

# Finance and Audit Scrutiny Committee

Tuesday 26 September 2017

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A meeting of the Finance and Audit Scrutiny Committee will be held at the Town Hall, Royal Leamington Spa on Tuesday 26 September 2017 at 6.00pm.

Membership:

	Councillor Barrott (Chair)
Councillor Cain	Councillor Illingworth
Councillor Davies	Councillor Margrave
Councillor Gallagher	Councillor Noone
Councillor Gifford	Councillor Quinney
Councillor Howe	Vacancy - Conservative

## 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 held on 30 August 2017 **(Pages 1 to 6)**

**Part B Audit Items**

4. **Internal Audit Quarter 1 2017/18 Progress Report**

To receive a report from Finance **(Pages 1 to 34)**

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

To consider a report from Finance **(Pages 1 to 14)**

**Part C – Scrutiny Items**

6. **Procurement Strategy Half Year Update**

To consider a report from Finance **(Pages 1 to 36)**

7. **Review of Finance Contract Register**

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

8. **Warwick District Infrastructure Delivery Plan (IDP)**

To consider a report from Development Services **(Pages 1 to 11)**

9. **Comments from the Executive**

To consider a report from Democratic Services **(Pages 1 to 4)**

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

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

11. **Executive Agenda (Non Confidential Items and Reports) – Wednesday 27 September 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.

13. **Executive Agenda (Confidential Items and Reports) – Wednesday 27 September 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)**

14. **Confidential Minutes**

To confirm the minutes of the meeting held on

- a) 27 June 2017
- b) 25 July 2017; and
- c) 30 August 2017

**(Pages 1 to 2)  
(Pages 1 to 3)  
(To follow)  
(Not for Publication)**

Agenda published Monday 18 September 2017

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Telephone: 01926 456114  
E-Mail: [committee@warwickdc.gov.uk](mailto: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](mailto: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](http://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.**

 <b>Finance and Audit Scrutiny Committee</b> <b>26 September 2017</b>		<b>Agenda Item No.</b> <b>4</b>
<b>Title</b>	Internal Audit Quarter 1 2017/18 Progress Report	
<b>For further information about this report please contact</b>	Richard Barr Tel: (01926) 456815 E Mail: richard.barr@warwickdc.gov.uk	
<b>Wards of the District directly affected</b>	Not applicable	
<b>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</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	Finance and Audit Scrutiny Committee – 31 May 2017	
<b>Background Papers</b>	Internal Audit Reports	

<b>Contrary to the policy framework:</b>	No
<b>Contrary to the budgetary framework:</b>	No
<b>Key Decision?</b>	No
<b>Included within the Forward Plan? (If yes include reference number)</b>	No
<b>Equality Impact Assessment Undertaken</b>	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	30 Aug 2017	Chris Elliott
Head of Service	30 Aug 2017	Mike Snow
CMT	30 Aug 2017	Andrew Jones
Section 151 Officer	30 Aug 2017	As Head of Service
Monitoring Officer	30 Aug 2017	Andrew Jones
Finance	30 Aug 2017	As Section 151 Officer
Portfolio Holder	06 Sept 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 2017/18, summarises the audit work completed in the first 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.

## 3 Reason for the Recommendations

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

## 4.1 Fit for the Future (FFF)

The Council's FFF Strategy is designed to deliver the District's Vision of making it a Great Place to Live, Work and Visit. With those objectives the FFF Strategy contains several Key projects.

The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal if any in relation to the Council's FFF Strategy.

FFF Strands		
People	Services	Money
<b>External</b>		
<b>Health, Homes, Communities</b>	<b>Green, Clean, Safe</b>	<b>Infrastructure, Enterprise, Employment</b>
<u>Intended outcomes:</u> Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities.	<u>Intended outcomes:</u> Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB.	<u>Intended outcomes:</u> Dynamic and diverse local economy Vibrant town centres Improved performance/productivity of local economy Increased employment and income levels.
<b>Impacts of Proposal</b>		
Although there are no direct policy implications, internal audit is an essential part of corporate governance and will be a major factor in shaping the Policy Framework and Council policies.		
<b>Internal</b>		
<b>Effective Staff</b>	<b>Maintain or Improve Services</b>	<b>Firm Financial Footing over the Longer Term</b>
<u>Intended outcomes:</u> All staff are properly trained All staff have the appropriate tools	<u>Intended outcomes:</u> Focusing on our customers' needs Continuously improve our processes	<u>Intended outcomes:</u> Better return/use of our assets Full Cost accounting Continued cost

All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours.	Increase the digital provision of services.	management Maximise income earning opportunities Seek best value for money.
<b>Impacts of Proposal</b>		
Although there are no direct policy implications, internal audit is an essential part of corporate governance and will be a major factor in shaping the Policy Framework and Council policies.		

## 4.2 **Supporting Strategies**

Each strand of the FFF Strategy has several supporting strategies but description of these is not relevant for the purposes of this report.

## 4.3 **Changes to Existing Policies**

This section is not applicable.

## 4.4 **Impact Assessments**

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 **Alternative Options Considered**

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

## 9 **Role and Responsibilities of Audit Committees**

- 9.1 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.
- 9.2 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.
- 9.3 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.
- 9.4 The following sections provide information to satisfy these requirements.

## 10 **Progress against Plan**

- 10.1 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 2017/18 is set out as Appendix 2.

## 11 **Assurance**

- 11.1 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.
- 11.2 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 below:

### **Assurance Levels**

<b>Level of Assurance</b>	<b>Definition</b>
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).

## 12 **Internal Audit Assignments Completed During Quarter**

- 12.1 Three audits were completed in the first quarter of 2017/18. Copies of all the reports issued during the quarter are available for viewing on the following hyper-link: [Reports](#)
- 12.2 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.
- 12.3 As can be seen, responses have been received from managers to all recommendations contained in audit reports issued during the quarter in question.
- 12.4 One of the audits completed during the quarter was awarded a lower than substantial assurance opinion. The audit was 'Lone Worker Arrangements'. In line with procedure the report relating to this audit is set out as Appendix 4 for specific scrutiny.

## 13 **Implementation of Recommendations Issued Previously**

- 13.1 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.
- 13.2 The state of implementation of **low and medium risk** recommendations made in the **second quarter of 2016/17** is set out in Appendix 5 to this report. There were no **high risk** recommendations issued in the **fourth quarter of 2016/17** so none is included in this appendix.
- 13.3 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.

## 14 **Review**

- 14.1 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 2017/18: QUARTER 1****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>	278.0	69.5	52.8	+16.7
<u>Other Time</u>				
Sundry audit advice	25.0	6.2	5.7	+0.5
Special investigations (e.g. Fraud/Irregularities)	20.0	5.0	0.0	+5.0
Corporate and departmental Initiatives	35.0	8.8	14.7	-5.9
Non-chargeable activities	112.0	28.0	38.7	-10.7
Leave and other absences	102.0	25.5	31.0	-5.5
<i>Total Other Time</i>	305.0	73.5	90.1	-16.6
<i>Total Time</i>	572.0	143.0	142.9	+0.1

**Time spent: Assignments Completed – Planned Vs Actual**

AUDIT ASSIGNMENT	PLAN (DAYS)	TIME TAKEN (DAYS)	UNDER (+) / OVER (-)
Administration of Housing Benefit & Council Tax Reduction	10.0	11.7	-1.7
Corporate Training	6.0	6.9	-0.9
Lone Worker Arrangements	10.0	13.8	-3.8

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

Lone Worker Arrangements: Comprehensive survey undertaken + several areas of concern identified.

**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.	%
38	4	10.0	3	7.9	-1	-25.0

**SUMMARY OF RECOMMENDATIONS AND MANAGEMENT RESPONSES FROM INTERNAL AUDIT REPORTS**  
**ISSUED QUARTER 1, 2017/18**

<b>Report Reference</b>	<b>Recommendation</b>	<b>Risk Rating<sup>1</sup></b>	<b>Responsible Officer</b>	<b>Management Response and Target Implementation Date (TID)</b>
<b>Housing Benefit &amp; Council Tax Reduction – 30 June 2017</b>				
4.3.7	Standards of documentation supporting the RBV process should be clarified and relevant staff instructed to observe them.	Low	Benefits & Fraud Manager	It is not a requirement to retain CIS checks as the information should be capable of being retrieved at any point from CIS. However an issue was identified in respect of tax credit checks by external audit and these are now copied to the claim as std practice. Staff will be reminded of the need to complete the RBV evidence check sheet and we will ensure that this is incorporated in to the accuracy checking regime. TID: 5 July 2017

<sup>1</sup> 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 <sup>1</sup>	Responsible Officer	Management Response and Target Implementation Date (TID)
<b>Corporate Training – 30 June 2017</b>				
4.3.5	HR should request SMT to remind Heads of Service and senior managers of the role of the PDP in the appraisal process and the importance of providing them with completed copies.	Medium	HR Manager	Each year emails are sent to SMTplus regularly between May to July to update them on the numbers of PDPs received and asking them to remind their managers to forward these to HR Training. We also remind managers to send in blank PDP's where no development needs are identified. Managers have until end July to send in the PDP's which is a month after Appraisals should be completed. TID: Not applicable.
4.4.6	The Procurement Manager should be consulted on the application of the Code of Practice.	Medium	HR Manager	The council, along with 31 other local authorities, belongs to the West Midlands Employers Organisation, a not-for-profit organisation, which, amongst other things, offers services to support individual and organisational performance improvement. They source training using their own procurement rules and then offer it to members at a discounted rate. This satisfies the requirement of the Code of Procurement Practice to obtain value for money. TID: Not applicable.

Report Reference	Recommendation	Risk Rating <sup>1</sup>	Responsible Officer	Management Response and Target Implementation Date (TID)
<b>Lone Worker Arrangements – 30 June 2017</b>				
4.2.2	The Lone Worker policy should be publicised to all staff.	Low	Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator In partnership with HR	Policy to be reviewed to ensure it is fit for purpose and made available. TID: Sept 2017  To deliver to all staff through Meta Compliance. To be added to work programme to ensure delivery. TID: To follow the policy review
4.3.12	A review should be undertaken to identify other lone working system to ascertain whether they are better suited to the needs of the Council with trials being performed as necessary.	High	Head of Health & Community Protection (SMT sponsor) and Building Manager / Health & Safety Coordinator	Review the current pros and cons of the systems in place (formal and informal), review the needs of individual service/teams and evaluate the market for products which fit the needs of the organisation. TID: Jan 2018
4.3.13	Formal instructions should be drawn up to advise staff when the lone worker system should be used. These should then be publicised to relevant staff.	Low	Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator In partnership with HR	Instructions to be established and made available. TID: Current arrangements – September 2017 / New arrangements – January 2018

<b>Report Reference</b>	<b>Recommendation</b>	<b>Risk Rating<sup>1</sup></b>	<b>Responsible Officer</b>	<b>Management Response and Target Implementation Date (TID)</b>
4.3.16	Staff within each section should be nominated to contact staff that have not returned to the office as expected.	Medium	Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator In partnership with HR	Staff will be nominated in each section of the organisation to contact staff who have not returned as expected. TID: August 2017
4.3.17	Staff should be advised of the need to keep their details up-to-date on self-serve.	Medium	Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator In partnership with HR	To investigate how self-serve can provide this information in a suitable/timely manner. To investigate who requires what permission in order for this to occur.  I.C.E lists to be maintained within service areas to ensure staff access to I.C.E details.  Annual/Bi annual big button message to prompt staff to update their personal details and emergency contact details. TID: August 2017



<b>Report Reference</b>	<b>Recommendation</b>	<b>Risk Rating<sup>1</sup></b>	<b>Responsible Officer</b>	<b>Management Response and Target Implementation Date (TID)</b>
4.3.19	A consistent format should be agreed for the use of any 'informal' systems.	Low	Head of Health & Community Protection (SMT sponsor) and Building Manager / Health & Safety Coordinator	As part of the actions of 4.3.12 TID: January 2018
4.3.20	Staff on the Transforming Our Workplace team should consider what (informal) systems should be employed to track lone workers once staff move to the new HQ.	Low	Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator In partnership with TOW	To be reviewed following outcome of 4.3.12. TID: June 2018
4.3.23	The lone worker training should be promoted to those that undertake lone working.	Low	Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator In partnership with HR All Managers / Supervisors	Lone worker courses provided through HR. All officers requiring this training to be identified and provided the opportunity to attend.  New course dates to be published once known. TID: October 2017 & ongoing

<b>Report Reference</b>	<b>Recommendation</b>	<b>Risk Rating<sup>1</sup></b>	<b>Responsible Officer</b>	<b>Management Response and Target Implementation Date (TID)</b>
4.4.4	Managers should review AssessNet to ascertain whether there are relevant assessments for their team and undertake assessments as necessary.	Medium	Head of Health & Community Protection (SMT sponsor), Building Manager / Health & Safety Coordinator All Managers / Supervisors	Risk assessments review to be undertaken to ensure relevant RA's include lone working.  To delivered IOSH training for supervisors to improve RA skills. TID: November 2017

**AUDIT REPORTS WITH MODERATE OR LOW LEVEL OF ASSURANCE  
ISSUED QUARTER 1 2017/18**

**Lone Worker Arrangements – 30 June 2017**

**1 Introduction**

- 1.1 In accordance with the Audit Plan for 2017/18, an examination of the above subject area has been undertaken and this report presents the findings and conclusions drawn from the audit for information and action where appropriate.
- 1.2 Wherever possible, findings have been discussed with the staff involved in the procedures examined and their views are incorporated, where appropriate, into the report. My thanks are extended to all concerned for the help and cooperation received during the audit.

**2 Background**

- 2.1 A number of concerns had been raised by delegates at Lone Worker training sessions that had been run for the Council and, as a result, the Head of Health & Community Protection, on behalf of SMT, asked Internal Audit to undertake a review of lone working procedures. This topic had not been covered previously by Internal Audit.
- 2.2 The Council has used the Tunstall system for a number of years. However, other systems have also been piloted and informal systems are also used. This lack of consistency was one of the concerns raised.

**3 Scope and Objectives of the Audit**

- 3.1 The audit was undertaken to ascertain the systems (both formal and informal) that are being used across the Council to track staff that are undertaking lone working and to assess whether they are adequate and are being used effectively.
- 3.2 In terms of scope, the audit covered the following areas:
- Policies and procedures
  - Systems
  - Risk management.
- 3.3 The audit programme identified the expected controls. The control objectives examined were:
- The Council can demonstrate that it has considered the safety of staff that are undertaking lone working
  - Staff know how to use the systems in place
  - The safety of lone workers is protected via use of appropriate systems

- Staff are able to use the lone worker systems correctly
- Managers know the whereabouts of relevant staff that are lone working
- Management are able to demonstrate that they have considered the risks to their staff undertaking lone working
- Staff are able to obtain details of any potential risks posed by individuals before visiting a property.

## 4 Findings

### 4.1 Recommendations from Previous Report

4.1.1 This is the first audit of this topic, so this section is not applicable.

### 4.2 Policies & Procedures

4.2.1 A lone working policy is in place. This was last reviewed in September 2016 and the document includes the next review date as appropriate.

4.2.2 The policy is available to all staff via the intranet through the AssessNet portal. Based on the answers to general questions posed during the course of the audit, it is evident that most staff are not aware of the existence of or the location of the policy, so the existence of the policy and its location need to be publicised.

#### **Risk**

**Staff may be placing themselves in harm's way by not following the policy.**

#### **Recommendation**

**The Lone Worker policy should be publicised to all staff.**

4.2.3 There are some general procedure notes in place for the use of the Tunstall system and the Benefits team have their own version which has been expanded to include contact details relevant to the team. Contract Services have also produced procedure notes for their 'system' which uses two-way radios as opposed to Tunstall.

4.2.4 The Housing Support & Lifeline Manager (HSLM) suggested that there were user guides supplied with the Oysta system that was being piloted and users were briefly shown how to use them, but nothing formal has been drawn up as the system was only being trialled.

### 4.3 Systems

4.3.1 A survey was undertaken of staff members on the Senior Officers email group to ascertain the arrangements that are in place within each team at the Council. As expected, this highlighted a large range of informal systems, as well as Tunstall and the pilot of the Oysta system.

4.3.2 As indicated above, the prompt for the audit to be undertaken came from feedback received following lone worker training. Meetings were held with some of those who had provided the feedback to get further details as to

their concerns. The main concerns expressed regarding Tunstall were the consistency of use and the ability to use the system if confronted with an 'immediate issue'.

- 4.3.3 The use of Tunstall appears to be ad-hoc with some teams reporting that it is used for all visits but other teams that have access appearing not to use it. The Project Manager (Sustaining Tenancies) (PMST) provided a report from Tunstall that listed all staff that had been set up on the system along with details of when they had last used it.
- 4.3.4 There were 147 users set up to use the system when the report was produced. However, according to the data within the spreadsheet, only ten had used it during the reporting period (April 2017) and only 48 appeared to have used the system at all (as per the last log on date within the report) of which only 28 had used the system from 2016 onwards.
- 4.3.5 A sample of those who had seemingly not used the system was chosen from the report (excluding those who no longer work for the Council) and those chosen were asked:
- a) Is the report accurate?
  - b) If you haven't used the system, why not?
  - c) If you have used the system, when was it last used / how often is it used?
- 4.3.6 Half of the sample claimed to have used the system at some point although only two suggested that they would still use it, although it subsequently transpired that their team is now using Oysta. Of the others, some highlighted that they had changed roles and no longer felt the need to use the system.
- 4.3.7 Of those who had not used the system, they highlighted that they had no use of the system, either because they didn't undertake lone working or they used another system. One user was not even aware that he had been set up.
- 4.3.8 The HSLM subsequently contacted Internal Audit as he had been doing some work to cleanse the system of those who no longer worked for the authority. This reduced the number of users to 101. He also advised that he was to contact all users to ascertain if they still required access to the system and was to build an annual review of users into the work schedule and agreed to follow up on the inaccuracy of the reports with Tunstall.
- 4.3.9 With regards to the concern raised in relation to the lack of responsiveness of Tunstall for dealing with immediate issues, a trial had been run on the Oysta system, as this contains a 'man down' function and a panic button. However, upon discussion with a team that has used the system (Appeals & Enforcement within Development Services) and with the PMST, it was established that (amongst other things) there were issues with the GPS positioning and signal reception within rural areas. As a result, it is not thought that the system meets the needs of the organisation.

- 4.3.10 Some staff within Neighbourhood Services (including Rangers and Area Contract Officers) use the two-way radio system. Car Park staff that transferred to the Ranger service had previously used this system and the Senior Contract Officer advised that the decision to expand this to the Area Contract Officers was partly taken as a result of the 'usability' of the Tunstall system.
- 4.3.11 One specific area of concern noted related to the logging and tracking of out-of-hours visits. Most alarm calls are now dealt with by contractors in the first instance who will wait on site with any staff that are subsequently called out. However, staff dealing with other issues (e.g. members of the events team called to an event or surveyors dealing with lift problems), may attend directly and these do not appear to be being logged so that their return from the job can be reported.
- 4.3.12 What is clear from the discussions held and the survey responses received is that neither the Tunstall or Oysta systems fully meet the needs of the Council for dealing with lone workers and there is a need to continue to look at other possible solutions.
- Risk**  
**Staff undertaking lone working may not be able to get help when required.**
- Recommendation**  
**A review should be undertaken to identify other lone working system to ascertain whether they are better suited to the needs of the Council with trials being performed as necessary.**
- 4.3.13 However, whatever solution is arrived at, there is a need for a formal set of instructions to be drawn up to identify when these formal systems should be used with all relevant staff being given access to the system.
- Risk**  
**Staff undertaking lone working may not be able to get help when required.**
- Recommendation**  
**Formal instructions should be drawn up to advise staff when the lone worker system should be used. These should then be publicised to relevant staff.**
- 4.3.14 Another issue that was raised by a number of staff was what constitutes lone working. Whilst the formal systems are geared around meetings with 'service users' in their own properties, the informal systems, can be used for all instances when staff leave their normal work place.
- 4.3.15 The majority of the informal systems employ a whiteboard, with staff recording details of their visits with some also including an expected time of return, but not all follow this process. Others will use their Outlook calendars to record their visits or just sign in and out on the team's fire records.

- 4.3.16 One thing that these informal systems rely on is the need for someone checking whether the staff member has returned as expected. In a number of instances, it was highlighted that staff will try to call them if they have not returned, but this arrangement is often informal with no one being officially allocated to this task.
- Risk**  
**Accidents or incidents involving lone working staff may not be identified in a timely manner.**
- Recommendation**  
**Staff within each section should be nominated to contact staff that have not returned to the office as expected.**
- 4.3.17 In response to the survey, the Learning & Development Officer (LDO) highlighted that managers (from other sections) have asked for HR to try to contact a member of staff if they have not arrived when expected. This relies on individuals keeping their details (phone numbers) up-to-date via self-serve. Managers will also be advised that they should have staff contact information.
- Risk**  
**Staff may not be contactable.**
- Recommendation**  
**Staff should be advised of the need to keep their details up-to-date on self-serve.**
- 4.3.18 Whilst we would not expect a 'one size fits all' approach to tracking lone workers, due to the differing risk levels across the visits being provided, there is a further lack of consistency over how the informal systems are used.
- 4.3.19 Upon walking around Riverside House, it is clear that the use of whiteboards varies across teams, with some just showing ticks or crosses to indicate whether someone is expected in the office and others giving details of locations and expected time of return to the office.
- Risk**  
**Staff may not use the system properly.**
- Recommendation**  
**A consistent format should be agreed for the use of any 'informal' systems.**
- 4.3.20 One issue with whiteboards that is worth bearing in mind is that they rely, to an extent, on people being in the proximity of the board. Going forward, the new ways of working suggest that hot-desking may be undertaken and teams may not be sitting together, so a whiteboard sited in a single location may not be effective. To that end it is worth considering the formalisation of the use of electronic systems, such as Outlook, in the planning for the move to the new HQ.

**Risk**

**Current informal systems may not be suited to the new ways of working employed at the new HQ.**

**Recommendation**

**Staff on the Transforming Our Workplace team should consider what (informal) systems should be employed to track lone workers once staff move to the new HQ.**

- 4.3.21 As suggested above, Lone Worker training events have been run. As per the On Course directory these courses are 'awareness workshops' that 'look at (general) processes and practices to improve the personal safety of staff working alone' and do not, therefore, include training on any of the specific systems used by the Council.
- 4.3.22 The courses were last run in March and there are no further courses shown on the directory for the current year. Having said that, the LDO advised that attempts are being made to schedule more in.
- 4.3.23 The courses have been attended by 40 members of staff, split between Health & Community Protection (13), Housing & Property Services (25) and Cultural Services (two). It is therefore clear that some services where regular lone working is undertaken have not attended the training on offer.

**Risk**

**Staff may not know how to deal with situations they are faced with.**

**Recommendation**

**The lone worker training should be promoted to those that undertake lone working.**

**4.4 Risk Management**

- 4.4.1 A search was performed on AssessNet to identify all risk assessments that included the Lone Working hazard. This search returned 50 individual assessments.
- 4.4.2 However, these varied with some being 'all-encompassing' for a whole team (one assessment covering Development Control) and others being for one-off events. They also varied between assessments of staff visiting customers and individuals being the only person working within a Council building at specific times or within an isolated area.
- 4.4.3 Some departments had undertaken numerous assessments (there are sixteen Cultural Services assessments, although some of these relate to leisure centres that have now ceased to be the responsibility of the Council), whereas others had just one assessment (Finance and Development Services).
- 4.4.4 It was also noted that there were no assessments undertaken in relation to some teams where a degree of lone working with 'customers' is expected (e.g.



the Assets Team in Housing & Property Services, Regulatory Services etc.).

**Risk**

**Managers may be unaware of the risks that their staff are facing.**

**Recommendation**

**Managers should review AssessNet to ascertain whether there are relevant assessments for their team and undertake assessments as necessary.**

- 4.4.5 The Corporate Health & Safety Co-ordinator and Building Manager gave details of the processes followed for maintaining the staff alert list. These were considered to be satisfactory, with regular meetings being held to review the individuals contained thereon.
- 4.4.6 During meetings some had expressed concern that the list may not be accurate if people moved or changed their name, but the system is only ever going to be as good as the information provided to the team that maintain the list.
- 4.4.7 All staff have access to the list through two different 'search functions' (via the intranet and mapping systems) as opposed to having access to the whole list and this is considered appropriate.

**5 Conclusions**

- 5.1 Following our review, in overall terms we are able to give a MODERATE degree of assurance that the Lone Worker Arrangements in place at the Council are appropriate and are being used effectively.

- 5.2 The assurance bands are shown below:

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 controls that do exist.

- 5.3 A number of issues were identified:

- The lack of general awareness concerning the existence of the Lone Worker Policy.
- The formal lone working systems in use do not fully meet the needs of the Council.
- There is a lack of consistency in the use of the different systems available.
- The process for contacting lone working staff needs to be formalised

- and staff need to ensure their contact details remain up-to-date.
- Lone Worker training has been attended by only a small number of teams.
- Risk assessments on AssessNet are also, similarly, confined to a number of services.
- Processes need to be reviewed in light of the new ways of working envisaged as part of the move to the Council's new HQ.

## 6 **Management Action**

- 6.1 The recommendations arising above are reproduced in the Action Plan for management attention.

**CURRENT IMPLEMENTATION POSITION FOR LOW AND MEDIUM RISK RECOMMENDATIONS**  
**ISSUED IN QUARTER 2 2016/17**

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<b>Medium Term Financial Strategy – 29 September 2016</b>		
The political, economic, social and technological environment should be surveyed routinely for their impact on the MTFS.	<p><i>Strategic Finance Manager:</i></p> <p>The MTFS is a living document, fed from many sources, including the Significant Business Risk Register, where the consideration of such aspects is considered. Following such consideration, if there are any issues that need to be included within the MTFS with reasonable certainty, these are duly factored in. To create a new process/routine is not necessary.</p> <p>MTFS updated regularly on an on-going basis. MTFS is reported periodically as part of Budget Monitoring arrangements, notably when significant changes have been newly included.</p> <p>PID: Not applicable.</p>	Recommendation not accepted – no further response required.
The results should be categorised as Certain, Probable or Possible with the first two categories assessed for their financial impact on the MTFS.		
The frequency of updating to the MTFS should be monthly to align with the revenue budget monitoring arrangements.		

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The MTFS should be prepared such that it groups recurring developments, limited growth, savings and items funded from reserves by service area by year.	<i>Strategic Finance Manager:</i> This will only be practicable for the MTFS presented as part of the February Budget report and Budget Book due to the MTFS being a living document with all changes forming part of the full audit trail. PID: February 2017.	Completed. The Appendix was presented showing income and expenditure by Portfolio for the February 2017 Budget Report. Despite it being a time consuming process, this will continue in future years.
A reconciliation of the 2017/18 to 2020/21 revenue savings/additional income per the FFF change programme report should be made with the MTFS for the same period and the MTFS updated accordingly.	<i>Strategic Finance Manager:</i> MTSF is a living document. It has been updated to include the Summer 2016 Executive update, and is also informed from other supplementary sources of information. PID: Done.	Recommendation addressed – no further response required.
<b>Financial Planning and Budgetary Control – 25 August 2016</b>		
The Senior Management Team should identify staff requiring budgetary control training, taking account of future staff changes, so that the control environment for budgetary monitoring and control is maintained.	<i>Principal Accountant (Systems):</i> Training of Budget Managers will be mentioned quarterly in reports to SMT. Refresher training for existing managers and training for new budget holders will be offered periodically. PID: March 2017.	Will be highlighted in M4 budget review to SMT (August 17). Assistant Accountants liaise regularly with their budget holders, especially new ones.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Consideration should be given to amending the limits set within the Code of Financial Practice in relation to housing capital improvement and renewal. Suggested limits are £500,000 in any one year, and £150,000 for each request per scheme, subject to the appropriate funding being in place.	<i>Strategic Finance Manager:</i> This will be considered within the next review of the Code of Financial Practice. PID: March 2017.	The Financial Code of Practice has not yet been reviewed at present as there aren't any other changes to be incorporated. Practice is to incorporate several amendments before submitting to the Executive for their consideration.
<b>Main Accounting System – 19 September 2016</b>		
Consideration should be given to obtaining a pre-list of draft monthly payroll by employee revenue cost centre for checking potential general ledger cost centre coding errors.	<i>Principal Accountant (Systems):</i> We have started doing this as a trial, with the electronic payroll file. In the past, incorrect codes normally defaulted to payroll suspense. These numbers are now very small. PID: Ongoing – formalise by end of Dec 2016.	Costing file sent to Accountancy monthly and checked before being uploaded onto Total.
Consideration should be given to providing cost centre amendments to the Coventry City Council payroll team each month before the final payroll is run in order to reduce the need for payroll miscode journals.	<i>Principal Accountant (Systems):</i> Now we have started to review, in detail, the electronic payroll file, this has reduced errors significantly. Finance now regularly alerts HR about any coding errors to ensure that they are not repeated in the future. PID: Ongoing – formalise by end of Dec 2016.	Accountancy regularly liaises with HR & Coventry to ensure correct cost centres are being used. Very few now occur and are picked up when costing file is sent prior to it being uploaded.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The income suspense account code B357 should be reconciled immediately and, thereafter, quarterly.	<i>Principal Accountant (Capital):</i> This account is primarily a "dump" code for FST to return debtors payments to the ledger that they do not consider theirs. Treasury are usually informed by FST to transfer the payment to another account e.g. rents or Council Tax and this account is therefore outside of Treasury's control and is not capable of being reconciled to any control figure. Any balance on this account at year end will be written off to revenue. PID: March 2017.	Unfortunately due to the acceleration of final accounts the balance on this account was not written off as planned. The balance will now be written off in 2017/18.
<b>Housing Repairs and Maintenance – 26 September 2016</b>		
The housing repair procedure notes should be transferred from the previous intranet system to the current intranet Housing page.	<i>Housing Repairs Manager:</i> Agreed. This has been completed. PID: 22/9/16.	Recommendation addressed – no further response required.
Refresh the business process to ensure that all rechargeable works are invoiced to the tenant on a timely basis.	<i>Housing Repairs Manager</i> Agreed. A new process has been implemented. PID: 22/9/16.	Recommendation addressed – no further response required.
<b>Food Safety – 3 August 2016</b>		
The system should be updated to remove the duplicate entry and the temporary event stall.	<i>Food &amp; Safety Team Leader:</i> The system has been updated accordingly.	Recommendation addressed – no further response required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<b>Council House Sales – 30 August 2016</b>		
Procedure notes should be updated to reflect current practices and staffing.	<i>Business Administration Manager:</i> Agreed. There is an intention to reduce the dependency on spreadsheets, so this will be undertaken once the new processes are established. PID: End of October 2016.	Recommendation addressed - Procedure notes updated.
Regular communication (e.g. quarterly) should take place with Legal Services regarding the status of open cases.	<i>Business Administration Manager:</i> Agreed. This will be set up. PID: With immediate effect.	Recommendation addressed - Implemented regular quarterly reconciliation with Legal Services.
Staff should be reminded to check that all relevant detail is included on the application forms received.	<i>Business Administration Manager:</i> Agreed. Staff will be reminded. PID: With immediate effect.	Recommendation addressed - Implemented and monitored.
Clarification should be sought on the process for taking inherited tenancies into account when calculating discounts.	<i>Business Administration Manager:</i> Agreed. Clarification will be sought. PID: With immediate effect.	Recommendation addressed - Clarification provided by Legal Services – No further action required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<b>Asbestos Management – 1 September 2016</b>		
The Asbestos Management Plan should be tailored to ensure that all officer posts specified use the actual established post titles, and should be signed off by the holders of those posts.	<p><i>Head of Housing and Property Services:</i></p> <p>The Asbestos Management Plan will be updated and amended to implement the recommendation, with officers and managers advised accordingly so that they are made clearly aware of their role and responsibilities.</p> <p>PID: October 2016.</p>	<p>Completed.</p> <p>A revised Asbestos Management Plan has been produced, utilising specialist external consultancy support.</p> <p>Officer posts specified in the management structure are accompanied by the specific WDC established post title.</p> <p>All current day to day operations are now being undertaken in accordance with the policies and processes set out within the Plan.</p> <p>The Plan has yet to be formally adopted but is with WLS for final checking and adoption is scheduled for early September 2017.</p>




RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
An 'Appointed Person' as defined by the HSE should be designated and the post of which the appointee is holder specified in the Asbestos Management Plan.	<p><i>Head of Housing and Property Services:</i></p> <p>H&amp;PS will therefore work with the Council's Health and Safety Co-ordinator to determine the most appropriate post and for that post-holder to be given the information and understanding they will need to fulfil that role.</p> <p>PID: December 2016.</p>	<p>Completed.</p> <p>The revised Asbestos Management Plan designates the Chief Executive as the Duty Holder, the Deputy Chief Executive (BH) as the Delegated Person responsible for discharging the Duty Holder's responsibilities and the Repairs Manager as the Appointed Person to assist in the management of asbestos containing materials in buildings, as defined by the HSE.</p>
Records of all asbestos awareness training going back a suitable period should be compiled and continually maintained with all future training logged.	<p><i>Asset Manager:</i></p> <p>This recommendation will be progressed. A training register for Housing &amp; Property Services is now in use and has been populated with the most recent training records.</p> <p>PID: September 2016.</p>	<p>Completed.</p> <p>A training register for WDC staff has been compiled and is stored on the shared L-Drive.</p> <p>The register is currently being updated to include the training records for works Contractor's working for WDC.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
<p>The approach to promoting asbestos awareness among stakeholders (including tenants) should be clarified and consideration given to a joined-up approach between Housing and Property Services and Health and Community Protection.</p>	<p><i>Asset Manager/ Repairs Manager:</i> H&amp;PS is introducing a different approach to engagement with its clients (including tenants) that is more personal and takes advantage of e-communications. This process has taken some time to introduce and focus has been on moving the previous printed newsletter and Tenant Panel to this wider, more varied approach. The dissemination of asbestos awareness will now be given enhanced status within engagement work (for example inclusion in Tenant Welcome Packs). PID: December 2016.</p>	<p>Full implementation has been delayed by the H&amp;PS restructure. In respect of HRA homes the Assets Team within the Chief Executive's Office undertakes an asbestos management survey whenever a property becomes empty. A copy of the inspection will be provided to new tenants as part of revised Lettings Standard. Management/ R&amp;D surveys are also undertaken prior to major repairs or planned refurbishment work being undertaken in tenanted homes. Asbestos awareness info is also currently available for existing tenants via the WDC website under the 'Carrying out alterations to your home' section. The new Head of Housing Services will review the information provided to tenants.</p> <p>For corporate properties the Asbestos Contract Administrator now liaises with the designated Building Manager whenever Management/R&amp;D surveys are completed, prior to any work being undertaken. All Building Managers now have an individual log-in to TEAMS (the asbestos register) and a hard copy of the entry for their building is available on site.</p> <p>The Building Manager role will be revised and updated as part of the forthcoming Assets Team re-design.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Performance monitoring and reporting arrangements should be implemented in accordance with the terms of the contracts.	<p><i>Repairs Manager:</i></p> <p>Contract management in the early stages of the contract has focused on developing our working and operational relationships with the contractors and the role of Asbestos Contract Co-ordinator, a new role. Now that the relationship and the role are better established, more focus can and will be given to contract performance management. PID: December 2016.</p>	<p>Completed.</p> <p>The Appointed Person is now ensuring that all contract meetings discuss and record KPIs and any performance issued as part of routine contract meetings.</p> <p>We are currently working with both Tersus and Shield to agree a new set of KPIs and how we manage performance through Active H. This will be completed by 24<sup>th</sup> September 2017 at the monthly contract meeting.</p>
<b>Bereavement Services – 29 September 2016</b>		
Responsibility for the payment of water charges needs to be established and if necessary remedial action should be taken.	<p><i>Head of Neighbourhood Services / Energy Manager:</i></p> <p>All aspects of the budgets for water rates and metered water charges at the cemeteries will be investigated by the Housing and Property Services Energy Team and if necessary, appropriate action will be taken. PID: December 2016.</p>	<p>DCE (BH): The absence of the Energy Manager has delayed implementation of the recommendation. The roles and responsibilities of Building Managers will change as part of the forthcoming re-design of the Assets Team and this will include better definition for responsibilities around charging, collection and administration of energy bills. In the meantime a review of the water charges flagged in the audit is underway.</p>

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
The petty cash imprest should be returned to Riverside House and paid in.	<i>Bereavement Services Manager:</i> Purchase order 93228 has been raised to cater for receipts; this, together with the cash balance, will be repaid through the Fsteam. PID: By end September 2016.	Petty cash has been repaid into FSTeam. There is no balance on site.
The Code of Procurement Practice should be complied with and either tenders invited or an exemption sought.	<i>Bereavement Services Manager:</i> Initial discussions with Procurement Manager will take place in Sept – exact timescales will depend upon advice given. If an exemption is appropriate it may be possible to sign this off within a few weeks, however if a full tender is required, being prudent and allowing time to write the spec and test the market it should be possible to have a contract in place by the end of the financial year. PID: Possibly end of financial year. To be confirmed following meetings with procurement.	Contracts are in place for regular spend. Renewal of contracts is carried out as required.
The errors on the web page should be corrected.	<i>Bereavement Services Manager:</i> Complete.	Recommendation addressed – no further response required.

RECOMMENDATIONS	INITIAL MANAGEMENT RESPONSE incl. PLANNED IMPLEMENTATION DATE (PID)	CURRENT STATE OF IMPLEMENTATION PER MANAGER
Efforts should be made to raise invoices at the beginning of each month.	<p><i>Bereavement Services Manager:</i></p> <p>The Crematorium Administration System is due for replacement and it is anticipated that it will interact with TOTAL which will enable an increased frequency of invoicing. For now, reminder tasks have been set in the relevant officers' diaries to start the process for raising invoices on the first working day of each month. Performance will be measured.</p> <p>PID: Complete.</p>	Recommendation addressed – no further response required.
A current priced inventory should be compiled and a copy forwarded to the council's Insurance and Risk Officer.	<p><i>Bereavement Services Manager:</i></p> <p>This recommendation is accepted. Due to the age of some items it may not be possible to get an exact cost. In those cases a best estimate will be indicated.</p> <p>PID: December 2016.</p>	Inventory drawn up.

 <b>Finance and Audit Scrutiny Committee</b> <b>26 September 2017</b>		<b>Agenda Item No.</b> <b>5</b>
<b>Title</b>		Annual Governance Statement 2016/17 Action Plan: Review of Progress
<b>For further information about this report please contact</b>		Richard Barr Tel: (01926) 456815 E Mail: richard.barr@warwickdc.gov.uk
<b>Wards of the District directly affected</b>		Not applicable
<b>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</b>		No
<b>Date and meeting when issue was last considered and relevant minute number</b>		Finance and Audit Scrutiny Committee – 31 May 2017
<b>Background Papers</b>	Accounts and Audit (England) Regulations 2015 Delivering Good Governance in Local Government: Framework (CIPFA/SOLACE 2007)* Delivering Good Governance in Local Government: Framework and Guidance Note for English Authorities (CIPFA/SOLACE 2012)* Delivering Good Governance in Local Government: Framework (Addendum) (CIPFA/SOLACE 2012)* The Annual Governance Statement – Rough Guide for Practitioners (CIPFA Financial Advisory Network) Minutes of Senior Management Team *See paragraph 8.3	

<b>Contrary to the policy framework:</b>	No
<b>Contrary to the budgetary framework:</b>	No
<b>Key Decision?</b>	No
<b>Included within the Forward Plan? (If yes include reference number)</b>	No
<b>Equality Impact Assessment Undertaken</b>	N/A: no direct service implications

<b>Officer/Councillor Approval</b>		
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).		
<b>Officer Approval</b>	<b>Date</b>	<b>Name</b>
Chief Executive/Deputy Chief Executive	30 Aug 2017	Chris Elliott
Head of Service	30 Aug 2017	Mike Snow
CMT	30 Aug 2017	Andrew Jones
Section 151 Officer	30 Aug 2017	As Head of Service
Monitoring Officer	30 Aug 2017	Andrew Jones
Finance	30 Aug 2017	As Section 151 Officer

Portfolio Holder	06 Sept 2017	Councillor Whiting
<b>Consultation and Community Engagement</b>		
Consultation with members and officers listed above. Plus Senior Management Team review of Annual Governance Statement Action Plan.		
<b>Final Decision?</b>		Yes
<b>Suggested next steps (if not final decision please set out below)</b>		

## 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 2016/17. 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 pertaining to the Annual Governance Statement 2016/17.

## 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.

## 4.1 **Fit for the Future (FFF)**

The Council's FFF Strategy is designed to deliver the District's Vision of making it a Great Place to Live, Work and Visit. With those objectives the FFF Strategy contains several Key projects.

The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal if any in relation to the Council's FFF Strategy.

<b>FFF Strands</b>		
<b>People</b>	<b>Services</b>	<b>Money</b>
<b>External</b>		
<b>Health, Homes, Communities</b>	<b>Green, Clean, Safe</b>	<b>Infrastructure, Enterprise, Employment</b>
<u>Intended outcomes:</u> Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities.	<u>Intended outcomes:</u> Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB.	<u>Intended outcomes:</u> Dynamic and diverse local economy Vibrant town centres Improved performance/productivity of local economy Increased employment and income levels.
<b>Impacts of Proposal</b>		
Although there are no direct policy implications, the Annual Governance Statement is an essential part of corporate governance and will be a major factor in shaping the Policy Framework and Council policies.		



<b>Internal</b>		
<b>Effective Staff</b>	<b>Maintain or Improve Services</b>	<b>Firm Financial Footing over the Longer Term</b>
<u>Intended outcomes:</u> All staff are properly trained All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours.	<u>Intended outcomes:</u> Focusing on our customers' needs Continuously improve our processes Increase the digital provision of services.	<u>Intended outcomes:</u> Better return/use of our assets Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money.
<b>Impacts of Proposal</b>		
Although there are no direct policy implications, the Annual Governance Statement is an essential part of corporate governance and will be a major factor in shaping the Policy Framework and Council policies.		

## 4.2 **Supporting Strategies**

Each strand of the FFF Strategy has several supporting strategies but description of these is not relevant for the purposes of this report.

## 4.3 **Changes to Existing Policies**

This section is not applicable.

## 4.4 **Impact Assessments**

This section is not applicable.

## 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.

- 8.3 CIPFA/SOLACE has updated its framework and related guidance recently and this needs reflecting in the Council's governance arrangements, including that of its Annual Governance Statement. This requirement forms one of the two governance issues set out in the Annual Governance Statement for 2016/17.

## 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:

- Members of the Council
- Deputy Chief Executives and Service Area Managers
- the Responsible Financial Officer
- the Monitoring Officer
- 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 2016/17.
- 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 2016/17: Action Plan for Governance Issues

### Review of Progress to end of June 2017



AGS Ref.	Governance Issue	Responsible Officer	Progress Implementing Governance Issue	
			Position as at previous quarter	Position as at end June 2017
5.1-1	The need to ensure that lessons are learned corporately from the Electrical Maintenance Contract Procurement.	Senior Management Team.	Not applicable – new Governance Issue.	See Appendix 1A.
5.1-2	The requirement to update the Council's Local Code of Corporate Governance in the light of recently-revised CIPFA/SOLACE guidance.	Corporate Management Team. (Delegated to Audit & Risk Manager.)	Not applicable – new Governance Issue.	No progress made as yet. Intention to update Local Code by end of Calendar year.

### Progress in implementing 'Lessons Learned' from Electrical Maintenance Contract Procurement

Reference	Learning Point	Source	Owner	Progress
Subject Area: Conflicts of Interest				
1.1 R	No staff with a potential conflict of interest should play any part in a related tender process.	Internal Audit Investigation Report to CMT June 2016	SMT	<p>This is reflected within the Code of Procurement Practice and the Employee Code of Conduct.</p> <p>This specific issue will be discussed at SMT to ensure that appropriate practices are in place.</p> <p>Conflict of interest is discussed at initial procurement project briefings, with those involved having to sign a declaration of interest form. The CoPP will be updated to re-enforce this.</p> <p>Status:</p> <p><b>A</b></p>
2.7 A	That all officers be asked each year, on the anniversary of the date they first joined the Council, to update and sign their Declaration of Interest form.	Recommendations from the Report Produced by Head of Housing and Property Services.	CMT/SMT	<p>Recommendation revised after subsequent discussions at SMT as now addressed as part of routine contract management and the PID process for new procurement exercises.</p> <p>Status:</p> <p><b>G</b></p>




Reference	Learning Point	Source	Owner	Progress
3.2 R	Senior Management should re-double its efforts to ensure that all staff are aware of conflict of interest situations (paras. 3.2.7-3.2.14 & 3.2.18 of report).	Internal Audit investigation report to Finance & Audit Scrutiny Committee March 2017	Senior Management Team and other Senior Officers	SMT continually and routinely making colleagues aware when dealing with procurement. DCE (AJ) to re-instate annual reminder for Heads of Service Status: A
2.6 G	That all officers who are to be involved in a procurement project be required to sign a Declaration of Interest bespoke to that procurement exercise.	Recommendations from the Report Produced by Head of Housing and Property Services.	CMT/SMT	Conflict of interest is discussed at initial procurement project briefings, with those involved having to sign a declaration of interest form. Status: G
Subject Area: Tender Evaluation				




Reference	Learning Point	Source	Owner	Progress
1.2 G	Independent (Procurement) staff should be present during tender evaluation exercises to ensure that correct processes are followed.	Internal Audit Investigation Report to CMT June 2016	Procurement Manager and Procurement Lead Officer	<p>The Code of Procurement Practice and the Guide to Tendering Evaluation include these requirements. This is reinforced as part of planning for each tender opportunity and is within all procurement training (formal and informal).</p> <p>Tender evaluation is overseen by the Procurement Team, ensuring that the evaluators are suitably trained and able to undertake their role. The Procurement Team will subsequently review the scores to ensure consistency and identify any unusual anomalies, and provide challenge where necessary, before the conclusion of the evaluation. The WCC model practice has been adopted here.</p> <p>Status:</p> <p><b>G</b></p>
1.4 A	Staff involved in tender evaluation processes should receive appropriate training.	Internal Audit Investigation Report to CMT June 2016	Procurement Manager / SMT	<p>The Procurement Team ensure, as part of planning each tender opportunity, that staff are appropriately trained (often by informal 1-2-1 training) to undertake evaluations, and this will be part of the planned Stage 2 Advanced Procurement Training.</p> <p>Training has been provided by Procurement Team with further training dates being planned with HR.</p> <p>Status:</p> <p><b>A</b></p>

Reference	Learning Point	Source	Owner	Progress
3.3 R	The process for evaluating tenders should be "clean" i.e. evaluators should be empowered/ allowed to evaluate (3.2.30-3.2.37).	Internal Audit investigation report to Finance & Audit Scrutiny Committee March 2017	Senior Management Team and other Senior Officers including Procurement Team	Roles and responsibilities in the procurement process included within formal and informal training provided by Procurement Team. Status: 
Subject Area: Project Management				
3.1 R	Senior Management needs to be more actively involved in major tender processes where there is staff upheaval (paras. 3.1.8-3.1.18 of Internal Audit report).	Internal Audit investigation report to Finance & Audit Scrutiny Committee March 2017	Senior Management Team	Heads of Service regularly review contract registers in the context of staff changes. Contract Registers are themselves reviewed on rolling basis. CMT routinely discuss contract registers with their reports at 1-1s as a standing agenda item Status: 






Reference	Learning Point	Source	Owner	Progress
1.3 G	The corporate training programme should promote the respective roles and responsibilities of the initiating service area and the Procurement Team in respect of the procurement process, including clarification of where the 'ownership' of each task lies.	Internal Audit Investigation Report to CMT June 2016	Head of Finance & Procurement Manager	<p>Roles and responsibilities will continue to be brought out in future training. More importantly, for each project responsibilities are agreed with those involved, this being spelt out in the Project Initiation Document (PID).</p> <p>Updated Code of Procurement Practice includes roles and responsibilities. This is also included within the training provided by the Procurement Team. Roles and responsibilities is also discussed/clarified at initial procurement project briefings.</p> <p>Status:</p> <p><b>G</b></p>
2.1 A	That the Council introduces for all procurement exercises that start on or after April 1 <sup>st</sup> , 2016, a mandatory formal Project Plan for each procurement exercise setting out an agreed schedule of all actions, deadlines and responsible officers.	Recommendations from the Report Produced by Head of Housing and Property Services.	Procurement Team	<p>A Procurement Initiation Document (PID) is a requirement of the Code of Procurement Practice for projects over £50k. SMT need to ensure that these are routinely prepared. Non-compliance will be considered by the Procurement Steering Group.</p> <p>Status:</p> <p><b>G</b></p>




Reference	Learning Point	Source	Owner	Progress
2.2 A	That within the Project Plan there is a clear and distinct division of responsibilities and contributions from the procuring service, the Legal Services Team and the Procurement Team.	Recommendations from the Report Produced by Head of Housing and Property Services.	SMT	Updated Code of Procurement Practice includes roles and responsibilities. This is also included within the training provided by the Procurement Team. Roles and responsibilities is also discussed/clarified at initial procurement project briefings. Status: 
2.3 A	That each procurement project is assigned a named officer to act as Project Manager, that officer reporting to the head of the procuring service on progress on the project.	Recommendations from the Report Produced by Head of Housing and Property Services.	SMT	Now forms part of the PID. Status: 
2.4 G	That a restricted access shared folder system is mandated to be used for all procurement projects, with a reference system for each document designed to make sure that a single, common set of documents is used at all stages of the procurement process by all involved in the procurement exercise.	Recommendations from the Report Produced by Head of Housing and Property Services.	Procurement Team	Documents held within Intend system. Further shared folders created on Share Drive as necessary. Status: 

Reference	Learning Point	Source	Owner	Progress
2.5 A	That other than in the most exceptional of circumstances, all procurement projects are scheduled to allow for a minimum four-month mobilisation period.	Recommendations from the Report Produced by Head of Housing and Property Services.	CMT/SMT	The period required varies depending on the value and complexity of the project. The time required should be stated by the contract manager in advance and included within the PID. Status: 
2.8 A	That releasing or allowing the release of details of procurement exercises before the formal announcement of the outcome of such an exercise be considered an act of gross Misconduct	Recommendations from the Report Produced by Head of Housing and Property Services.	CMT/SMT	Agreed. Status: 
2.9 G	That, as part of the Council's approach to procuring services, a 'whole system cost and benefit analysis' be required to consider alternative delivery vehicles to external providers.	Recommendations from the Report Produced by Head of Housing and Property Services.	CMT/SMT	PID requires alternative delivery models to be considered in advance. Status: 


**Prioritisation Key:**

	Higher Priority
	Medium Priority
	Lower Priority

**Status on Progress Key:**

	No/limited progress
	Substantial progress but further work required
	Complete



 <b>F &amp; A</b> <b>26<sup>th</sup> September 2017</b>		<b>Agenda Item No.</b> <b>6</b>
<b>Title</b>	Procurement Strategy half year update	
<b>For further information about this report please contact</b>	<a href="mailto:John.roberts@warwickdc.gov.uk">John.roberts@warwickdc.gov.uk</a> <a href="mailto:Mike.snow@warwickdc.gov.uk">Mike.snow@warwickdc.gov.uk</a>	
<b>Wards of the District directly affected</b>		
<b>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?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>		
<b>Background Papers</b>		

<b>Contrary to the policy framework:</b>	No
<b>Contrary to the budgetary framework:</b>	No
<b>Key Decision?</b>	Yes
<b>Included within the Forward Plan? (If yes include reference number)</b>	Yes/No
<b>Equality Impact Assessment Undertaken</b>	No (If No state why below)

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	11 <sup>TH</sup> September 2017	Andy Jones
Head of Service	11 <sup>TH</sup> September 2017	Mike Snow
CMT	11 <sup>TH</sup> September 2017	
Section 151 Officer	11 <sup>TH</sup> September 2017	Mike Snow
Monitoring Officer	11 <sup>TH</sup> September 2017	Andy Jones
Finance	11 <sup>TH</sup> September 2017	John Roberts
Portfolio Holder(s)	11 <sup>TH</sup> September 2017	Cllr Peter Whiting
Consultation & Community Engagement		
Senior Management Team Procurement Champions		
Final Decision?		Yes/No
Suggested next steps (if not final decision please set out below)		

## **1. SUMMARY**

1.1 This report is the bi-annual update to the Finance and Audit Scrutiny Committee to enable the Committee to maintain an overview the current work programme and continued developments within the Council's Procurement team during the financial year 2017/18 and to provide key performance indicators.

1.2 The following documents are attached:

- Appendix 1 ( Progress against Procurement Action Plan for 2017)
- Appendix 2 (Procurement activity From April – September 2017)
- Appendix 3 (Summary of Contracts Register for live contracts with a total value £5k or above )
- Appendix 4 ( Key Performance Indicators )
- Appendix 5 (WDC's Progress towards National Procurement Strategy).
- Appendix 6 (Permitted Contract Exemptions April - September 2017)

## **2. RECOMMENDATION**

2.1 It is recommended that progress across the procurement function is noted.

## **3. REASONS FOR THE RECOMMENDATION**

3.1. It was agreed at the July 2010 Executive as part of the Procurement Strategy that Members would receive updates on the progress of procurement and the procurement strategy. This is one of the actions within the Procurement Action Plan. The Procurement Strategy and Action Plan are attached to this report.

3.2 As described in this report, substantial changes to the Council's procurement Strategy, policy and procedures have been implemented and embedded in day-to-day working practices. Further developments are planned for 2017/ 18 to continue to enhance the capacity and capability to deliver good procurement outcomes. This will enable the Council to obtain better value for money by removing barriers in procurement processes and will also assist a wider range of suppliers, especially small businesses, to bid for contracts.

3.3 The 2017 -2019 Procurement strategy introduced significantly ambitious Objectives and Key Performance Measures. Focussed on the four themes contained within the strategy:

- Making savings
- Supporting local economies
- Leadership
- Modernisation

3.4 The action plan outlines the record of Progress against the Procurement Action Plan for 2017 and highlights the current developments in terms of Main actions and commitments, Progress to date and Strategic Outcome.

3.5 It is acknowledged that procurement is that the delivery of a high class procurement service requires appropriately skilled and experienced staff across the organisation. A new suite of training modules, ranging from a general overview to more detailed and specific instruction has been introduced and detailed below.

<b>Description</b>	<b>Who should attend</b>	<b>Anticipated dates &amp; times</b>
Elected Members Procurement Training	All WDC Councillors	To be agreed
Promotion of 2017 Code of Procurement Practice	Mandatory attendance for all Managers , Contract Owners and Staff who are involved in the procurement process ,other than writing purchase order	2 / 3 hour event (to take place in first week of October, November 2017, February & March 2018)
Launch of Contract Management Framework	Mandatory attendance for all Managers, Contract Owners and Staff who are involved in the contract management.	2 / 3 hour event (to take place say last week of September, October, November 2017, & February 2018)
Bite Sized Chunks– Part 1 is procurement basic skills (writing specifications, Pricing, quality questions, KPI's)	All Managers, Contract Owners and Staff who are involved in the procurement process, other than writing purchase order.  Mandatory for Staff who are responsible for managing procurement projects and all Personnel who participate in preparing tender documents, terms and conditions.	2 hour event (to take place first week in October, December 2017, January & February 2018)
Bite Sized Chunks– Part 2 is how to evaluate tenders over £50k & how to use the Procurement Manual	All Managers, Contract Owners and Staff who are involved in the procurement process, other than writing purchase order.  Mandatory for Staff who are responsible for managing procurement projects and all Personnel who participate in preparing tender documents, terms and conditions, participate in the tender evaluation, identification of successful Bidders, award of contracts and contract mobilisation.	2 hour event (to take place second week in October, December 2017, January & February 2018)

3.6 During the year, much of the substantial volume of tender documentation previously sent to suppliers for completion has been reduced, simplified or removed completely. A

key element of this initiative is to be the creation of a template for standard contract terms and conditions that will enable contracts to be easily adapted to suit the requirements of specific tenders. This will enable concise and relevant contracts to be issued with the invitations to tender. A further measure being taken to simplify the procurement process is a greater focus on forward planning and developing a better understanding of the market place for specific goods or services. An increased level of engagement with the business community has already been put in place and this is to be expanded and developed in order to create a better appreciation of all parties' drivers, constraints, risks and benefits.

- 3.7 Procuring officers are being encouraged to engage with suppliers at an early stage in the process so as to understand what the market is able to supply and to develop clear specifications. This will enable the publication of opportunities that are well defined and realistic, thereby reducing the time required for the preparation of tenders by suppliers and their evaluation by officers. Such early engagement will be managed in an open and transparent manner to ensure that any subsequent procurement process is seen to be fair.
- 3.8 Councillors Rhead, Barrott, Gifford and Quinney are currently the "Procurement Champions". The role of the group is to discuss the progress on the procurement action plan and to "champion" the procurement work that is on-going. The group will continue to support the Procurement team in ensuring that service areas that have a responsibility for contract management and for managing the contract life cycle including costs and complete their service area plans to reflect the future contracts renewal programme in a timely manner. Contracts registers will continue to be issued to all Heads of Service to ensure all contract information held on the register is up to date and accurate. These registers are considered by Finance and Audit Scrutiny Committee in turn. The Procurement team and Procurement Champions are keen to ensure that spend activity via the Total system is accounted for either by a contract / agreement in place or with a valid reason for the spend, in line with the Code of Procurement Practice / Code of Financial Practice
- 3.9 Considerable work has been undertaken to ensure that the Contract register is up to date and accurate. Heads of service and Contract Mangers are regularly informed of the status of current contracts and when activities need to commence to ensure that the whole process is carried out in a timely and compliant manner. This will be significantly supported once the Forward Procurement plans are in place.
- 3.10 The current contract register is in an excel spreadsheet format which does not lend itself easily to being updated and we are looking to implement a programme to review the format and identify any improvements which can be adopted.
- 3.11 The Federation of Small Business have presented Warwick District Council's Procurement team with an award as the Best 'Small Business Friendly' Procurement Policy for 2017

## **4. POLICY FRAMEWORK**

### **4.1 Fit for the Future (FFF)**

The Council's FFF Strategy is designed to deliver the Vision for the District of making it a Great Place to Live, Work and Visit. To that end amongst other things the FFF Strategy contains several Key projects.



The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal in relation to the Council’s FFF Strategy.

<b>FFF Strands</b>		
<b>People</b>	<b>Services</b>	<b>Money</b>
<b>External</b>		
<b>Health, Homes, Communities</b>	<b>Green, Clean, Safe</b>	<b>Infrastructure, Enterprise, Employment</b>
<u>Intended outcomes:</u> Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	<u>Intended outcomes:</u> Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	<u>Intended outcomes:</u> Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels
<b>Impacts of Proposal</b>		
No direct impact	No direct impact	No direct impact
<b>Internal</b>		
<b>Effective Staff</b>	<b>Maintain or Improve Services</b>	<b>Firm Financial Footing over the Longer Term</b>
<u>Intended outcomes:</u> All staff are properly trained All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	<u>Intended outcomes:</u> Focusing on our customers’ needs Continuously improve our processes Increase the digital provision of services	<u>Intended outcomes:</u> Better return/use of our assets Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money
<b>Impacts of Proposal</b>		
The new Procurement Strategy removes unnecessary barriers and complexity from processes and procedures in order to obtain better value for money by encouraging a wider range of suppliers, especially small businesses, to bid for contracts .	The aim of this strategy is to set out a clear framework for undertaking procurement exercises throughout the authority, one which ensures best value through our external spend, and reflects and promotes the wider aims of the Council’s Corporate Plan . The agreed strategy is aligned with the National Procurement Strategy for Local Government in	Good procurement helps the Council achieve its priorities. If procurement is ineffective there will be less capacity, fewer goods, limited benefits, financial uncertainty and/or poorer outcomes

## 4.2 Supporting Strategies

Each strand of the FFF Strategy has several supporting strategies and the relevant ones for this proposal are explained below:-

- Procurement Strategy
- Code of Procurement Practice

## 4.3 Changes to Existing Policies

The proposals in this report do not propose any changes to existing policies.

## 5. BUDGETARY FRAMEWORK

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

## 6. RISKS

Risk Identified	Likelihood	Impact	Risk Management Actions Planned
Failure to follow the agreed Council Procedures and, as a consequence, not obtaining best value procurement	Possible	Minor	Strategic and operational Procurement practices and procedures training to be delivered.  Wide circulation of 'reasons to meet the Rules' and provide advice to officers needing to use the Rules
Failure to follow EU procurement rules by not advertising in OJEU above a threshold.	Possible	Minor	Strategic and operational Procurement practices and procedures training to be delivered.  Wide circulation of information relating to contract compliance, advice and service in placing requisite advert in OJEU for officers in service areas.

## 7. ALTERNATIVE OPTION(S) CONSIDERED

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

## APPENDIX ONE

### Record of Progress against Procurement Action Plan for 2017

1	Strategic Theme: Making Savings	Main actions and commitments	Progress to date	Strategic Outcome
<b>Strategic Objective Activity</b>				
1.1	To maintain a "continuous improvement" ethos throughout the organisation to manage and monitor cost and efficiency savings through good procurement practice	<ul style="list-style-type: none"> <li>Utilise Procurement plans to agree support requirements</li> <li>Service plans and team operational plans to reflect planned tender activity. Involvement in all tender Procurement process.</li> <li>Lead on Procurement activity in line with the Code of Procurement Practice.</li> <li>Review and update Procurement Strategy document and update actions for the forthcoming year. Incorporate changes to in Procurement legislation and the Council's business requirements.</li> <li>Commence review of existing Terms and Conditions</li> <li>Utilise Procurement plans to agree support requirements</li> <li>Ensure Value for Money and not just price is considered as part of all procurement decisions - Procurement team to research and develop tools to allow Service Teams calculate the Total Cost of Ownership of goods and services being tendered</li> <li>Identify and document appropriate Procurement criteria for key Procurement activities</li> <li>Ensure opportunities to the market cover any key sustainability areas and questions for consideration.</li> </ul>	<p>We arrange regular meetings in order to promote and disseminate procurement policies and practices across the Council and achieve a more consistent and co-ordinated approach to procurement</p> <p>V4 Services are currently carrying out an independent assessment of the procurement function to ensure it is configured to meet the Council's current and future requirements and determine if there are any other delivery models or partnerships WDC should consider which would enhance providing this service</p> <p>WDC's procurement framework sets out our required standards and principles throughout each stage of the Procurement cycle and we continue to review progress.</p> <p>The Procurement Team has developed a good working relationship with Service Teams to build a deep understanding of the strategic challenges and opportunities and to identify how procurement can best support the delivery of Council strategic priorities.</p>	<p>Create a compliant, integrated, strategically managed procurement function within the Council which delivers service excellence for internal and external customers and stakeholders</p> <p>Identify and realise efficiency savings and demonstrate VFM through a commercial approach to procurement</p> <p>Increase the number of timely procurements and awards through better planning and co-ordination of procurement activities</p> <p>Reducing the level of "off" contract spend through greater utilisation of existing contracts and new contractual arrangements.</p>

		<ul style="list-style-type: none"> <li>Progress to be reviewed as part of bi-annual reporting to F&amp;A.</li> </ul>		
1.2	Maintain the contracts register and procurement plan to ensure that all market testing activity is legally compliant and deadlines are met	<ul style="list-style-type: none"> <li>Produce bi-annual reports to Finance and Audit Scrutiny Committee on all Procurement activity undertaken in the preceding period and any efficiency identified.</li> <li>Ensure all signed contract agreements are filed and recorded with Document Management Store.</li> </ul>	<p>A register of formal contracts (and on-going procurement requirements) is produced ( and reviewed on a regular basis ) to provide a comprehensive overview of the Council's position. It is used to ensure that procurement arrangements are aggregated most effectively (either at a corporate or wider public sector level), that correct procedures are used when contracts are let and that renewal happens on a timely basis (identifying resources required at an early stage).</p> <p>A project to evaluate the format of the current contract register has commenced</p> <p>Presently undertaking a review of the current status on signed contracts.</p> <p>Exploring the possibility to deliver contracts by electronics means</p>	Contracts register is comprehensive and being used for work planning to support service areas.
1.3	Reduce the number of tenders for each supply area through collaboration of tender opportunities.	<ul style="list-style-type: none"> <li>Service Managers to review as part of Service Plan Procurement Process.</li> </ul>	This is an ongoing objective : the regular updating of the Contracts Register and the forward Procurement plan enables Service Managers to consider collaborative procurement opportunities as part of the business strategy for current and future Procurement activity to support service areas	
1.4	Work towards reducing the number of invoice transactions with current suppliers and new suppliers via the tender Procurement process.	<ul style="list-style-type: none"> <li>Undertake an annual Spend Analysis of suppliers.</li> <li>Production of monthly Service Plan Measures i.e. transaction numbers, where applicable.</li> </ul>	The Code of Procurement Practice has been amended to promote greater use of Procurement cards and thus reduce the number of invoice	

		<ul style="list-style-type: none"> <li>• As part of the contract renewal Procurement look at ways of reducing the number of invoices by consolidation of invoices.</li> <li>• Make the invoicing Procurement part of the business requirements, where applicable.</li> <li>• Work with the Exchequer team to see how we can ensure invoicing is in line with our system capabilities</li> <li>• Review of Procurement Card spending levels and activity.</li> <li>• Review Spend Analysis low value items.</li> </ul>	<p>transactions</p> <p>The creditor request form is being amended to direct staff to use procurement cards for transactions below £1000, or frequent low spend transactions.</p> <p>A business PayPal account is being trialled by the Arts department to enable payment to one off creditors for small amounts.</p>	
1.5	<p>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 &amp; Communities Agency or Crown Commercial Services.</p> <p>Investigate and where applicable enter into joint arrangements for Procurement of goods and services with other Local Authorities.</p> <p>Utilise framework agreements as a preference to negotiating local agreements for high value contracts of general goods and services</p> <p>Where possible ensure that the letting of contracts permits use by other Local Authorities within the West Midlands area.</p>	<ul style="list-style-type: none"> <li>• Service Managers to review as part of Service Plan Procurement Process</li> <li>• To be monitored as part of contracts awarded</li> <li>• Investigate suitability of existing contract and framework opportunities to meet Procurement needs before commencing own local tendering/ buying process / future Procurement activity.</li> <li>• Work with other local councils to identify collaboration</li> </ul>	<p>This is an ongoing objective the regular updating of the Contracts Register and the forward Procurement plan enables Service Managers to considered collaborative procurement opportunities as part of the business strategy for current and future Procurement activity to support service areas.</p>	

2.	Strategic Theme: Supporting Local Economies	Main actions and commitments	Progress to date	Strategic Outcome
<b>Strategic Objective Activity</b>				
2.1	Implement the requirements of the Public Services (Social Value) Act 2012 and Local Transparency Code.	<ul style="list-style-type: none"> <li>• Maintain current Procurement information on the Council website.</li> <li>• Quarterly publication of register in line with the requirements of the Transparency Code</li> </ul>	We are currently working to embed social value embedding it within all appropriate tenders in line with the Code of Procurement Practice rules.	<p>Manage and maximise the potential of the Council procurement spend to support the local economy and environment.</p> <p>Availability of the annual procurement plan in the public domain. This will include all major procurement projects which are anticipated to be progressed through the following year on the council(s) web site.</p>
2.2	Engage with local businesses, voluntary and 3rd sector organisations promoting the councils commercial and social support opportunities i.e. Local Chamber of Commerce	<ul style="list-style-type: none"> <li>• Utilise intranet to inform on Procurement Procedures and any changes in best practice guidance</li> </ul>	<p>Signed up to the Small Business Friendly Procurement Charter Committing to support small businesses.</p> <p><b>SME procurement policy has just won the FSB local authority award for 2017.</b></p>	
	Support local businesses to bid for council business by providing training and organising seminars and meet the buyer events	<ul style="list-style-type: none"> <li>• Engage with relevant stakeholders and service users to ensure that needs analysis and design of specifications reflects community requirements and recognises the contribution of existing local services</li> </ul>	We are currently working to engage with local business to better understand what its perceived development needs are so as to maximise its capability to win WDC supply opportunities.	
2.3	Support local businesses to bid for council business by providing training and organising seminars and meet the buyer events	Engage with relevant stakeholders and service users to ensure that needs analysis and design of specifications reflects community requirements and recognises the contribution of existing local services	Training events were organised in 2016 and a further occasions are planned for r 2017 and 2018	
2.4	Encouraging local suppliers, SME's and the voluntary and the third sector to compete for Council contracts and ensure such opportunities are promoted locally	<ul style="list-style-type: none"> <li>• To be monitored as part of contracts awarded</li> <li>• 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.</li> <li>• Develop a procurement customer satisfaction survey</li> </ul>	In order to promote procurement opportunities and increase the number of Local SMEs registered on the CSW-JETS e- portal, All Potential Procurement opportunities via Federation of Small Business's weekly e newsletter and also advertised via Coventry Chamber of Commerce and "Find it in Birmingham" web site.	

2.5	Provide Procurement support to prosperity agenda initiatives. Consider how the Procurement function may directly contribute to the prosperity agenda.	Maintain and update the business portal on the council's website using appropriate communication	See 2.1 – 2.4	
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3.	Strategic Theme: Leadership	Main actions and commitments	Progress to date	Strategic Outcome
<b>Strategic Objective Activity</b>				
3.1	Give assurance\confidence to local communities, business and employees that the Council's procurement is managed effectively and appropriately in accordance with legislation and government policy	<ul style="list-style-type: none"> <li>• Ensure information held on both the website and the intranet is current and kept up to date.</li> <li>• Review information frequently</li> </ul>	See 2.1 – 2.4	Greater visibility of forthcoming major procurements, reduction in timescale from completion of tender evaluation to contract award.
3.2	Up-skill, train and update those staff who are engaged on procurement activity to maintain a corporate perspective and promote good procurement practice	<ul style="list-style-type: none"> <li>• Lead on Procurement activity in line with the Code of Procurement Practice.</li> </ul>	<p>The following training sessions have been planned :</p> <ul style="list-style-type: none"> <li>• Elected Members Procurement Training - this is a one off event (September 2017)</li> <li>• Promotion of 2017 Code of Procurement Practice - 2 / 3 hour event (to take place in first week of October, November 2017, February &amp; March 2018)</li> <li>• Launch of Contract Management Framework – this will be a 2 / 3 hour event (to take place say last week of September, October, November 2017, &amp; February 2018)</li> <li>• Bite Sized Chunks– Part 1 is procurement basic skills (writing specifications, Pricing, quality questions, KPI's) – a 2 hour event (to take place first week in</li> </ul>	Maximise the potential of the Council procurement spend to support the local economy

			<p>October, December 2017, January &amp; February 2018)</p> <ul style="list-style-type: none"> <li>Bite Sized Chunks– Part 2 is how to evaluate tenders over £50k &amp; how to use the Procurement Manual - a 2 hour event (to take place second week in October, December 2017, January &amp; February 2018)</li> </ul> <p>Bite size chunk online training is being explored so staff can self-serve.</p> <p>Interactive form being developed for staff to use to determine the correct procurement procedures to use.</p>	
3.3	Produce bi-annual reports to Finance and Audit Scrutiny Committee on all Procurement activity undertaken in the preceding period and any efficiency identified.	<ul style="list-style-type: none"> <li>Review and update Code of Procurement Practice.</li> <li>Incorporate changes to Procurement legislation and the Council's business requirements.</li> </ul>	Provided periodic and annual reports to Council and Senior Management team.	
3.4	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.	<ul style="list-style-type: none"> <li>Promote project style Procurement exercises.</li> <li>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.</li> <li>Ensure that all tenders will have the appropriate KPIs and provision that allows a break or termination.</li> <li>For continuing contracts, set up Procurement process for reviewing sustainability requirements as existing contracts are due for</li> <li>Renewal.</li> <li>Ensure that all tenders will have the</li> </ul>	Existing procurement model is being reviewed to strengthen consultation with the Procurement team and compliance with Code of Procurement practice	



3.5	Promote use of e-tendering software for Contract Management	<ul style="list-style-type: none"> <li>Ensure staff that are involved in Procurement are capable and trained in the use of the e-tendering software.</li> </ul>	See 3.2	Extend the use of IT to streamline the procurement process & create efficiencies throughout all
3.6	Utilise Project Management tools to assist in Procurement Plans	<ul style="list-style-type: none"> <li>Identify suitable software solutions</li> </ul>	Procurement are currently reviewing and updating the Council's Procurement Toolkit on a regular basis to ensure a simple guide is available to assist members of staff who are undertaking varying procurement exercises	
3.7	Work with Members, Managers and Officers to increase education and awareness of regulations and the Council's Policies.	<ul style="list-style-type: none"> <li>Identify who needs training and level of training required</li> <li>Provide support and training for senior staff involved in Procurement activities and members as required.</li> <li>Arrange contract management training for all staff involved with contract management and understand requirements of their role.</li> <li>Provide support and training for senior staff involved in Procurement activities and members as required.</li> </ul>	We arrange regular Procurement Steering Group meetings in order to promote and disseminate procurement policies and practices across the Council and achieve a more consistent and co-ordinated approach to procurement	
3.8	Disseminate the strategy to officers and members. Provide support and training for senior staff involved	<ul style="list-style-type: none"> <li>Carry out Procurement awareness training sessions to increase and maintain knowledge of Procurement regulations and the Council's policies</li> </ul>	See 3.7	

4.	Strategic Theme: Modernisation	Main actions and commitments	Progress to date	Strategic Outcome
<b>Strategic Objective Activity</b>				
4.1	Ensure that procurement policy and procedures are in line with current legislation, good practice principles and maximising the benefits of technology	<ul style="list-style-type: none"> <li>Ensure that there are no unintentional breaches in the EU Procurement threshold.</li> <li>Maintain current Procurement information on the Council website.</li> <li>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</li> </ul>	The regular updating of the Contracts Register and the forward Procurement plan enables Service Managers to consider the Code of Good Practice rules and identify the most appropriate procurement routes as part of the business strategy for current and future Procurement activity to support	Enforce standards and controls through revision and application of the Council's Corporate Procurement Strategy, Financial regulations and the Procurement Procedure rules.

		<p>them.</p> <ul style="list-style-type: none"> <li>• Maintain current Procurement information on the Council website.</li> <li>• Maintain standard pro-forma documentation on the Council intranet.</li> <li>• Maintain standard pro-forma documentation on the Council intranet.</li> <li>• Utilise intranet inform on Procurement Procedures and any changes in best practice guidance</li> <li>• Utilise intranet inform on Procurement Procedures and any changes in best practice guidance</li> </ul>	<p>service areas.</p>	<p>Development of Policies &amp; Procedures for Procurement and support of service delivery.</p>
4.2	Conduct research and carry out soft market testing where necessary in order that procurements are focussed and future proofed	<ul style="list-style-type: none"> <li>• Implement pre market engagement events prior to the formal commencement of all appropriate Procurement projects</li> </ul>	<p>All significant procurements are assessed pre-procurement to identify the optimum route to market</p>	
4.3	Maintain good networking relationships with other procurement professionals to ensure that good practice and principles are shared and identify and explore opportunities for income generation and sponsorship	<ul style="list-style-type: none"> <li>• Meet with District Procurement Group and attend appropriate training sessions and workshops</li> <li>• Develop a collaborative work plan with colleagues from across the public sector</li> </ul>	<p>We attend the District Procurement Group meetings in order to disseminate procurement policies and practices and promote collaborative procurement opportunities.</p>	

## APPENDIX TWO

### Procurement activity - 01/04/17 – 01/09/17

#### Part One - Awarded Contracts in 2017

Description	Service Areas	From	To	Budget	Projected Variance over life of contract	Supplier	Comment
WMJobs subscription service for recruitment	Chief Executive Office	01/01/2017	31/03/2020	£12,000	£0	West Midland Employers	No budget savings achieved. Budget matched to quote.
Website Testing Tool	Chief Executive Office	04/02/2017	03/02/2018	£2,150	£0	usertesting.com	No budget savings achieved. Price increase due to market movement. Budget matched to winning bid.
Consultant to aid in investigating generating advertising and sponsorship income	Chief Executive Office	12/04/2017	until completion	£12,000	£0	Incadore Ltd trading as Publitas Consulting	No budget savings achieved. Budget matched to quote.
Provision of polling station cabins	Chief Executive Office	01/04/2017	31/03/2022	£20,000	<b>-£5,813</b>	Ashtead	First formalised contract for provision of polling cabins. Winning bid was for £14186 over 5 years. Anticipated saving of £5813 against budget over life of contract.
Delivery and collection of polling screens	Chief Executive Office	01/04/2017	31/03/2022	£30,000	<b>-£14,544</b>	Hi Lite Electrical Ltd	First formalised contract for provision of polling cabins. Winning bid was for £ 17489 over 5 years. Anticipated saving of £14544 against budget over life of contract
Elections Management system	Chief Executive Office	01/04/2017	31/03/2022	£180,000	<b>-£100,000</b>	Xpress	Renegotiated contract following exemption. £15,456 for year one then this figure increase by rpi for

Description	Service Areas	From	To	Budget	Projected Variance over life of contract	Supplier	Comment
							each subsequent year. Estimated saving of £100,000 against budget over life of contract.
Venue to host election counts administered by Warwick District	Chief Executive Office	01/04/2017	31/05/2020	£38,285	£0	Grandstand Stoneleigh Events Ltd	No budget savings achieved. Budget matched to quote.
Secure Content Filtering Gateways for Web & Email	Chief Executive Office	30/04/2017	29/04/2020	£37,100	£0	Foursys Ltd	No budget savings achieved. Price increase due to market movement. Budget matched to winning bid of £37,100
Bespoke developer training	Chief Executive Office	27/04/2017	31/07/2017	13,200	£0	Quanta Training Ltd	No budget savings achieved. Budget matched to quote.
The daily maintenance, servicing, and emergency call-out for 2 outdoor paddling pools at St Nicholas and Vicoria Parks for the 2017 Season Services	Chief Executive Office	22/05/2017	21/09/2017	43,694	£0	Poolcare Leisure Ltd	No savings achieved. Budget matched to quote. One off stop gap measure to cover until this is taken over by SLM Lesure management.
A range of office supplies required	Chief Executive Office	01/07/2017	30/06/2020	£10,000	£0	Office Depot	Call off contract.
Mobile phones and devices	Housing Services	07/06/2017	06/06/2020	£135,000	<b>-£47,286</b>	Telefonica UK Ltd (O2)	Awarded through framework. Contract is for £31,524/annum over 2 years. Estimated saving of £47,286 against budget.
Service Provider for Leisure Services across Leisure Centres	Cultural Services	01/06/2017	31/03/2027	£5,0000,000 income	<b>£2,673,471</b> income	Sports and Leisure Management Ltd	Estimated income budget of £5,000,000 over 10 years. Final income agreed at £7,673,471 over 10 years. Additional £2,673,471 income above

Description	Service Areas	From	To	Budget	Projected Variance over life of contract	Supplier	Comment
							<i>anticipated budget. This excludes the savings made on the previous inhouse operation.</i>
Structural Engineer Consultant for WBC Group.	Development Services	01/04/2017	31/03/2022	£25,000	£0	JNP Group Consulting Engineers Ltd	This service is utilised on an "as and when required basis ". Actual committed spend will be dependent upon future usage.
Contractor to dig and fill in hole.	Development Services	20/04/2017	31/08/2017	4,970	£0	D J Wilkinson	No budget savings achieved. Budget matched to quote.
Amend Gallagher Estate design drawings to a format suited to planning applications.	Development Services	02/05/2017	until completion	2,000	£0	Jubb Consulting Engineering	No budget savings achieved. Budget matched to quote.
Stray dog boarding	Health and Community Protection	01/04/2017	31/03/2020	15,000	£0	Dunsmore Kennels	This service is utilised on an "as and when required basis ". Actual committed spend will be dependent upon future usage.
Insurance claim system	Finance	01/07/2017	30/06/2019	6,200	£0	J C Applications Development Ltd	No budget savings achieved. Budget matched to quote.
CIVICA APP system & licences	Health and Community Protection	13/06/2017	12/06/2020	£93,000	£0	Civica UK Ltd	No saving, renegotiated to keep original T&Cs and rates.
Air Conditioning Maintenance for Hamilton Terrace	Health and Community Protection	01/01/2017	31/12/2017	£180	£0	Altiga	No budget savings achieved. Budget matched to quote. However, this contract will be amalgamated into the main Air Conditioning contract (HP670J0213) in 2018, saving administrative costs.
Project Manager for the delivery of District Heat Network feasibility	Health and Community Protection	01/05/2017	31/03/2018	£10,000	<b>-£675</b>	Sustainability West Midlands	Quote completed with a winning contract of £9325, saving of £675 against budget.

Description	Service Areas	From	To	Budget	Projected Variance over life of contract	Supplier	Comment
Specialised contractor to evaluate VCS contracts	Health and Community Protection	01/06/2017	01/04/2018	15,390	£0	Inspira Consulting	No budget savings achieved. Budget matched to quote.
IT system for management of housing stock information	Housing Services	01/04/2017	31/03/2020	£255,000	£0	Mis Active Management Systems	No budget savings achieved. Budget matched to quote.
Annual servicing, repairs and maintenance and upgrades of housing communal laundry facilities at various sheltered schemes and accommodation.	Housing Services	01/05/2017	30/04/2020	£24,000	£0	JLA Ltd	No budget savings achieved. Budget matched to quote.
Recruitment of Temporary Staff Contract	Chief Executive Office	01/03/2017	29/02/2020	£3,600,000	£0	Comensura through Mstar	No budget savings achieved. Budget matched to quote.
Provision of Electronic payment services & multiple network managed services	Neighbourhood Services	01/07/2017	30/06/2019	£116,000	<b>-£56,345</b>	allpay.net	Direct award through Direct Award through PFH Framework at £59,655 for 2 years. Contract Saving of £56,345 against budget.
Website technical support	Chief Executive Office	14/08/2017	14/08/2021	48,000	£0	Jadu	No savings achieved. Budget matched to quote. However, the new contract combined 2 support contracts, reducing administrative time.
Car Park Works to Covent Garden Car Park & St Peters Car Park	Neighbourhood Services	26/06/2017	02/10/2017	£181,488	£0	SEE Plc	No savings achieved. As per anticipated budget.
Lift Survey and Maintenance	Chief Executive	01/04/2017	31/03/2018	15,550	£0	Elevate Consulting Ltd	No budget savings achieved. Budget matched to quote.

Description	Service Areas	From	To	Budget	Projected Variance over life of contract	Supplier	Comment
consultancy	Office						
Consultancy for review of the procurement function	Finance	14/06/2017	31/08/2017	12,338	£0	V4 Services	No budget savings achieved. Budget matched to quote.
Provision to design and build a play area at Fieldgate Lane, Leamington Spa, CV31 2PB	Neighbourhood Services	26/06/2017	31/07/2017	69,756	£0	Kompan Limited	No savings achieved. As per anticipated budget.
The provision of software and updates to manage and administer planning submissions and building control to manage BC process.	Development Services	01/07/2017	30/06/2020	£119,850	<b>-£80,922</b>	IDOX Group	Direct award through C.C.S. Framework. Contract Saving of £26,974/annum for 3 years on previous 2 contracts. The new contract combined 2 support contracts, so has also reduced administrative time.
Equitrac print management and follow-me print software	Chief Executive Office	01/07/2017	30/06/2022	22,034	£0	Ricoh UK Ltd	No budget savings achieved. Budget matched to quote.
Copiers and printers for Riverside House and satellite sites	Chief Executive Office	24/07/2017	23/07/2020	310,000	£0	Ricoh UK Ltd	No budget savings achieved. Budget matched to quote.
Enterprise Agreement for WDC Desktop Microsoft Product Set	Chief Executive Office	01/02/2018	31/01/2021	£246,000	£0	Phoenix Software Ltd	No budget savings achieved. Price increase due to market movement. Contract awarded through framework at circa £300,000. Budget matched to winning bid.
Provision of the	Health &	26/05/2017	25/05/2021	5,000	<b>-£1000</b>	Bureau Veritas UK Ltd	3 quote process undertaken to be

Description	Service Areas	From	To	Budget	Projected Variance over life of contract	Supplier	Comment
Air Quality Annual Status Report	Community Protection		018				compliant. Potential saving of £1000 against anticipated budget.
Provision to design and build a play area at Hawkes Meadow, Heathcote Lane, Warwick, CV34 6AF	Neighbourhood Services	10/07/2017	31/08/2017	70,000	£0	Proludic	No savings achieved. As per anticipated budget.
MYTON FIELDS CAR PARKING AND LANDSCAPING DESIGN CONSULTANT	Chief Executive Office	30/07/2017	29/01/2018	£44,491	£0	Fira Landscape Limited	No budget savings achieved. Budget matched to quote.
Rates and Re-evaluation Consultancy	Chief Executive	01/08/2017	31/07/2022	£10,000	£0	Lambert Smith Hampton Ltd	No previous contract in place. This service is utilised on an "as and when required basis". Actual committed spend will be dependent upon future usage.
Passive Fire Safety	Chief Executive	07/07/17	TBC	TBC	£0	CLC	No previous contract in place. This service is utilised on an "as and when required basis". Actual committed spend will be dependent upon future usage.
<b>Total Assumed Savings During the Period - £306,585 saving</b> <i>(plus extra £2,673,471 income in respect of Service Provider for Leisure Services across Leisure Centres )</i>							



## Part Two - Live Tendering Opportunities

Description	Budgeted Total Contract Value	Procurement Process Route	Projected date for award	Service Area
Housing Allocation Service (HomeChoice) software support and development	£128,000	Below OJEU tender	1 October 2017	Housing
Valuation Consultancy	£50,000	Request for Quotation	August 2017	Chief Executive
Election ballot paper, postal voting packs and poll cards	£820,000	OJEU tender	August 2017	Chief Executive
Washroom supplies contract	£20,000/annum	Framework	September 2017	Cultural Services
General Housing Repairs & VOIDS	£20m	OJEU tender	December 2017	Chief Executive
Warwick Victorian Evening	£0 (concession)	Request for Quotation	September 2017	Development Services
PRG Principle Contract Ground Works	£800,000	Below OJEU tender	August 2017	Neighbourhood Services
PRG Bandstand	£80,000	Below OJEU tender	August 2017	Neighbourhood Services
3 play-areas: Ebourne Rec, The Holt, Bates Memorial	£130,000	Below OJEU tender	September 2017	Neighbourhood Services
Creative Quarter	£0	Competitive Dialogue	September 2017	Development Services
Newbold Comyn LC Climbing Wall	£200,000	OJEU tender	October 2017	Cultural Services

### Part three - Planned Tender Exercises

Description	Procurement Process Route	Projected date for award	Service Area
VCS contracts	Light Touch Regime	TBD	Health & Community Services
Heat Network Feasibility Study	Below OJEU tender	TBD	Health & Community Services
Gas Repairs	OJEU tender	TBD	Chief Executive
Catering contract	TBD	TBD	Cultural Services/Chief Executive
Pumping Stations Maintenance	Below OJEU tender	TBD	Chief Executive
Energy Broker Services	Framework Mini competition	February 2018	Chief Executive
Bereavement Software	Formal Quotation	TBD	Neighbourhood Services
Maintenance of Cremators	Framework Mini competition	TBD	Neighbourhood Services

## APPENDIX THREE

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

Service Area	Number of Contracts/	Number of Contracts/	Number of Contracts/	Total Number of Contracts/Agreement s	Total Number of Contracts/ Agreements lodged in DMC (Deed Store) or electronically
	Agreements £5k - £24,999.99	Agreements £25k - £49,999.99	Agreements£50k or above		
<b>Chief Executive</b>	18	13	36	<b>67</b>	<b>62</b>
<b>Cultural Services</b>	4	2	6	<b>12</b>	<b>12</b>
<b>Development Services</b>	8	5	4	<b>17</b>	<b>13</b>
<b>Finance</b>	6	1	7	<b>14</b>	<b>13</b>
<b>Health and Community Protection</b>	9	3	10	<b>22</b>	<b>22</b>
<b>Housing Services</b>	2	3	8	<b>13</b>	<b>13</b>
<b>Neighbourhood Services</b>	5	3	21	<b>29</b>	<b>29</b>
<b>TOTALS</b>	52	30	92	<b>174</b>	<b>164</b>

<b>Service Area</b>	<b>Where known - Reasons why Contracts/Agreements not lodged in DMC or stored electronically</b>
Chief Executive	Johnston Press (Courier) – no contract in place, just an agreed rate, but appears on the register due to the level of spend. Vodafone – there is no overarching contract, just multiple individual contracts that together add up to a level of spend that needs to appear on the register.
<b>Service Area</b>	<b>Where known - Reasons why Contracts/Agreements not lodged in DMC or stored electronically</b>
Cultural Services	NONE

<b>Service Area</b>	<b>Where known - Reasons why Contracts/Agreements not lodged in DMC or stored electronically</b>
Development Services	4 instances on no formal contracts being in place.

<b>Service Area</b>	<b>Where known - Reasons why Contracts/Agreements not lodged in DMC or stored electronically</b>
Finance	Online returns contract - Northgate are a sub-contractor to TotalMobile, hence part of the overall agreement with Total mobile, so no separate contract.

<b>Service Area</b>	<b>Where known - Reasons why Contracts/Agreements not lodged in DMC or stored electronically</b>
Health and Community Protection	NONE.

<b>Service Area</b>	<b>Where known - Reasons why Contracts/Agreements not lodged in DMC or stored electronically</b>
Housing and Property Services	NONE

<b>Service Area</b>	<b>Where known - Reasons why Contracts/Agreements not lodged in DMC or stored electronically</b>
Neighbourhood Services	NONE

## APPENDIX FOUR

### KEY PERFORMANCE INDICATORS - 01/04/17 – 01/09/17

% of total non-pay spend channelled through collaborative arrangements with other buying organisations for contracts awarded in period	27%
% Percentage of suppliers located within Warwick District registered on CSWJETS for contracts awarded for the period	7.7%
Number of local suppliers actively registered on CSWJETS E Portal	996
Number of employees successfully completing in house training	This data will be included in the annual update provided in March April 2018. However for information 75 attended in 2016
Number of formal legal challenges received and upheld against the total number of tenders	0
% Private Sector suppliers with a formal contract agreement for contracts awarded	72%
Number of contracts awarded to SMEs	4
<b>Contracts awarded for each Service team</b>	
Chief Executive	22
Cultural Services	0
Finance	2
Neighbourhood Services	5
Health and Community Protection	4
Development Services	4
Housing (assets put into CX from July)	2
% of contracts where a local/SME supplier submits a tender in the period	Local = 0/SME = 15
Number of Approved Exemptions below £20k	3
Number of Approved Exemptions above £25k	4
% of contracts with a Total Value exceeding £1m that include a social value clause	N/A
Number of Contracts terminated early	0

## Appendix Five

### Warwick District Council's Progress towards National Procurement Strategy

Theme A: Savings	
Recommendations for District Councils	Warwick District Council's Progress
Review existing framework arrangements at early stages of procurement to reduce duplicated effort.	Framework agreements used wherever possible to reduce time and effort, subject to VFM. Consideration of framework arrangements
Recognise the benefits from engaging with a national approach and ensure timely publication of data to ensure a robust analysis can take place	The Council's contract register has been updated and is now comprehensive to enable WDC to take an early view of upcoming procurements to determine which approach (national, regional or local) may be the most appropriate for any particular requirement. In addition the Annual Procurement Plan has been established and published which provides greater visibility of forthcoming procurement activity.
Set out their approach to partnering and collaboration in their corporate procurement strategy	Collaboration is a key consideration for each significant procurement and the existence of the shared procurement service demonstrates our commitment to this. The new strategy also has partnering and collaboration as a theme. A number of joint procurements with partners.
Set targets for savings or income generation from collaborative spend	Collaborative opportunities will be considered for all procurements as appropriate; potential savings need to be balanced against quality and other non financial elements..
Consider the business case for new models of delivering procurement services	The Council is open minded about options for delivering procurement services and will continue to explore these with other organisations. The shared service model has worked to date but continues to evolve based on the requirements and organisational changes of the partner authorities. There may be other opportunities for sharing with like-minded partners.
Integrate contract management within the council's procurement models	We have launched a comprehensive Contract Management Framework which seeks to embed good practice. This will improve contract management and an associated drive to introduce commercial awareness should result in efficiencies from better Contract management.

Demonstrate efficiency savings through better contract management	A register of formal contracts (and on-going procurement requirements) is produced (and reviewed on a monthly basis) to provide a comprehensive overview of the Council's position. It is used to ensure that procurement arrangements are aggregated most effectively (either at a corporate or wider public sector level), that correct procedures are used when contracts are let and that renewal happens on a timely basis (identifying resources required at an early stage).
Councils monitor and enforce internal compliance to 'on contract spend'	Work undertaken by procurement has identified a number of instances of 'off-contract' spend. Work is on-going to review the reasons for this to improve 'on-contract' spend levels.
Understand key suppliers and develop and implement performance indicators that are aligned with business outcomes	Key suppliers are known – need to gain understanding of contracts
Identify second tier spend and activity for high value/high risk contracts	Whilst the Council is aware of who key sub-contractors are in its high value/high risk contracts the Council does not currently routinely collect second tier spend and activity information. This needs to be introduced over time.
Develop and agree exit strategies within all major contracts	Exit strategies, transition plans and mobilisation strategies are routinely considered as part of the procurement planning process and contracting procedures.
Expect main contractors to act fairly with supply chains and mandate timely payment to subcontractors through contract clauses	The inclusion of social value clauses within contracts and effective contract management will address these areas. Public Contracts Regs 2015 require 30 day payment from contractors to subcontractors. Currently being built into terms and conditions of contract
Publish data in relation to contracted-out services in accordance with the Transparency Code	Data is published in accordance with the Transparency Code.
Ensure the rights to the data created as a result of a service being contracted out remains with the council.	This is covered within individual contract terms and conditions. Information governance has been reviewed recently to ensure that appropriate clauses are contained within contracts to protect sensitive data.

## Theme B: Supporting Local Economies

### 1. Economic, Environmental and Social Value

Councils gain maximum value from procurement through inclusion of economic, environmental and social value criteria in contracts for good/services and works

Councils reduce waste by making sustainable choices when procuring products and services - helping them to cut costs, and meet their social, economic and environmental objectives.

Recommendations for District Councils	Warwick District Council's Progress
Social value opportunities in all tenders, including those below the EU thresholds and for goods where appropriate.	WDC has a toolkit to help officers and a sustainable procurement policy which requires sustainability (including social value) to be considered in all tenders.
Bidders are requested to demonstrate community benefits through the whole supply chain	Social value requirements are being embedded into the Councils procurement processes at the first tier supplier level.
Consider and describe how the economic, social and environmental well-being of communities can be improved	Social value requirements are being embedded into the Councils procurement processes at the first tier supplier level.
Take account of the powers in the EU regulations that encourage use of mutuals, Social Enterprises and supported factories	Where appropriate WDC will make use of the powers provided in the revised EU Regulations once enacted.
Build in sustainability into the whole procurement cycle	Sustainability is built into the life of contracts as part of the overall VFM equation.
Social, Economic, Environmental assessments are undertaken for each procurement project	This is carried out for all above EU procurements
Consider ethical issues, including fair pay, zero hours contracts, child labour and animal testing throughout the supply chain	These issues are considered on a case by case basis
<b>2. Improving Access for SMEs and VCSEs</b> <ul style="list-style-type: none"> <li>A wide range of suppliers are encouraged to do business with councils through use of Portals to advertise tender opportunities</li> <li>Barriers to doing business with the council are removed without compromising due process</li> <li>SME's and VCSE's are able to identify potential 'partners' with whom to form consortia to bid for council contracts</li> <li>Councils identify forward spend wherever possible and use this data to inform pre-market engagement and supplier planning</li> </ul>	
Identify all procurement opportunities through local or regional portals and national portals where appropriate	The Council's procurement opportunities are advertised on our E Portal CSWJETS
Ensure websites make it clear which portals are being used to advertise tender opportunities suppliers can register	See above Item 6 / Page 28



Ensure procurement processes are not overly-rigid, cut off from day to day service provision or contain disproportionate requirements (e.g. insurance levels)	Through meet the buyer and pre market engagement events, as well as through monitoring of responses procurement processes are reviewed to ensure they do not contain disproportionate requirements. In addition Contract Procedure Rules are regularly reviewed to ensure that processes are streamlined and encourage SMEs.
Require prime contractors to report any failure to comply with payment terms and mandate payment by suppliers to their subcontractors be no greater than those in the primary contract, through contract clauses.	New Regs 2015 mandate this and are implied even if not explicit in T & C's.
Engage with single simplified PQQs such as PAS91 for construction	Already implemented. New procedures for supplies and services mean that tenders will not be required sub OJEU and over OJEU will be a simplified PQQ
Ensure that lotting strategies do not create unwanted barriers for smaller businesses.	Lotting is considered as part of the development of the individual procurement strategies (pre-procurement).
Engage in proactive pre-market engagement with the supplier base and through the commissioning process with users and advocates	WDC holds pre-market engagement with suppliers and through the commissioning process.
Allow sufficient time in the procurement process for suppliers to form consortia	Where considered appropriate this is built in to procurement processes.
Make suppliers aware of trading opportunities and secure their input and expertise	<p>The Council's procurement opportunities are advertised on our E Portal CSWJETS and meet the buyer events and pre market engagement is undertaken to ensure that our procurements obtain suppliers input and expertise.</p> <p>Opportunities are also advertised through the WDC twitter account and tagged to be picked up by a national procurement twitter account.</p>

**Theme C: Leadership****Commitment from the top**

- Procurement is recognised as strategically important by chief executives, members and senior officers within local authorities
- Procurement is supported in each authority through the appointment of a councillor champion
- Best overall value has been considered in all council's addressable third party spend
- Procurement is a driver to implement council policy

**Recommendations for District Councils****Warwick District Council's Progress**

Ensure there is a strategic alignment of procurement with Finance Director/s151 Officer and Chief Executive Team

Procurement is strategically aligned with the work of the s151 officer and works alongside Senior Management colleagues.

Provide periodic updates to senior managers and elected members on implementation of good practice

Regular updates are provided to Senior Management Team, Council steering groups and board members on procurement matters. In addition regular reports are provided to Committees as appropriate.

Procurement professionals influence all third party spend

Procurement is not centralised at WDC and therefore an element of spend is devolved. Much of the spend is influenced by the team but it is not possible to state that all spend is.

Procurement professionals work closely with their colleagues to ensure best possible outcomes are achieved

See above

The procurement strategy underpins the corporate strategy and a commitment to achieving the wider corporate objectives of the council is demonstrated

The Procurement Strategy fully supports the wider corporate objectives of the Council.

**Commissioning**

- Councils identify strategic outcomes in relation to assessed user needs, and design and secure appropriate services to deliver these outcomes
- Councils better understand and manage demand through the commissioning process to better target services efficiently and effectively

**Recommendations for District Councils****Warwick District Council's Progress**

Procurement and Commissioning staff work together to ensure best outcomes for service users

Procurement works closely with strategic commissioners to ensure that service delivery models are fully researched and appraised prior to procurements.

**Procurement Training**

- Councils build better procurement competencies across the organisation by ensuring staff are equipped with the knowledge, training, and practical skills needed to derive maximum benefit from procurement practices.
- Councils are more influential with suppliers through taking a more commercial approach to procurement

<ul style="list-style-type: none"> <li>Council officers understand and implement the flexibilities afforded by the new EU Procurement Directives</li> </ul>	
<b>Recommendations for District Councils</b>	<b>Warwick District Council's Progress</b>
Invest in their officers having the professional, leadership and interpersonal skills required to deliver council objectives through better procurement.	The majority of staff in procurement are either full members of CIPS or working towards that. The team also attend conferences and seminars on a limited basis where appropriate to keep up with current professional practice. Other skills are important too and training has also been provided on negotiation, project management and presentation skills.
Implement a development programme which takes into account the new context and models for good procurement	As above. In addition a procurement training plan has been developed to roll out to the wider organisation.
Invest in developing commercial skills including costs and profit, the market and service quality, relationship building and renegotiation skills	A number of staff in procurement have undertaken formal procurement training which includes commercial skills development as part of the course. Further work needs to be undertaken to ensure all appropriate staff have these skills.
Cascade training where appropriate across the council and to districts	Training continues to be delivered. This has been supplemented by holding 'procurement surgeries' to assist with issues staff in Services may be experiencing difficulties with. Web based bite size training is almost in development to allow self-serve training and an interactive web based form is being developed to assist staff in being directed to the correct procurement paths to use.

<b>Theme D: Modernisation</b> <b>Supplier innovation</b> Suppliers are able demonstrate innovation through all stages of the procurement cycle.	
<b>Recommendations for District Councils</b>	<b>Warwick District Council's Progress</b>
Use early market engagement, and set out well-structured procurement processes, to allow for innovative approaches to be put forward	WDC uses market days and market sounding where appropriate to seek innovation from suppliers.
Harness and proactively encourage supplier innovation	This is achieved through the process outlined above together with discussions with incumbent suppliers on improved ways of delivering services throughout the contract life.
Ensure terms and conditions are flexible enough to allow for changes in technology during the life of the procurement	Flexibility is currently provided in terms and conditions through variation clauses, however this will be reviewed further.
Use outcome-based specifications that include the minimum technical and performance requirements and focus on a statement of the problem that needs to be	Outcomes based tenders are used on a consistent basis and payment by results as appropriate.

solved	
<b>Using technology</b> Councils increase efficiency and productivity and realise full benefits through the use of appropriate e-procurement solutions in procurement processes Use of e-invoicing helps councils and suppliers streamline administrative processes and improves supplier liquidity	
Use electronic means for tendering processes in line with EU Directives	The Council's uses the E Portal CSWJETS
<b>EU Directives</b> Council procurement process are quicker, simpler and less costly to run through use of the new EU Procurement directives	
Cascade training to council officers and elected members outside of the 'procurement team'	A training programme and procurement 'surgeries' are planned to cascade training outside of the procurement team.
Councils maximise the flexibilities afforded to them in the new EU Directives	The Procurement team seek to maximise the flexibilities contained within them, particularly around timescales and new procedures

## APPENDIX 6

### (Contract Exemptions Permitted: April - September 2017)

Title	Start Date	End Date	Supplier	Total Contract Value	Extension Variation Value	Service Team	Reasons for exemption
Web and E-mail Content Filtering Systems (Clearswift)	30/04/17	29/04/20	Foursys Ltd	£37,100	N/A	ICT	Exemption from formal quotation based on 6.5.1
CIVICA license and support for HCP, NS and Housing	13/06/17	12/06/20	Civica UK Ltd	£403,000	£93,000	Health and Community Protection	Exemption under 6.5.1 to allow review process with procurement
Intend procurement system	01/09/17	31/08/22	In-Tend	£10,000	N/A	Finance	Exemption from formal quotation based on 6.4
TOTAL system with Totalmobile Ltd	01/05/18	31/04/21	Totalmobile	£181,200	£67,950	Finance	Exemption under 6.5.1 to allow review process with procurement
Parking meters support contract	01/08/17	31/07/18	Metric Group	£119,151	£13,239	Neighbourhood Services	Exemption under 6.5.3 and 5.5.4 due to Intellectual Property rights.
Valuation consultancy for 94-96 Parade	01/08/17	31/08/17	Lambert Smith Hampton Ltd	£6200	N/A	Development Services	Exemption under 6.5.8
CAPITA payment system	01/07/18	30/06/21	CAPITA	£1,096,782.00	£303,832.95	Neighbourhood Services	Exemption under 6.5.1 to allow review process with procurement

- 6.5.1 - Renewal of software licenses or other IT commodity items where the supply is restricted to either the original supplier or their selected re-sellers, and competition does not affect the price paid owing to way the market operates and/or the need for compatibility.

- 6.5.3 - In a single source situation where we are restricted to using a particular supplier.
- 6.5.4 - A situation where you need to go to the original equipment manufacturer (OEM)
- 6.5.8 - If there are exceptional circumstances in which it would not be in the Council's best interests to follow the tender or quotation procedure or another Rule for Contract;

## **Summary of Code of Procurement Practice Exemption Rules :**

### **6. Exemptions**

#### 6.1 Exemption to Code of Procurement Practice Rules

- An exemption to the Code of Procurement Practice Rules is a permission to let a contract without complying with one or more of the Rules. An exemption to Rules for Contracts may be granted subject to conditions. **An exemption cannot be granted where a breach of any UK or EU legislation would be incurred.**
- An application for an exemption to Rules for Contracts to allow a contract to be let without genuine competition will not be granted without a cogent reason. A lack of time caused by inadequate forward planning is not a cogent reason and will not permit an exemption to Rules for Contracts. If an application is granted, the head of service responsible for the contract must demonstrate that the price obtained is not in excess of the market price and that the contract represents best value for money.

#### 6.2 Authorising Exemptions

- An Exemption request form must be completed for every instance of an exemption. The template must clearly document the exemption to be applied, along with the justifications and all necessary procurement, legal and financial risks.
- Where the total contract value is up to £20,000, the Head of Finance may agree the exemption with the exemption retrospectively reported to the Executive.
- Where the total contract value is £20,000 and above. The Exemption request form must be completed by the Sponsoring Manager and agreed by the Procurement Manager and Executive, prior to any work being carried out.
- Exemptions under paragraph 6.5 need to be agreed by the Head of Service and the Procurement Manager.

#### 6.3 Exemptions **requiring** approval by Executive (**after** work is carried out):

Goods, Services or Works procured in an emergency because of a need to respond to events that were beyond the control of the Council (e.g. natural disasters such as flooding or fires or circumstances likely to involve risk of injury, or danger to health or life to or destruction of property. Any contract entered into by the Council must not be for a term longer than **6 months** .For E.U. contracts, the urgency must be unforeseen and not attributable to the actions of the Council.

6.4 Exemptions **requiring** approval by Executive ( **prior** to work is carried out):


- The supply of goods and / or services is required for an interim period (**no longer than 12 months**) to enable the alignment of contract dates with a public sector partner, and where to do so enables a collaborative procurement to be completed which, it can reasonably be anticipated, will deliver savings
- Where additional works or services are required which were not included in the original contract and which either are strictly necessary for the competition of the contract or, for technical or economic reasons, cannot be carried out separately without great inconvenience. For E.U. contracts, the urgency must be unforeseen and not exceed 50% of the total value of the original contract attributable to the Council.
- Where new works or services are required which are a repetition of works or services carried out under the original contract. For E U contracts, the new works or services must be required within 3 years of the original contract, and the contract notice must have stated that a new contract might be awarded by negotiation.
- Where goods are required to partially replace or add to existing goods or installations, and obtaining them from another contractor would result incompatibility or disproportionate technical difficulties in operation or maintenance.

6.5 Exemptions **not** requiring approval by Executive are:

- Renewal of software licenses or other IT commodity items where the supply is restricted to either the original supplier or their selected re-sellers, and competition does not affect the price paid owing to way the market operates and/or the need for compatibility.
- Memberships, publications and subscriptions that are only available to purchase from a single organisation e.g. membership of a housing advisory organisation.
- In a single source situation where we are restricted to using a particular supplier.
- A situation where you need to go to the original equipment manufacturer (OEM)
- Where using an alternative supplier will invalidate warranties.

- Where it is agreed that an external provider uses our facilities to provide a service i.e. stage performance and as part of providing this service agree to pay the council a commission.
- The Council has followed the procedures but the process has not resulted in a suitable supplier being engaged due to reasons beyond officers' normal control and defined responsibility resulting in an interim supplier being appointed to ensure continuity of service while the procurement process is reviewed.
- If there are exceptional circumstances in which it would not be in the Council's best interests to follow the tender or quotation procedure or another Rule for Contract;
- When the current contracted supplier goes into liquidation and time limited short term emergency measures need to be put in place to maintain services until a new tendering exercise has been completed.
- Grants, payments to parish councils or similar bodies (where the Council is body responsible for collection of funds via council tax), payments to BID's (Business Improvement Districts, where the Council is the body responsible for collection of funds via business rates), staff salaries and any statutory taxes are not covered by this code as they are not considered to be the procurement of goods, works or services.



 <b>Finance and Audit Scrutiny Committee</b> <b>26 September 2017</b>		<b>Agenda Item No.</b> <b>7</b>
<b>Title</b>	Review of Finance Contract Register	
<b>For further information about this report please contact</b>	Mike Snow 01926 456800	
<b>Wards of the District directly affected</b>	N/A	
<b>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?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	N/A	
<b>Background Papers</b>		

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

<b>Officer/Councillor Approval</b>		
<b>Officer Approval</b>	<b>Date</b>	<b>Name</b>
Chief Executive/Deputy Chief Executive	11 September 2017	Andy Jones
Head of Service	11 September 2017	Mike Snow
CMT	11 September 2017	
Section 151 Officer	11 September 2017	Mike Snow
Monitoring Officer	11 September 2017	Andy Jones
Finance	11 September 2017	John Roberts
Portfolio Holder(s)	11 September 2017	Cllr Peter Whiting
<b>Consultation &amp; Community Engagement</b>		
Insert details of any consultation undertaken or proposed to be undertaken with regard to this report.		
<b>Final Decision?</b>		Yes/No
<b>Suggested next steps (if not final decision please set out below)</b>		

## 1. **Summary**

- 1.1 This report sets out the Finance Contract Register for review by the Finance & Audit Scrutiny Committee, 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 Finance Contract Register attached at Appendix 1 and make observations on it as appropriate.

## 3. **Reasons for the Recommendation**

- 3.1 The review of the Finance Contract 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 **Fit for the Future (FFF)**

The Council's FFF Strategy is designed to deliver the Vision for the District of making it a Great Place to Live, Work and Visit. To that end amongst other things the FFF Strategy contains several Key projects.

The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal in relation to the Council's FFF Strategy.

<b>FFF Strands</b>		
<b>People</b>	<b>Services</b>	<b>Money</b>
<b>External</b>		
<b>Health, Homes, Communities</b>	<b>Green, Clean, Safe</b>	<b>Infrastructure, Enterprise, Employment</b>
<u>Intended outcomes:</u> Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	<u>Intended outcomes:</u> Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	<u>Intended outcomes:</u> Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels
<b>Impacts of Proposal</b>		
No direct impact	No direct impact	No direct impact
<b>Internal</b>		
<b>Effective Staff</b>	<b>Maintain or Improve Services</b>	<b>Firm Financial Footing over the Longer Term</b>
<u>Intended outcomes:</u> All staff are properly trained All staff have the	<u>Intended outcomes:</u> Focusing on our customers' needs Continuously improve	<u>Intended outcomes:</u> Better return/use of our assets Full Cost accounting

appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	our processes Increase the digital provision of services	Continued cost management Maximise income earning opportunities Seek best value for money
<b>Impacts of Proposal</b>		
Some of the contracts should enhance the knowledge of staff of the relevant areas so as to help them to be more effective.	The Benefits, Council Tax and Business Rates system helps to ensure these key services are provided efficiently for customers.	The contracts are varied. Many do seek to contribute improving the Council's overall financial standing, whilst ensuring compliance with legislation and good governance.

## 4.2 Supporting Strategies

Each strand of the FFF Strategy has several supporting strategies and the relevant ones for this proposal are explained below:-

- Medium Term Financial Strategy
- Treasury Management and Investment Strategies.
- Anti-Fraud Strategy
- Code of Procurement Practice

## 4.3 Changes to Existing Policies

The proposals in this report do not propose any changes to existing policies.

## 4.3 Impact Assessments

No Applicable.

## 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 aspects 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 does not recommend a particular option therefore there are no alternative options.

## **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. Finance Contract Register**

- 9.1 The latest version of the Finance elements of the Corporate Contract Register is set out as Appendix 1.
- 9.2 The Finance Contract Register has 17 current contracts. These are actively managed by the relevant officers. The Register is regularly reviewed by the Finance Management Team and at on-to-one meetings. Many of the contracts have been arranged in collaboration with other local authorities, or through the use of frameworks.
- 9.3 Contracts in progress. The following notable contracts are due to end in the next 6 months:-
- Procurement portal system (Intend). New contract with Intend agreed in partnership with neighbouring councils. New contract to commence 1 November 2017.
  - Treasury Management Advisors (Capita Asset Services). Contract to be extended for further two years under terms of original contract.
  - External Audit (Grant Thornton). New contract being agreed for participating authorities by PSAA. PSAA have recently proposed Grant Thornton to carry on as Council's auditors.
  - ICT Internal Audit (TIAA). New contract being procured in partnership with neighbouring councils. New contract to commence April 2018.

# Please ensure

The Contracts Register  
The register is public

ADDING NEW CONTRACTS

When a contract is a

Characters 1&2 – the

CO
NS
EH
FI
HP
ED
HR
CS
IT
VS
CP
PL

Characters 3&4 – the

Characters 5&6 – the

Characters 7&8 – the

**Characters 9&10 – tl**

**REMOVING OLD COI**

**When contracts are**

**They should remain**

# IMPORTANT

**Ensure all rows and columns are not hidden**

The register contains all the known awarded contracts.

Updated quarterly on the WDC website (1<sup>st</sup> April, 1<sup>st</sup> July, 1<sup>st</sup> October and 1<sup>st</sup> January)

## REGISTERED CONTRACTS

When a contract is awarded it should be immediately added to the register and given a contract number

The register should be divided into the following service areas responsible for the contract monitoring

Corporate – across multiple service areas
---

Neighbourhood Services
------------------------

Environmental Health
----------------------

Finance
---------

Housing & Property Services
-----------------------------

Economic Development
----------------------

Human Resources
-----------------

Cultural Services
-------------------

Information Technology
------------------------

Voluntary Sector
------------------

Community Protection
----------------------

Planning
----------

The contract number for that service area. Use the next sequential number

The method of procurement

The month of the year of the AWARD

he year of the award

### **TRACTS**

no longer live they should immediately be changed from 'live' to 'ended'.  
on the register in case of defects or any legal matters arising to goods/wc



**Hidden from view before exiting this page**

January). This is to comply with the government transparency agenda and

contract reference number. The contract reference number is made up of 10

**orks/services undertaken by a previous contractor**

# spreadsheet


and should help reduce FOI requests.

0 characters:

Contract Reference Number	Procurement Procedure	Agreement Type	Contract Title	Description	Supplier	SME/ Enterprise/ Voluntary/Community	Company Registration Number	Lead Department	Contact	Stakeholders
FI12LV0414	Open: Published Invitation to Tender	Contract/Service Agreement	Insurance Broker	Brokerage services to the Council for insurance	Gallagher Heath	Enterprise		Finance	Christine O'Rourke	All Service Areas
FI02CF0411	Framework: Mini Competition	SLA with other orgs	Credit Checks & Fraud Information	Financial credit checks on companies and individuals for Council contracts or benefit fraud investigations	NAFN c/o Tameside MBC ( National Antifraud Initiative ) ( Experian )	Medium	N/A	Finance	Andrea Wyatt	Council/Finance/External Audit/Council Tax Payers
FI10OJ1112	Open: Published Invitation to Tender	Contract/Service Agreement	Insurance Warwick District Council ( various )	Council wide insurances	Zurich Municipal	Enterprise		Finance	Christine O'Rourke	All Service Areas
FI11CO0314	Direct Award	Contract/Service Agreement	Business Rates 'Analyse' Software solution	Software licence for analysis of Business Rates appeals and potential new development	Inform CPI	Small	5599551	Finance	David Leech	Revenues & Benefits Team
FI14DA0914	Direct Award	Contract/Service Agreement	In-Tend Eprocurement system	Provision of an online shared service eprocurement system. Shared between councils within Coventry, Solihull and Warwickshire	In-Tend	N/a	5845701	Finance	John Roberts	WDC
FI15CO0414	Open: Published Invitation to Tender	Contract/Service Agreement	ICT Internal Audit	ICT internal audit service with scope for non-ICT audit work as required	TIAA Moore Stephens Mazars	Medium	04546319 OC313071 OC308299	Finance	Richard Barr/Ian Davy	Council Wide services
FI16OJ1214	Open: Published Invitation to Tender	Contract/Service Agreement	Banking Services	Banking Services	HSBC		14259	Finance	Vicki Forrester	Council
FI17DA0115	Framework: Direct Award	Contract/Service Agreement	Treasury Management Services	Treasury Management Services	Capita Asset Services - Treasury Solutions	Enterprise	2652033	Finance	Vicki Forrester	
FI18XXXXXX	Invitation to Quote (2+ Suppliers)	Contract/Service Agreement	Terrarius Asset Register	Annual support and maintenance of fixed assets register	Logotech	Small	2529444	Finance	Vicki Forrester	Council/Finance/External Audit
FI23XXXXXX	Shared Service	Contract/Service Agreement	External Audit	External Audit	Grant Thornton	Enterprise		Finance	Mike Snow	Finance
FI24XXXXXX	Framework: Mini Competition	Contract/Service Agreement	Finance Lease for Dog Warden Van	Dog Warden Van	JCB (lease agreement)	Enterprise	972265	Finance	Procurement of Van - Pete Cutts. Arranging Finance Lease -Vicki Forrester	Finance/Health & Community Protection
FI31XXXXXX	Invitation to Quote (2+ Suppliers)	Contract/Service Agreement	Civica OpenRevenues	Benefits, Council Tax and Business Rtaes	Civica UK Ltd		1628868	Finance	David Leech	finance
FI32DA1015	Direct Award	Contract/Service Agreement	Enforcement Officer Services	Enforcement Officer Services	Bristow and Sutor	N/a	143688	Finance	David Leech	
FI34FDA0916	Direct Award	Contract/Service Agreement	VAT and All Taxes helpline	VAT advice and one meeting a year	KPMG	Enterprise	OC301540	Finance	Jenny Clayton	Finance

Start date	End date	Review Dates	Annual budget £	Contract value £	2016-17 Spend against contract £	Extension Option	Comments - including price change provisions and review dates.	Signed Contract Agreement is with CST (Deed Store) YES / NO. <b>If the answer is NO please give reasons why</b> . The Deed Store reference number is also required!	Electronic copy of Contract Agreement? - if YES - please supply file location path. All electronic copies should be stored centrally on the L drive: L:\Works Contracts for Procurement\Electronic contracts
01/04/2014	31/03/2018	01/01/2018	2,800	21,609	2,970	Option to extend for a further 2 12 month periods	Contract Value includes an uplift for each financial year and an additional fee for supporting the tender process.	YES C33/2014	
01/04/2011	31/03/2018	01/01/2018	2,500	15,000	2,591	Ongoing - 3 months notice required from either party	This is membership based contract terminated by agreement by 3 months notice	YES A35	
01/11/2012	30/10/2019	01/12/2017	520,400	3,642,800	£495,704 excl IPT	Not Applicable	subject to suitable renewal terms the final 2 year extension is to be taken for 2017 renewal	YES shelf F18 doc store, C14/2002	
01/01/2015	31/12/2017	31/10/2017	3,000	3,000	29,000	To be reviewed after 12 months - Reviewed and signed for additional 2 years	Additional cost based on performance and identification of new Business Rates development. We will be charged 10% of any new rateable value identified by 'Analyse Local'. Collaboration contract lead by North Warks Borough Council and used by all Warwickshire Councils & Coventry. Updated 11/06/15 - exempt from further competition and approval by Executive as per clause 6.4.1 of COPP.	YES A25	
01/09/2013	31/10/2017	31/03/2017	2,000	12,000	2,000	Option to extend at the end of the contract period	Shared service provision with councils within Coventry, Solihull and Warwickshire. Agreement held with Solihull MBC as the lead Authority. Exemption to extend 5 years along with other LAs reported to Exec August 2017. Final updated contract awaited, will be a new line within CR.	NO see comments	
01/04/2014	31/03/2018	01/10/2017	9,800	100,000	£17,725 + VAT (Original value envisaged based on previous expenditure - additional work contracted due to non-IT audit work as a result of IW going part-time)	None	The three providers have been awarded framework contracts under a collaboration agreement with Warwickshire County Council.  TIAA are the first tier provider and can be appointed directly. The other two suppliers are tier two and can be used for mini competitions when a direct award is not made to the TIAA. 04/06/17: To be replaced by SLA with WCC for use of their framework.  New contract being procured with other Warwickshire authorities from 2018.	NO	Yes - all relevant documents are located at: L:\FinanceCommon\Audit and Risk\IT Audit Contract (Due to the size of the various documents included within the overall agreement it was agreed that printed versions were not to be held on the Document Store)
01/03/2015	29/02/2020	01/03/2019	24,692	123,460	22,593	further 5 years	Contracts Signed	YES C6/2015	
06/01/2015	05/01/2018	05/09/2017	Year 1 £9,000 Year 2 £9,250 Year 3 £9,500	35,250	9,250	Option to extend for a further 2 years at year 4 £9750 year 5 £9750	Total contract sum increased by £7,500 to reflect fee for additional services in respect of Corporate Equity Fund selection.  Contract to be extended for the 2 years, subject to due dilligence check. Only one other provider on the Market. They do not recognise smaller scale organisations such as Warwick District Council.	YES - C43/2015	
01/07/2009	Ongoing	31/03/2018	1,500	Rolling contract	1,500	Rolling contract, renewal decision taken each year	We are committed to annual support & maintenance charges for as long as we continue to use the Asset Register.  No formal contract - agreement to supply goods and services forwarded to DMC	NO	<a href="#">YES: L:\Works Contracts for Procurement\Electronic contracts\Finance\Pre 2015\FI18XXXXX Terrarius Asset Register</a>
01/09/2013	31/08/2018	21/09/2017 date to confirm acceptance by Council of GT for new contract.	70,597	352,985	69,665		Whilst we pay GT for this, we are not the contracting authority, and do not hold or negotiate the contract. Contract signed and held by PSAA.  Annual Fees were set by the Audit Commission and are currently frozen. 5 year contract set up by the Audit Commission.  New contract to be secured thorough a Framework arranged by LGA/PSAA.	NO see comments	
10/03/2014	09/03/2022	09/03/2022	2,442	19,536	2,442	Lease can be extended into a secondary rental period with no end date	Health & Community Protection procured the van. Finance arranged the financing of the purchase  Procurement of Dog Van - Health & Community Protection. Finance for arranging finance	YES C2/2011	
21/10/2003	Rolling	01/11/2018	87,400	1,136,200	183,000	Rolling Contract		YES C15/2014, C15/2015	
01/10/2015	30/09/2019	01/09/2018	9,500	Fees recovered from third parties.	8,739	2 x 12 months	Contract award lead by WDC utilising the Rotherham Metropolitan Borough Council Bailiff and Debt Collection Services Contract 12-012. 16/02/17 - 24 month extension taken.	YES C5/2011, C39/2015	
01/04/2010	rolling	01/03/2018	1,800	1,800	1,800	To be reviewed annually	Market testing carried out 2016 to establish best value being achieved. Service provided on a rolling basis, to be reviewed every year.	Yes - C39/2016	

Complete	NO	Direct Award	Goods	Small
Future	N/A	Invitation to Quote (Single Supplier)	Works	Medium
Live	YES	Invitation to Quote (2+ Suppliers)	Services	Enterprise
		Open:		
		Published		Small: Voluntary
		Invitation to Tender		
		Restricted:		
		Published		Medium: Voluntary
		Invitation to Tender		
		Framework:		Enterprise: Voluntary
		Direct Award		
		Framework:		
		Mini		Small: Community
		Competition		
		Shared		Medium: Community
		Service		
		By Exemption		Enterprise: Community
				Voluntary
				Community
				N/A

 <b>Finance and Audit Scrutiny Committee : 26 September 2017</b>		Agenda Item No. <b>8</b>
<b>Title</b>	Warwick District Infrastructure Delivery Plan (IDP)	
<b>For further information about this report please contact</b>	David Butler, Business Manager Policy & Development	
<b>Wards of the District directly affected</b>	All Wards	
<b>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?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	1st June 2016 Report – September 2016 Briefing Note. February 2017 F&A, Item 8	
<b>Background Papers</b>		

<b>Contrary to the policy framework:</b>	No
<b>Contrary to the budgetary framework:</b>	No
<b>Key Decision?</b>	No
<b>Included within the Forward Plan? (If yes include reference number)</b>	In F and A work programme.
<b>Equality Impact Assessment Undertaken</b>	N/A

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	12.09.17	Chris Elliott and Bill Hunt
Head of Service	12.09.17	Tracy Darke
CMT	12.09.17	Bill Hunt
Section 151 Officer	12.09.17	Mike Snow
Monitoring Officer	12.09.17	Andrew Jones
Finance	12.09.17	Mike Snow
Portfolio Holder(s)	12.09.17	Cllr Rhead
Consultation & Community Engagement		
N/A		
Final Decision?		No
Suggested next steps (if not final decision please set out below)		
Further progress reports will be prepared for Finance and Audit Scrutiny Committee on a 6 monthly basis.		

## **1. Summary**

- 1.1 The purpose of this report is to update Members on progress made regarding the Infrastructure Delivery Plan (IDP) that is associated with the District's future growth requirements to 2029. The IDP continues to be updated to reflect the latest information arising from ongoing discussions with infrastructure providers and to reflect emerging infrastructure requirements necessary to support the Local Plan.

## **2. Recommendation**

- 2.1 That the Committee note the contents of the report, Appendix 1 (update on key infrastructure) and Appendix 2 (updated IDP Table).
- 2.2 That Officers report back to Committee in 6 months' time with a further update.

## **3. Reasons for the Recommendation**

- 3.1 As Members will be aware, in order to progress the implementation of the Local Plan and assimilate the associated growth during the plan period successfully, it is necessary to prepare and continually monitor progress of an Infrastructure Delivery Plan (IDP).
- 3.2 The updated IDP is set out in Appendix 2. This will continue to be refreshed to reflect Infrastructure requirements and progress of their implementation throughout the plan period.
- 3.3 The compilation and monitoring of the IDP continues on a collaborative basis involving officers within Development Services; other officers across the Council; colleagues at WCC, Stratford and Coventry Councils; as well as other external agencies (for example Highways England, Strategic Economic Plan partnership, Sport England).
- 3.4 Details on recent progress across all sectors of the IDP is set out in Appendix 1 of this report.
- 3.5 It is intended that following the imminent adoption of the Local Plan the IDP will be made available in a live format accessible for wider scrutiny via the Council's website. Furthermore, post adoption the IDP becomes a key document to focus on aiding the delivery of the required infrastructure. Members will note the change of format in this update and additional changes will be made prior to the next report.
- 3.6 Since the last update in February, the Community Infrastructure Levy (CIL) Examination has taken place. Following a subsequent consultation on additional evidence we now await the Examiner's Report. Adoption of the CIL regime is therefore likely to happen towards the end of 2017.
- 3.7 As members will be aware, the Inspector's Report has been received and (with the suggested modifications) found the Local Plan sound. This will be put before the Council for adoption on the 20 September 2017.



## 4. Policy Framework

### 4.1 Fit for the Future (FFF)

The Council's FFF Strategy is designed to deliver the Vision for the District of making it a Great Place to Live, Work and Visit. To that end amongst other things the FFF Strategy contains several Key projects.

The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal if any in relation to the Council's FFF Strategy.

FFF Strands		
People	Services	Money
<b>External</b>		
<b>Health, Homes, Communities</b>	<b>Green, Clean, Safe</b>	<b>Infrastructure, Enterprise, Employment</b>
<u>Intended outcomes:</u>  Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	<u>Intended outcomes:</u>  Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and Anti-Social Behaviour (ASB)	<u>Intended outcomes:</u>  Dynamic and diverse local economy Vibrant town centres Improved performance/productivity of local economy Increased employment and income levels
<b>Impacts of Proposal</b>		
Will help co-ordinate the timely provision of infrastructure such as schools, community spaces, medical facilities that are essential to enable the growth required in the Local Plan	Will help co-ordinate the timely provision of infrastructure such as new parks, play areas and open spaces that are essential to enable the growth required in the Local Plan	Will help co-ordinate the timely provision of infrastructure such as roads that are essential to enable the growth required in the Local Plan
<b>Internal</b>		
<b>Effective Staff</b>	<b>Maintain or Improve Services</b>	<b>Firm Financial Footing over the Longer Term</b>

<u>Intended outcomes:</u> All staff are properly trained All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	<u>Intended outcomes:</u> Focusing on our customers' needs Continuously improve our processes Increase the digital provision of services	<u>Intended outcomes:</u> Better return/use of our assets Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money
<b>Impacts of Proposal</b>		
None	None	None

## 4.2 **Supporting Strategies**

Each strand of the FFF Strategy has several supporting strategies. The Local Plan is one of the key strategies, cutting across many of the FF strands. The IDP helps support the evidence base of the Plan, as well as ensuring the delivery of appropriate infrastructure in order to enable the growth required through the plan period.

## 5. **Budgetary Framework**

- 5.1 Infrastructure funding will be derived from a range of sources, as set out in the IDP. To justify this funding (whether Section 106 or external grants), a strong evidence base needs to be provided by infrastructure providers. The comprehensive infrastructure planning set out in the IDP will support this by providing a strategic tool regarding requirements and costs.
- 5.2 The component parts of the IDP will require partnership working with a variety of agencies in order to identify relevant funding streams/initiatives throughout the plan period. This will be essential to augment finance derived from developer contributions.
- 5.3 Financial planning in relation to infrastructure will be a major challenge for WDC and other Local Authorities/agencies across the country and will require a range of strategies and approaches to secure fully funded projects and their delivery going forward. As the IDP is a continually evolving document, it is expected to be delivered through the lifetime of the Local Plan. It is not possible to have an IDP that is fully funded at present as, for instance, infrastructure not required until 2025 is likely to be funded from sources that cannot currently be anticipated.
- 5.4 There are no direct financial implications associated with this report.

## 6. Risks

- 6.1 In view of the nature and scale of the development proposals that are to be delivered across the District within the new Local Plan period, the absence of a robust and detailed IDP system and complimentary S106 monitoring regime, has been identified as a key risk to the Local Plan's success and its future implementation
- 6.2 Without an IDP, the Council will not have a point of reference to inform the successful organisation and timely implementation of the District's infrastructure requirements.
- 6.3 There is an inherent risk that it will not be possible to fund all the infrastructure requirements set out in the IDP and that at some point certain infrastructure matters will have to take priority over others and utilise available funding at the cost/ delay of other less critical projects.
- 6.4 The specific risks associate with CIL and the IDP are set out below

Risk	Nature of Risk	Likeli-hood	Impact	Mitigation
CIL and Viability	<p>CIL will not be adopted until the Local Plan is adopted. There remains a risk that some of the proposed infrastructure will not be viable, particularly where external sources of funding are required.</p> <p>Recent work on CIL income shows that a shortfall is likely if we try to deliver the entire infrastructure that is desirable. However, with prioritisation, accessing additional funding streams and continued effective use of S106, it is expected that the funding gap can be managed.</p> <p>The likelihood of the risk occurring has reduced as a result of EIP hearings which have tested the viability of all the Local Plan sites.</p>	2	4	<p>a) Ensure CIL scheme is ready to progress alongside Local Plan</p> <p>b) Regular review of the IDP through ongoing liaison with providers.</p> <p>c) Regular report to Scrutiny regarding Infrastructure</p> <p>d) Prepare a Reg 123 list to be specific about which elements of the IDP will be funded through CIL and demonstrate that CIL income can achieve this (taking account of pooling restrictions</p> <p>e) We need to ensure evidence to support S106 contributions is robust and CIL compliant</p>
Infra-structure funding and delivery	<p>The issues around pooling S106 agreements are now a significant risk given that we don't have CIL scheme in place. It is possible that funding for some infrastructure will be harder to justify in this interim period, particularly where appeals are allowed.</p>	4	3	<p>Continue to work closely with Infrastructure providers to ensure they grasp the importance of providing robust evidence and the risks associated with pooling. The Site Delivery Officers will continue to play a key role in this.</p>

	Recent planning permissions have seen Education unable to collect contributions from developers as these will contravene pooling restrictions.			
Forward funding of major infrastructure items	There could be significant issues if schools and some transport infrastructure cannot be provided in advance of new development. However forward funding options are difficult and carry significant risks/costs	4	2	For a lot of infrastructure, it would be possible (though certainly not desirable) to provide after developer contributions have been received and without forward funding Issues around funding for secondary schools, remain important. The strategy for secondary education at Kenilworth is likely to enable timely provision. For South of Coventry the strategy is still emerging, free school funding may be required. The approach proposed for south of Warwick is funded from established sources until 2022. After that funding for Free Schools will be required.

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

- 7.1 Given the importance of infrastructure planning to the success of Warwick District over the forthcoming Local Plan period (and beyond) it is not considered practical to progress without an IDP to inform decision making and to assist in the monitoring of development progress. Furthermore there will be no clear understanding of how local plan proposals will be delivered without an IDP.
- 7.2 For the reasons identified in paragraph 6.1 and 6.2 above, the option of not proceeding with an appropriate monitoring regime has been discounted.

## **8. Background**

- 8.1 The IDP has been developed in association with the District's Local Plan and is a necessary component of the development plan process as prescribed by the National Planning Policy Framework (NPPF).
- 8.2 A full description of the purpose and background to the IDP is set out in the first ten pages of the IDP master document (Appendix 2).
- 8.3 It is important to recognise that the IDP is a strategic document. It seeks to contain enough detail to demonstrate that strategic sites can be delivered and that there are plans in place regarding how this can be accomplished. In this way the IDP is an important part of the development process. It not only

supports the delivery of the Local Plan, it also provides developers and infrastructure providers with high level information which can be used to inform detailed master-planning, viability and site delivery.

- 8.4 However, the IDP should not be seen as a final comprehensive document providing all the detail of the costs and requirements. This level of detail needs to be developed during pre-application discussions and agreed through the assessment of planning applications and finalised through Section 106 agreements. Detailed evidence needs to be provided, linked directly to the specific application under consideration. Part of this evidence also needs to take account of other funding streams such as government grants and direct on-site provision of land and facilities.

## **Appendix 1: Update on specific Infrastructure Requirements – September 2017 update**

### **1. Education**

- 1.1 The provision of school places and the development of new schools require a targeted approach to ensure they are delivered and available at the appropriate time. Collaborative working and close monitoring of development will ensure that schools are delivered and operational at the appropriate time in the development process.
- 1.2 Heathcote Primary School (the first of three primary schools serving the southern sites) opened in September admitting Reception and Year 1 pupils. Initially this is a one form entry school although has the expansion capability to take a second form as and when required.
- 1.3 Discussions with the developer at Grove Farm regarding the location and layout requirements regarding a second primary school are ongoing, although development will not take place until growth numbers require.
- 1.4 Current government policy is that all new primary schools should be two form entry, or at least have the potential to expand to two form if pupil numbers require. The initial provision plan for Kenilworth had been 2 x one form entry primary schools and thus this plan is now being reconsidered with capacity for a 1 x two form entry primary school provision being incorporated in the plans for Southcrest Farm

#### **Secondary Education**

- 1.5 The timing of the delivery of secondary school places is also critical. The successful implementation of school construction projects to provide pupil places associated with development South of Warwick and Leamington, Kenilworth and at Kings Hill will be a priority. The approach for secondary education in each of these three areas is set out below:

#### **South of Warwick and Leamington**

- 1.6 The County Council is proposing a three phase approach to meeting the education requirements of development across this area:
  - Phase 1 (up to September 2018) involves filling existing school places
  - Phase 2 (2018 to 2022) involves expanding Campion School (due by 2019) and over time filling the resulting capacity
  - Phase 3 (2022 onwards) involves new school provision at Europa Way.
- 1.7 Funding of the first two phases through to 2022 will be met from approved Section 106 developer contributions. Section 106 agreements have already been secured to contribute to the overall strategy. Although trigger points mean that the receipt of the S106 income can take some time, the phased delivery of the proposal means that substantial funding will be available to deliver the project. The phased approach also ensures that pooling restrictions can be avoided by ensuring the contributions are made to specific infrastructure projects within the overall strategy and enables the County Council to guard against over-provision.

- 1.8 The District and County Council are confident that the proposals are viable and can be funded. The land is already set aside for the proposals and the timing of Section 106 contributions enables phase 1 and phase 2 to be achieved. Phase 3 (a new school) will also benefit from Section 106 contributions from developments completed after 2018. However, it is likely that some additional funding will be required. The Central Government 'Free School Programme' (or any successor of this programme) is likely to offer an additional potential source of funding.

#### Kenilworth

- 1.9 It is intended that the current secondary school at Kenilworth (currently delivered over split sites) is relocated to land at Southcrest Farm. It is anticipated that this will be delivered and operational in September 2020.
- 1.10 The school are currently in the process of preparing a planning application and are also involved in the work on the emerging development brief for East of Kenilworth. In terms of funding the school, discussions continue with the school, land owners and WCC to help deliver the project and a bid to the government's Housing Infrastructure Fund is also being pursued. The appointment of Andrew Cornfoot as Site Delivery Officer for Kenilworth will help ensure the project moves forward.
- 1.11 Potential sources of funding for the school are as follows:
- Sale of land occupied by the existing school for housing
  - CIL/Section 106 contributions
  - Department for Education / EFA funding
  - The Housing Infrastructure Fund

#### Kings Hill & South Coventry

- 1.12 As a result of the addition of up to 4,000 new houses in Kings Hill, there will be a need for the equivalent of two new primary schools (a total of five form entries) located on site and a new secondary school. Coupled with the adjacent developments in and around Westwood Heath, this may rise to six or seven forms at secondary age. There are on-going pre-application discussions with all parties to ensure the appropriate provision takes place. Emerging plans include on-site provision for a secondary school and the two primary schools. The education authorities are carefully appraising the proposals to ensure that the right facilities are provided without detrimentally impacting on existing provision.

## **2. Primary Health Care, GP Facilities**

- 2.1 To be updated verbally.

## **3. Transport and Highways**

#### A452 Europa Way Corridor

- 3.1 A project board has been convened to ensure that the phased development of the Corridor is co-ordinated, effective and minimises disruption. The full improvement scheme is likely to take a minimum of six years.

- 3.2 First phase of the works are the access works to Gallows Hill and Heathcote Farm developments funded through S278. This is due to commence in Jan/Feb of 2018 and is likely to last 10 months.
- 3.3 Phase 2 is scheduled to be works related to the Catesby scheme, again funded through S278.
- 3.4 The remaining schemes have been subject to concept design for the whole corridor and a detailed project plan is being drawn up to identify their sequencing whilst also ensuring that the corridor remains navigable during the improvement works.
- A46 Stoneleigh Rd and Dalehouse Lane roundabout
- 3.5 The County Council and Coventry City Council have provisional agreement from the Department for Transport (DfT) to formally agree the reallocation of Growth Deal 1 funding to deliver improvements at the A46 Stoneleigh junction. Any balance of funding which is required for the scheme is expected to be sourced from HS2 Ltd, S106 / CIL monies or locally held capital funds. The scheme is planned for delivery in mid-2019.
- 3.6 A project board has been established to work on the delivery of this scheme. The board is supported by a Project Manager and WCC's highways design team are in the process of working up proposals. Survey work for ground conditions, topography, archaeology and ecology is underway/ scheduled with a view to preparing a planning application for the scheme later this year.

#### **4. Other Infrastructure Proposals**

##### Indoor Sports / Leisure

- 4.1 The construction process of both Newbold Comyn and St Nicholas Park leisure centres is now complete.
- Newbold Comyn centre opened on 4 September 2017
  - St Nicholas Park centre is due to be open ahead of schedule on 21 September 2017

##### Playing Pitches

- 4.2 The Playing Pitch Strategy will be refreshed, the conclusions of which are due in autumn 2018. This will assess the current projected requirements for playing pitches throughout the District, along with timelines and potential costs.



Infrastructure Type / Project	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding		Total funding	Funding gap
		CIL	s.106	s.278		Other Committed Funding	Other Potential Funding		
Transport Infrastructure Total	£109,500,000	£16,200,000	£29,143,000	£25,757,000	£69,597,000	£29,700,000	£3,300,000	£102,597,000	£6,903,000
Utilities Total	£575,000	£460,000	£0	£0	£460,000	£115,000	£0	£575,000	£0
Education Total	£72,660,000	£5,040,000	£39,500,000	£0	£38,546,000	£596,900	£0	£39,142,900	£33,517,100
Health Total	£67,690,000	£12,900,000	£7,254,000	£0	£12,154,000	£12,536,000	£31,000,000	£55,690,000	£12,000,000
Emergency Services Total	£2,350,000	£1,000,000	£1,350,000	£0	£2,350,000	£0	£0	£2,350,000	£0
Indoor Sports Total	£28,590,000	£5,200,000	£1,547,000	£0	£5,200,000	£15,261,000	£0	£20,461,000	£8,129,000
Cultural Facilities Total	£5,355,000	£4,200,000	£155,000	£0	£4,355,000	£0	£1,000,000	£5,355,000	£0
Green Infrastructure Total	£12,400,000	£7,300,000	£5,100,000	£0	£12,400,000	£0	£0	£12,400,000	£0
Open Spaces Total	£5,250,000	£3,100,000	£2,150,000	£0	£5,250,000	£0	£0	£5,250,000	£0
Playing Pitches Total	£3,785,000	£3,150,000	£635,000	£0	£3,785,000	£0	£0	£3,785,000	£0
Community Facilities Total	£4,800,000	£2,400,000	£2,400,000	£0	£4,800,000	£250,000		£5,050,000	£-250,000
Monitoring Total	£750,000	£0	£750,000	£0	£750,000	£0	£0	£750,000	£0

IDP Total	£313,705,000	£60,950,000	£89,984,000	£25,757,000	£159,647,000	£58,458,900	£35,300,000	£253,405,900	£60,299,100
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	Infrastructure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding		Update and Progress	Implementation Phase
					CIL	s.106	s.278		Other Committed Funding	Other Potential Funding		
	PHYSICAL INFRASTRUCTURE											
	Transport: Sustainable Travel Infrastructure (Non Corridor specific)											
T1	Smarter Choices	Implementation of a range of behavioural measures such as workplace travel plans, sustainable transport packages for new residents, travel awareness campaigns, public transport information, car clubs and car sharing and teleworking, home working and home shopping.	1	£1,000,000		£1,000,000		£1,000,000			*Travel pack monies agreed in S106 from Southern sites is £350,000 thus far.	Early 2017 - 2022 and onwards throughout plan period
	Transport Infrastructure: A452 Europa Way Corridor											
T2	Refer to appendix A that itemises the infrastructure components that are required for this corridor.	Major carriageway and junction improvements (including pedestrian and cycleway provision / connectivity). Includes Europa Way Corridor parts 1 and 2, Europa , Myton Road Roundabout, Shires Retail Park Roundabout, Grey's Mallory Roundabout.	1	£37,000,000		£17,500,000	£18,700,000.00	£36,200,000	£3,600,000 Growth Deal bid secured.	£3,000,000 potentially from strategic development proposals in Stratford District	A project board has been convened to ensure that the phased development of the Corridor is co-ordinated, effective and minimises disruption. First phase of the works are the access works to Gallows Hill and Heathcote Farm developments funded through S278. This is likely to last 10 months Phase 2 is scheduled to be works related to the Catesby scheme, again funded through S278. The remaining schemes/ elements have been subject to concept design for the whole corridor and although there is currently no precise schedule for these works, the delivery of these sections will follow.	Early 2017-2022
	Transport Infrastructure: A452 Leamington to Kenilworth Corridor											
T3	Refer to appendix A that itemises the infrastructure component s that are required for this corridor.	Includes carriageway and junction improvements as well as the provision of a park and ride facility and cycle route enhancements K2L. Includes cost of dualling of A452.		£17,900,000		£6,000,000		£6,000,000		Highways England , RIS2 and future potential from S278		Medium 2022-2027
		Cycle and Bus Priority Measures for the A452 Corridor (Kenilworth to Leamington)		£1,000,000	£1,000,000			£1,000,000				
		North Leamington Park and ride		£1,500,000	£1,500,000			£1,500,000				TBC
	Transport Infrastructure: Warwick-Leamington-Lillington (via Emscote Road)											
T4	Refer to appendix A that itemises the infrastructure component s that are required for this corridor.	Multi modal improvements Includes carriageway improvements and junction improvements to the following : Emscote Rd / Greville Road, Princess Drive/ Warwick New Road, A445/ Lillington Avenue/ Lillington Road.		£1,660,000	£1,660,000			£1,660,000		Emscote road works, Princes drive junction may be recipients of SEP bid finance		Early to medium 2017-2027
	Transport Infrastructure: Leamington South (including Tachbrook Road)											
T5	Refer to appendix A that itemises the infrastructure component s that are required for this corridor.	Multi modal improvements,Includes carriageway improvements and junction improvements to Princes Drive / Park Road, Bath Street Gyratory,Adelaide Road/ Avenue Road, Dormer Place/ Adelaide Road.		£3,900,000	£3,900,000			£3,900,000		£120,000 from strategic development proposals in Stratford District	*Note- all items within this Locality to be subject to a WCC SEP bid for finance.	Early to medium 2017-2027
		Sydenham Drive / Radford Road potential widening		£653,000			£653,000	£653,000				
	Transport Infrastructure: Warwick Town Centre to Heathcote via Gallows Hill											
T6	Refer to appendix A that itemises the infrastructure component s that are required for this corridor.	Includes carriageway improvements and junction improvements  Specific road improvements – (two lanes to both Banbury Road and Gallows Hill).		£5,200,000			£5,200,000	£5,200,000		£180,000 from strategic development in Stratford District		Medium 2023-2027
	Transport Infrastructure: Warwick Town Centre to Leamington (via Myton Road)											

[illegible]

		Town Centre Strategies, Leamington Spa, Warwick, Kenilworth	1	£5,000,000	£5,000,000			£5,000,000			£2 M Leamington Spa, £2M Warwick, £1M Kenilworth	Early 2017-2022
		Castle Hill Gyratory Signals		£876,000		£876,000		£876,000				
		Improvements to Priory Road Smith Street and St Nicholas Church Street		£626,000		£626,000		£626,000				
T16	Cycling,bus priority measures and other sustainable transport schemes not specified in Appendix B of the 2016 STA			£2,000,000	£2,000,000			£2,000,000				
	Transport Infrastructure Total			£109,500,000	£16,200,000	£29,143,000	£25,757,000	£69,597,000	£29,700,000	£3,300,000	*Total transport finance from S106 thus far £17,500,000 – includes footpaths, highways / cycleways, travel packs and public buses.	
	Telecommunications										Refer to appendix 1	
	Utilities: Electric and Gas										Refer to appendix 1	
	Utilities: Water and Sewage										Refer to Appendix 1	
	Utilities: Waste											
W1	Household Waste and Recycling	Redesign of existing household recycling facilities to accommodate population increase.	2	£575,000	£460,000			£460,000	£115,000			Medium 2023 - 2027
	Waste: Sub Total			£575,000	£460,000	£0	£0	£460,000	£115,000	£0		
	Utilities Total			£575,000	£460,000	£0	£0	£460,000	£115,000	£0		

	Infrastructure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate
	<b>SOCIAL INFRASTRUCTURE</b>			
	<b>Education: Primary Schools</b>			
E1a	New Primary Schools	Heathcote Primary School (1 x 2 form)	1	£3,500,000
E1b	New Primary Schools	Grove Farm (Oakley Grove) Primary School (1 x 1 form)	1	£3.400,000
E1c	New Primary Schools	Myton / West of Europa Way (1 x 2 form)	1	£6,000,000
E1d	New Primary Schools	Whitnash East / South Sydenham (1x 1 form)	1	
E1e	New Primary Schools	Thickthorn school (1x1 form) - located at Thickthorn.	1	£6,000,000

E1f	New primary Schools	Kings Hill Allocation - (based on 2000 dwellings) 1x 2 form entries. Note: Education planning requires consideration for requirements across the entire proposed site i.e. 4000 dwellings and discussions with developers have been on this basis)		
E1g	New Primary Schools (Asps)	Asps' obligation reserves land for a primary school, one form entry plus pre-school; 1.1 acres and primary school funding package.		£2,900,000
E2a	Expansion of existing schools (Whitnash)	Whitnash Primary School – 0.5 form entry additional capacity	1	£1,500,000
E2b	Expansion of existing school (Barford)	Development of additional capacity at Barford Primary School	1	£500,000
E2c	Expansion of existing school (Budbrooke)	Budbrooke to be expanded from 1.5 form entry to 2 form entry to cater for additional demand in respect of new allocations in the vicinity(Hampton Magna / Hatton Park)		£1,500,000
E3	Village schools	<p>No additional requirement. The provision of additional capacity as set out in E1, E2 and E3, combined with displacing children out of priority area means that the proposals for new development in villages can be met at the following schools:</p> <ul style="list-style-type: none"> <li>• Bishops Tachbrook</li> <li>• Cubbington</li> <li>• Budbrooke</li> <li>• Lapworth</li> <li>• Radford Semele</li> <li>• Burton Green</li> <li>• All Saint's Leek Wootton</li> </ul>		
	<b>Primary Schools - Sub Total</b>			<b>£21,900,000</b>
	<b>Education: Secondary Schools</b>			

	South of Warwick Sites (overview)			
E4	South of Warwick: Southern Sites	See above	1	To be quantified
E5	Whitnash East	Expansion of Campion School	1	£8,150,000
E6	Kenilworth	There is an aspiration for Kenilworth School to relocate both of the existing school sites on to one new site at Southcrest farm.	1	£38,200,000
E7	Kings Hill Allocation	As site proceeds to 4000 dwelling capacity (beyond plan period /2000 threshold) land should be reserved to cover the possibility of a new 'all-through' primary / secondary school and Special Educational needs facilities.		To be quantified

E8	North of Milverton / Blackdown / Stoneleigh Road allocations	Expansion of existing school provision, possibly North Leamington and / or The Trinity School		To be quantified
E9	Other Sites	Unspecified expansion to primary and secondary schools	2	£2,500,000
	<b>Secondary Schools Sub Total</b>			<b>£46,350,000</b>
	<b>Education : 0-5 Provision</b>			
E10	District-wide facilities	Contribution to improvement and expansion of existing facilities – details to be confirmed	2	£1,200,000
	<b>Education: Special Educational Needs Provision</b>			
E11	District-wide facilities	Contribution to improvement and expansion of existing facilities – details to be confirmed	1	£1,340,000
	<b>School Transport</b>			
E12	Contribution to school transport			£1,870,000
	<b>Education Other : Sub Total</b>			<b>£4,410,000</b>
	<b>Education Total</b>			<b>£72,660,000</b>



Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	
CIL	s.106	s.278		Other Committed Funding	Other Potential Funding
	£3,500,000		£3,500,000	Forward funded by WCC in advance of S106 receipts – school to be a free school academy run by the Community Academies Trust.	
	£3.400,000		£3.400,000		Expect this to be provided as part of the Free School initiative. Probable forward funding by the Education Funding Agency.
	£6,000,000		£6,000.00		Expect this to be provided as part of the Free School initiative. Probable forward funding by the Education Funding Agency. Assumed existing S106 contributions will cover this
					Will be funded as a free school if required
	£6,000,000		£6,000,000		Expect this to be provided as part of the Free School initiative. Probable forward funding by the Education Funding Agency.

[illegible]

	£8,150,000		£8,150,000		
	£7,600,000		£7,600,000		Note: - A significant contribution may come from existing school site land sales.

£2,500,000			£2,500,000		
<b>£2,500,000</b>	<b>£15,750,000</b>	<b>£0</b>	<b>£18,250,000</b>		
£1,200,000			£1,200,000	408,600 Asps contribution	
£1,340,000			£1,340,000	Asps - £168,300 towards SEN requirements	
	£1,870,000		£1,870,000		
<b>£2,540,000</b>	<b>£1,870,000</b>	<b>£0</b>	<b>£4,410,000</b>	<b>£576,900</b>	
<b>£5,040,000</b>	<b>£39,500,000</b>	<b>£0</b>	<b>£38,546,000</b>	<b>£596,900</b>	

## Update and Progress - September 2017

The school has opened to pupils September 2017.

Initially opening at 1 form of entry but will expand to 2FE when demand requires. Currently admitting in Year 1 and Reception.

There is a private provider day care facility on site (Polka Dot)

The build has been forward funded by WCC in advance of S106 income receipt.

The school will be sponsored by The Communities Academy Trust which currently manages a number of schools in Warwickshire and Staffordshire. Locally the Trust sponsor Woodloes Primary School

Current Government Policy means that this school will be delivered as a Free School.

Land will be available to support the provision of a 2 form entry primary school.

The school will only be brought forward when demand dictates.

\*Location to be adjacent Myton School details being developed through master planning arrangements. Exact location yet to be determined

This site will only be brought forward if demand requires.

Potential issues re access to site. Linked to purchase of land currently occupied by Campion School.

Planning application not yet submitted so no secured site linked with a planning permission and associated S106 agreement

Originally WCC were looking at two x 1 form entry primary schools. This would have seen one school capable of admitting up to 210 pupils at Thickthorn and a second school of the same size elsewhere within the growth area of Kenilworth, possibly at Southcreast Farm

The new school (s) would be free schools and the Education Funding Agency are not supportive of 1FE schools.

Thought will now need to be refocussed to the provision of one x 2FE primary school within the Kenilworth growth area. There is minimal spare capacity within Kenilworth primary schools so a new school will be required early in the housing delivery phase.

Estimated pupil yield for 4000 dwellings suggests the need for up to 5 forms of entry at primary school age. The pattern of provision is still to be determined although The proposed primary education solution for Kings Hill is for the provision of 2 x 2FE primary schools with one of those schools on a site capable of expansion to 3FE if required. Discussions have taken place with Coventry City Council to ensure we don't over provide places and put existing schools at risk. Discussions have confirmed that there is no surplus capacity of school places in the neighbouring part of Coventry. Pre-app discussions continue to help inform master planning. New primary school provision will be required reasonably early on in development.

No further action will be taken until a Reserved Matters application is submitted.  
Agreement about the location of the school site will be required.  
Masterplan discussions underway - early stages

The school is now admitting up to 2 Forms of entry on an informal basis when demand is required.  
It is still planned to formally expand the school moving forward but this is currently on hold.

WCC worked with the Coventry Diocesan Board of Education to enable St Peter's to admit up to 1 form of entry throughout the school.  
The build delivered by the DBE but funded by WCC in advance of S106 receipt.

Budbrooke Primary School is now managed by the Community Academies Trust. Budbrooke Primary is on a large enough site to support expansion to 2 forms of entry.  
Expansion will only be considered once there is a recognised need. This is to ensure sustainability.  
Expansion will not be required until growth in housing locally.

Cubbington, Radford Semele and Lapworth Schools don't lend themselves to expansion.  
Bishops Tachbrook possibly could expand but the growth locally would not support an additional form of entry.  
All Saints Primary School at Leek Wootton have expressed an interest in expansion. Proposed growth locally does not require expansion and any potential S106 income would be unlikely to support the cost of the required build.  
A number of existing S106s require funds towards the provision of additional school places as a contribution towards the cost of home to school transport. This is in recognition that the local schools can't be expanded and so children will have to travel out of the area to access a school place.



The delivery of additional secondary school places will be delivered through a phased approach. The first phase will see the expansion of Campion School and discussions are taking place between the Academy and the Local Authority. Phase 2 is likely to see the provision of a new free school on reserved land. We are aware that The Trinity School has expressed an interest in changing their existing offer and this will be a consideration. The first phase of provision of new secondary school places will be through the first expansion of Campion School.

Initial discussions continue with the school and additional places should be available from September 2019.

The exact delivery of additional places is still to be determined.

Any new school will be a free school as per current Government policy.

Additional provision at this location forms part of the wider strategy for ensuring a sufficient supply of school places.

First phase expansion due by 2019

Development of an all through (11-18) Kenilworth School in place of the current split site Kenilworth School should not solely be funded by Developer contributions as the scheme is not the result of increased pupil numbers. The proposed growth within Kenilworth Town requires the need for expansion of provision at Kenilworth School. The proposed development at Kings Hill will require its own secondary provision. Discussions continue around the relocation and expansion of Kenilworth School.

The provision of 4,000 homes will require a minimum of 5 form of entry for education purposes.

Proposed development at Westwood Heath will also require the provision of additional capacity and this could see the need for 6 or 7 forms of entry in total at secondary age.

Discussions are taking place with the developers but the need for on-site secondary provision is agreed.

Provision will need to be funded from developer contributions and possible forward funding from EFA as part of the provision of free schools.

It is likely that the new school will also support the provision of school places for growth in the Westwood Heath area.

On-going pre app discussions continue with all interested parties.

Situation to be kept under review as growth in the area unfolds

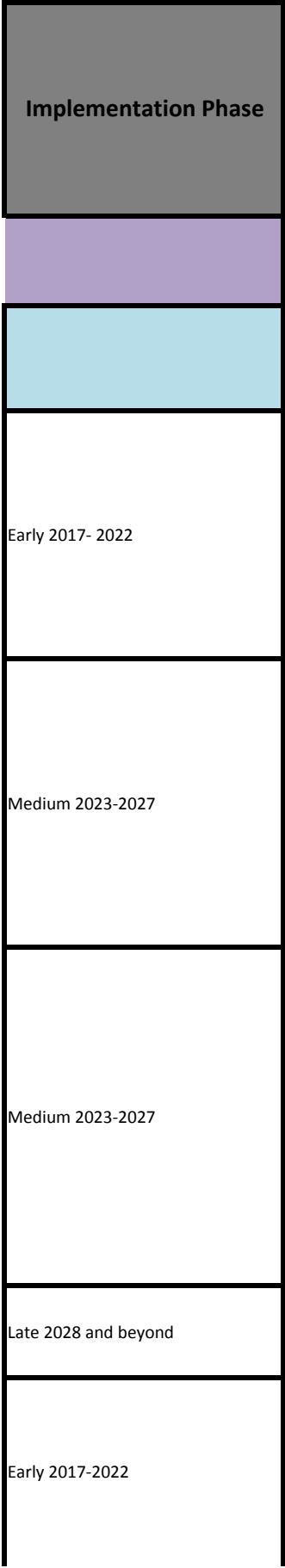
Situation to be kept under review as growth in the area unfolds

It is the aspiration of WCC that all new primary schools will have pre-school provision on site, either run by the school itself or by a private provider. This cannot be guaranteed however as the Free Schools agenda rolls out and WCC have less control. WCC will continue to seek pre-school contributions from developers to ensure a sufficient supply of pre-school provision.

Funds collected to support necessary adaptations to enable pupils to attend schools of their choice as identified in their Education Health and Care Plan.  
This is likley to see adaptations to mainstream schools rather than necessarily expansion of existing special schools.

WCC will continue to seek contributions towards the provision of school transport where believed to be justifiable. This could be because it is not possible to expand the local primary school or because pupils have to travel more than the statutory distance to secure secondary places.





Early 2017-2022

Medium 2023-2027

Early 2017 - 2022

Early 2017 - 2022

Medium 2023-2027

Late 2028 and beyond



Medium 2023-2027

Early 2017-2022

Early 2017-2022

Medium 2023-2028

Late 2028 and beyond

Medium 2023-2027

Early 2017 onwards

Early 2017 onwards

Medium 2023-2027

	Infrastructure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate
	<b>Health: Acute and Community Health Services</b>			
H1	Warwick Hospital	First ward block at the Warwick Hospital site – the main provider of acute hospital services.	1	£12,000,000
H2	Warwick Hospital	Additional outpatient, diagnostic, treatment and in-patient facilities, including hubs for community health care teams at Warwick and Stratford Hospitals - it is recognised that the first New Ward Block and Stratford Hospital projects will not fully meet the healthcare demand associated with the new population growth projections and we will require additional infrastructure to deliver future acute and community healthcare requirements on a sustainable basis	2	£12,000,000
H3	Stratford Hospital	A new hospital at our Stratford Hospital site including outpatient, diagnostic, treatment and inpatient facilities and a hub for community healthcare teams. (Target completion for Phase 1 by Autumn 2015). This is integral to enabling additional capacity at Warwick Hospital		£40,000,000
	<b>Health – Hospital Sub Total</b>			<b>£64,000,000</b>
	<b>Health: GP Services</b>			
H4	Warwick: Southern Sites	A new 5 GP medical centre to be provided land at Myton/ West of Europa Way	1	£2,900,000

H5	Warwick Gates medical centre	Expansion / additional works to improve existing medical centre		£115,000
H6	Kenilworth	Expanded medical facilities to meet the needs of additional development.	1	£140,000
H7	Whitnash / Sydenham / Radford Semele	Expansion of existing medical centre - potentially Croft Medical Centre	1	£95,000
H8	Lillington / Cubbington	Extension to Cubbington Road Surgery	1	£40,000
H9	Urban Sites	Combining of existing practices		£400,000
	<b>Health - GP Sub Total</b>			<b>£3,690,000</b>
	<b>Health Total</b>			<b>£67,690,000</b>
	<b>Emergency Services</b>			
ES1	Police: Custody Suite	12 additional cells needed	2	£500,000
ES2a	Police: Safer Neighbourhood Team Police Office	Additional offices at Europa Way	1	£450,000
ES2b	Police: Safer Neighbourhood Team Police Office	Additional office at Lower Heathcote Farm		£450,000
ES2c	Police: Safer Neighbourhood Team Police Office	Additional office at Thickthorn		£450,000
ES2d	Police: Safer Neighbourhood Team Police Office at the Asps	Additional office at Asps plus £188,000 for fitting out etc to be delivered by developers (agreed in legal obligations)		
ES3	Other police equipment and costs	A range of other "CIL Compliant" costs including vehicles, communications technology and surveillance equipment, training, uniform and personal equipment	2	£500,000

ES4	Ambulance Service	The service has undertaken a recent premises review. They have no further premises requirements during the Plan Period	N/A	£0
	<b>Emergency Services Total</b>			<b>£2,350,000</b>

Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	
CIL	s.106	s.278		Other Committed Funding	Other Potential Funding
	£4,000,000		£4,000,00		£4,000,000 NHS
£4,000,000			£4,000,00	£4,000,000 SDC	£4,000,000 NHS
£8,500,000			£8,500,000	£8,500,000 SDC	£23,000,000 NHS
£12,500,000	£4,000,000	£0	£8,500,000	£12,500,000	£31,000,000
	£2,900,000		£2,900,000		



	£115,000		£115,000		
	£126,000		£126,000	£14,000	
	£73,000		£73,000	£22,000	
	£40,000		£40,000		
£400,000			£400,000		
<b>£400,000</b>	<b>£3,254,000</b>	<b>£0</b>	<b>£3,654,000</b>	<b>£36,000</b>	
<b>£12,900,000</b>	<b>£7,254,000</b>	<b>£0</b>	<b>£12,154,000</b>	<b>£12,536,000</b>	<b>£31,000,000</b>
£500,000			£500,000		
	£450,000		£450,000		
	£450,000		£450,000		
	£450,000		£450,000		
				Additional office at Asps plus fitting out met in Asps obligation.	
£500,000			£500,000		

£1,000,000	£1,350,000	£0	£2,350,000		

Update and Progress	Implementation Phase
<p>*Delivered but forward funded – money recouped from WDC/SDC developer contributions.  £6,000,000 overall available from S106 agreements in Warwick District thus far  £977,000 to go to acute healthcare from the Asps  Gallows Hill will deliver £476,550 for acute healthcare provision  Note above figures are incorporated in the overall WDC S106 total</p>	Early 2017-2022
	Early 2017-2022
<p>Development underway –anticipated completion 2017  CIL apportionment to be shared with Stratford District Council</p>	Early 2017 - 2022
<p>*Site being identified through detailed through detailed planning negotiations.</p>	Medium 2023-2027



The Ambulance Trust is keen to work with Developers to support the provision of defibrillators. WCC supports requests for the provision of defibrillators on all new public buildings either through direct provision of the payment of a financial contribution. (Approx cost per defib is £1,500)

Medium - 2023-2027

	Infrastructure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate	Estimate
					CIL
	Indoor Sports Facilities: Sports Halls and Swimming Pools				
ISF1	Improvements to sports hall and swimming pools	Phase1 (Newbold Comyn and St Nicholas centres)- £12,000,000		£16,590,000	
		Phase 2 – (Abbey Fields / Castle Farm)		£12,000,000	£5,200,000
	Indoor Sports Total			£28,590,000	£5,200,000
	Cultural Facilities: Library Services				
CU1	Contributions to Library Service	IT and stock purchases to support growth in population.	2	£155,000	
	Cultural Facilities: Arts and Culture				
CU2	Kenilworth Public Service Centre and Community Theatre	Provide new public service centre along with a community theatre in line with the proposals consulted on for the Kenilworth Town Plan		£5,200,000	£4,200,000
	Cultural Facilities Total			£5,355,000	£4,200,000

Type of Funding Type		Total CIL / s.106 / s.278	Estimate of Other Funding	
s.106	s.278		Other Committed Funding	Other Potential Funding
£1,329,000			£2,000,000 Sport England £13,261,000 WDC	
£218,000		£5,200,000		
<b>£1,547,000</b>	<b>£0</b>	<b>£5,200,000</b>	<b>£15,261,000</b>	
£155,000		£155,000		
		£4,200,000		£1,000,000 assumed from sale of current Talisman theatre site
<b>£155,000</b>		<b>£4,355,000</b>		<b>£1,000,000</b>

Update and Progress	Implementation Phase
<p>Works completed and refurbished Newbold Comyn open, St Nicholas imminent</p> <p>-----</p> <p>Scoping for Phase 2 likely to start late 2017, until scoping completed costs are indicative only</p>	Early 2017-2022
<p>The County Council does not currently have plans to deliver new library provision. Financial contributions are requested for all new developments of more than 24 dwellings to ensure that the service is able to provide appropriate stock as well as delivering targeted promotions.</p>	Medium 2023 -2027
	Medium 2023-2027



	Infrastructure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate
	<b>GREEN INFRASTRUCTURE</b>			
	<b>Country parks and Strategic Green Infrastructure</b>			
GI1	Tach Brook Country Park	62.5 hectare Country Park to north side of Tach Brook providing a separation and recreational space between Bishops Tachbrook and proposed new development to the south of Harbury Lane. Include pedestrian and cycle access, links to wider countryside, and ecological areas. Costs include maintenance and management for 13 years.	1	£2,300,000
GI2	Kenilworth / Crackley Country Park	Country Park to the north of Kenilworth. Mitigation for HS2 proposals. Potential to link with future any proposals for University of Warwick. Include pedestrian and cycle access, links to wider countryside, and ecological areas. Costs include maintenance and management for 13 years	2	£2,800,000
GI3	Arden Landscape Enhancement	Enhancements to Hay Wood, hedgerows, enhancement of historic parkland at Wroxall Abbey, improved access, new wetland and heathland habitats. Costs include maintenance and management for 13 years	2	£2,670,000
	Whitely South	Provision of a country park		
GI4	River Leam Tree Planting	New tree planting opportunities, enhancement of river environment, improved access. Will assist with flood alleviation. Costs include maintenance and management for 13 years	2	£4,630,000
GI5	Biodiversity Maintenance			To be quantified
	<b>Green Infrastructure Total</b>			<b>£12,400,000</b>

	<b>Open Space</b>			
GI6	Improvements to Destination and District scale parks	Improvements to the District parks which have a key strategic role in the provision of open space in the District. This includes footpath improvements	1	£3,100,000
GI7	Neighbourhood and Local Green Spaces	Provision of new open space, play areas, allotments and other local green infrastructure (and enhancements of existing) in line with the Green Space Supplementary Planning Guidance. To be specified in planning applications	1	£2,000,000
GI8	Open Space Maintenance	Maintenance agreements to cover costs for 13 years.	1	
GI9	Footpath connections	Enhance links in to countryside from new developments and beyond. To be specified in planning applications		£150,000
	<b>Open Spaces Total</b>			<b>£5,250,000</b>
	<b>Playing Pitches</b>			
GI10	Football Pitches	Requirement for 5 additional full size pitches and 4 mini pitches across the District		£1,590,000
GI11	Cricket Pitches	Expansion of club infrastructure to increase adult cricket by 5 teams and 9 additional junior teams		£725,000
GI12	Rugby Pitches	Expansion of club infrastructure to accommodate additional adult team, 3 additional junior teams and 3 additional midi team		£870,000
GI13	Hockey Pitches	Additional demand for hockey by 5 teams, which could be accommodated on existing stock. However, the stock of artificial grass pitches will need renewing during the plan period.		£600,000
	<b>Playing Pitches Total</b>			<b>£3,785,000</b>

Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding	
CIL	s.106	s.278		Other Committed Funding	Other Potential Funding
	£2,300,000		£2,300,000		
	£2,800,000		£2,800,000		
£2,670,000			£2,670,000		
£4,630,000			£4,630,000		
£7,300,000	£5,100,000	£0	£12,400,000		

£3,100,000			£3,100,000		
	£2,000,000		£2,000,000		
	£150,000		£150,000		
<b>£3,100,000</b>	<b>£2,150,000</b>	<b>£0</b>	<b>£5,250,000</b>		
£1,200,000	£390,000.00		£1,590,000		
£650,000	£75,000.00		£725,000		
£750,000	£120,000.00		£870,000		
£550,000	£50,000.00		£600,000		
<b>£3,150,000</b>	<b>£635,000</b>	<b>£0</b>	<b>£3,785,000</b>		

Update and Progress	Implementation Phase
<p>*£2,046,720 identified in Southern sites S106's- the majority of the land required. Negotiations regarding Severn Trent land underway. Report due to November Executive regarding procurement of design consultant</p>	Early 2017-2022
<p>Delivery of this may be subject to prioritisation of available CIL resources later in the plan period.</p>	Late 2028 and beyond
<p>Delivery of this may be subject to prioritisation of available CIL resources later in the plan period</p>	Late 2028 and beyond
<p>To be delivered within arrangements related to planning permission.</p>	Medium 2023-2027
<p>Delivery of this may be subject to prioritisation of available CIL resources later in the plan period</p>	Late 2028 and beyond
<p>Delivery of this may be subject to prioritisation of available CIL resources later in the plan period</p>	Late 2028 and beyond

*£730,994 set out in Southern sites S106's thus far	Early to medium 2017-2027
*Being specified in planning applications - £140,000 for play equipment in Southern sites S106'S thus far	Early to medium 2017-2027
*Normally calculated at point the open space is adopted using formula x 13 years	Early to medium 2017-2027
Public rights of way enhancement at the Asps	
The Playing Pitch Strategy will be refreshed and an update provided in the Autumn of 2018	Medium 2023-2027
The Playing Pitch Strategy will be refreshed and an update provided in the Autumn of 2018	Medium 2023-2027
The Playing Pitch Strategy will be refreshed and an update provided in the Autumn of 2018	Medium 2023-2027
The Playing Pitch Strategy will be refreshed and an update provided in the Autumn of 2018	Medium 2023-2027

	Infrastructure Type / Project	Project Detail	Scheme Grading	Total Cost New Estimate
	<b>Community Facilities</b>			
CF1	Warwick: Southern Sites Community Centre	New Community Centre, including 1 year start-up costs	1	£1,200,000
CF1	South of Harbury Lane Community Centre	New Community Centre, including 1 year start-up costs	2	£1,200,000
CF2	Kenilworth: Thickthorn Community Centre	New Community Centre, including 1 year start-up costs	1	£1,200,000
CF3	Kings Hill Community Centre / hall	New Community Centre, including 1 year start-up costs	2	£1,200,000
	<b>Village Infrastructure</b>			
V1	Village Infrastructure	The proposed housing allocations for the growth villages will require (over and above any educational requirements) associated infrastructure investments. For example this could include facilities for teenagers; sport and recreation facilities; improved community halls; allotments; nursery provision; local road improvements etc.		
	<b>Community Facilities Total</b>			<b>£4,800,000</b>
	<b>Monitoring Fees</b>			
M1	S106 and CIL Monitoring	Resource to manage and monitor Section.106 and CIL for 10 years		£750,000
	<b>Monitoring Total</b>			<b>£750,000</b>

Estimate of Funding Type			Total CIL / s.106 / s.278	Estimate of Other Funding		Update and Progress
CIL	s.106	s.278		Other Committed Funding	Other Potential Funding	
£1,200,000			£1,200,000	£250,000		
£1,200,000			£1,200,000			
	£1,200,000		£1,200,000			
	£1,200,000		£1,200,000			
£2,400,000	£2,400,000	£0	£4,800,000	£250,000		
	£750,000		£750,000			
£0	£750,000	£0	£750,000			



Implementation Phase
Early 2017-2022
Medium 2023-2027
Medium 2023-2027
Medium 2023-2027
TBC

 <b>Finance &amp; Audit Scrutiny Committee</b> <b>26 September 2017</b>		<b>Agenda Item No.</b> <b>9</b>
<b>Title</b>	<b>Comments from the Executive</b>	
<b>For further information about this report please contact</b>	Amy Barnes Senior Committee Services Officer 01926 456114 <a href="mailto:committee@warwickdc.gov.uk">committee@warwickdc.gov.uk</a>	
<b>Service Area</b>	Civic & Committee Services	
<b>Wards of the District directly affected</b>	n/a	
<b>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</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	n/a	
<b>Background Papers</b>	Executive – 08.02.2017	

<b>Contrary to the policy framework:</b>	No
<b>Contrary to the budgetary framework:</b>	No
<b>Key Decision?</b>	No
<b>Included within the Forward Plan? (If yes include reference number)</b>	No

<b>Officer/Councillor Approval</b>		
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).		
<b>Officer Approval</b>	<b>Date</b>	<b>Name</b>
Deputy Chief Executive		
Chief Executive		
CMT		
Section 151 Officer		
Legal		
Finance		
Portfolio Holders		

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

## **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 31 August 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 April 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 31 August 2017 to the Finance and Audit Scrutiny Committee's comments**

<b>Item no</b>	3	<b>Title</b>	<b>Proposed Housing Financial Assistance Policy</b>
<b>Scrutiny Comment</b>	The Finance & Audit Scrutiny Committee supported the recommendations in the report.		
<b>Executive Response</b>	The Executive noted the support.		


<b>Item no</b>	4	<b>Title</b>	<b>Car Park Fees and Charges 2018</b>
<b>Scrutiny Comment</b>	The Finance & Audit Scrutiny Committee supported the recommendations in the report.		
<b>Executive Response</b>	The Executive noted the support.		

<b>Item no</b>	5	<b>Title</b>	<b>Budget Review to 30 June 2017</b>
<b>Scrutiny Comment</b>	The Finance & Audit Scrutiny Committee supported the recommendations in the report, including those detailed in the addendum.		
<b>Executive Response</b>	The Executive noted the support.		

<b>Item no</b>	6	<b>Title</b>	<b>Corporate Asset Management Strategy – Update Report</b>
<b>Scrutiny Comment</b>	The Finance & Audit Scrutiny Committee supported the recommendations in the report.		
<b>Executive Response</b>	The Executive noted the support.		

<b>Item no</b>	11	<b>Title</b>	<b>Procurement Exemption for WDC VCS Commissioned Contracts 2015/2018</b>
<b>Scrutiny Comment</b>	The Finance & Audit Scrutiny Committee supported the recommendations in the report.		
<b>Executive Response</b>	The Executive noted the support.		

<b>Item no</b>	14	<b>Title</b>	<b>Mallory Grange affordable housing</b>
<b>Scrutiny Comment</b>	The Finance & Audit Scrutiny Committee supported the recommendations in the report.		
<b>Executive Response</b>	The Executive noted the support.		

 <b>Finance &amp; Audit Scrutiny Committee – 26 September 2017</b>		<b>Agenda Item No.</b>  <h1>10</h1>
<b>Title</b>	<b>Review of the Work Programme &amp; Forward Plan</b>	
<b>For further information about this report please contact</b>	Amy Barnes Senior Committee Services Officer 01926 456114 <a href="mailto:committee@warwickdc.gov.uk">committee@warwickdc.gov.uk</a>	
<b>Wards of the District directly affected</b>	n/a	
<b>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?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	n/a	
<b>Background Papers</b>	n/a	

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

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

## **1. Summary**

- 1.1 This report informs the Committee of its work programme for 2017/18 (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 2017/18**

### **26 September 2017**

1	Internal Audit Quarter 1 2017/18 Progress Report	Audit Item	Richard Barr
2	Annual Governance Statement Qtr 1 Action Plan Report	Audit Item	Richard Barr
4	Contracts Registers Reviews – Finance	Scrutiny Item	Mike Snow
5	Procurement Strategy Half Year Update	Scrutiny Item	John Roberts
6	Infrastructure Delivery Plan – 6 Month Update	Scrutiny Item	Tony Ward

### **31 October 2017**

1	Service Risk Register Review (Health & Community Protection)	Audit Item	Marianne Rolfe
2	Significant Business Risk Register	Audit Item	Richard Barr
3	National Fraud Initiative Update	Audit Item	Ian Wilson
4	Update on Corporate Fraud Team	Scrutiny Item	Mike Snow / Andrea Wyatt

### **28 November 2017**

1	Internal Audit Quarter 2 2017/18 Progress Report	Audit Item	Richard Barr
2	Annual Governance Statement Qtr 2 Action Plan Report	Audit Item	Richard Barr
3	Treasury Management Half Year Review	Audit Item	Karen Allison

### **3 January 2018**

1	Significant Business Risk Register	Audit Item	Richard Barr
2	Contracts Register – Chief Executive	Scrutiny Item	Chris Elliott

### **6 February 2018**

1	Service Risk Register Review (Cultural Services)	Audit Item	Head of Service

**6 March 2018**

1	Internal Audit Quarter 3 2017/18 Progress Report	Audit Item	Richard Barr
2	Annual Governance Statement Qtr 3 Action Plan Report	Audit Item	Richard Barr

**4 April 2018**

1	Significant Business Risk Register	Audit Item	Richard Barr
2	Internal Audit Strategic Plan (2018/19 to 20/20/21 plan)	Audit Item	Richard Barr
3	Procurement Strategy Annual Review	Audit Item	John Roberts
4	2018/19 External Audit Plan	Audit Item	Mike Snow
5	End of Term Report	Scrutiny item	Amy Barnes / Chair
6	Health & Community Protection – Contracts Register	Scrutiny Item	Marianne Rolfe

**30 May 2018**

1	Annual Governance Statement	Audit Item	Richard Barr
2	Internal Audit Quarter 4 Progress Report	Audit Item	Richard Barr
3	Treasury Management Annual report	Audit Item	Karen Allison
4	Service Risk Register Review (Neighbourhood Services)	Audit Item	Rob Hoof



## **Warwick District Council Forward Plan September to December 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.

**(902)**

## Section 1 – The Forward Plan September to December 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
<b>20 September 2017</b>						
Local Plan Adoption (ref 895)	To consider adopting the Local Plan for Warwick District.		Executive 20/9/2017	12/9/2017	Dave Barber Cllr Rhead	Residents, Developers  Statutory Consultees, consulted as set out in Planning Regs. Background papers Inspectors Local Plan Report (still to be published)

## 27 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	
Exemption to Code of Procurement Practice – Mace Ltd (Ref 881)	To seek approval for the extension of the contract to accommodate the extended build programme for Phase I of the Leisure Development Programme.		Executive 27/09/2017	19/09/2017	Padraig Herlihy Cllr Coker	
Shared Environmental Enforcement with Rugby Borough Council (Ref 893)	Following approval on 26 July 2017, of the recommendation within the Executive Report entitled "Environmental Enforcement Service Delivery Options" to adopt a shared service with Rugby Borough		Executive 27/09/2017	19/09/2017	Graham Folkes-Skinner  Cllr Grainger	

	Council; this report provides a Service Assessment and Business Case for the approach.					
Europa Way Update (Ref 898)	To update members of progress and to seek authority to progress the next stage of the project		Executive 27/09/2017	19/09/2017	Chris Elliott Cllr Phillips	Reports to Council & Executive in April 2017; January and March 2015. The next stage will involve further consultation
Business Improvement District (BID) Leamington (Ref 899)	To inform members of the renewal process for BID Leamington and to approve/delegate authority to approve the relevant agreements.		Executive 27/09/2017	19/09/2017	Suzee Laxton Cllr Butler	
Weston Close, Warwick, Parking arrangements (Ref 900)	To receive the outcome of the survey of residents of Weston Close and to consider the proposed actions as a result of this survey.		Executive 27/09/2017	19/09/2017	Simon Brooke Cllr Phillips	Survey of all residents within Weston Close.
<b>October 2017</b> - No scheduled Executive meetings at this time.						
<b>1 November 2017</b>						
Community Infrastructure Levy Adoption (Ref 901)	To consider adopting the Community Infrastructure Levy for Warwick District		Executive 1/11/2017	24/10/2017	David Barber  Cllr Rhead	Residents, Developers  Statutory Consultees, consulted as set out in CIL Regs. Background Inspectors CIL Report (still to be published)
Tachbrook Country Park (Ref 896)	To provide an update on progress and to seek approval to procure the design of the Country Park		Executive 27/09/2017 Awaiting reason	24/10/2017	David Anderson Cllrs Grainger & Rhead	Draft Local Plan; Previous report to Executive 3/12/2014

29 November 2017						
12 Month Review of New Housing Allocations Policy (Ref 858)	To review the working of the new Housing Allocations Policy.		Executive 29/11/2017	21/11/2017	Ken Bruno Cllr Phillips	
General Fund Base Budgets 2018/19 to include Budget Review for the current year and FFF update (Ref 877)	To consider the following year revenue budgets for the General Fund and update Members on the latest Budgets for 2017/18 and Fit for the Future (FFF) update.		Executive 29/11/2017	21/11/2017	Marcus Miskinis Cllr Whiting	
HRA Base Budgets 2018/19 (Ref 878)	To consider the following year revenue budgets for the HRA and update Members on the latest position for the current year.		Executive 29/11/2017	21/11/2017	Andrew Rollins Cllr Phillips	
Consideration of a Hackney Carriage Vehicle Limitation Policy (Ref 851)	To update members on the results of the WDC Hackney Carriage Unmet Demand Survey and: <b>Meeting 1</b> – Introduce highlights of survey and propose a 6 week consultation on recommended options outlined in the survey. <b>Meeting 2</b> – Update on the consultation & determine any change to policy, following the consultation.		Executive 29/11/2017	21/11/2017	Lorna Hudson Cllr Thompson	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 Licensing & regulatory Committee 25/9/2017

Section 2 Key decisions which are anticipated to be considered by the Council between January and March 2018						
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
<b>December 2017</b> – No scheduled Executive meetings at this time						
<b>4 January 2018</b> – No items planned for consideration at this time						
Re-commissioning of services provided by the Voluntary and Community Sector 2018-2021 and review of VCS investment (Ref 884)	<p>For members to approve the tender specification for the re-commissioning of VCS services for 2018-2021 and to approve the recommendations for savings relating to the Council's investment in the VCS within the H&amp;CP budget for 2018 – 19.</p> <p><b>(It is anticipated that part or all of this report will be considered in confidential session by the Executive because it contains information relating to the financial or business affairs of any particular person (including the authority holding that information))</b></p>		Executive 29/11/2017 Reason 5 4/1/2018		Liz Young Cllr Thompson	To follow

**7 February 2018**

General Fund 2018/19 Budgets & Council Tax (Ref 885)	To update Members on the overall financial position of the Council, consider the General Fund Revenue and Capital Budgets for the following financial Year. To propose the Council Tax for the following year		Executive 7/2/2018	30/1/2018	Mike Snow Cllr Whiting	
HRA Rent Setting 2018/19 (Ref 886)	To report on the proposed level of Housing Rents for the following year and the proposed budget		Executive 7/2/2018	30/1/2018	Mike Snow Cllr Phillips	
Heating, Lighting and Water Charges 2018/19 – Council Tenants (Ref 887)	To propose the level of recharges to council housing tenants to recover the costs of communal heating, lighting and water supply		Executive 7/2/2018	30/1/2018	Mike Snow Cllr Phillips	
Treasury Management Strategy (Ref 888)	To seek member approval of the Treasury Management Strategy and Investment Strategy for the forth coming year		Executive 7/2/2018	30/1/2018	Mike Snow Cllr Whiting	

**7 March 2018**

One Stop Shop Business Case (Ref 894)	Provide a Business Case to ensure that the shared One Stop Shop Service is in line with Warwick District Council's ICT & Digital Strategy 2015-19		Executive 7/3/2018	27/2/2018	Graham Folkes- Skinner  Cllr Grainger	
Car Park Strategy (Ref 895)	To seek approval for the proposed car parking strategy 2018-2028		Executive 7/3/2018	27/2/2018	Paul Garrison Cllr Grainger	



<b>Section 3 Key decisions which are anticipated to be considered by the Council but the date for which is to be confirmed</b>						
<b>Topic and Reference</b>	<b>Purpose of report</b>	<b>History of Committee Dates &amp; Reason code for deferment</b>	<b>Contact Officer &amp; Portfolio Holder</b>	<b>Expansion on Reasons for Deferment</b>	<b>External Consultees/ Consultation Method/ Background Papers</b>	<b>Request for attendance by Committee</b>
Council Development Company (Ref 727)	To consider a report on establishing a Council Development Company.	Executive 9/3/2016 2/6/2016 29/6/2016 Reasons 1 & 2	Bill Hunt Cllr Phillips	Awaiting further information on the implications of the Housing & Planning Act.		
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 Rhead	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)			Bill Hunt Cllr Phillips			
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.		

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 <del>2/11/2016</del> Reason5 <del>5/1/2017</del> Reason5 <del>8/2/2017</del> Reason 5	Gayle Spencer Cllr Butler			
Events Review (Ref 832)	To review the provision and support of events in the District.	Executive <del>8/3/2017</del> Reason 4	James DeVile Cllr Butler			
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 <del>26/07/2017</del> Reason 3	Bill Hunt Cllrs Mobbs, Whiting, Rhead, Butler, Grainger	Timing is dependent on the completion of the planning, marketing and procurement processes.		
Proposed Relocation of Kenilworth School (Ref 869)	To agree the Council's level of support in enabling the school to take its proposals forward.	Executive <del>28/06/2017</del> Reason 3	Andrew Jones Cllr Mobbs			
Policy on Regulating the Private Rented Sector (Ref 880)	To adopt a revised policy on private rented sector regulation in light of new legislation and guidance.		Ken Bruno Cllr Phillips	Awaiting the publication of government guidance.		
Linen Street Car Park (Ref 861)	To consider recommendations for redevelopment for the Linen Street Car Park facility	Executive <del>28/06/2017</del> Reason 3	Paul Garrison Cllr Grainger			Ward Councillors
Leamington Cemetery North Lodge (Ref 828)	To review the future use of Leamington Cemetery North Lodge.	Executive <del>4/4/2017</del> <del>28/06/2017</del> <del>31/08/2017</del> Reason 3	Rob Hoof Cllr Grainger			

Corporate Asset Management Strategy (Ref 641)	To propose an Asset Management Strategy for all the Council's buildings and land holdings.	Executive <del>29/6/2016</del> <del>Reason 5</del> <del>1/9/16</del> <del>Reasons 3 &amp; 5</del> <del>5/1/2017</del> <del>Reasons 3 &amp; 5</del> <del>8/2/2017</del> <del>Reasons 3 &amp; 5</del> <del>26/07/2017</del> <del>Reasons 3 &amp; 5</del> <del>31/8/2017</del> Reason 3	Bill Hunt Cllrs Mobbs, Butler, Grainger, Coker & Whiting			
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 <del>4/4/2017</del> <del>Reason 2</del> <del>31/08/2017</del> <del>Reason 3</del> <del>27/9/2017</del> Reason 5	Gary Charlton  Cllr Grainger			

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
<b>27 September 2017</b> - No scheduled reports at this time.						
<b>October 2017</b> – No scheduled Executive meetings at this time.						
<b>1 November 2017</b>						
Review of Significant Business Risk Register	To inform Members of the Significant Risks to the Council		Executive 1/11/2017	24/10/2017	Richard Barr Cllr Mobbs	
Rural Urban Community Initiative Scheme Applications	To consider an application from Shrewley Village Hall for a Rural and Urban Initiative Grant.		Executive 1/11/2017	24/10/2017	Jon Dawson Cllr Whiting	
<b>29 November 2017</b>						
Rural Urban Community Initiative Scheme Applications	To consider applications for Rural and Urban Initiative Grants.		Executive 29/11/2017	21/11/2017	Jon Dawson Cllr Whiting	
Internal Audit Quarter 2 Progress Report	To review progress in achieving the Audit Plan.		Executive 29/11/2017	21/11/2017	Jon Dawson Cllr Whiting	
<b>December 2017</b> – No scheduled Executive meetings at this time.						
<b>4 January 2018</b>						
Rural Urban Community Initiative Scheme Applications	To consider applications for Rural and Urban Initiative Grants.		Executive 4/1/2018	21/12/2017	Jon Dawson Cllr Whiting	

Review of Significant Business Risk Register	To inform Members of the Significant Risks to the Council		Executive 4/1/2018	21/12/2017	Richard Barr Cllr Mobbs	
<b>7 February 2018</b>						
Rural Urban Community Initiative Scheme Applications	To consider applications for Rural and Urban Initiative Grants.		Executive 7/2/2018	30/1/2018	Jon Dawson Cllr Whiting	
<b>7 March 2018</b> - 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](http://www.warwickdc.gov.uk/committees)**

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