilot 'The Rental Exchange' in order to improve tenants financial capability | | Executive 9/3/2016 | 1/3/2016 | John Gallagher Cllr Philips | |
| Guy Road Housing Development (Ref 750) | A project to develop new homes in Kenilworth | | Executive 9/3/2016 | 1/3/2016 | Matt Jones Cllr Phillips | |
| Council Development Company (Ref 727) | To consider a report on establishing a Council Development Company | | Executive 9/3/2016 | 1/3/2016 | Andy Thompson Cllr Phillips | |
| HRA Business Plan Review (Ref 736) | To set out the outcome of the annual review of the HRA Business Plan | | Executive 13/1/16 Reason 1 Executive 9/3/2016 | 1/3/2016 | Andy Thompson Cllr Phillips | |
| Customer Contact Review (Ref 752) | To consider a report regarding the future of this role. This report will be private and confidential because it contains information about an individual. | | Executive 13/1/16 Reason 4 Executive 9/3/2016 | 1/3/2016 | Tracy Dolphin Cllr Mobbs | |
| Rural Urban Community Initiative Scheme applications (ref 759) | Consider applications for Rural and Urban Initiative Grants | | Executive 9/3/2016 | 1/3/2016 | Jon Dawson Cllr Whiting | |
| HQ Relocation (Ref 742) | Part A and B reports regarding the future location of the Council's HQ. | | Executive 13/1/16 Reason 3 9/3/2016 | 1/3/2016 | Duncan Elliott Cllr Mobbs | Executive papers – 30/09/2015 |
| 6 April 2016 | | | | | | |

| | | | | | | |
|--|--|--|---|-----------|-----------------------------------|--|
| New Rent Arrears Policy (Ref 748) | To seek approval of new rent arrears policy for WDC Council Tenants | | Executive 6/4/2016 | 29.3.2016 | Jacky Oughton Cllr Phillips | |
| Whitnash Community Hub (Ref 741) | To receive information following the feasibility study of a Whitnash Community Hub | | Executive 13/1/16 Reason 5 10/2/2016 Reason 4 Executive 6/4/2016 | 29.3.2016 | Andrew Jones Cllr Mrs Grainger | |
| Rural Urban Community Initiative Scheme applications (ref 760) | Consider applications for Rural and Urban Initiative Grants | | Executive 6/4/2016 | 29.3.2016 | Jon Dawson Cllr Whiting | |

May 2016 – No Meeting of the Executive

| Section 2 Key decisions which are anticipated to be considered by the Council between June 2016 and September 2016 | | | | | | |
|--|---|--|---|-----------------------------|------------------------------------|--|
| Topic and Reference | Purpose of report | If requested by Executive –date, decision & minute no. | Date of Executive, Committee or Council meeting | Publication Date of Agendas | Contact Officer & Portfolio Holder | External Consultees/ Consultation Method/ Background Papers |
| June 2016 | | | | | | |
| Investment in Leisure Centres (745) | To consider final plans, costs and associated studies and planning applications relating to the proposed investment at St Nicholas Park and Newbold Comyn Leisure Centres | Nov 4 th 2015 | | | Rose Winship Cllr Mrs Gallagher | The report is the culmination of project to expand these 2 leisure centres. Consultation with users through the Planning process and dialogue with clubs and national governing bodies of sport. Various reports from June 2014 onwards. |
| Rural Urban Community Initiative Scheme applications (Ref 761) | Consider applications for Rural and Urban Initiative Grants | | | | Jon Dawson Cllr Whiting | |
| Budget review Q1 (Ref 762) | To report expenditure for current year and update financial projections | | | | Jenny Clayton Cllr Whiting | |

| July 2016 | | | | | | |
|---|--|--|--|--|--|----------------------------|
| Rural Urban Community Initiative Scheme applications (Ref 763) | Consider applications for Rural and Urban Initiative Grants | | | | | Jon Dawson Cllr Whiting |
| Budget Review to include financial projections (Ref 764) | To Report on the latest financial prospects for the current and future 5 years | | | | | Andy Crump Cllr Whiting |

| September 2016 | | | | | | |
|---|---|--|---------|--|--|------------------------------|
| Annual Benefit Fraud Report 765 | | | 1 Sept | | | Andrea Wyatt Cllr Whiting |
| Rural Urban Community Initiative Scheme applications Ref 766 | Consider applications for Rural and Urban Initiative Grants | | 28 Sept | | | Jon Dawson Cllr Whiting |
| Fees and Charges | To propose the level of fees and Charges to be levied from 2nd January 2016 | | 28 Sept | | | Andy Crump Cllr Whiting |

| TO BE CONFIRMED | | | | | | |
|---|---|---|---|---|--|--|
| Topic and Reference | Purpose of report | History of Committee Dates & Reason code for deferment | Contact Officer & Portfolio Holder | Expansion on Reasons for Deferment | External Consultees/ Consultation Method/ Background Papers | Request for attendance by Committee |
| Health Strategy (Ref 576) | To update members on the formulation of the Council's Health Strategy, following the return of Public Health to local authorities (Moved March 14 Reason 3) | Executive 12 March 2014 | Rob Chapleo Cllr Mrs Grainger | The strategy will need to take into account the approach of the new administration and County Health & Wellbeing Strategy | | |
| Asset Management Strategy (Ref 641) | To propose an Asset Management Strategy for all the Council's buildings and land holdings. (Moved Reason 6 Seeking further clarification on implications of report) | 5 November 2014 Executive (03/09/15) | Bill Hunt Cllrs Coker & Mobbs | | | |
| Delivery of Housing Aids and Adaptations Services – Private sector housing grants policy (Ref 658) | To propose a revised policy for the allocation of grant funding for private residents | | Abigail Hay Cllr Phillips | This will come forward in due course once the Future of Housing Adaptations Service has been determined | | TBC |
| Corporate Debt Policy | To approve the Corporate Debt Policy | | Jon Dawson Cllr Whiting | | | |

Section 3 – Items which are anticipated to be considered by the Executive but are NOT key decisions

| Topic and Reference | Purpose of report | If requested by Executive – date, decision & minute no. | Date of Executive, Committee or Council meeting | Publication Date of Agendas | Contact Officer & Portfolio Holder | External Consultees/ Consultation Method/ Background Papers |
|---|---|--|--|------------------------------------|---|--|
| Nomination for the appointment of Chairman & Vice Chairman of the Council for 2016/17 | The Executive to recommend who will be Chairman and Vice-Chairman of the Council in 2016/17 | | Executive 10/2/2016 | 1/2/2016 | Graham Leach Cllr Mobbs | |
| Review of Significant Business Risk Register | To inform Members of the Significant Risks to the Council | | Executive 6/4/2016 | | Richard Barr Cllr Whiting | |

Delayed reports:

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

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

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

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

Finance and Audit Scrutiny Committee WORK PROGRAMME 2016

8 MARCH 2016

AUDIT ITEMS

| | | | | |
|---|--|--------|----------------|------------------|
| 1 | Internal Audit Quarterly Report Quarter 3 2015/16 | Report | Richard Barr | Quarterly report |
| 2 | Auditing Standards | Report | Mike Snow | Annual report |
| 3 | Annual Governance Statement Quarter 3 2015/16 Action Plan | Report | Richard Barr | Quarterly Report |
| 4 | 2015/16 Audit Opinion Plan | Report | Mike Snow / EA | Annual report |

Scrutiny items

| | | | | |
|---|--|--------|-------------|--|
| 1 | Scrutiny of Infrastructure Delivery Plan | Report | Tracy Darke | Update report from 29/09/15 – agreed by F&A, minute number 67. |
| 2 | Housing Business Plan Performance Management | Report | Abigail Hay | Biannual report |
| 2 | Section 106 Agreements | Report | Tracy Darke | Agreed 1 December 2015 - continuous monitoring |

5 APRIL 2016

AUDIT ITEMS

| | | | | |
|---|--|--------|--------------|---------------|
| 1 | Internal Audit Strategy & Plan 2016/17 – 2018/19 | Report | Richard Barr | Annual report |
| 2 | Significant Business Risk Register | Report | Richard Barr | |
| 3 | Finance Risk Register | Report | Mike Snow | |

SCRUTINY ITEMS

| | | | | |
|---|-----------------------------|--------|---------------------|-----------------|
| 1 | End of Term Report | Report | Amy Carnall / Chair | Annual report |
| 2 | Procurement Biannual Report | Report | John Roberts | Biannual report |

| Date | Contracts Registers Reviews 2016/17 | Risk Registers Reviews 2016/17 |
|-------------------|--|---|
| 1 / 28 June 2016 | Health & Community Protection | |
| 26 July 2016 | | <i>Democratic Services</i> |
| 31 August 2016 | Housing & Property Services | |
| 27 September 2016 | Cultural Services | |
| 1 November 2016 | | Neighbourhood Services |
| 29 November 2016 | Development Services | |
| 04 January 2017 | | Chief Executive's |
| 07 February 2017 | Neighbourhood Services | |
| 07 March 2017 | Finance | |
| 04 April 2017 | Chief Executive's | Housing & Property Services |
| July 2017 | | Cultural Services |
| October 2017 | | Development Services |