

Finance and Audit Scrutiny Committee

Tuesday 7 March 2017

A meeting of the Finance and Audit Scrutiny Committee will be held at the Town Hall, Royal Leamington Spa on Tuesday 7 March 2017 at 6.00pm.

Membership:

Councillor Quinney (Chair)	
Councillor Ashford	Councillor Harrington
Councillor Barrott	Councillor Illingworth
Councillor G Cain	Councillor Rhead
Councillor Mrs Falp	Councillor Thompson
Councillor Gifford	(Conservative Vacancy)

Emergency Procedure

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

Agenda

Part A – General Items

1. Apologies and Substitutes

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

2. Declarations of Interest

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

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

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

If Members are unsure about whether or not they have an interest, or about its nature, they are strongly advised to seek advice from officers prior to the meeting.

3. **Minutes**

To confirm the minutes of the meeting of the meeting held on 7 February 2017
(Pages 1 to 8)

Part B Audit Items

4. **Internal Audit Quarter 3 2016/17 Progress Report**

To receive a report from Finance **(Pages 1 to 35)**

5. **Annual Governance Statement Action Plan 2016/17: Review of Progress**

To receive a report from Finance **(Pages 1 to 6)**

Part C – Scrutiny Items

6. **Review of Development Services Contracts Registers**

To consider a report from Development Services **(Pages 1 to 6)**

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

To consider a report from Development Services **(Pages 1 to 5)**

8. **Procurement Progress Update**

To consider a report from Finance **(Pages 1 to 31)**

9. **Comments from the Executive**

To consider a report from Democratic Services **(Pages 1 to 5)**

10. **Review of the Work Programme and Forward Plan**

To consider a report from Democratic Services **(Page 1 to 13)**

11. **Executive Agenda (Non Confidential Items and Reports) – Wednesday 8 March 2017**

To consider the 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.
(Circulated separately)**

12. **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 the

paragraphs of Schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006.

Part B Audit Items

13. **Electrical Maintenance Contract – Final Report**

To receive a report from the Deputy Chief Executive (AJ) **(Pages 1 to 26)**

Part C – Scrutiny Items

14. **Executive Agenda (Confidential Items and Reports) – Wednesday 8 March 2017**

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.
(Circulated separately)**

Agenda published Monday 27 February 2016

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

Telephone: 01926 456114

E-Mail: committee@warwickdc.gov.uk


For enquiries about specific reports, please contact the officers named in the reports

You can e-mail the members of the Committee at f&a@warwickdc.gov.uk

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

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

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

 Finance and Audit Scrutiny Committee 7 March 2017		Agenda Item No. 4
Title	Internal Audit Quarter 3 2016/17 Progress Report	
For further information about this report please contact	Richard Barr Tel: (01926) 456815 E Mail: richard.barr@warwickdc.gov.uk	
Service Area	Finance	
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	Finance and Audit Scrutiny Committee – 29 November 2016	
Background Papers	Internal Audit Reports	

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 officer approval all reports <u>must</u> be approved by the report author's relevant director, Finance, Legal Services and the relevant Portfolio Holder(s).		
Officer Approval	Date	Name
Chief Executive	15 Feb 2017	Chris Elliott
Section 151 Officer	15 Feb 2017	Mike Snow
Monitoring Officer	15 Feb 2017	Andrew Jones
SMT	15 Feb 2017	Senior Management Team
Human Resources		
Finance	15 Feb 2017	As Section 151 Officer
Portfolio Holder	23 Feb 2017	Councillor Whiting
Consultation and 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 Report advises on progress in achieving the Internal Audit Plan 2016/17, summarises the audit work completed in the third quarter and provides assurance that action has been taken by managers in respect of the issues raised by Internal Audit.

2 Recommendations

- 2.1 That the report be noted and its contents be accepted or, where appropriate, acted upon.
- 2.2 That the changes to the Audit Plan outlined in paragraph 9.3 be approved.

3 Reason for the Recommendations

- 3.1 Members have responsibility for corporate governance, of which internal audit forms a key part.

4 Alternative Options Considered

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

5 Budgetary Framework

- 5.1 Although there are no direct budgetary implications arising from this report, Internal Audit provides a view on all aspects of 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.

6 Policy Framework

- 6.1 Although there are no direct policy implications, Internal Audit provides a view on all aspects of governance and will take into account the Council's policies.

7 Risks

- 7.1 Internal Audit provides a view on all aspects of governance, including corporate and service arrangements for managing risks.
- 7.2 It is difficult to provide a commentary on risks as the report is concerned with the outcome of reviews by Internal Audit on other services. Having said that, there are clear risks to the Council in not dealing with the issues raised within the Internal Audit reports (these risks were highlighted within the reports). There is also an overarching risk associated with the Finance & Audit Scrutiny Committee not fulfilling its role properly e.g. not scrutinising this report robustly.

8 Role and Responsibilities of Audit Committees

- 8.1 Finance and Audit Scrutiny Committee is operating, in effect, as an audit committee in the context of receiving and acting upon this report. Guidance on the role and responsibilities of audit committees is available from a number of sources. That which relates to audit committees' relationship with internal audit

and in particular the type and content of reports they should receive from internal audit is summarised in Appendix 1.

8.2 Essentially, the purpose of an audit committee is:

- To provide independent assurance of the associated control environment.
- To provide independent scrutiny of the authority's financial and non-financial performance to the extent that it affects the authority's exposure to risk and weakens the control environment.

8.3 To help fulfil these responsibilities audit committees should review summary internal audit reports and the main issues arising, and seek assurance that action has been taken where necessary.

8.4 The following sections provide information to satisfy these requirements.

9 **Progress against Plan**

9.1 At the start of each year Members approve the Audit Plan setting out the audit assignments to be undertaken. An analysis of progress in completing the Audit Plan for 2016/17 is set out as Appendix 2.

9.2 As can be seen, reasonable progress is being made in respect of completing the Plan. As reported at the last meeting, some planned audit time was diverted onto investigation work in respect of the Electrical Maintenance Contract. As a consequence we are two audits behind schedule. It is anticipated that one of these audits will be "recovered" by the end of the financial year.

9.3 As the committee that oversees the work of Internal Audit (in effect the Council's "audit committee") the Public Sector Internal Audit Standards require the head of internal audit to seek the committee's agreement to any proposed changes to the Audit Plan. I therefore need to advise you that there have been some late changes to the Audit Plan by virtue of two audits in Housing and Property Services being postponed at the behest of the Deputy Chief Executive (BH). The Energy Management and Warwick Plant Maintenance audits have been replaced by audits of Lettings & Void Control and Planning Policy.

10 **Assurance**

10.1 Management is responsible for the system of internal control and should set in place policies and procedures to help ensure that the system is functioning correctly. On behalf of the Authority, Internal Audit review, appraise and report on the efficiency, effectiveness and economy of financial and other management controls.

10.2 Each audit report gives an overall opinion on the level of assurance provided by the controls within the area audited. The assurance bands are shown overleaf:

Assurance Levels

Level of Assurance	Definition
Substantial Assurance	There is a sound system of control in place and compliance with the key controls.
Moderate Assurance	Whilst the system of control is broadly satisfactory, some controls are weak or non-existent and there is non-compliance with several controls.
Limited Assurance	The system of control is generally weak and there is non-compliance with the controls that do exist.

These definitions have been developed following extensive investigation of other organisations' practices (including commercial operations).

11 Internal Audit Assignments Completed During Quarter

- 11.1 Eight audits were completed in the third quarter of 2016/17. Copies of all the reports issued during the quarter are available for viewing on the following hyper-link: [Reports](#).
- 11.2 The action plans accompanying all Internal Audit reports issued in the quarter are set out as Appendix 3. These detail the recommendations arising from the audits together with the management responses, including target implementation dates.
- 11.3 As can be seen, responses have been received from managers to all recommendations contained in audit reports issued during the quarter in question.
- 11.4 None of the audits completed during the quarter was awarded a lower than substantial assurance opinion so there are no audit reports recommended for specific scrutiny by Committee this quarter.

12 Implementation of Recommendations Issued Previously

- 12.1 Managers are required to implement recommendations within the following timescales:
 - (a) Recommendations involving controls assessed as high risk to be implemented within three months.
 - (b) Recommendations involving controls assessed as low or medium risk to be implemented within nine months.
- 12.2 The state of implementation of **low and medium risk** recommendations made in the **fourth quarter of 2015/16** is set out as Appendix 4 to this report. (Ordinarily, the state of implementation of **high risk** recommendations issued in the **second quarter of 2016/17** would also be included in this appendix but there was none on this occasion.)
- 12.3 As can be seen, responses have been received from all managers in order to provide the state of implementation of recommendations issued in this earlier quarter.

13 **Review**

- 13.1 Members are reminded that they can see any files produced by Internal Audit that may help to confirm the level of internal control of a service, function or activity that has been audited or that help to verify the performance of Internal Audit.

GUIDANCE ON THE ROLE AND RESPONSIBILITIES OF AUDIT COMMITTEES

Public Sector Internal Audit Standards 2013

Independence and Objectivity

The chief audit executive must...establish effective communication with, and have free and unfettered access to...the chair of the audit committee.

Glossary

Definition: Audit Committee

The governance group charged with independent assurance of the adequacy of the risk management framework, the internal control environment and the integrity of financial reporting.

Audit Committees: Practical guidance for Local Authorities (CIPFA)

Core Functions

Audit committees will:

... Review summary internal audit reports and the main issues arising, and seek assurance that action has been taken where necessary.

Suggested Audit Committee Terms of Reference

Audit Activity:

- To consider the Head of Internal Audit's report and a summary of internal audit activity (actual and proposed) and the level of assurance it can give over the Council's corporate governance arrangements.
- To consider summaries of specific internal audit reports as requested.
- To consider a report from internal audit on agreed recommendations not implemented within a reasonable timescale.

Called to Account: The Role of Audit Committees in Local Government (Audit Commission)

Monitoring Audit Performance

Auditor/officer collaboration

Slow delivery and implementation of recommendations reduces the audit's impact and can allow fraud to flourish or service delivery to deteriorate. Audit committees can play a key role in ensuring that auditors and officers collaborate effectively. This can enable auditors' reports to be dovetailed into the relevant service committee cycles and ensure that officers respond promptly to completed audit reports.

Management response

An audit committee can ensure that officers consider these recommendations promptly, and act on them where auditors have raised valid concerns.

Implementation

Agreed recommendations arising from audit work need to be implemented. Councils should have a forum for considering the contribution of internal and external audit and for ensuring that audit is, in practice, adding value to corporate governance.

Audit committees can be a powerful vehicle for securing implementation of audit recommendations and thereby improve the operation and delivery of Council activities.

CIPFA Technical Information Service Online

Audit Reporting

Introduction

Internal auditors should produce periodic summary reports of internal audit's opinion and major findings.

The...report could also be issued to senior management of the organisation but should primarily be issued to the audit committee to report upon the soundness or otherwise of the organisation's internal control system. This report will form the conclusion of the work undertaken by internal audit during the period of the report. A summary of the scope of this internal work should also be included in the report.

Periodic Internal Audit Reports

Audit committees should not normally be provided with the full text of internal audit reports. Audit reports are mainly concerned with operational details while audit committees and members or non-executive directors should be concentrating on ensuring that the organisation's system of internal control is effective and that the strategic or corporate objectives are being achieved efficiently. Members or non-executive directors' interest in internal audit should normally be restricted to gaining an assurance that the organisation's systems of internal control are adequate and that where audit does not consider this to be the case that action is taken to ensure that any short comings are rectified promptly.

Audit committee members should not usually get involved in discussing individual internal audit findings or recommendations but should concentrate their attentions on the opinions internal audit express on the activities and systems they have reviewed. These opinions should be summarised and should provide a clear opinion on the overall quality of the organisation's internal control system and the general level of performance across the organisation. Members or non-executive directors should not be over concerned with adverse internal audit conclusions if reasonable recommendations suggested by internal audit have been accepted and that these have been promptly implemented.

If, however, major internal control weaknesses are discovered these should be reported to the audit committee as this may indicate general weaknesses in the management of the section or the department concerned. Audit findings that appear to show a common thread of similar weaknesses throughout the organisation should also be reported to the audit committee.

INTERNAL AUDIT PROGRESS 2016/17: QUARTER 3**ANALYSIS OF PERFORMANCE****Time Spent: Audit Plan – Planned Vs Actual**

ACTIVITY	ANNUAL ALLOCATION (DAYS)	PROFILE ALLOCATION (DAYS)	ACTUAL TO DATE (DAYS)	VARIATION (DAYS)
<u>Planned Audit Work</u>	267.0	200.3	181.9	+18.4
<u>Other Time</u>				
Sundry audit advice	25.0	18.7	15.0	+3.7
Special investigations (e.g. Fraud/Irregularities)	27.0	20.2	25.8	-5.6
Corporate and departmental Initiatives	45.0	33.8	28.0	+5.8
Non-chargeable activities	106.0	79.5	92.9	-13.4
Leave and other absences	102.0	76.5	83.0	-6.5
<i>Total Other Time</i>	305.0	228.7	244.7	-16.0
<i>Total Time</i>	572.0	429.0	426.6	+2.4

Time spent: Assignments Completed – Planned Vs Actual

AUDIT ASSIGNMENT	PLAN (DAYS)	TIME TAKEN (DAYS)	UNDER (+) / OVER (-)
Corporate Procurement	12.0	12.9	-0.9
Collection of National Non-Domestic Rates	10.0	11.3	-1.3
Treasury Management	Contracted-out audit		
Equality and Diversity	9.0	8.7	+0.3
Corporate Health and Safety	8.0	9.7	-1.7
Safeguarding Children & Vulnerable Adults	10.0	11.7	-1.7
Affordable Housing Development Programme	10.0	8.1	+1.9
Grounds Maintenance	10.0	7.6	+2.4

Explanation for variances than 2 days (unless within 20%):

Grounds Maintenance: The audit was more straightforward than envisaged. In addition, use of a standard programme to conduct the audit helped to reduce the time needed.

Completion of Audit Plan: Target Vs Actual

NO. OF AUDITS PER AUDIT PLAN	PROFILED TARGET COMPLETION		ACTUAL NO. COMPLETED TO DATE		VARIATION	
	NO.	%	NO.	%	NO.	%
37	22	60.0	20	54.1	-2	-9.1

SUMMARY OF RECOMMENDATIONS AND MANAGEMENT RESPONSES FROM INTERNAL AUDIT REPORTS
ISSUED QUARTER 3, 2016/17

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date
Corporate Procurement – 25 October 2016				
4.2.8	A review of the staffing of the Procurement Team should be undertaken with a view to examining the options to improve stability.	Medium	Head of Finance	A review of the Procurement function is planned to be commissioned which will consider the aspects that have been raised. March 2017.
4.8.3	The next review of the SBRR should include a risk of not being able to recruit suitable procurement staff and detail the mitigations and actions required.	Medium	Head of Finance	Will be discussed with SMT when the SBRR is next reviewed. 23 November 2016: SMT.
Collection of National Non-Domestic Rates – 9 November 2016				
4.5.10	Applications for exemption on listed building grounds should be verified for valid listed building status.	High	Exchequer Services Manager	Verification of Listed buildings has always been via a listing from a team within Development Services however it has since been established that Historic England are the oracle on listed buildings therefore we have started an exercise to cross reference the listed buildings we hold with Historic England. March 2017.

¹ Risk Ratings are defined as follows:

High: Issue of significant importance requiring urgent attention.
Medium: Issue of moderate importance requiring prompt attention.
Low: Issue of minor importance requiring attention.

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date
Treasury Management – 9 November 2016				
4.6.5	Authorise the IT Help Desk to give Principal Accountant (Housing) access to the treasury management folders.	Low	Principal Accountant (Capital & Treasury Management)	E mail request sent to ICT Helpdesk October 16 and access enabled. Completed.
Equality and Diversity – 14 December 2016				
No recommendations were found to be necessary for this audit.				
Corporate Health and Safety – 25 October 2016				
4.2.3	The policy and procedure documentation should be reviewed to ensure that it accurately reflects the current processes and any reference anomalies are removed.	Low	Corporate Health & Safety Coordinator / Building Manager	Agreed. This has now been undertaken. Completed.
4.2.3	The documentation held on the Health & Safety team page of the intranet should be removed, with staff being directed to the AssessNet portal to assist with document version control.	Low	Corporate Health & Safety Coordinator / Building Manager	Agreed. This has now been undertaken. Completed.
4.3.7	Relevant staff should be reminded of the need to provide a health and safety induction to any non-council staff working on behalf of the council.	Low	Corporate Health & Safety Coordinator / Building Manager	Agreed. When staff ask for door passes / system access for contractors, they will be reminded of the need to provide an induction. November 2016.

Report Reference	Recommendation	Risk Rating¹	Responsible Officer	Management Response and Target Implementation Date
4.5.7	Relevant risk assessments on AssessNet should be reviewed to ensure that noise hazards are appropriately covered.	Low	Corporate Health & Safety Coordinator / Building Manager	Agreed. Risk assessments will be reviewed. March 2016.
4.10.4	Departments should be reminded of the need to send representatives to the Health & Safety Reps meetings.	Low	Corporate Health & Safety Coordinator / Building Manager	Agreed. This will be raised with SMT. October 2016.
Safeguarding – 7 December 2016				
4.3.5	The Officer Children's Champion should meet with the Member Children's Champions to explain their role and to agree a plan of work.	Low	Deputy Chief Executive (BH)	Agreed. DCEX (AJ) will arrange to meet with the Member Children's Champions. 31 December 2016.
4.4.6	A publicity and awareness campaign should be launched to remind staff of the warning signs and the appropriate response. Regular reminders should be issued thereafter.	Medium	Deputy Chief Executive (BH)	Agreed. Publicity/ awareness campaign to be launched in the new year. DCEX (AJ) & HR/Media to discuss. 31 March 2017.
4.8.3	The status of the outstanding action points should be established and reported to members.	Medium	Deputy Chief Executive (BH)	Agreed. Status of action points on the Improvement Action Plan to be reported to Members. 31 March 2017.

Report Reference	Recommendation	Risk Rating ¹	Responsible Officer	Management Response and Target Implementation Date
Affordable Housing Development Programme – 31 October 2016				
4.2.8	The April 2010 Guidance for Developers document should be removed from the council's website.	Low	Housing Strategy & Development Manager	This guidance has now been taken offline. Completed.
Grounds Maintenance – 8 December 2016				
4.3.8	Formal, authorised, variation orders should be maintained for changes to the grounds maintenance contract with these being coordinated through a named officer.	Low	Green Space Development Officer	Changes to the contract bill of quantities will be supported by formal contract variation orders in order to identify the changes made, both in terms of measurement and cost. March 2017.
4.4.4	Budgets for the relevant codes should be set in line with the known costs with budget managers for other codes being informed of the relevant figures to use.	Low	Green Space Development Officer	Where contract variations have an impact on the allocated budget, agreement will first be sought from the budget manager, who can then make the necessary budget allocations. March 2017.
4.4.8	Supporting documentation should be retained for the variable invoices received.	Low	Green Space Development Officer	Contract variation orders will be raised for any work over and above the core contract. December 2016.

CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS
ISSUED IN QUARTER 4 2015/16

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Warwick Plant Maintenance (Procurement) – 10 September 2015		
Orders should be raised on either TOTAL or Active H for all goods or services at the earliest opportunity, normally in advance of the purchases being made.	<p><i>Energy Manager:</i> WPM provides a responsive service that needs spares to be acquired immediately in order to keep the services on line. We are now improving the quantity and scope of high-demand service items held on site, a process being enhanced now that the Asset Management Team (AMT) redesign has been completed and embedded to allow for an accurate assessment of what materials need to be kept on site. Purchase cards have been introduced, on recommendation of the Procurement Team, to allow for better management of purchasing. We have moved all H&PS payments to ActiveH with the exception of energy and related payments. WPM sourced orders have been be part of this process. Complete.</p>	Recommendation addressed – no further response required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
All invoices should be paid in a timely manner.	<p><i>Energy Manager:</i></p> <p>The redesign of the AMT resulted in a fragmentation of certain administrative functions during the transition phase. This has now been resolved by:</p> <ul style="list-style-type: none"> • Completing the re-allocation of tasks and resources across the service to resolve this problem. • Introducing purchase cards. <p>Complete.</p>	Recommendation addressed – no further response required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<p>Appropriate Warwick Plant Maintenance staff should be given access to TOTAL and Active H to allow them to raise purchase orders.</p>	<p><i>Energy Manager:</i> Newbold Comyn, where WPM is based, has poor ICT services, we understand, as a result of its location in relation to networks. The Technical Inspector did not always have sufficient time to routinely attend RSH (to facilitate regular access to TOTAL and ActiveH) because of his need to co-ordinate the work of the team. Time for this will be embedded in the revised work schedules of the new Technical Inspector currently being recruited. 31 May 2016.</p>	<p>The members of Warwick Plant Maintenance are to be transferred to a new employer via a TUPE process in June 2017. The previous uncertainty surrounding the timing of this transfer meant that a recruitment exercise for a new Technical Inspector was not implemented, with the vacancy being covered by the deployment of resource from within the Energy Team and revised management arrangements around ordering implemented by the Energy Manager.</p> <p>The remaining members of Warwick Plant Maintenance now work in Riverside House, alongside the other officers in the Energy Team. This change has provided the team with full access to TOTAL and Active H and business administration assistance in processing works orders.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<p>The appropriate contractors should be used for all works placed.</p>	<p><i>Energy Manager:</i></p> <p>The Council reserves the right in contracts to remove work from one contractor and place it with another if any particular contractor is unable to provide the services required to the standard expected. Public Contract Regulations allow us to do this (Section 72). H&PS are performance managing Renuvo with a view to either terminating the contract or securing adequate performance to end the need to use D&K. This approach is essential to guarantee continuity of service at critical sites.</p> <p>Trade accounts were established with the approval and assistance of the Procurement Team. The level of procurement in these cases remains with the threshold set in the CoPP for the Head of Service to arrange directly, after prior consultation with the Procurement Manager. Formal written agreements will be checked and if necessary updated and drawn up in all necessary cases.</p> <p>August 2016.</p>	<p>Warwick Plant Maintenance is currently working under interim management arrangements due to the Energy Manager being away from the organisation at present. Under this temporary arrangement we are satisfied that the appropriate contractors are being used for works placed. Over the next 16 weeks (after which the members of Warwick Plant Maintenance are to be transferred to another organisation) procurement compliant arrangements will be maintained for the delivery of works and services. The much reduced workload of the team resulting from the closure of two leisure centres, has, in any case, diminished the level of call-off work orders required.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<p>The Procurement team should be approached in order to assist in setting up formal 'supply chain solutions'.</p>	<p><i>Energy Manager:</i></p> <p>The nature of the work of WPM necessitates a logistically practical supply chain i.e. close to where the spares are needed. This may mean that there are occasions when supplies have to be purchased from the most convenient provider to avoid down-time at the leisure facilities and excessive travel and delivery costs and delays. The use of procurement cards allows for the management of short order items to be maintained and monitored. This is considered to be a formal supply chain solution to the particular circumstances of WPM. The issuing of procurement cards was prompted by a previous audit report.</p> <p>Clarity will be sought from the Procurement team as to how the procurement threshold for short order items will be applied, i.e. to the supplier or the nature of goods being procured. This is because one supplier could supply a vast range of items, but each in a small quantity, or one item could be sourced from a vast range of suppliers.</p> <p>It should be noted that for a number of items there is a limited number of suppliers because items need to be compatible with plant and existing equipment, e.g. tied down parts for pool chemical dosing equipment.</p> <p>Formal agreements will be established where they do not already exist.</p> <p>August 2016. Item 4 / Page 19</p>	<p>See previous responses.</p> <p>The impending TUPE transfer of the Warwick Plant Maintenance team and the interim management arrangements that they are working under during the absence of the Energy Manager has meant that the establishment of new, formal, supply chain agreements was not required.</p> <p>Consultation with the Procurement Team will continue until the TUPE transfer is completed to ensure that procurement-compliant arrangements are maintained for the delivery of works and services.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<p>The use of the (non-contracted) suppliers identified in the table at 4.2.1 should be discussed with Procurement to ascertain whether their continued use needs to be formalised or subject to competition.</p>	<p><i>Energy Manager:</i></p> <p>The use of procurement cards allows for the management of short order items, which are those supplied by non-contracted suppliers. This allows the level of purchasing to be monitored and gives early warning of any instances when it may be prudent to re-examine how the supply requirement is met. H&PS recognised the need for formalisation and have discussed with the Procurement Team the case of formal contracts only being in place with two of the suppliers, with a view to this being resolved as soon as practicable within the overall work load of the team. The level and fluctuation of spend of this work is low compared to higher value, higher risk activities across the Council.</p> <p>H&PS has now prepared a technical specification for the procurement of air filters from HVDS and are now liaising with the Procurement Team for a timetable to subject this work to a competitive process. Previous supply arrangements, in which the direct purchase of air filters had resulted in financial benefits to the Council compared to the previous arrangement of filters being supplied and fitted by the air conditioning contractor, had been agreed with the Procurement Team in 2011. No national or international regulations were breached by this approach.</p> <p>Musco Lighting is a unique supplier as they are the only firm able to supply spares (tied down parts) for the flood lighting equipment.</p> <p>Target implementation date not applicable.</p>	<p>Recommendation addressed – no further response required.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
It should be ensured that payments made are coded to the correct ledger codes.	<p><i>Energy Manager:</i></p> <p>Payments had not been miscoded. WPM had started using EM&I to supply parts for them to fit, under the provisions for materials and day works.</p> <p>Contractors have been reminded to code works correctly to WPM that have been commissioned by WPM.</p> <p>Complete.</p>	Recommendation addressed – no further response required.
The practice of using trade accounts of contractors should cease.	<p><i>Energy Manager:</i></p> <p>We acknowledge that this should not have happened but it was an action taken by WPM to speed up the supply of spares for essential repairs. The contractor would diagnose a problem, WPM would repair but would ask the contractor to supply the spares identified - a one-stop-shop solution that, while practical, was not necessarily complaint with good procurement practice.</p> <p>The recommendation has been accepted and enacted.</p> <p>Complete.</p>	Recommendation addressed – no further response required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Formal expenditure limits should be agreed for Warwick Plant Maintenance staff.	<p><i>Energy Manager:</i></p> <p>WPM needs the flexibility to buy parts immediately to resolve repairs, with approval later. In effect, WPM needs to be trusted to act responsibly and without having to refer back to their manager when rapid action is needed to maintain services.</p> <p>The procurement cards have single transaction limits and monthly limits. Above these limits, escalation to managers has to take place.</p> <p>Complete.</p>	Recommendation addressed – no further response required.
A formal review of stock control should be undertaken.	<p><i>Energy Manager:</i></p> <p>H&PS are now improving the quantity and scope of high-demand service items held on site. This process is being enhanced now that the AMT redesign has been completed and embedded to allow for an accurate assessment of what materials need to be kept on site.</p> <p>30 June 2016.</p>	Over the next 16 weeks, stock levels are being run down, in anticipation of the new Leisure Managing Contractor taking over many of the exiting duties delivered by Warwick Plant Maintenance. Current items of stock (such as dosing chemicals) are located at Abbey Fields Swimming Pool, Castle Farm (sundry electrical items), and paddling pool plant rooms (filters and further dosing chemicals). Any stock that remains will be transferred to the new leisure contractors or sold in accordance with the Code of Procurement Practice.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
ICT Strategy and Policies – 22 March 2016		
Regular progress reports should be made to the ICT Strategy Group (and Executive management)	<p><i>Head of ICT / Deputy CE(AJ):</i></p> <p>Part of the ICT Steering Group's ToR is "Taking oversight of developments to ensure they adhere to budget and schedule". This overarching role will continue throughout the delivery of the Digital Strategy. Accountability has been strengthened by the inclusion of all Service Heads on the Steering Group.</p> <p>The Deputy Chief Executive will update the Executive as appropriate.</p> <p>No Further Action.</p>	The Deputy CE(AJ) is updating the Executive at appropriate times as agreed.
A deadline for the strategy action plan should be determined. The action plan should include timescales for the development of the principal and subsidiary actions (or projects).	<p><i>Head of ICT:</i></p> <p>The immediate priority for the ICTSG is to determine the projects it wishes to take forward as part of the Digital Strategy. This will commence on the 28th April 2016.</p> <p>June 2016.</p>	Progress has been made during 2016 on implementing enabling digital technologies, such as a responsive web site, new payment solutions and mobile. A report will be submitted to the Executive on the 8th March 2017 which will outline a digital programme of work including timescales.
The relevant policies associated with the new digital strategy are identified and reviewed, and if necessary amended, to ensure they match and support the business functions and delivery methods.	<p><i>Head of ICT / Democratic Services Manager:</i></p> <p>As described in the report, the Council's security and governance policies are updated when appropriate and are also subject to annual review.</p> <p>No further action.</p>	Recommendation addressed – no further response required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Payroll and Staff Expenses – 31 March 2016		
A suitable document and record management solution for HR and payroll supporting documentation should be explored.	<p><i>HR/OD Manager:</i></p> <p>We are reviewing the benefits of the FORTIS system as part of our ongoing review of document management.</p> <p>December 2016.</p>	<p><i>Update 2017:</i></p> <p>The current system (Fortis) is used to store and view historical documents only.</p> <p>Owing to a company take-over, the Fortis system is due to go end of life by December 2017 and migrating to the Vendor's new DocuWare product would incur a charge.</p> <p>We are undertaking a feasibility exercise to see if all the historical documents can be extracted from Fortis and saved elsewhere.</p> <p>With the implementation of our hosted Payroll system in 2015, new payroll supporting documentation is no longer generated. HR documentation is already stored securely on the corporate network.</p>
Business Applications: Civica OPENRevenues – 10 March 2016		
The purpose of the identified account should be reviewed and replaced with a named individual account or disabled in the event it is no longer required.	<p><i>Exchequer Manager:</i></p> <p>It has been confirmed that the account is required by the Application Support team to log onto OPEN Vision to investigate systems issues.</p> <p>Complete.</p>	Recommendation addressed – no further response required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Management should consider implementing the auditing of failed login attempts.	<i>Exchequer Manager:</i> An exercise will be undertaken to determine available options for implementing the auditing of failed logins. 1 April 2016.	Civica does not record failed login attempts; therefore, at this time, the recommendation cannot be implemented. However, we have requested that Civica provides an enhancement to include such functionality and we are waiting to hear whether it will be included in their development programme.
Testing of Civica Open Revenues should be included in next DR test. The testing should be documented and include the time taken to recover systems and services, whether recovery objectives have been met and include detail on any issues and actions arising from the testing.	<i>Exchequer Manager:</i> IT have been contacted and this will be included in the next DR test. The Exchequer Manager is to liaise with IT as required. 1 April 2016.	Recommendation addressed – no further response required.
Business Applications: APP Civica – 7 March 2016		
The 'Min Password Lifetime' parameter should be changed to one or greater, thus limiting the user's ability to reuse passwords.	<i>Licensing & Support Team Leader:</i> The password settings have now been updated and the 'Min Password Lifetime' parameter has been changed to one. Completed.	Recommendation addressed – no further response required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
A yearly account re-certification process should be introduced. This should require team managers to confirm that users under their supervision have appropriate access rights within the application and that all leavers have been removed from the system.	<i>Licensing & Support Team Leader:</i> A regular exercise of verifying the access rights of users with team managers will be introduced. Completed.	Annual diary reminder in calendar and updates completed for 2016.
The identified accounts should be reviewed and any generic accounts replaced with named individual accounts for those requiring access.	<i>Licensing & Support Team Leader:</i> The accounts will be reviewed and any unnecessary accounts removed / renamed. 1 April 2016.	Completed and on-going as some general accounts are still valid – next review 1 st April 2017.
The two active accounts should be disabled. In addition an exercise of cross-matching Civica accounts against HR leaver data should be introduced and performed on a regular basis. This will help ensure all leaver accounts are disabled in a timely manner in the event they are not reported by the leaver's manager.	<i>Licensing & Support Team Leader:</i> The two leaver accounts will be disabled. The Licensing & Support Team Leader will contact HR and arrange for regular leaver reporting to be provided for use in ensuring all leaver accounts have been disabled in a timely manner. A compensating control is also in place in that network access will be removed by IT, so the leavers would not be able to access the system. 1 April 2016.	Monthly review of leavers list (as published on intranet site) scheduled and lists updated where necessary.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Testing of Civica APP should be included in next DR test. The testing should be documented and include the time taken to recover systems and services, whether recovery objectives have been met and include detail on any issues and actions arising from the testing.	<i>Licensing & Support Team Leader:</i> Management will liaise with ICT to create a plan for the testing of Civica APP. 1 April 2016.	Issue forwarded to ICT services (Application Support Manager) for inclusion on their plan. Completed.
Data Security – 21 March 2106		
Management should consider the option of requiring all future mobile devices purchased to support encryption.	<i>Head of ICT:</i> Mobile devices - including smartphones - which support transactional or service delivery activities are encrypted and managed within the mobile device management system. The applications on these are also encrypted and Sandboxed (which stops data leakage). However, mobile phones – including smartphones – which are used only for telephone calls and email may not be encrypted (where a PIN is not implemented). The devices purchased for all the above are outside the control of ICT. In the short term this is unlikely to change but the Cyber Essentials Scheme may cause this to be reviewed. No action proposed in short term, but will be kept under review. No further action.	Recommendation addressed – no further response required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Management should investigate the possibility of adding the ability to restrict password re-use as an enhancement to the TotalMobile application.	<p><i>Head of ICT:</i></p> <p>TotalMobile were contacted on 22nd March 16 regarding the recommendation. The following response was received on 23rd March 2016:</p> <p><i>"In the upcoming release we are introducing the option to force users to change their password (Turn on / off in Webadmin settings default will be off)."</i></p> <p><i>As part of that work we now prevent the user from changing their password to the existing one. However there is a roadmap feature to extend that further to look at preventing the user from making use of the last X passwords.</i></p> <p>No further action.</p>	Recommendation addressed – no further response required.
Public Services Network – 13 January 2016		
Management should consider adapting and maintaining the 'Code Template' spreadsheet as a tool for recording and monitoring its compliance with key PSN obligations and requirements.	<p><i>Head of ICT:</i></p> <p>Accepted – A template will be designed to demonstrate compliance against the new requirements in time for the Council's next submission.</p> <p>Oct 2016.</p>	A template has been designed which enables WDC to demonstrate its compliance with the declarations in the PSN Code of Connection.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Employee Absence Management – 16 March 2016		
Managers should be instructed to retain all documentation relating to employee sickness absence for an indefinite period.	<i>HR Manager:</i> 1. As part of Managers Guide to Self-Serve – Managers keep copies of the Self Certification and HR keep copies of the Fit Notes. 2. Highlighted in HR Workshops e.g. Managing Attendance. Actions completed and ongoing.	Recommendation addressed – no further response required.
Royal Pump Rooms (including Art Gallery and Museum) – 12 January 2016		
The petty cash imprest should be reduced to £50 and the balance returned to the FS Team in Finance and paid in.	<i>Heritage and Arts Manager:</i> A member of the AG&M staff has been in touch with the FSTeam to arrange to reduce the petty cash imprest from £300 to £50. Finance will reimburse recent expenditure to restore the petty cash float to £300; £250 will then be returned to Finance to leave a petty cash imprest of £50. 29 January 2016.	£250 Petty cash was returned to Finance on 2/2/16. An imprest of £50 now remains at The RPR as recommended.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<p>Art Gallery staff should liaise with Finance staff to agree what information they need in order to be able to perform worthwhile monitoring of takings and bankings.</p>	<p><i>Heritage and Arts Manager:</i> A member of staff from Finance will visit the AG&M on 26 January to discuss VAT issues and agree what additional information is required for more effective monitoring of takings and bankings. 26 January 2016.</p>	<p>Sharon Luke and Rob Cappleman met with Gary Walker on 9/2/16 in response to the recommendation from the audit. A discussion was held on what further information is required to enable Finance to better monitor the takings and bankings from the Art Gallery shop. The required additional information was agreed upon (Weekly Banking Summary and the Weekly Reconciliation Sheet for Gallery Shop Sales) and is now being provided for Finance staff as recommended.</p>


RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<p>The Heritage and Arts Manager should ensure that staff are aware of and apply the correct room hire charge.</p>	<p><i>Heritage and Arts Manager:</i></p> <p>All AG&M staff have been instructed to ensure that the current rate (as of 1 January 2016) is applied for the hire of the Craft Studio / Education Room.</p> <p>To ensure that staff are aware of future changes to the hire charge it has been agreed that the Culture Business Support Team will advise AG&M staff of changes after the council's fees and charges report in the autumn.</p> <p>19 January 2016.</p>	<p>Recommendation addressed – no further response necessary.</p> <p>The Culture Business Support Team provided the fees and charges for 2017/18 on a spread sheet dated 8 August 2016.</p> <p>As a result of the restructure to Cultural Services carried out during 2016/17 the CBST ceased to exist in December 2016 and the AG&M staff based in the RPR will become part of the restructured Arts Service team in February 2017.</p> <p>The Arts Manager heading the newly formed Arts Service will ensure that staff are aware of future changes to the hire charge.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Electoral Registration – 26 February 2016		
A repeat duplicate electors test should be resourced at an appropriate juncture so that the results arising can be promptly followed up.	<i>Democratic Services Manager / Electoral Services Manager:</i> Will seek to run a test later in 2016 in partnership with Internal Audit to utilise their data audit software tools. TBA after 2016 EU referendum.	We have now published the 2017 electoral register and provided Audit with the up to date National Fraud Initiative electoral register, meaning that we can arrange a time with Ian Wilson to run this data against our new register before the County elections in May 2017.
A data quality review should be considered utilising available system reports.	<i>Democratic Services Manager / Electoral Services Manager:</i> Will be considered as resources permit. TBA after 2016 EU referendum.	As above.
Building Control – 13 January 2016		
References to discontinued mitigation measures in the Development Services Risk Register should be identified and removed and the applicable risks re-evaluated as appropriate.	<i>Interim Head of Consortium:</i> Risk Register to be reviewed.	The Risk Register has been reviewed and is subject to ongoing review every quarter. The risks have been updated as required.
Future reviews of the Development Services Risk Register should ensure that risk mitigation measures specified truly represent actual procedures being followed.	<i>Interim Head of Consortium:</i> Risk Register to be reviewed.	The Risk Register has been reviewed and is subject to ongoing review every quarter. The risks have been updated as required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Section 106 Agreements – 8 March 2016		
A specific protocol should be put in place for receiving all s106 agreements from Legal Services and recording them on the monitoring spreadsheet. Consideration should also be given to including reference to potential agreements on the spreadsheet when case officers deal with the planning applications.	<i>Development Manager:</i> Agreed. A protocol for the receipt of s106 agreement will be implemented. Potential agreements will also be included as suggested. 1 May 2016.	Completed. Completed S106 agreements are forwarded to a single point of contact within Development Services who adds them into the spreadsheet. A protocol is also being developed for flagging up on the spreadsheet, applications where S106 agreements are being prepared.
A formal process should be established for updating the monitoring spreadsheet with any variations identified.	<i>Development Manager:</i> Agreed. A process will be implemented. 1 May 2016.	This process is in place and is kept under review in order to ensure that it is as effective as possible.
The Major Sites Monitoring Officer (MSMO) should be included in the monthly update emails from the IIO Information & Improvement Officer (IIO) so that he can formally advise of the status of each of his sites.	<i>Development Manager:</i> The MSMO will update the master spreadsheet directly going forward. Ongoing.	The MSMO is integral to the success of this approach and is included in updates and regular update meetings.
Leaseholder Service Charges – 9 February 2016		
A formal process for regular monitoring and chasing of leaseholder service charge debts should be put in place.	<i>Income Recovery Manager:</i> Agreed. The Income Recovery Manager in the Sustaining Tenancies section will implement a process for dealing with these debts.	Regular monitoring and chasing being undertaken by Business Administration team. End to end Leaseholder service currently under review by Strategy and Development Manager.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The service charges spreadsheet should be reviewed to ensure that formulae have been correctly applied when calculating the charges for individual properties.	<i>Business Administration Manager:</i> The Scheme Accounting module of the Active H system will be implemented to ensure that the service charge for each property is correct.	Implementation in progress with module being populated with charges from 2016 ready for invoicing in April 2017.
Car Parking – 31 March 2016		
Neighbourhood Services staff should review the figures and consider whether the amounts insured are adequate and whether the timings of the machines being emptied by the contractor is appropriate.	<i>Contract Services Manager:</i> All cash volumes from P&D machines will be reviewed as part of the contract re-let. Where higher levels of cash are being reported these machines will see an increased level of collection frequency. Oct 2016.	This is now been completed. The contract for cash collection was re-let in November 2016 and has had collections increased to reduce cash held in machines. This has meant an increase in the contract value of £550 per annum.
Inventories should be updated and should include other items of valuable, portable or desirable nature (e.g. cameras).	<i>Contract Services Manager:</i> All equipment inventories will be updated annually and variances referred to Insurance & Risk Officer for inclusion. June 2016.	This is completed, the car parks inventory register was last updated in May 2016 and the next one is scheduled for April 2017.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<p>Risks to staff should be included in the Car Park Services risk register and a Ranger Service risk register should be created.</p>	<p><i>Contract Services Manager:</i></p> <p>Risks to staff in the Ranger Service are covered in detail on the Assessnet system and, in consultation with the Head of Service, we believe this is the correct location for these risks to be managed. There is a high level risk indicator in the "Neighbourhood Services Corporate Risk Register – Generic" item 10 which covers risks to all Neighbourhood Services staff.</p> <p>The Ranger service is an integral part of Car Parks Service and, even though it has a different name, it is covered through the "Neighbourhood Services Corporate Risk Register – Car Park Services". Once the review of the Ranger Service is completed we may consider changing the title to Car Parks and Ranger Service.</p> <p>July 2016.</p>	<p>Neighbourhood Services Risk registers are being reformatted in Feb 2017. The amendment to include the Ranger Service into the Car Park register will be completed during this review.</p>

 FINANCE & AUDIT SCRUTINY COMMITTEE 07 March 2017		Agenda Item No. 5
Title		Annual Governance Statement Action Plan 2016/17: Review of Progress
For further information about this report please contact		Richard Barr Tel: (01926) 456815 E Mail: richard.barr@warwickdc.gov.uk
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		29 November 2016
Background Papers	Accounts and Audit (England) Regulations 2015 Delivering Good Governance in Local Government: Framework (CIPFA/SOLACE 2007) Delivering Good Governance in Local Government: Framework (Addendum) (CIPFA/SOLACE 2012) Delivering Good Governance in Local Government: Framework and Guidance Note for English Authorities (CIPFA/SOLACE 2012) The Annual Governance Statement – Rough Guide for Practitioners (CIPFA Financial Advisory Network) Minutes of Senior Management Team	

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 (N/A: no direct service implications)

Officer/Councillor Approval		
With regard to officer approval all reports <i>must</i> be approved by the report author's relevant director, Finance, Legal Services and the relevant Portfolio Holder(s).		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	18 Jan 2017	Chris Elliott / Andrew Jones
SMT	18 Jan 2017	Senior Management Team
Monitoring Officer	18 Jan 2017	Andrew Jones
Section 151 Officer	18 Jan 2017	Mike Snow
Human Resources		
Finance	18 Jan 2017	As S151 Officer
Portfolio Holder(s)	22 Feb 2017	Councillors Mobbs and Whiting

Consultation & Community Engagement	
Senior Management Team review of Annual Governance Statement Action Plan	
Final Decision?	Yes
Suggested next steps (if not final decision please set out below)	

1 Summary

- 1.1 The purpose of this report is for Committee to review the progress that is being made in addressing the 'Significant Governance Issues' facing the Council set out in its Annual Governance Statement 2015/16. The appendix accompanying this report sets out the progress in addressing the Significant Governance Issues.

2 Recommendations

- 2.1 That Committee should review the Action Plan set out in the Appendix and confirm whether it is satisfied with the progress being made in addressing the Significant Governance Issues relating to the Annual Governance Statement 2015/16.

3 Reasons for the Recommendations

- 3.1 To help fulfil Members' responsibility for effective corporate governance within the Council.
- 3.2 To provide assurance to Members that governance issues identified as part of the compilation of the Annual Governance Statement are being addressed.

4 Policy Framework

- 4.1 The Annual Governance Statement describes governance arrangements relating to the Council's corporate priorities and key strategic projects that are reflected in Fit for the Future. The Fit for the Future programme is also based on an agreed set of values amongst which are the ones of openness and honesty. This is integral to the consideration of governance in an organisation; governance issues needs to be discussed and debated and mitigations put in place in order to prevent or rectify weaknesses.
- 4.2 The arrangements will assist the Council in furtherance of its priority of providing clear community leadership and effective management of resources whilst delivering responsive public services in an open and transparent manner.

5 Budgetary Framework

- 5.1 Although there are no direct budgetary implications arising from this report, an effective Budgetary Framework is a key element of corporate governance. An effective control framework ensures that the Authority manages its resources and achieves its objectives economically, efficiently and effectively.

6 Risks

- 6.1 Risk management is an intrinsic element of corporate governance. There are various risks associated with the Significant Governance Issues and these not being addressed satisfactorily.

7 Alternative Options Considered

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

8 **Corporate Governance in Local Authorities**

- 8.1 CIPFA/SOLACE emphasise that corporate governance is everyone's business and define it as:

"How the local government bodies ensure that they are doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner. It comprises the systems and processes, and cultures and values, by which local government bodies are directed and controlled and through which they account to, engage with and, where appropriate, lead their communities." CIPFA/SOLACE (Chartered Institute of Public Finance & Accountancy/Society of Local Authority Chief Executives)

- 8.2 CIPFA/SOLACE has issued a framework and guidance on delivering good governance in local government. The framework is built on the six core principles set out in the Good Governance Standard for Public Services that were themselves developed from earlier work by Cadbury and Nolan. The principles in relation to local government as set out in the framework are:

- a clear definition of the body's purpose and focusing on the outcomes for the community and creating and implementing a vision for the local area;
- members and officers are working together to achieve a common purpose with clearly defined functions and roles;
- promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour;
- taking informed and transparent decisions which are subject to effective scrutiny and managing risk;
- developing the capacity and capability of members and officers to be effective;
- engaging with local people and other stakeholders to ensure robust public accountability.

Both the Annual Governance Statement and the Council's Code of Corporate Governance reflect these six themes.

9 **Annual Governance Statement**

- 9.1 The production of an Annual Governance Statement is a statutory requirement for local authorities (Regulation 6 of The Accounts and Audit (England) Regulations 2015).
- 9.2 The CIPFA Financial Advisory Network has published an advisory document entitled "The Annual Governance Statement: Rough Guide for Practitioners". Its advice is that the Annual Governance Statement is a key corporate document and the most senior member and the most senior officer (Leader and Chief Executive respectively) have joint responsibility as signatories for its accuracy and completeness. It advises that it should be owned by all senior members and officers of the authority and that it is essential that there is buy-in at the top level of the organisation. It advises that the work associated with its production should not be delegated to a single officer.

9.3 The Leader and Chief Executive of the Council as signatories to the Annual Governance Statement need to ensure that it accurately reflects the governance framework for which they are responsible. In order to achieve this they will rely on many sources of assurance, such as that from:

- Deputy Chief Executives and Service Area Managers
- the Responsible Financial Officer
- the Monitoring Officer
- Members
- the Audit and Risk Manager
- performance and risk management systems
- third parties, e.g. partnerships
- external audit and other review agencies.

10 **The Significant Governance Issues**

10.1 The governance issues facing the Council have been identified from production of the statutory Annual Governance Statement.

10.2 The Significant Governance Issues are summarised in the Action Plan element of the Annual Governance Statement for 2015/16.

10.3 The Annual Governance Statement (and therefore the Action Plan setting out the Significant Governance Issues) has been approved by Full Council.


10.4 The appendix accompanying this report sets out the progress in addressing the Significant Governance Issues.

10.5 The progress in addressing these governance issues is reported by the officers who are leading on them and have been endorsed by the Senior Management Team at a recent meeting.

Annual Governance Statement 2015/16: Action Plan for Significant Governance Issues

Review of Progress to end of December 2016

AGS Ref.	Significant Governance Issue (SGI)	Responsible Officer	Progress Implementing SGI	
			Position as at previous quarter	Position as at end Dec 2016
5.1-1	The call-in process to be examined in respect of Executive and Council decisions.	Civic & Committee Services Manager (DMO) (Overseen by Deputy Chief Executive (AJ))	The Revised Call in procedure has been drafted and is being reviewed by the Monitoring Officer and Deputy Monitoring Officer to ensure it is robust. The Proposal is due to come to O&S Committee on 1 November 2016 and Executive on 28 November for recommendation to Council.	A draft revised call-in procedure has been produced and is included on the agenda for the Overview & Scrutiny Committee in February 2017. Subject to their comments it will be considered by Executive on Executive 8 March 2017 and Council on 20 April 2017.
5.1-2	Service Area Crisis Plans to be updated and kept under regular review.	Service Area Managers / Interim Environmental Sustainability Team Leader (Overseen by CMT)	As per previous quarter, all services have now developed and signed off their plans. No current issues regarding lack of engagement from services. Interim Environmental Sustainability Team Leader intends to contact all plan owners shortly to ensure plans have been reviewed and are current.	All plan owners have been contacted and encouraged to review and update plans. The Neighbourhood Services plan was subject to testing via a table top exercise for the departmental management team in December 2016.

 FINANCE & AUDIT SCRUTINY COMMITTEE 7th MARCH 2017		Agenda Item No. 6
Title	Review of Development Services Contracts Register by Finance & audit Scrutiny Committee	
For further information about this report please contact	Tracy Darke Head of Development Services Tel: 01926 456501 Or Mike Snow Head of Finance Tel: 01926 456800	
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	None	

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

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	24/2/17	Chris Elliott/Bill Hunt
Head of Service	24/2/17	Tracy Darke
CMT	24/2/17	Bill Hunt
Section 151 Officer	24/2/17	Mike Snow
Monitoring Officer	24/2/17	Andrew Jones
Finance	24/2/17	Mike Snow
Portfolio Holder(s)	24/2/17	Cllr Stephen Cross & Noel Butler
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 sets out the process for the review by Finance & Audit Scrutiny Committee of the Development Services Contracts Register, and highlights any issues which need to be addressed in the next 12 months.

2. **Recommendation**

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

3. **Reasons for the Recommendation**

- 3.1 The review of Development Services Risk Register allows members of the Finance and Audit Scrutiny Committee the opportunity to consider the robustness of the register, make appropriate suggestions on how the register could be improved, and consider the document within the context of promoting sound procurement practice across the Council.

4. **Policy Framework**

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

5. **Budgetary Framework**

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

6. **Risks**

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

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

7. Alternative Option(s) considered

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

8. Background

- 8.1 The Terms of Reference for the Finance and Audit Scrutiny include "Promote value for money and good procurement practice". This is a role that the Committee has actively pursued. In carrying out this role the Committee appointed three of its members to act as Procurement Champions to assist and advise the Procurement Manager. Partly as a result of these actions, the status and knowledge of procurement has increased substantially across the organisation in recent years.
- 8.2 In March 2014 the Finance and Audit Scrutiny Committee requested that it review each departmental Contract Register in turn. These reviews were intended to follow the approach used to review the Risk Register, whereby the relevant Portfolio Holder and Head of Service are available to answer the Committee's questions.


9. Development Services Contract Register

- 9.1 The latest version of the Development Services elements of the Corporate Contracts Register is set out as Appendix 1.
- 9.2 Contract Management in Development Services
- 9.2.1 With the recognised need to improve information held on the Contracts Register, officers now work very closely with Procurement officers to discuss the best approach for the variety of contracts and procurement activities required within the service area. Responsibility for the day-to-day management of individual contracts is delegated within the respective part of the service area. There are contract arrangements that have been inherited and the original contract is not readily available. However, progress has been made to address this.
- 9.2.2 Primarily, the greatest need for the service area is to procure specialist consultancy services. This is done in various ways, either through established frameworks, a formal tender process, or Service Level Agreements.
- 9.2.3 Specialist advice is required as part of the consideration of planning applications and appeals, such as viability assessments, retail assessments and agricultural appraisals, and there is often a need to call on such consultants at short notice. Often, the number of consultants available to undertake such specialist work at short notice can be limited as is the case with agricultural consultants. The need for such advice varies over time and arises from the nature and complexity of planning applications received. For that reason, the service does not involve a contract but is included in the contracts register for information. The approach from officers is to take advice from the procurement team on any purchases over £500.

- 9.2.4 The commissioning of specialist legal advice in connection with public inquiries relating to planning appeals is undertaken through the District Council's service level agreement with Warwickshire County Council. That work is commissioned by the County Council. In terms of best value, it is often more cost effective to use the same barrister who understands our policies and knows the issues within the district as there will be less preparatory work.
- 9.2.5 There are a number of consultants that we have used for the local plan process, and whilst we may have a contract in place for these to carry out a specific piece of evidence work, there is often an agreed day rate, as we may require further work to be done, eg. Community Infrastructure Levy viability work. These have been procured either through the tendering process, or have been consultants that we have used through other Council's framework.
- 9.2.6 One of the areas we have made improvements on this is where a particular consultant is commissioned separately by different parts of the service area and yet collectively the amount spent may exceed thresholds, requiring a different approach to the procurement of the consultant.
- 9.3 Procurement training
- 9.3.1 Training on procurement and contract management is recognised as essential for officers commissioning work across the service area to ensure it is done in line with the Council's Code of Procurement Practice. To that end, officers have either undergone training or have arrangements in place to do so. There is room for improvement and as a result of the Contracts Register now capturing all our contracts, this has resulted in better monitoring, and the opportunity to identify where further work is necessary. It is a quarterly standing agenda item on our Service Area team meetings to ensure that it is kept up to date and is identified in our Service Area Plan. Furthermore, we have Procurement surgery sessions in the service area that assists Managers through the process when faced with procuring goods and services.

Contract Reference Number	Procurement Procedure	Contract Title	Description	Contract Type	Supplier	Contact	Start date	End date	Review Dates	Annual value	Contract value	2016-17 Spend against contract	Extension Option	Comments - including price change provisions and review dates.	Signed Contract Agreement is with DMC (Deed Store) YES / NO	Contract Agreement Signed Electronically ? - if YES - please state where
DS33DA0615	Framework: Direct Award	Commercial Advice to WDC	Commercial Advise to WDC for Housing Development Opportunity	Services	DTZ Debenham Tie Leung Ltd (T/A Cushman and Wakefield)	Tim Hepworth	01/06/2015	31/03/2017	27/03/2017	£10,000.00	£10,000.00	Nil	Contract to cease when Europa Way feasibility study complete	Advice for potential Housing opportunity / development utilising HCA framework	NO	YES - L:\Works Contracts for Procurement\Electronic contracts\Development Services\2015_16\DS33DA0615_co mmercial advice
CE29TQ0416	Open: Published Invitation to Tender	Community Stadium Assessment Plan	Leamington Community Stadium Assessment plan	Services	Colliers international property Consultants	Tim Hepworth	28/04/2016	31/03/2017	N/A	£20,000.00	£20,000.00		N/A	The work relating to this contract will be completed by March 2017. Any further work required will be subject to a new contract	YES	
DS05TQ1214	Invitation to Quote (2+ Suppliers)	Local Plan Programme Officer	Local Plan Programme Officer	Services	Ian Kemp	David Barber	02/02/2015	30/09/2017	01/04/2017	£20,000.00	£20,000.00		one off	Company not registered at Companies House. Ian Kemp is a self employed individual who is registered with the Planning Inspectorate as a Programme Officer. £20k is the estimated cost to cover the Local Plan Examination . Quotes accepted via order (order no. 85741)	NO	
ED04LV1012	Open: Published Invitation to Tender	Retail consultant	Retail consultancy: Retail planning advice	Services	Carter Jonas	Dave Barber	31/10/2012	30/10/2016	01/03/2017	£3,000.00	£30,000.00	3,000	No option to extend	Exemption applied for to extend the contract by 1 year (October 2017) until after the adoption of the Local Plan. Work on procuring a new contract will commence Summer 2017	YES	
ED03LV1112	Open: Published Invitation to Tender	CIL Viability	Viability Assessments to inform CIL charging	Services	BNP Paribas	Dave Barber	01/11/2012	01/03/2017	31/03/2016	£2,000.00	£30,000.00	£5,000.00	No option to extend	Day rate work is still being requested and will continue until CIL is examined or the contract reaches its end date. Exemption applied for to extend the contract by 1 year (October 2017) until after the adoption of the CIL. Thereafter further work on CIL Viability will be encompassed within contract DS20DS0413 (Jones Laing Lasalle)	YES	
ED07TQ1212	Invitation to Quote (2+ Suppliers)	Cleaning for Althorpe Enterprise Hub	Internal cleaning for the Althorpe Enterprise Hub, offices, toilet facilities, kitchen and communal areas	Services	Goldcrest Cleaning	Gayle Spencer	01/12/2015	rolling	01/09/2018	£6,276.00	£6,276.00	£3,911.00	Annually Reviewed	Upon expiration of original contract, this agreement is annually reviewed and continued, as required, on a rolling annual arrangement - albeit termination at anytime is permitted with one months notice. This agreement is subject to price increase and deductions in line with occupancy and spend is monitored to ensure it is in line with contract charges. In addition, prices are subject to change on an annual basis as Goldcrest reflect the Governments National Living Wage announcements	YES	
DS32LV0615	Invitation to Quote (2+ Suppliers)	External Funding Consultant	Consultancy to deliver external funding advice to the authority, make applications to funding bodies and to set up monitoring procedures for successful bids.	Services	ATI Projects Ltd	Tracy Darke	19/06/2015	18/06/2017	01/05/2017	£50,000.00	£50,000.00	£0.00	Six months, with an option to extend 3 x six months periods	The aim of the project is to generate external funding for the authority that also covers the costs of preparation of those funding bids. The contract extension is subject to performance & available finance and also allows the appointed consultant to finish off projects that have a longer lead & delivery time. Subject to additional available finance, the actual contract value may be higher than the £50,000 but will always be less than the EU threshold. 26/01/17 - Final 6 month extension taken. Following a report to Exec on outcomes, the decision whether to procure a further contract will be made.	YES	
DS40DA0116	Direct Award	Maintenance support for RDC telephone system	Provides cover for equipment and maintenance of an ageing telephone	Services	RDC Communications	Gayle Spencer	27/01/2016	rolling	02/12/2017	£850.00	£850.00	£0.00	Review in Dec 2017	Reviewed and renewed, on a rolling arrangement, on an annual basis. Limited capacity to move suppliers.	NO	YES: L:\Works Contracts for Procurement\Electronic contracts
DS01UT0314	Invitation to Quote (2+ Suppliers)	Broadband and wi-fi provider and maintenance support for Althorpe	Data and comms connectivity and management	Services	Konnex	Gayle Spencer	24/03/2014	23/03/2018	01/09/2017	£2,939.00	£8,817.00	£1,986.00	Annually Reviewed	Originally a 2 year contract upon expiration can be annually reviewed with 3 months notice. It has been confirmed with the provider that by staying on the same service provision the current agreement will continue. By continuing on the same agreement, it may incur additional or a reduction in costs. Spend will continue to be monitored ensuring the service charges to tenants is in line with contract charges. It was agreed that an exemption was not required. This is a restrictive market, with limited capacity to move providers.	YES	
DS23MC0413	Framework: Mini Competition	Local Plan Sustainability Appraisal	Undertaking sustainability appraisal of local plan, and associated DPDs	Services	ENFUSION	Dave Barber	01/04/2013	31/03/2017	N/A	£7,000.00	£25,000.00	£6,057.00	No option to extend	Contract arranged between supplier and PAS who are responsible for the management of the Framework and the management of the contract on our behalf. Contract work will be complete by 31/3/17. Thereafter, no replacement contract will be needed withi the current Local Plan cycle.	NO	
DS14DA0403	Direct Award	Provision of planning software and updates	The provision of software and updates to manage and administer planning submissions	Services	IDOX Group	Gary Fisher	01/04/2003	01/04/2017	Annually	£50,924.00	£662,012.00	£50,924.00		This relates to the provision of software; updates etc to support the electronic operating system through which all planning submissions; appeals; enforcement investigations and land charges are administered. The provision of this service can only be undertaken by the company who designed and provided the relevant software. The software and updates are provided on an ongoing basis and the contract is currently being reviewed with the Procurement Team and the provider potentially through the use of a new framework arrangement to ensure best value.	This contract is currently being renegotiated and will be deposited once completed.	
DS15XXXXXX	Direct Award	Building control software	Software for building control to manage BC process.	Goods	IDOX Group	Philip Rook	01/04/2003	01/04/2017	annually	£16,000.00	£208,000.00	£16,000.00		This relates to BC WDC only. Does not include software costs for Rugby and Daventry.This relates to the provision of software; updates etc to support the electronic operating system through which all BC applications are administered. The provision of this service can only be undertaken by the company who designed and provided the relevant software. The software and updates are provided on an ongoing basis and the contract is currently being reviewed with the Procurement Team and the provider potentially through the use of a new framework arrangement to ensure best value.	NO	Inherited contract, need to obtain contract from supplier, currently under review/procurement, will ensure contract is lodged at end of procurement process.
DS18DA0513	Direct Award	Provision of Counsels advice and advocacy	Advice and professional services in relation to planning matters particularly Planning Inquiries.	Services	4-5 Grays Inn Square (Tim Leader)	Gary Fisher	01/05/2013	31/03/2018	01/01/2018	Varies from year to year	Varies from year to year	£31,000.00		This relates to the ad hoc purchasing of specialist legal advice for example in relation to the more complex planning appeals which is often required at short notice. For that reason, this service does not involve a contract but is included in the contract register for information. That advice is currently provided by a barrister who has a proven track record in this field on an ad hoc basis who is experienced in working within this District and familiar with WDC procedures and officers. The value of this work varies significantly from year to year, that variance arising from the nature and scale of the appeals that are received over any given period. The approach that officers take is to seek advice from the procurement team in relation to purchases over £500. To date, since April 2016, there has been no expenditure arising from this contract..	Please see preceding column (U) for further information	

Contract Reference Number	Procurement Procedure	Contract Title	Description	Contract Type	Supplier	Contact	Start date	End date	Review Dates	Annual value	Contract value	2016-17 Spend against contract	Extension Option	Comments - including price change provisions and review dates.	Signed Contract Agreement is with DMC (Deed Store) YES / NO	Contract Agreement Signed Electronically ? - if YES - please state where
DS20DS0413	Direct Award	Professional advice in relation to the viability of development proposals	Advice and professional services to determine the viability of development projects in accordance with planning legislation.	Services	Jones Laing Lasalle	Gary Fisher	01/04/2013	31/03/2018	01/01/2018	N/A	N/A	£13,532.00		This relates to the provision of specialist advice as to the viability of development proposals. The need for such advice varies considerably over time and arises from the nature and complexity of planning applications that are received. For that reason, this service does not involve a contract but is included in the contract register for information. For that reason, it is not possible to provide a total contract value. The range of providers of this service is limited which is currently provided by a company with a proven track record in this field. The approach that officers take is to seek advice from the procurement team in relation to purchases over £500.	Please preceding column (U) for further information	
DS21DS0414	Direct Award	Professional advice in relation to agricultural aspects of planning applications	Advice and professional services to assist in the consideration of planning applications and appeals where there is an agricultural or similar element	Services	Rhodes Rural Planning and Land Management	Gary Fisher	01/04/2014	31/03/2018	01/01/2018	N/A	N/A	£4,525.00		This relates to the provision of specialist advice as to agricultural aspects/considerations of development proposals. The need for such advice is limited and arises from the nature of planning applications that are received. For that reason, it is not possible to provide a total contract value. For that reason, this service does not involve a contract but is included in the contract register for information. The range of providers of this service is limited which is currently provided by a small company with a proven track record in this field. The approach that officers take is to seek advice from the procurement team in relation to purchases over £500.	Please see preceding column (U) for further information	
DS34TQ0615	Invitation to Quote (2+ Suppliers)	Cleaning for 26 Hamilton Terrace (26HT)	Internal cleaning for the 26HT offices, toilet facilities, kitchen and communal areas	Services	Goldcrest Cleaning	Gayle Spencer	06/05/2015	rolling	05/04/2018	£2,998.56	£2,998.56	£2,457.00	Annually reviewed	Termination at anytime with one months notice. Annually reviewed and renewed.	YES	
DS03TQ0914	Invitation to Quote (2+ Suppliers)	Data & Phone Communication 26HT	Data & Phone Communication 26HT	Services	Konnex	Gayle Spencer	17/09/2014	16/09/2017	16/04/2017	Year 1 £12,569.40 Year 2 £7,919.40, Year 3 £7,919.40	£28,408.20	£4,287.00	Fixed price for three year period	Three quote route followed however due to restrictions from the market on minimum period of contract took the total value of the contract over the threshold of £20k. Mike Snow agreed that the process was followed and happy to countersign the three quote form. Originally a 3 year contract upon expiration can be annually reviewed with 3 months notice.It has been confirmed with the provider that by staying on the same service provision the current agreement will continue. By continuing on the same agreement, it may incur additional or a reduction in costs. Spend will continue to be monitored ensuring the service charges to tenants is in line with contract charges. It was agreed that an exemption was not required. This is a restrictive market, with limited capacity to move providers.	YES	
DS04LV0914	Open: Published Invitation to Tender	Kenilworth Christmas Lights	Contract for erection, dismantling and storage of christmas illuminations in Kenilworth	Works	Hi Lite Electrical	Stuart Poole	01/11/2014	31/10/2017	01/03/2017	£16,765.00	£88,122.00	£14,069.00	Option to extend for a further 2 years	Following review, and consultation with contractor, contract extended for further 2 years	YES	
IT16NK0105	Direct Award	Colortrac Smart LF scanner	Colortrac Smart LF scanner	Goods	Ricoh UK Ltd	Tracy Darke/Gary Fisher	01/11/2005	01/11/2017	01/11/2017	£3,085	£37,020			Gary Fisher has spoken to Media about incorporating in a replacement large format printer/scanner as part of the WDC copier replacement plan 2017.	NO	
DS27LV0615	Open: Published Invitation to Tender	Specialist Markets Contract	Provision of Autumn and Yuletide Markets	Services	EG Skett Co	David Butler	01/06/2015	01/01/2018	annual review, break at 3 years	£12000 (income)	£60,000 (income)	Nil	Option to extend at the end of the contract period for a further 2 vers	New contract 2015-18/20.	YES	
DS07LV0115	Open: Published Invitation to Tender	General Markets contract	provision of general retail market	Services	CJ's Events Warwickshire Limited	David Butler	01/02/2015	31/01/2018	01/06/2017	net income of £34,000	Variable		Option to extend for a further 2 years	review date revised to 01/06/17	YES	
CS48LV0615	Open: Published Invitation to Tender	Bowls Car Park Management	Management of the Car Park facilities at the Bowls England Championships based at Victoria Park	Services	CJ's Events Warwickshire Limited	Stuart Poole	01/07/2015	31/03/2020	31/01/2018	£23,552.60	£117,763.00	Nil	Option to extend for a further 4 year period	Option taken to roll on contract for a further year.	YES	

 Finance and Audit Scrutiny Committee: 7 March 2017		Agenda Item No. 7
Title	The Monitoring of Section 106 Contributions	
For further information about this report please contact	Gary Fisher	
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	30 June 2015: Minute No. 19 2 September 2015: Minute No. 47 8 March 2016: Minute No. 125	
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)	Yes
Equality Impact Assessment Undertaken	N/A

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	23/2/17	Chris Elliott and Bill Hunt
Head of Service	23/2/17	Tracy Darke
CMT		
Section 151 Officer		
Monitoring Officer	23/2/17	Andrew Jones
Finance	23/2/17	Mike Snow
Portfolio Holder(s)	23/2/17	Councillor Cross
Consultation & Community Engagement		
N/A		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below)		

1. **Summary**

- 1.1 This purpose of this report is to provide a further update on the operation of the Council's section 106 monitoring database.

2. **Recommendation**

- 2.1 That the Committee note the contents of the report.

3. **Reasons for the Recommendation**

- 3.1 The monitoring of Section 106 agreements is continuing on a collaborative basis particularly involving officers within Development Services; Neighbourhood Services; and Housing and Property Services along with colleagues at Warwickshire County Council, particularly their Infrastructure Delivery Manager.
- 3.2 Since this matter was last considered by this committee on 6 March 2016, the ongoing review and development of the Section 106 database which is at the core of that work has continued including in consultation with Councillors Quinney, Rhead and Harrington most specifically at meetings taking place in late March; July and October last year.
- 3.3 The purpose of that approach has been to continue to develop the format of the database, which is publically available on the Council's website in order to make it as user friendly and accessible as possible. In that respect, whilst the database remains an extensive document, revisions have been made to simplify it where possible including in respect of the terminology used. Additional clarity has been provided for example in respect of the date on which financial contributions have been received and the date by which they should be spent. The functionality of the database has also been improved so that it can be interrogated to identify performance in respect of key information such as the level of contributions received but not spent and those which are overdue and being sought.
- 3.4 In parallel with that approach, in order to enable the database to be updated as seamlessly as possible by all key partners, a secure single working version which is held centrally is now accessible to internal and external colleagues. In addition, the Section 106 agreement monitoring working group including those colleagues from both the District and County Council is also now starting to meet regularly to oversee that work.
- 3.5 Whilst the overall database itself includes some 145 agreements, the majority relate to developments which have been completed and in respect of which no further action is required. The key focus of the monitoring work is the 34 currently active agreements in respect of which i. The development in question is currently underway; ii. There are payments which have been received but not yet spent; and/or iii. Payments or commitments remain outstanding and are being sought.
- 3.6 In addition, there are also currently 11 agreements on the database which relate to developments that have not yet commenced.
- 3.7 One of the key purposes of the database is to bring all of the relevant information together in one place in order to ensure that Section 106 commitments come forward to provide the infrastructure associated with the

developments in question. In doing so, it becomes possible to identify specific areas of challenge and risk which in turn are able to be addressed.

- 3.8 For example, a key risk is that financial contributions which are required to fund infrastructure to support a particular development are received but not committed and spent in a timely manner. A key area of risk in that respect is that in most cases, should a defined period – usually either 5 or 7 years - have elapsed without the contribution being spent, the party making that contribution is able to reclaim it.
- 3.9 A significant proportion of the active Section 106 agreements relate to major residential developments which have commenced within the last 2-3 years. In overall terms, the level of contributions included within those agreements is therefore very significant and it is not surprising that the proportion of those contributions which have been received but currently not spent is also significant amounting to some £11 million.
- 3.10 A significant proportion of those contributions are with the County Council in their role as the Highway Authority (£2 million) and the Education Authority (£5 million) relating to planned infrastructure projects which are either in progress or coming forward. A further £1.5 million is attributed to health-related infrastructure provision and £1.3 million in respect of open space and indoor/outdoor sport provisions with lesser sums for affordable housing, footpath and other contributions.
- 3.11 However, it is also important to note that notwithstanding the above, in addition, contributions totalling £12,300,000 have also been received and spent including £1,931,000 towards education provision and £4,234, 000 in respect of traffic and highways matters.
- 3.12 It is also evident that, of the contributions which have been received and are yet to be spent, £358,500 (3% of the total figure) are at potential risk of being reclaimed. Those contributions were received in 2008, 2010 and 2011 and relate to education and highways contributions received prior to the proactive monitoring which is now undertaken and which has identified those risks which the Education and Highways Authorities are working to address.
- 3.13 There is currently considered to be no risk of the more substantive contributions received more recently mainly in respect of major residential schemes being at such risk. Whilst this would be the case for a number of years, the proactive monitoring which is now undertaken is intended to ensure that remains the case.
- 3.14 Another key area of risk is that contributions are not collected and therefore remain outstanding in perpetuity to the detriment of the provision of the infrastructure to which they relate. The monitoring regime which is now in place is designed to ensure that is not the case. Whilst there is currently £2.4 million of contributions which are yet to be paid, the majority arise from circumstances where the relevant trigger – usually expressed as a proportion of a development being completed or occupied - has only recently been reached and where the recipient is in the process of collecting those funds.
- 3.15 Whilst this increasingly pro-active and co-ordinated approach to the monitoring of Section 106 agreements has been in place for less than 2 years, it is considered that the benefits of this revised approach particularly in respect of the accessibility of information; collaborative working and the identification and

addressing of risks and challenges will continue to make a significant contribution to the delivery of development across the District in accordance with the objectives of the emerging Local Plan.

4. Policy Framework

- 4.1 **Fit for the Future** – The delivery of Section 106 contributions and requirements including, for example the infrastructure necessary to support major development schemes across the District will assist in ensuring that such infrastructure comes forward in the right manner and at the right time to support that development and will therefore contribute to the vision of making Warwick District a great place to live, work and visit as set out in the Sustainable Community Strategy and be consistent with the Fit for the Future programme.

Service: To Maintain and Improve Services – continued proactive monitoring enables the Council and its partners to work collaboratively in providing a service to ensure the delivery of good development as set out in the paragraph above.

Money: Achieve and maintain a sustainable balanced budget – Section 106 agreements for major residential developments include a contribution towards the cost of monitoring the agreement which assists in minimizing the cost to the council of continuing to do so.

People: Engaged and Empowered Staff – the current collaborative approach to monitoring agreements ensures that colleagues both internal and external are in place and appropriately supported and engaged to deliver the service.

- 4.2 **Impact Assessments** - It is anticipated that the continued proactive monitoring approach will assist with the delivery of infrastructure to support new development which will benefit all sections of the community.

5. Budgetary Framework

- 5.1 This monitoring work is being undertaken within existing budgetary frameworks and is also supported by financial contributions towards the cost of monitoring specific types of development which are identified within appropriate section 106 agreements.

6. Risks


- 6.1 In view of the nature and scale of the development proposals that are being delivered across the District within the emerging Local Plan period, it is the absence of a robust and proactive monitoring regime, such as that which is now in place, that has been identified as the key risk.
- 6.2 Without such a regime, the risk of essential requirements and contributions not being provided, or of contributions that have been received remaining unspent and liable for repayment is increased.

7. Alternative Option(s) considered

- 7.1 For the reasons identified in paragraph 6.1 and 6.2 above, the option of not continuing with an appropriate monitoring regime has been discounted.

8. Background

- 8.1 As Members are aware, in order to ensure that the requirements and financial contributions identified in legal agreements which have been completed in connection with specific grants of planning permission are undertaken, Officers have developed a detailed monitoring spread sheet.
- 8.2 That spread sheet comprises of an individual entry for each requirement or contribution in order that it's undertaking or payment can be tracked, and in the case of financial contributions to ensure that the funding is spent on the project for which it was required within an appropriate timescale.
- 8.3 Key benefits of the development of this spread sheet include:-
- Transparency in the identification and handling of the contributions and other undertakings which are required in relation to specific developments.
 - Clarity in the identification of trigger points to ensure that contributions and undertakings are received/implemented at the appropriate stage of the development.
 - The ability to ensure that contributions are spent for the purposes identified within the Section 106 agreement within the required timescale and that there is no risk of contributions remaining unspent and therefore at risk of being clawed back.
 - To enable service areas and other partners to plan their budgets particularly linked to capital projects arising from or related to specific developments.
 - To enable Town and Parish Councils to identify the availability of potential funding.
 - To enable members of the public to track the implementation of section 106 agreements in relation to developments that are of interest to them.

 Finance And Audit Scrutiny Committee		Agenda Item No. 8
Title	Procurement Progress update	
For further information about this report please contact	John.roberts@warwickdc.gov.uk Mike.snow@warwickdc.gov.uk	
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	21/02/2017	Andy Jones
Head of Service	21/02/2017	Mike Snow
CMT	21/02/2017	
Section 151 Officer	21/02/2017	Mike Snow
Monitoring Officer	21/02/2017	Andy Jones
Finance	21/02/2017	John Roberts
Portfolio Holder(s)	21/02/2017	Cllr Peter Whiting
Consultation & Community Engagement		
Senior Management Team Procurement Champions		
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 2016/17.

2. RECOMMENDATION

- 2.1 It is recommended that the progress across the procurement function over the past 12 months is noted.

3. REASONS FOR THE RECOMMENDATION

- 3.1 The Procurement Team has been extremely busy over the past 12 months supporting the delivery of a large number of procurement exercises for goods, services and works. Alongside this work, the Team have continued in their more strategic objectives to promote and enhance the knowledge and understanding of good procurement across the Council. Appendix One shows 2016/2017 Action Plan achievements, Appendix Two shows the completed, current and planned procurement projects for 2016-2017 and Appendix Three shows the Summary of live contracts with a total value £5, 000 or above on the Contracts Register.
- Over the course of the last 18 months, Procurement has been the focus of a number of new initiatives instigated by the European Union and UK Government. The underlying theme has been a push towards opening up public sector Procurement activity to potential tenderers, particularly small and medium enterprises (SMEs) by streamlining and simplifying processes and publishing more frequent and clearer details on existing and proposed contract spending.
 - New directives from the EU have been implemented through the Public Contract Regulations 2015. These regulations prescribe that all public sector contracts in excess of £25,000, which are advertised, must also be advertised in the UK on the Contracts Finder portal, or on an e-tendering system that interfaces with it.
 - The Local Government Transparency Code 2014 introduced a mandatory requirement on local authorities to maintain and publish a Contracts Register (for all contracts with a value in excess of £5,000) and a register of all procurement exercises (also with a value in excess of £5,000) The Council has been publishing its Contract Register on its website since 2014.
- 3.3 As well as these external factors, the Council is involved with capital expenditure, and therefore substantial contracts, through a number of multi-million pound projects: Leisure Centres, Creative Quarter, Europa Way. This level of activity has led to a significant increase in Procurement commitments.
- 3.4 The new OJEU "Competitive Procedure with Negotiation" procedure was used for the first time to deliver the Leisure Centres (construction and managed service) contracts and "Competitive Dialogue" procedure for the Creative Quarter contract.
- 3.5 The Council's Code of Procurement Practice was revised in April 2016 to bring it in line with the latest legislative requirements as well as to streamline and simplify processes.

- 3.6 A significant number of policies, templates, guidance notes and a Procurement Manual were published on the Council's intranet to help and support Managers and Staff.
- 3.6 The Procurement Team has had staff turnover during the year and incurred difficulties in recruiting appropriate staff. As a consequence the team has not always been adequately resourced to support all projects, especially the larger more specialist projects e.g. Leisure Options, for which specialist legal advice was needed to support that project.
- 3.7 Procurement in the public sector is a huge undertaking and in any organisation, especially one spending public money, should be seen as a critical success factor. Specifically as a consequence of the issues raised in paragraph 3.6, we will be commissioning consultants to carry out a review of the current model of procurement and its staffing resources from both a strategic and operational perspective. The purpose of this review is to consider Warwick District Council's approach to procurement and to ensure that value for money is being achieved. The review will consider the merits of different delivery options for the Council's procurement function. The over-riding objective of procurement must be to ensure that the council procures cost-effective, high quality services that are responsive to the needs of the local community.

3.7 Future Development for 2017/2018

- Although significant progress has been made, it is recognised that there is a need to continue to embed the procurement procedures across the authority and continue to improve performance in Procurement and contract management.
- The next stage is to be able to focus more on supplier engagement and the associated benefits that come with good, effective procurement and contract management.
- A revised Code of Procurement Practice and Procurement Strategy are being developed to be presented to members in April. These set out the principles in relation to contract and supplier management; they both need to be further developed and embedded across the authority.
- To foster supplier engagement, we will continue to engage with suppliers by providing seminars and workshops with the aim of enabling local companies to consider bidding for procurement opportunities and support the Council's commitment to the local economy.
- To create and publish a Forward Procurement Plan (FPP) for 2017. Much of the over-threshold spend has project teams created to manage the process, and are usually well managed; we need to improve the preparation and planning of the under threshold spend.
- Continue the provision of procurement training with the aim of improving the skills, capability and knowledge of all staff undertaking procurement to ensure we are legally compliant, and also to ensure we are achieving best value.
- Provide training and ad hoc surgeries with all Managers, Officers and Staff involved in the procurement process and launch, promote and embed the Procurement Strategy and Code of Procurement Practice.

- To develop procurement performance measurements in bi-annual and annual Procurement reports to include the following:
 - Total non-pay spend channelled through collaborative arrangements with other buying organisations
 - Percentage of suppliers located within Warwick District
 - Number of local suppliers actively registered on CSWJETS E Portal
 - Number of employees successfully completing in house training
 - Number of formal legal challenges received and upheld against the total number of tenders
 - No of expressions of interest for each Procurement exercise
 - No of Bids received each Procurement exercise
 - No of Bids received from SME's
 - No of Procurement exercise which included Social value questions
 - No of over £20k Exemptions to CoPP rules approved

4. POLICY FRAMEWORK

4.1 The Code of Procurement Practice is a fundamental element of the Council's policy framework and supports the ability of the Council to demonstrate that it is achieving value for money from its expenditure and that its contracts and services are being managed in an open and transparent manner, in line with the Council's Core Values.

4.2 Fit for the Future

As part of the Council's policy framework, the Code of Procurement Practice underlines how the Council acts in securing and managing its procurement requirements which in respect of the Money Strand of the Fit for the Future Programme helps the Council to achieve best value for money within the limited financial resources available and also the Service Strand by enabling the Council to be clearer about the goods and services it wishes to deliver for the local community.

5. BUDGETARY FRAMEWORK

The Code of Procurement Practice complements the Code of Financial Practice in ensuring that financial best practice is applied to the procurement of goods, services or works. Compliance helps protect the Council by minimising procurement risks, whilst ensuring best value is obtained.

6. RISKS

6.1 There are risks in respect of the following:

- Contract register is not kept up to date
- Not all contracts having signed copies stored in DMC

- Potential failure by Contract owners to manage the procurement renewal process in a timely manner in line with Legislation
- Potential for modifications to existing contractual arrangements to be implemented which are not compliant with Procurement regulations
- Contracts with a value of £25,000 - under £50,000.00 not advertised or awarded on the Contracts Finder portal
- Inconsistent record keeping and decision logging, which can result in off contract spend
- Ensuring Procurement are is of strategic decision making about future business models

6.2 "Brexit" – The E U public Procurement Regulations 2015 have been embedded into English law and will remain valid until such time as they are repealed and replaced. This section of the Procurement report will be used to highlight any future risks that arise.

7. ALTERNATIVE OPTION(S) CONSIDERED

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

APPENDIX ONE

PROCUREMENT ACTION PLAN 2016/17

Ref No.	Activity	Responsibility	Key Actions / Achievements 2016 / 2017
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 efficiency identified.	Procurement Manager	<p>Ensure the Contracts Register is up to date. Keep records of all Procurement activity required for the report.</p> <p>CURRENT STATUS : <i>A continuing activity - The objectives have been achieved and remain a continuing key action</i></p>
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	<p>Promote project style Procurement exercises.</p> <p>CURRENT STATUS : <i>A continuing activity - The objectives have been achieved .Further review now required. Will be included in action plan for 2017/18.</i></p> <p><i>Extensive support provided across all service areas.</i></p>

Ref No.	Activity	Responsibility	Key Actions / Achievements 2016 / 2017
1.3	Service plans and team operational plans to reflect planned tender activity.	Senior Managers	<p>Service Managers to review as part of Service Plan Procurement Process</p> <p>CURRENT STATUS: <i>The objectives have been achieved .Further review now required. Will be included in action plans for 2017/18.</i></p> <p><i>Procurement actively reviews expenditure on an on-going basis.</i></p> <p><i>Continuing to actively engage with Service Areas.</i></p>
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	<p>Identify opportunities for SME's within the Procurement Process.</p> <p>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.</p> <p>CURRENT STATUS : <i>A continuing activity - included in the forthcoming revised Procurement and Contract Management Strategy & Code of Procurement Practice.</i></p> <p><i>All tenders via Procurement are now being carried out via the E-Tendering Portal.</i></p> <p><i>Suppliers are continuously being considered to be on the e-marketplace where better value can be achieved and efficiencies achieved.</i></p>

Ref No.	Activity	Responsibility	Key Actions / Achievements 2016 / 2017
1.5	Ensure that there are no unintentional breaches in the EU Procurement threshold.	Procurement Manager/Heads of Service	<p>Contract Register Annual Review</p> <p>Evaluation of 2015/16 Spend Analysis carried out</p> <p>Contract management by end users.</p> <p>CURRENT STATUS: A continuing activity - included in the forthcoming revised Procurement and Contract Management Strategy & Code of Procurement Practice</p>
1.6	Maintain contracts register	Heads of Service	<p>Updating as contracts awarded.</p> <p>Review of contracts register by Heads of Service</p> <p>Annual review of register of include details of annual spend.</p> <p>CURRENT STATUS: A continuing activity -- included in the forthcoming revised Procurement and Contract Management Strategy & Code of Procurement Practice.</p> <p>Contracts register now very comprehensive and being used for work planning to support service areas.</p>

Ref No.	Activity	Responsibility	Key Actions / Achievements 2016 / 2017
1.7	Quarterly publication of Contracts Register	Procurement Officer	<p>Quarterly publication of register in line with the requirements of the Transparency Code</p> <p>CURRENT STATUS : <i>A continuing activity – included in the forthcoming revised Procurement and Contract Management Strategy & Code of Procurement Practice</i></p>
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>CURRENT STATUS <i>The objectives have been achieved .Further review now required. Will be included in action plan for 2017/18</i></p>
1.9	Lead on Procurement activity in line with the Code of Procurement Practice.	Procurement Manager / Procurement Officer	<p>Involvement in all tender Procurement process.</p> <p>To be monitored as part of contracts awarded.</p> <p>Utilise Procurement plans to agree support requirements</p> <p>CURRENT STATUS: : <i>A Continuing activity –will be included in action plan for 2017/18</i></p>
2	POLICIES		

Ref No.	Activity	Responsibility	Key Actions / Achievements 2016 / 2017
2.1	Review and update Code of Procurement Practice.	Procurement Manager	<p>Incorporate changes to Procurement legislation and the Council's business requirements.</p> <p>CURRENT STATUS : <i>Continuing activity – included in the revised procurement and Contract Management Strategy</i></p>
2.2	Review and update Procurement Strategy document and update actions for the forthcoming year.	Procurement Manager	<p>Incorporate changes to in Procurement legislation and the Council's business requirements.</p> <p>Progress to be reviewed as part of bi-annual reporting to F&A.</p> <p>CURRENT STATUS : <i>Continuing activity – included in the revised procurement and Contract Management Strategy</i></p>
3	SUPPLIER MANAGEMENT		
3.1	Undertake an annual audit of spend and number of transactions.	Procurement Manager / Exchequer Manager	<p>Undertake an annual Spend Analysis of suppliers.</p> <p>Production of monthly Service Plan Measures i.e. transaction numbers, where applicable.</p> <p>CURRENT STATUS : <i>Continuing activity – Spend analysis complete. Being shared with Heads of Service</i></p>

Ref No.	Activity	Responsibility	Key Actions / Achievements 2016 / 2017
3.2	Reduce the number of tenders for each supply area through collaboration of tender opportunities.	Procurement Manager / Procurement Officer	<p>Consolidating services, using the Spend Analysis, Contracts Register and Procurement plan for future Procurement activity.</p> <p>Work with other local councils to identify collaboration</p> <p>CURRENT STATUS : <i>Continuing activity – to be included in the revised 2017 - 2019 Procurement Strategy and annual action plan</i></p>
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>CURRENT STATUS: <i>Continuing activity – to be included in the forthcoming revised Procurement Strategy and annual action plan.</i></p> <p><i>Signed copies of agreements and contracts now being held centrally. Now a key part of the procurement exercise.</i></p>

Ref No.	Activity	Responsibility	Key Actions / Achievements 2016 / 2017
3.4	Work towards reducing the number of invoice transactions with current suppliers and new suppliers via the tender Procurement process.	Procurement Manager / Procurement Officer / Service Area Managers / officers	<p>As part of the contract renewal Procurement look at ways of reducing the number of invoices by consolidation of invoices.</p> <p>Make the invoicing Procurement part of the business requirements, where applicable.</p> <p>As part of the contract management Procurement 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><i>CURRENT STATUS: Continuing activity – included in the revised procurement and Contract Management Strategy & Code of Procurement Practice.</i></p> <p><i>Being achieved in larger value contracts by use of the 'Lot' method within tenders.</i></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><i>CURRENT STATUS : Continuing activity –to be included in the revised 2017 - 2019 Procurement Strategy and annual action plan</i></p>

Ref No.	Activity	Responsibility	Key Actions / Achievements 2016 / 2017
4	SUSTAINABILITY		
4.1	Identify key Procurement activities and for each assess main sustainability issues to be addressed	Procurement Manager / Heads of services	<p>Ensure opportunities to the market cover any key sustainability areas and questions for consideration.</p> <p>CURRENT STATUS : <i>Continuing activity – included in the forthcoming revised Procurement and Contract Management Strategy & Code of Procurement Practice</i></p>
4.2	Identify and document appropriate Procurement criteria for key Procurement activities	Procurement Manager / Heads of services	<p>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.</p> <p>CURRENT STATUS: <i>Continuing activity – included in the forthcoming revised Procurement and Contract Management Strategy & Code of Procurement Practice.</i></p> <p><i>Our tender documents are being drafted to include social, economic and environmental benefits and consideration being taken into account as 'award' criteria. These criteria will be considered on a project by project basis.</i></p>

Ref No.	Activity	Responsibility	Key Actions / Achievements 2016 / 2017
4.3	For continuing contracts, set up Procurement process for reviewing sustainability requirements as existing contracts are due for renewal	Procurement Manager/Heads of Service	<p>Part of contract management. To be included within Procurement training.</p> <p>CURRENT STATUS: <i>Continuing activity – included in the forthcoming revised Procurement and Contract Management Strategy & Code of Procurement Practice.</i></p> <p><i>Procurement is reviewing the evaluation of sustainability throughout all procurements</i></p>
5	COLLABORATIVE PROCUREMENT		
5.1	As part of the pre tender Procurement 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	<p>Details to be reported as part of bi-annual reports to members.</p> <p>CURRENT STATUS: <i>Continuing activity – To be carried out when current contracts are due to expire or when proper contracts are not in place. Increased use of larger contracts let by other organisations with mini-competition.</i></p> <p><i>Included in the forthcoming revised Procurement and Contract Management Strategy & Code of Procurement Practice.</i></p>
5.2	Investigate and where applicable enter into joint arrangements for Procurement of goods and services with other Local Authorities.	Procurement Manager	<p>Details to be reported as part of bi-annual reports to members.</p> <p>CURRENT STATUS : <i>Continuing activity – to be included in the revised 2017 - 2019 Procurement Strategy and annual action plan</i></p>

Ref No.	Activity	Responsibility	Key Actions / Achievements 2016 / 2017
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	<p>Details to be reported as part of bi-annual reports to members.</p> <p>CURRENT STATUS: Continuing activity – to be included in the forthcoming revised Procurement Strategy and annual action plan.</p> <p>Opportunities for collaboration are limited at the present time but regular dialogue will hopefully increase future opportunities.</p>
5.4	Where possible ensure that the letting of contracts permits use by other Local Authorities within the WMRIEP area.	Procurement Manager / Procurement Officer	<p>Where applicable include a clause in the tender / Contract documentation that permits the use by other Local Authorities.</p> <p>CURRENT STATUS : Continuing activity – to be included in the revised 2017 - 2019 Procurement Strategy and annual action plan</p>
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	<p>To seek to get officers to use CSW-JETS (Intend) for quotes up to £50k.</p> <p>CURRENT STATUS : Continuing activity –to be included in the revised 2017 - 2019 Procurement Strategy and annual action plan</p>

Ref No.	Activity	Responsibility	Key Actions / Achievements 2016 / 2017
6.2	Promote use of e-tendering software for Contract Management	Procurement Manager	Review use of Contract Register/Management tool in CSW-JETS. CURRENT STATUS : <i>Continuing activity – to be included in the revised 2017 - 2019 Procurement Strategy and annual action plan</i>
6.3	Utilise Project Management tools to assist in Procurement Plans	Procurement Manager	Identify suitable software solutions. Arrange training for Procurement team members CURRENT STATUS : <i>Continuing activity – to be included in the revised 2017 - 2019 Procurement Strategy and annual action plan</i>
7	PROSPERITY AGENDA		
7.1	Provide Procurement support to prosperity agenda initiatives.		Support actions detailed in November 2014 Executive report. CURRENT STATUS : <i>Continuing activity –to be included in the revised 2017 - 2019 Procurement Strategy and annual action plan</i>

Ref No.	Activity	Responsibility	Key Actions / Achievements 2016 / 2017
7.2	Consider how the Procurement function may directly contribute to the prosperity agenda.	Procurement Manager	<p>Consider the feasibility of including contract clauses to support the prosperity agenda in future tender opportunities, e.g. local employment, National Living Wage, apprentices</p> <p>CURRENT STATUS : <i>Continuing activity – to be included in the revised 2017 - 2019 Procurement Strategy and annual action plan</i></p>
7.3	Support local businesses	Procurement Manager/Economic Development and Regeneration Manager	<p>Signed up to the Small Business Friendly Procurement Charter Committing to support small businesses.</p> <p>CURRENT STATUS: <i>Continuing activity – included in the revised Procurement Strategy. Attending events with FSB & Chamber of Commerce , promote portal and how suppliers can find public sector opportunities</i></p>
8	CONTRACT MANAGEMENT		
8.1	Active appropriate contract management	Heads of Service	<p>Ensure contract managers appropriately trained and understand requirements of their role.</p> <p>CURRENT STATUS : <i>Continuing activity – to be included in the revised 2017 - 2019 Procurement Strategy and annual action plan</i></p>

Ref No.	Activity	Responsibility	Key Actions / Achievements 2016 / 2017
8.2	Arrange contract management training	Procurement Manager/HR/Heads of Service	Generic training being arranged by Procurement / HR as part of "workshop". Service specific training to be arranged by appropriated Head of Service. CURRENT STATUS Continuing activity –to be included in the revised 2017 - 2019 Procurement Strategy and annual action plan
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 CURRENT STATUS : Continuing activity – Training workshops provided to Managers and Officers in 2016 & 2017. Follow up sessions to be programmed for 2017
9.2	Disseminate the strategy to officers and members.	Procurement Manager	Reports to Executive, Finance & Audit Scrutiny Committee and SMT. CURRENT STATUS : A Continuing activity – to be included in the revised 2017 - 2019 Procurement Strategy and annual action plan

Ref No.	Activity	Responsibility	Key Actions / Achievements 2016 / 2017
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 - "practical" training CURRENT STATUS : <i>A Continuing activity – to be included in the revised 2017 - 2019 Procurement Strategy and annual action plan</i>
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 CURRENT STATUS : <i>A Continuing activity – included in the revised procurement and Contract Management Strategy & Code of Procurement Practice</i>
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 CURRENT STATUS: <i>A Continuing activity – included in the forthcoming revised Procurement and Contract Management Strategy & Code of Procurement Practice.</i> <i>Procurement manual and associated documents and templates have been uploaded onto the Council's intranet .This will then be communicated to stakeholders and used as an on-going information tool.</i>

Ref No.	Activity	Responsibility	Key Actions / Achievements 2016 / 2017
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	<p>Ensure Procurement opportunities are clearly marketed</p> <p>Refer where applicable suppliers who contact WDC to the CSW-JETS website to view opportunities and register if applicable.</p> <p><i>CURRENT STATUS :</i> <i>A Continuing activity – included in the forthcoming revised Procurement and Contract Management Strategy & Code of Procurement Practice</i></p>
10.3	Maintain standard pro-forma documentation on the Council intranet.	Procurement Manager / Procurement Officer	<p>Review and amend documentation when applicable</p> <p><i>CURRENT STATUS:</i> <i>New ITT templates have been developed. Terms and Conditions have been updated.</i></p> <p><i>Guidance on the drafting of specifications has been developed as has guidance on the evaluation of tenders. These are being rolled out across the key spending departments.</i></p>
10.4	Utilise intranet to inform on Procurement Procedures and any changes in best practice guidance.	Procurement Manager	<p>Use intranet to inform as necessary any update in Procurement practices.</p> <p><i>CURRENT STATUS;</i> <i>Procurement manual and associated documents and templates have been uploaded onto the Council's intranet.</i></p>

APPENDIX TWO

Procurement activity From April 2016 to March 2017

Part One - Awarded Contracts in Financial Year 2016/17

Description	Service Areas	From	To	Budget	Projected Variance	Supplier	Comment
RSA Authentication Manager Maintenance Renewal	Chief Executive Office	01/07/2016	Rolling	£2,451.00	None	Softcat	No savings achieved. Budget matched to bids returned.
Provision of housing stock condition surveys to 5949 council properties	Housing & Property Services	30/05/2016	02/09/2016	£186,905	£6,334	Michael Dyson Associates	Savings were made due to 10% of tenants either refusing or not being available for internal surveys.
Print Services Framework	Chief Executive Office	01/01/2017	31/12/2020	£96,400	£9,985	1. Budbrooke Signs Ltd T/A Signs Express; 2. JAFRE Ltd T/A Interprint; 3. Harris Sign Group Ltd; 4. Pinstripe Holdings Ltd T/A Pnstripe Print; 5. Lichfield Printers Ltd; 6. John Baxter & Son Ltd; 7. Allwag Promotions Ltd; 8. LG Davis Ltd; 9. Graphic Arts (Coventry) Ltd; 10. Sundance Imaging Ltd T/A Printworks	The savings are a result of the lowest tendered sums for each Lot being lower than those on the previous print framework. We anticipate that the lower prices received for the new print framework will enable a proportional reduction in print spend from the overall print budget.

Description	Service Areas	From	To	Budget	Projected Variance	Supplier	Comment
						Coventry; 11. Deltor Communications Ltd; 12. MediaCo Ltd.	
Provision to design and build 3 play areas Wych Elm drive, Villiers street, Priory Pools	Neighbour hood Services	05/09/2016	24/02/2017	£100,000 .00(One off contract)	None	Kompan Limited	No savings achieved. Budget matched to bids returned.
Staff Benefits Leisure & Retail Voluntary Discounts	Chief Executive Office	01/11/2016	30/10/2016	£5,019.30	None	P&MM Limited	Budget matched to rate per head as set in framework.
Pre-construction Services Agreement for Leisure Centre work.	Cultural Services	01/08/2016	17/11/2016	£36,000.00 (One off contract)	£3,388.00	Speller Metcalfe	The savings were achieved by selecting a contractor who offered the best cost against project brief
Antispam Appliance	Chief Executive Office	14/12/2016	13/12/2019	£7,356.00	None	Insight	No savings achieved. Budget matched to bids returned.
Colour MFD and finisher for printroom	Chief Executive Office	01/01/2017	31/12/2021	£114,922.80	None	Ricoh UK Ltd	Although no budget savings are anticipated against the lease and click budgets set for the colour printer and finisher, an estimated £72,500.00 saving over the course of the 5 year contract is anticipated against corporate print spend, £60,000.00 of which has already been cut from print budgets and £12,500.00 still to be cut.

Description	Service Areas	From	To	Budget	Projected Variance	Supplier	Comment
Disabled access lifts in leisure centres	Cultural Services	01/06/2016	31/12/2016	£2,400.00	None	ArjoLeighHunt	There are no savings achieved on this contract.
Maintenance support for RDC telephone system	Development Services	27/01/2016	26/01/2018	£850.00	£850.00		Reviewed and renewed, on a rolling arrangement, on an annual basis. Limited capacity to move suppliers.
Testing Tool	Chief Executive Office	02/02/2016	28/02/2017	£1900.00 + £250 per test (variable)	£2,150.00		Initially pilot but may be purchased long term if pilot successful
Maintenance and servicing of firefighting equipment	Housing & Property Services	08/07/2016	31/03/2017	£11,500.00	None	DRFS	There are no savings achieved on this contract.
Water Cooler maintenance	Health and Community Protection	01/04/2016	31/03/2018	£3,426.00	None	Horizon Drinks	No previous water cooler maintenance contract. Budget matched to price achieved through framework.
Contract for supplying stair lifts and assorted materials	Housing & Property Services	01/11/2016	31/03/2017	£50,000.00	None	Stannah Stair lifts	Procurement process undertaken to make the contract compliant. Budget matched to bid.
Supply of Design Work from RIBA stage 2 to 4 Concept Design, developed Design and Technical Design for St	Housing & Property Services	01/10/2016	13/07/2017	£5,545.00	None	Red kite Network Limited	No savings achieved. Budget matched to bids returned.

Description	Service Areas	From	To	Budget	Projected Variance	Supplier	Comment
Nicholas Park							
CCTV Door Entry Systems Contract Maintenance and Upgrade	Housing & Property Services	01/04/2016	31/03/2018	£188,400.00	£14,609.46	Baydale Control Systems	The savings achieved are directly correlated to the annual budget against the annual contract cost as per new contract over two years.
Provision of Housing Adaptations	Housing & Property Services	01/04/2016	31/03/2018	£797,181.00	£133,000.00	FSG	The savings were achieved on change of contract to FSG From Lovells. The budget contains some of the slippage work which had to be brought forward. Actual savings achieved is £133,000.00
Gas Supply Contract	Housing & Property Services	01/04/2016	31/03/2018	£210,600.00	£28,741.51	Gazprom Energy	The saving was achieved as a result of the tender sum coming under the cost of previous contract for the same sites covered in previous contract.
Minor Works Engineering Contract	Housing & Property Services	01/04/2016	31/03/2018	£900,000.00	£376,244.00	Allworks construction limited	The assumed savings in this report are based on a comparison of budget figure of £900,000.00 in comparison to tender sum of £523,754.00
The maintenance of pumping stations	Health and Community Protection	01/04/2016	31/03/2018	£30,000.00	None	SPE Limited	A pilot for a formal agreement with a recognised contractor. Budgets were set on a guestimate based on previous year's expenditure. The expenditure in 16/17 may surpass the year's estimated budget however the work undertaken this year for the first year has included preventative work such as servicing rather than just reactive response to issues as has been

Description	Service Areas	From	To	Budget	Projected Variance	Supplier	Comment
							the case previously.
The Maintenance & Repair of Electrical Appliances & Installation	Housing & Property Services	01/05/2016	30/04/2018	£601,400.00	None	Dodd's	There are no savings achieved on this contract.
Supply and Delivery of Bulk Liquefied Petroleum Gas	Housing & Property Services	01/05/2016	30/06/2018	£157,800.00	£94749.00	Calor Gas Limited	The contract budget for 2016/18 is £157,800.00 actual contact expenditure for 2016/2018 £63,051.28
Translation services	Neighbourhood Services	05/08/2016	24/08/2018	£2,000.00	None	The Big Word (Pan Government Contract)	This is a call off contract, spend is on an ad hock basis. Budget matched to anticipate spend.
Memorial Safety Inspections and Maintenance	Neighbourhood Services	01/09/2016	31/08/2018	£57,600.00	None	Memsafe	There are no savings achieved on this contract.
Electricity	Housing & Property Services	01/10/2016	30/09/2018	£561,800.00	£186,646.00 increase	Southern Electric (trading name of Scottish & Southern Energy) (ESPO 191/b)	There is a deficit in the budget when compared to the tender Outcome. The 2 year fixed contract for 2016/2018 is £748,446.00 P.A when compared to Budget figure of £561,800 .00, P.A. The budget does represent the actual market cost considering that in 2015/16 the budget was £713,000.00 The increase is due to pressure on sterling against US\$ and Brexit markets reaction. Hence 9.3% increase in cost when compared to last year's prices.
Supply & delivery of Bulk	Housing & Property	01/10/2016	30/09/2018	£38,780.00	None	RIX Petroleum (Midlands) Ltd	There are no savings achieved on this contract.

Description	Service Areas	From	To	Budget	Projected Variance	Supplier	Comment
Kerosene Heating Oil	Services						
Security for Riverside House	Health and Community Protection	01/04/2016	31/03/2019	£35,979.20	None	Mitie Security Limited	The tender submitted matched the budget set for this project.
Waste Containers & Recycling Products	Neighbourhood Services	01/04/2016	31/03/2019	£125,000.00	None	Various Suppliers awarded 4 different Lots.	No savings achieved. Budget matched to bids returned.
Snow Licence Manager	Chief Executive Office	16/04/2016	15/04/2019	£13,004.94	None	Trustmarque Solutions	No savings achieved. Budget matched to bids returned.
Supply of Temporary Staff	Chief Executive Office	01/03/2017	29/02/2020	No HR corporate budget for Recruitment	No saving attributed to this contract, nevertheless savings will be calculated based on hourly rates charged by Comensura in comparison to cost of direct recruitment	Comensura	The savings will be achieved based on cost of recruitment , Expenditure for 2015/2016 was £302,473.00
Housing and Property Services Software MIS H Active	Housing & Property Services	01/04/2017	31/03/2020	£161,700.00	£9,094.41	MIS Active Management Systems	Savings achieved through negotiation. Also, an additional module was obtained at no extra purchase cost, subject to an annual maintenance charge.
Spend Analysis Contract	Finance	01/07/2016	31/08/2016	£4,987.50 (One off contract)	None	V4 Services	There are no savings achieved on this contract.

Description	Service Areas	From	To	Budget	Projected Variance	Supplier	Comment
Provision of Pantomime Production at Royal Spa Centre	Cultural Services	01/11/2016	03/01/2021	£280k-£600k depending on income levels	None	Imagine Theatre Limited	The bidder satisfied all of the quality elements which meant that there is greater potential for increases in income
Project Manager	Neighbourhood Services	09/02/2016	08/02/2021	£55,800.00 (One off contract)	None	Redkite Network Limited	No savings achieved. Budget matched to bids returned.
St Nicks Mini golf	Cultural Services	01/04/2016	01/03/2021	£7,500 .00per Annum	Revenue to the Council will be £10,500.00	Warwick Tearooms Ltd	As a result of tendering this contract it realised in increase in income by £3000
Licence to use Victoria Park Tennis Courts	Cultural Services	08/06/2016	07/06/2026	£20,000.00	None	VP Tennis	The new contract was designed as a result of an F an A audit which concluded that the payment arrangements were unsatisfactory. The new agreement resolves this issue and does make for a more efficient method for collecting monies and therefore saves officer time. In addition the new arrangement guarantee's a consistent level of income, whereas before there existed a profit share arrangement, which was not only unsatisfactory from an audit point of view but inconsistent as well.
Provision of Green Spaces Quality Audit	Neighbourhood Services	12/09/2016	11/09/2022	£17,400.00	None	Redkite Network Limited	No savings achieved. Budget matched to bids returned.
Lease hire Contract for 3 Petrol Caddy Vans	Housing & Property Services	01/10/2016	30/09/2022	£51,000.00	£10,060	Lex Autolease	The savings are as a result of better contract hire rates in comparison to the budget figure.

Description	Service Areas	From	To	Budget	Projected Variance	Supplier	Comment
Electronic Payment Services	Neighbourhood Services	01/07/2017	30/06/2019	£84,700.00		allpay.net	No savings achieved. Bids returned matched the budget.
Firmstep front facing software	Neighbourhood Services	19/09/2016	rolling	£7,000.00	None	Partnership	Pilot framework in partnership with other Council's. Budget set according to anticipated annual spend. No savings achieved.
Continual Maintenance of Pay on foot Equipment	Neighbourhood Services	01/11/2016	31/10/2018	£29,420.00	£860.00 increase	Parkare	No saving was achieved, a small increase of £860.00 to the overall contract value due to the age of the machines. It is proposed to renew this equipment in the next 18 months.
Cash Collection Contract Lot 1	Chief Executive Office	01/11/2016	31/10/2020	£42,744.00	None	Security Plus limited	No savings achieved. Budget matched to bids returned.
Cash Collection Contract Lot 2	Neighbourhood Services	01/11/2016	31/10/2020	£59,347.00	£1108.00 increase	Jade Security Services T/A Richard Talbot	No saving was achieved. A slight increase of £1108 .00occurred as we have had to add in additional collections to mitigate the money being held in parking machines. This was a requirement of the most recent audit of car parks.
Lease hire Contract for supply of Electric vehicles	Health and Community Protection	01/07/2016	30/06/2018	£44,820.32	None	Auto leasing	No savings achieved. Budget matched to bids returned.
Total Assumed Savings During the Period					£450,591.38		

Part Two - Live Tendering Opportunities

Description	Budgeted Total Contract Value	Procurement Process Route	Projected date for award	Service Area
Leisure Centre Management	£1,000,000	OJEU restricted	March 2017	Cultural services
Main Contractor repair and refurbishment of the Pump Room Gardens Restoration Project	£800,000	Below OJEU threshold tender	April 2017	Cultural services
Repair and refurbishment of the cast iron bandstand at: The Pump Room Gardens, Leamington Spa	£80,000	Restricted tender	01/04/17	Cultural services
Provision of Cabins for use as polling stations	£20,000	Below OJEU threshold tender	24/02/17	Chief Executive Office
Regeneration Partner for Creative Quarter, Royal Leamington Spa	£30,000,000	OJEU Open Execution work	01/03/17	Chief Executive Office
Stray Dog Kennelling Services in Warwick District	£25,000	Below OJEU threshold tender	13/03/17	Health and Community Protection
Warwick District Car Parks Assessment and Report	TBA	Open tender	TBA	Neighbourhood Services
Annual Servicing, Repairs and Maintenance and upgrades of housing communal laundry facilities at various sheltered schemes and accommodation	£24,000	Below OJEU threshold tender	20/03/17	Housing & Property Services
Provision of Structural Engineers	£25,000	Open tender	17/02/17	Development Services
Construct and install a new footpath surface with decorative finish at St Nicholas Park	£180,000	Below OJEU threshold tender	20/03/17	Cultural services
Car Park Works to Covent Garden Car Park & St Peters Car Park	£200,000	Below OJEU threshold tender	31/03/17	Neighbourhood Services
Delivery and Collection of Polling Screen	£30,000	Below OJEU threshold tender	01/04/17	Chief Executive Office
Mobile phones and devices	TBC	Direct Award	Feb 2017	Housing & Property Services
Design of Heat Metering Schemes	£80,000	Open tender	March 2017	Housing & Property Services
Procurement Consultancy	TBA	Below OJEU threshold tender	24/03/17	Finance
Rate Payment & Revaluation Consultancy	TBA	Below OJEU threshold tender	31/03/17	Housing & Property Services

Part three - Planned Tender Exercises

Description	Procurement Process Route	Projected date for award	Service Area
Supply of Ballot Papers , Postal Voting Packs & Poll Cards for Elections	Open Tender	Documents currently being drafted prior to uploading onto E Portal	Chief Executive Office
Biomass Wood Fuel	Framework Mini Comp	Documents currently being drafted prior to uploading onto E Portal	Housing & Property Services
Multi-functional Devices Replacement All of the MFD's within Council owned premises	Framework Mini Comp	May 2017	Chief Executive Office
Security Services Framework: A range of security services/general security; event management (social & formal); securing sights; parking management & control; crowd management. All of these including collecting money	Framework Mini Comp	TBA	Development Services
Bowls Car Park Management: Management of the Car Park facilities at the Bowls England Championships based at Victoria Park	TBC	TBA	Development Services
The Maintenance of Cremators and Associated Plant at Oakley Wood Crematorium	Open Tender	Documents currently being drafted prior to uploading onto E Portal	Housing & Property Services
Parking machine maintenance	TBC	TBA	Neighbourhood Services
Valuations & General Service	Open Tender	Documents currently being drafted prior to uploading onto E Portal	Housing & Property Services
Framework for various catering services	Open Tender	Dec 2017	Cultural Services
Beer Wines and Spirits including servicing of associated equipment	Framework Mini Comp	June 2016	Cultural Services

APPENDIX THREE

Summary of Contracts Register for live contracts with a total value £5, 000 or above

Service Area	Number of Contracts : £5k - £24,999.99	Number of Contracts : £25k - £49,999.99	Number of Contracts : £50k or above	Total Number of Contracts lodged in DMC (Deed Store) or electronically	Total Number of Contracts
Chief Executive	11	6	16	24	33
Cultural Services	8	4	4	15	16
Development Services	5	5	7	12	17
Finance	5	2	5	10	12
Health and Community Protection	3	3	10	14	16
Housing and Property Services	8	4	38	39	50
Neighbourhood Services	8	5	21	26	34

 Finance & Audit Scrutiny Committee 7 March 2017		Agenda Item No. 9
Title	Comments from the Executive	
For further information about this report please contact	Amy Barnes Senior Committee Services Officer 01926 456114 committee@warwickdc.gov.uk	
Service Area	Civic & Committee Services	
Wards of the District directly affected	n/a	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006	No	
Date and meeting when issue was last considered and relevant minute number	n/a	
Background Papers	Executive – 08.02.2017	

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 8 February 2017.

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 4 January 2017, 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 8 February 2017 to the Finance and Audit Scrutiny Committee's comments

Item no	4	Title	Budget 2017/18 and Council Tax – General Fund Revenue and Capital
Scrutiny Comment			<p>Finance & Audit Scrutiny Committee raised concerns that the Right To Buy Capital Receipts were being utilised for functions unrelated to the supply of housing but noted that the Council was not restricted in its right to do so.</p> <p>Concerns were also raised about the management fee likely to be offered to the successful Leisure Centre operators in recognition of the large upfront investments required including in gym equipment. However, the Committee noted the officers' assurances that this should result in significantly favourable concession payments in subsequent years, that risks would be adequately controlled and that information would be shared with Members once negotiations were concluded</p> <p>Reviewing the Medium Term Financial Strategy, concerns were raised about increased spending on ICT equipment and software and some other specific large outlays. Conversely, it was noted that the projected income from Leisure Centres did not yet reflect the expected favourable outcome expected.</p> <p>Overall, therefore the Committee supported the recommendations in the report.</p>
Executive Response			<p>The Executive recognised the significant reduction in the net expenditure of the authority which over recent years had been reduced from over £18 million to under £12 million. They thanked all officers for their work in achieving this and for continuing to deliver services at the same standard. They recognised that it was getting harder to achieve the savings required.</p> <p>They recognised the improvements in forecasting by officers that removed would remove some of the surprises that had previously occurred and recognised the need to balance this with being prudent.</p> <p>They highlighted that while the Council was maintaining a balanced General Fund budget, there was still a need to plan for long term sustainable maintenance of Council assets and the removal of depreciation out of the Council tax calculation by the Labour Government had impacted on this.</p> <p>The Portfolio Holder for Finance reminded Members that the Leisure contract was an innovation that needed to be taken and officers were to be congratulated for their work on delivering this project in tough circumstances. The decision to provide discretion to potential management companies for the leisure centre would provide a greater return to the Council over the full length of the contract therefore delivering improved value for the Council. Councillor Whiting continued</p>


	<p>that for this reason it was disappointing to see the statements from the Labour Group in the media. He accepted that there was a risk if the contractor went into administration but this had not occurred to date in any similar scheme and in return the Council should receive a guaranteed indexed link return.</p> <p>Finally, he stated that the main reason for the Council not investing in housing at the present time was because of the uncertainty in this area for all of local government and it would be folly to embark on such projects at this time. Therefore, at this time the money would be better used for the community and did not impact on the ability to deliver social housing when the uncertainty had been removed.</p>
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Item no	5	Title	Housing Revenue Account (HRA) Budget 2017/18 and Housing Rents
Scrutiny Comment		<p>The Finance & Audit Scrutiny Committee raised concerns relating to the increase in garage rents and hoped that this would go towards funding the repair and maintenance of the garages. Members noted, however, that the strategy relating to garages had been delayed until a new Head of Housing was in post.</p> <p>The Committee supported the recommendations in the report.</p>	
Executive Response		<p>The Executive thanked the Scrutiny Committee for their comments and reemphasised the main reason for not building houses at present was because of the uncertainty from central government.</p>	

Item no	7	Title	Treasury Management Strategy
Scrutiny Comment		<p>Finance & Audit Scrutiny Committee fully supported the recommendations in the report along with the potential for encouraging other Financial Advisors to work with Local Authorities in the future. Members also noted that whilst the risk profile was increasing, the Council was doing all it could to mitigate this whilst strengthening Capital Security.</p>	
Executive Response		<p>The Executive thanked the team for their work on this and for taking the Council into equity investments.</p>	

Item no's	8	Title	Housing Related Support Services
Scrutiny Comment		<p>Members raised concerns about the impact to residents of changes to some housing designations but noted Officers' assurances regarding consultation and the option of adjusting designations. They commended the significant reduction in some charges as a result of the review.</p> <p>The Committee therefore supported the recommendations in the report and noted that most residents were satisfied with the services being provided.</p>	

Executive Response	<p>The Executive welcomed the comments of the Scrutiny Committee and highlighted that in essence this Council was picking up the ball from Warwickshire County Council but as a result the Council would be paying less.</p>
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 Finance & Audit Scrutiny Committee – 7 March 2017		Agenda Item No. <h1>10</h1>
Title	Review of the Work Programme & Forward Plan	
For further information about this report please contact	Amy Barnes Senior Committee Services Officer 01926 456114 committee@warwickdc.gov.uk	
Wards of the District directly affected	n/a	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	n/a	
Background Papers	n/a	

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

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

1. Summary

- 1.1 This report informs the Committee of its work programme for 2016/17 (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 2016

4 April 2017

1	Internal Audit Strategy & Plan 2016/17 – 2018/19	Audit Item	Richard Barr
2	Significant Business Risk Register	Audit Item	Richard Barr
4	2015/16 Audit Opinion Plan	Audit Item	Mike Snow / EA
5	End of Term Report	Scrutiny item	Amy Carnall / Chair
6	Risk Registers Reviews 2016/17 – Cultural Services	Audit Item	Richard Barr

Future Meeting Dates

2017

31 May

27 June

25 July

30 August

26 September

31 October

28 November

2018

3 January

6 February

6 March

4 April

Future Work Programme Items

Date	Contracts Registers Reviews	Risk Registers Reviews
May 2017		
June 2017	Neighbourhood Services	
July 2017		Development Services
August 2017		
September 2017	Finance	
October 2017		Health & Community Protection



Warwick District Council Forward Plan March to June 2017

**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 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) 456114. 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.

(857)

Section 1 – The Forward Plan March to June 2017

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
March 2017						
Housing Futures – Housing and Homelessness Strategy 2017 (Ref 822)	To propose a new Housing and Homelessness Strategy for Warwick District.		Executive 8/3/2017	28/02/2017	Bill Hunt Cllr Phillips	
New Domestic Abuse Policy (Ref 826)	To consider a Domestic Abuse Policy.		Executive 8/3/2017	28/02/2017	Simon Brooke Cllr Phillips	
Amended Housing Anti-Social Behaviour Policy (Ref 827)	To consider a revised Anti-Social Behaviour Policy.		Executive 8/3/2017	28/02/2017	Sue Sweeney Cllr Phillips	
Bereavement Services (Ref 836)	To consider the restructure of the service and Saturday working.		Executive 8/3/2017	28/02/2017	Pam Chilvers/ Rob Hoof Cllr Shilton	
Community Forums and Voluntary and Community Sector Spending Review (Ref 833)	To consider proposals relating to the review of community forums and voluntary and community sector spend.		Executive 5/1/2017 Reason 4 8/2/2017 Reason 5 8/3/2017	28/02/2017	Liz Young Cllr Grainger	
2017/18 ICT Services Digital Work Programme (Ref 845)	To review the 2016/17 programme, note budget expenditure and consider the 2017/18 programme of works.		Executive 8/3/2017	28/02/2017	Tass Smith Cllr Mobbs	Executive report 02/12/15 – agenda item 5

Review of Policy and Powers relating to Illegal Encampments (Ref 852)	Following illegal encampments over the Christmas and New Year Holidays, the report will review the current joint approach and available powers in order to reassure our residents and businesses that we are doing our best to prevent and respond promptly to illegal encampments.		Executive 8/3/2017	28/02/2017	Pete Cutts Cllr Grainger	
Procurement Exemptions – CIL Viability and Retail Planning (Ref 855)	To seek approval for an exemption to the procurement policy to allow the extension of these contracts for a year.		Executive 8/3/2017	28/02/2017	Dave Barber Cllr Cross	
St Mary's Lands Implementation of the Delivery Plan for 2017/18 (Ref 856)	To agree funding for 2017/18 year to implement proposals in the agreed Delivery Plan.		Executive 8/3/2017	28/02/2017	Chris Elliott Cllr Butler	

April 2017

Leamington Cemetery North Lodge (Ref 828)	To review the future use of Leamington Cemetery North Lodge.		Executive 5/1/2017 Reason 5 8/2/2017 Reason 5 4/4/2017	27/03/2017	Rob Hoof Cllr Shilton	
Service Area Plans for 2017/18 & Annual Performance Reports for 2016/17 (Ref 837)	To approve the Council's Service Area Plans for 2017/18 and report on performance against Service Area Plans for 2016/17.		Executive 4/4/2017	27/03/2017	Andrew Jones Cllr Mobbs	

Code of Procurement Practice (Ref 805)	To consider and recommend to Council an updated Code of Procurement Practice.		Executive Reason 5 28/9/2016 30/11/2016 5/1/2017 8/2/2017 4/4/2017	27/03/2017	John Roberts Cllr Whiting	
Members' Allowances Scheme (Ref 853)	To consider the recommendations of the Independent Review Panel with regard to Warwick District Councillors Allowances.		Executive 4/4/2017	27/03/2017	Graham Leach Cllr Mobbs	
Corporate Property Planned Preventative Maintenance Programme (Ref 850)	To provide the rationale for the proposed allocation of works against the budget for the Corporate Repairs and Maintenance Programme.		Executive 4/4/2017	27/03/2017	Russell Marsden Cllr Phillips	
Leamington Spa Car Parking Displacement Plan (Ref 844)	To set out the options available should vehicles be displaced from Covent Garden car park and to consider alternative parking options within Leamington Town Centre.		Executive 4/4/2017	27/03/2017	Gary Charlton Cllr Shilton	
Housing Futures – Revised Housing Revenue Account Business Plan (Ref 775)	To propose a revised Housing Revenue Account Business Plan.		Executive 8/3/2017 Reason 5 4/4/2017	27/03/2017	Bill Hunt Cllr Phillips	
St Mary's Lands Warwick Golf Centre (Ref 843)	To consider the business case for an investment proposal. (Private and Confidential by virtue of paragraph 3 of Local Government Act 1972 - Schedule 12A following the Local Government (Access to Information) (Variation) Order 2006)		Executive 4/4/2017	27/03/2017	Chris Elliott Cllr Butler	

May 2017 – there are no scheduled Executive meetings at this time.

June 2017

Fit For the Future Change Programme (Ref 839)	To update the Council's Fit For the Future Change Programme.		Executive 28/06/2017	20/06/2017	Andrew Jones Cllr Mobbs	
Risk Based Verification (Ref 846)	To seek approval for using Risk Based Verification for Benefit Claims		Executive 28/06/2017	20/06/2017	Andrea Wyatt Cllr Whiting	
St Mary's Lands Master Plan and Delivery Plan Implementation Update (Ref 842)	To consider the masterplan for adoption as the policy for the area and further decisions on its implementation.		Executive 28/06/2017	20/06/2017	Chris Elliott Cllr Butler	
Housing Related Support (Ref 854)	To approve new budgetary arrangements following a restructure of Housing Support Services.		Executive 28/06/2017	20/06/2017	Simon Brooke Cllr Phillips	

Section 2 Key decisions which are anticipated to be considered by the Council between July and October 2017						
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
July 2017						
HQ Relocation Project – outcome of phase 1 work (Ref 801)	To consider the outcomes of the phase 1 work and, if appropriate, seek approval for commencement of the phase 2 delivery works.		Executive 26/07/2017	18/07/2016	Bill Hunt Cllrs Mobbs, Whiting, Cross, Shilton	
Final Accounts 2016/17 (Ref 847)	To report on the Council's outturn position for both revenue and capital.		Executive 26/07/2017	18/07/2016	Marcus Miskinis Cllr Whiting	
Corporate Asset Management Strategy (Ref 641)	To propose an Asset Management Strategy for all the Council's buildings and land holdings.		Executive 29/6/2016 Reason 6 1/9/16 Reasons 3 & 5 5/1/2017 Reasons 3 & 5 8/2/2017 Reasons 3 & 5	18/07/2016	Bill Hunt Cllrs Mobbs, Cross, Shilton, Coker & Whiting	

August 2017						
Budget Review Quarter One to include Financial Projections (Ref 848)	To report on the latest financial prospects for the current and future 5 years.		Executive 31/08/2017	22/08/2017	Andy Crump Cllr Whiting	
September 2017						
Fees and Charges (Ref 849)	To propose the level of fees and charges to be levied from 2 January 2018.		Executive 27/09/2017	19/09/2017	Andy Crump Cllr Whiting	

Section 3 Key decisions which are anticipated to be considered by the Council but the date for which is 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
Private Sector Housing Grants Policy (Ref 658)	To propose a revised policy for the allocation of grant funding for private residents.		Ken Bruno Cllr Phillips	This will come forward in due course once the Future of Housing Adaptations Service has been determined		TBC
Council Development Company (Ref 727)	To consider a report on establishing a Council Development Company.	Executive 9/3/2016 2/6/2016 Reason 2 Reason 1 29/6/2016	Bill Hunt Cllr Phillips			
Car Parking strategy (Ref 790)	To consider the future off-street car parking needs of Leamington, Warwick and Kenilworth and how these should be addressed.	Executive 2/6/16 27/7/2016 Reason 3	Rob Hoof Cllr. Shilton			
Revisions to the Constitution/ Delegation Agreement (Ref 819)	To request revisions to the Constitution/ Delegation Agreement with regard to the determination of Planning Applications.		Tracy Darke/Gary Fisher Cllr Cross	This is the subject of on-going discussion with key members		
Leisure Development – Phase II (Kenilworth) (Ref 803)	To agree the scope of Phase II.	Executive 28/9/2016 Reason 5	Rose Winship Cllr Coker			

HRA Asset Management and Development Policy (Ref 829)		Executive	Bill Hunt Cllr Phillips			
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 that information).	Executive/ Council 03/09/15 30/09/15 02/12/2015 6/4/2016 2/6/2016 30/11/2016 Reason 3 5/1/2017 Reason 3 & 5	Chris Elliott Cllr Phillips	This item will be brought to Council on 22 February 2017, however it is not yet clear if Executive approval will be required for some aspects of the report.		
Recording and Broadcasting of Public Meetings (Ref 840)	To inform members of the research into the potential to record and broadcast all Council meetings as per the Notice of Motion to Council.	Council 29/6/2016 Executive 5/1/2017 8/2/2017 Reason 3	Graham Leach Cllr Mobbs	Currently being investigated in tandem with Council Chamber PA issues.		
Councillors IT (Ref 841)	To report back on the work of the Councillor IT Working Party.	Executive 5/1/2017 8/2/2017 Reason 3	Graham Leach Cllr Mobbs	Awaiting the outcome of Members' Allowances Review.		

Consideration of a Hackney Carriage Vehicle Limitation Policy (Ref 851)	<p>To update members on the results of the WDC Hackney Carriage Unmet Demand Survey and:</p> <p>Meeting1 – Introduce highlights of survey and propose a 6 week consultation on recommended options outlined in the survey.</p> <p>Meeting 2 – Update on the consultation & determine any change to policy, following the consultation.</p>		Lorna Hudson Cllr Grainger	This report will go to Licensing & Regulatory Committee on 20/02/17 & 30/05/17 prior to being brought to Executive.	Taxi trade, local business, safer communities, disability, equality and other local group representatives, Town Councils, Police. Questionnaire on website/email. CTS Traffic & Transportation Final Report - July 2016.	
WDC Enterprise – New Trading Arm (Ref 817)	To seek approval to establish a Local Authority Trading Company, to expand support provision whilst capitalising on existing skills to maximise income.	Executive 2/11/2016 Reason5 5/1/2017 Reason5 8/2/2017 Reason 5	Gayle Spencer Cllr Butler			
Events Review (Ref 832)	To review the provision and support of events in the District.	Executive 8/3/2017 Reason 4	Stuart Poole Cllr Butler			

Section 4 – 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
March 2017						
Revised Call-in Procedure for Warwick District Council (Ref 823)	To recommend to Council a revised call-in procedure of Executive decisions for Warwick District Council.		Executive 5/1/2017 8/2/2017 8/3/2017	28/02/2017	Graham Leach Cllr Mobbs	Councillors Barrott, Boad, Mrs Falp and Mobbs (Group Leaders), Overview & Scrutiny Committee (27/9/16)
Rural Urban Community Initiative Scheme Applications	To consider applications for Rural and Urban Initiative Grants.		Executive 8/3/2017	28/02/2017	Jon Dawson Cllr Whiting	

April 2017

Rural Urban Community Initiative Scheme Applications	To consider applications for Rural and Urban Initiative Grants.		Executive 5/4/2017	27/03/2017	Jon Dawson Cllr Whiting	
Review of Significant Business Risk Register	To inform Members of the Significant Risks to the Council.		Executive 5/4/2017	27/03/2017	Richard Barr Cllr Mobbs	

May 2017 – No scheduled Executive meetings at this time.

June 2017						
Rural Urban Community Initiative Scheme Applications	To consider applications for Rural and Urban Initiative Grants.		Executive 28/06/2017	20/06/2017	Jon Dawson Cllr Whiting	

July 2017 – No scheduled reports at this time.

August 2017						
Rural Urban Community Initiative Scheme Applications	To consider applications for Rural and Urban Initiative Grants.		Executive 31/08/2017	22/08/2017	Jon Dawson Cllr Whiting	
Contracts Register Review	To review the Service Area's Contract Register		Executive 31/08/2017	22/08/2017	John Roberts Cllr Whiting	

September 2017						
Review of Significant Business Risk Register	To inform Members of the Significant Risks to the Council.		Executive 27/09/2017	19/09/2017	Richard Barr Cllr Mobbs	
Rural Urban Community Initiative Scheme Applications	To consider applications for Rural and Urban Initiative Grants.		Executive 27/09/2017	19/09/2017	Jon Dawson Cllr Whiting	

October 2017 – No scheduled reports at this time.

Delayed reports:

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

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

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

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