

Finance and Audit Scrutiny Committee

Tuesday 29 September 2015

A meeting of the above Committee will be held at the Town Hall, Royal Leamington Spa on Tuesday 29 September 2015 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. **Substitutes**

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**

To confirm the minutes of the meeting held on 2 September 2015.

(To follow)

Part B – Audit Items

4. **National Fraud Initiative**

To consider a report from Finance

(Item 4/Page 1)

Part C – Scrutiny Items

5. **Review of Development Services Risk Register by Finance & Audit Scrutiny Committee**

To consider a report from Development Services

(Item 5/Page 1)

6. **Procurement Progress Update**

To consider a report from Finance Services

(Item 6/Page 1)

7. **Warwick District Local Plan – Infrastructure Delivery Plan – (IDP) Progress Report**

To consider a report from Development Services

(Item 7/Page 1)

8. **Comments from the Executive**

To receive a report from Civic & Committee Services

(Item 8/Page 1)

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

To consider a report from Civic & Committee Services

(Item 9/Page 1)

10. **Executive Agenda (Non Confidential Items and Reports) – Wednesday 30 September 2015**

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)

11. **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.

12. **Executive Agenda (Confidential Items and Reports) – Wednesday 30 September 2015**

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)

Published Monday 21 September 2015

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The agenda is also available in large print, on request, prior to the meeting by calling 01926 353362.

Finance and Audit Scrutiny Committee

Minutes of the meeting held on Wednesday 2 September 2015 at the Town Hall, Royal Leamington Spa at 6.00pm.

Present: Councillor Barrott (Chair): Councillors Ashford, Butler, Gifford, Harrington, Illingworth, Quinney, Rhead and Thompson

Also Present: Councillors Cross, Mrs Gallagher, Mobbs, Phillips and Whiting.

Apologies for absence were received from Councillor Heath.

35. **Substitutes**

Councillor Ashford substituted for Councillor Day.

36. **Declarations of Interest**

Minute Number 39 – Executive Item 3 – St Mary’s Lands

Councillor Illingworth declared an interest in this item because he was a member of the West Midlands Reserve Forces & Cadets Association.

Minute Number 41 – Executive Item 10 – Resolution of Rent Issues – Cadets HQ Building

Councillor Illingworth declared an interest in this item because he was a member of the West Midlands Reserve Forces & Cadets Association.

37. **Minutes**

The minutes of the meeting of 28 July 2015 were taken as read and signed by the Chairman as a correct record.

38. **Internal Audit Quarter 1 2015/16 Progress Report**

The Committee received a report from Finance which advised on the progress in achieving the Internal Audit Plan 2015/16, summarised the audit work completed in the first quarter and provided assurance that action had been taken by managers in respect of the issues raised by Internal Audit.

Five audits were completed in the first quarter of 2015/16 and copies of all the reports issued during the quarter were available for viewing.

The action plans accompanying all Internal Audit reports issued in the quarter were set out as Appendix 3 to the report and detailed the recommendations arising from the audits together with the management responses, including target implementation dates.

Responses had been received from managers to all recommendations contained in audit reports issued during the quarter in question.

One of the audits completed during the quarter, Building Cleaning Services, was awarded a lower than substantial assurance opinion. The Portfolio Holder for Housing and Property Services, Councillor Phillips and the interim caretaker for the contract, the Housing Support Team Manager, attended the meeting to answer questions from the committee.

Councillors raised concerns that response target dates had been missed and asked the Chief Executive to clarify the process. The Chief Executive did not feel that this was a serious issue across the board and advised that reminders were sent out to ensure timely responses. If a manager consistently missed response dates, they would be addressed and suitable training would be provided. The Chief Executive did agree to provide Members with information relating to the training that managers receive at the Council.

In response to a question regarding email retention, the Deputy Chief Executive (AJ) and Monitoring Officer advised that this policy was currently under review. He explained that an audit report would be submitted shortly updating Members and advising which areas of information governance needed tackling.

The Cleaning Contract generated a lot of discussion and Members' concerns included whether the performance problems were related to staff remuneration and the poor history of the service delivery.

Councillor Gifford felt strongly that this was an appalling contract and should be used as an example of the lowest tender not being the best value for money.

In response to a question relating to the workload in the Audit team, the Audit & Risk Manager assured the committee that he was happy with the level of resources.

The issue of default notices failing to be served was highlighted and the Portfolio Holder agreed that he would expect these to be applied when necessary.

In addition, Councillor Phillips agreed that the report did not make for satisfactory reading and assured Members that he would be discussing this at his monthly performance meetings with the Head of Housing and Property Services. He felt that the contract required monthly monitoring and confirmed that his next meeting with the Head of Housing and Property Services was due in the next two weeks.

Resolved that the report be noted.

39. **Executive Agenda (Non Confidential Items & Reports) – Thursday 3 September 2015**

The Committee considered the following item which would be discussed at the meeting of the Executive on Thursday 3 September 2015:

Agenda Item 3 – St Mary’s Lands

The Committee supported the recommendations in the report. Members were mindful that the report was not only about Racing Club Warwick but recognised that this was a new start and a positive way forward for the club.

40. **Public and Press**

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

41. **Executive Agenda (Confidential Items & Reports) – Thursday 3 September 2015**

The Committee considered the following item which would be discussed at the meeting of the Executive on Thursday 3 September 2015.

Agenda Item 10 – Resolution of Rent Issues – Cadet’s HQ Building

The Committee supported the recommendations in the report.

42. **Benefit Fraud Investigation - Performance**

The Committee received a report from Finance which provided information regarding the performance of the Benefit Fraud Service for the financial year 2014/15.

The report reminded Members that the Council had a duty to protect public funds. This involved ensuring that the correct sanction was applied where a benefit claimant was deemed to have committed a fraudulent act in relation to their claim, for either housing benefit or council tax benefit and from the 1st April 2013, council tax reduction.

The report detailed the number of administrative penalties issued, official cautions and prosecutions carried out in 2014/15.

In addition, the table at section 8.4 of the report detailed the total benefit found to have been fraudulently paid for each of the financial years. There was a significant increase in fraudulent overpayments identified during 2014/15 and this was largely due to a number of high value overpayments.

The Benefit Fraud Manager answered questions from the committee and explained the breakdown of successful prosecutions. In response to a request from Councillor Rhead, the Benefit Fraud Manager agreed to supply Members with the amount of monies successfully recovered from overpayments caused by people committing fraud, compared to claimant error.

Resolved that the report be noted.

43. **Annual Governance Statement Action Plan 2015/16 – Review of Progress**

The Committee received a report from Finance which reviewed the progress being made in addressing the 'Significant Governance Issues' facing the Council set out in its Annual Governance Statement (AGS) 2014/15. The appendix accompanying the report set out the progress in addressing the Significant Governance Issues.

The production of an Annual Governance Statement was a statutory requirement for local authorities.

The advice from the CIPFA Financial Advisory Network was that the AGS was a key corporate document and the most senior member and the most senior office should have joint responsibility as signatories for its accuracy and completeness. Therefore, the Leader and Chief Executive of the Council, as signatories, needed to ensure that it accurately reflected the governance framework for which they were responsible.

An Action Plan was attached as an appendix to the report and gave a review of the progress made for Quarter 1.

Members were asked to review this and confirm whether it was satisfied with the progress being made in addressing the Significant Governance Issues relating to the Annual Governance Statement 2014/15.

Resolved that the report be noted.

44. **Executive Agenda (Non Confidential Items & Reports) – Thursday 3 September 2015**

The Committee considered the following items which would be discussed at the meeting of the Executive on Thursday 3 September 2015:

Agenda Item 5 – Housing Stock Condition Survey & Strategic Asset Management

The Committee supported the recommendation.

However, Members were concerned that there was no information contained in the report about the benefits of conducting the stock condition survey. They therefore requested that the Executive ask officers to gather further information on the costs and benefits of the survey, possibly by speaking to other similar sized neighbouring authorities who had been through the process.

45. **Public and Press**

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

46. **Executive Agenda (Confidential Items & Reports) – Thursday 3 September 2015**

The Committee considered the following item which would be discussed at the meeting of the Executive on Thursday 3 September 2015.

Urgent Item – Item 13 – Regulatory (Licensing) Team Restructure

The Committee supported the recommendations in the report.

47. **The Monitoring of Section 106 Contributions**

The Committee considered a report from Development Services that advised Members of the progress made in the development of a section 106 monitoring database.

The Development Manager attended and introduced the Infrastructure Delivery Manager from Warwickshire County Council, Ms Neale. Part of Ms Neale's role was to work with Development officers and the District Council to help bring Section 106 agreements together.

The Development Manager outlined the spreadsheet which documented all of the S106 agreements from the past number of years. The Development Manager explained that there was a huge amount of joint working internally within the Council and with external bodies to collate the information and progress the agreements.

Ms Neale explained how officers were working together to develop a coordinated response and some staff had only been in post since April. In addition, they were linking in with Fire and Rescue, the Police and the Ambulance Trust. In response to a question from the Committee, Ms Neale explained that each organisation had a representative on the board and if some groups were not participating, it would be flagged up.

Members sought clarification on the 'red' entries, which were those with outstanding contributions and on the best system to manage the information being requested.

The Head of Development Services reminded the Committee that this was a very resource hungry piece of work and at present the information only went back ten years. The Head of Development Services explained that ideally officers would like to be able to use the Idox system to store and analyse the data but did not have the funds to pursue this at present. She also reminded Members that it had been important to get all the

information in one place as quickly as possible and officers were hoping to refine the system in time.

The Committee thanked Ms Neale for attending.

Resolved that the report be noted.

48. **Review of Neighbourhood Services Contracts Register**

The Committee considered the contract register from Neighbourhood Services and were asked to review and make observations on it as appropriate.

One of the terms of reference for the Finance and Audit Scrutiny Committee included promoting 'value for money and good procurement practice'. As part of this work, the Committee agreed in March 2014 to review each departmental contract register in turn.

A copy of the contract register was attached as an appendix to the report.

Members were concerned that a number of contracts were detailed as unsigned and did not feel that this was good enough. In addition, concerns were raised that some contracts were not being reviewed before expiration.

In response, the Head of Neighbourhood Services advised that a number of the unsigned contracts were in existence but could not give an answer as to why they had not been signed. He also reminded Members that officers liaised with the Procurement team but could not advise as to the difference between a small or medium contractor.

In answer to a query from the Committee, officers confirmed that the contract registers did get monitored at CMT level and one contract was in the process of being drawn up.

Resolved that the Neighbourhood Services contract register be noted.

49. **Public and Press**

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

50. **Executive Agenda (Confidential Items & Reports) – Thursday 3 September 2015**

The Committee considered the following item which would be discussed at the meeting of the Executive on Thursday 3 September 2015.

Agenda Item 11 – ICT Services – Establishment Changes

The Committee supported the recommendations in the report.

51. **Executive Agenda (Non Confidential Items & Reports) – Thursday 3 September 2015**

The Committee considered the following items which would be discussed at the meeting of the Executive on Thursday 3 September 2015:

Agenda Item 6 – Sustainable Community Strategy & Fit For the Future Updates and Service Area Plans 2015/16

The Committee supported the recommendations in the report. Members asked a number of questions around the overall subject of where savings would come from and how income was likely to be generated. Although they were mindful it was early days, the Committee did have genuine concerns and would continue to monitor the situation.

52. **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 29 July 2015.


Resolved that the contents of the report be noted.

53. **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.

Resolved that the work programme be noted.

(The meeting ended at 9.08 pm)

 Finance and Audit Scrutiny Committee 29th September 2015		Agenda Item No. 4
Title	National Fraud Initiative	
For further information about this report please contact	Ian Wilson, Senior Internal Auditor	
Wards of the District directly affected	None	
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	30th September 2014 (Minute 59)	
Background Papers	NFI Referrals Database (Cabinet Office) NFI Internal Working Papers (Internal Audit)	

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 & Sustainability Impact Assessment Undertaken	No
Subject matter relates to mandatory participation in a long established national process overseen by the Cabinet Office (taken over from the former Audit Commission).	

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	10/9/2015	Andy Jones
Head of Service	11/9/2015	Mike Snow
CMT		
Section 151 Officer	11/9/2015	Mike Snow
Monitoring Officer		
Finance	11/9/2015	Mike Snow
Portfolio Holder(s)	11/9/2015	Councillor Whiting
Consultation & Community Engagement		
Not applicable		
Final Decision?	Yes	
Suggested next steps (if not final decision please set out below)		

1. **Summary**

- 1.1 The purpose of this report is to present to Members details of progress on the Council's investigations into the data matches from the 2014-15 National Fraud Initiative (NFI) programme.

2. **Recommendation**

- 2.1 That this Committee notes the progress and outcomes to date from the 2014-15 round of the NFI.

3. **Reasons for the Recommendation**

- 3.1 Members have requested annual updates on NFI activities.
- 3.2 The NFI considers itself to be a major contributor to public sector counter-fraud activity and continually seeks to expand its influence in both the public and private sectors. From Warwick District Council's perspective the contribution of NFI to counter fraud activity has always been marginal overall, but offers significant value as a source of independent assurance on the effectiveness of the Council's preventative controls and as a deterrent against fraud.
- 3.3 The results to date from the 2014-15 NFI programme are discussed in Section 9 below.

4. **Policy Framework**

- 4.1 Local authorities are required to participate in the NFI under Schedule 9 of the Local Audit and Accountability Act 2014 (this replaces Part IIa of the now repealed Audit Commission Act 1998). Commitment to the NFI also forms part of the Council-wide counter-fraud framework embodied in the Anti-Fraud and Corruption Policy.
- 4.2 This contributes to achievement of Fit for the Future targets by helping to eliminate wasteful dissipation of financial resources.

5. **Budgetary Framework**

- 5.1 There are no direct budgetary impacts arising.

6. **Risks**

- 6.1 Effective participation in the NFI reinforces the Council's measures for mitigating the risk of fraud.

7. **Alternative Options Considered**

- 7.1 Not applicable.

8. **Background**

- 8.1 The National Fraud Initiative (NFI) is a national inter-organisational data matching service developed by the Audit Commission but now managed by the Cabinet Office.

- 8.2 While the NFI has traditionally focused on housing benefit fraud as its main target area, recent years have seen pensions and council tax discount overtake housing benefits in terms of monetary value attributed to fraud and irregularities detected through its activities. Other areas targeted include:
- employment
 - social housing tenancies
 - right to buy
 - student loans
 - trade creditors
 - licensing (taxi and alcohol)
 - resident parking permits
 - insurance claims.
- 8.3 To meet its obligations under the NFI, Warwick District Council is required to:
- § extract and supply data to the managing body (now the Cabinet Office);
 - § review and, where appropriate, investigate output referred back from the data matching processes and report the outcomes to the managing body.
- 8.4 To comply with law and best practice in handling and sharing personal information, the process is governed by a Code of Data Matching Practice adopted by the Cabinet Office.
- 8.5 The Responsible Financial Officer has overall management responsibility for the NFI at each local authority. NFI operations at Warwick District Council are overseen by a member of Internal Audit as designated 'Key Contact'.
- 8.6 Results of NFI data matches are issued through a secure web-based application system. Only a small number of Council staff have access to this system and they are required to observe special data handling instructions in addition to the Council's policies on information security.

9 **NFI Outcomes**

- 9.1 Members are reminded that the Council's Benefit Fraud Team transferred to the Department for Work and Pensions' Single Fraud Investigation Service (SFIS) in February 2015. This coincided with the release of the latest tranche of housing benefit matches and has naturally had a major impact on staff resources available within the Council to process them.
- 9.2 Although investigation of housing benefit fraud is now the responsibility of the SFIS, the Cabinet Office has advised that the Council is expected to 'sift' the NFI housing benefit matches initially (at least for the 2014-15 round). A protocol has been issued for referral of benefit matches selected for further investigation by the SFIS.
- 9.3 The Employment Committee gave approval in September 2014 to recruit a Corporate Fraud Officer reporting to the Benefits and Fraud Manager. This would help to address the resource issue and establish a central focus for counter-fraud generally within the Council.
- 9.4 Recruitment difficulties have, however, delayed appointment to the post and the eventual appointee has only recently taken up his duties at the time of this report.

- 9.5 As a consequence of the 'localisation' of council tax support, the NFI has instituted a pilot scheme for separate matching of council tax reduction under the respective authorities' schemes. Warwick District Council is participating in the pilot and the resultant matches were released in July 2015.
- 9.6 The processing of these matches is a priority for the new Corporate Fraud Officer, as is the sifting of the aforementioned housing benefit matches. It is aimed to have these completed by the end of October.
- 9.7 A further pilot scheme in which the Council has chosen to participate is the matching of social housing waiting lists. The resultant matches were released in early April 2015 and these are being processed by Housing Strategy and Support Services.
- 9.8 Council tax discount matching is now performed annually in December. Since the previous year's report to Members, work has continued on processing matches released in March 2014 and a further tranche released in December 2014. The results summarised in the table below represent the aggregate of March 2014 matches processed since the previous report and the December 2014 matches processed to date (adjusted for duplicate matches between the two sets).
- 9.9 The results to date of the 2014-15 NFI matches are summarised in the table below. It should be emphasised that a risk-based approach is expected on the part of participating authorities in processing NFI matches, therefore not all matches will necessarily be checked especially where there is a large number of them.

Match Type	No. of matches received	No. of matches processed	No. of cases of fraud/ error identified	Over-payments identified £
Housing Benefit	757	74	-	-
Payroll	46	46	-	-
Housing Tenants	28	28	4 ⁽¹⁾	-
Right to Buy	7	7	1 ⁽²⁾	-
Resident Parking Permits	3	3	2 ⁽³⁾	-
Insurance Claims	9	9	-	-
Taxi Drivers	2	2	-	-
Personal Alcohol Licence Holders	-	-	-	-
Creditors – duplicate suppliers	229	229	12 ⁽⁴⁾	-
Creditors – Duplicate Payment Transactions	298	298	1 ⁽⁵⁾	7,675 (excluding VAT)
Creditors – VAT overpaid	170	170	-	⁽⁶⁾
Council Tax Discount	1,798	1,778	374 ⁽⁷⁾	148,585
Waiting List (Pilot)	336	26	-	-
Council Tax Reduction (Pilot)	886	52	-	-


Notes to table above

- (1) Relates to records containing incorrect National Insurance numbers – referred to Housing and Property Services for correction.
- (2) Right to Buy application repudiated by Legal Services as a result of the match.
- (3) Permit holders shown as deceased referred to Warwickshire County Council. The match process straddled the transfer of on-street parking enforcement back to the County. Warwick District Council will have no further involvement with resident permit holder matches.
- (4) The vast majority of duplicate creditors appearing in the matches had already been de-activated in the system to prevent their re-use as a result of periodic internal review. A further 12 duplicate creditors were reported and these have now been de-activated or flagged for de-activation once recent orders raised against them are completed.
- (5) The duplicate payment occurred in February 2013 and relates to asbestos removal at four housing properties. The cause is attributed to a combination of errors and a failure to institute basic checks. At the time in question, a temporary Asbestos Manager was employed as an agency placement prior to the same person being contracted in as an asbestos consultant. Issues in respect of this contract and working practices during its currency were reported to the Executive on 12th March 2014, by which time the contract had been terminated.
Recovery of the overpayment is still being pursued at the time of this report.
- (6) All 'VAT overpaid' matches related to invoices from the Council's bailiffs. These invariably include additional VAT relating to fees already received by them through deduction from recovered council tax arrears.
- (7) Relates to council tax accounts where single person discount was revoked as a result of the matching. All cases were classified as 'error' (i.e. no proven intent to defraud) and the overpayment amount represents the re-debits made to the applicable accounts. This does not include the standard £70 penalties imposed under the Local Government Finance Act 2012 (Section 14C(1)) as the NFI system is not yet designed for recording them. The total amount of penalties imposed for the NFI match cases is estimated at around £15,000.

10 **Future Developments**

- 10.1 The next NFI match of housing benefit data is currently expected to take place in 2017, by which point the landscape is likely to have changed considerably under the Welfare Reform agenda. Any changes to, or impacts on, the role and expectations of the Council in respect of future housing benefit matches will be reviewed nearer the time, although arrangements are already in place to recruit a support officer to deal with future matches.
- 10.2 In line with a shift of emphasis from fraud detection to fraud prevention, the NFI has been promoting its 'Application Checker' service which was launched in April 2015.
- 10.3 This allows details of applicants for social housing tenancies, housing benefits, council tax reduction, employment and relevant licences to be matched to the bulk accumulated NFI submissions database at the time of each individual application being processed. In each case, the result should either provide greater positive assurance as to the applicant's identity and status (including residency, immigration and financial) or show indications of further investigation being warranted prior to acceptance.
- 10.4 The service carries a charge based on the level of usage up to a maximum of £1,850 per annum.

10.5 At the time of this report, the relevant service managers are being consulted on the principle of incorporating the Application Checker into their respective processes. From a recent canvass of Midlands local authorities, none reported having adopted the facility.

 FINANCE & AUDIT SCRUTINY 29th September 2015		Agenda Item No. 5
Title	Review of Development Services Risk Register by Finance & Audit Scrutiny Committee	
For further information about this report please contact	Tracy Darke Head of Development Services Tel: 01926 456501 email: tracy.darke@warwickdc.gov.uk or Richard Barr Audit & Risk Manager Tel: 01926 456815 email: richard.barr@warwickdc.gov.uk	
Wards of the District directly affected	Not applicable	
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	9 July 2013 – Finance & Audit Scrutiny Committee	
Background Papers	WDC risk management policy & guidelines	
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 & Sustainability Impact Assessment Undertaken	N/A: no direct service implications	

Officer/Councillor Approval		
With regard to report approval all reports <i>must</i> be approved as follows		
Title	Date	Name
Chief Executive/Deputy Chief Executive	10/9/15	Bill Hunt
Head of Service	10/9/15	Tracy Darke
CMT	10/9/15	
Section 151 Officer	10/9/15	Mike Snow
Monitoring Officer	10/9/15	Andrew Jones
Finance	10/9/15	As per S151 Officer
Portfolio Holder(s)	10/9/15	Cllr Stephen Cross
Consultation & Community Engagement		
None other than consultation with members and officers listed above.		
Final Decision?	Yes	
Suggested next steps (if not final decision please set out below)		

1 **SUMMARY**

- 1.1 This report sets out the process for the review by Finance & Audit Scrutiny Committee of the Development Services Risk Register.

2 **RECOMMENDATIONS**

- 2.1 That Finance & Audit Scrutiny Committee should review the Development Services Risk Register attached at Appendix 1 and make observations on it as appropriate.

3 **REASON FOR THE RECOMMENDATIONS**

- 3.1 To enable members to fulfil their role in managing risk (see section 8, below).

4 **POLICY FRAMEWORK**

- 4.1 The Development Services Risk Register is part of the Council's corporate risk management framework. The Register reflects the Council's corporate priorities and key strategic projects that are contained in Fit for the Future.

5 **BUDGETARY FRAMEWORK**

- 5.1 Although there are no direct budgetary implications arising from this report, risk management performs a key role in corporate governance including that of the Budgetary Framework. An effective control framework ensures that the Authority manages its resources and achieves its objectives economically, efficiently and effectively.
- 5.2 The risk register sets out when the realisation of risks might have financial consequences. One of the criteria for severity is based on the financial impact.

6 **RISKS**

- 6.1 The risks are contained in the Service's Risk Register, set out as Appendix 1.

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 **RESPONSIBILITY FOR RISK MANAGEMENT**

- 8.1 In its management paper "Worth the risk: improving risk management in local government", the Audit Commission sets out clearly the responsibilities of members and officers:

"Members need to determine within existing and new leadership structures how they will plan and monitor the council's risk management arrangements. They should:

- decide on the structure through which risk management will be led and monitored;
- consider appointing a particular group or committee, such as an audit committee, to oversee risk management and to provide a focus for the process;
- agree an implementation strategy;
- approve the council's policy on risk (including the degree to which the council is willing to accept risk);
- agree the list of most significant risks;
- receive reports on risk management and internal control – officers should report at least annually, with possibly interim reporting on a quarterly basis;
- commission and review an annual assessment of effectiveness: and
- approve the public disclosure of the outcome of this annual assessment, including publishing it in an appropriate manner.

The role of senior officers is to implement the risk management policy agreed by members.

It is important that the Chief Executive is the clear figurehead for implementing the risk management process by making a clear and public personal commitment to making it work. However, it is unlikely that the Chief Executive will have the time to lead in practice and, as part of the planning process, the person best placed to lead the risk management implementation and improvement process should be identified and appointed to carry out this task. Other people throughout the organisation should also be tasked with taking clear responsibility for appropriate aspects of risk management in their area of responsibility."

9 **BACKGROUND**

9.1 Executive agreed on 11th January 2012 that:

- (a) Portfolio Holders should review their respective Service Risk Registers quarterly with their service area managers.
- (b) Portfolio Holder Statements should include each service's top three risks.
- (c) Executive should note the process for the review by Finance & Audit Scrutiny Committee of service risk registers.
- (d) The relevant Portfolio Holders should attend the Finance & Audit Scrutiny Committee meetings at which their respective service risk registers are reviewed.

9.2 The full framework endorsed by Executive at that meeting is set out as Appendix 3.

9.3 Risk registers are in place for all significant risks facing service areas in the provision of their services. In addition to service risk registers for all service areas there is the Significant Business Risk Register that contains the organisation's corporate and strategic risks (the latest version of this being presented to the January Executive meeting).

10 **DEVELOPMENT SERVICES RISK REGISTER**

10.1 **Introduction**

- 10.1.1 The latest version of the Development Services Risk Register is set out as Appendix 1 to this report. The register was last reviewed on 7th July 2015 although there may have been further changes by officers since as the document is a live document which officers access at any time. As it is held in a central location on the system for the service area and is a live document, there are no arrows showing the direction of travel for any risks that have moved since the last report to Finance and Audit Scrutiny in November 2013.
- 10.1.2 The scoring criteria for the risk register are subjective and are based on an assessment of the likelihood of something occurring, and the impact that might have. Appendix 2 sets out the guidelines that are applied.
- 10.1.3 In line with the traditional risk matrix approach, greater concern should be focused on those risks plotted towards the top right corner of the matrix whilst the converse is true for those risks plotted towards the bottom left corner of the matrix. If viewed in colour, the former-described set of risks are within the area shaded red, whilst the latter-described set of risks are within the area shaded green; the mid-range are in the area seen as yellow.

10.2 **Overview of Development Services Risk Management**

- 10.2.1 The Development Services Risk Register is owned and managed by Development Services Management Team and the Portfolio Holder for Development. The register is reviewed on a regular basis and is discussed on a regular basis by Head of Development Services and Portfolio Holder at their meetings. The document is held centrally for officers to update it. Whilst the last significant update was in July 2015, the document was last accessed and updated on 28th August 2015.
- 10.2.3 The Development Services Risk Register includes the significant business risks across the service. Some of these are generic risks, but the majority are inevitably service specific. There are also a number of risk assessments that relate to officers as a number of staff visit building sites or may be lone workers visiting customers at their homes or in remote locations.

10.3 **Development Services Risks**

- 10.3.1 Development Services is responsible for:

Development Management, including land charges, enforcement and conservation
Planning Policy
Building Control
Economic Development and Regeneration

- 10.3.2 The service area is a very front facing service, and the customer interface, particularly in relation to planning can be quite challenging at times. The service is very reliant on ICT systems performing well, and the customer expectation is high with opportunity to be commenting on planning

applications 24/7. There is also significant controversy with the local plan which is very high profile for the Council. Also, in building Control we run services for Rugby Borough Council and Daventry District Council and therefore have to ensure that we meet customer expectations and the standards expected of those Councils.

There have been six risks moved from 'red' since the last report and three remaining which are explained in more detail below identified as major risks.

10.3.3 Major risks:

Local Plan is found unsound or there is a significant delay

The main risks associated with the Plan being unsound or an extended delay to its progression through examination are:

- **Delay in delivering Local Plan Housing Sites:** Any Local Plan housing sites in the Green Belt cannot be brought forward until the Plan is adopted. Withdrawal of the Plan will therefore hold up the delivery of all housing sites within the Green Belt including Kenilworth and Lillington. This undermines the Council's ambitions to boost housing supply in line with the NPPF but will also mean that the community benefits that these developments are intended to bring will be delayed.
- **Consequences for the sub-regional and other employment sites:** The proposed sub-regional employment site (the Coventry & Warwickshire Gateway) is currently within the Green Belt, this cannot be progressed until the Plan is adopted. This is likely to have implications for the supply of readily available large-scale employment land within the sub-region. Such delay will clearly hinder the recovery of the local economy slowing the growth of businesses and jobs and undermine the sub-region's Strategic Economic Plan. The same is true for the development of the University of Warwick campus, for Stoneleigh Park and for the proposed employment land at Stratford Road, Warwick.
- **Applications for development on unwanted sites:** Whilst we do not have a Local Plan in place there is a risk that applications for development on non-Green Belt sites which fall outside our spatial strategy will receive planning permission through appeals. This is particularly the case when we do not have a 5 year supply of housing land, something which can best be remedied in a controlled way through the adoption of the Local Plan. This may have particular implications for the Asps appeal (900 houses) and Gallows Hill appeal south of Warwick (450 houses).
- **Outdated Plan Policies:** The policies in the emerging Local Plan (for instance those covering retail, economy, flooding, healthy communities, housing etc.) cannot be given weight in the event that the Plan is withdrawn. This would mean that decisions on a whole range of planning applications would have to be based on policies in the extant Local Plan that are long in the tooth or on national policy.
- **Infrastructure Delivery:** The delivery and funding of Infrastructure will be more difficult to achieve for two reasons. Firstly we will be at risk from applications on unallocated sites for which infrastructure requirements have not been fully assessed and planned, making it harder to identify and justify developer contributions. Secondly, a delay to the Local Plan adoption will also delay our ability to adopt a CIL Scheme. This will increase the risk that we will not be able to justify Section 106

contributions for all infrastructure requirements due to “pooling restrictions”.

- **Government Intervention:** Although specific details have yet to emerge the Government has announced that if Plans have not progressed by early 2017 then it may intervene (see paragraph 7.1.6) and “*arrange for the plan to be written, in consultation with local people, to accelerate production of a local plan*” which can also be taken to mean that development and its location will be imposed on the District irrespective of the Council’s views.

Failure to ensure that Planning committee operates smoothly

Planning committee is a very regulated function and requires the right information being provided to ensure that the correct decision is made on planning applications. It is open to the public and there is the opportunity for the public, applicants and Councillors to interact with the meeting. As well as all the preparation of the reports, the arrangements for public speaking are tightly controlled to ensure fairness, the ICT equipment has to be functioning well, the equipment at the Town Hall has to be working in an acceptable way, and the Members of the committee need adequate training and support to ensure that they make the correct decision on applications to be determined. If this does not happen, then there is a risk of the incorrect decision or delays, which may result in appeals, costs and reputational damage. To mitigate this, there has been extensive training with the new planning committee members, training and support to Town Councils, improvements to ICT equipment and new equipment installed at the Town Hall. However, the risk still remains in ‘red’ as a number of these measures to mitigate the risk have only recently been put in place.

Building Control losing work to Approved Inspectors

The Building Control service has been through considerable change over the last few years and it is now part of a combined service with Rugby and Daventry Councils. The main reason for combining the services is to provide resilience as we are in direct competition with the private sector, who offer attractive pay and benefits. The result of this is a number of qualified officers in the industry have left Local Authorities, so it is difficult to retain and attract staff. This inevitably affects the ability to win business against the fierce competitiveness of the private sector. There is a legal requirement for Local Authorities to publish their fee schedule and it is therefore easy for the private sector to attempt to undercut these. The way we are managing this is to promote the joint service, ensuring consistency across the three areas, being competitive on price, selling the service as ‘not for profit’ (requirements under CiPFA) and offering the quality of service that is as good if not better than approved inspectors can offer. We are also actively encouraging partnerships. Therefore, the impact and likelihood continues to be high but it is hoped that when the new service beds down and all the transitional issues are resolved, the ratings will be adjusted accordingly.

10.4 **Review of Risk Register by Members**

- 10.4.1 It is proposed that Members should review the risk register set out as Appendix 1, confirming that risks have been appropriately identified and assessed and that appropriate measures are in place to manage the risks effectively. Members may wish to challenge the Portfolio Holder and the Head of Development Services on these aspects and assure themselves that their risk register is a robust document for managing the risks facing the service.

Development Services Risk Register

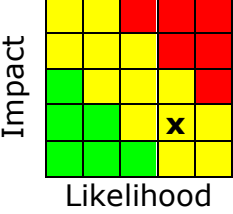
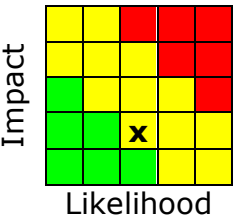
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Generic Risks								
Health and Safety	Staff not assessing risks adequately/at all Lack of awareness Lone working System failure	Physical/verbal attacks on staff Injury to staff Compensation claims Reputational damage	Risk assessments done Equipment provided to ensure contact possible in cases of emergency Procedures in place/adequate training	All managers	Risk assessments to be revised through audit. Staff awareness sessions to be undertaken, with a focus on particular events.	Staff time	On-going	
Failure of IT/Loss of IT records	Computer system breaks down Power failure Malicious acts/hacking of system Poor knowledge/understanding of system	Unable to continue with the service Systems not set up adequately resulting in additional work Impact on Planning Committee and WDC reputation.	Adequate back-up system in place. Business Continuity Plan in place.	All managers	On-going engagement with appropriate colleagues to ensure that appropriate improvements are made. Ensure the Business Continuity Plan is updated regularly.	Staff time/funding	On-going	
Staff resources	Lack of succession planning Loss of key staff/knowledge Lack of staff cover for emergency/bank holiday	Staff not skilled to be able to respond to service area matters Unable to respond to emergencies – may result in harm/injury/death Unauthorised developments taking place, i.e. Gypsy and traveller incursions	Ensure that training and development of knowledge about the service is shared amongst a number of staff to provide resilience	All managers	Ensure that one-to-one discussions and appraisals take place to discuss staff development	Staff time	On-going	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Training	Lack of time to invest in training. Lack of budget. Legal challenges on decisions.	Staff not skilled or experienced enough to be able to provide the service necessary Wrong advice is given Development takes place that is not authorised	Training plans to be in place Legal support provided Budget required to invest in staff	All managers	Ensure through appraisals that training is being done Development Services Training Plan being developed as a basis for training and resource allocation Review budget for training.	Staff time	Annual	
Legislation changes	Staff not keeping abreast of changes Staff not keeping to CPD requirements	Statutory procedures not followed Judicial reviews Complaints upheld Loss of professional accreditation	Training plans Legal support Officers to ensure they keep their CPD up to date	All managers	Ensure that staff are completing adequate training	Staff time/ funding for training	On-going	

Development Services Risk Register (Planning Policy)

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Planning Policy Risks								
<p>Losing planning appeals or failing to deliver adequate infrastructure for development as a result of not having an up to date Local Plan in place (part of the Strategic risk Register)</p>	<p>Receipt of major planning applications prior to adoption of the Local Plan</p> <p>Lack of a 5 year supply of housing land</p>	<p>We could lose planning appeals on sites which are not preferred by the Council</p> <p>We could lose appeals or be in a position where we have to grant permission for applications which do not deliver the quality of development or infrastructure that we would require through the Local Plan</p> <p>Reputation with the residents could be undermined as could fail to deliver aspirations for delivery of quality development as set out in the emerging local plan</p> <p>Financial implications with regard to infrastructure, New Homes Bonus, etc.</p>	<p>Progress towards a submission draft local plan as quickly as possible and then on to adoption</p> <p>Ensure Local Plan progress remains the team's top priority and manage competing priorities</p> <p>Develop infrastructure requirements, costs and delivery mechanisms in advance of the Local Plan so that these can be applied when planning applications are received</p> <p>More detailed Local Plan Risk Register – also SBRR</p> <p>S106 funding for monitoring and implementation officer has been secured</p>	<p>DB/CS</p>	<p>Develop and implement proposals for infrastructure Tariff</p> <p>Continue to meet with potential developers to ensure they are aware of our approach and are able to respond to this should proposals be considered for approval in advance of the Local Plan</p>	<p>Planning Policy Team including Major Sites Officer (fixed term contract to Mar 2017)</p>	<p>May 2014 onwards</p>	<p>Impact</p> <p>Likelihood</p>

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Local Plan is found unsound (part of the Strategic risk Register)	<p>Failure to develop and use a robust evidence base</p> <p>Political pressure to take forward proposals that do not accord with the evidence</p> <p>Failure to adequately address controversial issues such as village green belt boundaries and gypsy and traveller sites</p>	<p>Significant delay to adopting the Local Plan</p> <p>Wasted resources involve in reworking the Local Plan</p> <p>Reputation with the residents could be undermined as could fail to deliver aspirations for delivery of quality development as set out in the emerging local plan</p> <p>Financial implications with regard to infrastructure, New Homes Bonus, etc.</p>	<p>Ensure evidence base is comprehensive, robust and up to date</p> <p>Remind members of the importance of ensuring the Local Plan proposals are evidence based</p> <p>Ensure effective Duty to Cooperate</p> <p>More detailed Local Plan Risk Register</p>	DB	Bring forward robust proposals for G&T sites as soon as possible	Planning Policy Team	Autumn 2015	<p>Impact</p> <p>Likelihood</p>
Community Infrastructure Levy (CIL) scheme is not in place by April 2015	<p>CIL remains a new area of work – there could be unforeseen problems which arise</p> <p>Difficulty to putting in place processes for managing and operating CIL across multiple services and organisations</p>	<p>Unable to lever the funding required to support identified infrastructure requirements.</p> <p>Impact of not having the local plan in place.</p>	<p>Ensure CIL proposals are evidenced based and are compliant with CIL regulations</p> <p>More detailed Local Plan Risk Register</p>	TW	<p>Commence the planning for the operation of CIL and ensure there are corporate resources to support this</p> <p>Seek legal or expert advice when required</p> <p>Seek advice from other local authorities that are in the process of progressing CIL</p> <p>Review CIL viability work</p>	Planning Policy Team	<p>Spring 2016</p> <p>On-going</p> <p>Ongoing</p> <p>May/June 2015</p>	<p>Impact</p> <p>Likelihood</p>
Failure to provide appropriate advice to officers, members and developers in relation to local plan policies and development proposals	<p>Progress on the Local Plan in general (but G&T sites and villages in particular) becomes very time consuming</p> <p>Unable to provide sufficient resources to support these areas of work</p>	<p>Inappropriate development or poor quality development could result</p> <p>Legal challenge</p>	<p>Ensure that advice is provided for the most significant developments</p> <p>Ensure staff across development services are aware of progress on policy development, sites, and infrastructure</p>	DB	Regular briefings for Development Services	Planning Policy Team	Ongoing	<p>Impact</p> <p>Likelihood</p>

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Failure to make progress on corporate priorities and other requirements such as Town Centre plans; neighbourhood plans; HIMO policies; CIL scheme;	Progress on the Local Plan in general (but G&T sites and villages in particular) very time consuming Unable to provide sufficient resources to support these areas of work	Progress on key documents could be delayed meaning specific policies are not in place to support development Reputation undermined due to failure to meet commitments that have been made publically	Regular prioritisation of work through services and corporate management team meetings Manage expectations by publishing and sticking to realistic timescales Staff recruitment to fill key identified work gaps	DB	Continually monitor workload through the project plan to ensure that adequate resources are available.	Planning Policy team	Ongoing	
Not properly representing the Council's interests in responding to other local authority's / organisation's consultations (for instance other local plans, HS2, etc.)	Major requests for consultation at a time when team resources are focused on competing priorities	Missed opportunities to influence the location and nature of development within the area.	Prioritise consultations that have the most significant impacts on the District Ensure key issues are addressed in advance through the Duty to Cooperate Staff recruitment to fill key identified work gaps	DB	As above	Planning Policy team	Ongoing	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Not meeting legislative and regulatory requirements (for instance in duty to cooperate ; consultation; processes in preparing the local plan; carrying out annual monitoring; progressing and operating CIL in accordance with the regulations)	<p>Failure to understand or be aware of new and changing legislation and regulations</p> <p>Lack of training and development</p>	<p>Legal challenge to development plan documents</p> <p>Delay to the Local Plan</p> <p>Impact on resources and finances</p> <p>Impact on Council reputation</p>	<p>Keeping abreast of planning legislation and regulation through</p> <ul style="list-style-type: none"> specialist publications and websites training, courses and seminars discussions with colleagues within the Planning profession sharing new developments in planning amongst the team <p>Seek specific legal advice where necessary</p>	DB	No actions necessary	NA	NA	<p>The Residual Risk Rating matrix is a 4x4 grid. The vertical axis is labeled 'Impact' and the horizontal axis is labeled 'Likelihood'. The grid cells are colored as follows: (Low Impact, Low Likelihood) is green; (Low Impact, Medium Likelihood) is yellow; (Low Impact, High Likelihood) is red; (Medium Impact, Low Likelihood) is green; (Medium Impact, Medium Likelihood) is yellow with an 'x' in the center; (Medium Impact, High Likelihood) is red; (High Impact, Low Likelihood) is green; (High Impact, Medium Likelihood) is yellow; (High Impact, High Likelihood) is red.</p>

DB – Dave Barber
 TW – Tony Ward
 CS – Chris Sharp

Development Services Risk Register (Development Management)

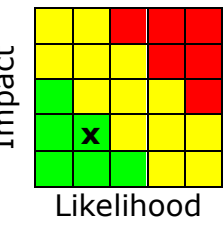
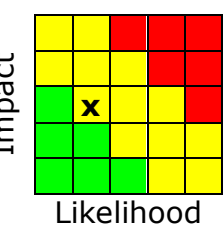
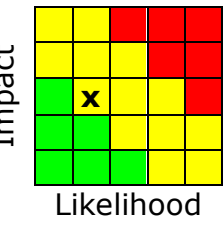
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Development Management Risks								
Failure to deliver outcomes in accordance with current legislation; regulations; guidance, etc.	Frequent changes to legislation, etc.; insufficient capacity/resourcing within the teams to keep up.	Work undertaken incorrectly resulting in not achieving desired outcomes; receipt of challenges and complaints which themselves result in additional workload; impact upon WDC reputation.	Ensure correct linkages and contacts continue to be in place to enable changes to be acted upon quickly by officers who have the capacity/knowledge and skills to do so.	GF	<p>The Development Services Information Improvement Officer role continues to be the focus for the integration of such changes along with Development Management Team Leaders.</p> <p>Member and staff training needs are identified and undertaken regularly.</p> <p>2 training days for new District ward members deleivered in May 2015.</p>		<p>On-going</p> <p>On-going</p> <p>27 May 2015</p>	<p>Impact</p> <p>Likelihood</p>

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Failure to deliver planning application decisions within statutory timescales	High workload volume; incorrectly trained or motivated staff; insufficient staffing relative to workload; deferral of major planning applications at Planning Committee.	Reduced levels of effectiveness and customer service resulting in increased workloads; impacts upon staff motivation and stress; increased enquiries and complaints themselves resulting in additional workload; and impact upon WDC reputation. Potential risk of special measures resulting in loss of fee income from major planning applications; loss of ability to determine those applications whilst continuing to undertake the associated administrative work.	Ensure that staffing/resourcing correlates to workload levels. Continued proactive on-going management and support of staff. Continued monitoring of workload levels and performance. Proactive monitoring and delivery of identified staff training requirements. On-going engagement with/training for Planning Committee members	TD/GF/S S	On-going review and implementation of officer and member training plans. Effective performance management system in place which is regularly reviewed. 2 training days for new District ward members delivered in May 2015.		On-going On-going. 27 May 2015	<p>Impact</p> <p>Likelihood</p>
Failure to properly consider and determine planning applications following the correct procedures and in accordance with all relevant material considerations.	Incorrectly trained staff or Planning Committee members. Out of date or incorrect procedures	Impact of inappropriate or poor quality development within the District. Potential challenges to or appeals against planning decisions (and the associated work). Inability to take enforcement action for example in respect of compliance with approved plans or planning conditions. Impact upon WDC reputation.	Proactive monitoring and delivery of identified staff training requirements. On-going engagement with/training for Planning Committee members. On-going review and improvement of procedures.	GF/SS	On-going implementation of officer and member training plans. Regular team meetings; 1-1's and appraisals undertaken. 2 training days for new District ward members delivered in May 2015.		On-going. On-going. 27 May 2015	<p>Impact</p> <p>Likelihood</p>

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Failure to effectively enforce against unauthorised development where it is expedient to do so.	Volume of workload; incorrectly trained or motivated staff; insufficient staffing relative to workload.	Impact of inappropriate or poor quality development within the District. Impact upon WDC reputation.	Ensure that staffing/resourcing correlates to workload levels. Continued proactive on-going management and support of staff. Continued monitoring of workload levels and performance. Proactive monitoring and delivery of identified staff training requirements.	GF/RL	Continued development and training of the enforcement team. Following a retirement and the recruitment of a new Enforcement Officer, the ongoing training and development of that Officer. Effective performance management system in place which is regularly reviewed.		Ongoing Ongoing Ongoing	
Failure to effectively monitor the delivery of Section 106 agreement requirements.	Insufficient staffing/manner in which staffing is organised.	Absence of required infrastructure or contributions required to support the development or to offset the impacts of the development resulting in poor quality or insufficiently mitigated development. Impact upon WDC reputation.	Provision of appropriate resourcing.	TD/GF RL/CS/G F	Introduction of a Section 106 agreement requirement for a proportionate developer contribution to fund the monitoring of the agreement completed. Review of the most effective use of that funding to ensure joined up monitoring. Section 106 monitoring spreadsheet prepared, in use and being developed.		Completed Ongoing 12/6/15 (spreadsheet published)	
Failure to manage customer expectations appropriately and deliver work to those expectations.	High workload volume; insufficient capacity arising from staffing relative to workload.	Impact upon WDC reputation. Increased enquiries and complaints themselves resulting in additional workload.	Ensure that staffing/resourcing correlates to workload levels. Continued monitoring of workload levels and performance. Use of appropriate mechanisms to deliver appropriate messages to customers.	SS/RL/N C/GF	Review and development of fortnightly monitoring report. Monitoring of complaints received, outcomes identified and actions arising ongoing.		Completed Ongoing	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Failure to ensure that Planning Committee operates smoothly.	Failure of IT. Absence of provision of required information to committee.	Impact upon WDC reputation: for many customers this is the only point at which they will come into contact with WDC planning services. Delays in the decision making process.	Ensure that IT arrangements are fit for purpose. Ensure that staff are appropriately trained.	TD/GF	Improvements made to IT and microphones at the Town Hall with positive results. On-going implementation of officer and member training plans. 2 training days for new District ward members delivered in May 2015.		Completed. Ongoing Completed	
Failure to maintain up to date records of the historic environment.	High workload volume; incorrectly trained or motivated staff; insufficient staffing relative to workload.	The value of heritage assets not fully taken into account within the decision making process to the detriment of the protection of those assets. Inappropriate use of historic building grants.	Ensure that staffing/resourcing correlates to workload levels. Continued proactive on-going management and support of staff. Continued monitoring of workload levels and performance. Proactive monitoring and delivery of identified staff training requirements.	NC/GF	Review of the Conservation function underway to ensure that key tasks and processes and undertaken in the most effective manner.		October 2015	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Inappropriate use of historic building grants.	Incorrectly trained or motivated staff. Absence of up to date records of the historic environment.	Financial resources used inappropriately/not used to their best effect with regard to the historic environment. Impact upon WDC reputation.	Continued proactive on-going management and support of staff. Proactive monitoring and delivery of identified staff training requirements.	NC/GF	As part of the review of the Conservation function, the assessment and allocation of historic building grants process has been revised making full use of IT.		Completed.	
Failure to maintain an accurate land charges register.	High workload volume; incorrectly trained or motivated staff; insufficient staffing relative to workload.	The provision of incorrect information in response to search questions. Potential for claims against WDC. Loss of public confidence/impact upon WDC reputation.	Insurance cover in place for financial loss claims. Continued proactive on-going management and support of staff. Proactive monitoring and delivery of identified staff training requirements. Ensure that staffing/resourcing correlates to workload levels. Continued monitoring of workload levels and performance.	TM/GF	Review of procedures and IT substantially completed. Electronic hub being set up for personal searches to allow self-service and reduce impact on resources. Ongoing review of performance with follow up actions as necessary.		July 2015 On-going	

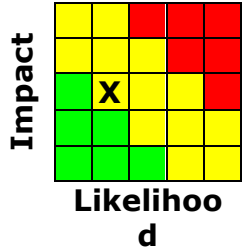
RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Failure to undertake standard property searches within required timescale (10 days)	High workload volume; incorrectly trained or motivated staff; insufficient staffing relative to workload.	Potential for claims against WDC. Loss of public confidence/impact upon WDC reputation.	Continued proactive on-going management and support of staff. Proactive monitoring and delivery of identified staff training requirements. Ensure that staffing/resourcing correlates to workload levels. Continued monitoring of workload levels and performance.	TM/GF	Maintenance of current performance.		Ongoing	
Inaccurate CON29 search responses provided.	Incorrect records. Incorrectly trained or motivated staff; insufficient staffing relative to workload.	Potential for claims against WDC. Refund of search fees Loss of public confidence/impact upon WDC reputation.	Insurance cover in place for financial loss claims. Continued proactive on-going management and support of staff. Continued monitoring of workload levels and performance.	TM/GF	Review of procedures and IT completed. Current ongoing review of performance with follow up actions as necessary.		Completed. On-going	
Potential for financial claims relating to property damage arising from TPO trees.	Damage to property arising from presence of TPO tree(s).	Potential for significant financial claims against WDC which are not insurable.	Officer awareness of potential risks at the time that making of TPO is being considered. Robust defence against claims.	RL/GF	Review of procedures completed.	Enforcement team	Completed	

GF: Gary Fisher
TD: Tracy Darke
SS: Sandip Sahota
RL: Rajinder Lalli
NC: Nick Corbett
TM: Teresa Muddeman

CS: Chris Sharpe

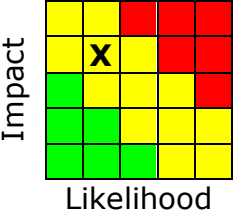
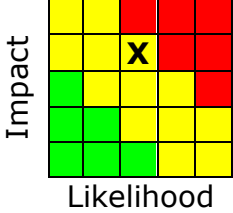
Building Control Risk Register

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Building Control Risks								
Losing work and therefore loss of income to Approved Inspectors	Increased number of Initial Notices received from Approved Inspectors.	Substantial loss of work and therefore income to competitors. Possible staff implications.	Proactive marketing and promotion of our services. Improved site inspection service i.e. weekend inspections together with early and late inspections to suit clients requirements. Encouraging Partnerships with clients.	All B.C. Officers	Joint working with other Local Authorities to provide resilience. Head of B.C. in one to one meetings with new and existing clients. Active promotion of Building Control Service through Planning officers and ED&R	Staff and time Time	April 2015 Ongoing	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Failure to deal with Receipting, Acknowledging and Processing Building Regulation Applications.	Surge of workload, and staff ratio to workload.	Decisions not given within statutory time period. This could result in fees being returned.	All applications received are recorded daily in an office diary, as well as in acolaid, and decisions are monitored daily.	Admin	Continued daily monitoring	Staff	Ongoing	 <p>Impact</p> <p>Likelihood</p>
	System failure		All applications received are allocated to Officers within two working days of receipt; ensuring applications are processed within the prescribed period.					
	Incorrect advice and poor decision making	Work could progress on site without approved plans, which could lead to defective work and Council having to pay for remedial works.	All B.C. Officers professionally qualified and CPD courses attended. Complex projects overviewed by Principal / Head of B.C.	Officers/ Principal B.C.O. / Head of B.C.	Continually update CPD and statutory regulation changes.	Funding	Ongoing	
		Reputational damage – Clients taking their work to Approved Inspectors.	Clients contacted periodically to ensure performance standards are maintained.	Principal B.C.O./ Head of B.C.	One to one personal contact with Clients / Partners on a regular basis.	Staff Time	On-going	
	Incorrect fee processing	Failure to assess fees correctly could result in reduced income.	Fees checked by professional B.C. Officers, consulting with Principal Officer where necessary.	Officers / Principal B.C.O.	Sample checking and monitoring by Principal Officer.	Staff Time	On-going	
	Shortage of staff	As above			Joint working with Rugby and Daventry.		April 2015	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Failure to carry out Site Inspections	Staff ratio to workload – Failure to attend. Staff shortages.	Failure to attend at critical inspection stages could result in defective construction being covered up, with possible long term problems.	All site Officers are fully qualified professional Officers.	B.C.O's / Principal / Head of B.C.	Continually review staffing levels.		On-going	<p>Impact</p> <p>Likelihood</p>
System failure – notification of inspections not received.							On-going	
Incorrect / poor advise.	Poor decision making – bad/incorrect advice given.	Poor decisions/bad advice can result in defective buildings. Apart from environmental concerns, there may be financial repercussions for any remedial works and possible litigation	Regular update on Regulation changes and attendance on relevant CPD courses.	B.C.O's / Principal / Head of B.C.	Continued CPD and updates on legislation.		On-going	
	Compensation Claims	Costs against Council	All site officers are fully qualified professional Officers	B.C.O's / Principal	Continued CPD and legislation updates.	Finance / Time	On-going	
	On site aggravation / confrontation	Confrontation on site, poor working relationships may result in lack of trust and confidence in B.C. Officer. Considerable stress to all parties.	All Officers provided with mobile phones for assistance / advice.	B.C.O / Head of B.C	Refresher course on dealing with confrontational situations		Oct. 2015	
	Staff shortages / complaints	Customer dissatisfaction, leading to new projects going to Approved Inspectors.	Availability of officers / access to officers throughout the working via mobile phones	All Officers.	Refresher course in customer service	Finance / Time	Oct. 2015	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
Dangerous Structures (24 hour call out) Failure to attend within reasonable time frame	Lack of Trained, qualified Staff	Failure to act and advise correctly could result in damage and injury, with possible litigation.	All responding Officers are fully qualified. 24/7 Emergency phone cover with a staff rota in place.	All B.C. Officers	Continued refresher courses and updates. Joint working with Rugby and Daventry on overall cover.	Funding / Time	Ongoing April 2015	
Demolitions Failure to attend and advise.	Lack of Trained, qualified staff.	Incorrect advice could result in damage to adjacent buildings, services and general disruption.	Demolitions attended to by fully qualified staff.	Principal B.C.O. / Head of B.C. / Head of Development Services	Joint working with Rugby and Daventry on overall cover.	Funding / Time	April 2015	
Safety at Sports Grounds Failure to inspect at regular set times.	Lack of suitably trained, qualified staff. Poor advice / decision making	Lack of knowledge and inadequate advice could result in dangerous conditions for the public generally. Poor advice to building owners and internal Service Areas could result in poor design and costly remedial measures.	Principal and Head of B.C. work closely with Fire Prevention Officers on all cases.	Principal B.C.O. / Head of B.C. / Head of Development Services.	Continued refresher courses and updates. Liaison with Fire Service. Joint working with Rugby and Daventry.	Funding / Time	Ongoing April 2015	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	Due Date	Residual Risk Rating
<p>Temporary Stands and Structures Failure to inspect and advise.</p>	<p>Lack of suitably trained, qualified staff. Poor advice / decision making</p>	<p>Lack of knowledge and inadequate advice could result in dangerous conditions for the public generally. Poor advice to building owners and internal Service Areas could result in poor design and costly remedial measures.</p>	<p>Principal and Head of B.C. work closely with Fire Prevention Officers on all cases.</p>	<p>Principal B.C.O. / Head of B.C. / Head of Development Services.</p>	<p>Continued refresher courses and updates. Liaison with Fire Service. Joint working with Rugby and Daventry.</p>	<p>Funding / Time</p>	<p>Ongoing April 2015</p>	
<p>Fire Safety and HIMO's Failure to inspect and consult with Fire Service.</p>	<p>Lack of suitably trained, qualified staff. Poor advice / decision making</p>	<p>Lack of knowledge and inadequate advice could result in dangerous conditions for the public generally. Poor advice to building owners and internal Service Areas could result in poor design and costly remedial measures.</p>	<p>Principal and Head of B.C. work closely with Fire Prevention Officers on all cases.</p>	<p>Suitably qualified B.C. officers / Principal B.C.O. / Head of B.C. / Head of Development Services.</p>	<p>Continued refresher courses and updates. Liaison with Fire Service. Joint working with Coventry, Rugby and Daventry.</p>	<p>Funding / Time</p>	<p>Ongoing April 2015</p>	

Development Services Risk Register (Economic Development and Regeneration)

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Town Centres								
Reduction in funding from Council key partners towards core funding of Town Development Officer (TDO) activity	Political loss of faith in TDOs and/or delivery	Limited funding available for activity Increase in net costs of operation to WDC	Ensure close working with town councils	DB, NC, ZC JBa	Regular meetings with partners to establish/manage expectations	Time Staff	On-going	
Reduction in funding from businesses towards committed activities – eg: Christmas Lights, promotional guides	Wider economy Quality of offer Inadequate time to fundraise	Reduction in activities/lights	Ensure contracts are flexible and within budget tolerances where possible	DB, NC, ZC JBa	Contracts to be let that allow flexibility	Funding staff	On-going	
Breakdown of or ineffective town centre partnerships	Insufficient business engagement Partnerships becoming an overly political environment that turns off business Partners do not see the value/insufficient delivery	Marginalised role of TDOs No mandate for Town based work	Resourced, realistic partnership action plans to be developed and adopted by partners	DB, NC, ZC JBa	Development of action plans Regular meetings with key partners and future partners Review of purpose of TC Partnerships Information sharing partnership created for Leamington	Staff time	On-going	
Enterprise								

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Failure to meet Homes and Communities Agency (HCA) /Dept for Business Innovation & Skills (BIS) outputs for Althorpe Enterprise Hub (AEH)/ Court Street Creative Arches (CSCA)	Inability to get information on start ups and survivals Wider economy stalls leading to less outputs Staffing change	Clawback of HCA funding Increase in net costs of operation of AEH	Business support contract in place Financial controls	GS JBa	Replacement of business support contract with peer-to-peer business support and mentoring Development of Prosperity Strategy and Action plan	Funding Staff time	On-going	
Inability to alter HCA contract on revenue share	Change of HCA monitoring officer HCA insist on contract compliance	88% of gross income from AEH to be shared Significant financial cost to WDC	Contract being renegotiated with "net" income	GS / JBa	Agreement being sought to alter terms of the original funding contract	Staff Time Funding (if risk not mitigated)	October 2015	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Loss of tenants at AEH, CSCA	<p>Economy stalling / recession</p> <p>Inability to provide service tenants expect</p> <p>Competition from the market provided facilities undermining demand</p> <p>Inability to deliver networking events and support that tenants value</p>	<p>Increase in net costs of operation</p> <p>Shutting of AEH</p>	<p>Training for all staff</p> <p>Regular meetings with tenants</p> <p>Tenant satisfaction monitoring</p> <p>Raise profile of AEH and CSCA</p>	<p>GS</p> <p>JBa</p>	<p>On-going event delivery at AEH to raise profile</p> <p>Regular liaison with tenants</p> <p>Regular liaison with commercial agents</p> <p>Networking with potential tenants</p> <p>specific action plans to support growth sectors (eg: digital games industry)</p>	<p>Staff</p> <p>Time</p> <p>Funding</p>	<p>On-going</p> <p>Games (September 2015)</p>	
Loss of confidence of Network Rail in WDC's ability to manage leases	<p>Tenants carrying out unauthorised works to CSCA in contravention of Network Rail contracts</p> <p>Constant change of Network Rail Surveyors and Lawyers</p>	<p>Greater scrutiny of all arches by Network Rail including increases in maintenance visits</p> <p>Increased cost to WDC of facilitating these and compensating tenants</p>	<p>Close liaison with tenants</p> <p>Robust management of tenant obligations relating to the arches</p> <p>Procedures adopted as part of lettings strategy</p>	<p>GS</p> <p>AW</p> <p>JBa</p>	<p>Regular inspections by WDC surveyors</p> <p>New procedures adopted (as a result: Network Rail have now removed themselves from the lettings process)</p>	<p>Staff</p> <p>Time</p>	<p>On-going</p> <p>Completed June '15</p>	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Public Liability (PL) Insurance (CSCA)	A major issue causes a CSCA's tenant to be insufficiently covered for Public Liability under their own insurance. Under the sub lease tenants are required to hold cover of at least £5m. Under the head lease with Network Rail the minimum cover required is £10m. NR lease deemed to be too onerous for SMEs (Small & Medium Enterprises) where £5m is the norm.	Under the head lease the loss would fall to WDC – (however WDC PL Insurance cover is at £25m) WDC's insurance excess of £25k is triggered.	WDC are covered under our PL insurance policy	GS Support from Insurance officer	Maintain £25m of PL insurance cover To monitor and review risk	Staff Time	On-going	
Estates Management								
Failure to adhere to follow procedures / out of date procedures	Changes in legislation / case law Staffing / resource issues Complacency Culture of "it's worked out in the past"	Exposure to costs / risks Disciplinary issues Legal impact Illegal actions (ultra vires)	Review of & Adoption of procedures and monitoring Continued Continuing Professional Development (CPD) Taking appropriate Legal advice	CM JBa	Review of existing and potential adoption of new procedures for Estates Management in consultation with H&PS Attendance at training for staff to keep current	Staff £ for training	Review Target Sept 2015	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Failure of advice or poor quality of advice	<p>Insufficient training / CPD</p> <p>Failure to seek advice early enough</p> <p>External advice deficient</p> <p>Poor commissioning of advice meaning advice is not fit for purpose</p> <p>Time constraints means issues are not looked at in sufficient detail</p>	<p>WDC exposed to risk / legal action</p> <p>Longer term costs to WDC</p>	<p>On-going training</p> <p>Peer review of procedures and case load management (lessons learned) -</p>	<p>CM</p> <p>JBa</p> <p>with Legal</p>	<p>Training plan to be produced</p> <p>Framework for professional advice to be produced</p>	<p>Staff</p> <p>Time funding</p>	<p>On-going</p> <p>On-going</p>	
Tenants allowed to occupy buildings without a legal agreement	<p>Time constraints</p> <p>Internal communication breakdown</p> <p>action by out-going tenants</p>	<p>WDC creates business tenancy with associated risks and costs</p>	<p>Procedures to be followed</p> <p>"stronger" role for lawyers</p> <p>Inspections of properties</p>	<p>CM</p> <p>BJ</p>	<p>Revised procedure to be adopted including tenancy at will</p>	<p>Staff</p> <p>time</p>	<p>On-going</p>	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Insufficient funding to maintain properties in good order	Insufficient financial resources to complete works Planned Preventative Maintenance (PPM) budget post 16/17 unfunded	Increased long term costs to WDC Increased risks of not meeting legal timelines for dilapidations / maintenance liabilities Tenant dissatisfaction Loss of tenants to other properties	Early warning of planned requests (eg: maintenance requests)	H&PS	Budget allocation for PPM (planned preventative maintenance) Review procedures for maintenance requests / dilapidation requests etc ...	Staff / funding Staff Funding	ASG Current updating	
Inadequate investment in properties	Insufficient finances for maintenance and / or improvement Inability of other service units to deliver against timely service requests	Loss of tenants Increase in maintenance backlog Knock on impacts to other properties Reduction in value of property Increase in emergency repairs to properties Insurance cover could be restricted / invalidated	Full maintenance and property liabilities being understood Advice of insurance company to be sought on empty properties / those identified as being at risk	Strategic Asset Manager (SAM) SAM / Insurance officer	15/16 Asset Management PPM Plan to be adopted Asset Management Strategy (AMS) Development of Asset Plans for each (significant) WDC property	Staff Time funding	May 15 By November 15 By 2017	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Deed Store Loss of deeds	Failure to follow procedures Inexperience Fire / flood Theft	Loss of important documents	Procedures in place to control use of deed store Limited number of staff (5) with access to the Deed Store Halon system	DMC	Regular checks on deeds store and procedure compliance to be carried out Transfer of operational access/management of documents to the Document Management Centre (DMC) – with limited access.	staff	On-going Done	
Reduction in income from non-operational estate	Wider economy stalls Tertiary properties becoming increasingly unattractive to tenants Under-investment in properties rendering them unattractive Tenant business failures Not starting re-letting process on a timely basis	Loss/reduction of income Increase in void business rates payable by WDC Increase in maintenance liabilities for void premises Increased insurance risk for longer term vacant units	Development of corporate asset management plan Comprehensive review of estates holdings Develop plan for alternative uses Consider business support for tenants Actively market premises	JBa / CM H&PS Enterprise Team	Development of AMP Potential sale of risky properties	Staff Time funding	On-going	
Tourism								

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Destination Management Organisation (DMO) failure to deliver desired outputs	<p>DMO dominated by Stratford businesses</p> <p>Private Sector leadership falls away</p> <p>Private sector support inadequate</p> <p>Loss of political backing</p>	<p>Loss of tourism company</p> <p>Loss of Visit England recognition and extra funding</p> <p>Public sector dominated company</p>	<p>Active seeking business support from WD based businesses</p> <p>Appoint new Tourism Champion</p> <p>Positive promotion of the new company</p> <p>Support for DMO Board and company officers to deliver their outputs.</p>	<p>JBa</p> <p>NC, DB, ZC</p>	<p>Regular meetings being organised with businesses</p> <p>Key tourism business leaders being supported by officers</p> <p>DMO staff to hot desk at WDC</p>	<p>Staff</p> <p>Time</p> <p>funding</p>	On-going	
Visitor Services/Tourist Information Centre (TIC) operation fails to deliver expected benefits	<p>Agreement fails to deliver expected benefits triggering a review of the situation</p> <p>Further Reduction in tourism budgets</p>	<p>Increase in costs of operation</p> <p>Potential review of Leamington VIC and the service provided to businesses</p> <p>Lack of support to the Tourism Company (DMO)</p> <p>Closure of Leamington VIC</p> <p>Lack of outreach in other areas</p>	<p>Close working with Town Clerk and Councillors & industry</p> <p>Working with other partners to increase viability and reach of VIC networks</p>	JBa	<p>Transfer of Leamington VIC staff to Warwick Town Council (WTC)</p> <p>Further review of Operations</p>	<p>Staff</p> <p>Time</p> <p>Funding</p>	<p>Completed</p> <p>Autumn 2015</p>	

RiskDescription	PossibleTriggers	Possible Consequences	Risk Mitigation/Control	Officer	Action(s)	Resource	DueDate	Residual Risk Rating
Failure or breach of financial Procedures at the TIC	Cash handling monitoring	Failure to comply with financial regs theft	Regular reviews of procedures with finance and other cash handling units	JBa FC	Advice to WTC after transfer of Leamington VIC. Oversight & assistance from one-stop shop front line managers	Time staff	On-going	<p>Impact</p> <p>Likelihood</p>

Officer Abbreviations

JBa – Joseph Baconnet

CM – Chris Makasis

GS – Gayle Spencer

DB – David Butler

ZC – Zoe Court

NC – Nicki Curwod

FC – Fiona Clark

AW – Alex Walkenden (H&PS)

BJ – Barry Jukes/WCC Legal Team

H&PS – Housing and Property Services

Methodology for assessing risk: Criteria for scoring residual risk rating

Probability of Occurrence

Estimation	Description	Indicators
5: High (Probable)	Likely to occur each year (defined as more than 25% chance of occurrence in any one of the years covered by the assessment).	<ul style="list-style-type: none"> Potential of it occurring several times within the specified period (for example - ten years). Has occurred recently.
4: Medium to High	Apply judgement	Apply judgement
3: Medium (Possible)	Likely to occur during a 10 year period (defined as between 2% and 25% chance of occurrence in any one of the years covered by the assessment).	<ul style="list-style-type: none"> Could occur more than once within the specified period (for example - ten years). Could be difficult to control due to some external influences. Is there a history of occurrence?
2: Low to Medium	Apply judgement	Apply judgement
1: Low (Remote)	Not likely to occur in a 10 year period (defined as less than 2% chance of occurrence in any one of the years covered by the assessment).	<ul style="list-style-type: none"> Has not occurred. Unlikely to occur.

Consequences

Estimation	Description
5: High	<ul style="list-style-type: none"> Financial impact on the organisation is likely to exceed £500K Significant impact on the organisation's strategy or operational activities Significant stakeholder concern
4: Medium to High	Apply judgement
3: Medium	<ul style="list-style-type: none"> Financial impact on the organisation likely to be between £100K and £250K Moderate impact on the organisation's strategy or operational activities Moderate stakeholder concern
2: Low to Medium	Apply judgement
1: Low	<ul style="list-style-type: none"> Financial impact on the organisation likely to be less than £10K Low impact on the organisation's strategy or operational activities Low stakeholder concern

Risk Management Framework: Engagement of Members
Endorsed by Executive 11th January 2012

Executive

- § The SBRR to continue to be reviewed on a quarterly basis by Executive (and so by extension Finance & Audit Scrutiny Committee).

Finance & Audit Scrutiny Committee

- § In conjunction with this, Finance & Audit Scrutiny Committee will also review each quarter a specific Service Area's Risk Register, focusing on the high risks.

This will necessitate the attendance of the relevant Service Area Manager to present their risk register and answer questions from members of Finance & Audit Scrutiny Committee on it. This approach will mean that over a two year period, the Committee will review all Service Risk Registers (SRR).

Portfolio Holders

- § Portfolio Holders to review their respective SRR quarterly with their service area managers.
- § Although not mandatory, Shadow Portfolio Holders are encouraged to review the SRR of their respective Portfolios with service area managers on a quarterly basis also.
- § Portfolio Holder Statements (PHS) are to include the top three risks facing their services.

Title	Procurement Progress update
For further information about this report please contact	Susan Simmonds – Procurement Manager
Wards of the District directly affected	All
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	
Background Papers	

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	Yes
Included within the Forward Plan? (If yes include reference number)	Yes/No
Equality & Sustainability Impact Assessment Undertaken	No (If No state why below)
No assessment as this is a progress report.	

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	17 September 2015	Andy Jones
Head of Service	17 September 2015	Mike Snow
CMT		
Section 151 Officer	17 September 2015	Mike Snow
Monitoring Officer	17 September 2015	Andy Jones
Finance	17 September 2015	Susan Simmonds
Portfolio Holder(s)	17 September 2015	Cllr Peter Whiting
Consultation & Community Engagement		
Insert details of any consultation undertaken or proposed to be undertaken with regard to this report.		
Final Decision?	Yes	
Suggested next steps (if not final decision please set out below)		

1. SUMMARY

- 1.1. This report serves to update progress on procurement during the financial year 2015/16.

2. RECOMMENDATION

- 2.1. It is recommended that the advances in procurement are noted.

3. REASONS FOR THE RECOMMENDATION

- 3.1. It was agreed at the July 2010 Executive as part of the Procurement Strategy that Members would receive an annual updates on the progress of procurement and the procurement strategy. This is one of the actions within the Procurement Action Plan. The Procurement Strategy and Action Plan are attached to this report.
- 3.2. Councillors Rhead, Barrott, Gifford, Heath and Quinney are currently the "Procurement Champions" following the recent election in May 2015. The role of the group is to discuss the progress on the procurement action plan and to "champion" the procurement work that is on-going. The group will continue to support the Procurement team in ensuring that service areas that have a responsibility for contract management and for managing the contract life cycle including costs and complete their service area plans to reflect the future contracts renewal programme in a timely manner. Contracts registers will continue to be issued to all Heads of Service to ensure all contract information held on the register is up to date and accurate. These registers are considered by Finance and Audit Scrutiny Committee in turn. The Procurement team and Procurement Champions are keen to ensure that spend activity via the Total system is accounted for either by a contract / agreement in place or with a valid reason for the spend, in line with the Code of Procurement Practice / Code of Financial Practice.

4. POLICY FRAMEWORK

- 4.1. **Policy Framework** – Procurement activity complies with the Codes of Procurement and Financial Practice. In all cases the corporate strategy is supported with particular emphasis on 'our values'.
- 4.2. **Fit for the Future** – Procurement activity is central to the delivery of the 'Fit for the Future' programme through the planning stages of the process. It also contributes to savings element of the 'Fit for the Future' programme as an outcome of the process.

5. BUDGETARY FRAMEWORK

- 5.1. The actions to date from the Procurement Action Plan have all been within budget and had a positive contribution to savings and efficiencies.

6. RISKS

- 6.1. Good procurement is part of good risk management. Contract management needs to be robust to ensure services are properly managed and risks are minimised.

6.2. Correct procurement should minimise the risk of challenge in the award of contracts. At all stages it is necessary that the relevant legislation and best practice is followed.

7. ALTERNATIVE OPTION(S) CONSIDERED

7.1. No alternatives options are for consideration as this is a progress report.

8. BACKGROUND

8.1. The Code of Procurement Practice 2015 continues to be utilised for procurement activity across the Council. The code now reflects changes in the Public Contract Regulation 2015, EU Directives 2015, Local Transparency Agenda 2014 and the Public Service (Social Value Act) 2012.

8.2. The table illustrates the position for the current year to date relative to previous years, of contracts awarded:

	2013/14	2014/15	2015/16 up to Sept 2015
Collaborative exercises		2	1
Full OJEU tender	2	2	1
Direct award*	3	2	5
Low value tender	11	12	7
3 Quotes	23	31	7
** Mini-competition using compliant framework	4	7	2
*** Exemptions	4	2	3
**** Non Award	2	0	0

* Direct award in accordance with the Public Contracts Regulations 2006, Regulation 14 exemption due to technical compatibility requirements.

** These are in addition to contracts let compliantly using frameworks let by other contracting authorities where there was no requirement for further competition but the Council still benefited from the aggregated value of the collaborative arrangement.

*** Reports submitted for approval to extend a current arrangement for a period of time to enable a procurement exercise to be streamlined when working as part of collaboration or due to a delay in renewal process.

**** Tendering exercises that was carried out but due to a particular circumstance did not proceed to award and exercise cancelled.

8.3 All opportunities over £10k are carried out using the CSW-JETS e-tendering portal to ensure fairness and transparency.

8.4 Procurement activity From April 2015 to Sept 2015

Awarded Contracts in Financial Year 2015/16 up to Sept 2015

Reference	Description	Service Areas	From	To	Value (£)	Supplier
CE23DA0615	Printing of Poll Cards	Chief Executives Office	One Off Project		£2000	ERS
CS45DA0515	Leisure Centre Investment Programme – Technical & Professional Services	Cultural Services	1/05/15	TBC	£202,000	MACE
DS33DA0615	Commercial Advice to WDC for Housing Development	Development Services	01/06/15	31/03/16	£10,000	DTZ Debenham Tie Leung Ltd
DS36DA0715	Valuations & General Services to WDC	Development Services	01/08/15	31/07/15	£10,000	Valuation Office Agency
DS27LV0615	Provision of Autumn and Yuletide Markets	Development Services	01/06/15	01/01/18	£12,000 (income)	EG Sketts Co.
DS32LV0615	External Funding Advisor	Development Services	19/06/15	18/12/15	£50,000	ATI Projects Ltd
HC14LV0415	HEAT Planning & Energy Master Planning Consultancy	Health & Community Protection	01/05/15	31/10/15	£42,410	AECOM Ltd
HC15LV0615	Voluntary Sector	Health & Community Protection	01/07/15	31/01/18	£30,000	Crown Routes
HC19LV0815	Public Health Funerals	Health & Community Protection	01/09/15	31/08/18	TBC	LM Funerals trading as Henry Isons Funeral Directors
HP99LV0415	Tenants, Leaseholder and Shared Owner Contents Insurance	Housing & Property OCSL Services	01/06/15	31/05/15	various	Thistle Insurance Services Ltd

Reference	Description	Service Areas	From	To	Value (£)	Supplier
HP100LV0515	Provision of Rural Housing Enabler Services	Housing & property Services	01/04/15	31/03/19	£38,806	Warwickshire Rural Community Council
CS47LV0615	Management of the Car Park facilities at the Bowls England Championships based at Victoria Park	Cultural Services	01/07/15	31/06/20	£117,763	CJ's Events Warwickshire Limited
CE21OJ0415	Data Centre Support	Chief Executive Office	01/05/15	30/04/17	£104,466	OCSL
HP101MC0715	Maintenance of Cremators and Associated Plant	Housing & Property Services	01/07/15	30/06/18	£293,853	ATI Environmental UK Ltd
NS31MC0415	Provision and installation of playground equipment at Eagle Rec, Leamington Spa	Neighbourhood Services	01/05/15	One off	£53,000	Wicksteed Leisure Limited
CE22TQ0615	ICT consultancy for system migration	Chief Executive Office	22/06/15	One off	£6,800	Phoenix Software Ltd
CE24TQ0815	DATA WAN Link from RH to St Nicholas Park	Chief Executive Office	01/10/15	30/09/18	£13,462.80	British Telecom
CE25TQ0915	Transcription Services	Chief Executive Office	01/19/15	31/08/17	£2,000	Virtuoso Assistant
CS46TQ0515	Luxury Ice Cream – Royal Spa Centre	Cultural Services	01/07/15	30/06/20	£34,490	First Service Frozen Foods Ltd
CS49TQ0815	Hot Drinks – for resale at Royal Spa Centre	Cultural Services	10/08/15	09/08/16	TBC	The Café Azzurro Coffee Company Ltd

NS32TQ0615	Provision and installation of playground equipment at Roxburgh Croft Park, Leamington Spa	Neighbourhood Services	15/06/15	One off	£17,000	Proludic
NS33TQ0815	Chairs for the North Chapel, Oakley Wood	Neighbourhood Services	11/08/15	One off	£10,779	Rosehill Furniture Group
HP102OJ0715	Asbestos Removal Services	Housing & Property Services	03/09/15	02/09/20	£2,000,000	Shield Environmental Services Limited
HP103OJ0715	Asbestos Surveying and Testing Services	Housing & Property Services	03/09/15	02/09/20	£1,000,000	Tersus Consultancy Limited
HC11LV0415	Air Quality Monitoring	Health & Community Protection	01/04/15	31/03/18	£5,432	We Care 4 Air
DS35MC0615	Asset Valuations	Development Services	10/07/15	10/07/21	£88,000	Carters Jonas
HC17LV0715	MOT's and Fleet Inspections of Hackney Carriages and Private Hire Vehicles	Housing & Property Services	01/07/15	30/06/18	Concession	Gas Guzzlers Garage
HC16LV0715	MOT's and Fleet Inspections of Hackney Carriages and Private Hire Vehicles	Housing & Property Services	01/07/15	30/06/18	Concession	Tyreman Ltd

HC18LV0715	MOT's and Fleet Inspections of Hackney Carriages and Private Hire Vehicles	Housing & Property Services	01/07/15	30/06/18	Concession	H M Bryan & Sons
DS36DA0715	Valuation and General Services to WDC	Development Services	01/08/15	31/07/16	£10,000	Valuation Office

Live Tendering Opportunities

Description	Budgeted Total Contract Value	Procurement Process	Projected date for award	Service Area
WDC – Housing Adaptations	£3.9m	Open	January 2016	Housing & Property
WDC - Service & Maintenance (telecare associated) of Fire Alarm, Warden Call and Door Entry		Consortium Tender exercise via Fusion 21	April 2015	Housing & Property
WDC – Enforcement Officers (Bailiffs)	% of collection totals	Direct Award	October 2015	Finance

Planned Tender Exercises

Description	Budgeted Total Contract Value	Procurement Process	Projected date for award	Service Area
WDC - Pumping Station Maintenance	£100k	Tender	April 2016	Health & Community Protection
WDC – Electrical Maintenance	£TBC	OJEU _ open process	January 2016	Housing & Property
WDC – Maintenance and Upgrade of Housing Door Entry Systems, Security Doors, CCTV and Common Area Fire Detection Systems	£TBC	OJEU – open process	January 2016	Housing & Property

WDC - Leisure Centre Options Project	£TBC	OJEU - competitive procedure with negotiation	TBC	Cultural Services
WDC - Pantomime	£TBC	OJEU - competitive dialogue	September 2017	Cultural Services
WDC - Printing	£TBC	OJEU	September 2016	Chief Executive
WDC - Security for Riverside House	£12,500pa est	Tender or Framework Agreement	January 2016	Health & Community Protection
WDC - Engineering Works	£TBC	Tender	April 2016	Housing & Property Services
WDC - Gas Supply	£TBC	TBC	April 2016	Housing & Property Services
WDC - Electricity	£TBC	TBC	Sept 2016	Housing & Property Services

- 8.5 The Procurement Strategy and Action Plan for 2015 is attached.
- 8.6 Procurement Awareness Training has been delivered across the council to staff that have a budget responsibility and are involved in procurement decision. This training was supported by the Legal team from Warwickshire County Council to ensure a consistent message was delivered. Elected Member training has also been provided explaining the role of elected Members in the Procurement Process. All training has been positively received.
- 8.7 The Principles of Contract Management training is planned for 24th September 2015. Heads of Service have nominated team members for the training that, as part of their role, have responsibility for Contract Management
- 8.8 The implementation of Procurement Cards has been introduced and is fully operational across the Council. The claims for petty cash have now reduced. All Procurement Card transactions are published on a monthly basis in line with the guidelines set out in the Local Transparency agenda 2014.
- 8.9 The Procurement Manager remains heavily involved in a number of strategic tender projects that are due to be finalised and mobilised by April 2016.
- 8.10 Procurement Officer has now started bringing experience of working on a variety of contracts for Public Sector organisations. He has experience of the contract management tool in our e.tendering system that we plan to implement in the near future.
- 8.11 The new Procurement Officer is now involved in the renewal of the Electrical Maintenance contract, Minor Works Engineering Contract and CCTV, door Access contract. These contracts are due to go live April 2016.
- 8.12 As contracts come up for renewal we look to collaboration opportunities and framework arrangement accessible for WDC to utilise i.e. Crown Commercial Services, ESPO, Pro5, Fusion 21 and HCA
- 8.13 The Procurement team is still monitoring and approving new creditor requests. This has resulted in less new suppliers being added to the finance system and more sign posting to current contracts.
- 8.14 Any new suppliers that register on the e-tendering portal (CSW-JETS) need to identify their supplier category i.e. SME. This will help with future reporting on supplier types registered.
- 8.15 The Contracts Register has been reviewed with all Service Heads and budget holders to ensure all information held on the register is correct. Contract details now entered onto the register include live contracts, the contract values, and that the contract period dates are in line with the signed contract. Where a contract is due to expire, an explanation is entered and renewal programme agreed. The register will continue to be monitored and entries challenged where applicable. The register will form the basis for providing Procurement work plans in the future and budget management. It is the intention to migrate the contract register and on-going contract management onto the CSW-JETS system. This will encourage supplier engagement in the contract management process.

- 8.16 The Contracts Register will continue to be published on the internet quarterly in line with Local Transparency Code.
- 8.17 The current agreed Procurement Strategy and Action Plan is now live and attached for your perusal.

WARWICK DISTRICT COUNCIL PROCUREMENT STRATEGY 2015/16



www.warwickdc.gov.uk

**WARWICK DISTRICT COUNCIL
PROCUREMENT STRATEGY 2015/16**

1. FOREWORD
2. INTRODUCTION
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PROCUREMENT STRATEGY 2015/16

1. FOREWORD

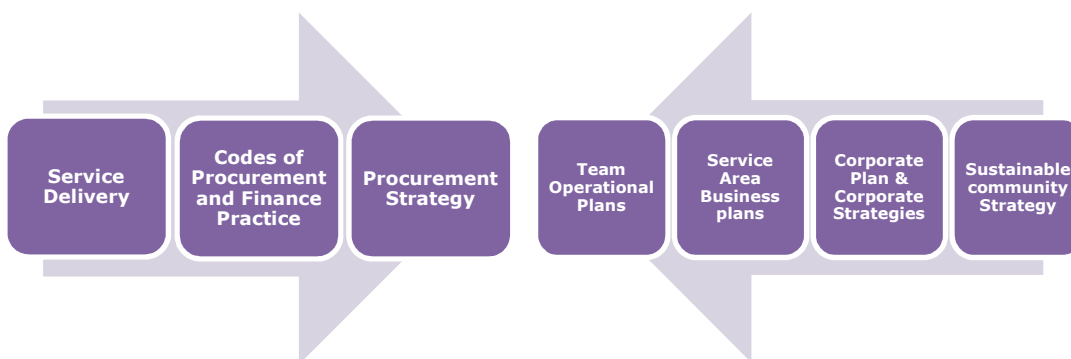
- 1.1. Procurement is the process of acquiring goods, works and services, covering both acquisitions from third parties and from in-house providers. The process spans the whole procurement life-cycle from identification of needs, through to the end of a services contract or the end of the useful life of an asset. It involves options appraisal and the critical "make or buy" decision which may result in the provision of services in-house in appropriate circumstances.
- 1.2. Procurement is also about making choices and obtaining "best value for money". This often means choosing the bid that offers the optimum combination of whole life costs and benefits to meet the Council's requirement.
- 1.3. Warwick District Council procures works, goods and services to the value of circa £25M per annum (this value excludes expenditure on salaries, pensions and taxation).
- 1.4. This strategy embodies eight strategic aims for Procurement within the Council that will lead to improved procurement practices and the following benefits:
 - Improved value for money
 - More efficient procurement procedures
 - Contribution to Efficiency savings
 - Effective relationship/contract management to be developed with suppliers
 - Benefits for the local economy
 - Effective collaboration to be developed with other service providers
 - Partnering/Collaborative Procurement actions with neighbouring Local Authorities
 - Better project planning and management
- 1.5. In order to be successful this strategy will require highly visible support at all levels of the Council. The Strategy has identified a structure and responsibility framework for corporate procurement that is detailed in section 7 and within the Code of Procurement Practice.
- 1.6. Throughout, the strategy has been drawn up to provide the freedom of action necessary to deliver services to the customer within a framework of overall control. In this way the benefits to be gained from corporate 'better buying' will aid efficient service delivery rather than hinder it.

2 INTRODUCTION

- 2.1 Warwick District Council procures goods and services to the value of circa £25M annually. The process of procurement involves the acquisition from third parties of all goods, services and construction projects. The Council is committed to procure best value for money, supplies, services and works by:
- Adopting the life-cycle approach to acquisition of assets or contracts
 - Applying effective and up to date procurement procedures in line with current legislation;
 - Ensuring procurement helps deliver the Council's key corporate objectives and supports the Sustainable Community Strategy
- 2.2 The goods, services and works are procured from a diverse range of suppliers. These include in-house service provision, local companies, larger regional suppliers and worldwide enterprises. Warwick District Council recognises the need to retain a mix of suppliers to support both the local economy and provide best value for the communities served.
- 2.3 Key to the success of this strategy is raising the Council approach to procurement to a strategic level and optimising the advantages of a corporate approach to supply chain management.
- 2.4 This strategy should be considered as a fluid and dynamic document. It will be developed on a continuing basis and will be subject to a formal annual review, with updates to key actions for the next 12 months.

3 STRATEGIC PRIORITIES

- 3.1 The Procurement Strategy will support the Council's strategic priorities as set out in the Sustainable Community Strategy as set out below:-



- 3.2 The Strategy will also support the Council's objectives as set out in the Sustainable Community Strategy. This details the following five priority themes:
- Prosperity
 - Health & Well Being

- Sustainability
- Housing
- Safer Communities

Procurement contributes to all these themes. By complying with the Code of Procurement Practice and the Procurement Strategy the Council should obtain value for money from its expenditure, whilst meeting the Council's priorities.

3.3 Procurement will also contribute towards the Council's Values and Principles. The Council also strives to operate using the following values which will apply to our procurement practices:

- Honesty and Openness: we can be relied upon and will be truthful, we will be accountable and understandable.
- Fairness and Equality: we will value all our citizens and our work will be without bias or prejudice, we expect that any clients or contractors carrying out work on behalf of the Council will comply with the principles set out in our Equality and Diversity Policy.
- Community focussed: we will put the needs and aspirations of our local communities to the fore and we will work flexibly and collaboratively as one Council and with others in response.
- Environmentally sensitive: we will ensure our long term impacts are minimised and are sustainable for future generations.
- Value for money: we will always seek to obtain Value for Money.

4 BENEFITS OF IMPROVED PROCUREMENT PRACTICES

4.1 Warwick District Council is committed to maintaining exceptional quality standards and retention of a robust procurement and monitoring procedure to ensure the ongoing delivery of best value goods, services and works from wherever they are sourced. All units and services involved in procuring are required to adhere to, and promote, the following principles of best value procurement:

- Be driven by desired outputs and results
- Generate the most advantageous balance of quality and cost
- Be timely
- Minimise the burden on administrative and monitoring resources
- Place a strong emphasis upon equality and sustainability considerations
- Expedite simple or routine transactions

- Allow flexibility in developing alternative procurement and partnership arrangements
- Encourage competition where appropriate
- Encourage the continuing participation of high quality tenderers
- Incorporate the Council's corporate objectives
- Comply with the Council's regulatory framework and all applicable legislation
- Be transparent and accountable
- Achieve improved value for money
- Contribute to efficiency savings
- Ensure that contractors have Equality and Diversity policy's

5 STRATEGIC OBJECTIVES

5.1 With the objectives and values previously mentioned in mind, the Council's procurement objectives for the next 12 months are detailed in the Procurement Action Plan (Appendix 1). These are based on eight key sectors for development:

5.1.1 Management

The development of a number of strategies for the involvement of members and officers in procurement activities. The capturing of management information to monitor contracts and ensure that policies meet the needs of 'real' objectives of the Council. These strategies should encompass engaging with SME's where able, the voluntary and third sectors particularly within the district to enable more suppliers from these sectors to win Council work.

5.1.2 Policies

Establish and maintain up to date policies for procurement. These policies should be easy to use and accessible via the Council's web-site.

5.1.3 Supplier Management

Maintain a reduced number of contracted suppliers to deliver services and develop strong working relationships. Collate and utilise information on goods and services to introduce efficiency savings and collaboration opportunities.

5.1.4 Sustainability

Utilising procurement to support and promote products and services that do least harm to the environment where practicable. Examining whole life-cycle costs for products and services to enable reduction in environmental impact in comparison to historic or current position. In conjunction with 5.1.1 the strategy can support the Sustainable Community Strategy through education and awareness of public sector procurement with local suppliers.

5.1.5 Collaborative Procurement

Support the use of buying consortia and/or collaborative procurement with other Local Authorities in an effort to reduce the costs of tendering and benefit from aggregation.

5.1.6 E-Commerce

To develop electronic trading with those suppliers capable of trading in this manner. Warwick District Council understands that this may not be 100% achievable for some suppliers.

5.1.7 Contract Management

Heads of Service are responsible for ensuring contracts within their Services are properly managed by their respective officers. Officers should be appropriately trained, understand their responsibilities and carry them out.

5.1.8 Awareness & Training

Provide support and training for members and officers on procurement. Raise awareness of how procurement can help departments and services. Extend this training to the wider local business community to aid their access to Council contract opportunities where required.

5.1.9 Information / Web site

Review current information and maintain at regular intervals in line with Local Government Transparency Agenda 2014. Use the website to inform suppliers of contract opportunities and Council procedures for procurement.

6 LEGISLATION

6.1 The Council is bound by many legislative requirements:

6.1.1 EU Procurement Directives

The main legislation, which guides how the council purchases, is driven by EU Directives that are then brought into UK law. The EU lays down processes for buying goods, works and services over certain values. Purchases above these thresholds have to be advertised in the Official Journal of the European Union (OJEU) and reported to government annually. Due to the threshold values the Council carries out very few OJEU procurements each year.

In January 2006 the UK implemented the European Union Procurement Directive, which simplifies EU procurement rules and allows for modern purchasing methods such as e-auctions and framework agreements. In December 2009 the UK issued an amendment to these regulations for the provision of remedies. The EU has also issued Interpretive Communications such as advice on procurements below the EU threshold and how these should be facilitated.

6.1.2 Public Services (Social Value) Act 2012

The Act requires public authorities to have regard to economic, social and environmental well-being in connection with public service contracts. This regard

is related to how the relevant area may be 'improved' through the use of procurement. Consideration should be given to the need for consultation with service users in designing the service specification to be procured, how the act can be incorporated into requirement and ongoing measures on delivery and impact.

6.1.3 Data Protection Act 1998 and FOI

Both the Data Protection Act (DPA) and the Freedom of Information Act (FOI) have implications for procurement. Under the DPA we are required to keep personal information private. Under FOI we are required to make non-personal information available to the public upon formal request.

6.1.4 Equality and Diversity Legislation

Equality Framework for local government & the Equality Duty on Public Bodies Regulations make it illegal to discriminate in the procurement and provision of goods and services.

It is important that we consider equality duties in our procurement practices. This means advertising opportunities widely and openly, not using selection criteria to discriminate illegally and making every effort to ensure suppliers comply with equality in employment legislation.

6.1.5 Health and Safety

The Council has a statutory duty under the Health and Safety at Work Act 1974, supported by various statutory regulations and Approved Codes of Practice to ensure that all activities and functions are performed with due regard for the welfare of its employees and the general public. For the purposes of health and safety requirements, the Council will act as a host employer and will discharge its statutory duty to self-employed persons and other employers' employees as identified by the Management of Health and Safety at Work Regulations 1999.

6.1.6. Local Government Transparency Code 2014

This Code is issued to meet the Government's desire to place more power into citizens' hands to increase democratic accountability and make it easier for local people to contribute to the local decision making process and help shape public services. Transparency is the foundation of local accountability and the key that gives people the tools and information they need to enable them to play a bigger role in society. The availability of data can also open new markets for local business, the voluntary and community sectors and social enterprises to run services or manage public assets.

The Government believes that in principle all data held and managed by local authorities should be made available to local people unless there are specific sensitivities (eg. protecting vulnerable people or commercial and operational considerations) to doing so. It encourages local authorities to see data as a valuable resource not only to themselves, but also their partners and local people

7 STRUCTURE & RESPONSIBILITY

7.1 Implementation of this strategy requires clear functional responsibility to be assigned to procurement at both Member and Officer Level.

7.2 An outline of the responsibilities of Members and Officers is as follows:

- **Executive** – The Executive assume ultimate responsibility for Procurement across the Authority
- **Finance and Audit Scrutiny Committee** – to promote value for money and good Procurement practice
- **Corporate Management Team** –CMT have responsibility for officer Procurement activity
- **Head of Finance** – Responsible for the procurement team, procurement activity and adherence to the Code.
- **Procurement Manager** – Provides expertise to ensure that all procurement activity undertaken by the Council are transparent, auditable and comply with all relevant local, national and European legislation thus ensuring the Council is exposed to minimal risk in this area and efficient use of resources.
- **Senior Management Team** - Heads of Service are responsible for Adherence to the Code of Practice within their Service Area ensuring that all Managers in their Area understand the Code, training needs are Identified and provided, maintenance of the Contracts Register ensuring the information held is correct in line with the agreed contract award and that procurement exercises are carried in line with the approved budget.
- **Officer Level** – All other tasks relating to procurement and the management of contracts are the responsibility of departments in accordance with the scheme of delegation.

7.3 These balanced management arrangements should provide for:

- Strategic management of procurement at corporate level;
- A corporate approach to the management of major procurement projects;
- Economies of scale in purchasing with other local authorities and through corporate framework agreements;
- Centralisation of procurement from service areas to ensure procurement activity is carried out more effectively and in line with the business needs of the Council;

Delegation of authority to order goods, works and services to Approved Officers.

PROCUREMENT ACTION PLAN 2015/16 Appendix

Ref No.	Activity	Responsibility	Key Actions 2015 / 16	Update Sept 2015
1	MANAGEMENT			
1.1	Produce bi-annual reports to Finance and Audit Scrutiny Committee on all procurement activity undertaken in the preceding period and any efficiencies identified.	Procurement Manager	Ensure the Contracts Register is up to date. Keep records of all Procurement activity required for the report.	Report 29 th September 2015 F & A
1.2	Work with service areas / end users to develop clear / robust quotation / tender documentation ensuring their specification is in line with business needs of the Council, where appropriate.	Procurement Manager / Procurement Officer / Service Area Representatives	Promote project style procurement exercises.	Working closely with teams to ensure clear specifications are developed, outcomes clearly defined and performance indicators / measures agreed
1.3	Service plans and team operational plans to reflect planned tender activity.	Senior Managers	Service Managers to review as part of Service Plan process.	New service plan format presented to Executive on 3 rd September includes specific reference to Procurement activity within each service area

Ref No.	Activity	Responsibility	Key Actions 2015 / 16	Update Sept 2015
1.4	Encouraging local suppliers, SME's and the voluntary and the third sector to compete for Council contracts and ensure such opportunities are promoted locally.	Procurement Manager / Economic Development	Identify opportunities for SME's within the procurement process. Promote the use of the e.tendering portal to potential suppliers either through clear links on the external web site and on other communication tools, where applicable.	In all procurement opportunities consideration is given to splitting the requirements in to lots, recently incorporated into the Spa Centre Bar and confectionary agreements. Recent tender activity for MOT's for hackney carriages – worked with local suppliers encouraging the use of electronic tendering procedures and where applicable supported the supplier through the process. The contracts register now incorporates a column to identify the supplier type that has been awarded the opportunity. This will help in the future for reporting purposes
1.5	Ensure that there are no unintentional breaches in the EU procurement threshold.	Procurement Manager/Heads of Service	Contract Register Annual Review (See M5) Evaluation of 2014 Spend Analysis (see S1). Contract management by end users.	Contracts Register reviewed quarterly and posted on Internet pages in line with the Local Transparency Agenda. 2014 spend data report produced to be analysed. Contract spend data is collated as part of the ongoing Contract Register reviews. Contract Management training now planned for 24 th Sept. Team members identified and notified

Ref No.	Activity	Responsibility	Key Actions 2015 / 16	Update Sept 2015
1.6	Maintain contracts register	Heads of Service	<p>On-going updating as contracts awarded.</p> <p>On-going review of contracts register by Heads of Service</p> <p>Annual review of register of include details of annual spend.</p>	<p>Latest Revision completed Sept 2015 to be updated on to website.</p> <p>Service contracts registers now reviewed at F & A every quarter</p> <p>Now included on published as part of the contracts register.</p>
1.7	Quarterly publication of Contracts Register	Procurement Officer	Quarterly publication of register in line with the requirements of the Transparency Code	Sept quarterly update planned

Ref No.	Activity	Responsibility	Key Actions 2015 / 16	Update Sept 2015
1.8	Carry out procurement awareness training sessions to increase and maintain knowledge of procurement regulations and the Council's policies	Procurement Manager	<p>Keep up to date with any changes in procurement legislation.</p> <p>Carry out training in a timely manner to prevent the Council being in breach of any legislation changes.</p> <p>Work closely with the Legal team and other local Councils.</p> <p>Share 'best practice'.</p>	<p>CPD training, Local Government News, relevant articles incorporating changes in legislation.</p> <p>Procurement awareness training ongoing and final session scheduled to be completed by end of Sept 2015. This has included Procurement Awareness training for newly elected members.</p> <p>Attend team meetings across the council as a 'guest' giving an update on best procurement practice as required.</p> <p>As necessary, liaise with nominated legal representatives</p> <p>Best practice was highlighted and shared as part of the Procurement Awareness training.</p>

Ref No.	Activity	Responsibility	Key Actions 2015 / 16	Update Sept 2015
1.9	Lead on procurement activity in line with the Code of Procurement Practice.	Procurement Manager / Procurement Officer	Involvement in all tender processes. To be monitored as part of contracts awarded. Utilise procurement plans to agree support requirements	Procurement team is involved in all activity over the £10k. Supporting teams in the development of specifications and agreeing procurement procedures, timetables etc. Services plans now used as identifying business needs and a tool for ongoing support requirements
2	POLICIES			
2.1	Review and update Code of Procurement Practice.	Procurement Manager	Incorporate changes to procurement legislation and the Council's business requirements.	Last updated March 2015. To be reviewed to any changes in legislation.
2.2	Review and update Procurement Strategy document and update actions for the forthcoming year.	Procurement Manager	Incorporate changes to in procurement legislation and the Council's business requirements. Progress to be reviewed as part of bi-annual reporting to F&A.	Procurement Strategy and actions to be considered by F & A March 2016.

3	SUPPLIER MANAGEMENT			
3.1	Undertake an annual audit of spend and number of transactions.	Procurement Manager / Exchequer Manager	Undertake an annual Spend Analysis of suppliers. Production of monthly Service Plan Measures ie transaction numbers, where applicable.	To be discussed as part of the role for the new procurement officer. 4.6% reduction in numbers of orders/ invoices in 2014/15 compared to 2013/14 driven by the annual orders being used.
3.2	Reduce the number of tenders for each supply area through collaboration of tender opportunities.	Procurement Manager / Procurement Officer	Consolidating services, using the Spend Analysis, Contracts Register and procurement plan for future procurement activity. Work with other local councils to identify collaboration	Enforcement Officer (Bailiffs) framework – WDC leading on behalf of all Warwickshire councils. One process covers all requirements reducing the need for separate agreements. Work with the Worcestershire and Warwickshire District Councils Collaborative Procurement Group to identify collaborative opportunities and share best practice. Regular meetings sharing best practice on CSW-JETS e.tendering processes

3.3	Ensure all suppliers are contracted formally (preferably on the Council's terms).	Procurement Manager / Service Area Managers	<p>Use of Contract Register and Spend Analysis.</p> <p>Ensure all signed contract agreements are filed and recorded with Document Management Store.</p>	<p>As part of the on-going Contracts Register review</p> <p>Signed contracts are now stored in the document store.</p>
3.4	Work towards reducing the number of invoice transactions with current suppliers and new suppliers via the tender process.	Procurement Manager / Procurement Officer / Service Area Managers / officers	<p>As part of the contract renewal process look at ways of reducing the number of invoices by consolidation of invoices.</p> <p>Make the invoicing process part of the business requirements, where applicable.</p> <p>As part of the contract management process work with suppliers on ways of reducing invoices submitted, where applicable</p> <p>Work with the Exchequer team to see how we can ensure invoicing is in line with our system capabilities.</p>	<p>Consolidated invoicing is now included the new Asbestos management contracts that goes live 1st September 2015.</p> <p>Auto scanning feasibility study ongoing with the intention to implement March 2016</p>

3.5	Review of Procurement Card spending levels and activity.	Exchequer Manager/Procurement Manager	<p>Monthly publication of use of Procurement card on website.</p> <p>Annual Review of card usage</p> <p>Review Spend Analysis low value items.</p>	<p>Ongoing</p> <p>First report currently being reviewed. Consideration being given to a reporting tool enhancement from HSBC that will give a more in-depth analysis of card activity.</p>
4	SUSTAINABILITY			
4.1	Identify key procurement activities and for each assess main sustainability issues to be addressed	Procurement Manager / Heads of services	Ensure opportunities to the market cover any key sustainability areas and questions for consideration	Environmental considerations have been included in the Housing Adaptation tender and will be used as part of the order winning criteria.
4.2	Identify and document appropriate procurement criteria for key procurement activities	Procurement Manager / Heads of services	As part of the review of procurement documentation work with the Sustainability and Climate Change Officer to ensure key standard questions are incorporated in documents	Working with the Sustainability Officer for inclusion of key questions that can be used in quotation / tendering exercises
4.3	For ongoing contracts, set up process for reviewing sustainability requirements as existing contracts are due for renewal	Procurement Manager/Heads of Service	Part of contract management. To be included within Procurement training "workshop 2".	Contract Management training planned for 24 th Sept 2015


5	COLLABORATIVE PROCUREMENT			
5.1	As part of the pre tender process explore the use of buying consortia for the bulk purchase common goods and utilities, for example through ESPO, Fusion 21, Home & Communities Agency, PRO5 or Crown Commercial Services.	Procurement Manager /Property Services	Details to be reported as part of bi-annual reports to members.	Contracts register records the procurement process followed including the use of frameworks to deliver the requirements.
5.2	Investigate and where applicable enter into joint arrangements for procurement of goods and services with other Local Authorities.	Procurement Manager	Details to be reported as part of bi-annual reports to members.	Leading on the renewal of the Enforcement Officer (Bailiffs) on behalf of Warwickshire councils
5.3	Utilise framework agreements as a preference to negotiating local agreements for high value contracts of general goods and services (e.g. IT hardware, telecoms, energy).	Procurement Manager / Heads of services	Details to be reported as part of bi-annual reports to members.	Contracts register records the procurement process followed including the use of frameworks to deliver the requirements
5.4	Where possible ensure that the letting of contracts permits use by other Local Authorities within the WMRIEP area.	Procurement Manager / Procurement Officer	Where applicable include a clause in the tender / Contract documentation that permits the use by other Local Authorities within the WMRIEP area.	

6	E-COMMERCE			
6.1	Ensure staff that are involved in procurement are capable and trained in the use of the e-tendering software.	Procurement Manager / Financial Services Manager	To seek to get officers to use CSW-JETS (Intend) for quotes up to £50k.	Obtained training information from WCC for staff training. Looking to use this training material to train key staff at WDC.
6.2	Promote use of e-tendering software for Contract Management	Procurement Manager	Review use of Contract Register/Management tool in CSW-JETS	Further training on the contract management tool within CSW-JETS planned for Oct 2015. New Procurement Officer already trained in the use of the contract management tool – look to share this experience with the team
6.3	Utilise Project Management tools to assist in Procurement Plans	Procurement Manager	Identify suitable software solutions Arrange training for Procurement team members	Looking at other alternative tools used by teams around the council for managing workloads.
7	PROSPERITY AGENDA			
7.1	Provide procurement support to prosperity agenda initiatives.		Support actions detailed in November 2014 Executive report.	Ongoing
7.2	Consider how the procurement function may directly contribute to the prosperity agenda.	Procurement Manager	Consider the feasibility of including contract clauses to support the prosperity agenda in future tender opportunities, eg. local employment, National Living Wage, apprentices	All new quotation / tender documentation include a section / questions covering key element of the Social Value agenda.

7.3	Support local businesses	Procurement Manager/Economic Development and Regeneration Manager	Consider signing up to the Small Business Friendly Procurement Charter Committing to support small businesses.	
8	CONTRACT MANAGEMENT			
8.1	Active appropriate contract management	Heads of Service	Ensure contract managers appropriately trained and understand requirements of their role.	Contract Management training planned for 24 th Sept 2015
8.2	Arrange contract management training	Procurement Manager/HR/Heads of Service	Generic training being arranged by Procurement HR as part of "workshop 2". Service specific training to be arranged by appropriated Head of Service.	Contract Management training planned for 24 th Sept 2015
9	AWARENESS / TRAINING			
9.1	Work with Members, Managers and Officers to increase education and awareness of regulations and the Council's Policies.	Procurement Manager / HR Training / Heads of Service	Identify who needs training and level of training required Break the training down into specific workshops: Awareness, Practical, CSW-JETS	Procurement awareness training to be completed by the end of Sept 2015. Member training completed July 2014

9.2	Disseminate the strategy to officers and members.	Procurement Manager	Reports to Executive, Finance & Audit Scrutiny Committee and SMT.	Strategy report update to F & A 29 th September. To share report with SMT
9.3	Arrange contract management training for all staff involved with contract management.	Procurement Manager / HR Training / Head of service /Service Area Managers	To be included in Workshop 2 "practical" training	Contract Management training planned for 24 th Sept 2015
9.4	Provide support and training for senior staff involved in procurement activities and members as required.	Procurement Manager /Procurement Officer / HR Training	Identify further training requirements and deliver on a 1:1 if required	Informal training provided on ongoing basis where required
10	INFORMATION & WEBSITE			
10.1	Maintain current procurement information on the Council website.	Procurement Manager / Procurement Officer	Ensure information held on both the website and the intranet is current and kept up to date. Review information frequently	Procurement Information held on the website updated July 2015. Now gives visitors to the area on the Website clear information and guidance.
10.2	Utilise the Council Website and other public sector opportunity outlets such as Contracts Finder to inform the market of the opportunities available and how to access them.	Procurement Manager / Procurement Officer	Ensure Procurement opportunities are clearly marketed Refer where applicable suppliers who contact WDC to the CSW-JETS website to view opportunities and register if applicable.	Opportunities placed on WDC website and Contracts Finder via CSW-JETS

10.3	Maintain standard pro-forma documentation on the Council intranet.	Procurement Manager / Procurement Officer	Review and amend documentation when applicable	3 quotes, Quotation and low value tender documents updated in line with changes to legislation. TUPE requests template updated. T & C's are currently being updated by the legal team at WCC ensuring they include any relevant legislation updates.
10.4	Utilise intranet to inform on procedures and any changes in best practice guidance.	Procurement Manager	Use intranet to inform as necessary any update in procurement practices.	Awaiting roll out of new intranet

 Finance and Audit Scrutiny Committee: 29th September 2015		Agenda Item No. 7
Title	Warwick District Local Plan – Infrastructure Delivery Plan – (IDP) Progress Report.	
For further information about this report please contact	Tony Ward / Dave Barber	
Wards of the District directly affected	All Wards	
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	28 th January 2015 Executive Committee (Appendix 2 of a report detailing the Local Plan documents to be submitted to Government for Examination) Minute No115	
Background Papers		

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)	In F and A work programme minute 116 (10/2/15) and minute 32 (28/7/15)
Equality Impact Assessment Undertaken	n/a

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	19/9/15	Bill Hunt
Head of Service	18/9/15	Tracy Darke
CMT	19/9/15	Bill Hunt
Section 151 Officer	18/9/15	Mike Snow
Monitoring Officer	21/9/15	Andy Jones
Finance	18/1/15	Mike Snow
Portfolio Holder(s)	21/9/15	Stephen Cross
Consultation & Community Engagement		

The Draft Infrastructure Delivery Plan has been subject to public consultation/ consideration as part of the Local Plan preparation process	
Final Decision?	No
Suggested next steps (if not final decision please set out below) It is proposed that further progress reports will be prepared for Finance and Scrutiny Committee on a 6 monthly basis.	

1. **Summary**

- 1.1 The purpose of this report is to update Members on progress made regarding the Infrastructure Delivery Plan associated with the Local Plan and the District's future growth requirements to 2029. This is the first of a series of intended updates that will be reported throughout the duration of the development plan process.
- 1.2 Appendix 1 (see document enclosed) provides a revised version of the IDP text and table (with new/ refreshed data marked with an asterisk / in the right hand column of the table).
- 1.3 Appendix 2 sets out progress in terms of specific key infrastructure matters. This includes the development of organisational partnerships that will be essential to ensure the delivery of the many component parts of the IDP going forwards.

2. **Recommendation**

- 2.1 That the Committee notes the content of this report and progress made
- 2.2 That Officers report back to Committee in 6 months' time with a further update

3. **Reasons for the Recommendation**

- 3.1 It is important to continually monitor the IDP programme, its financial requirements, as well as the progress regarding the delivery of the infrastructure. This will be necessary to manage and measure progress regarding the attainment of successful and sustainable growth/ development across Warwick District.

4. **Policy Framework**

4.1 **Policy Framework**

The Infrastructure Delivery Plan is a key part of the evidence that underpins the Local Plan. It has been developed in parallel with the Draft Local Plan and will continue to evolve to ensure ongoing alignment with any Local Plan modifications. In this context the IDP plays an important role in supporting corporate priorities, particularly with regard to ensure quality of life for local residents and a thriving local economy.

4.2 **Fit for the Future**

The timely delivery of the Infrastructure requirements identified in the IDP will be important to ensure that the District provides the physical, social and green infrastructure necessary to maintain Warwick District’s high quality environment, and that it continues to be prosperous and a great place to work, live and visit for future generations.

4.3 Impact Assessments

5. Budgetary Framework

5.1 Infrastructure funding will be derived from a range of sources, as set out in the IDP. To justify this funding, the comprehensive infrastructure planning set out in the IDP will be important as will the evidence base that sits behind the IDP.

The component parts of the Infrastructure Delivery Plan will require a range of partnership working with a variety of agencies in order to identify and where possible tap into relevant funding streams / initiatives throughout the plan period. This will be essential to augment finance derived from developer contributions.

5.2 Financial planning in relation to infrastructure will be a major challenge for WDC and other Local Authorities / agencies across the country and will undoubtedly require imaginative strategies/ approaches to ensure fully funded projects and their delivery going forwards. As the IDP is a continually evolving document, it is expected to be delivered through the lifetime of the local plan. It is not possible to have an IDP that is fully funded at present, for instance, infrastructure that may not be required until 2025 is likely to be funded from sources that cannot currently be anticipated.

6. Risks

6.1 In view of the importance of delivering good development and successful, healthy communities, it will be important to ensure the timely delivery of the necessary physical, social, economic and green infrastructure required across Warwick District.

6.2 Without an IDP the Council will not have a point of reference/ project management tool to ensure the successful organisation and timely implementation of the District’s infrastructure requirements.

6.3 There is an inherent risk that at some point certain infrastructure matters will have to take priority over others and utilise available funding at the cost/ delay of other less critical projects. It is hoped that this will not prove to be the case.

6.4 The Local Plan risk register which is updated on a monthly basis, contains the following risks relating to the IDP

Infrastructure and CIL					
15	CIL and Viability	CIL cannot be adopted until the Local Plan is adopted Once the site proposals have been finalised, work on viability will need to be revisited – in particular in relation to CIL and infrastructure funding. There	3	4	a) Ensure CIL scheme is ready to progress alongside Local Plan b) Regular review of the IDP c) Regular report to Scrutiny regarding Infrastructure d) We need to continue to be

		remains a risk that some of the proposed infrastructure will not be viable. Recent work on CIL income shows that a shortfall is likely if we try to deliver the entire infrastructure that is desirable. However with prioritisation, accessing additional funding stream and continued effective use of S106, it is expected that the funding gap can be managed			specific about which elements of the IDP will be funded through CIL and demonstrate that CIL income can achieve this (taking account of pooling restrictions e) We need to ensure evidence to support S106 contributions is robust and CIL compliant
16	Infrastructure funding and delivery	The issues around pooling S106 agreements is now a significant risk given that we still don't have CIL scheme in place. It is possible that funding for some infrastructure will be harder to justify in this interim period	4	3	Build on work done for Harbury Gardens (Grove Farm) to associate specific pieces of infrastructure with specific sites. This will require further detailed work on the evidence base to support infrastructure requirements – close working with Infrastructure providers who may not always grasp the importance of this. Issues around how this should be resourced are being considered, but there is likely to be a key role for the new Major Sites Officer.
17	Forward funding of major infrastructure items	In some ways this goes beyond the remit of the Local Plan, but there could be significant issues if schools and some transport infrastructure cannot be provided in advance of new development. However forward funding options are difficult and carry significant risks/costs	4	2	For a lot of infrastructure, it would be possible (though certainly not desirable) to provide after developer contributions have been received and without forward funding Work underway to look at very targeted forward funding including reducing risk by seeking external security for loans Issue around forward funding for secondary schools, remains important and unresolved. Needs close work with WCC, the schools and creative solutions

7. Alternative Option(s) considered

7.1 Given the importance of Infrastructure planning to the success of Warwick District over the forthcoming Local Plan period (and beyond) it is not considered

practical to progress without an IDP to inform decision making/ be a tool to assist in the monitoring of development progress.

8. **Background**

- 8.1 The IDP has been developed in association with the District's emerging Local Plan and is a necessary component of the development plan process as prescribed by the National Planning Policy Framework (NPPF).
- 8.2 A full description of the purpose and background to the IDP is set out in the first ten pages of the IDP master document that forms appendix 1 of this report.

Appendix 1 – Infrastructure Delivery Plan

Enclosed separately

For Transport Corridor Study Plans refer to the following webpage:

[http://www.warwickdc.gov.uk/download/downloads/id/2234/in03 -
draft infrastructure delivery plan appendix a - transport corridor strategies.pdf](http://www.warwickdc.gov.uk/download/downloads/id/2234/in03_-_draft_infrastructure_delivery_plan_appendix_a_-_transport_corridor_strategies.pdf)

Appendix 2 – Progress on key Infrastructure Requirements

Transport Infrastructure

Apportionment/ Sharing of Highway works Costs with Stratford District

1. Stratford District Council is proposing to bring forward significant housing and employment developments as part of their Core Strategy. It has been accepted that there is a strong likelihood that intended residential and employment developments at Gaydon/ Lighthorne Heath will create significant traffic movements. This increase in traffic will have implications for highway matters and the transport network within Warwick District. This is particularly relevant for the area south of Warwick and Leamington.
2. In order to establish the magnitude of this additional pressure on our network and a way of fairly apportioning costs, Warwick and Stratford District have jointly financed a study to establish the cumulative impact of traffic from their Local Plan allocations. This study has calculated traffic movements from developments and then weighted their relative impacts on the highway improvement schemes that have been identified for mitigation purposes in each District Council area (as set out in the revised IDP tables – appendix 1 of this report).
3. From this 'weighting' it has been possible to identify and apportion the amount each local authority should seek from development allocations as a proportionate contribution towards each particular mitigation project. The conclusions of this work that are relevant to Warwick District are set out on a project by project basis within the revised IDP document (Appendix 3).

4. This mechanism for fairly sharing the burden of highway infrastructure costs (where appropriate/ proven necessary) has been accepted by Stratford District Council, Warwick District Council and Warwickshire County Council(the Highway Authority) as an appropriate way forward to seek and apportion developer contributions to fund highway projects. Further close working with both authorities will be required to ensure the successful application of this regime. Appropriate Legal mechanisms/ agreements will also have to be put in place to manage the proper timing and transfer of financial capital to Warwickshire County Council in order that they can execute the delivery of transport related works.
5. In summary, some £6.2 million pounds will be sought from development within Stratford District Council to assist the financing and delivery of important (non-motorway) highway infrastructure within Warwick District. Officers will also monitor the progress of further, new allocations being proposed as part of the Stratford Core Strategy (Proposed Modifications) exercise. This may identify the occurrence of further Stratford development impacts on transport infrastructure within Warwick District (and an expanding case for further financial support from Stratford based allocations).

Warwickshire County Council Strategic Infrastructure funding bids

6. Warwickshire County Council has been successful in its endeavours to secure a bid of £3.1 million from the Growth Deal which was agreed with Government following the submission of the Coventry and Warwickshire Local Enterprise Partnership's (CWLEP) Strategic Economic Plan (SEP) in March 2014. These monies will fund a significant junction improvement package centred on Stanks' Island on the A46 (see IDP T40).
7. This is a significant success that will provide improvements to enhance capacity and operation of what is a key strategic junction within the District. Detailed design work is currently being carried out and it is envisaged that the programme of works will be delivered in 2016/17.
8. Further expressions of interest have recently been submitted by Warwickshire County Council in partnership with this Council to the CWLEP's current SEP update process. This will not only help develop a pipeline of infrastructure projects across the Coventry and Warwickshire, but it will also identify the key projects which will be put forward as part of any future Growth Deal with Government. It is hoped that further funding towards this will be announced later this year as part of the Autumn Statement). If successful, these further bids could offer considerable assistance to some of the key (and most expensive) elements of the overall IDP transport / highway package. The focus of these expressions of interest has been on the following projects:-
 - The A452 Kenilworth to Leamington Corridor including works to the A46 Thickthorn and Bericote Road roundabouts, with localised dualing of the A452 between the two junctions and a second bridge across the River Avon. The scheme would also deliver a key section of the Kenilworth to Leamington (K2L) Cycle route.
 - The A452 Europa Way Corridor, incorporating a range of improvements to dual the A452 and improve key junctions between the M40 (Junction 14)

and the Europa Way/ Myton Road roundabout. This will be a major multi-modal project that will potentially include a southern park and ride facility as well as bus priority and dedicated pedestrian and cycling facilities. It should be emphasised that footpath and cycle connectivity considerations will not be limited to Europa Way but will also involve joining this major arterial corridor back to the heartlands of the emerging residential communities, schools (including Myton in particular) and other community facilities to be built south of Warwick and Leamington.

- Works to the Bath Street/Spencer Street/Old Warwick Road/Lower Avenue area. This traffic management programme will ease congestion in this part of Leamington's Old Town by becoming a one-way gyratory, and will also enable improved public transport interchange and enhancements to pedestrian/cycle connectivity between Leamington Railway Station and the town centre. This bid has been submitted as part of a wider programme together with a bid from this Council to regenerate the area as a Creative and Digital Quarter
- Both WDC and WCC have also been working with Coventry City Council and Highways England to develop an expression of interest for a substantial improvement of the Stoneleigh Junction on the A46. It is intended that this will provide a full, grade-separated roundabout along with alterations to the nearby Dalehouse Lane/Stoneleigh Road roundabout. Officers have separately been working with the owners of Stoneleigh Park who have submitted a separate bid for a link road from the A46 roundabout into the Park which would allow traffic to by-pass Stoneleigh village. This scheme is at a very early stage of development and will require further input from WCC as Highway Authority.

9. Other positive matters related to highway infrastructure include the following:-

- The County Council has recently undertaken a review of the cycle network of the District in conjunction with Sustrans. This review will assist the County Council in the successful targeting and implementation of cycleway projects as funding becomes available over the Local Plan period.
- Officers from Stratford and Warwick District Councils have been meeting with WCC Legal in order that a strategy to obviate the pooling restrictions currently associated with Section 106 Planning Obligations can be delivered. This will be important to ensure that the proper collection of developer contributions continuous in advance of Local Plan adoption and a Community Infrastructure Levy(CIL) regime being implemented. This work is showing positive progress and it is hoped that a successful outcome can be reported back to members at the next IDP progress report.
- Finance for the delivery of Kenilworth railway station is secured and delivery is planned to be by December 2016.It should be noted that this is identified in the IDP (T???) but does not require funding from developer contributions.

- The total amount of finance that has been successfully negotiated from major planning applications thus far is £ 50.6 million (see table 1 below)

Health Infrastructure

Acute and Community Health Services

10. Members may be aware that the intended programme for the delivery of Hospital facilities is a shared strategy covering South Warwickshire (Warwick and Stratford Districts). To this end, it is intended that financial contributions from development proposals in both authority areas will be utilised to assist in the delivery of improvements to Warwick Hospital as well as a new hospital facility at Stratford (see IDP document H1-H3).

Warwick Hospital

11. There has been progress at Warwick hospital with the commencement of the construction of the new ward block needed to provide two new wards as part of the overall South Warwickshire bed strategy. The building project is largely completed and it is envisaged that the wards will be commissioned and become operational in December of this year.

Stratford Hospital

12. A new car park has been erected at this location in order to free land for the new hospital building. The new hospital building itself is currently under construction and it is anticipated for completion in early 2017. The South Warwickshire Health Foundation Trust has borrowed finance in order to fund this (and the Warwick hospital works) and will be seeking to repay this in part from developer contributions as and when they are available/ due for collection from S106 agreements.
13. These additions to hospital services are significant infrastructure advances that will serve the needs of the growing South Warwickshire area population throughout the Plan period and beyond.

Health G.P. Services

14. Since April of this year the responsibility for decision making regarding health (GP) provision has been moved from the national Health Property Services division to the Clinical Commissioning Group (CCG). A response to the growth requirements associated with the emerging Local Plan was submitted by the NHS (Property Services) and the requirements identified are currently included within the IDP (H4- H8).
15. Given the changes in governance within the NHS, it has been considered important to give the CCG the opportunity to revisit the schedule in the current IDP and to revise it if necessary. It is important that we have certainty that we

are seeking the appropriate range of GP related requirements. The Local Plan process has not had any requests regarding facilities for the treatment of mental health. This is another matter that we asking to be checked / re-visited.

16. Officers from the District and County Council are working jointly to get assurances from the CCG that we have an accurate schedule of their future requirements in our IDP. It is hoped that we will be in receipt of the definitive position regarding these matters shortly and will be able to make any adjustments that may be required before the next IDP progress report. This task (along with other Infrastructure negotiations) has been aided by the appointment of a dedicated Infrastructure Manager by WCC who will be assisted by the recent addition of a Health Planning Officer.

17. A significant amount of finance has been sought from S106 Agreements relating to the southern sites towards the new GP facility required to serve the new population that will emerge as the southern sites progress (see Southern sites progress paragraphs 30 to 35 below).

18. Discussions have also commenced with landowners regarding the master planning of the land owned by the County Council (north of Gallows Hill/ west of Europa Way) within the southern sites. This work is embracing the spatial requirements / precise location for a new GP facility. Finance has also been negotiated as part of recent S106 negotiations relating to the Grove Farm land parcel for improvements to the existing doctor's practice at Warwick gates.

Education Infrastructure

19. As part of the Local Plan process, the number and distribution of proposed new houses has required joint working between the County Council and Warwick District Council to alight on a strategy to meet the future demand for school places. This work remains ongoing.

20. The IDP sets out the number, type and location of schools that will be required to meet the pupil projection forecasts based on our current Local Plan. Not surprisingly the majority of the demand is centred in the vicinity of the major allocations south of Warwick and Leamington and in Kenilworth.

21. The District and County Councils have, in consultation / negotiation with the appropriate school bodies formed an agreed strategy regarding future Secondary Education needs south of Warwick and Leamington. This will see the current capacity at Champion school utilised and further developed with some further building. In parallel, it is intended that Myton School will instigate a large scale expansion/ modernisation programme to radically increase its capacity and ability to deliver additional pupil places.

22. With regard to Kenilworth, options are being assessed and negotiations are continuing regarding the potential to deliver a new secondary school at land at South Crest Farm (Dalehouse Lane). This proposal would provide enhanced pupil capacity whilst also combining the existing Kenilworth sixth form and secondary schools on a single site.

23. It should be noted that there is the potential within these negotiations for land sales for residential development that could provide a significant contribution to the cost of delivering a new school on land at South Crest Farm.

Secondary School Provision

24. The Myton School solution involves a £32 million pound development programme and will (in three phases) be able to increase capacity by 773 students to 2,275 places (including 450 post 16).

25. Funding will be made up from S106 developer contributions as well as the proceeds from the sale of school land for housing development (estimated at £11million). A bid is about to be submitted by the school to the Educational Funding Agency (Central Government) for £5 million pounds towards this project.

Primary School Provision

26. With regards to Primary School provision, advances are being made by officers of the District and County council regarding the delivery of the first primary school needed in association the allocations south of Warwick and Leamington.

27. Pre-planning application discussions with the developer regarding land at Lower Heathcote Farm (south of Harbury lane) have included the precise locational arrangements of this new primary school. The County Council is also currently identifying an officer group to oversee the detailed implementation of this project and has commenced the process to identify an academy sponsor to manage the school.

28. It should also be noted that the locational requirements for the other two further primary schools necessary to serve the southern sites area has been established at Myton School and at Grove Farm.

29. Other advances relating to school provision include works underway to deliver additional capacity at St Peters Primary School in Barford. The completion of these works is expected shortly. WCC has 'front-loaded' the funding of this expansion and is anticipating reimbursement from S106 funding in due course.

Southern Sites – Progress

30. Members will be aware of the significant number of planning applications that have been granted relating to sites south of Warwick and Leamington since mid-2013. In all 14 significant approvals have given permission for some 3,950 new homes.

31. These approvals have all been accompanied by signed S106 Agreements that have been successfully negotiated by officers. These negotiations have benefitted from the particular close attention of the District Council's Major Sites Monitoring Officer and the County Council's Infrastructure Manager.

32. Table 1 (below) sets out a summary of contributions that have been attributed to the range of infrastructure requirements thus far. Clearly these sums represent a significant amount of finance to aid the delivery of the IDP.
33. Officers are now working with the relevant developers with regard to master-planning and the implementation of detailed site layouts, many of which will detail the precise location of key infrastructure matters including schools, health centres, community facilities, open space, cycle and pedestrian route ways as well as other matters such as local shops/ services and opportunities for informal open space, children's play etc.

TABLE 1 – Finance Negotiated and agreed in relation to the Southern Sites (South of Warwick and Leamington) August 2013 - August 2015

Issue / IDP Topic Area	Section 106 Contributions agreed in Obligations thus far (August 2015)
Transport	15.6
Waste	
Education	28 (plus 13.5 ha land)
Health	7 Hospitals (5) G.P. Services (2)
Libraries	0.17
Indoor Sports	2.7
Arts/ Culture	
Emergency Services	0.7
Communities Facilities	0.25 ha Land
Green Infrastructure (Tachbrook Country Park)	2
Open Spaces/ Pitches	1.25
Monitoring	0.24
Totals (£ millions)	57.66

34. Negotiations with developers have successfully secured the majority of the land and finance within Section 106 agreements that is necessary for the important Country Park. This will provide a public park of some 40 .5 Hectares (100 acres) that is considered a key benefit to this locality and the District. Negotiations regarding a planning application that will secure the delivery of the

final section of land for the country park (on land currently owned by Severn Trent) are currently progressing.

35. Officers from the relevant Service Areas are developing an implementation strategy/ plan for the Country Park.

Financial Overview / strategy

36. The total amount of finance estimated to provide the current infrastructure requirements associated with the Local Plan to 2029 is £281 million.

37. Table 1 (set out above) shows progress made thus far in relation to Section 106 arrangements agreed for sites south of Warwick and Leamington. It should be noted that whilst these sums are encouraging, the precise timing of collection of this finance is, in many instances dependent on 'trigger points' that are set out within each individual application.

38. The timely delivery of some of the IDP elements may require this Council and other authorities / agencies to consider entering into agreements to borrow finance to forward fund pressing/ urgent requirements in advance of the collection of monies from developer agreements.

39. Members should also note that a significant amount of development is still to be delivered in association with the Local Plan and that this will, in most instances, be subject to S106 /CIL funding requirements. Furthermore, finance collected under a CIL regime will be more easily targeted to specific projects because it will not be constrained by the legal requirements currently associated with S106 Agreements.

TABLE 2 – Overall estimate of funding funding accrued (Sept 2015)

Issue / Finance source	Amount
S106 Committed	£58 million
Health – Hospitals	£31 million from NHS 16.5 million contribution from Stratford DC (assuming 50% split of assumed S106 funding requirements – 33 million)
Transport/ Highways (Ken Railway Station)	£11.3 million from DFT
Shared Highway / network improvement costs- to be financed by residential/ employment developments anticipated within Stratford District(precise figures subject to confirmation)	£10.45 million potentially sourced from future development proposals within Stratford District (further bids may assist with this)
'Stanks Island' A46/ Birmingham Road Improvements	3.4 million from Local Growth Deal funding SEP

Issue /Finance source	Amount
Education – Myton School Example (possible joint contribution to the overall 30 million pound proposal currently being explored)	16 million from non – S106 sources (subject to confirmation)
Section 106 /' CIL anticipated over the remaining plan period (based on current plan provisions)	£55.0 million – this is calculated by a rudimentary analysis of further housing numbers multiplied by estimated CIL average rates. It needs to be revisited and more accurately assessed in due course.
	Total financial package of £190 million towards an overall Infrastructure requirement of some £281million

40. Table 2 of this report (above) gives an indication of the current overall IDP funding position. Whilst this continues to indicate a funding gap, this is to be expected as some of the infrastructure is not required until later in the Plan period. In these cases it is likely that funding sources that cannot currently be anticipated will be available. An example of this is improvement to the motorway. This is not currently in Highways England's funding plans, but they support the proposed improvement for the medium term and it is therefore likely that HE funding will become available when required. Across all the infrastructure requirements, it is intended that, wherever possible alternative funding opportunities will be sought / bid for. An example of this being the CWLEP Local Growth Deal bidding for future infrastructure projects mentioned earlier that may, if successful; significantly ease the burden of the overall IDP monetary requirement. As the IDP evolves, it is intended that officers will be able to prepare and report more accurate estimates of the overall financial position, including as part of the next IDP progress report in March 2016.

41. Going forward, it will be very important to identify opportunities for grant funding possibilities as and when they occur to seek additional finance for our IDP projects. It should be noted that the infrastructure delivery plan is a long term project and it is inevitable that the range and availability of funding opportunities will change over time.

42. It may be that during the implementation of the Local Plan, consideration may have to be given to the prioritisation of certain infrastructure matters over others in the event it proves impossible to fully fund the full list of requirements.

Draft Infrastructure Delivery Plan

September 2015

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1. Introduction

Purpose and Background

- 1.1. This Infrastructure Delivery Plan (IDP) sets out the Infrastructure requirements to support the proposals in the Draft Local Plan through until 2029. It has been prepared in consultation with infrastructure providers to ensure that the plan not only provides new homes and employment, but that developments are properly supported by high quality infrastructure which allows these new places to function as thriving communities and locations for successful businesses.
- 1.2. The IDP is a 'living document' which will evolve as more information becomes available through detailed planning applications, funding discussions and infrastructure costs re-profiling. The IDP should be read in conjunction with the Local Plan policies, which sets out a positive approach to supporting development across the District.
- 1.3. This edition of the IDP builds upon the work published in December 2015, and includes the following updates:
 - A greater spatial analysis of transport infrastructure, better linking highways, public transport, cycling and pedestrian infrastructure requirements to key development areas;
 - A refinement of cost profiles and financial details, and
 - New content clarifying the position with regards to s.106 contributions and potential Community Infrastructure Levy (CIL) projects.
- 1.4. CIL information has been drawn from this document to produce an accompanying Draft Regulation 123 List. The Regulation 123 list sets out the infrastructure that the Council intends to be funded through CIL.

- 1.5 Over recent months, a number of major planning applications have been approved which are in line with the Council's Submission Draft Local Plan. These have involved, through Section 106 agreements, substantial contributions to the infrastructure set out in the Delivery Schedule below. Therefore this update to the IDP also deals with the reality of major live project delivery and implementation issues. We are now moving from project planning to the early stages of project implementation.

Key Elements of the IDP

- 1.6 The table in section 5 of this Infrastructure Delivery Plan showing the Delivery Schedule sets out a number of the most important elements relating to infrastructure requirements, costs and funding. However the full delivery schedule is a more complex spreadsheet showing phasing, organisational involvement and more details of costs and funding. This more complete information will be published on the Council's website. It includes a number of key elements that have been established as follows:
- 1.6.1 Infrastructure Requirements: the infrastructure requirements have been established through an examination of demographic and household growth trends and their impact on specific infrastructure. This has provided an understanding of the extent to which current capacity needs to be increased. Once that has been understood, the most appropriate way of delivering the increased capacity has been established.
- 1.6.2 Phased Infrastructure Delivery: Consideration has been given as to when different types of infrastructure are required across the plan period. It is informed by the examination of housing growth and the delivery schedules associated with major growth projects.
- 1.6.3 Cost profiling: the IDP involves the continual updating and reassessing of infrastructure cost profiles as projects often move through a process from outline costs to fine-tuned detailed project costs and then actual tendered values for project implementation.
- 1.6.4 Project Funding: it is recognised that infrastructure projects can potentially consists of a rich variety of funding streams. Work is progressing on clarifying potential funding partners and the possible scale of contributions, which varies from project to project. It is important that whatever public and other funding and resources are available for new infrastructure that this is planned and delivered in a co-ordinated and efficient manner. The IDP will be instrumental in helping to achieve more co-ordination between public agencies and thereby drive greater efficiencies in delivering infrastructure.
- 1.6.5 Providing Transparency: the IDP establishes the basic framework for the Regulation 123 List which sets out what the Council intends to fund in whole or part through CIL payments. In doing so this also provides a degree of clarification about the future modified content of s.106 agreements. It should be noted that all infrastructure not included within the Council's published Regulation 123 list can only be funded via s.106 agreements (which are subject to rigorous statutory tests) and other sources of funding.
- 1.7 As the IDP continues to develop, the Council is collecting and building a considerable database of detailed costs calculations, infrastructure modelling data, and

development forecasting material. It is not always in a readable or understandable format. However, as the IDP continues to develop it is intended to publish (subject to confidential financial information restrictions) further information on this data as technical appendices to future revisions of this document.

2. Plan Making, Economic Viability and Funding

Making Deliverable Plans

- 2.1 It is clear that the National Planning Policy Framework (NPPF) places significant emphasis upon Local Plans meeting the objectively assessed needs for their area, and are deliverable and realistic. Work by the cross-industry Local Housing Delivery Group ⁽¹⁾ suggest that there are at least nine variables to consider as part of the economic viability of a local plan, which Warwick District Council considers underpin an effective IDP.
- 2.2 Figure 1 summarises the key economic viability considerations. In addition to policy, stakeholder, community and infrastructure provider aspirations, there are clear economic viability matters linked to better understanding the costs and availability of land, finance, development costs and developer's return on investment. These types of considerations sit behind the work on the IDP and are also to be found in the Council's commissioned work on CIL viability testing ⁽²⁾. They also highlight the complexity of issues involved in considering the viability and delivery of the Local Plan. The IDP is part of this complex picture and is essentially an evolving live project plan which seeks to balance a clear approach to infrastructure delivery with an understanding of the economics of development.

References:

Ref (1) 'Viability Testing Local Plans: Advice for planning practitioners' Local Housing Delivery Group Chaired by Sir John Harman, June 2012

Ref (2) 'Community Infrastructure Levy – Viability Assessment – Update Addendum Report' BNP Paribas Real Estate, November 2014 and 'Community Infrastructure Study: Final Report' BNP Paribas Real Estate, June 2013.

Figure 1: Economic Viability



(Figure adapted from 'Viability Testing Local Plans: Advice for planning practitioners' Local Housing Delivery Group Chaired by Sir John Harman, June 2012)

The Right Infrastructure at the Right Time

- 2.3 In the past it has sometimes proved difficult to deliver the infrastructure at the time it is needed. With this in mind the Council is currently exploring different delivery models which increase the prospect of the public sector having access to the resources to enable greater control over the timing of delivery. In particular, an infrastructure enabling fund is being considered to provide funds which can support infrastructure providers in timely delivery. As part of this, the potential for using prudential borrowing powers to forward fund some infrastructure is being considered. This would seek to enable some infrastructure to be put in place in advance of the development.
- 2.4 At present more work needs to be carried out on this to ensure the Council is not taking an unreasonable financial risk in pursuing such an approach.
- 2.5 The Council has also employed a Major Sites Monitoring Officer who has responsibility for ensuring developer contributions are paid and for liaising with infrastructure providers to ensure these contributions are used to deliver priorities in a timely manner.

Infrastructure Funding

- 2.6 Not all the infrastructure projects listed in the IDP will be fully funded through developer obligations associated with new development. If this was the case, it would seriously put at risk the viability of the plan. While some infrastructure projects will be funded 100% from current / forecast contributions and allocated resources, other types of infrastructure may require a complex mix of funding streams. In the infrastructure schedules to the IDP, some initial work has been undertaken on:
- splitting funds between s.106 and CIL (this will help inform the CIL 123 Regulation List setting out what projects the Council intends to seek CIL funding to deliver);
 - setting out some headline information about potential funding partners, and
 - estimating some funding income headlines.
- This information should clearly not be read as commitments by potential funding partners to make contributions and work in this area will continue evolve as infrastructure projects are worked up.
- 2.7 The sources of funding described in the Delivery Schedule will continue to evolve. Some of the sources indicated, such as the 'Single Local Growth Fund' are the subject of funding bids and are still to be analysed. Other funding sources are potential sources, but further work is required to establish whether this potential can be fulfilled. The table detailed below sets out a broad framework to potential infrastructure funding opportunities. It is not an exhaustive list of funding opportunities, but further information on this aspect of the IDP will be developed as part of programmed updates to the plan.

Table 1: Funding Opportunities

Public Sector Innovation	Central Government and Public Bodies
<p>Tax Increment Funding (TIF) - TIF involves re-investing a proportion of future business rates from an area back into infrastructure and related development.</p> <p>Multi-use public buildings and cross public sector working – practical examples could involve multi-purpose buildings say delivering council contact services, healthcare and social care services.</p> <p>Core Public Sector Funding – reshaping existing resources and budgets with public sector partners to deliver shared outcomes.</p> <p>Supplementary business rates – local authorities can place a supplement on the business rate and to retain the proceeds for investment in the economic development of an area.</p> <p>Prudential borrowing - A local authority can utilise powers under the Prudential Code to borrow to finance the infrastructure or development needs of a</p>	<p>New Homes Bonus - The Government has committed to providing a 'bonus' for new homes by match funding the additional council tax raised for new homes and empty properties brought back into use, for a period of six years.</p> <p>Single Local Growth Fund - new 'single pot' of funding that the Local Enterprise Partnership (LEP) areas can effectively bid into on a competitive basis with other LEPs for economic priorities.</p> <p>Green Investment Bank - created by the UK Government, (and the sole Shareholder), to back green projects on commercial terms and mobilise other private sector capital.</p> <p>DfT funding through Local Transport Plan- DfT provides funding to local transport authorities in England to help them develop their local transport services and improve and maintain their infrastructure.</p> <p>Local Sustainable Transport Fund - local transport authorities can bid for funds to bring forward packages of sustainable travel</p>

<p>particular site.</p> <p>Joint ventures and public/ private delivery vehicles – partnership approaches to delivering infrastructure, services and projects</p>	<p>measures.</p> <p>Sport England - provides services and funding to sport in England.</p> <p>Arts Council England - supports a range of activities across the arts, museums and libraries</p> <p>Infrastructure Partners and Government Departments – Highways Agency, Environment Agency, DEFRA</p>
<p>Grant Funding and Charities</p> <p>Big Lottery Fund - money goes to community groups and projects that improve health, education and the environment.</p> <p>Heritage Lottery Fund - supports projects across the UK aimed at helping people explore, enjoy and protect the heritage they care about.</p> <p>Charitable Organisations and Grant Funders – examples include Sustrans, various trusts and foundations.</p>	<p>Private Finance</p> <p>Crowdfunding – generally internet funded projects where money is raised by contributions from a large number of people.</p> <p>Private donations – including those sourced through fundraising campaigns.</p>

3 Infrastructure Delivery

Responsibility for Delivery

- 3.1 The responsibility for delivering infrastructure lies first and foremost with the infrastructure providers. These organisations need to adapt their provision to support a growing population. However, the approach is inevitably a complex one requiring input from a range of organisations, including the District Council (in providing housing and population growth data, in agreeing section 106 contributions, providing CIL monies etc.). This requires a careful partnership and project management approach involving providers, funders and developers. To support this, the Council will be developing a clear and transparent process for ensuring developer contributions (whether through Section 106 or CIL) reach the infrastructure providers and for holding the infrastructure providers to account for timely and effective delivery. As the Local Plan moves from the preparation phase to the delivery phase, so will the resources to ensure effective delivery.

Timely Delivery

- 3.2 It is important that the Council and its partners in infrastructure delivery, work together to increase the prospect that infrastructure will be provided in advance of,

or alongside, new housing rather than in the years following the occupancy of new housing. This is important to enable new communities to become established and integrated quickly and to ensure that the impacts of growth on the District's existing communities are minimised.

- 3.3 However, accessing sufficient funding in a timely way to deliver early infrastructure provision remains a significant challenge and there are significant elements of the planning and public finance systems which make this hard to do. The District Council is continuing to work with its partners to explore possibilities to address this, including using prudential borrowing, accessing central government grants or loans or sharing risks by working with other local organisations. In this way it is hoped that a delivery fund can be established in advance of the receipt of developer contributions and this in turn can better enable the upfront delivery of key elements of the infrastructure requirements.

Progress to date

- 3.4 During 2013 and 2015, the Council has approved over 3,950 dwellings on sites proposed for allocation within the Publication Draft Local Plan. The vast majority of these have been in the areas to the south of Warwick and Leamington. Each of the applications have been accompanied by agreements to contribute significantly to infrastructure costs and in this way the implementation of the IDP is already in progress. For example, some of the contributions agreed include:
- Tach Brook Country Park: over £2 m plus the majority of the land required
 - Education: over £28 million
 - GP Surgeries: over £2 million
 - Transport (including buses): £15.5 million
 - Hospital: over £5 million
 - Indoor sports: nearly £2.7m

Spatial Focus

- 3.5 The proposed allocations within the Publication Draft are focused across a number of different parts of the District. In preparing the Delivery Schedule, careful consideration has been given to the cumulative requirements of development across sites which are clustered within a particular area. This has enabled contributions to be focused on mitigating impacts within each area. Examples of this include:
- Transport: A study has been undertaken to specifically explore the cumulative impacts on the transport system that the development sites in the area to the south of Warwick and Leamington will have. This has enabled contributions to be made towards the Europa Way corridor, the Banbury Road Corridor, the motorway and some town centre schemes, as well as sustainable modes of transport and bus provision.
 - A further study has looked at the cross boundary impacts of major development proposals intended in Stratford District. This work has apportioned some of the cost of improvements needed to the network in Warwick District to those developments in Stratford .

- Education: a coordinated approach to the provision of education across the area to the south of Warwick and Leamington has been established including expansion to two secondary schools and provision of four new primary schools. This has formed the basis of education contributions from development across that area.
- Education: a coordinated approach to education in Kenilworth is being developed, including a new primary school, expansion of an existing primary school and the development of a new secondary school and 6th Form.
- GP Services: NHS England has considered the impact of each development sites on GP services. This has given rise to a set of proposals to expand a number of targeted practices, at the same time as providing a new medical centre to the south of Warwick and Leamington. This work is currently being re-assessed by the CCG given that they are now the organisation that is responsible for GP services.

3.6 A spatial approach is particularly important for transport to show how different development sites and different modes of transport can be integrated in to a coordinated package for key transport corridors. This corridor approach is set out in Appendix A to the IDP. Like other aspects of the IDP, this is also work in progress, but it does show how different modes of transport can be coordinated to maximise the effectiveness of the whole the system and within specific areas. This will form the basis for further work on detailed design and delivery of transport schemes in the coming months and years.

Types of Infrastructure

- 3.7 Physical Infrastructure: Physical infrastructure describes the hard pieces of infrastructure that are needed for many activities that enable communities to function such as roads, pipes, wires and telecommunications infrastructure.
- 3.7.1 Transport makes up the most significant element of this in terms of costs. Transport infrastructure is predominantly delivered by Warwickshire County Council although other providers also have a role to play such as the Highways Agency, Network Rail, the District Council (in providing parking), Stagecoach and Sustrans. The County Council have played a leading role in researching and planning this element of the IDP and will continue to play a lead role in implementation.
- 3.7.2 A number of organisations (such as Severn Trent Water and National Grid) are involved with the provision of utilities. Much of this involves the on-site provision of pipes and wires, although investment is also required to in the wider network capacity.
- 3.7.3 Waste Disposal Infrastructure is provided by Warwickshire County Council and its partners, including investment in the local Household Waste and Recycling facility

- 3.8 Social Infrastructure: Social Infrastructure describes the infrastructure required to enable communities to establish and thrive. It covers a range of infrastructure that enriches our lives such as schools, libraries, community centres and sports facilities. It also covers infrastructure that enables us to live our lives safely such as emergency services.
- 3.8.1 Education forms the most significant element of social infrastructure in terms of cost. Warwickshire County Council has responsibility for ensuring sufficient educational places are available to meet the needs of the growing population. However, they are dependent on a range of providers – most notably an increasing number of Academy Schools – for the actual delivery of services. The provision of education therefore requires a partnership approach between the County Council and the providers.
- 3.8.2 The structures to support the effective planning and provision of health infrastructure are complex. For hospital services, the predominant provider within the District is South Warwickshire Foundation Trust, which, amongst other things manages Warwick and Stratford Hospitals. They have developed an investment plan across the two hospitals to enable the growing population to be supported. GP Services are provided by a wide range of local practices. However, the planning for GP Services is now led by the Clinical Commissioning Group (CCG) . Previously this work was the responsibility of NHS England (property services). Given this change in responsibility we are currently asking the CCG if they would like to take the opportunity to revise / refresh the data that has previously been submitted. It is hoped that we will have the definitive position on GP requirements shortly.
- 3.8.3 Indoor Sports is provided by the District Council, though often in partnership with other organisations such as schools. The District Council has undertaken some research in to the future needs of the area and the investment requirements of existing facilities. Based on this the Council has developed an Indoor Sports Strategy which forms the basis for this element of the IDP.
- 3.8.4 Libraries are provided by Warwickshire County Council and the contributions set out in the IDP reflect the need for investment in stock and equipment to support the growing population. Other cultural services are provided by range providers, including the District Council, the County Council and the voluntary sector. Only in Kenilworth are improved cultural facilities proposed.
- 3.8.5 Emergency Services are provided by Warwickshire County Council (fire), the Ambulance Service and Warwickshire Police. Only the Police service has indicated a need for investment to support the growing population in the form neighbourhood offices, improved custody facilities and equipment.
- 3.8.6 The provision of community centres works best where there is input from the community. At this stage therefore work has been undertaken to set aside land for community facilities, but until new communities become established, no work will be undertaken regarding the planning and structure of these facilities.

- 3.9 Green Infrastructure: Green Infrastructure describes the open spaces and natural environment that are needed to provide areas for biodiversity, recreation and quiet enjoyment. This includes country parks, urban parks, and playing pitches.
- 3.9.1 Country Parks can be provided by a range of organisations, depending on their role and format. The IDP proposes a new Country Park to the south of Warwick which the District Council is leading on.
- 3.9.2 Most urban parks and open spaces are managed by the District Council. For new developments, it is a requirement that open space is provided on site by the developers. These are then handed over to the District Council for ongoing management. In addition to these local open spaces, the District includes a number of significant parks – termed “District and Destination Parks” (such as Abbey Fields, St Nicholas Park and Jephson Gardens). Population growth places additional pressure on these parks, and so investment in these is included within the IDP
- 3.9.3 Playing Pitches are important for health and wellbeing. The District Council is the main providers of playing pitches, although a significant proportion are run directly by sports clubs. Sport England provide advice on the quantum of facilities needed and based on this the District Council has developed a Playing Pitches Strategy that will inform future iterations of the IDP.

4 The Delivery Schedule

- 4.1 The table set out in section 5 below is a part of the Delivery Schedule. The full delivery schedule is a large and complex spreadsheet that will be kept up to date as working document. This schedule will evolve overtime for a variety of reasons:
- As new Section 106 agreements are signed, the funding elements will be updated
 - As new evidence of need emerges (such as updated demographic data) the requirements and costs will be updated
 - As infrastructure schemes are refined and costs become more detailed, the costs will be revised
 - As local priorities change, the timing and grading of schemes may be revised
 - As time moves on and schemes are delivered, so new schemes required for the period towards the end of the Plan Period will come more in to focus.

Requirements for later in the Plan Period

- 4.2 It is important, to demonstrate the deliverability of the Local Plan, that the infrastructure requirements for the first 5 years can be funded and preferably the requirement for the 5 years beyond that as well. Although some of the schemes and their costs need to be further refined and some of the alternative funding sources can only be assumptions at this stage, the IDP provides reasonable evidence that the Local Plan proposals can be supported by the provision of the infrastructure required up until 2025.

4.3 Beyond 2025, there are significant uncertainties about requirements costs and funding sources. For the period beyond 2025 things could change such as opportunities for alternative sources of funding; updated costs; the potential to review the CIL schedule if viability changes and, of course, the likelihood that the Local Plan will be reviewed before that date. In this context, although it is important to have an understanding of longer term infrastructure requirements, it is not possible or appropriate to pin down exact requirements, costs and funding sources for the whole plan period at this stage.

5 Schedule of schemes, costs and sources of funding

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
PHYSICAL INFRASTRUCTURE										
	Transport: Sustainable Travel Infrastructure (Non Corridor specific)									
T1	Pedestrians: General	Crossing facilities should be provided where flows will justify such provision. Signage for important local facilities should be provided.	1		0					
T2	Cycling: General	Cycle infrastructure: crossing facilities should be provided where flows will justify such provision. Toucan crossings may be required on key cycle routes. Cycle signage should also be provided, particularly in terms of links to the National Cycle Network and important local facilities such as rail stations. Good quality cycle parking should be provided at local service centres, schools and open spaces/play areas within development sites.	1		0					* Cycleways subject of a County Council review with Sustrans to develop / identify projects to be delivered throughout the Local Plan period
T3	Cycling: completion of the existing cycle networks	Completion of the existing cycle networks within Warwick, Leamington Spa, Kenilworth and Whitnash - provision of "Missing Links" that will provide the shortest routes to key destinations (e.g. Use of Victoria Park to link to the Leamington Spa town centre with the proposed cycle infrastructure for Ford Foundry, linking Connect2 to Kenilworth town centre and linking Warwick town centre to the rail station). .Provision should include toucan/pedestrian	1	£2,000,000	£2,000,000			£2,000,000		* Cycleways subject of a County Council review with Sustrans to develop / identify projects to be delivered throughout the Local Plan period

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278		Other	
		crossings to avoid severance.								
T4	Bus Infrastructure: General	In relation to bus stops, these should be well located in relation to the surrounding development (for example in terms of local service centres and schools), with a maximum walk distance of no more than 400m from any point within the development. In most cases bus stop poles with flags and timetable cases should be sufficient. At key stops, consideration should be given to providing a bus shelter. A commuted sum will be required for a period of five years to cover the maintenance costs of each shelter provided.	1		0					
T5	Bus Services: General	Financial contributions will be required towards the provision of improvements to bus services as part of all significant new development. This will generally take the form of either enhancements to existing bus services which fall within 400m walking distance of the site, or for larger sites the provision of new standalone bus services which deliver direct access to the development in question. Contributions will be sought for a minimum of five year period, net of fare box revenue. Alternatively, developers may wish to contract	1	£1,700,000	£1,700,000			£1,700,000		

	Infrast- ructure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278		Other	
		new or enhanced bus services directly with an operator rather than pay a contribution. Such requirements will be agreed as part of the planning process and conditioned accordingly. New or enhanced bus services should ideally provide a minimum of a 15 minute frequency serving the development between 0630 – 1900 from Monday to Saturday, with a 30 minute frequency in evenings and on Sundays								
T6	Smarter Choices	Implementation of a range of behavioural measures such as workplace travel plans, sustainable transport packages for new residents, travel awareness campaigns, public transport information, car clubs and car sharing and teleworking, home working and home shopping.		£1,000,000	£1,000,000			£1,000,000	*Travel pack monies in S106 from Southern sites is £234,000 thus far	
	Transport Infrastructure: A452 Europa Way Corridor								*Note- all factors within this Corridor to be subject to a WCC SEP bid for finance. In general some £13.2 million has been agreed via S106 Agreements for highways improvements- this can be utilised for carriageway / cycling measures as deemed necessary. A further £65,000 has been specifically identified for footpaths.	
T7	Park and Ride South of Warwick	Provision of park and ride in the vicinity of the Heathcote or Greys Mallory roundabouts on the A452 corridor. At the Heathcote Roundabout it would be serviced by existing and new bus services associated with development. At the Greys Mallory roundabout it		£2,000,000	£2,000,000			£2,000,000		

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278		Other	
		would be serviced by the express service from JLR at Gaydon and supplemented by a bespoke service. The facility could also support private business shuttle services and serve as a schools drop and ride facility. Services would link to Warwick TC, Leamington Rail Station, Leamington TC, Leamington Retail Park and employment areas south of Warwick								
Note	Bus Priority Measures: Southern Park and Ride to Leamington / Warwick	<ul style="list-style-type: none"> • Bus loop detectors at the exit of the Park and Ride site and at the junction onto the Heathcote Farm development site distributor road; • Bus lane northbound along the Heathcote Farm development site distributor road as far as the junction of Gallows Hill/Heathcote Lane; • Bus gate at the junction of the Heathcote Farm development site distributor road with Gallows Hill/Heathcote Lane (to facilitate left and straight on bus movements); • Bus lane on the exit from the Land west of Europa Way development site northbound, with a bus gate to provide access onto the A452 Europa Way. Bus loop detectors for the reciprocal movement from the A452 Europa Way south into the Land west of Europa Way development; • Bus lane northbound around the western edge of the Shires Retail Park roundabout, with corresponding southbound bus lane provided as part of the hamburger design through the centre of the roundabout; 		£750,000	£750,000			£750,000		

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278		Other	
		<ul style="list-style-type: none"> • Bus detector loops on each approach to the main access to the Ford Foundry development (Morrisons); • Queue detector loops on all approaches to the proposed Old Warwick Road/ Lower Avenue/Spencer Street/Bath Street gyratory system; and • Bus detector loops on the approaches to all three main junctions on the Parade (Regent Street, Warwick Street and Clarendon Avenue). • Bus loop detector on the approach to Banbury Road from Gallows Hill/Heathcote Lane with associated bus lane; • Bus loop detectors on all approaches to the Banbury Road/Myton Road junction; and • Bus loop detectors at the junction of St Nicholas Church Street/Castle Hill. 								
T9	Pedestrians: South Warwick and Leamington	<p>Links from the south Warwick development sites to the following will be required:</p> <ul style="list-style-type: none"> • The schools on Myton Road; • Warwick Town Centre; • Warwick Technology Park; • The employment areas to the east of Europa Way (Tachbrook Business Park, Queensway Trading Estate and Heathcote Industrial Estate); • Shires Retail Park; • Former Ford Foundry site (Morrisons); • Leamington Spa Town Centre; • Leamington Spa Rail Station; and • Warwick Gates and Whitnash. 		£0		£0			*Also being developed through ongoing negotiations regarding detailed planning applications.	

	Infrast- ructure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278		Other	
T10	Cycling: South Warwick and Leamington	Links from the south Warwick development sites to the following will be required: <ul style="list-style-type: none"> • The schools on Myton Road; • Warwick Town Centre; • Warwick Technology Park; • The employment areas to the east of Europa Way (Tachbrook Business Park, Queensway Trading Estate and Heathcote Industrial Estate); • Shires Retail Park; • Former Ford Foundry site (Morrisons); • Leamington Spa Town Centre; • Leamington Spa Rail Station; and • Warwick Gates and Whitnash. Further testing as part of Demand Management Study		£1,000,000		£1,000,000		£1,000,000		*Finance for this issue can be utilised from transport contributions set out in S106 – some £13.2million thus far
T11	Bus Infrastructure: South Warwick and Leamington	In relation to bus stops, these should be well located in relation to the surrounding development (for example in terms of local service centres and schools), with a maximum walk distance of no more than 400m from any point within the development. In most cases bus stop poles with flags and timetable cases should be sufficient. At key stops, consideration should be given to providing a bus shelter. A commuted sum will be required for a period of five years to cover the maintenance costs of each shelter provided.			0					
T12	Bus Services: South Warwick and Leamington	The concentration of large scale development in the South Warwick/Leamington Spa area should facilitate the conditions required to support the introduction of a network of new and/or enhanced services that		£1,700,000		£1,700,000		£1,700,000		*£2.088,088 secured by S106 Agreements thus far

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
		stand a reasonable chance of becoming commercially viable over time. This will include enhancing the existing Service 68 (Cubbington to Hatton Park via Leamington Spa and Warwick) and providing a new 20 minute frequency bus service serving the proposed major development in this area. These will deliver suitable links between the new development and Warwick/Leamington Spa town centres, as well as other key trip attractors such as nearby employment areas and Leamington Spa rail station.								
T13	A452 Europa Way / Myton Road Roundabout	Provision of a signalised roundabout, with widened approaches and dedicated turning lane for Old Warwick Road w/b to Europa Way s/b movements.	1	£1,600,000		£1,600,000		£1,600,000		*S106 apportionment WDC £1,265,000 SDC £110,000 (res) SDC £225,000 (emp)
T14	A452 Shires Retail Park Roundabout	Extensive reconfiguration into a signalised three arm junction with the Queensway and Tachbrook Park Road being combined into a single entry arm prior to entering into the main junction and a link across the centre of the junction used to increase capacity for the north - south movement.	1	£1,250,000		£1,250,000		£1,250,000		*S106 apportionment WDC £1,000,000 SDC £150,000 (res) SDC £100,000 (emp)
T15	A452 Heathcote Roundabout	Widening of approaches and signalisation of at least four of the five entry arms of the junction.	1	£900,000		£900,000		£900,000		*S106 apportionment WDC £670,000 SDC £170,000 (res) SDC £60,000 (emp)
T16	Greys Mallory Roundabout	Provision of full signalisation of the junction, including a dedicated lane to better accommodate the A452 Banbury Rd to A452 Warwick bypass SB movement.	2	£500,000		£500,000		£500,000		*S106 apportionment WDC £300,000 SDC £105,000 (res) SDC £95,000 (emp)

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
T17	Europa Way Corridor – Part 1	Provision of dual carriageway along the entire length of the corridor between M40 J14 and the Heathcote roundabout on Europa Way.	1	£5,500,000		£5,500,000		£5,500,000		*S106 apportionment WDC £ 4,400,000 SDC £900,000 (res) SDC £250,000 (emp)
T18	Europa Way Corridor – Part 2	Provision of dual carriageway along the entire length of the corridor between the Heathcote roundabout and the Europa Way/Myton Road roundabout.	1	£2,950,000		£2,950,000		£2,950,000		*S106 apportionment WDC £2,120,000 SDC £580,000 (res) SDC £250,000 (emp)
		Transport Infrastructure: A452 Leamington to Kenilworth Corridor								*Note- all factors within this Corridor to be subject to a WCC SEP bid for finance.
T19	Cycling: K2L cycle route	K2L cycle route between Kenilworth and Royal Leamington Spa		£1,000,000	£1,000,000			£1,000,000		
T20	Rail: NUCKLE 2 Kenilworth Station	Provide a new station at Kenilworth as a key part of the NUCKLE Phase 2 Heavy Rail Improvements		£11,300,000				£0	£11,300,000	*Note Dep't of Transport Funding - site cleared WCC aiming to deliver by Dec 2016
T21	Rail: NUCKLE 2 other aspects	Rail service improvements and associated infrastructure improvements between Coventry and Leamington Spa with links through to Nuneaton (NUCKLE 1)		£0				£0		
T22	Park and Ride north of Leamington	An optimum location for a northern Park and Ride site would be between A46/A452 Thickthorn roundabout and the A452/B4113 Blackdown roundabout. It is anticipated that the facility would be served by some or all of the existing bus services which currently use this corridor, thus delivering a highly attractive frequency of service for users. This would ideally be accompanied by bus priority measures along the route, particularly at key pinch points.		£2,000,000	£2,000,000			£2,000,000		
T23	Thickthorn Roundabout, Kenilworth	Provision of a signalised roundabout with widening of the approaches to the junction to 3	1	£1,250,000		£1,250,000		£1,250,000		*Now identified within the SEP, therefore a contribution from the SEP is likely.

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
		lanes, with 2 lanes retained on the bridges. Intrinsicly linked to the delivery of local housing and employment allocations as well as the wider impacts of growth across the District. Dual carriageway links between A46 Thickthorn grade separated roundabout and Bericote signalised roundabout. Provision of toucan crossings over slip roads to help contribute towards delivery of K2L cycle route. Bus priority measures at junction.								
T24	A452/Bericote Roundabout	Provision of a signalised roundabout on the A452 where it meets Bericote Road. The A452 s/b to Bericote Rd e/b movement is separated out from the junction at an early stage although the point at which the A452 meets Bericote Road is also signal controlled. Provision of toucan crossing over Bericote Road to contribute towards delivery of K2L cycle route. Bus priority measures at junction.	1	£1,250,000		£1,250,000		£1,250,000		*Now identified within the SEP, therefore a contribution from the SEP is likely.
T25	A452/B4113 Blackdown Roundabout	Provision of a four arm signalised cross-roads on the A452 where it meets the B4113 at Blackdown, replacing the existing roundabout. Provision of toucan crossing over B4113 to contribute towards delivery of K2L cycle route. Bus priority measures at junction.	1	£650,000		£650,000		£650,000		
	Transport Infrastructure: Warwick-Leamington-Lillington (via Emscote Road)									
T26	Emscote Road /Greville Road	Provision of signals to control the existing priority junction. Delivery of schemes T26 and T27 in unison safeguards functionality of the Emscote Road Corridor. Scheme	1	£750,000	£750,000			£750,000		

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
		will incorporate cycling facilities and contribute towards Warwick to Leamington cycle route (via Emscote Road / Warwick New Road)								
T27	Princes Drive/ Warwick New Road	Reconfiguration of the existing roundabout to a signalised 3 arm priority junction. Delivery of schemes T26 and T27 in unison safeguards functionality of the Emscote Road Corridor. Cycle facilities will be incorporated into the scheme and contribute towards Warwick to Leamington cycle route (via Emscote Road / Warwick New Road)	1	£350,000	£350,000			£350,000		
T38	Bericote Road/ Stoneleigh Road	Widening of the existing roundabout to include two lanes on the circulatory and on all approaches.	2	£500,000	£500,000			£500,000		
T29	Kenilworth Road/Westhill Road	Widening of the existing roundabout circulatory to two lanes along with all of the entry arms.	2	£500,000	£500,000			£500,000		
	Transport Infrastructure: Leamington South (including Tachbrook Road)									
T30	Bath Street/ Spencer Street / High Street / Lower Avenue	Introduction of one-way gyratory along Lower Avenue / Spencer Street and Bath Street with restricted movement along Old Warwick Road for eastbound traffic. Provision of signal control on at least three of the four entry points and inclusion of vehicle detection loops. Opportunities to improve cycle access to town centre and east-west cycle links will be sought.	1	£500,000	£500,000			£500,000		*Note- all factors within this Locality to be subject to a WCC SEP bid for finance.

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
T31	Adelaide Road/Avenue Road	Provision of a signalised junction to replace the existing mini roundabout. Cycle facilities will be incorporated into the scheme as appropriate.	2	£350,000	£350,000			£350,000		*S106 apportionment WDC £290,000 SDC £40,000 (res) SDC £20,000 (emp)
T32	Dormer Place/Adelaide Road	Provision of a signalised junction to replace the existing priority junction. Opportunities to deliver improved east-west cycle links (Milverton Hill – Portland Place East – Dormer Place) will be sought as part of this scheme.	2	£350,000	£350,000			£350,000		*S106 apportionment WDC £245,000 SDC £35,000 (res) SDC £20,000 (emp)
Transport Infrastructure: Warwick Town Centre to Heathcote via Gallows Hill										
T33	Warwick Tech Park Roundabout	Provision of a standard two-lane approach roundabout on Gallows Hill/Heathcote Lane, to improve access and reduce congestion as vehicles attempt to enter and exit Warwick Technology Park. Potential to introduce bus lane and investigate introduction of High occupancy Vehicle Lane.	2	£600,000		£600,000		£600,000		*S106 apportionment WDC £525,000 SDC £20,000 (res) SDC £55,000 (emp)
T34	Banbury Road, Warwick	Reduced two lane sections of the Banbury Road both around the Gallows Hill junction and south of the Gallows Hill/Myton Road junction.	1	£300,000		£300,000		£300,000		
T35	Myton Road/Banbury Road Roundabout	Provision of a signalised junction to replace the existing roundabout. Cycle facilities will be incorporated into the scheme and the need to facilitate access to/from existing Banbury Road/Myton Road cycle routes will be considered in the design.	1	£450,000		£450,000		£450,000		*S106 apportionment WDC £345,000 SDC £25,000 (res) SDC £80,000 (emp)
T36	Priory Road/Smith Street/St Nicholas Church St	Provision of a signalised junction with the timings synchronised with the A445 Coten End/A429 Coventry Road signalised junction. The right turn from Smith Street to St Nicholas Church Street is retained	1	£300,000		£300,000		£300,000		*S106 apportionment WDC £260,000 SDC £30,000 (res) SDC £10,000 (emp)

	Infrast- ructure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
T37	Castle Hill/St Nicholas Church Street/Banbury Road	Revised traffic managements at the junction of Castle Hill/St Nicholas Church Street/Banbury Road.	1	£650,000		£650,000		£650,000		*S106 apportionment WDC £535,000 SDC £82,500 (res) SDC £32,500 (emp)
T7	Park and Ride south of Warwick	See above under 'Transport Infrastructure: A452 Europa Way Corridor'.								
T8	Bus Priority Measures: Southern Park and Ride to Leamington / Warwick	See above under 'Transport Infrastructure: A452 Europa Way Corridor'.								
Transport Infrastructure: Warwick Town Centre to Leamington (via Myton Road)										
T35	Myton Road / Banbury Road Roundabout	See above under 'Transport Infrastructure: Warwick Town Centre to Heathcote via Gallows Hill'.								
T9	Pedestrians: South Warwick and Leamington	See above under 'Transport Infrastructure: A452 Europa Way Corridor'.								
T10	Cyclists: South Warwick and Leamington	See above under 'Transport Infrastructure: A452 Europa Way Corridor'.								
Transport Infrastructure: A429 Coventry Road, Warwick										
T38	A452 Spinney Hill Roundabout	Provision of widened approaches to the Spinney Hill junction on the A429 north of Warwick. Potential for bus priority for east-west movements across junction.	2	£450,000	£450,000			£450,000		
T39	Cycling: completion of the existing cycle networks	Extension of Coventry Road cycle facility from Primrose Hill to Warwick town centre (costs covered under T6 costs).								
Transport Infrastructure: A425 Birmingham Road, Warwick										

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278		Other	
T40	A46/A425/A4177 Birmingham Road 'Stanks Island'	Signalisation of the four entry arms to the junction with associated widening on each approach to the junction (but with the bridges retained to 2 lanes). The scheme also incorporates capacity improvements either side of the junction, particularly towards Warwick and associated cycle/pedestrian improvements between Wedgenock Lane and 'Stanks Island'	1	£3,400,000					£3,400,000	To be funded by the SEP
Transport Infrastructure: A429 Stratford Road, Warwick										
T41	Cycling: completion of the existing cycle networks	Extension of Stratford Road cycle facility to bridge the missing link along Hampton Road will be investigated (costs covered under T6 costs).								
Transport Infrastructure: Strategic corridor improvements										
T42	Motorway Traffic Management	Provision of Smart Motorways between J14 and J15 of the M40		£10,000,000	£10,000,000 £5,750,000 WDC			£10,000,000	Note £4,250,000 of this to come from SDC	*2.385,000 (res) SDC £1,865,000 (emp) Anticipate funding from Highways England as well that will reduce the above
T23	Thickthorn Roundabout, Kenilworth	See above under 'Transport Infrastructure: A452 Leamington to Kenilworth Corridor'.								
T40	A46/A425/A4177 Birmingham Road 'Stanks Island'	See above under 'Transport Infrastructure: A425 Birmingham Road, Warwick Corridor'.								*To be funded from SEP finance, project details being developed.
T17	Europa Way Corridor – Part 1	See above under 'Transport Infrastructure: A452 Europa Way Corridor'.								
T18	Europa Way Corridor – Part 2	See above under 'Transport Infrastructure: A452 Europa Way Corridor'.								

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
	Transport Infrastructure: Kenilworth Improvements									
T41	A452 St Johns Gyratory, Kenilworth	Signalisation of the four entry arms onto the junction. Additional engineering will be required to ensure that the development which lies in the centre of the gyratory can be accessed satisfactorily. Intrinsically linked to the delivery of local housing and employment allocations.	1	£300,000		£300,000		£300,000		
T19	Cycling: K2L cycle route	See above under: 'Transport Infrastructure: A452 Leamington to Kenilworth Corridor'.								
T20	Rail: NUCKLE 2 Kenilworth Station	See above under: 'Transport Infrastructure: A452 Leamington to Kenilworth Corridor'.								
T21	Rail: NUCKLE 2 other aspects	See above under: 'Transport Infrastructure: A452 Leamington to Kenilworth Corridor'.								
T23	Thickthorn Roundabout, Kenilworth	See above under: 'Transport Infrastructure: A452 Leamington to Kenilworth Corridor'.								
T3	Cycling: completion of the existing cycle networks	Extension of town cycle links and links from proposed Thickthorn development site to: <ul style="list-style-type: none"> Kenilworth School Rocky Lane (and potential onward connections to Stoneleigh Park) Leamington Road from Glasshouse Lane (via development site). Costs covered under T3 costs.								
	Transport Infrastructure: Sub-regional Employment Site									
T42	Transport Infrastructure Associated with	These may vary depending on precise configuration of any proposal. The Coventry &								

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278		Other	
	Sub-regional employment site	<p>Warwickshire Gateway planning application would deliver a range of highway improvements including the following:-</p> <ul style="list-style-type: none"> • New junction on A45 between Festival and Toll Bar islands including bridge over A45 to link site with Jaguar Whitley Business Park (Coventry) • New access road within the site to link the two zones (east of Baginton and south of Middlemarch Business Park). • New roads within the Jaguar Whitley Business Park (Coventry) • Improvements to capacity of Festival island (Coventry) and the A46/Stoneleigh Road junction • Enhancement to Stivichall bypass/London Road bypass junction • New roundabout at junction of Bubbenhall and Stoneleigh Roads. • New bus route with high quality infrastructure and frequent services between Coventry City Centre and site. • Extensive improvements to off-site footpaths and cycleway links. • Measures to restrict traffic from the site entering/exiting along Rowley Road/Bubbenhall Road. 								
	Transport Infrastructure Total			£60,050,000	£24,200,000	£21,150,000		£45,350,000	£14,700,000	*Total transport finance from S106 thus far £15,619,840 – includes footpaths, highways / cycleways , travel packs and public buses.
	Telecommunications									
Te1	High Speed Broadband	Funding is already in place to achieve 95% coverage for high speed broadband in line								

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding Other	Update/Amendments September 2015
					CIL	s.106	s.278			
		with targets. No further infrastructure required								
	Utilities: Electric and Gas									
U1	High Voltage Electricity Transmission System	The existing transmission system will have the capacity to accommodate the additional demand								
U2	High Pressure Gas Transmission System	The existing transmission system will have the capacity to accommodate the additional demand								
	Utilities: Water and Sewage									
U3	Sewage and Water	Severn Trent Water's investment plans for drainage, sewerage and sewage treatment mean that the development proposals can be accommodated. This situation will be reviewed annually with Severn Trent Water								
	Utilities: Waste									
W1	Household Waste and Recycling	Redesign of existing household recycling facilities to accommodate population increase.	2	£576,326	£461,061			£461,061	£115,265	
	Waste: Sub Total			£576,326	£461,061	£0		£461,061	£115,265	
	SOCIAL INFRASTRUCTURE									
	Education: Primary Schools									*Note: Education contributions from S106 currently stand at £28 million. This is to be utilised for all types of school requirement.

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278		Other	
E1a	New Primary Schools	Heathcote Primary School (1 x 2 form)	1	£3,849,415		£3,849,415		£3,849,415		*Land secured through S106 – WCC commencing implementation strategy.
E1b	New Primary Schools	Grove Farm Primary School (1 x 1 form)	1	£2,775,300		£2,775,300		£2,775,300		*Land secured / identified through S106
E1c	New Primary Schools	Myton / West of Europa Way (1 x 2 form)	1	£3,849,415		£3,849,415		£3,849,415		*Location to be adjacent Myton School details being developed through master planning arrangements
E1d	New Primary Schools	Whitnash East / South Sydenham (1x 1 form)	1	£2,775,300	£2,775,300			£2,775,300		
E1e	New Primary Schools	Thickthorn school (1x1 form) - located either on Thickthorn allocation or alternative option at Glasshouse Lane (Southcrest Farm).	1	£2,775,300		£2,775,300		£2,775,300		*Details being developed through developer negotiations
E2a	Expansion of existing schools	Whitnash Primary School – 0.5 form entry additional capacity	1	£1,000,000		£1,000,000		£1,000,000		
E2b	Expansion of existing schools	A primary school in Kenilworth – 0.5 form entry additional capacity	1	£1,000,000		£1,000,000		£1,000,000		
E2c	Expansion of existing school	Development of additional capacity at Barford Primary School	1	£500,000		£480,420		£480,420	£19,580	*Delivered in 2015 by funding provided by WCC. – monies to be recovered from S106 contributions in due course.
E3	Village schools	No additional requirement. The provision of additional capacity as set out in E1, E2 and E3, combined with displacing children out of priority area means that the proposals for new development in villages can be met at the following schools: <ul style="list-style-type: none"> • Bishops Tachbrook • Cubbington 								

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
		<ul style="list-style-type: none"> Budbroke Lapworth Radford Semele Burton Green All Saint's Leek Wootton 								
	Primary Schools - Sub Total			£18,524,730	£2,775,300	£15,729,850		£18,505,150	£19,580	
	Education: Secondary Schools									
E4	South of Warwick: Southern Sites	Partially rebuilt Myton School on area of land which overlaps with existing school site.	1	£32,000,000 £27,188,678		£16,000,000 £13,176,000		£16,000,000 £13,176,000	£16,000,000 estimated from land sales and EFA bid £14,400,000	*Additional Land secured through S106. Note project to be funded by a range of inputs – see report paras 12, 13
E5	Whitnash East	Expansion of Campion School	1	£8,150,000		£8,150,000		£8,150,000		
E6	Kenilworth	New secondary school and 6th form centre provided on land at Southcrest Farm. Potential to co-locate primary school on this site	1	£38,194,534		£9,600,000		£9,600,000	?????	*Scheme being investigated – note significant contribution may come from land sales.
E7	Other Sites	Accommodated in existing / expanded schools	2		£2,500,000			£2,500,000		
	Secondary Schools Sub Total			£78,344,534	£2,500,000	£33,750,000		£36,250,000	£16,000,000	
	Education: 0-5 Provision									
E8	District-wide facilities	Contribution to improvement and expansion of existing facilities – details to be confirmed	2	£1,170,000	£1,170,000			£1,170,000		
	Education: Special Educational Needs Provision									
E9	District-wide facilities	Contribution to improvement and expansion of existing facilities – details to be confirmed	1	£1,340,000	£1,340,000			£1,340,000		
	School Transport									

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
E10	Contribution to school transport			£1,868,776	£1,025,290	£843,486		£1,868,776		
	Education Other : Sub Total			£4,378,776	£3,535,290	£843,486		£4,378,776	£0	
	Health: Acute and Community Health Services									*£Total thus far from S106 for hospital provision -£5,059,996
H1	Warwick Hospital	First ward block at the Warwick Hospital site – the main provider of acute hospital services. (Subject to funding this project is targeted for completion for Summer 2015).	1	£12,000,000	£3,990,264	£4,009,736		£8,000,000 To be shared with SDC	£4,000,000 NHS	*Delivered. anticipated to open in December 2015 Costs to be shared with SDC
H2	Warwick Hospital	Additional outpatient, diagnostic, treatment and in-patient facilities, including hubs for community health care teams at Warwick and Stratford Hospitals - it is recognised that the first New Ward Block and Stratford Hospital projects will not fully meet the healthcare demand associated with the new population growth projections and we will require additional infrastructure to deliver future acute and community healthcare requirements on a sustainable basis	2	£12,000,000	£4,000,000	£4,000,000		£8,000,000 To be shared with SDC	£4,000,000 NHS	*Costs to be shared with SDC
H3	Stratford Hospital	A new hospital at our Stratford Hospital site including outpatient, diagnostic, treatment and inpatient facilities and a hub for community healthcare teams. (Target completion for Phase 1 by Autumn		£40,000,000	£0	£ 17,000,000 To be shared with SDC		£17,000,000 To be shared with SDC	£23,000,000 NHS	Development underway – anticipated completion 2017 Costs to be shared with SDC

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
		2015).This is integral to enabling additional capacity at Warwick Hospital								
				£64,000,000	£7,990,264	£25,009,736		£33,000,000	£31,000,000	
	Health: GP Services									*Total currently achieved through S106 £2,031,783 Note CCG currently being asked to 'refresh' list of requirements if necessary
H4	Warwick: Southern Sites	A new 5 GP medical centre to be provided land at Myton/ West of Europa Way	1	£2,900,000		£1,658,787 £1,918,931		£1,658,787 £1,918,931	£981,069	*Site being identified through detailed planning negotiations. S106 contribution currently £1,918,931 Note a further £112,852 has been sought to fund additional works to the existing surgery at Warwick Gates
H5	Kenilworth	Expanded medical facilities to meet the needs of additional development.	1	£141,008		£126,907		£126,907	£14,101	
H6	Whitnash / Sydenham / Radford Semele	Expansion of existing medical centre - potentially Croft Medical Centre	1	£94,565		£72,649		£72,649	£21,916	
H7	Lillington / Cubbington	Extension to Cubbington Road Surgery	1	£40,581		£40,581		£40,581	£0	
H8	Urban Sites Linked			£398,765	£358,889			£358,889	£39,877	
	Health - GP Sub Total			£3,574,919	£358,889	£2,159,068		£2,517,957	£1,056,963	
	Indoor Sports Facilities: Sports Halls and Swimming Pools									*£2,714,647 identified in Southern sites S106's
ISF 2	Improvements to sports hall and	Refurbishment and expansion of swimming pools, sports halls and gym		£15,000,000 £25,000,000	£2,068,673	£1,931,327		£4,000,000	£21,000,000	

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
	swimming pools	facilities in Kenilworth, Leamington and Warwick. This is required partly as a result of population growth: <ul style="list-style-type: none"> • a deficit of 5 badminton courts in total • by 2022 swimming pools will be full. Therefore there is a need to modernise, increase the capacity of the swimming pools and improve the changing and circulation areas to improve the quality of the swimming pools. 								
	Indoor Sports: Sub Total			£25,000,000	£2,068,673	£1,931,327		£4,000,000	£11,000,000	
	Cultural Facilities: Library Services									*£175,202 identified in Southern sites s106's
CU1	Contributions to Library Service	IT and stock purchases to support growth in population.	2	£93,553		£154,511		£154,511	£10,000	
	Cultural Facilities: Arts and Culture									
CU2	Kenilworth Public Service Centre and Community Theatre	Provide new public service centre along with a community theatre in line with the proposals consulted on for the Kenilworth Town Plan		£5,200,000		£4,200,000		£4,200,000	£1,000,000	
	Cultural Services: Sub Total			£5,293,553	£0	£4,354,511		£4,354,511	£1,010,000	
	Emergency Services									*£687,552 identified in Southern sites S106's for police infrastructure
ES1	Police: Custody Suite	12 additional cells needed	2	£504,000	£504,000			£504,000		
ES 2a	Police: Safer Neighbourhood Team Police	Additional offices at Europa Way	1	£450,951		£450,951		£450,951		


	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
	Office									
ES 2b	Police: Safer Neighbourhood Team Police Office	Additional office at Lower Heathcote Farm		£450,951		£450,951		£450,951		
ES 2c	Police: Safer Neighbourhood Team Police Office	Additional office at Thickthorn		£450,951		£450,951		£450,951		
ES3	Other police equipment and costs	A range of other "CIL Compliant" costs including vehicles, communications technology and surveillance equipment, training, uniform and personal equipment	2	£509,000	£509,000			£509,000		
ES4	Ambulance Service	The service has undertaken a recent premises review. They have no further requirements during the Plan Period	N/A	£0						
ES5	Leamington Fire Service Delivery Point	New facility to the south of Warwick/Leamington to provide a staffed facility to meet the changing demands of the Fire and Rescue Service.	1	£2,000,000				£0	£2,000,000	*Note: assumed not to be funded by developer contributions
ES6	Kenilworth Fire Service Delivery Point	New facility in accessible location (potentially close to Thickthorn roundabout) to meet the changing demands of the Fire and Rescue Service..	1	£2,000,000				£0	£2,000,000	*Note: assumed not to be funded by developer contributions
				£6,365,853	£1,013,000	£1,352,853		£2,365,853	£4,000,000	
	Community Facilities									
CF1	Warwick: Southern Sites Community Centre	New Community Centre, including 1 year start-up costs	1	£1,210,000	£960,000			£960,000	£250,000	

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
CF1	South of Harbury Lane Community Centre	New Community Centre, including 1 year start-up costs	2	£1,210,000	£1,210,000			£1,210,000		
CF2	Kenilworth: Thickthorn Community Centre	New Community Centre, including 1 year start-up costs	1	£1,210,000		£1,210,000		£1,210,000		
	Village Infrastructure									
V1	Village Infrastructure	The proposed housing allocations for the growth villages will require (over and above any educational requirements) associated infrastructure investments. For example this could include facilities for teenagers; sport and recreation facilities; improved community halls; allotments; nursery provision; local road improvements etc.								
				£3,630,000	£2,170,000	£1,210,000		£3,380,000	£250,000	
	GREEN INFRASTRUCTURE									
	Country parks and Strategic Green Infrastructure									
GI1	Tach Brook Country Park	62.5 hectare Country Park to north side of Tach Brook providing a separation and recreational space between Bishops Tachbrook and proposed new development to the south of Harbury Lane. Include pedestrian and cycle access, links to wider countryside, and ecological areas. Costs	1	£2,300,000		£2,174,976		£2,174,976	£125,024	*£2,046,720 identified in Southern sites S106's- the majority of the land required Negotiations regarding Severn Trent land underway.

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
		include maintenance and management for 13 years.								
GI2	Kenilworth / Crackley Country Park	Country Park to the north of Kenilworth. Mitigation for HS2 proposals. Potential to link with future any proposals for University of Warwick. Include pedestrian and cycle access, links to wider countryside, and ecological areas. Costs include maintenance and management for 13 years	2	£2,800,000				£0	£2,800,000	
GI3	Arden Landscape Enhancement	Enhancements to Hay Wood, hedgerows, enhancement of historic parkland at Wroxall Abbey, improved access, new wetland and heathland habitats. Costs include maintenance and management for 13 years	2	£2,670,000	£2,400,651			£2,400,651	£269,349	
GI4	River Leam Tree Planting	New tree planting opportunities, enhancement of river environment, improved access. Will assist with flood alleviation. Costs include maintenance and management for 13 years	2	£4,630,000					£4,630,000	
GI5	Biodiversity Maintenance									
	Green Infrastructure: Sub Total			£12,400,000	£2,400,651	£2,174,976		£4,575,627	£7,824,373	
	Open Spaces									
GI6	Improvements to Destination and District	Improvements to the District parks which have a key strategic role in the provision of open space in		£3,170,000	£2,853,000.0			£2,853,000.0	£317,000	*£730,994 set out in Southern sites S106's thus far

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278			
	scale parks	the District. This includes footpath improvements								
GI7	Open Space and Play Areas	Provision of open, play areas, allotments and other local green infrastructure in line with the Green Space Supplementary Planning Guidance. To be specified in planning applications	1	£2,000,000		£1,800,000		£1,800,000	£200,000	*Being specified in planning applications - £140,000 for play equipment in Southern sites S106'S thus far
GI8	Open Space Maintenance	Maintenance agreements to cover costs for 13 years.	1	£1,300,000		£1,300,000		£1,300,000		*Normally calculated at point the open space is adopted using formula x 13 years
GI9	Footpath connections	Enhance links in to countryside from new developments and beyond. To be specified in planning applications		£150,000	£83,257	£51,743		£135,000	£15,000	
	Playing Pitches									*£383,734 set out in Southern sites S106's for outdoor sports facilities thus far
GI 10	Football Pitches	Requirement for 5 additional full size pitches and 4 mini pitches across the District		£1,590,000	£1,162,938	£268,062		£1,431,000	£159,000	
GI 11	Cricket Pitches	Expansion of club infrastructure to increase adult cricket by 5 teams and 9 additional junior teams		£725,200	£652,680			£652,680	£72,520	
GI 12	Rugby Pitches	Expansion of club infrastructure to accommodate additional adult team, 3 additional junior teams and 3 additional midi team		£869,900	£782,910			£782,910	£86,990	
GI 13	Hockey Pitches	Additional demand for hockey by 5 teams, which could be accommodated on existing stock. However, the stock of artificial grass pitches will need renewing		£601,700	£541,530			£541,530	£60,170	

	Infra-structure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	Update/Amendments September 2015
					CIL	s.106	s.278		Other	
		during the plan period.								
	Open Spaces and Playing Pitches Sub Total			£10,406,800	£6,076,315	£3,419,805		£9,496,120	£910,680	
	Monitoring Fees									
M1	S106 and CIL Monitoring	Resource to manage and monitor Section.106 and CIL for 10 years		£750,000		£750,000		£750,000		*£242,303 in Southern sites S106's thus far
	Monitoring - Sub Heading			£750,000		£750,000		£750,000		
	TOTAL			£280,895,491	£53,148,792	£111,660,636		£164,809,428	£80,062,758	

 Finance & Audit Scrutiny Committee 30 September 2015		Agenda Item No. 8
Title	Comments from the Executive	
For further information about this report please contact	Jess Brownlee Democratic Services Assistant 01926 456106 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 2/9/2015 Executive minutes from 3/9/2015	

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 3 September 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 2 September 2015, 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 3 September 2015 to the Finance and Audit Scrutiny Committee's comments

Item no	3	Title	St Mary's Lands
Scrutiny Comment	The Finance & Audit Scrutiny Committee supported the recommendations in the report. Members were mindful that this report was not only about Racing Club Warwick but recognised that this was a new start and a positive way forward for the club.		
Executive Response	The Executive welcomed the comments of the Scrutiny Committee and agreed that this was a small step forward for this area of Warwick and a move to a more positive relationship with all relevant parties especially Racing Club Warwick.		


Item no	5	Title	Housing Stock Condition Survey & Strategic Asset Management
Scrutiny Comment	The Finance & Audit Scrutiny Committee supported the recommendation. However, Members were concerned that there was no information contained in the report about the benefits of conducting the stock condition survey. They therefore requested that the Executive ask officers to gather further information on the costs and benefits of the survey, possibly by speaking to other similar sized neighbouring authorities who had been through the process.		
Executive Response	The Executive were understanding with the views of Finance & Audit Scrutiny Committee and were mindful that Walsall Council had undertaken a similar survey. However, it was difficult to provide comparisons because each Council had its own unique stock portfolio, but they would ask officers to consider this point and look at any potential benefit this could provide the Council.		

Item no	6	Title	Sustainable Community Strategy & Fit For the Future Updates and Service Area Plans 2015/2016
Scrutiny Comment	The Finance & Audit Scrutiny Committee supported the recommendations in the report. Members asked a number of questions around the overall subject of where savings would come from and how income was likely to be generated. Although they were mindful it was early days, the Committee did have genuine concerns & would continue to monitor the situation.		
Executive Response	The Executive thanked the Scrutiny Committees for their comments on this item and recognised the need for each business case to be robust and considered in terms of impact both on the community and the budget. However, tough decisions needed to be made to ensure the Council could continue to deliver its services.		

Item no	10	Title	Resolution of Rent Issues – Cadet’s HQ Building
Scrutiny Comment	The Finance & Audit Scrutiny Committee supported the recommendations in the report.		
Executive Response	The Executive approved the recommendations in the report.		

Item no	11	Title	ICT Services – Establishment Changes
Scrutiny Comment	The Finance & Audit Scrutiny Committee supported the recommendations in the report.		
Executive Response	The Executive approved the recommendations in the report.		

Item no	13	Title	Urgent Item – Regulatory (Licensing) Team Restructure
Scrutiny Comment	The Finance & Audit Scrutiny Committee supported the recommendations in the report.		
Executive Response	The Executive approved the recommendations in the report.		

 Finance & Audit Scrutiny Committee - 29 September 2015		Agenda Item No. 9
Title	Review of the Work Programme & Forward Plan	
For further information about this report please contact	Jess Brownlee Democratic Services Assistant 01926 456106 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 2015/16 (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.

Finance and Audit Scrutiny Committee

WORK PROGRAMME 2015/16

29 SEPTEMBER 2015

AUDIT ITEMS

1	National Fraud Initiative Update	Report	Ian Wilson	Annual report
2	Risk Management Annual Report (will be ready 29 September)	Report	Richard Barr	Annual report

SCRUTINY ITEMS

3	Development Services Risk Register	Report	Tracy Darke	Annual Report
4	Procurement Biannual Report	Report	Susan Simmonds	Biannual report
5	Scrutiny of Infrastructure Planning	Report	Tracy Darke	Agreed by F&A 10.02.15 minute 116 and reaffirmed by minute 32 of 28 July 2015. The aim is to see the flow of money from funds being approved, submitted and spent.

3 NOVEMBER 2015

AUDIT ITEMS

1	Annual Audit Letter	Report	Mike Snow	Annual report
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SCRUTINY ITEMS

2	Finance Contracts Register	Report	Mike Snow	
3	Presentation on Disabled Adaptations	Report	Andrew Thompson	Agreed 11 December 2012 (minute 97, Executive item 5)
4	Golf Contract	Report	Rose Winship	Including a basic outline of the history of the contract with detail of the current position.

1 DECEMBER 2015**AUDIT ITEMS**

1	Treasury Management Activity Report 2015/16	Report	Roger Wyton	1 st Half Year Biannual report
2	Internal Audit Quarterly Report – Quarter 2 2015/16	Report	Richard Barr	Quarterly report

SCRUTINY ITEMS

3	Housing Business Plan Performance Management	Report	Abigail Hay	Biannual report
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12 JANUARY 2016**AUDIT ITEMS**

1	2015/16 Audit Opinion Plan	Report	Mike Snow / EA	Annual report
2	External Audit Certification of Claims and Returns	Report	Mike Snow	External Audit Annual report

SCRUTINY ITEMS

3	Procurement Biannual Report	Report	Susan Simmonds	Biannual report
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9 FEBRUARY 2016**No scheduled audit items****SCRUTINY ITEMS**

1	Chief Executives Contracts Register	Report	Chris Elliott	
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8 MARCH 2016**AUDIT ITEMS**

1	Internal Audit Strategy & Plan 2016/17 – 2018/19	Report	Richard Barr	Annual report
2	Internal Audit Quarterly Report Quarter 3 2015/16	Report	Richard Barr	Quarterly report
3	Auditing Standards	Report	Mike Snow	Annual report

No scheduled scrutiny items

5 APRIL 2016

**No scheduled audit items
SCRUTINY ITEMS**

1	End of Term Report	Report	Peter Dixon / Chair	Annual report
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Contracts Registers Reviews 2016/17
June 2016 - Health & Community Protection



Appendix 2 - FORWARD PLAN Forward Plan September 2015 to December 2015

**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.

(730)

Section 1 – The Forward Plan September 2015 to December 2015

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
3 September 2015						
Assets Review by the LLP (Ref 721)	Part A and B reports		Executive 29/07/15 03/09/15	25/08/15	Duncan Elliott Cllr Cross	
HRA Stock Condition Survey (Ref 722)	Sets out the rationale for procuring a condition survey of the housing stock and investing in associated technology.		Executive 29/07/15 03/09/15	25/08/15	Matt Jones Cllr Phillips	
Proposed Creative Quarter (Ref 720)	Soft market testing		Executive 03/09/15	25/08/15	Duncan Elliott Cllrs Cross, Mrs Gallagher and Mobbs	Potential Developers / soft market testing
Sustainable Community Strategy & Fit For the Future Updates and Service Area Plans 2015/16 (Ref 724)	To propose amendments to the Sustainable Community Strategy & Fit For the Future programme of work and approve the Service Area Plans for 2015/16.		Executive 03/09/15	25/08/15	Andrew Jones Cllrs Mobbs & Coker	
RCW / Cadets Rent issue (Ref 713)	To update on the current position		Executive 29/07/15 03/09/15	25/08/15	Chris Elliott Cllr Mobbs	

30 September 2015

Fees and Charges (Ref 697)	To propose the level of fees and charges to be levied from 2 nd January 2016		Executive 30/09/2015	22/09/15	Andy Crump Cllr Whiting	
Air Quality Action Plan 2015 (Ref 716)	To update and replace the Air Quality Action Plan 2008		Executive 30/09/2015	22/09/15	Grahame Helm Cllr Mrs Grainger	DEFRA, Environment Agency, Highways England, WCC, Neighbouring councils, community groups
Aids and Adaptations (Ref 726)	To consider a report on the future delivery of housing aids and adaptations services – HEART		30/09/15	22/09/15	Andy Thompson Cllr Phillips	None
Multi-storey car park update (Ref 728)	To consider a report on the structural repairs and refurbishment requirements of our multi-storey car parks		30/09/15	22/09/15	Gary Charlton Cllr Shilton	-
Becoming a Dementia Friendly Council (Ref 714)	To consider a report from Health and Community Protection		Executive 29/07/15 03/09/15	25/08/15	Rob Chapleo Cllr Mrs Grainger	
Strategic Opportunity Proposal (Ref 712)	To update Members on the current position. It is anticipated that this report will be, in part, Confidential by virtue of the information relating to the financial or business affairs of any particular person (including the authority holding		Executive 03/09/15 30/09/15	22/09/15	Chris Elliott Cllrs Mobbs, Coker, Phillips, Whiting, Cross & Gallagher	The Local Plan proposals have been subject to a number of public consultations and planning applications involved have also been subject to public consultation. The proposal has

	that information)					<p>been the subject of discussion privately and confidentially with a number of agencies but especially with the County Council. Submission version of Local Plan; Planning Application (W/14/1076); Planning Application (W/14/0967); Report to Executive in October 2014 re Council Housing Programme; Report to Executive in November 2014 re Sports and Leisure Review.</p> <p>Reports to Council and Executive January & March 2015 re: SOP</p>
Review of Service Area Plans 2014/15 (Ref 725)	To review the Council's performance as against the Service Area Plans for 2014/15.		Executive 03/09/15 30/09/15	25/08/15	Andrew Jones Cllrs Mobbs & Coker	
Tenants Incentive Grant Scheme (Ref 687)	To approve a revised Policy (Moved because of reason 3 Waiting for further information from another body)		Executive 29/07/15 03/09/15 30/9/2015	22/9/2015	Jacky Oughton Cllr Phillips	
Asset Management Strategy	To propose an Asset Management Strategy for all the Council's buildings and land holdings. (Moved		5 November 2014 Executive	22/9/2015	Bill Hunt Cllrs Coker	

(Ref 641)	Reason 6 Seeking further clarification on implications of report)		(03/09/15)		& Mobbs	
HQ Relocation (Ref 719)	Part A and B reports		Executive 30/09/15	22/9/2015	Duncan Elliott Cllr Mobbs	
Land at rear of Albion Street, Kenilworth (730)	This concerns access over WDC land It is anticipated that this report will be, in part, Confidential by virtue of the information relating to the financial or business affairs of any particular person (including the authority holding that information)		Executive 30/09/15	22/9/2015	Chris Makasis Cllr Phillips	
Future Delivery of Housing Aids and Adaptations Services - HEART			Executive 30/09/15	22/9/2015	Andy Thompson Cllr Phillips	

4 November 2015

Leisure Development Programme (Ref 688)	To seek approval on the next stage of the programme on investment and management options Delayed from 09/15 – Reason 3		30 September Executive 04/11/15	27/10/2015	Rose Winship Cllr Mrs Gallagher	Background Exec 05/11/14
Budget Review Q2 (Ref 698)	To report expenditure for current year and update financial projections		Executive 04/11/15	27/10/15	Jenny Clayton Cllr Whiting	
Supporting People Grant Changes (Ref 674)	To provide an update on the outcome of the Supporting People Funding consultation and its effect on Warwick District (Moved Reason 2- Waiting for further information from a Government Agency)		Executive 11 th February 2015 Executive 04/11/15	27/10/15	Jacky Oughton Cllr Phillips	
Council Development Company (Ref 727)	To consider a report on establishing a Council Development Company		Executive 04/11/15	27/10/15	Andy Thompson Cllr Phillips	Executive report March 2015 – Establishing a Council Development Company for Warwick District
Procurement of Corporate Energy Supplies			Executive 30/09/15	22/9/2015	Andy Thompson Cllr Phillips	
Future Delivery of Repairs and Maintenance to Council-owned Homes			Executive 30/09/15	22/9/2015	Matt Jones Cllr Phillips	

2 December 2015

Private sector housing grants policy (Ref 658)	To propose a revised policy for the allocation of grant funding for private residents		Executive – 11th March 2015 Executive – 02/12/15	24/11/15	Abigail Hay Cllr Phillips	TBC
General Fund Budgets 2016-17 to include Budget Review for the current year (Ref 699)	To consider the following year revenue budgets for the General Fund		Executive – 02/12/15	24/11/15	Marcus Miskinis Cllr Whiting	
HRA Budgets 2016-17 (Ref 700)	To consider the following year revenue budgets for the HRA		Executive – 02/12/15		Mark Smith Cllr Whiting	

Section 2 Key decisions which are anticipated to be considered by the Council between January 2016 and 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
13 January 2016						
HRA Business Plan Review			Executive 13/1/15	6/1/2015		
10 February 2016						
9 March 2016						

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 TBC	Rob Chapleo Cllr Mrs Grainger	The strategy will need to take into account the approach of the new administration and County Health & Wellbeing Strategy		
Cleaning Services (Ref 659)	To approve a revised way of delivering the Cleaning Services to Council buildings.	14th Jan 2015 Executive 11th March 2015 2 February 2015 2 March 2015	Jacky Oughton Cllr Phillips	Moved from January – Reason 5 – pending further legal advice on implications of report		

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
23 September 2015						
Statement of Accounts 2014-2015 (Ref 701)	To formally approve the Council's statutory accounts 2014/15		Council 23/09/15		Marcus Miskinis Cllr Whiting	
30 September 2015						
Significant Business Risk Register (Ref 729)	To inform members of the significant risks to the Council		Executive 30/09/15	22/09/15	Richard Barr Cllr Whiting	
4 November 2015						

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) 353362