

# Finance and Audit Scrutiny Committee

Tuesday 10 February 2015

---

A meeting of the above Committee will be held at the Town Hall, Royal Leamington Spa on Tuesday 10 February 2015 at 6.00pm.

## Membership:

|                       |                               |                       |
|-----------------------|-------------------------------|-----------------------|
|                       | Councillor Barrott (Chairman) |                       |
| Councillor Mrs Bunker |                               | Councillor Pittarello |
| Councillor Dhillon    |                               | Councillor Pratt      |
| Councillor Mrs Knight |                               | Councillor Rhead      |
| Councillor MacKay     |                               | Councillor Mrs Syson  |
| Councillor Mrs Mellor |                               | Councillor Williams   |

## Emergency Procedure

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

## Agenda

### Part A – General Items

#### \*1. **Substitutes**

To receive the name of any Councillor who is to act as a substitute, notice of which has been given to the Chief Executive, together with the name of the Councillor for whom they are acting.

#### \*2. **Declarations of Interest**

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

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

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

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 13 January 2015 **(Item 3/Page 1)**

**Part B – Audit Items**

None.

**Part C – Scrutiny Items**

\*4. **Contract Register – Cultural Services**

To consider a report from Finance **(Item 4/Page 1)**

\*5. **Comments from the Executive**

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

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

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

\*7. **Scrutiny of Infrastructure Planning**

**(Item 7/Page 1)**

\*8. **Executive Agenda (Non Confidential Items and Reports) – Wednesday 11 February 2015**

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

\*9. **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 items by reason of the likely disclosure of exempt information within paragraphs 1 and 3 of Schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006.

\*10. **Executive Agenda (Confidential Items and Reports) – Wednesday 11 February 2015**

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

**(\*Denotes those items upon which decisions will be made under delegated powers, as previously granted by Council)**

Published Monday 2 February 2015

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

Telephone: 01926 353362

Facsimile: 01926 456121  
E-Mail: [committee@warwickdc.gov.uk](mailto:committee@warwickdc.gov.uk)

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

You can e-mail the members of the this Committee at  
[F&Ascrutinycommittee@warwickdc.gov.uk](mailto:F&Ascrutinycommittee@warwickdc.gov.uk)

Details of all the Council's committees, councillors and agenda papers are available via our  
website [www.warwickdc.gov.uk/committees](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) 353362 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 353362.**

# Finance and Audit Scrutiny Committee

Minutes of the meeting held on Tuesday, 13 January 2015 at the Town Hall, Royal Leamington Spa at 6.00pm.

**Present:** Councillor Barrott (Chair): Councillors Mrs Bunker, Dhillon, Gifford, Mrs Knight, MacKay, Mrs Mellor, Rhead, Mrs Syson and Williams.

**Also Present:** Councillors Mrs Gallagher, Mobbs and Vincett (Portfolio Holders).

Apologies for absence were received from Councillor Pratt.

## 94. **Substitutes**

Councillor Gifford substituted for Councillor Pittarello.

## 95. **Declarations of Interest**

There were no declarations of interest.

## 96. **Minutes**

The minutes of the meeting held on 2 December 2014 were taken as read and signed by the Chair as a correct record.

## 97. **Risk Register Review – Chief Executives Office**

The Committee received a report from the Chief Executive's office which set out the process for the review by Finance & Audit Scrutiny Committee of the Chief Executive's Office Service Risk Register.

In January 2012 the Executive agreed various strategies to review and monitor service area risk registers including insisting that the relevant portfolio holders should attend the Finance & Audit Scrutiny Committee meeting, when their respective service risk register was being reviewed.

The Chief Executive's Office Service Risk Register was part of the Council's corporate risk management framework. The Register reflected the Council's corporate priorities and key strategic projects that were contained in Fit for the Future as they related to the functions delivered by the Services in the Chief Executive's Office.

The latest version of the Chief Executive's office risk register was attached as appendix 1 and the guidelines relating to the scoring criteria were attached as appendix 2 to the report.

This risk register was owned and managed by the Chief Executive and members of staff within the service had been made aware of the register and had input through team meetings and one-to-one meetings where risks were regularly discussed.

The Leader, Councillor Mobbs attended as Portfolio Holder for this item and reminded Members that due to the nature of the business, there would always be some risks in the 'red' section. This was because of their potential impact and not necessarily because of the likelihood of them occurring.

The Deputy Chief Executive & Monitoring Officer delivered the report and clarified which departments fell under the Chief Executive's office. He signposted Members to paragraph 10.3.2 of the report which listed three of the main risks for some of the departments. These were the forthcoming Parliamentary, District and Parish/Town Council elections in May 2015, the potential loss of key staff and the loss of confidential data.

The Leader explained an amendment to risk E51 on page 12, Appendix 1, which should have read 'project to start summer 2014' and updated Members on risk SS10, page 4/24, because an HR/Payroll Project Officer had now been recruited.

Members raised a number of issues including whether the mitigating measures in relation to staffing problems were too general. The Audit & Risk manager, Mr Barr, advised Members that a risk register at this level would invariably appear to have non-precise nature and some descriptions had to be detailed simply, to avoid producing long, wordy appendices.

Clarification was given on the difficulties of recruiting staff into certain roles, when the salaries in the private sector were much higher than local government.

Members highlighted a number of risks that did not appear to have moved and some which had moved but had no arrows indicating the direction of movement. Councillor Mobbs reiterated that there would always be some risks which remained in the 'red' but accepted that consistency with the reports was needed.

In addition, he congratulated the Civic and Committee Services team for the considerable action that had taken place to reduce the risk CCS9, relating to the Data Protection, Freedom of Information and Environmental Impact Requests policy and process.

The Finance and Audit Scrutiny Committee therefore

**Resolved** that the Chief Executive's Office Service Risk Register, attached as appendix 1 to the report, is noted.

98. **Executive Agenda (Non Confidential Items & Reports) –  
Wednesday 14 January 2015**

The Committee considered the following items which would be discussed at the meeting of the Executive on Wednesday 14 January 2015.

## Agenda Item 11 – Significant Business Risk Register

The Committee supported the recommendations in the report but highlighted that Appendix 2 did not marry up with the information supplied in Appendix 1.

### 99. **Public and Press**

**Resolved** that under Section 100A of the Local Government Act 1972, the public and press be excluded from the meeting for the following item, by reason of the likely disclosure of exempt information within paragraphs 7 of Schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006.

### 100. **Executive Agenda (Confidential Items & Reports) – Wednesday 14 January 2015**

The Committee considered the following item which would be discussed at the meeting of the Executive on Wednesday 14 January 2015.

#### Item 14 – Election 2015 Count Venue – Exemption to Code of Procurement Practice

The Committee supported the recommendations in the report.

### 101. **Procurement Progress Update**

The Committee received a report from Finance which updated progress on procurement during the financial year 2014/15.

It was agreed at the July 2010 Executive that, as part of the Procurement Strategy, Members would receive an annual update on the progress of procurement and the procurement strategy.

The 2013 revision of the Code of Procurement Practice was continuing to be utilised for procurement activity across the Council. However, an updated code was presented to the Executive in December 2014 and would be confirmed by Council on 28 January 2015.

Councillors Rhead, Syson and Knight were the "Procurement Champions". This had involved having meetings with officers to discuss the progress on the procurement action plan and to "champion" the procurement work that was on-going. More recently they had supported the Procurement team in ensuring that service areas with a responsibility for contract management, managed the contract life cycle including costs and ensured that they programme the renewal of a contract in a timely manner.

The report detailed the position of contracts awarded for the current year to date. The table provided at 7.4 of the report explained the procurement activity from April 2014 to January 2015 with a description of

the contract, the relevant service area, value and supplier. The table showed the contracts awarded, live tendering opportunities, planned tender exercises and those contracts not awarded.

The Contracts Register had been reviewed with all section heads and budget holders to ensure all information held on the register was correct. Where a contract was due to expire, an explanation was entered and renewal programme agreed. The register would continue to be monitored and entries challenged where applicable.

Members were advised that although the new Code of Procurement Practice had not yet been formally adopted, staff were working in line with the general ethos in advance of the Council meeting in January.

A number of issues were raised by Members including the public address system at the Town Hall which many felt did not function correctly. The Committee were reminded to alert officers to any difficulties they were having, especially with the hearing loop, and these could be dealt with by the Spa Centre Manager.

It was noted that the Finance team members had done some excellent work with the Heads of Departments and this work was now moving forward in the right direction.

**Resolved** that the advances in procurement are noted.

102. **Executive Agenda (Non Confidential Items & Reports) – Wednesday 14 January 2015**

The Committee considered the following items which would be discussed at the meeting of the Executive on Wednesday 14 January 2015.

Agenda Item 7 – 2014 National Bowls Championships - Review

The Committee supported the recommendations but raised queries as to why the funding requested in recommendation 2.2 could not be covered by the remaining Bowls Championship budget.

The Committee were extremely pleased with the way the whole championship ran and formally asked that all the staff involved in bringing this together be congratulated for all the hard work they put in to make it the success it was, not only for the bowlers, but for all the business' in Leamington and the District.

Agenda Item 12B – Options Appraisal tender process and service specification development – Exemption to Code of Procurement Practice – Sports Options

The Committee had no real option but to support the recommendations but were not satisfied that this issue could not have been foreseen when the original report came to Executive in November.

Agenda Item 12C – Use of Emergency Powers in respect of authorising an Exemption to the Code of Procurement Practice

The Committee supported the recommendations in the report.

Agenda Item 12D – Rural / Urban Capital Improvement Scheme Application

The Committee supported the recommendations in the report.

Agenda Item 8 – The Introduction of a proposed Pre-Application Charging Regime for development proposals

The Finance & Audit Scrutiny Committee raised some concerns about Tiers 2a and 2b putting applicants off asking for advice but supported the recommendation to consult.

Agenda Item 10 – Open Land at Chase Meadow

The Committee supported the recommendation but highlighted to the Executive that if they were to proceed with the land transfer they needed to be satisfied that any additional maintenance costs, beyond that stated in the report, would not present an additional financial burden on the Council. Should these additional costs occur, then this needed to be highlighted to the officers who put together the S106 agreements as there could be a lot more over the coming years.

**103. Business Plan Performance Management Report**

The Committee received a report from Housing and Property Services which updated Members on the performance outturn of the Housing Business Plan for quarters 1 and 2 of 2014/15 and the progress to date of the housing advisory project to accelerate and maximise the provision of new homes as part of the Housing Business Plan and to improve the value for money of the existing service.

The Business Plan Financial Framework for 2014/15 quarters 1 and 2 was attached at Appendix 1 and the Business Plan Financial Framework Exception Report was attached at Appendix 2 to the report. This detailed the reasons and mitigations for the significant variations over the 50 year period.

An updated Appendix 1 had been circulated electronically and hard copies were provided at the meeting. The original appendix had contained a formula error which had resulted in the figures in the bottom row being incorrectly subtalled. The figures in question related to the section entitled "overall effect of all changes below" but all other figures in the document remained unchanged.

The Portfolio Holder for Housing and Property Services, Councillor Vincett, outlined the report and gave a summary of the highlights. He explained that whilst an initial look at the variance may appear extreme, he was



comfortable with the programme because it was constantly changing and was being closely controlled by officers.

The Head of Housing and Property Services, Mr Thompson, and Councillor Vincett answered a number of questions from Members including the District's net management costs per home and how we compared to other Housing Associations.

In response to a query regarding the housing stock condition data being out of date, Members were advised that the asset data project was hoped to be complete by the end of summer 2015. In addition, an update on the HRA business plan would be submitted in February or March 2015.

An update was also provided on unsigned contracts with two currently still outstanding. If responses were not forthcoming soon, officers agreed that they would need to consider their options with that contractor and also agreed that the target had not been met.

Members discussed the possibility of receiving more frequent updates but were mindful that the update reports may show little change.

**Resolved** that

- (1) the performance outturn of the Housing Business Plan for quarters 1 and 2 of 2014/15, is noted; and
- (2) the progress to date of the housing advisory project to accelerate and maximise the provision of new homes as part of the Housing Business Plan and to improve the value for money of the existing service, is noted.

**104. Comments from the Executive**

A report from Civic and Committee Services summarised the Executive's responses to comments which the Finance & Audit Scrutiny Committee gave on reports submitted to the Executive on 3 December 2014.

**Resolved** that the contents of the report be noted.

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

The Committee considered its work programme for 2014/15 and the latest published version of the Forward Plan.

Members noted that the item regarding the Bowls Update report had been removed from their workplan because it had been covered by the full update report provided on the January Executive agenda.

**Resolved** that

- (1) the work programme for 2014/2015 be noted;  
and
- (2) at present, there were no forthcoming Executive decisions which Members wished to have an input into before the Executive make their decision.

(The meeting ended at 8.30 pm)

| Contract Title   | Description   | Supplier  | Contact                    | Start date | End date   | Annual value                              | Extension Option  | Comments - including price change provisions and review dates.  | Signed Contract Agreement is with DMC (Deed Store) |
|--|---|---|----------------------------|------------|------------|---|---|---|--|
| Gym equipment: Phased replacement of gym equipment                           | Replacement gym equipment and servicing at the leisure centres  | Pulse Fitness   | Kevin Carty                | 01/12/2009 | 31/12/2014 | TBC                                       |   | Supported by Gym Equipment Renewal Reserve. Future expenditure is subject to outcome of options appraisal   | YES  |
| Licence to use Victoria Park Tennis Courts                                   | Licence to use Victoria Park Tennis Courts  | VP Tennis   | Tom Duckham/Stuart Poole   | 15/07/2011 | 14/07/2021 | £1,000                                    | N/A   |   | YES  |
| Golf Course-The Provision of a Golf Course at Newbold Comyn                  | Management and operation of the golf course at Newbold Comyn  | Mack Trading  | TBC                        | 01/04/2010 | 01/03/2060 | Various over term of contract and revenue |   |   | YES  |
| Repair and Maintenance for the climbing wall at St Nicholas Leisure Centre   | Repair and Maintenance of the climbing wall at St Nicholas Leisure Centre   | Entre Prises  | Ian Rourke                 | 01/12/2011 | 01/11/2015 | £500                                      |   | One off repair in 2011 at £8,370. Annual maintenance checks carried out by contractor - low value £500 approx, therefore no signed contract in Deed Store.  | NO   |
| Catering at the Royal Pump Rooms, The Restaurant in the Park                 | Catering at the specified sites   | The Crown Group   | Rose Winship               | 01/01/2012 | 28/02/2018 | TBC                                       | Option to extend for a further 6 years  | NCLC removed from contract summer 2012. Aviary removed by formal agreemnt and Deed of Agreement in Feb 2014.  | YES  |
| Security Services Framework  | A range of security services : general security; event management ( social & formal ) ; securing sights; parking management & control; crowd management . All of these including collecting money | Cava Security Services; H.G. Security & Property Protection Ltd;Leisuresec PLC; Oakwood Event Security Ltd; Safetynet Security; WCS( Warwickshire ) Ltd; Xforce Security UK Ltd | Tom Duckham & Stuart Poole | 23/07/2012 | 22/07/2016 | Various                                   |   | This is a corporate framework contract which pre-dates the current procurement team. According to documents the contract has been signed and returned to WDC which officers are currently try to trace.   | NO   |
| Sports & Arts in West Warwick  | Contract to deliver programme of activities to encourage residents to take part in physical activities  | Sky Blues in the Community  | Manoj Sonecha              | 01/01/2013 | 31/03/2015 | Various over term of contract             |   | Officers working with partners to consider activities beyond end of the project 2 years.  | YES  |
| Diary and Resource Management System   | Diary and Resource Management System: located at Royal Spa Centre and Town Hall   | Artifax Software Limited  | David Guilding             | 01/08/2013 | 31/07/2015 | £2,885                                    | Contract value for 6 years excluding VAT<br>Optional annual extension up to 6 years total term (31/07/19) | License agreement, rolling after 6 years.   | YES  |
| Framework for various catering services                                      | Catering Services: Lot 1 Buffet Food for various corporate catering services  | Savi Foods Limited  | David Guilding             | 06/01/2014 | 05/01/2015 | Framework contract no value attributed    | for 12 months, with the framework renewed annually up to a maximum term ending 31st December 2017         | Contract rolled on for a further 12 months in line with extension option  | YES  |
| Provision of light and sound Equipment at the Royal Spa Centre               | The replacement of key theatre production equipment and the servicing of various existing stage equipment items within the Royal Spa Centre & Town Hall.  | Stage Electrics   | David Guilding/ John Greet | 13/02/2014 | 12/02/2016 | £71,162                                   | One off installation, maintenance programme up to a maximum of 5 years                                    |   | YES  |
| Digital Screening Equipment  | Conversion of Cinema to Digital Screening Equipment   | Future Projections  | Laura Bates                | 13/02/2014 | 12/02/2016 |   | On-going Maintenance Programme from 2 years up to a maximum of 5 years                                    |   | YES  |
| Leisure Centre Resale Items  | For the provision of Leisure Site Resale products   | SRS Leisure   | Kevin Carty                | 26/02/2014 | 25/02/2017 | Call-off contract - no value attributed   | 3 YEARS (With the option for further 1 + 1 years, subject to performance and council Requirements)        | 3 YEARS (With the option for further 1 + 1 years, subject to performance and council Requirements)  | YES  |
| Options Appraisal Sports and Leisure incorporating Sports & Leisure Phase II | Consultancy support for Options Appraisal (FFF project). Specialist support for service specification development and tender process  | Strategic Leisure   | Rose Winship               | 05/03/2014 | TBC        | Phase I - £33,826<br>Phase II - TBC       | Day rates to be provided for additional work as required  | Phase I - appraisal of options and report (contract signed, work completed July 2014). Phase II, following approval for exemption from procurement - Executive January 2015. Work underway to confirm details and price. Variation to contract to be completed.   | YES  |
| Pool Chemicals   | Pool dosing chemicals   | J.A.K   | Kevin Carty                | Ongoing    | Ongoing    | £20,000                                   |   | One supplier of chemicals for current dosing system<br>Ongoing chemical supply for 3 pools. Single supplier of product. Can review product at point of replacing dosing equipment (subject to decision by H&PS)<br>Future expenditure is subject to outcome of Options Appraisal and any refurbishment to plant | NO   |
| Car Park Management - Bowls Nationals 2014                                   | Car Park Management - Bowls Nationals 2015  | C J Events  | Tom Duckham                | 01/08/2014 | 01/09/2014 | £22,541                                   |   | Agreed by SS - quotation price just over the £20k threshold. One off project therefore no signed contract in Deed Store.  | NO   |
| Vending Machines for Corporate buildings                                     | Vending machines for a number of corporate venues throughout the Warwick District (using ESPO Framework 900)  | LTT Vending Ltd   | Stephen Falp               | TBC        | TBC        | £10,000                                   | Option to extend for a further 1 + 1  | Projected sales for the duration of the contract. WDC will receive a % commission of overall sales  | YES  |

| Contract Title                   | Description                            | Supplier              | Contact                       | Start date | End date   | Annual value | Extension Option                  | Comments - including price change provisions and review dates.  | Signed Contract Agreement is with DMC (Deed Store) |
|----------------------------------|--|-----------------------|-------------------------------|------------|------------|--------------|-----------------------------------|---|--|
| Town Hall AV System: Maintenance | Maintenance of the Town Hall AV System | Mustard Presentations | David Guilding                | 04/09/2014 | 03/09/2015 | £2,400       | To be reviewed on an annual basis |   | YES  |
| Annual Pantomime                 | Panto at Royal Spa Centre              | Imagine               | David Guilding                | 31/01/2010 | 31/01/2016 | £60,000 +    | 2 year rollover at end of term    | Annual value and contract value subject to ticket sales. Work commenced to consider retender process  | YES  |
| Pump Rooms PA System             | Pump Rooms PA System                   | EM&I                  | Stephen Blake/<br>Jeff Watkin | 11/12/2014 | 10/12/2014 | £8,882       | One off purchase                  | One off purchase, maintenance of the system to be undertaken through the electrical contract managed by H&PS. Therefore no signed contract in Deed Store. | NO   |





|  |  |  |
|--|--|--|
|  |  |  |
|  |  |  |
|  |  |  |







|  |  |
|--|--|
|  |  |
|  |  |
|  |  |





|  |  |  |  |
|--|--|--|--|
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

| End date   | Annual value | Contract value | Extension Option |
|------------|--------------|----------------|------------------|
| 31/03/2021 | £114,000.00  | £912,000.00    |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |
|            |              |                |                  |




|  |  |  |  |
|--|--|--|--|
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |







|  |
|--|
|  |
|  |
|  |

|   |   |                                    |
|---|---|------------------------------------|
|  <b>FINANCE &amp; AUDIT SCRUTINY COMMITTEE</b><br><b>10<sup>th</sup> FEBRUARY 2015</b>   |   | <b>Agenda Item No.</b><br><b>4</b> |
| <b>Title</b>  | Review of Cultural Services Contracts Register  |                                    |
| <b>For further information about this report please contact</b>   | Rose Winship<br><a href="mailto:Rose.winship@warwickdc.gov.uk">Rose.winship@warwickdc.gov.uk</a><br>01926 456223<br>Mike Snow<br><a href="mailto:Mike.snow@warwickdc.gov.uk">Mike.snow@warwickdc.gov.uk</a><br>01926 456800 |                                    |
| <b>Wards of the District directly affected</b>  | All   |                                    |
| <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>   | No  |
| <b>Included within the Forward Plan? (If yes include reference number)</b> | No  |
| <b>Equality and Sustainability 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   | 26/1/2015   | Andy Jones                               |
| Head of Service  |             | Rose Winship/Mike Snow                   |
| CMT  |             |  |
| Section 151 Officer  |             | Mike Snow                                |
| Monitoring Officer   |             | Andy Jones                               |
| Finance  | 26/1/2015   | Sue Simmonds                             |
| Portfolio Holder(s)  |             | Cllr Sue Gallagher<br>Cllr Stephen Cross |
| <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 The report sets out the current position of the Cultural Services Contract Register, and highlights any issues which need to be addressed in the coming 12 months.

## 2. **RECOMMENDATION**

- 2.1 Finance and Audit Scrutiny Committee review the Cultural Services Contract Register attached as Appendix 1 and make observations as appropriate.

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

- 3.1 The Cultural Services 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 **Policy Framework**

Under the Council's Code of Procurement Practice, details of all contracts for the supply of goods, services and supplies should be held on the Council's central Contract Register. The Code also states the tender process to be used by officers when procuring goods and services.

### 4.2 **Fit for the Future**

By following the Council's Code of Procurement Practice in procuring goods, services and supplies, officers will be contributing to the Council's vision, and key policy priorities included within the Sustainable Community Strategy. The following specific benefits should arise:-

- The Council will be sure it is obtaining value for money from its expenditure, in the provision of all its services for local council tax payers.
- Opportunities will be given to local employers to tender for Council contracts, thus contributing to the Prosperity Agenda.
- It will be demonstrable that the Council, and officers, are operating fairly, in an open and transparent manner.

## 5. **BUDGETARY FRAMEWORK**

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

## 6. **RISKS**

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

to be properly managed to ensure compliance with the service level agreements, whilst considering all relevant aspect that may affect the performance of the contract.

Also, it is important that contract managers pro-actively plan ahead to ensure the procurement of future contracts is properly managed.

## **7. ALTERNATIVE OPTION(S) CONSIDERED**

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

## **8. BACKGROUND**

8.1 The Terms of Reference for the Finance and Audit Scrutiny include "Promote value for money and good procurement practice". This is a role that the Committee has actively pursued. In carrying out this role the Committee appointed three of its members to act as Procurement Champions to assist and advise the Procurement Manager. Partly as a result of these actions, the status and knowledge of procurement has increased substantially across the organisation in recent years.

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

8.3 At this point it was highlighted that the Council's corporate Contract Register was incomplete. Since then, the Procurement Team have been working actively with Heads of Service to ensure that all contracts, and details relating to them, are included within the Register.

## **9. Cultural Services Contract Register**

9.1 The latest version of the Cultural Services elements of the Corporate Contract Register is set out in Appendix 1.

### **9.2 Contract Management in Cultural Services**

9.2.1 Cultural Services budget managers continue to work closely with the Procurement team to discuss the best approach for the variety of contracts and procurement activities required within the service area. The service manages a variety of different contract types as determined by the range of services delivered. These include:

- Direct Service delivery
- Purchase of goods
- Specialist services/consultancy
- Entertainment/performances

9.2.2 Section Heads are responsible for flagging up the need for a contract to be procured and will work with the procurement team representative to agree the best form of tender process to be followed. They will then continue to lead the process until the contract is awarded. Responsibility for day to day management of an individual contract is then delegated to the most appropriate officer within the team depending on the nature, scale and value of the contract.

9.2.3 The approach to the management of each contract depends on the contractual terms in place and the value of the contract. Broadly the following guidelines are applied for the 4 main types of contract awarded in Cultural Services.

### 9.3 Direct Service Delivery

9.3.1 This category includes the contracts awarded for management of the golf course, catering services in the Royal Pump Rooms and Jephson Gardens, car parking in Victoria Park for the Bowls National Championships, and Active Lifestyles in Warwick West (IMPACT project).

9.3.2 In most cases these are medium to high value contracts and therefore it is typical that they will be established through the process of formal tenders and in some cases qualifies for OJEU tendering. The process will be instigated by either the Head of Service or Section Head who will be the lead for the tender process from Cultural Services working with the Procurement Team, until the contract is awarded. The on-going management of the contract will then take the form of formal monitoring meetings between the contractor and appropriate Council officer. The length of contract will vary depending on the subject matter, ranging from 50years in the case of the golf course contract, to 2 years in the case of the IMPACT project. In all contracts of this nature, the approach to contract monitoring is specified in the contract, details agreed with the contractor at the start of the contract, and records are kept for future reference. Any issues emerging through contract monitoring will be escalated to Head of Service as necessary, and the portfolio Holder informed of any areas of concern.

9.3.3 As these contracts near the end of their contract term, or at a point when the contract is considered to be unviable, discussions would take place regarding the need to re-tender for the service. This is picked up through the annual service plan process, but may be pre-empted if the standard of service declines to such an extent that the contract may be considered to be in breach. In both cases, officers would take the opportunity to consider the options available to them for future delivery of the service, and where necessary instigate the process to re-tender.

### 9.4 Purchase of Goods

9.4.1 The service area procures a wide range of goods, either for the delivery of services, or for resale to customers. These include but are not restricted to sports resale items, cleaning materials, security services and staff uniforms. Many of these require ongoing call off orders throughout the year, for which a contract is established whereby the appropriate quantities can be purchased as required, based on costs agreed in the contract. Some of these contracts are held as corporate contracts and therefore do not appear on the Cultural Services Contract Register.

9.4.2 These contracts are generally for lower value/high volume items which combine to create small/medium value contracts. Typically, three quotes or a mini tender process is used to award the contract. Monitoring of these contracts takes the form of the ongoing monthly budget monitoring carried out by budget managers who will be able to monitor the spend against budget, and the income generated by items which are resold to customers.

## 9.5 Specialist services/consultancy

- 9.5.1 From time to time, specialist advice of consultancy is required. Recent examples of this has been the consultancy support from Strategic Leisure for the Sports and Leisure options appraisal, the appointment of Neil Allen Associates to undertake the audit of leisure facilities and associated strategy documents, and The Research Solution to design and undertake independent surveys related to the National Bowls Championships.
- 9.5.2 Such services can be procured by an established framework, where appropriate frameworks exist. In the case of Strategic Leisure and Neil Allen, a formal tender process was conducted to test the market and identify the best solution. In the case of The Research Solution, the value of this work fell below the threshold for three quotes, so was awarded based on best value in the delivery of the requirement
- 9.5.3 The success of contracts of this type depends on clear specification of outputs at the tendering stage, a detailed evaluation process, followed by robust project management by the appropriate manager responsible for the work to ensure service levels are agreed and achieved.

## 9.6 Entertainment bookings

- 9.6.1 Where there is a need to procure the services from an entertainer, the requirement is perceived to be a sole provider and due to the nature of the requirement would not be feasible to carry a procurement exercise. Under this circumstance the requirement would be exempt under 6.4.4 of the Code of Procurement Practice.
- 9.6.2 Of the top 50 suppliers used by Cultural Services, by spend, 17 of these were "theatre shows/hires" which are exempt as described above.

## 9.7 Contracts due for review or new contracts in next 6 months

- 9.7.1 Following the report to the Executive in January 2015, work has now commenced on tendering for the delivery of car parking in Victoria Park during the National Bowls Championships for the next 4/5 years. The service was tendered for the one year only in 2014, in order to assess the impact of the new arrangements. Following the highly successful parking arrangements in 2014, it is considered beneficial to progress with a longer term contract which may realise some financial savings.
- 9.7.2 Work is currently ongoing to consider alternatives to the current box office system that manages ticket sales and hires for the Royal Spa Centre, Town Hall and some ticket sales for local arts organisations. The General Manager at the Royal Spa Centre has liaised with ICT colleagues and procurement colleagues to understand the options that are available to deliver a better service to customers, analyse sales data in order to allow more targeted marketing in the future, consider technology solutions that will allow the Council to operate as a ticket agency for other organisations, and have a "cloud based system" that is more robust and less of a risk to the Council's server.
- 9.7.3 The above 2 contracts are currently on the Procurement Plan and will be moved onto the Contracts Register once the contract is awarded.
- 9.7.4 The contract with Imagine, the production house who have produced and delivered the panto at the Royal Spa Centre expired after the 2014 panto. Work



is underway to consider the best approach for a future contract that will continue the good standard and financial success of productions that have been enjoyed in recent years.

9.7.5 A recent exercise lead by Finance to generate a list of total spend against creditors, demonstrated potential for new contracts to be established for bar and catering supplies and sports equipment. A further area for work in the future may be the supply of pool chemicals which will be picked up once the outcome of the Options Appraisal is concluded in sports and leisure.

## 9.8 Procurement training

9.8.1 Appropriate training on procurement and contract management is acknowledged as an essential element of the training programme in Cultural Services. Head of Service, section heads and Business Support Manager have all attended the 2 day Procurement training in the last 2 years. All budget managers in the service area and other appropriate staff are booked onto the Procurement Workshops scheduled for summer 2015 (Appendix 2).

9.8.2 It is acknowledged that further training for those monitoring contracts would be beneficial in the case of high value, high profile contracts. Discussions are ongoing with HR Manager and Head of Finance on the most appropriate approach to this training across the organisation.

**Corporate Procurement Training (Summer 2015)**

|  |  |
|--|--|
| <p><b><u>Workshop 1 - Procurement Mythbusters</u></b><br/> <i>- this is aimed at anyone who has a delegated responsibility for procurement or those who support the process e.g. raising an order</i></p> <p>1.</p> <p>2. (Any individuals who are involved with procurement to attend this)</p>   | <p><b><u>Workshop 2 – Advanced Procurement</u></b><br/> <i>- aimed at those who are actively involved with procurement and manage the delivery</i></p> <p>3. (For individuals that need more advanced knowledge of procurement they must attend Workshop 1 and then Workshop 2)</p>  |
| <p>Duration – 3 hours<br/> Planned for Jan to Feb 15 Dates TBC</p>   | <p>Duration – 3 hours<br/> Planned for May - June 15 Dates TBC</p>   |
| <p>Content –</p> <ul style="list-style-type: none"> <li>• What is Procurement.</li> <li>• What part does it play in ensuring the Council delivers ‘best value’ in line with our corporate objectives.</li> <li>• Why is it so important to the Council, relating to our customers, taxpayers and suppliers, to follow procurement procedures and law.</li> <li>• Find out who is responsible for the key parts in the procurement life cycle within the Council and who to go to for help and advice.</li> </ul> | <p>Objectives –</p> <ul style="list-style-type: none"> <li>• Recognise how to obtain value for money for the procurement of goods, services and works.</li> <li>• Define where the external market influences our procurement processes and where the Council needs to focus its efforts.</li> <li>• Establish when different levels of expenditure apply to the procurement process.</li> </ul> |

**Cultural Services attendees on both workshops:**

**Royal Spa Centre and Town Hall**

Deputy Manager  
Customer Services Manager  
Technical Services Manager  
Operations Manager

**Heritage and Arts**

Operations Supervisor  
Senior Curators (2)

**Sports & Leisure**

Sports & Leisure Manager (New starter Feb 2015)  
Area Manager – Sports Facilities  
Events Management Officers  
Active Communities Officer



|  |   |
|--|---|
| <b>Title</b>   | <b>Comments from the Executive</b>  |
| <b>For further information about this report please contact</b>  | Amy Carnall<br>Committee Services Officer<br>01926 456114<br><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>   |   |

|  |    |
|--|----|
| <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 14 January 2015.

## **2. Recommendation**

- 2.1 That the responses made by the Executive be noted.

## **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 13 January 2015, the Finance & Audit Scrutiny Committee considered the items detailed in the appendices. The responses which the Executive gave are also shown.

**Responses from the meeting of the Executive held on 14 January 2015 to the Finance and Audit Scrutiny Committee's comments**

| <b>Item no</b>            | 7 | <b>Title</b> | <b>2014 National Bowls Championship Update</b>  |
|---------------------------|---|--------------|---|
| <b>Scrutiny Comment</b>   |   |              | <p>The Finance &amp; Audit Scrutiny Committee supported the recommendations but raised queries as to why the funding requested in recommendation 2.2 could not be covered by the remaining Bowls Championship budget.</p> <p>The Finance &amp; Audit Scrutiny Committee were extremely pleased with the way the whole championship ran and formally asked that all the staff involved in bringing this together be congratulated for all the hard work they put in to make it the success it was, not only for the bowlers, but for all the business' in Leamington and the District.</p> |
| <b>Executive Response</b> |   |              | <p>The Executive thanked the Scrutiny Committee for their comments and agreed that formal thanks should be passed to all staff involved.</p> <p>In response to the query regarding recommendation 2.2, Members were advised that this equipment was for use by the events staff across the District and not just for the Bowls Championships.</p>   |

| <b>Item no</b>            | 8 | <b>Title</b> | <b>Pre-Application Charging</b>  |
|---------------------------|---|--------------|--|
| <b>Scrutiny Comment</b>   |   |              | <p>The Finance &amp; Audit Scrutiny Committee raised some concerns about Tiers 2a and 2b putting applicants off asking for advice but supported the recommendation to consult.</p> |
| <b>Executive Response</b> |   |              | <p>The Executive thanked the Scrutiny Committee for their comments and hoped that any concerns about the impact of the charging would come out during the consultation.</p>        |

| <b>Item no</b>            | 10 | <b>Title</b> | <b>Open Land at Chase Meadow</b>   |
|---------------------------|----|--------------|--|
| <b>Scrutiny Comment</b>   |    |              | <p>The Finance &amp; Audit Scrutiny Committee support the recommendation but highlight to the Executive that if they proceed with the land transfer they need to be satisfied that any additional maintenance costs, beyond that stated in the report, will not present an additional financial burden on the Council. Should these additional costs occur, then this needs to be highlighted to the officers who put together the S106 agreements as there could be a lot more over the coming years.</p> |
| <b>Executive Response</b> |    |              | <p>The Executive thanked the Scrutiny Committee for their comments and asked Members to refer to the additional information provided after the</p>   |

|  |  |
|--|--|
|  | scrutiny meeting by officers. This advised that officers were satisfied that the funds quoted were sufficient for these sites over the 13 year period. |
|--|--|

|                           |  |              |   |
|---------------------------|--|--------------|---|
| <b>Item no</b>            | 11   | <b>Title</b> | <b>Significant Business Risk Register</b> |
| <b>Scrutiny Comment</b>   | The Finance & Audit Scrutiny Committee supported the recommendations in the report but highlighted that Appendix 2 did not marry up with the information supplied in Appendix 1. |              |   |
| <b>Executive Response</b> | The Executive thanked the Scrutiny Committee for their comments and agreed that the amendments would be incorporated in future reports.  |              |   |

|                           |  |              |  |
|---------------------------|--|--------------|--|
| <b>Item no</b>            | 12B  | <b>Title</b> | <b>Options Appraisal tender process and service specification development Exemption to the Code of Procurement Practice – Sports Options</b> |
| <b>Scrutiny Comment</b>   | The Finance and Audit Scrutiny Committee had no real option but to support the recommendations but were not satisfied that this issue could not have been foreseen when the original report came to Executive in November. |              |  |
| <b>Executive Response</b> | The Executive thanked the Scrutiny Committee for their support.  |              |  |


|                           |   |              |   |
|---------------------------|---|--------------|---|
| <b>Item no</b>            | 12C   | <b>Title</b> | <b>Use of Emergency Powers in respect of authorising an Exemption to the Code of Procurement Practice</b> |
| <b>Scrutiny Comment</b>   | The Finance and Audit Scrutiny Committee supported the recommendations in the report. |              |   |
| <b>Executive Response</b> | The Executive thanked the scrutiny committee for their support.                       |              |   |

|                           |   |              |   |
|---------------------------|---|--------------|---|
| <b>Item no</b>            | 12D   | <b>Title</b> | <b>Rural/Urban Capital Improvement Scheme Application</b> |
| <b>Scrutiny Comment</b>   | The Finance and Audit Scrutiny Committee supported the recommendations in the report. |              |   |
| <b>Executive Response</b> | The Executive thanked the scrutiny committee for their support.                       |              |   |

|                         |   |              |  |
|-------------------------|---|--------------|--|
| <b>Item no</b>          | 14  | <b>Title</b> | <b>Election 2015 Count Venue – Exemption to Code of Procurement Practice</b> |
| <b>Scrutiny Comment</b> | The Finance and Audit Scrutiny Committee supported the recommendations in the report. |              |  |

**Executive  
Response**

The Executive thanked the scrutiny committee for their support.

|   |  |  |
|---|--|--|
|  <b>Finance &amp; Audit Scrutiny Committee</b><br><b>- 13 January 2015</b>   |  | <b>Agenda Item No.</b><br><h1 style="text-align: center;">6</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 Carnall<br>Committee Services Officer<br>01926 456114 or<br><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 2014/15 (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.
- 8.7 Members are advised that two of the Audit Items previously programmed in for the February 2015 have been moved to the March meeting. These are both items that are being compiled by Grant Thornton, the Council's external auditors, and officers are awaiting further updates from them.

## Finance and Audit Scrutiny Committee Work Programme 2014/15

**10 February 2015**

### Audit Items

**No scheduled Audit items**

### Scrutiny items

|   |                                       |        |           |  |
|---|---------------------------------------|--------|-----------|--|
| 1 | Contract Register – Cultural Services | Report | Mike Snow |  |
|---|---------------------------------------|--------|-----------|--|

**10 March 2015**

### Audit Items

|   |  |        |                |                              |
|---|--|--------|----------------|------------------------------|
| 1 | Internal Audit Strategic Plan 2015/16 – 2017/18 and Internal Audit Charter | Report | Richard Barr   | Annual report                |
| 2 | Internal Audit Quarterly Report Quarter 3 2014/15                          | Report | Richard Barr   | Quarterly report             |
| 3 | 2014/15 Audit Opinion Plan   | Report | Mike Snow / EA | Annual report                |
| 4 | External Audit Certification of Claims and Returns                         | Report | Mike Snow      | External Audit Annual report |
| 5 | Auditing Standards   | Report | Mike Snow      | Annual report                |

**No scheduled scrutiny items**

**8 April 2015**

### Audit Items

|   |  |        |              |  |
|---|--|--------|--------------|--|
| 1 | Housing & Property Services Risk Register Review | Report | Richard Barr | Approved Executive 11.01.12 minute 115 |
|---|--|--------|--------------|--|

### Scrutiny Items

|   |                    |        |                        |               |
|---|--------------------|--------|------------------------|---------------|
| 2 | End of Term Report | Report | Peter Dixon /<br>Chair | Annual report |
|---|--------------------|--------|------------------------|---------------|

**To be arranged**

Contract register reviews to be considered alongside Service Risk Registers. Chairman and officers to discuss format – agreed 25 March 2014 (minute 174) / 7 May 2014 (minute 197)

Presentation on Disabled Adaptations – agreed 11 December 2012 (minute 97, Executive item 5)

**Contracts Registers Reviews 2015/16 & 2016/17**

June 2015 – Development Services

August 2015 - Neighbourhood Services

November 2015 - Finance

February 2016 - Chief Executives

June 2016 - Health & Community Protection

**Service Risk Register Reviews 2015/16**

July 2015 – Cultural Services

October 2015 – Development Services



## **FORWARD PLAN**

### **Forward Plan February 2015 to May 2015**

**COUNCILLOR ANDREW MOBBS**  
**LEADER OF THE EXECUTIVE**

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

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

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

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

## Section 1 – The Forward Plan February 2015 to May 2015

| Topic and Reference                                     | Purpose of report   | If requested by Executive –date, decision & minute no. | Date of Executive, Committee or Council meeting             | Publication Date of Agendas | Contact Officer & Portfolio Holder     | External Consultees/ Consultation Method/ Background Papers |
|---|---|--|---|-----------------------------|--|---|
| <b>February 2015</b>                                    |   |  |   |                             |  |   |
| Extension of disabled adaptations contract<br>(Ref 657) | To request an extension to the current contract with Lovell Ltd for a period twelve months<br><br><b>It is intended that this report will be Confidential by virtue of the information relating to the financial or business affairs of any particular person (including the authority holding that information</b> |  | Executive – 11 <sup>th</sup> Feb 2015                       | 2 February 2015             | Abigail Hay<br><br>Cllr Norman Vincett | Executive Report 12 <sup>th</sup> February (Confidential)   |
| General Fund 2015/16 Budgets & Council Tax<br>(Ref 663) | To update members on the overall financial position of the Council, consider the General Fund Revenue and Capital Budgets for the following financial Year, proposing the Council Tax for the following year  |  | Council – February 2015<br><br>Executive – 11 February 2015 | 2 February 2015             | Mike Snow<br>Cllr Cross                |   |
| HRA Rent Setting 2015-16<br>(Ref 664)                   | To report on the proposed level of Housing Rents for the following year and the proposed budget   |  | Council – February 2015<br><br>Executive – 11 February 2015 | 2 February 2015             | Mark Smith<br>Cllr Cross               |   |
| Heating, Lighting and Water Charges 2015/16 –           | To propose the level of recharges to council housing tenants to recover the costs of communal heating, lighting   |  | Council – February 2015                                     | 2 February 2015             | Mark Smith<br>Cllr Cross               |   |

|   |   |  |  |                    |  |  |
|---|---|--|--|--------------------|--|--|
| Council Tenants<br>(Ref 665)  | and water supply.   |  | Executive –<br>11 February<br>2015   |                    |  |  |
| Treasury<br>Management<br>Strategy<br>(Ref 666)                                       | To seek Member approval of the<br>Treasury Management Strategy and<br>Investment Strategy for the<br>forthcoming year   |  | Council –<br>February<br>2015<br><br>Executive –<br>11 February<br>2015              | 2 February<br>2015 | Roger<br>Wyton<br><br>Cllr Cross                         |  |
| Disposal of WDC<br>owned land at<br>Station<br>Approach in<br>Leamington<br>(Ref 636) | To seek support for the principle of<br>the council disposing of this land<br><br><b>It is intended that this report will<br/>be Confidential by virtue of the<br/>information relating to the<br/>financial or business affairs of any<br/>particular person (including the<br/>authority holding that information</b><br><br>(Moved from December 2015 -<br>Reason 4) |  | <del>Executive 3<br/>December<br/>2014</del><br><br>Executive 11<br>February<br>2015 | 2 February<br>2015 | Bill Hunt<br><br>Philip<br>Clarke<br><br>Cllr<br>Hammond |  |
| VCS<br>Procurement<br>(Ref 678)   | To deliver voluntary and community<br>sector services in Warwick District<br>2015 – 2018  |  | Executive –<br>14 <sup>th</sup> Jan<br>2015  | 2 February<br>2015 | Liz Young<br><br>Cllr Coker                              |  |

## March 2015

|   |  |  |  |  |   |   |
|---|--|--|--|--|---|---|
| Procurement Strategy and Action Plan<br>(Ref 667) | To consider the Procurement Strategy and Action Plan   |  | Executive – 11 <sup>th</sup> March 2015  | 2 March 2015                               | Susan Simmonds<br>Cllr Cross                                  |   |
| Financial Code of Practice<br>(Ref 668)           | To seek Member approval for the updated Code of Financial Practice   |  | Executive – 11 <sup>th</sup> March 2015  | 2 March 2015                               | Jenny Clayton<br>Cllr Cross                                   |   |
| Regeneration in Lillington<br>(Ref 672)           | To consider opportunities linked with the development of land through the Local Plan and at Crown Way        |  | Executive – 11 <sup>th</sup> March 2015  | 2 March 2015                               | Phil Clarke<br>Andy Jones<br>Cllr Vincett                     | Warwickshire County Council<br>Owners of land at Red House Farm, Lillington |
| Homeless Strategy<br>(673)                        | To approve the Council's Homeless Strategy   |  | Executive – 11 <sup>th</sup> March 2014  | 2 March 2015                               | Ken Bruno<br>Cllr Norman Vincett                              | Housing Sounding Board  |
| Playing Pitch Strategy<br>(Ref 655)               | To adopt the strategy for the District<br>(Moved reason 3 Waiting for further information from another body) |  | <del>Executive – 11<sup>th</sup> Feb 2015</del><br>Executive – 11 <sup>th</sup> March 2015 | <del>2 February 2015</del><br>2 March 2015 | Rose Winship<br>Dan Robinson<br>Cllr Gallagher<br>Cllr Hammon | National Governing Bodies of Sport<br><br>Surveys, interviews, workshops    |



|   |  |  |   |  |                                    |   |
|---|--|--|---|--|------------------------------------|---|
| Council House Building<br>(Ref 675)                       | To consider a report on the options for delivery of Council House Building<br><br>(Moved reason- (Unknown))  |  | Executive <del>11<sup>th</sup> February 2015</del><br>Executive - 11 <sup>th</sup> March 2015 | <del>2-February 2015</del><br>2 March 2015 | Andy Thompson<br>Cllr Vincett      |   |
| Housing Advisory Group<br>(Ref 656)                       | To propose the working arrangements for the Housing Advisory Group<br><br>(Moved reason- (Unknown))  |  | Executive <del>11<sup>th</sup> Feb 2015</del><br>Executive - 11 <sup>th</sup> March 2015      | <del>2-February 2015</del><br>2 March 2015 | Abigail Hay<br>Cllr Norman Vincett | Constitution Working Group. Council Motion 25 <sup>th</sup> June 2014<br>Council Report 19 <sup>th</sup> November 2014 – Response to Council Motion |
| Cleaning Services<br>(Ref 659)                            | To approve a revised way of delivering the Cleaning Services to Council buildings.<br><br>Moved from January – Reason 5 – pending further legal advice on implications of report |  | <del>14<sup>th</sup> Jan 2015</del><br>Executive 11 <sup>th</sup> March 2015                  | <del>2-February 2015</del><br>2 March 2015 | Jacky Oughton<br>Norman Vincett    |   |
| Review of SEV Policy<br>(Ref 677)                         | To consider a report from the SEV Task & Finish Group proposing amendments to the Council's SEV Policy   |  | Executive <del>11 February 2015</del>   | <del>2-February 2015</del>                 | Amy Carnall<br>Cllr Rhead          |   |
| W2 Revised Agreement<br>(Ref 646)                         | To approve a revised agreement with the Waterloo Housing Group<br><br>Moved from December (Reason 3)   |  | Executive <del>3 December 2014</del><br>Executive <del>11th Feb 2015</del>                    | <del>2-February 2015</del>                 | Andrew Thompson<br>Cllr Vincett    |   |
| Corporate Property PPM 2015-16 – To approve the corporate | <b>It is intended that this report will be Confidential by virtue of the information relating to the financial or business affairs of any particular person (including the</b>   |  | Executive 11 <sup>th</sup> March 2015   |  | Matt Jones<br>Cllr Vincett         |   |

|   |   |  |                                       |  |                               |  |
|---|---|--|---------------------------------------|--|-------------------------------|--|
| property planned and preventative maintenance programme for 2015-16   | <b>authority holding that information</b> |  |                                       |  |                               |  |
| Housing & Property Services – Tier III Redesign (P&C Report) – To agree budgets for Redundancy and Pension Payments |   |  | Executive 11 <sup>th</sup> March 2015 |  | Matt Jones<br>Cllr<br>Vincett |  |
| <b>April 2015</b>   |   |  |                                       |  |                               |  |
|   |   |  |                                       |  |                               |  |

**Section 2 Key decisions which are anticipated to be considered by the Council between May 2015 and September 2015**

| <b>Topic and Reference</b>                                   | <b>Purpose of report</b>  | <b>If requested by Executive -date, decision &amp; minute no.</b> | <b>Date of Executive, Committee or Council meeting</b>   | <b>Publication Date of Agendas</b>          | <b>Contact Officer &amp; Portfolio Holder</b> | <b>External Consultees/ Consultation Method/ Background Papers</b> |
|--|---|---|--|---|---|--|
| <b>June 2015</b>   |   |   |  |   |   |  |
| Private sector housing grants policy<br>(Ref 658)            | To propose a revised policy for the allocation of grant funding for private residents   |   | Executive – 11 <sup>th</sup> March 2015  | 2 March 2015                                | Abigail Hay<br>Cllr Norman Vincett            | TBC  |
| Tenants Incentive Grant Scheme – To approve a revised Policy |   |   |  |   | Jacky Oughton<br>Cllr Norman Vincett          |  |
| <b>July 2015</b>   |   |   |  |   |   |  |
| Final Accounts<br>(Ref 669)                                  | To report on the Council’s outturn position for both revenue and capital  |   |  |   | Marcus Miskinis<br>Cllr Cross                 |  |
| Housing Allocations Policy<br>(Ref 607)                      | To approve a new housing allocations policy<br>(Moved reason 1 Portfolio Holder has deferred the consideration of the report) |   | <del>Executive 5 November 2014</del><br><del>Executive 9 April 2014</del><br>Moved for reason 1 to avoid purdah. | <del>27 October 2014</del><br>27 March 2015 | Ken Bruno<br>Cllr Vincett                     | Housing Strategy 2014 - 2017                                       |
| <b>August 2015</b>   |   |   |  |   |   |  |

|  |  |  |                              |                 |                                   |  |
|--|--|--|------------------------------|-----------------|-----------------------------------|--|
| Supporting People Grant Changes<br>(Ref 674) | To provide an update on the outcome of the Supporting People Funding consultation and its effect on Warwick District<br><br>(Moved Reason 2- Waiting for further information from a Government Agency) |  | Executive 11th February 2015 | 2 February 2015 | Jacky Oughton<br><br>Cllr Vincett |  |
|--|--|--|------------------------------|-----------------|-----------------------------------|--|

## September 2015

|  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|

## TO BE CONFIRMED

| Topic and Reference  | Purpose of report   | History of Committee Dates & Reason code for deferment | Contact Officer & Portfolio Holder | Expansion on Reasons for Deferment | External Consultees/ Consultation Method/ Background Papers                                       | Request for attendance by Committee |
|--|---|--|------------------------------------|------------------------------------|---|-------------------------------------|
| Corporate Debt Policy<br>(Ref 516)                         | To approve the Corporate Debt Policy  | TBC  | Jon Dawson<br>Cllr Mobbs           |                                    |   |                                     |
| Health Strategy<br>(Ref 576)                               | To update members on the formulation of the Council's Health Strategy, following the return of Public Health to local authorities<br><br>(Moved March14 Reason 3)                               | <del>Executive 12 March 2014</del><br>TBC              | Rob Chapleo<br>Cllr Coker          |                                    |   |                                     |
| Kenilworth Area Action/<br>Neighbourhood Plan<br>(Ref 438) | To consider the request from Kenilworth Town Council to set in train work to develop an Area Action Plan for the town. Moved from November 2012 reason 2<br><br>(Moved from June 2013 Reason 3) | TBC  | Chris Elliott<br>Cllr Caborn       |                                    | Kenilworth Town Council<br>Warwickshire C/ Council Report to Executive generally on Neighbourhood |                                     |

|   |   |               |   |  |                              |  |
|---|---|---------------|---|--|------------------------------|--|
|   | (Moved from August 2013 reason 3)   |               |   |  | d Plans in July 2012         |  |
| Tenant Involvement Strategy (Ref 615)                                   | To approve the Housing & Property Services Tenant Involvement Strategy  | TBC           | Abigail Hay<br>Cllr Vincett   |  |                              |  |
| Housing Buy To Flip Policy (Ref 608)                                    | To approve a "Buy To Flip" policy for housing   | TBC           | Abigail Hay<br>Cllr Vincett   | Reason 5 - Seeking further clarification on implications of report | Housing Strategy 2014 - 2017 |  |
| Tenants Incentive Grant Scheme - To approve a revised Policy            |   | December 2015 |   |  |                              |  |
| Asset Management Plan (Ref 642)   | To report on the activities planned for the current financial year to deliver the asset strategy.<br><br>(Moved Reason 6 Seeking further clarification on implications of report) |               | <del>5 November 2014</del><br>Executive –<br><del>14th Jan 2015</del> | 5 February 2015  | Bill Hunt<br>Cllr Hammon     |  |
| 5 year Action plan for Warwick's Town Centre Management Group (Ref 653) | To consider a 5 year action plan for Warwick Town   |               | <del>Executive –</del><br><del>11th Feb 2015</del>                    | 2 February 2015  | Nicki Curwood<br>Cllr Hammon | Warwick businesses<br><br>Warwick Town Council<br><br>Town Centre Management Group |

|  |   |  |   |                        |                                  |  |
|--|---|--|---|------------------------|----------------------------------|--|
| <p>Asset Management Strategy<br/>(Ref 641)</p> | <p>To propose an Asset Management Strategy for all the Council's buildings and land holdings.<br/><br/>(Moved Reason 6 Seeking further clarification on implications of report)</p> |  | <p><del>5 November 2014</del><br/>Executive —<br/>14th Jan 2015</p> | <p>5 February 2015</p> | <p>Bill Hunt<br/>Cllr Hammon</p> |  |
|--|---|--|---|------------------------|----------------------------------|--|

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

| Topic and Reference                                    | Purpose of report   | If requested by Executive<br>-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>February 2015</b>                                   |   |   |   |                             |                                    |   |
|  |   |   |   |                             |                                    |   |
| <b>March 2015</b>                                      |   |   |   |                             |                                    |   |
|  |   |   |   |                             |                                    |   |
| <b>April 2015</b>                                      |   |   |   |                             |                                    |   |
| Review of Significant Business Risk Register (Ref 671) | To inform Members of the Significant Risks to the Council |   | April 2015                                      |                             | Richard Barr<br>Cllr Cross         |   |
| <b>May 2015</b>  |   |   |   |                             |                                    |   |
|  |   |   |   |                             |                                    |   |
| <b>June 2015</b>                                       |   |   |   |                             |                                    |   |
|  |   |   |   |                             |                                    |   |
| <b>July 2015</b>                                       |   |   |   |                             |                                    |   |
|  |   |   |   |                             |                                    |   |
| <b>August 2015</b>                                     |   |   |   |                             |                                    |   |
|  |   |   |   |                             |                                    |   |
| <b>September 2015</b>                                  |   |   |   |                             |                                    |   |
|  |   |   |   |                             |                                    |   |

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) 353362**