

**To: Deputy Leader and Members of the Resources Board  
(Councillors Moore, Butcher, Davis, N Dirveiks,  
Forwood, Holland, Humphreys, Johnston and Winter)  
For the information of other Members of the Council**

**For general enquiries please contact Emma  
Humphreys/Amanda Tonks on 01827 719221 or  
via email – emmahumphreys@northwarks.gov.uk  
or amandatonks@northwarks.gov.uk.**

**For enquiries about specific reports please  
contact the Officer named in the reports.**

**This document can be made available in large  
print and electronic accessible formats if  
requested.**

## **RESOURCES BOARD AGENDA**

**2 June 2014**

The Resources Board will meet in the Council Chamber at The Council House, South Street, Atherstone, Warwickshire on Monday, 2 June 2014 at 6.30pm.

### **AGENDA**

- 1 Evacuation Procedure.**
- 2 Apologies for Absence / Members away on official Council business.**
- 3 Disclosable Pecuniary and Non-Pecuniary Interests.**

4 **Request for discussion and approval of remaining En Bloc items.**

5 **Public Participation**

Up to twenty minutes will be set aside for members of the public to ask questions or to put their views to elected Members. Participants are restricted to five minutes each. If you wish to speak at the meeting please contact Amanda Tonks/Emma Humphreys on 01827 719221 or email [democraticservices@northwarks.gov.uk](mailto:democraticservices@northwarks.gov.uk).

6 **Minutes of the Resources Board held on 27 January 2014** (copy herewith to be received and noted).

**PART A – ITEMS FOR DISCUSSION AND DECISION  
(WHITE PAPERS)**

7 **Internal Audit – Plan of Work for 2014-15 – Report of the Deputy Chief Executive**

**Summary**

The report explains the basis upon which the Audit Plan for 2014-15 has been developed, using a variety of sources of information to ensure that all appropriate aspects of service activity are embraced as part of the approved three year review programme.

The Contact Officer for this report is Barbara Haswell (719416).

8 **Procurement Legislation and E-Tendering Update – Report of the Assistant Director (Corporate Services)**

**Summary**

This report provides an update on the progress made on implementing the Council's Procurement and Commissioning Strategy (2013-2017). It also gives information on the new European Procurement Directives and the anticipated impact they will have on the Council's Contract Standing Orders. Finally it explains how the Coventry, Solihull and Warwickshire E-Tendering system is being implemented in the Council.

The Contact Officer for this report is Linda Bird (719327).

9 **Broadband Update Report – Report of the Assistant Director (Corporate Services)**

**Summary**

This report provides an update on the progress being made on the provision of broadband services and superfast broadband as part of the Coventry, Solihull and Warwickshire (CSW) Broadband Delivery UK (BDUK) project.

The Contact Officer for this report is Linda Bird (719327).

- 10 **Membership of the Borough Care Task and Finish Group** – Report of the Chief Executive

**Summary**

The purpose of this report is to consider membership of the Borough Care Task and Finish Group for the ensuing year.

The Contact Officer for this report is David Harris (719222).

**PART B – ITEMS FOR EN BLOC DECISIONS  
(YELLOW PAPERS)**

- 11 **Progress Report on Achievement of Corporate Plan and Performance Indicator Targets April - March 2014** - Report of the Chief Executive and the Deputy Chief Executive

**Summary**

This report informs Members of the progress with the achievement of the Corporate Plan and Performance Indicator targets relevant to the Resources Board for April 2013 to March 2014.

The Contact Officer for this report is Robert Beggs (719238).

- 12 **Annual Treasury Report for 2013/14** – Report of the Deputy Chief Executive

**Summary**

This report shows the out-turn for 2013/14 and highlights any areas of significance.

The Contact Officer for this report is Sue Garner (719374).

- 13 **Members' Allowances Out-turn for 2013/14** – Report of the Assistant Director (Finance and Human Resources)

The purpose of this report is to advise Members of the allowances paid for 2013/14. The Council also has a duty to publish the amounts paid to members under the Members' Allowance Scheme.

The Contact Officer for this report is Sue Garner (719374).

- 14 **ICT Strategy 2012 – 2015 – Progress Report** – Report of the Assistant Director (Corporate Services)

### **Summary**

This report provides an update on the progress made during 2013/14 towards implementing the approved Information and Communications Technology (ICT) Strategy for 2012 – 2015.

The Contact Officer for this report is Linda Bird (719327).

- 15 **Internal Audit Performance for 2013 – 2014** – Report of the Deputy Chief Executive

### **Summary**

The report allows the Board to monitor the progress of the Council's Internal Audit function against the agreed plan of work for the year.

- 16 **Local Authority Mortgage Scheme – Update** – Report of the Assistant Chief Executive (Finance and Human Resources)

### **Summary**

The Authority launched a Local Authority Mortgage Scheme (LAMS) in February 2013. This report provides an update on activity to the 31 March 2014.

- 17 **Risk Management Annual Report 2013/14** – Report of the Assistant Director (Finance and Human Resources)

### **Summary**

This report is to inform Members of the progress made on Risk Management during 2013/14.

The Contact Officer for this report is Sue Garner (719374).

- 18 **Adoption of a Discretionary Reoccupation Rate Relief Policy** – Report of the Assistant Director (Community Services)

### **Summary**

The purpose of this report is to request Members to adopt the revised Non Domestic Discretionary Reoccupation Rate Relief guidelines attached at Appendix A. This is necessary because of a recent announcement in the Government's Autumn Statement in December 2013 that has provided the ability for Councils to reduce business rate bills in 2014/15 and 2015/16 following adoption of a local Discretionary scheme.

The Contact Officer for this report is Mike Shaw (719338).

- 19 **Impact of New Bailiff Regulations and Fees – Report of the Assistant Chief Executive (Community Services)**

**Summary**

The purpose of this report is to inform Members of the impact of the new bailiff regulations and fees that came into effect on 6 April 2014. It outlines the measures that officers are adopting to address the impact of increased fees on householders who are struggling to pay their Council Tax particularly those in receipt of Council Tax support and to whom the instruction of a bailiff is a real threat

The Contact Officer for this report is Mike Shaw (719338).

- 20 **Minutes of the Housing Sub-Committee held on 28 April 2014 - (copy herewith to be received and noted).**

**PART C – EXEMPT INFORMATION  
(GOLD PAPERS)**

- 21 **Exclusion of the Public and Press**

**Recommendation:**

**That under Section 110A(4) of the Local Government Act 1972, the public and press be excluded from the meeting for the following items of business, on the grounds that they involve the likely disclosure of exempt information as defined by Schedule 12A to the Act.**

- 22 **Owen Street Arts Centre – Report of the Assistant Director (Streetscape)**
- 23 **Request for Licence for Access Over Land – Report of the Assistant Director (Housing)**

JERRY HUTCHINSON  
Chief Executive

**NORTH WARWICKSHIRE BOROUGH COUNCIL**

**MINUTES OF THE  
RESOURCES BOARD**

**27 January 2014**

Present: Councillor Moore in the Chair

Councillors Barber, Butcher, N Dirveiks, Forwood, Humphreys, Johnston and Winter.

An apology for absence was received from Councillor Davis (Substitute Councillor Barber).

Councillors Lewis and Phillips were also in attendance.

**50 Disclosable Pecuniary and Non-Pecuniary Interests**

None were declared at the meeting.

**51 Minutes of the Resources Board held on 18 November 2013**

The minutes of the meeting of the Board held on 18 November 2013, copies having previously been circulated, were approved as a correct record and signed by the Chairman.

**52 Local Investment Plan**

The Assistant Director (Housing) presented an early draft of the Local Delivery Plan for 2015-2018 and provided information about sites in the Council's ownership that could be considered for development as part of the Plan.

**Resolved:**

- a That the draft Local Development Plan be agreed; and**
- b That the Council owned sites set out in the report of the Assistant Director (Housing) be given consideration as future development sites for Council properties.**

**53 Corporate Plan 2014-15**

The Chief Executive sought approval for the Corporate Plan Key Actions for which is was responsible and to agree the 2014-15 Service Plans for the Finance and Human Resources, Community Services and Corporate Services Divisions and the Internal Audit Service.

**Recommendation to the Executive Board:**

- a That Corporate Priority 8 – Access to Services be amended to:-

“Providing easier access to Council and other public services, particularly through the internet and local community facilities”;

- b That those Corporate Plan Key Actions, as set out in Appendix A to the report of the Chief Executive, for which the Resources Board is responsible be agreed;

**Resolved:**

- c That those elements of the Service Plans that are the responsibility of the Resources Board, as set out in Appendix B to the report of the Chief Executive, be agreed.

**54 General Fund Fees and Charges 2014/2015**

The Assistant Chief Executive and Solicitor to the Council, Assistant Director (Streetscape), Assistant Chief Executive (Community Services), Assistant Director (Housing), and Assistant Director (Finance and Human Resources) reported on the fees and charges for 2013/14 and the proposed fees and charges for 2014/2015.

**Resolved:**

**That the schedule of fees and charges for 2014/2015, set out in the report of the Assistant Chief Executive and Solicitor to the Council, Assistant Director (Streetscape), Assistant Chief Executive (Community Services), Assistant Director (Housing) and Assistant Director (Finance and Human Resources) be agreed.**

**55 General Fund Revenue Estimates 2014/15 – Services Recharged Across All Boards**

The Deputy Chief Executive reported on the revised budget for 2013/14 and gave an estimate of expenditure for 2014/15, together with forward commitments for 2015/16, 2016/17 and 2017/18 for those services recharged across all Boards.

**Resolved:**

- a That the revised budget for 2013/14 be accepted; and

**Recommendation to Executive Board:**

- b That the Estimates of Expenditure for 2014/2015, as submitted in the report of the Deputy Chief Executive, be included in the budget to be brought before the meeting of the Board on 11 February 2014.**

**56 General Fund Revenue Estimates 2014/15 – Services Remaining Within the Board**

The Deputy Chief Executive reported on the revised budget for 2013/14 and gave an estimate of expenditure for 2014/2015, together with forward commitments for 2015/2016, 2016/2017 and 2017/2018 for those services remaining within the Board.

**Resolved:**

- a That the revised budget for 2013/14 be accepted; and**

**Recommendation to Executive Board:**

- b That the Estimates of Expenditure for 2014/2015, as submitted in the report of the Deputy Chief Executive, be included in the budget to be brought before the meeting of the Board on 11 February 2014.**

**57 General Fund Revenue Estimates 2014/2015 – Summary**

**Summary**

The Deputy Chief Executive reported on the revised budget for 2013/14 and gave an estimate of expenditure for 2014/15, together with forward commitments for 2015/16, 2016/17 and 2017/2018.

**Recommendation to Executive Board:**

**That the following items be recommended to the Executive Board for consideration in setting the Council Tax of the Borough Council:**

- a The revised budget for 2013/14; and**
- b The schedule of expenditure requirements totalling £8,863,030 for 2014/2015, and the growth item set out in paragraph 7.2 of the report of the Deputy Chief Executive.**



**58 Housing Revenue Account Estimates 2014/15 and Rent Review**

The Deputy Chief Executive reported on the revised budget for 2013/14 and gave an estimate of expenditure for 2014/15, together with forward commitments for 2015/16, 2016/17 and 2017/18.

**Resolved:**

- a That the revised estimates for 2013/14 be accepted;**
- b That rent increases, calculated on the basis that the Council will continue to move properties towards their individual target rents, be adopted;**
- c That the proposed fees and charges for 2014/15 as set out in Appendix D to the report of the Deputy Chief Executive, be approved;**
- d That the service charges for the cleaning of communal areas, as detailed in Appendix E to the report of the Deputy Chief Executive, be approved from April 2014;**
- e That the service charges for window cleaning, as detailed in Appendix F to the report of the Deputy Chief Executive, be approved from April 2014;**
- f That the Estimates of Expenditure for 2014/15, as submitted, be approved;**
- g That growth bids of £248,000 in 2014/15 and £210,000 in 2015/16 be approved, subject to Housing Sub-Committee approving the detailed proposals; and**
- h That one off growth bids of £390,000 in 2014/15 funded through the use of earmarked reserves be approved, subject to Housing Sub-Committee approving the detailed proposals.**

**59 Capital Programme Bids 2014/15 to 2016/17**

The Assistant Director (Finance and Human Resources) identified proposals for schemes to be included within the Council's capital programme over the next three years.

**Resolved:**

- a That the schemes shown in Appendix A to the report of the Assistant Director (Finance and Human Resources), previously approved within the Council's three-year**

**capital programme, including any 2016/17 additions relating to previously approved schemes be approved;**

- b That the schemes shown in Appendix B to the report of the Assistant Director (Finance and Human Resources) which will not be included within the capital programme be noted; and**
- c That the proposed vehicle replacement schedule, shown in Appendix C to the report of the Assistant Director (Finance and Human Resources) be approved.**

**60 Internal Audit – Performance for Third Quarter 2013-14**

The Deputy Chief Executive detailed the progress of the Council's Internal Audit function against the agreed plan of work for the year.

**Resolved:**

**That the report be noted.**

**61 Progress Report on Achievement of Corporate Plan and Performance Indicator Targets April – December 2013**

The Chief Executive and Deputy Chief Executive informed Members of the progress with the achievement of the Corporate Plan and Performance Indicator targets relevant to the Resources Board for April to December 2013.

**Resolved:**

**That the report be noted.**

**62 Treasury Management Strategy Statement, Minimum Revenue Provision Policy Statement and Annual Investment Strategy for 2014/15**

The Deputy Chief Executive outlined the Treasury Management Strategy, Minimum Revenue Provision Policy Statement and Investment Strategy for 2014/15.

**Resolved:**

**That the proposed strategies for 2014/15 be approved.**

**63 Exclusion of the Public and Press**

**Resolved:**

**That under Section 100A(4) of the Local Government Act 1972, the public and press be excluded from the meeting for the following item of business, on the grounds that it involves the likely disclosure of exempt information as defined by Schedule 12A to the Act.**

**64 Irrecoverable Local Taxation Debts**

The Assistant Chief Executive (Community Services) detailed the amounts recommended for write off, in accordance with the write off policy agreed by the Resources Board on 25 March 2013.

**Resolved:**

- a That the write off of 7 balances over £5,000, totalling £88,718.92 in respect of unpaid Non Domestic Rates be approved;**
- b That the write off of 31 balances under £5,000, totalling £12,838.10 in respect of unpaid Council Tax be noted;**
- c That the write off of 10 balances under £5,000, totalling £13,277.86 in respect of unpaid Non Domestic Rates be noted;**
- d That the write off of 60 balances under £5,000, totalling £11,279.61 in respect of uncollected overpaid Housing Benefit be noted;**
- e That the write off of 92 balances under £5,000 totalling £16,702.09, in respect of uncollected Former Tenant Arrears;**
- f That the write back of 13 balances totalling £1,386.96 in respect of overpaid Council Tax be noted; and**
- g That the write back of 6 balances totalling £9,652.45, in respect of overpaid Non Domestic Rates be noted.**

J Moore  
Chairman

**Report of the  
Deputy Chief Executive**

**Internal Audit – Plan of Work for  
2014-15**

**1 Summary**

- 1.1 The report explains the basis upon which the Audit Plan for 2014-15 has been developed, using a variety of sources of information to ensure that all appropriate aspects of service activity continue to be embraced as part of the approved three year review programme.

<p><b>Recommendation to the Board</b></p> <p><b>That the Audit Plan for 2014-15 be approved.</b></p>
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**2 Report**

- 2.1 The Public Sector Internal Audit Standards document governs how Internal Audit in the public sector operates, and requires the Council to establish risk-based audit plans to determine the priorities of the internal audit activity consistent with the council's goals. An annual plan is used to enable the Chief Executive to produce an annual internal audit opinion on the assurance framework and to effectively manage the internal audit activity, ensuring that it adds value to the organisation.

- ... 2.2 The Audit Plan for 2014-15, which is attached as Appendix A reflects the assessment of risk, based upon defined criteria and the results of audits completed during recent years. The number of productive audit days remains constant with last year and given that over a period of three years the existing cyclical plan has been successfully completed, it has been decided that a change in focus for each audit will increase the benefit to each service.

- 2.3 As well as risk data, the Annual Plan also takes account of the external auditor's (PWC) requirement that key controls over fundamental systems are reviewed annually. Added to this reviews are based upon:
- National Government initiatives or flavours
  - Level of budget allocation
  - Any incidents of potentially fraudulent or corrupt activity
  - Any past history of weaknesses or problems, staffing changes or new/replacement software
  - Experience of delivery of the audit programme in previous years.

- Knowledge sharing with other similar authorities, external auditors and IT auditors of potentially weak or newly attractive activities.

The above considerations are also reflected in fundamental system work where the Plan does not call for a full audit.

- 2.4 This year, as referred to in 2.2, the individual audits will be focussed on reviewing all aspects of any particular service which upon completion will provide a more comprehensive opinion on the level of assurance given by the audit team. Previously there were several corporate audits carried out which resulted in a fragmented outcome for some services. Each review carried out this year will address all key areas of the service structure at the same time looking in depth at costs, risks, performance, management, counter fraud measures, value for money and identifying any potential for improvement or increased efficiency. This will pull together all audit work completed and enable service managers to form a view of the success of their service from one overarching report.

### 3 Report Implications

#### 3.1 Risk Management Implications

3.1.1 The Audit Plan for 2014-15 takes specific account of the Council's strategic and operational risks.

3.1.2 Failure to produce and deliver an appropriate and flexible audit plan built on sound evidence may result in criticism from the external auditors.

#### 3.2 Links to Council's Priorities

3.2.1 The Audit Plan for 2014-15 takes into account Council key priorities as outlined in a variety of documents.

The Contact Officer for this report is Barbara Haswell (719416).

#### Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

**NORTH WARWICKSHIRE BOROUGH COUNCIL  
STRATEGIC AUDIT PLAN 2014/15**

**Estimate of Available Resources**

Internal Audit Section has an establishment of 2.5 full-time equivalent auditors. There is also budgetary provision to buy-in any necessary specialist one off support for the audit of IT. Counter Fraud support through CEAC continues to be sourced.

**Calculation of Available Days:**

52 weeks x 5 days X 2.5	=	650 days
less bank holidays 12 X 2.5	=	30 days
less sickness provision 3%		19 days
less annual leave		76 days
Gross days available		<b>525 days internal resources</b>

**Allocation of Available Resources**

**START:** 525 days

Less

Training & Development, general duties 22 days

Management, planning, corporate 85 days

**107 days**

**SECTION 151 ACTIVITIES**

**418 days**

**Consultancy/Contingency**

- Contingency 10 days
  - Consultancy 10
  - PwC 5
- 25 days**

**Special Investigations**

**15 days**

**Strategic Audit Plan**

**378 days**

Cyclical Programme shows

**378 days**

## INTERNAL AUDIT PLAN FOR 2014-15

Strategic Audit Plan – Available Days

378 days

### Key Financial Systems

• Main Accounting	10
• Creditors	10
• Budgetary Control/Budgeting	3
• Payroll	10
• Benefits	20
• Capital Expenditure/Accounting	3
• Council Tax	15
• Cash and banking	10
• NDR	10
• Debtors	5
• Asset Management	2
• Housing Rents	10
• Treasury Management	3
	<u>111</u>

### Corporate Audits

Performance Indicators and performance management	15
Officers travel	15
Ordering and payment of goods/services inc authorised sig list	20
Risk Management	5
NFI	5
Health and Safety	35
Flexible working	25
	<u>120</u>

### Deputy CEO

#### Corporate Services

Procurement & Contracts	17
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#### Housing

Maintenance & Repairs inc stores & vehicles	30
Lettings system policy & procedures	5
Supporting Older people inc boro care vehicles	10

#### Leisure & Community

Leisure flex system	10
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#### Streetscape

Domestic Refuse	15
Recycling	15
Grounds Mntce, street cleaning, litter etc	20
Management and monitoring	15
	<u>137</u>

### ACEO – Community Services

Contact Centre & CRM	10
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**Agenda Item No 8**

**Resources Board**

**2 June 2014**

**Report of the Assistant Director  
(Corporate Services)**

**Procurement Update Report -  
Legislation and E-Tendering.**

**1 Summary**

- 1.1 This report provides an update on the progress made on implementing the Council's Procurement and Commissioning Strategy (2013-2017). It also gives information on the new European Procurement Directives and the anticipated impact they will have on the Council's Contract Standing Orders. Finally, it explains how the Coventry, Solihull and Warwickshire E-Tendering system is being implemented in the Council.

**Recommendation to the Council**

- a That the progress made on implementing the Procurement and Commissioning Strategy is noted; and**
- b That Chairs of Boards continue to take part in Tender Opening ceremonies as described in Section 6.7**

**2 Consultation**

- 2.1 Councillors Moore, N Dirveiks and Smith have been sent an advanced copy of this report for comment. Councillors M Stanley, Sweet, Phillips and Moore have also been consulted as Chairs of the main Boards and who therefore may be required to open tenders. Comments received have been incorporated into this reported or will be reported verbally at the meeting.

**3 Background**

- 3.1 The Council's current Procurement and Commissioning Strategy was approved by Board in June 2013 and covers the period 2013 to 2017. The Council's Corporate Plan includes an action to ensure that the strategy is being implemented effectively and that progress is reported annually.



3.2 Contract Standing Orders (CSO) were updated and approved in September 2012. They were amended in January 2014 to take account of the revised EU thresholds which will remain in place until 31 December 2015. These “thresholds” determine the value over which different types of procurement must be advertised across Europe. The thresholds are £172,514 for Supplies and Services contracts and £4,322,012 for Works contracts.

3.3 Our current Contract Standing Orders and the approach we take to procurement is governed by European Union Treaty and Public Contract Regulations (2006) and the amendments made in the 2009 Regulations.

#### 4 Procurement and Commissioning Strategy – Update.

4.1 Each year we review the strategy and ensure the things we need to do are included in Service Plans. The majority of procurement related actions appear in Corporate Services Division’s Service Plan, as the division responsible for corporate procurement. However, other services such as Housing and Streetscape will have procurement projects, specific to their service areas, in their Service Plans.

4.2 The progress against the actions identified for 2013/14 is detailed below:-

- **Training on e-purchasing system** – The Procurement Team has provided support and training for staff on using the Council’s Finance System (Total) for ordering, delivering and invoicing goods and services.
- **Contracts and Suppliers** – The “Contract Register” has been updated and verified with Assistant Directors. The Register shows all suppliers who the Council has spent more than £10,000 with in the past financial year. It is used to help ensure compliance with CSO’s and that work is tendered in a timely and effective manner.
- **Contracts Let** – A number of contracts have been let during the year including goods and services for the recycling service, a new telephony system, new network infrastructure, banking services and agency staff rates have been renegotiated.
- **Savings** – The Procurement Team monitor the savings made on goods and services identified for central purchasing e.g. travel, stationery, agency staff and mobile phones.
- **Advice and Compliance** – The Procurement Manager meets with officers from the main spending departments (Housing, Streetscape and Leisure) to discuss plans and compliance matters. Advice is given, on request, to any officer to help them procure effectively and comply with CSO’s.
- **E-Procurement** – The Procurement Team are working on implementing the Coventry, Solihull and Warwickshire e-Tendering system as described in Section 6 of this report.

## 5 **New Public Procurement Directives (2014)**

- 5.1 The EU has been working for a number of years to revise the Public Procurement Directives with the aim of modernising, simplifying and improving flexibility in the existing system. The three new Directives, one for the public sector, one for the utilities sector and the third for the procurement of concessions came into force on 17 April 2014.
- 5.2 Each EU member now has up to two years to bring the Directives into national law. The UK Government appears to be keen to start implementation and is working to get the directives into national law quickly and possibly within six months; until then the current UK public procurement regulations and case law will continue to apply.
- 5.3 The new Directives and resultant Regulation will impact on all areas of procurement in the public sector. As a contracting authority we will need to consider how the changes will affect strategy, standing orders and work practices. However, until the Regulations have been made law we won't know the final details but the main changes and additions outlined in the new Public Procurement Directive are:-

- **Clearer ground for exclusion**
  - The requirement to investigate abnormally low tenders, but leaving the decision to exclude such a tender to the public body.
  - Giving the public sector greater ability to exclude suppliers at the selection stage, if there is evidenced poor past performance.
- **Contract award criteria** - The removal of the choice to award contracts based solely on the lowest price; contracts will only be awarded on the basis of most economically advantageous tender (usually both price and quality considerations).
- **Help for SME's and Tenders**
  - Reduced requirement for paper work, less red tape and more supplier self-declaration.
  - Measures to encourage buyers to break Procurements into smaller lots,
  - Buyers will not be able to set turnover requirements at more than twice the contract value.
  - Preliminary consultation with potential suppliers allowed and more focus on getting better specifications and the right supplier.
- **New timescales** - The ability to run Procurement exercises faster as the minimum time a supplier must be given to respond to a tender has been reduced.

- **Replacement of Part B** – Amalgamation of Part A Services and Part B Services (health, social care, education and legal). Simplified regime for some “services to the person” i.e. health and social care.
- **Environmental, social and labour laws** - Reinforcement of the Treaty principles (Transparency, Equal treatment and non-discrimination, Proportionality and Mutual recognition) and clarity on the consideration of environmental and social aspects in procurement.
- **Mandatory e-procurement** - Electronic communication / e-procurement will become mandatory during 2016.
- **New procurement procedures** - Introduction of two new procurement procedures “Innovative Partnership” and “Competitive procedure with negotiation”. More freedom to negotiate and the specific negotiated procedure to be less constraining.

5.4 It must be remembered the EU Directives and the supporting national legislation and regulations only apply to what we would regard as “high value” procurements i.e. those above the relevant EU threshold. In practice we do very few EU Procurements and rarely procure Part B Services (e.g. Social Care, Education, and Transport Services). Therefore, we expect the new Regulations to have little impact on the majority of our Procurement activity. However, some of the changes will be deemed “good practice” and become a guide for all public procurement. The Procurement Team will review and where needed adapt the Procurement and Commissioning strategy and any work practices to accommodate the changes.

5.5 Once the Regulations are passed CSO’s will be updated by the Assistant Director (Corporate Services) in consultation with the ACE and Solicitor to the Council. A full review of Contract Standing Orders is scheduled for 2017.

## 6 **Electronic Tendering**

6.1 One of the changes set out in the EU Directive is the imposition of an electronic procurement commitment. This requires public bodies to be able to transmit all procurement documents electronically by 2016.

6.2 A group made up of Coventry, Solihull and Warwickshire (CSW) procurement officers has been working together for some time and successfully bid for funding from Improvement and Efficiency West Midlands (IEWM) to help purchase and implement an e-tendering system. A solution was selected and is now being used by a number of Councils. The system is accessed via a website branded as “CSW-JETS” (Joint E-Tendering System).

6.3 The Council has started our implementation of the system and the Procurement Team has been trained. We are in the process of getting suppliers, who work with the Council, to sign up to use the system. Fortunately, Nuneaton and Bedworth BC have already been through this process and we have a number of suppliers in common.

- 6.4 Using e-tendering will mean we will have to change our procurement processes to some degree. These new processes are being worked on and will be incorporated into Contract Standing Orders where needed.
- 6.5 One area that will need to be changed, to accommodate electronic tendering, is Member's involvement in tender opening. At the moment the Chair of the responsible Board, or their Deputy, attends the opening of tenders, regardless of whether they have been returned by email or as a paper copy. When the tender is opened the Councillor signs a print out of the pricing information, as does a member of staff from Democratic Services.
- 6.6 The CSW-JETS can be set-up to accommodate a number of ways of working. Some Council's no longer require a Councillor to be present when they are opening a tender; others continue to include a Councillor.
- 6.7 The Chairs of the main Boards have been consulted and agreed that the Council continues the practice of having a Tender Opening "Ceremony", including the appropriate Member and Democratic Services. This will require relevant Councillors to be set up on the system and they will need to be trained and supported through the process.

## **7. Report Implications**

### **7.1 Finance and Value for Money Implications**

- 7.1.1 Contract Standing Orders have been developed to work with and support the Council's Financial Regulations. One of the main aims of Contract Standing Orders is to ensure the Council purchases goods, services and works which are best value for money.
- 7.1.2 The implementation of the CSW E-tendering solution was funded by an IEWM grant. The on-going costs are in the region of £2,000 per annum. As Housing Division is one of the main procuring services they have agreed to fund these on-going costs from existing Housing Revenue budgets.

### **7.2 Legal and Human Rights Implications**

- 7.2.1 Public Sector procurement is governed by EU Treaty, Directives and National legislation. Contract Standing Orders will be updated to help ensure legal compliance in our procurement and contracting activity.
- 7.2.2 A variety of other legislation and related Council Policy has an impact on how procurement is carried out, on how suppliers are expected to work with us and the nature of the contracts that are ultimately signed. Senior Officers and others involved with procurements are expected to ensure relevant legislation is accommodated and Council policy applied as necessary.

### **7.3 Environment and Sustainability Implications**

- 7.3.1 The Council is aware of its duties under the Public Sector (Social Value) Act 2012 to consider how what is to be procured might improve the economic, social or environmental well-being of the Borough. Officers will be encouraged to consider how their actions could improve the well-being of communities.
- 7.3.2 The new Directives strengthen the need for contracting authorities, such as the Council, to take measures to ensure compliance with Environmental and Social laws.

### **7.4 Risk Management Implications**

- 7.4.1 The Council is required to have rules for procuring goods and services. One of the main aims of the Council's CSO's is to help mitigate the risks that could arise through poor or illegal procurement practices.

### **7.5 Equalities Implications**

- 7.5.1 Contract Standing Orders require the Council to apply relevant legislation to its procurement activities this includes the commitment to implementing the duties laid down under the Equality Act 2010 as they relate to procurement. We will use best practice guidance and in particular the "Buying better outcomes" guidance prepared by the Equality and Human Rights Commission and work with the Policy Team to ensure the goods and services we procure are fit for purpose and meet the needs of their users.
- 7.5.2 The general equality duty applies to procurement and commissioning by public bodies such as the Council. The requirement to comply with the general equality duty applies to all procurement regardless of the value; however; the value of the contract may impact upon the relevance and proportionality of equality considerations.

## 7.6 Links to Council's Priorities

- 7.6.1 Good procurement and commissioning practices, as defined in Contract Standing Orders, support the Council's priority of achieving a balanced budget. However, the outcomes of the various procurement exercises could support and contribute to any one of the Council's priorities.

The Contact Officer for this report is Linda Bird (719327).

### Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

## **Agenda Item No 9**

### **Resources Board**

**2 June 2014**

#### **Report of the Assistant Director (Corporate Services)**

#### **Broadband Update Report**

### **1 Summary**

- 1.1 This report provides an update on the progress being made on the provision of broadband services and superfast broadband as part of the CSW Broadband project, which covers Coventry, Solihull and Warwickshire (CSW) and operates under the guidelines laid down by BDUK project.

#### **Recommendation to the Board**

- a That the report be noted; and**
- b That Members consider and express their views on the match funding proposals detailed in Section 5 of this report and that the views of the Board are forwarded to Executive Board.**

### **2 Consultation**

- 2.1 Councillors Moore, N Dirveiks and Smith have been sent an advanced copy of this report for comment. Any comments received will be reported verbally at the meeting.

### **3. Background**

- 3.1 The Government made £530 million available to support the roll-out of basic broadband (2Mb) to properties with no, or very poor, provision and to help support the delivery of Superfast Broadband to 90% of properties. It is anticipated that the CSW Broadband project will achieve superfast speeds for 91% of the sub regions premises.
- 3.2 An initial allocation of £4,070,000, BDUK grant, was made by the Government to the CSW sub region. Authorities were required to match fund the grant. This Council, at its Resources Board meeting in February 2013, approved the provisions of £197,868 as the match funding sought from it, to help improve broadband coverage in the Borough.

- 3.3 The contract for the provision of the fibre infrastructure, needed to improve broadband speeds, was awarded to BT under a national framework contract established by the government.
- 3.4 Members of the CSW Broadband Project Team have held public meetings in the Borough to explain the project, gain public support, recruit volunteer Broadband Champions and update on the progress made. The CSW team and BT attended Scrutiny Board on 16<sup>th</sup> September 2013 to update Members and give them the opportunity to scrutinise progress and future plans.
- 3.5 The CSW Broadband team also sends out regular email newsletters, provides information for Councils' websites and maintains a project website <http://www.cswbroadband.org.uk> and Social Media accounts such as on Twitter - @CSWBroadband.
- 3.6 The project website includes the most up to date information and maps showing the roll-out plans. It also links to a BT post code checker to enable people to see the exchange and cabinet they are connected to and if there are plans published yet for their areas.

#### 4 **Current Situation and 12 month plan**

- 4.1 The CSW Broadband Project has been split into 8 phases, with each phase lasting about 6 months and at any one time 2 overlapping phases will be being worked on. Each phase consists of BT identifying and upgrading exchanges and selecting and surveying a number of locations for new cabinets to enable superfast fibre broadband.
- 4.2 The potential cabinet locations are verified by the CSW Broadband project team to ensure they meet set criteria. The Highways service and relevant Planning team are consulted about the location of the new cabinets. Assuming the consultation and survey raises no issues cabinets can be installed, powered and made live ready for people to subscribe to superfast broadband services. These services can be purchased from any broadband provider.
- 4.3 Phase 1 (from April 2014) and Phase 2 (from July 2014) are currently active and phase 1 cabinets are now starting to be made live. The Borough has 19 cabinet locations identified in phase 1:-
- 13 in Coleshill
  - 1 in Curdworth
  - 5 in Fillongley.
- 4.4 Phase 2 sees further work in the Coleshill and Curdworth exchange areas and in Hurley. The indicative plan for Phase 3 (October 2014) includes some cabinets in the Atherstone and Chapel End exchange areas.
- ... 4.5 The data in the table provided as Appendix 1 summarises how access in the Borough will be improved by the BDUK project and the commercial roll-out of broadband by telecommunication companies. It shows that a maximum of



9,669 properties will get the ability to connect to Superfast Broadband, as a result of the first 3 Phases of the BDUK Project, by the end of March 2015.

- 4.6 The CSW Project Team is trying to be open and upfront about the plans and the work programme. But all information given out has to go with a health warning as it is based on current understanding. Surveys can identify issues which may put a cabinet out of the plan or cause an area to be brought forward or delayed.
- 4.7 Also even if a cabinet is upgraded to fibre and therefore theoretically able to deliver Superfast speeds, a property's distance from the cabinet or the quality of the cable to the property may mean superfast speeds can't be achieved. Some properties, for historical reasons, are connected directly to an exchange and these will be unable to get superfast connections under the current project. The CSW Broadband website provides the most up to date information available.
- 4.8 As the project progresses more details on Phases 4 to 8 will become available.

## **5 Next Steps and Further Funding**

- 5.1 As can be seen from Appendix 1, even at the end of the current BDUK project some premises in the borough will still be unable to access Superfast Broadband. The intention is that all will be able to connect to a broadband service. However, some premises will still not have a connection to an exchange and/or cabinet which has been upgraded to support the next generation access (NGA). Others may be on the next generation access network but unable to get Superfast speeds for a variety of reasons.
- 5.2 The Government has recently made more funding available to help fill the gaps in access and address the problems of those premises still getting slow internet speeds. The CSW area has been notified of a potential additional grant of £3.68 million to help take Superfast Broadband coverage to 95% of premises. However, this funding must be matched in order to draw it down.
- 5.3 The CSW Broadband Project Working Group (PWG) was asked, at its April meeting, to establish if Councils have the appetite to provide additional match funding in order to secure some of this additional grant in order to deliver further broadband improvements within their areas.
- 5.4 PWG members were asked a supplementary question to find if there was a willingness to find additional funding towards retaining the CSW Project Team beyond the current BDUK project. The intention being they would work on a further project to deliver the £3.68m grant. There is also an EU target to provide 100% of premises with speeds of at least 30mbps by 2020 and the project team are actively investigating sources of additional funding for this.

- 5.5 At this time Councils are being asked for an “in principle” view on further match funding and contributions towards staffing costs. Further work is being done on where, across the sub region, grant would need to be allocated to address those premises that will still not have Superfast Broadband.
- 5.6 As one of the more rural areas, which started from the lowest level of superfast access in the CSW sub region, current estimates suggest that the Borough would require about £1m of public investment to put around 3,400 additional premises in reach of Superfast Broadband and achieve the 95% coverage target. This level of investment would need £500,000 from BDUK and the £500,000 match funding would need to be found between Warwickshire County Council and North Warwickshire Borough Council.
- 5.7 The County Council is going through its processes for establishing their ability to and appetite for matching the BDUK grant and therefore it is not possible to give exact figures for the funding being sought, from this Council, at this time. For indicative purposes the current BDUK project was matched on a 3:1 basis between the County and the Districts and Boroughs, which would give a figure of £125,000 being sought from this Council as match funding. However, if Members are willing to consider match funding the Board is asked to give an indication of the level of match funding it may consider.
- 5.8 The CSW BDUK Project Team have indicated that any match funding is being sought across 2015/16 and 2016/17 to enable them the access the additional BDUK grant.

## **6 Report Implications**

### **6.1 Finance and Value for Money Implications**

- 6.1.1 This report has no financial implication arising directly from it. However, Members are asked to consider and express a view as to whether this Board has the appetite to consider further match funding and give an indication of the level of match funding it may consider. The views of this board will then be forwarded to Executive Board for consideration
- 6.1.2 If Members are willing to consider additional match funding a further report would be brought to Board once the detailed requirements are known.

### **6.2 Environment and Sustainability Implications**

- 6.2.1 The improvement of broadband services within the Borough will help support people to live, work and learn in our rural communities. The lack of adequate internet provision may affect people’s decisions to move to the area or may encourage businesses to relocate from the Borough, thus affecting the sustainability of local communities.

6.2.2 The lack of broadband provision also means people are unable to use online services and have to travel to get the services they need.

### 6.3 **Equalities Implications**

6.3.1 Poor or no broadband service can prevent people from accessing information and services resulting in them being less well informed, having fewer opportunities and missing out on more effective ways of managing their businesses, life and finances. The impact of this lack of internet service is known as the "digital divide"

### 6.4 **Links to Council's Priorities**

6.4.1 Investment in the Broadband infrastructure in order to provide better internet services contributes directly to the Council's priority to improve access to services.

The Contact Officer for this report is Linda Bird (719327).

<b>BDUK and Commercial Broadband Roll-Out in North Warwickshire</b>	
<b>Number of Premises in the Borough when the BDUK Contract signed</b>	<b>28,480</b>
No. of Premises Expected to be covered by Commercial Roll-Out (i.e. no BDUK funding needed)	14,277
No. Premises Under Investigation as Part of the Current BDUK Project	11,997
% of Premises able to connect to NGA* (assuming Commercial 100% and BDUK 100% of contract)	92%
<b>Projected Maximum No. of Premises covered in BDUK Phase One (as on the website map)</b>	<b>4,795</b>
<b>Projected Maximum No. of Premises covered in BDUK Phase Two (as on the website map)</b>	<b>4,068</b>
<b>Projected Maximum No. of Premises covered in BDUK Phase Three (as on the website map)</b>	<b>806</b>
<b>Projected Total No. of Premises BDUK Project Hopes to Cover (by end of BDUK project) at Superfast Speeds</b>	<b>10,652</b>
No. Premises Currently Awaiting Funding (i.e. not Commercial Roll-Out or BDUK Project)	2,206
Projected No. Premises where the BDUK Project Roll-Out will fail to deliver Superfast speeds	1,345
Projected No. Premises where the Commercial Roll-Out will fail to deliver Superfast speeds	1,194
<b>Projected No. of Premises Still To Achieve Superfast Speeds (after BDUK Project and Commercial Roll-out Completes)</b>	<b>4,745</b>
Additional Premises (new as at Feb 2014)	175
<b>Total No. Premises that may Require Further Funding (after Commercial Roll-out and Current BDUK Project)</b>	<b>4,920</b>
<b>Projected No. of Additional Premises where the Further Funding Roll-out would deliver Superfast Speeds (and achieve 95% Cover)</b>	<b>3,490</b>
<b>Projected No. of Premises That Will Still Fail To Achieve Superfast Speeds (after BDUK Project, Commercial Roll-out and Further Funding Roll-out Completes)</b>	<b>1,430</b>

\* = Next-generation access (NGA) is the upgrade to the telecommunications network so that it can provide Superfast Broadband speeds (24Mbps minimum)

Data as at May 2014

**Agenda Item No 10**

**Resources Board**

**2 June 2014**

**Report of the Chief Executive**

**Membership of the Borough Care Task and Finish Group**

**1 Summary**

- 1.1 The purpose of this report is to consider membership of the Borough Care Task and Finish Group for the ensuing year.

**Recommendation to the Board**

**That the Board is invited to consider membership of the Borough Care Task and Finish Group for 2014/15.**

**2 Task and Finish Group**

- 2.1 The Borough Care Task and Finish Group membership previously comprised Councillors Winter, Moore, Pickard, Phillips, Hayfield, Johnston, Smith and Fox.
- 2.2 The Board is invited to consider membership of the Borough Care Task and Finish Group for 2014/15.

**3 Report Implications**

- 3.1 There are no report implications.

The Contact Officer for this report is David Harris (719222).

**Background Papers**

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

<b>Background Paper No</b>	<b>Author</b>	<b>Nature of Background Paper</b>	<b>Date</b>
None			

**Agenda Item No 11**

**Resources Board**

**2 June 2014**

**Report of the Chief Executive and the Deputy Chief Executive**

**Progress Report on Achievement of Corporate Plan and Performance Indicator Targets April - March 2014**

**1 Summary**

- 1.1 This report informs Members of the progress with the achievement of the Corporate Plan and Performance Indicator targets relevant to the Resources Board for April 2013 to March 2014.

**Recommendation to the Board**

**That Members consider the performance achieved and highlight any areas for further investigation.**

**2 Consultation**

- 2.1 Consultation has taken place with the relevant Members and any comments received will be reported at the meeting.

**3 Background**

- 3.1 This report shows the end of year position with the achievement of the Corporate Plan and Performance Indicator targets for 2013/14. This is the fourth report showing the progress achieved during 2013/14.

**4 Progress achieved during 2013/14**

- 4.1 Attached at Appendices A and B are reports outlining the progress achieved for all the Corporate Plan targets and the performance with our local performance indicators during April to March 2013/14 for the Resources Board.

- 4.2 Members will recall the use of a traffic light indicator for the monitoring of the performance achieved.

Red – target not achieved (shown as a red triangle)

Green – target achieved (shown as a green star)

## 5 Performance Indicators

5.1 The year end returns are subject to review by Internal Audit and should be considered draft at this stage.

5.2 The current national and local performance indicators have been reviewed by each division and Management Team for monitoring for the 2014/15.

## 6 Overall Performance

6.1 The Corporate Plan performance report shows that 100% of the Corporate Plan targets and 74% of the performance indicator targets have been achieved. The report shows that individual targets that have been classified as red or green. Individual comments from the relevant division have been included where appropriate. The table below shows the following status in terms of the traffic light indicator status:

### Corporate Plan

Status	Number	Percentage
Green	7	100%
Red	0	0%
Total	7	100%

### Performance Indicators

Status	Number	Percentage
Green	17	74%
Red	6	26%
Total	23	100%

## 7 Summary

7.1 The targets that have not been fully achieved include increases in sickness, rent arrears, relets, answering calls, adaptations and rent arrears. Comments are provided for each specific target which has been missed. Members may wish to identify any areas that require further consideration where targets are not currently being achieved.

## 8 Report Implications

### 8.1 Safer Communities Implications

8.1.1 There are community safety performance indicators which are reported to Executive Board.

### 8.2 Legal and Human Rights Implications

8.2.1 The national indicators were specified by the Secretary of State for Communities and Local Government. They have now been ended and replaced by a single list of data returns to Central Government from April 2011.

### 8.3 Environment and Sustainability Implications

8.3.1 Improvements in the performance and quality of services will contribute to improving the quality of life within the community. There are a number of actions and indicators which contribute towards the priorities of the sustainable community strategy including customer access strategy, outreach services, financial inclusion, health and well being services and decent and affordable housing.

### 8.4 Risk Management Implications

8.4.1 Effective performance monitoring will enable the Council to minimise associated risks with the failure to achieve targets and deliver services at the required performance level.

### 8.5 Equality Implications

8.5.1 There are a number of equality related actions and indicators highlighted in the report including developing outreach services, financial inclusion, decent and affordable housing.

### 8.6 Links to Council's Priorities

8.6.1 There are a number of targets and performance indicators contributing towards the priorities of access to services, improving housing in the borough, tackling health inequalities, achieving a balanced budget and developing our workforce.

The Contact Officer for this report is Robert Beggs (719238).

### Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date
None			



NWCP Resources 13/14

	Action	Priority	Reporting Officer	Update	Status	Direction
NWCP 039	To implement the actions in the Procurement and Commissioning Strategy, progress will be reported by March 2014	Public Services & Council Tax	Bird, Linda	Procurement actions implemented as planned. Report on Procurement going to June Resources Board.	★ Green	▲
NWCP 040	To continue to contribute to the effective provision of services through implementing the actions and projects which help deliver the ICT Strategy, progress will be reported by March 2014	Public Services & Council Tax	Bird, Linda	ICT Strategy Actions implemented as planned. Progress for the year will be reported to June Resources Board.	★ Green	▲
NWCP 041	To implement the Housing Revenue Account Business Plan and maintain a 30 year forecast reporting annually in February	Public Services & Council Tax	Garner, Sue	The 30 year HRA Business Plan was updated and reported to Board in January.	★ Green	▲
NWCP 043	To undertake work in line with the Human Resources Strategy, including a) Monitoring/managing sickness absence;b) Ensuring compliance with employment legislation and report by March 2014	Local Employment	Garner, Sue	Sickness absence was monitored throughout 2013/14, and some HR policies were reviewed and updated.	★ Green	▲
NWCP 050 11/12(1)	To implement the building maintenance programme for key Council buildings community buildings, shops and industrial units, including seeking ways to reduce, where possible, our carbon footprint and report by March 2014	Public Services & Council Tax	Dobbs, Richard	Work continues in a number of areas with the accommodation project the main focus. Unproductive assets have been sold and improvements made to industrial units leading to increased occupancy.	★ Green	▲
NWCP 082	To work to improve broadband access for the people and businesses of North Warwickshire through the work of the Council and specifically the Coventry, Solihull and Warwickshire BDUK Project	Access to Services	Bird, Linda	Attending regular Steering Group Meeting. CWS BDUK Project Team presented progress to Scrutiny Board. Update on the progress made during 13/14 is being reported to the June Resources Board.	★ Green	▲
NWCP 084	To implement the work of the Task and Finish Group established to review the Borough Care Service and deliver any actions agreed by the Resources Board as part of the review in accordance with the project timetable	Housing	Coates, Angela	The Task and Finish Group is meeting regularly to explore current and future service provision.	★ Green	▲

Appendix B

NWPI Resources 13/14

Ref	Description	Section	Priority	Year End Target	Performance	Traffic Light	Direction of Travel	Comments
NWLPI 052	The % of invoices for commercial goods and services which were paid by the authority within 30 days of such invoiced being received by the Authority (former BV8)	Financial Accountancy	Public Services & Council Tax	98	96.9	▲ Red	↔	
NWLPI 054	The proportion of working days / shifts lost to sickness absence (former BV12)	Human Resources	Public Services & Council Tax	8	10.57	▲ Red	↔	There was a higher proportion of long term sickness absence in the year.
NWLPI 055	Voluntary leavers as a % of staff in post (former BV13)	Human Resources	Public Services & Council Tax	10	9.97	▲ Green	↔	
NWLPI 57	Percentage of calls answered through the Central Control system within 60 seconds. (TSA national standard 96.5%);	Community Support	Housing	99	99.48	▲ Green	↔	
NWLPI 135	Percentage of response repairs completed right first time	Housing Maintenance	Housing	90	89.72	▲ Green	↔	
NWLPI 068	Gas certificates completed	Housing Maintenance	Housing	100	100	▲ Green	↔	
@NW:NI156	Number of households living in temporary accommodation (snapshot at end of each quarter)	Housing Management	Housing	2	0	▲ Green	↔	
NWLPI 136	Number of tenants with more than 7 weeks rent arrears	Housing Management	Housing	2.8	4.49	▲ Red	↔	Whilst the overall rent collection is strong this indicates that some tenants are struggling to pay their rent and when debt starts to rise it is difficult to reduce.
NWLPI 070	Average time taken to re-let local authority housing (former BV212)	Housing Management	Housing	21	43.45	▲ Red	↔	We have reported throughout the year the issues that we have faced in removing asbestos materials and finding the right level of resource to deal with an increase of vacancies.
NWLPI 039	The percentage availability of corporate systems available to users Monday to Friday 8.00 am to 5.30 pm :	Computer Services	Public Services & Council Tax	99.7	99.79	▲ Green	↔	
NWLPI 040	The percentage of initial response to helpdesk calls within four hours of a call being placed :	Computer Services	Public Services & Council Tax	95	96	▲ Green	↔	
NWLPI 041	Percentage of Service Desk Calls resolved in target (total of IS3 to IS6)	Computer Services	Public Services & Council Tax	95	97	▲ Green	↔	
NWLPI 096	The Percentage of Calls answered in 20 seconds in the contact centre	Revenues & Benefits	Public Services & Council Tax	75	75	▲ Green	↔	

Ref	Description	Section	Priority	Year End Target	Performance	Traffic Light	Direction of Travel	Comments
NWLPI 100	Housing Benefit Security: : The number of prosecutions and sanctions, per 1,000 caseload (former BV76d)	Revenues & Benefits	Public Services & Council Tax	20	26	Green		
@NW:NI181	The average time taken in calendar days to process all new claims and change events in Housing Benefit and Council Tax Benefit	Revenues & Benefits	Public Services & Council Tax	7.5	6.1	Green		
NWLPI 106	The percentage of non-domestic rates due for the financial year which were received by the authority (former BV10)	Revenues & Benefits	Public Services & Council Tax	98.6	98.94	Green		
NWLPI 107	Proportion of Council Tax collected (former BV9)	Revenues & Benefits	Public Services & Council Tax	97.8	97.96	Green		
NWLPI 161	Percentage of abandoned calls in the Contact Centre	Revenues & Benefits	Public Services & Council Tax	4	5	Red		The reduction in staffing levels and the increased calls for the new refuse service and dealing with end of year benefits enquiries has resulted in this drop in performance. However it should be stated that anecdotal benchmarking has indicated that this performance remains better than Warwickshire partners.
@NW:NI158	Non decent council homes relating to our stock	Housing Maintenance	Housing	100				Information not available until the end of May
NWLPI 066	The average waiting time in months for adaptations to local authority housing for people with disabilities(excluding major work); between, time taken between referral and completion of work	Housing Maintenance	Housing	2	3.22	Red		Delays experienced in the early part of the year.
@NW:NI160	The percentage of all council tenants stating that they are satisfied with the overall service provided by their landlord when surveyed	Housing Management	Housing	86	87	Green		
NWLPI 072	Local authority rent collection and arrears: : Rent collected by the local authority as a proportion of rents owed on Housing Revenue Account (HRA) dwellings (former BV66a)	Housing Management	Housing	99	99.78	Green		This is excellent performance in a very difficult economic climate.
NWLPI 076	The number of private sector vacant dwellings that are found to be occupied, returned into occupation or demolished during the year as a direct result of action by the local authority (former BV64)	Private Sector & Public Health	Housing	20	22	Green		This report is concerned with the interventions which were successful. In addition we corresponded with nearly 200 owners to offer advice and assistance.
NWLPI 137	The average waiting time for adaptations to private sector housing for people with disabilities: a, time taken between initial request and completion of work	Private Sector & Public Health	Housing	7	6	Green		The joint project with Nuneaton and Bedworth Borough Council and the County Council continues to provide a better service for people who need adaptations to their homes.

**Agenda Item No 12**

**Resources Board**

**2 June 2014**

**Report of the  
Deputy Chief Executive**

**Annual Treasury Report for  
2013/14**

**1 Summary**

- 1.1 This report shows the out-turn for 2013/14 and highlights any areas of significance.

**Recommendation to the Board**

- a That the Annual Treasury Report for 2013/14 be noted;

**Recommendation to the Council**

- b That the Annual Treasury Report be approved.

**2 Report**

- 2.1 The Council is required through regulations issued under the Local Government Act 2003 to produce an annual treasury report reviewing treasury management activities and the actual prudential and treasury indicators for 2013/14. This report meets the requirements of both the CIPFA Code of Practice on Treasury Management 2009 (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Prudential Code).
- 2.2 During 2013/14 the minimum reporting requirements were that the Resources Board and full Council should receive the following reports:
- An annual treasury strategy in advance of the year (Resources Board 28 January 2013);
  - A mid year treasury update report (Resources Board 18 November 2013); and
  - An annual report following the year describing the activity compared to the strategy (this report).

- 2.3 In addition, a report on the treasury management position at quarter 1 was received in September 2013.
- 2.4 The regulatory environment places an onus on members for the review and scrutiny of treasury management policy and activities. This report is important in that respect, as it provides details of the outturn position for treasury activities and highlights compliance with the Council's policies previously approved by Members.
- 2.5 This Council also confirms that it has complied with the requirement under the Code to give prior scrutiny to all of the above treasury management reports by the Resources Board before they were reported to the full Council. Member training on treasury management issues was undertaken in March 2010 in order to support Members' scrutiny role. No further training took place in 2013/14.
- 2.6 Treasury Management in this context is defined as: *The management of the local authority's investments and cash flows, its banking, money market and capital transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.*
- 2.7 The Annual Treasury report covers:
- The Council's treasury position as at 31 March 2014
  - Performance measurement
  - The strategy for 2013/14
  - The economy in 2013/14
  - The Borrowing out-turn for 2013/14
  - Compliance with treasury limits and Prudential Indicators
  - Investment rates in 2013/14
  - Investment out-turn for 2013/14

### 3 Current Treasury Position as at 31 March 2014

- 3.1 The Council's debt and investment position at the beginning and end of the year was as follows:

	<b>31 March 2013 Principal £m</b>	<b>Rate %</b>	<b>31 March 2014 Principal £m</b>	<b>Ave Rate %</b>	<b>Average Life Years</b>
Fixed Rate Funding: PWLB	58.789	2.31	57.539	2.53	12.34
Short-term Funding	0	0	0	0	0
Total Debt	59.789	2.31	57.539	2.53	12.34
Investments	6.772	0.98	12.380	0.75	252 days

- 3.2 The investments held include £630,981 held on behalf of other organisations (£630,981 in 2012/13).

#### **4 Performance Measurement**

- 4.1 Part of the Code relates to the use of performance measurement relating to investments, debt and capital financing activities. Whilst investment performance criteria have been well developed, this is still a difficult area for a small Authority with limited cash balances, as generally we are only able to place funds for short periods and consequently at lower rates. For this reason, we measure investment interest against the 7 day LIBID rate.
- 4.2 During 2013/14, we continued to benchmark our performance against some other authorities in Warwickshire and Worcestershire, and found that we perform favourably against a number of these.

#### **5 The Strategy for 2013/14**

- 5.1 The expectation for interest rates within the strategy for 2013/14 anticipated continuing low rates, with only very limited chances of gradual rises in medium and longer term fixed interest rates over 2013/14. Variable or short-term rates were expected to be the cheaper form of borrowing over the period. Continued uncertainty in the aftermath of the 2008 financial crisis promoted a cautious approach, whereby investments would continue to be dominated by low counterparty risk considerations, resulting in relatively low returns compared to borrowing rates.
- 5.2 In this scenario, the treasury strategy was to postpone borrowing to avoid the cost of holding higher levels of investments and to reduce counterparty risk. As a result we continue to use internal borrowing for General Fund debt.
- 5.3 The strategy originally adopted in the Treasury Management Strategy Report for 2013/14 approved by Council on 27 February 2013, was subject to some limited revision during the year in order to give more flexibility in placing investment funds.

#### **6 Borrowing Outturn for 2013/14**

- 6.1 The Council's external borrowing of £57.539 million at the 31 March 2014 is shown below, and relates entirely to the HRA. The repayments have been profiled to take account of expected surpluses in the HRA, having regard to the HRA Business Plan, whilst still allowing some flexibility within the plan for unexpected events.

<b>Years</b>	<b>Total loans £000</b>	<b>Rate %</b>
1-5	7,300	0.75-1.76
6-10	10,610	1.99-2.70
11-15	13,400	2.82-3.15
16-19	16,229	3.21-3.34
20-25	0	0.00
25-30	10,000	3.49 – 3.50

6.2 The Council had no short term borrowing during the year.

## 7 Investment Out-Turn for 2013/14

7.1 The Council's investment policy is governed by CLG guidance, which has been implemented in the annual investment strategy. The Council manages its investments in-house with the institutions which fulfil its requirements with regards to credit ratings and security. Investments were made for a range of periods, although predominantly in call accounts and money market funds.

7.2 The Council invested with external bodies on 155 occasions when the bank accounts had a surplus of funds. Investments were made in a Call account on 18 occasions, and in a Money Market Fund 129 times and enhanced Money Market Funds on 2 occasions. The remaining 6 investments were with Banks or Building Societies for a fixed term. Funds were invested over a range of periods to take advantage of favourable interest rates or to fund expenditure later in the year, e.g. payment of precepts. The average amount invested was £684,038. The average total investment held was £14.8 million, and the rate of return was 0.75%, compared with the average 7 day rate of 0.40%, earning a total of £81,234 in the year.

## 8 Prudential Indicators

8.1 The 2003 Prudential Code for Capital Finance in Local Authorities introduced requirements for the way in which capital spending plans are to be considered and approved. The prudential code was developed which requires the Council to consider the affordability of its proposals, their prudence and sustainability, value for money, asset management planning, practicality and service objectives

8.2 The Council is required to set and review regularly a range of indicators that have been developed as part of the Code, which will be used to support capital investment decision-making. In February 2013, the capital prudential indicators for 2013/14 were reported to the Executive Board as part of the 3-Year Capital programme and the treasury indicators were reported to the Resources Board as part of the Council's Treasury Policy Statement and Annual Treasury Strategy Statement.

8.3 During the financial year the Council operated within the treasury limits. The Council's Prudential indicators will be reported to Executive Board in June.

## 9 Report Implications

### 9.1 Finance and Value for Money Implications

9.1.1 During 2013/14 the net interest earned on investments was £81,234.

### 9.2 Environment and Sustainability Implications

9.2.1 By having effective and prudent treasury management, this contributes towards sustainability and providing services that improve the quality of life for the communities of North Warwickshire.

### 9.3 Risk Management Implications

9.3.1 Credit ratings are used in assessing the institutions on the lending list and the maximum investment level permitted.

The Contact Officer for this report is Carl Ford (719379).

## Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date



**Agenda Item No 13**

**Resources Board**

**2 June 2014**

**Report of the Assistant Director (Finance and Human Resources)**

**Members' Allowances Out-turn for 2013/14**

**1 Summary**

- 1.1 The purpose of this report is to advise Members of the allowances paid for 2013/14. The Council also has a duty to publish the amounts paid to Members under the Members' Allowance Scheme.

**Recommendation to the Board**

**That the report be noted.**

**2 Report**

**2.1 Out-turn for 2013/14**

- 2.1.1 The cost of Members' Allowances and other payments made under the Members' Allowance Scheme in 2013/14 was £227,960. A breakdown of these costs is shown at Appendix A. There were no claims in respect of Dependents'/ Carers' Allowance.

**3 Report Implications**

**3.1 Finance and Value for Money Implications**

- 3.1.1 Provision was made in the cost of Democratic Processes.

**3.2 Legal and Human Rights Implications**

- 3.2.1 The Authority is obliged to publish details of the total sum paid to each Member in respect of each of the following:-

Basic Allowance  
Special Responsibility Allowance  
Dependents'/Carers' Allowance  
Travel and Subsistence and  
Co-optees' Allowance.

- 3.2.2 This is a requirement under the Local Authorities (Members' Allowances) (England) Regulations 2003.

The Contact Officer for this report is Nigel Lane (719371).

## MEMBERS' ALLOWANCES PAID 2013/14

## APPENDIX A

Name	Initials	Basic Allowance £	Special Responsibility £	Travel (Mileage) £	Travel - Other (Train/Parking/Taxi) £	Total £
Barber	K	4,941.96				4,941.96
Butcher	D	4,941.96	215.78	328.50		5,486.24
Davis	MC	4,941.96				4,941.96
Dirveiks	LE	4,941.96				4,941.96
Dirveiks	N	4,941.96	1,529.25			6,471.21
Ferro	DC	4,941.96		621.00		5,562.96
Forwood	A	4,941.96	873.00			5,814.96
Fowler	PJ	4,941.96		188.10		5,130.06
Fox	C	4,941.96		105.30		5,047.26
Freer	LE	4,941.96				4,941.96
Hayfield	CC	4,941.96	4,087.85	415.80		9,445.61
Holland	AF	4,941.96		113.40		5,055.36
Humphreys	DJ	4,941.96				4,941.96
Johnston	K	4,941.96				4,941.96
Lea	J	4,941.96				4,941.96
Lewis	A	4,941.96	1,745.04	110.70		6,797.70
May	MC	4,941.96		387.00	8.00	5,336.96
Moore	JS	4,941.96	4,983.00	214.20	7.00	10,146.16
Morson	PF	4,941.96	1,745.04			6,687.00
Moss	BP	4,941.96	107.95	791.10		5,841.01
Moss	MC	4,941.96	765.05	219.15		5,926.16
Payne	RV	4,941.96		176.40	23.90	5,142.26
Phillips	H	4,941.96	4,983.00	1,255.35	52.30	11,232.61
Pickard	DN	4,941.96	4,983.00	590.85	24.00	10,539.81
Sherratt	GJ	4,941.96	873.00	461.70		6,276.66
Simpson	MC	4,941.96				4,941.96
Smith	LJ	4,941.96	2,780.23	807.30		8,529.49
Stanley	A	4,941.96				4,941.96
Stanley	ME	4,941.96	10,986.96	300.60	8.40	16,237.92
Stanley	Y	4,941.96				4,941.96
Sweet	R	4,941.96	4,983.00	59.40	12.80	9,997.16
Turley	N	4,941.96				4,941.96
Watkins	A	4,941.96				4,941.96
Winter	JG	4,941.96	1,745.04	322.65		7,009.65
Wykes	TV	4,941.96				4,941.96
<b>TOTAL</b>		<b>172,968.60</b>	<b>47,386.19</b>	<b>7,468.50</b>	<b>136.40</b>	<b>227,959.69</b>

Note - No Councillor is entitled to receive more than one Special Responsibility Allowance.

**Agenda Item No 14**

**Resources Board**

**2 June 2014**

**Report of the Assistant Director  
(Corporate Services)**

**ICT Strategy 2012 – 2015 Progress  
Report**

**1 Summary**

- 1.1 This report provides an update on the progress made during 2013/14 towards implementing the approved Information and Communications Technology (ICT) Strategy for 2012 – 2015.

**Recommendation to the Board**

**That Members note the contents of this report.**

**2 Consultation**

- 2.1 The report has been sent to the Chair, Vice-Chair and Opposition Spokesperson of this Board and any comments received will be reported to the meeting.

**3 Introduction**

- 3.1 The Council's Corporate Plan requires that Members are made aware of the progress made, during the financial year, on implementing the Council's ICT Strategy which currently covers the period April 2012 – March 2015.
- 3.2 Each year we review the strategy and ensure the projects and actions needed to make progress are included in Service Plans. The majority of ICT related actions appear in Corporate Services Division's Service Plan, as the division responsible for ICT. However, other services such as Housing, Leisure, Customer Services and Revenues and Benefits will also have ICT projects, specific to their service areas, in their Service Plans.
- 3.3 This is the final year of the current three year ICT Strategy. Staff and Members will be consulted and asked to input in to the new strategy.

## 4 Progress

### 4.1 Accommodation Related ICT Projects

4.1.1 The last three years and particularly the projects associated with the Accommodation Project, which have been completed in the last twelve months, have provided us with an opportunity to make a step change in the ICT infrastructure and services available to the Council.

4.1.2 As a precaution we have had approval for the main Capital funded ICT projects associated with the Accommodation Project for the last few years. The reason for this is that our network and telephone systems and infrastructure were old and in some cases unsupported and there was a risk that they would fail and need replacing before the work started on the Council House. Fortunately, the majority of the infrastructure kept working until we reached the optimal time for their replacement, which was in-line with the mechanical and electrical work commissioned as part of the accommodation project.

4.1.3 An overarching principle with all the accommodation related ICT projects has been the need to provide hardware, software and infrastructure which is relatively future proof and resilient but also cost effective. The following projects were procured and implemented in tandem with the accommodation works:-

- **Cabling** - New network cabling throughout the Council House and as required in Old Bank House.
- **Network** – The network infrastructure has been replaced and specified to improve resilience at its core and to enable faster connections to people's desktop computers.
- **UPS** – Purchased a replacement Uninterruptable Power Supply (UPS) to enable servers to remain operational, and if necessary be shut down safely, in the event of a prolonged power cut.
- **Virtualisation** – Server numbers have been reduced and their use rationalised using technology known as server virtualisation. This solution uses less energy and has enabled us to improve business continuity as data is now copied to a duplicate server in Old Bank House.
- **Cheque Printing** – A project to move from large printers for cheque printing to smaller laser printers has had to be completed to create space in the server room.
- **Partners** – Various projects have enabled us to operate from a new server room which is half the size of the old one. This has helped provide the space needed for Partners such as DWP. We have also worked with Partners on their ICT needs.
- **Energy Saving** – The reduced size of the server room has meant we have been able to install a smaller fire suppression solution and less powerful air conditioning which will give energy savings.

- **Telephony** – Replaced the Council's old and de-supported telephone system (Index system) and the call routing system used by the Contact Centre (Macfarlane ACD) with an upgrade to the Mitel solution, which was originally purchased for home working and additional capacity.
- **Decant** – ICT staff have been heavily involved in the planning and execution of each stage of the decant and office moves. IT equipment has had to be moved, cabled and re-connected for staff.

4.1.4 The ICT services used by the Council have had to remain operational throughout the work on the Council House. All the ICT projects related to the accommodation work have needed planning and careful coordination with Facilities Management and the Contractors. They have all been delivered on time, within budget and without a significant amount of service disruption.

## 4.2 General ICT Strategy Projects

4.2.1 To add to a very busy year there were also a number of other major ICT projects which contribute to the implementation of the ICT Strategy or the Council's Customer Access Strategy. These projects were detailed in the Corporate Services Service Plan and included:-

- **Business Application Upgrades** – We have completed essential upgrades and the implementation of additional modules to the systems used by Housing, Revenues and Benefits, Development Control and the corporate GIS system. All required detailed planning and close working between the Service Divisions, Information Services and suppliers.
- **Customer Relationship Management (CRM) System** – We have procured and replaced the software used to manage our contact with customers. This project went live at the end of March 2014 and involved significant input from Information Services, Customer Services and service Divisions such as Streetscape. We anticipate development work will continue during 2014/15 and the system will play a crucial role in improving online services as part of our drive to encourage people to use our services via the internet.
- **Community Hubs/Community Access** – We have provided IT design, installation and support services for the network of Community Hubs and computers in locations such as Housing's Community rooms.
- **Desktop Software Upgrade** – We have had to upgrade Microsoft Windows to Windows 7 and Office to Office 2010 as the versions we were using were due to be de-supported on the 1<sup>st</sup> April 2014.
- **Email** – We have upgraded our Exchange Email system and used the hardware released to repair the Cryoserver solution.
- **Housing – Choice Based Lettings** – Implemented a solution using Housings main business application (Open Housing) to replace the u-choose system.
- **Leisure System Replacement** - Started the tender and selection process for a new Leisure system for implementation by Autumn 2014.

- **Large Format Printers/Scanner** – Replaced the three old large devices (printer, plotter and scanner) used primarily by Development Control with two devices.
- **PSN (was Government Connect)/Security** – Councils are required to connect to the Government's secure Public Services Network (PSN). To be accredited we have to complete and get security approval for a Code of Connection document. This has been more difficult this year as a stricter compliance and approval process was put in place; which required a number of changes to IT and Information Security.
- **Data Audit** – Working on a joint Policy and Information Services project to update and improve the register which documents the data we hold and process.
- **Website** – Maintained a 3 Star rating for our website despite the Web Master having to focus on the implementation and development of the CRM system.
- **Broadband** – The Coventry, Solihull and Warwickshire BDUK project progressed to a stage where BT are now upgrading cabinets to provide superfast broadband. The Council has made a significant commitment of match funding and this project is the subject of a separate update report which is elsewhere on this agenda.

4.2.2 The successful completion of so many major ICT projects within such a short period is testament to the flexibility, hard work and skills of the Council's IT staff and the input from, and cooperation of staff from, Service Department who "own" and use the systems.

## 5 Report Implications

### 5.1 Finance and Value for Money Implications

5.1.1 There are no financial commitments arising directly from this Report. Funding for projects is identified in the capital programme, which is reported elsewhere on the Board's agenda. All the capital projects have been completed with budget.

5.1.2 A number of the ICT improvements described are less costly to maintain and have enabled savings to be achieved e.g. the new telephone system has delivered a saving of £5,000 per annum and the new CRM costs approximately £35,000 less per annum than the previous system.

5.1.3 The reduction in the size of the server room has contributed to the Council being able to rent part of the ground floor to partners. We also anticipate that the server room will use less energy than previously. We have only been able to reduce the size of the room and its energy consumption as a result of a number of proactive projects e.g. virtualisation, energy saving measures and cheque printing.

## 5.2 Legal and Human Rights Implications

- 5.2.1 The ICT Strategy supports developments, such as security improvements, to ensure that human rights are not infringed and that the Council complies with relevant legislation, including the Data Protection Act 1998 and the Freedom of Information Act.

## 5.3 Environment and Sustainability Implications

- 5.3.1 The use of ICT can help deliver sustainability improvements including reducing the need to travel. We have invested in improving the cooling, power and space use in the Server Room as part of the Council's work on carbon reduction and to contribute to cost savings.

## 5.4 Risk Management Implications

- 5.4.1 Having an ICT Strategy and its subsequent implementation is one of the ways the Council can mitigate risks associated with the provision and development of ICT systems and services.
- 5.4.2 The business continuity risks arising from the Accommodation Project, including risks to the Council's ICT, have been overseen by an Officer Task Group made up of the AD (Corporate Services), the Facilities Manager, the HR Officer, the Information Services Manager and the Policy Support Manager. Actions to mitigate risks have been identified and actioned by group members or escalated if necessary.

## 5.5 Equalities Implications

- 5.5.1 The use of ICT can enable people to access services and information that they may previously have been unable to. However, it is also important to ensure that people are not excluded or disadvantaged through the provision of on-line services.

## 5.6 Links to Council's Priorities

- 5.6.1 The ICT Strategy and its delivery contributes to a number of Council Priorities and specifically supports the priorities relating to Access to Services, Consultation and Communication and the effective use of resources.

The Contact Officer for this report is Linda Bird (719327).

### Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

## Agenda Item No 15

### Resources Board

2 June 2014

Report of the  
Deputy Chief Executive

Internal Audit – Performance for  
2013-14

#### 1 Summary

- 1.1 The report allows the Board to monitor the progress of the Council's Internal Audit function against the agreed plan of work for the year.

#### Recommendation to the Board

That the report be noted.

#### 2 Introduction

- 2.1 The document Public Sector Internal Audit Standards defines standards of best practice for internal audit. The Code requires that Members both approve the Internal Audit Section's strategic work plan and receive periodic reports on performance against plan. This report summarises performance with reference to the Annual Plan for April 2013 to March 2014.

#### 3 Summary of Work Completed

- ... 3.1 Appendix A summarises progress on the s151 audit plan for the period, identifying audits completed and indicating the extent of progress on those audits still outstanding, whilst Appendix B provides definition of the level of assurance given. The appendix shows that the 90% performance target of audits completed was achieved.
- ... 3.2 The Head of Audit can express a satisfactory opinion on the overall adequacy and effectiveness of the Council's control environment based on the work undertaken by the audit team during the year, work undertaken by the IT Auditors and from the acceptance of assurance from the Council's external auditors.
- 3.3 All of the required financial audits for review by the external auditors were completed by the 31 March deadline. The external auditors have confirmed that they have been able to place full reliance on the work they reviewed carried out by the internal team.
- 3.4 Audit reports submitted to Board for the first, second and third quarters of the year detail individual audits completed to that time. This report text refers only to those completed during the final quarter.



Internal Audit can place a substantial level of assurance on the following final reviews:

- Main Accounting – No recommendations
- Payroll – No recommendations
- Benefits – No recommendations
- Capital Expenditure – No recommendations
- Council Tax – No recommendations
- NDR – No recommendations
- Cash and Banking – No recommendations
- Creditors – No recommendations
- Debtors – No recommendations
- Housing Rents – No recommendations

Only material recommendations are included in reports, lower risk matters that may have been identified during audits are recorded and communicated through departmental memorandum, with identified actions and implementation dates monitored through the existing follow up of recommendations proven audit process.

- 3.5 The Internal Audit Section has undertaken a range of work recorded under contingency audits. These are reviews carried out either resulting from departmental requests, external audit suggestions or where Internal Audit have responsibility for service activity- this relates to counter fraud activity and monitoring of reporting information from the National Fraud Initiative. There has also been substantial involvement in investigative work surrounding internal protocol and procedures.
- 3.6 The performance standards set by the Audit Commission require that Internal Audit completes at least 90% of planned work in the year unless there are good reasons otherwise. In calculating that statistic, planned work deferred at client request is ignored if such deferrals have appropriate justification. All client requests for deferrals have been based on sound, service based justifications.
- 3.7 IT Audit work was achieved through a contractual arrangement secured across all councils within Warwickshire. In 2013-14 reviews completed covered Change Management, Remote Working and Information Security Policy. Two achieved good levels of assurance and the third, Change Management, an adequate level of assurance with two medium level recommendations. This arrangement ceases with effect from April 2014 when the Council changes its involvement to that of buying in when necessary. However the preferential rate negotiated county wide under a revised agreement will still be attainable.

## **4 Report Implications**

### **4.1 Risk Management Implications**

- 4.1.1 Failure to provide an effective Internal Audit Service may adversely affect the level of internal control operating within the Council and will attract criticism

from external assessors, such as the Audit Commission and the External Auditor.

#### 4.2 Links to Council's Priorities

- 4.2.1 The audit programme agreed and delivered is aligned to both the priorities of the Council and the requirements of external assessors.

The Contact Officer for this report is Barbara Haswell (719416).

#### Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

## Audits Completed last quarter 2013-14

Audit	Quarter Due	Status	Assurance Level *	Tot No. of Recs	Level 1	Level 2	Recs not agreed
Main Accounting	4	Final	Substantial	0			
Creditors	4	Final	Substantial	0			
Housing Rents	4	Final	Substantial	0			
Payroll	4	Final	Substantial	0			
Housing Benefits	4	Final	Substantial	0			
Capital	4	Final	Substantial	0			
Council Tax	4	Final	Substantial	0			
Cash & banking	4	Final	Substantial	0			
NDR	4	Final	Substantial	0			
Sundry Debtors	4	Final	Substantial	0			
Council House Lettings	4	Final	Adequate	4	3	1	
Drains & Drain clearance	4	Final	Adequate	3	1	1	
Electoral Services	4	Final	Substantial	2	1	1	
Procurement	2014-15	Ongoing					
Contracts	2014-15	Ongoing					

**Reasons for not providing a substantial assurance level on final reports**

The house lettings system requires improvement in the management/audit trail together with more security over officer ability to amend records. A continuance of glitches in the system means manual intervention has been necessary reducing the effectiveness of internal control. All areas are currently being addressed and will be reviewed during 2014-15 by audit.

The drains and drain clearance processes require improvement in evidence supporting decisions made and proof of obtaining quotes to comply with Contract Standing Orders. Changes have been effected at the time of the audit to remedy this.

**Progress Against Audit Plan**

Audit	Status	Audit	Status	Audit	Status
Corporate Governance	Completed	Petty cash	Completed	Fees&charges	Completed
Agency staff-Streetscape	Completed	Budgets	Completed	Stocks&stores	Completed

Audit	Status	Audit	Status	Audit	Status
Community Planning	Completed	Abandoned vehicles	Completed	Energy mgmt Performance mgmt	Completed
Asset management	Completed	Grounds maintce	Completed	Risk mgmt	Completed
Older persons services	2014-15	Dog&pest ctrl	Completed		Completed
Treasury management	Completed	Vehicles& transport	2014-15	Homelessness Electoral	Completed
Street cleaning	Completed	Polivy Develop	Completed	Services	Completed
Licensing	Completed	House lettings	Completed	Drains	Completed
Procurement	Completed	Leisure Flex	2014-15	Revs&Bens	Completed
Contracts	Ongoing				

**Progress Against Audit Plan  
IT Based Audits**

Audits of Remote Working and the Information Security Policy resulted in good levels of assurance.  
An audit of Change Management resulted in an adequate level of assurance with two medium level recommendations.

<b>Performance of Audit 2013-14</b>			
<b>No.</b>	<b>Indicator</b>	<b>Suggested Frequency</b>	<b>Performance for 2013-14</b>
1	Performance reports to Resources Board	Quarterly	September 2013, November 2013, January 2014 and June 2014
2	90% of Audit Plan delivered	Annual	90% of revised plan completed. 3 audits moved to 14/15 due to planned system improvement.
3	Number of audits where time taken to complete the work is more than 10% longer than planned.	Quarterly	6 from 36. All due to additional work being undertaken.
4	Number of audits completed by set deadline	Quarterly	32 out of 36. 4 delayed due to service officer unavailability due to other service priorities
5	Final report issued within 4 weeks of completion of fieldwork	Quarterly	33 of 36. 3 delayed due to settling of final action between auditor and officer
6	90% of recommendations accepted by management	Annual	100% accepted
7	Number of recommendations implemented by the target date	Annual	TBA in the first quarter of 2014-15
8	Details from CIPFA benchmarking exercise	Annual	Not undertaken this year- once every 3 years considered appropriate due to cost.
9	Questionnaire: Feedback obtained from report recipients is good (average 4 out of 5)	Quarterly	Good in those returned.
10	% of sickness levels within Audit is below 5%	Quarterly	0.4% well below council average
11	Training for unqualified staff represents at least 5% of their available time.		Actual figure of 2 % achieved. Mainly due to lack of external appropriate courses at acceptable cost. Training on in house systems is considered part of the system work and not recorded separately.
12	Reliance on Internal Audit work by external agencies	Annual	External auditor complimentary and reliance has been placed on completed internal audit work for 2013-14
13	Compliance with CIPFA Code of Audit Practice	Annual	Confirmed by self assessment-report to Board Sep 2013

**2013-43 Internal Audit report recommendations Not Agreed**

<b>Audit</b>	<b>Recommendation</b>	<b>Management Response</b>
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None		
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**Agenda Item No 16**

**Resources Board**

**2 June 2014**

**Report of the Assistant Director  
(Finance & Human Resources)**

**Local Authority Mortgage Scheme  
- Update**

**1 Summary**

- 1.1 The Authority launched a Local Authority Mortgage Scheme (LAMS) in February 2013. This report provides an update on activity to the 31 March 2014.

<p><b>Recommendation</b></p> <p><b>That the report be noted.</b></p>
--

**2 Introduction**

- 2.1 The Authority launched its LAMS on 5 February 2013. Funding of £1 million was transferred to Lloyds TSB to support first time buyers in obtaining a preferential mortgage. Some information on activity to the end of March is given in the next section.

**3 Activity to Date**

- 3.1 Take up of LAMS started slowly, with only 3 mortgages approved in the first 6 months of the scheme. However the take up increased in the second 6 months, with a further 8 approved. As at the end of March 2014, 11 mortgages have been completed, 3 applicants are part way through the process and a further 3 have met the banks initial criteria and are starting the process.
- 3.2 Of the completed mortgages, the highest indemnity awarded is £36,000, although the average indemnity approved is £25,100. Mortgages have been supported across the Borough, as shown below:

<b>Area</b>	<b>No. of mortgages</b>
Atherstone	2
Coleshill	3
Dordon	2
Hartshill	1
Polesworth	2
Water Orton	1



3.3 Some qualitative data provided by Lloyds indicates that the mortgages have been used to purchase 5 terraced houses, 5 semi detached houses, and 1 flat. The average age of the applicants is 26.

#### 4 Report Implications

##### 4.1 Links to Council's Priorities

4.1.1 Increasing the supply of affordable and social housing is a key corporate priority.

The Contact Officer for this report is Sue Garner (719374).

#### Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date
Agenda Item no. 5	NWBC	Report to Resources Board	11 June 2012

## **Agenda Item No 17**

### **Resources Board**

**2 June 2014**

**Report of the Assistant Director  
(Finance and Human Resources)**

**Risk Management Annual Report  
2013/14**

#### **1 Summary**

- 1.1 This report is to inform Members of risk management actions undertaken during 2013/14 and the risks identified for 2014/15.

#### **Recommendation to the Board**

**That progress be noted.**

#### **2 Background**

- 2.1 Risk is the threat that an event or action will affect the Council's ability to achieve its objectives and to successfully execute its strategies. Risk Management is the process, by which risks are identified, evaluated and controlled. It is a key element of the framework of corporate governance. The Council's Strategic risks are normally identified by Management Team, who will ensure that processes are in place to control them. They are risks which need to be taken into account in judgements about the medium to long term goals and objectives of the Council. Strategic risk assessments are carried out as part of the corporate, community and service planning process and as a key element of service reviews. Operational risks are identified and managed by each Division.
- 2.2 The risk management framework has been in place now for a number of years and takes into account any areas of perceived weakness identified by officers, including those identified by the Internal Audit section. It is used consistently throughout the Authority. The framework has been reviewed and no amendments were thought necessary. Risk Management is important as it enables us to ensure that our plans are sound and proportionate to the risks that exist in our area, and enable us to take preventative action where appropriate.
- 2.3 Risk implications are included in all Board reports. A full risk assessment will be included if the report relates to a new service, policy or significant change in service provision. Implications are identified to assist Members in making informed decisions.

### 3 Work Undertaken During 2013/14

- 3.1 As part of the internal control framework, members of Management Team and Assistant Directors complete an Annual Statement of Assurance on the risks within their area of control. This process informs the Annual Governance Statement, which is a statutory requirement and is reported to Executive Board. The review process carried out for the Statements of Assurance includes an assessment of how identified risks were managed during the year, as well as a forward look at the risks facing the Council and its services in the coming year.
- 3.2 A number of issues were identified in the Annual Governance Statement for 2012/13 which needed to be addressed in 2013/14. Examples of those carried out include:
- Work undertaken to ensure access to systems and telephony has been maintained during the Accommodation project;
  - The commencement of a formal, independent review of health and safety procedures and systems in Housing Direct Works;
  - The reassessment of insurance cover, as part of the full insurance renewal exercise;
  - Work to try and mitigate the impact of HS2 in the Borough;
  - Monitoring of the impact of exemption changes on the collection of Council Tax, the collection of business rates and the benefits of the local business rate pooling arrangement; and
  - Active engagement with key partners in areas such as City Deal.
- 3.3 A lot of other risk management work was undertaken in 2013/14, which was identified through the Statement of Assurance reviews but which wasn't mentioned separately in last years Annual Governance Statement. Examples include: -
- Safe working practices were reviewed and updated in relation to aggressive customers, cash and data handling;
  - Members and stakeholders were consulted to ensure the impact of welfare changes was mitigated;
  - A significant amount of work was undertaken to progress the provision of a replacement leisure centre in Coleshill;
  - Substantial improvements were carried out at Abbey Green Park in Polesworth and at Long Street Recreation Ground in Dordon, including new play provision;
  - We commissioned and responded to an ICT health check to meet GCSX/PSN requirements;
  - There was a review of the management of corporate social media accounts (Twitter and Facebook);
  - Changes required for the revised DBS checks were implemented;
  - The Council's banking arrangements were put out to tender and work to move to another bank was undertaken; and

- Internal Audit adapted to work to the new Public Sector Internal Auditing Standards.

3.4 The forward look at the risks facing the Council in 2014/15 required the 2013/14 strategic and operational risk registers to be updated, to ensure that changes in external factors and service provision or processes are taken into account.

3.5 A review of the strategic risks of the Council led to the deletion of a number of risks. The risk that the Civic Offices are no longer fit for purpose has been dealt with through the Accommodation project, recycling performance has improved significantly as a result of the changes made to the Refuse and Recycling service, the localisation of Council Tax benefit reform has been implemented and work undertaken to mitigate its impact and the risk of non collection of HRA rent has been managed through revised working arrangements within Housing Services.

3.6 A copy of the Authority's 2014/15 Strategic Risk Register is attached as Appendix A. The significant risks (classed as "red") are:-

- Expected efficiency savings and service improvements are not delivered whilst maintaining resilience;
- Health and Safety is not managed effectively;
- Impact on the Borough of the HS2 project.

3.7 There is an ongoing programme of work to establish potential savings, identify the level of risk involved and any service impacts resulting from them. The position will be kept under review and reported to Members. The score for the management of Health and Safety has been increased as a result of the health and safety issues faced last year. A review of the corporate monitoring arrangements for Health and Safety has been undertaken and action identified to ensure that the monitoring of controls is tightened. This will include action within individual divisions and more proactive monitoring by both the HR team and the Health and Safety Working Party. The Council has become a petitioning authority and is working with Warwickshire County Council to try to mitigate the impacts of HS2 on the Borough.

3.8 The individual assessments for the red risks are attached as Appendix B, together with the highest scoring amber risks. These show the controls that are already in place to manage the individual risks.

3.9 A review of operational risks in each Division has identified some risks which are no longer appropriate, as well as a few new risks for 2014/15. These relate to loss of funding for customer access and financial inclusion projects, and the potential impact of the increase in bailiff fees.

3.10 A summary of the red operational risks and also the highest scoring amber risks are shown at Appendix C. Individual assessments are held for all of these risks, including the controls already in place. Further work will be carried out during 2014/15 to help mitigate these risks.

#### 4 Report Implications

##### 4.1 Safer Communities Implications

4.1.1 There are specific risks identified for the work the Council carries out with partners to help reduce crime and disorder in North Warwickshire. These are reflected within the Partnership Plan of the North Warwickshire Community Safety Partnership and in specific service plans of the Council.

##### 4.2 Legal and Human Rights Implications

4.2.1 The Annual Governance Statement referred to in paragraph 3.1 is part of the legal framework for financial reporting.

##### 4.3 Environment and Sustainability Implications

4.3.1 Having effective risk management will contribute towards the delivery of sustainability and helps the Council continue to provide services to help improve the quality of life for the communities of North Warwickshire.

##### 4.4 Equality Implications

4.4.1 The risk to the Council in not complying appropriately with the requirements of the Equality Act is included as an operational risk. Our corporate approach of including the identification of equality implications in reports to boards wherever appropriate to do so and carrying out equality impact assessments on all significant changes in our policies and practices helps to minimise any associated risks.

##### 4.5 Risk Management Implications

4.5.1 Regular reports, ongoing monitoring, further staff training and the strengthening of partnership arrangements will increase awareness of the importance of Risk Management. Individual risks fall into various categories, such as political, environmental, financial, economic, organisational, legal, technical etc. The implication of each risk is assessed and scored to identify whether there are sufficient controls in place or whether additional action needs to be taken.

The Contact Officer for this report is Sue Garner (719374).

#### Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date

# APPENDIX A

**2014/15 Strategic Risk Register (Reviewed by MT 25 February 2014)**

No.	Likelihood	Impact	Score	Risk	Responsible Officer	Corporate Objective
2014 S01	3	3	9	Council's procurement procedures are inadequate leading to poor VFM or lack of probity	LB	Public Services & Council Tax
2014 S02	3	4	12	Insufficient corporate capacity to deal with all the issues facing the Council	JH	Public Services & Council Tax
2014 S03	3	4	12	The Council's political arrangements cease to work effectively	JH	Public Services & Council Tax
2014 S04	3	3	9	Sickness absence is not managed effectively	SG	Public Services & Council Tax / Health & Well Being
2014 S05	3	3	9	The Council is unable to motivate/retain appropriately qualified staff	SG	Local Employment
2014 S06	3	4	12	Ineffective response to an incident (or business continuity plan fails)	JH	Public Services & Council Tax / Environment / Health & Well Being
2014 S07	2	3	6	A key partnership fails, or is ineffective for the Council	JH	Public Services & Council Tax
2014 S08	3	5		Expected efficiency savings and service improvements are not delivered whilst maintaining resilience	CJB	Public Services & Council Tax
2014 S09	2	3	6	The Council fails to meet its commitments arising from the Community and Corporate Plans	JH	Public Services & Council Tax
2014 S10	2	4	8	The council fails to comply with key legislation	SM	All Priorities
2014 S11	3	4	12	Inadequate resources to maintain the Council's capital assets	CJB	Public Services & Council Tax
2014 S12	3	5		Health & Safety is not managed effectively	SG	Public Services & Council Tax / Health & Well Being
2014 S13	3	3	9	Failure to manage staff concerns and well being, in the current economic climate	JH	Local Employment
2014 S14	3	3	9	The instability of the Business Rates system	CJB / BT	Public Services & Council Tax
2014 S15	5	3		Impact on the Borough of the HS2 project	SM	Environment
2014 S16	2	3	6	Impact of open cast mining on the local economy	SM	Environment
2014 S17	3	4	12	Failure to adopt a Core Strategy and provide sufficient housing numbers	SM	Countryside & Heritage / Environment

AMBER

Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2014 S02	Insufficient corporate capacity to deal effectively with all the issues facing the Authority	<ul style="list-style-type: none"> <li>Poor staff morale</li> <li>Missed grant opportunity</li> <li>Poor use of resources</li> <li>Increased levels of sickness</li> <li>Not all services delivered or delivered well</li> <li>Poor public image</li> <li>Authority 'off the pace' seen as weak, failing</li> <li>Increased key person dependency</li> <li>Service intervention</li> <li>Legal challenge</li> </ul>	5	4	20	<p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive Individual ADs ACE&amp;SIC CE</p> <p>HR Manager</p>	<ul style="list-style-type: none"> <li>Identification of priorities by Members and Management</li> <li>Democratic process kept under review to cut out unnecessary meetings/ reports</li> <li>HR Strategy-management Development, Recruitment &amp; Selection, Training &amp; Development Strategy (IIP), Sickness monitoring, Member training</li> <li>Management procedures in place through Corporate Plan, Community Plan, Divisional Plans &amp; Appraisal</li> <li>Ability to buy in consultants</li> <li>Home/flexible working</li> <li>Business continuity plan</li> <li>Corporate plan</li> <li>On-going training/ e learning</li> </ul>	3	4	12
Risk Ref	Options for additional / replacement control procedure					Cost Resources	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating	
	To manage capacity- review structures periodically, prioritise key issues, review vacancies regularly)									
	Although NWBC is now a leaner structure, more efficient—result of systems reviews. However, there is little resource to deal with new challenges									

Responsible Officer: Chief Executive

Reviewed By: 25 February 2014 by Management Team

Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2014 S03	<p>The Council's political arrangements cease to work effectively</p> <p>Voluntary Code of Conduct- lower standards or not adhered to</p>	<ul style="list-style-type: none"> <li>Decision making likely to take longer</li> <li>Crisis management more difficult</li> <li>Capacity of organisation to deal with changed priorities is reduced</li> <li>Decisions being overturned/ poor decisions</li> <li>Lack of effective scrutiny</li> <li>Policy leadership vacuum</li> <li>Lack of experienced lead in a crisis</li> </ul>	5	4	20	<p>Political Leaders</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>DCE/ ACE&amp;StC</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p> <p>Chief Executive</p>	<ul style="list-style-type: none"> <li>Mechanisms involving all political groups</li> <li>Mechanisms for rapid inclusion of Members- particularly those with Special Responsibilities, Chairs &amp; Vice Chairs</li> <li>Experienced Senior Management able to build relationships with leadership, give advice</li> <li>Statutory Officers</li> <li>Overview &amp; Scrutiny</li> <li>Task &amp; Finish groups</li> <li>Leaders Group</li> <li>Ongoing review of Constitution</li> </ul>	3	4	12
Risk Ref		Options for additional / replacement control procedure					Cost Resources	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating

Responsible Officer: Chief Executive

Reviewed and Updated: 25 February 2014 by Management Team



Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2014 S06	Ineffective response to an incident (or business continuity plan fails)	<ul style="list-style-type: none"> <li>Services disrupted</li> <li>Staff unaware of correct procedures</li> <li>Decision making in the heat of the moment may not be correct decision</li> <li>Resources wasted in reacting</li> <li>Increased cost of providing back up services</li> <li>Challenged over lack of preparedness</li> <li>Operating in contravention of legislation</li> <li>Censure by audit/ inspection</li> <li>Adverse publicity</li> </ul>	5	5	25	Chief Executive  AD(Corporate Services)  Chief Executive Chief Executive  Chief Executive  Chief Executive Chief Executive Chief Executive	<ul style="list-style-type: none"> <li>Business Continuity Plan in place, with regular reviews</li> <li>Business continuity exercise carried out</li> <li>Disaster recovery procedures for Computer systems</li> <li>Emergency plan</li> <li>Ongoing training for Officers on emergency planning/Borough Council</li> <li>Ability to set up emergency centre</li> <li>Agreement in place with Wks Emergency Planning Unit</li> <li>Dedicated resource from EPU</li> <li>Community risk register</li> <li>Warks LRF</li> </ul>	3	4	12
Risk Ref	Options for additional / replacement control procedure						Cost Resources	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating

Responsible Officer: Chief Executive

Reviewed: 25 February 2014 by Management Team

RED

Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2014 S08	Expected efficiency savings and service improvements are not delivered whilst maintaining resilience	<ul style="list-style-type: none"> <li>Poor service performance</li> <li>Council has a deficit budget</li> <li>Higher costs than budgeted for</li> <li>Staffing issues</li> <li>Adverse impact on service delivery</li> </ul>	5	5	25	Deputy Chief Executive	<ul style="list-style-type: none"> <li>Medium term financial strategy regularly updated and reported to Members</li> <li>Systems reviews</li> <li>Involvement of all Divisions in the savings programme to identify savings in advance</li> <li>Healthy level of reserves to help manage the process</li> </ul>	3	5	15
Risk Ref	Options for additional / replacement control procedure						Cost Resources	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating

Responsible Officer: Deputy Chief Executive

Reviewed: 25 February 2014 by Management Team

Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2014 S11	Inadequate resources to maintain the Council's capital assets	<ul style="list-style-type: none"> <li>Poorly maintained / potentially dangerous buildings</li> <li>Injury to staff and public</li> <li>An increase in insurance claims, leading to increased premiums</li> <li>Reduced services</li> <li>Bad publicity</li> <li>Reputation damaged</li> </ul>	5	4	20	Deputy Chief Executive	<ul style="list-style-type: none"> <li>Long term capital programme which identifies shortfall - 10 year plan</li> <li>Spending needs identified for assets</li> <li>Resources reviewed on a regular basis</li> <li>Review of assets, with sales where appropriate (eg. Arcade)</li> </ul>	3	4	12
Risk Ref	Options for additional / replacement control procedure						Cost Resources	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating

RED

Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2014 S12	Health & Safety is not managed effectively, corporately or within Divisions, leading to non compliance with legal standards. HR do not provide appropriate support on safety to the Council.	<ul style="list-style-type: none"> <li>Injury to public or staff</li> <li>Impact on service delivery</li> <li>Compensation culture</li> <li>Reputation/ publicity</li> <li>Loss of service</li> <li>Financial sanctions</li> <li>High level of insurance claims</li> </ul>	5	5	25	AD (Finance & HR)	<ul style="list-style-type: none"> <li>Health &amp; Safety Policy details responsibilities</li> <li>Regular risk assessments undertaken</li> <li>Safety audits</li> <li>Use of a cross divisional H &amp; S working party</li> <li>General staff training</li> <li>IOSH training for Managers</li> <li>Qualified NEBOSH staff within the HR section</li> <li>Sickness absence monitoring</li> <li>Specific policies, procedures, controls for individual areas of H &amp; S</li> <li>H&amp;S policies updated</li> <li>Accidents monitored &amp; reported to HSE, if necessary</li> </ul>	3	5	15
Risk Ref	Options for additional / replacement control procedure									
	More monitoring to be undertaken by the HR team / Health and Safety Working Party in 2014/15									

Responsible Officer: AD (Finance & HR)

Reviewed and Updated: 25 February 2014 by Management Team

RED

Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2014 S15	Impact on the Borough of HS2 Project	<ul style="list-style-type: none"> <li>Loss of open spaces/community assets- may need to provide elsewhere</li> <li>Loss of residential properties</li> <li>Air/noise pollution</li> <li>Temporary increase in employment – possible stimulus to local economy</li> <li>Road/ travel disruption</li> <li>Impact on Kingsbury oil terminal- could affect fuel distribution</li> <li>Reduced property prices</li> </ul>	5	4	20	ACE&StC	<ul style="list-style-type: none"> <li>Objection lodged with Secretary of State</li> <li>Press releases / map/ details of consultation on web site</li> <li>Encourage public consultation</li> <li>Joint opposition with other Councils</li> <li>The Council has become a Petitioning Authority</li> </ul>	5	3	15
Risk Ref	Options for additional / replacement control procedure						Cost Resources	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating

Risk Ref	Risk: Title/Description	Consequence	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Gross Risk Rating	Responsible Officer	Existing Control Procedures	Likelihood (5 = high, 1 = low)	Impact (5 = high, 1 = low)	Net Risk Rating
2014 S17	Failure to adopt a Core Strategy and provide sufficient housing numbers	<ul style="list-style-type: none"> <li>Housing built inappropriately, without full weight of local considerations</li> <li>Greater challenges from developers if applications refused, with increased costs in defending appeals</li> </ul>	4	4	16	ACE&StC	<ul style="list-style-type: none"> <li>Core strategy submitted and partial approval given</li> <li>Feedback due, to enable strategy weaknesses to be addressed</li> <li>Work with other councils demonstrating the wider required approach</li> </ul>	3	4	12
Risk Ref	Options for additional / replacement control procedure									
	Cost Resources									
	Likelihood (5 = high, 1 = low)									
	Impact (5 = high, 1 = low)									
	Net Risk Rating									

Responsible Officer: ACE&StC

Reviewed By: Management Team on 25 February 2014

## SUMMARY OPERATIONAL RISK REGISTER 2014

Risk Register number 2014/15	Risk	Gross Score	Net Score	Colour	Division	Corporate Priority
2014 F&HR18	The section does not provide appropriate monitoring and support on safety leading to non-compliance with legal standards	25	15	Red	Finance & Human Resources	LE, PSCT
2014 ACE07	Major incident – out of hours not responded to	20	12	Amber	ACE & StC	E, PSCT
2014 ACE11	Delayed delivery of statutory plan making requirement	20	12	Amber	ACE & StC	C&C, C&H, E, H, LE
2014 ACE23	North Warwickshire is considered a low priority for the allocation of resources commissioned by the PCC and for the use of policing resources	20	12	Amber	ACE & StC	C&D
2014 CS15	Loss of main printer for Academy output through breakdown	16	12	Amber	Community Services	PSCT
2014 CS20	Abusive and aggressive contacts	15	12	Amber	Community Services	PSCT
2014 CS25	Reduction in NDR gross rateable value through RV appeals	20	15	Red	Community Services	PSCT
2014 LCD04	Failure to ensure provision of sufficient appropriate leisure, recreation and play facilities and services to meet the identified needs of local communities in North Warwickshire	20	12	Amber	Leisure & Community Development	AS, C&D, E, H&W, LE, PSCT
2014 LCD07	Ineffective use and management of internal services	20	12	Amber	Leisure & Community Development	E, LE, PSCT
2014 LCD09	Loss of external funding support for mainstream service provision	25	12	Amber	Leisure & Community Development	AS, C&C, C&D, C&H, E, H&W, LE, PSCT, R
2014 LCD14	Failure to maintain Council's tree stock to appropriate safety standard	25	12	Amber	Leisure & Community Development	C&H, E, PSCT
2014 SS01	Failure to maintain assets	20	12	Amber	Streetscape	PSCT
2014 SS03	Enhanced risks from headline Health & Safety legislation	20	15	Red	Streetscape	H&W, PSCT

## KEY – Corporate Priorities

AS	Access to Services	H	Housing
C&C	Consultation & Communication	H&W	Health & Wellbeing
C&D	Crime & Disorder	LE	Local Employment
C&H	Countryside & Heritage	PSCT	Public Services & Council Tax
E	Environment	R	Recycling

**Agenda Item No 18**

**Resources Board**

**2 June 2014**

**Report of the Assistant Chief Executive  
(Community Services)**

**Adoption of a Discretionary  
Reoccupation Rate Relief Policy**

**1 Summary**

- ...
- 1.1 The purpose of this report is to request Members adopt the revised Non Domestic Discretionary Reoccupation Rate Relief guidelines attached at Appendix A. This is necessary because of a recent announcement in the Government's Autumn Statement in December 2013 that has provided the ability for Councils to reduce business rate bills in 2014/15 and 2015/16 following adoption of a local Discretionary scheme.

**Recommendation to the Council**

**That Members adopt the Non Domestic Reoccupation Rate Relief Scheme as attached at Appendix A.**

**2 Consultation**

- 2.1 Due to the Government guidelines for this scheme only being released on 1 April and the need to bring a scheme into effect as soon as possible, this has not allowed any time for formal consultation with Members.

**3 Background**

- 3.1 Under Section 47 of the Local Government Finance Act 1988 (as amended by the Localism Act), the Council has been given discretionary powers to reduce liability for Non Domestic Rate Bills by 50% where a property that was previously used for retail purposes and that has been empty for 18 months or longer becomes reoccupied.
- ...
- 3.2 The scheme as outlined in the attached guidelines at Appendix A is aimed at encouraging reoccupation of empty retail properties particularly in town centres.



3.3 The purpose of bringing this report is that all Councils require a Member endorsed policy to explain its approach to considering any applications for relief under these new provisions. As such, officers have drafted an approach based on the Government's proposed scheme that confirms that the Council will look to support all businesses who meet the qualifying criteria.

3.4 A letter and application form will be enclosed with the rate bills of those that may qualify advising of the new scheme and requesting that they apply in writing as required confirming that they meet the requirements of the scheme as outlined in the policy (see Appendix A).

#### **4 Report Implications**

##### **4.1 Finance and Value for Money Implications**

4.1.1 The financial implications of awarding relief under this scheme will be met in full by the Government using its provisions under Section 31 of the Local Government Act 2003.

##### **4.2 Legal and Human Rights Implications**

4.2.1 Adopting a policy should ensure that the Council's position with regard to this discretionary policy is transparent. The clearly laid down criteria will ensure a consistent approach is taken in all cases in the event of an application or an appeal.

##### **4.3 Risk Management Implications**

4.3.1 By adopting this policy should ensure the risk of legal challenge to the Council's actions is mitigated.

#### 4.4 Equalities Implications

4.4.1 This policy should ensure we continue to undertake actions fairly and consistently. The implementation of the policy will be monitored to help assess any adverse impacts that may arise.

The Contact Officer for this report is Mike Shaw (719338).

#### Background Papers

Local Government Act 1972 Section 100D, as substituted by the Local Government Act, 2000 Section 97

Background Paper No	Author	Nature of Background Paper	Date
Guidance Note issued to allow a revised approach as enabled by Section 47 Local Government Finance Act 1988 (as amended by the Localism Act)	DCLG	Business Rates Re-occupation Relief Guidance Note	1/4/14

**Business Rates Reoccupation Relief Scheme  
2014-15 & 2015-16**

**Introduction**

The government wants to encourage thriving and diverse town centres and wants to see the number of vacant shops decrease. This relief is intended to encourage reoccupation of shops that have been empty for a long period of time and reward businesses that make this happen.

Consequently the Chancellor of the Exchequer announced in the Autumn Statement on 5 December 2013 that it would provide a 50% business rates discount for 18 months for businesses moving into previously empty retail premises between 1 April 2014 and 31 March 2016.

**Properties that will benefit from relief**

Properties that will benefit from the relief will be occupied properties that:

- When previously in use, were wholly or mainly used for retail purposes (see below for examples)
- Were empty for 12 months or more immediately before their reoccupation
- Become reoccupied between 1 April 2014 and 31 March 2016
- Are being used for any use (ie not just retail use) except for properties wholly or mainly used as betting shops, payday loan shops, and pawn brokers.

**Retail use**

In relation to a premises' previous use for the purposes of Reoccupation Relief we consider retail use to mean:

- Shops (such as florists, bakers, butchers, grocers, greengrocers, jewellers, stationers, off licences, chemists, newsagents, hardware stores, supermarkets, etc)
- Charity shops
- Opticians
- Post offices
- Furnishing shops/ display rooms (such as carpet shops, double glazing, garage doors)
- Car/caravan show rooms
- Second hand car lots
- Markets
- Petrol stations
- Garden centres
- Art galleries (where art is for sale/hire)
- Hair and beauty services (such as hairdressers, nail bars, beauty salons, tanning shops, etc)
- Shoe repairs/ key cutting
- Travel agents
- Ticket offices e.g. for theatres
- Dry cleaners
- Launderettes
- PC/ TV/ domestic appliance repair
- Funeral directors
- Photo processing
- DVD/ video rentals
- Tool hire
- Car hire

- Financial services (e.g. banks, building societies, bureaux de change, payday loan shops, betting shops, pawn brokers)
- Other services (e.g. estate agents, letting agents, employment agencies)
- Restaurants
- Takeaways
- Sandwich shops
- Coffee shops
- Pubs
- Bars

This is not an exhaustive list and each case will be considered on its merits in line with the government's intention. There is no rateable value limit for the property in respect of either the previous or reoccupied use.

### **Change of ratepayer**

The relief will run with the property rather than the ratepayer. So if a hereditament is in receipt of Reoccupation Relief and a new ratepayer becomes liable for the property they will benefit from the remaining term of the relief.

### **Calculation of Relief**

Relief will be available for 18 months from the first day the property becomes occupied as long as the first day falls between 1 April 2014 and 31 March 2016, subject to the property remaining continuously occupied.

The eligibility for the relief and the relief itself will be assessed and calculated on a daily basis.

Under this scheme the relief available for each property is 50% of the business rates liability after any mandatory or other discretionary reliefs (other than retail relief) have been applied subject to State Aid de minimis limits (see below).

### **State Aid**

State Aid law is the means by which the European Union regulates state funded support to businesses. Providing reoccupation relief to ratepayers is likely to amount to State Aid. However Retail Relief will be State Aid compliant where it is provided in accordance with the De Minimis Regulations (1407/2013)

The De Minimis Regulations allow a business to receive up to €200,000 of State Aid in a three year period (consisting of the current financial year and the two previous financial years).

A condition of receiving the relief will be for the recipient to immediately notify us of any potentially disqualifying conditions such as already receiving State Aid.

## **Agenda Item No 19**

### **Resources Board**

**2 June 2014**

#### **Report of the Assistant Chief Executive (Community Services)**

#### **Impact of the New Bailiff Regulations and Fees**

### **1 Summary**

- 1.1 The purpose of this report is to inform Members of the impact of the new bailiff regulations and fees that came into effect on 6 April 2014. It outlines the measures that officers are adopting to address the impact of increased fees on householders who are struggling to pay their Council Tax particularly those in receipt of Council Tax support and to whom the instruction of a bailiff is a real threat

#### **Recommendation to the Council:**

**That the content of this report be noted**

### **2 Consultation**

- 2.1 The opportunity for extensive consultation and an earlier report to Members has been difficult due to the very short lead times available for the implementation of these regulations that took effect on 6 April 2014. However, as well as discussions with Lead Members including the Chair of this Board, officers have discussed the new requirements with the Council's Financial Inclusion Partnership which includes a wide range of public and third sector partners . They approved the proposed approach and this has subsequently been agreed with the Council's bailiffs.

### **3 Background**

- 3.1 The Tribunal, Courts and Enforcement Act 2007 had laid the ground for long awaited changes to the fees levied by the bailiff industry. However it wasn't until the passing of the Taking Control of Goods Regulations 2013 and the Taking Control of Goods (Fees) Regulations 2014 that the specific detail of changes as outlined in this report became known meaning we have had a very short time period in which to consider their implications.
- 3.2 The aim of the Regulations is to simplify and regulate the bailiff process, making it more transparent and equitable and to bring the enforcement fees levied in respect of Council Tax, business rates, parking and commercial rent debts under the same regime.

- ... 3.3 Appendix A outlines a detailed description and comparison of the old and new fee structures and tables in Appendix B illustrate how the old and new fee structures work in practice. As can be seen from Table 2 the new fees which involve an upfront fee for the first time and an increased initial visiting charge will have a significant impact particularly on those claiming Council Tax support.
- 3.4 The impact of the changes whilst making the fees charged easier to understand and which are likely to be less than currently charged where it is necessary to actually remove goods (which is only necessary in very few cases) will result in higher costs being borne by households referred to the bailiffs. Following the impact of welfare reforms and the ongoing challenging environment bailiff instructions increased from 1313 in 2012/13 to 1892 in 2013/14.
- ... 3.5 As a result of this, we have, along with the other four Warwickshire District Councils with whom we jointly contract for bailiff services, entered into a revised Service Level Agreement (see Appendix C) with our contracted Civil Enforcement Agents, Bristow and Sutor to adopt new work practices to ensure costs are kept to a minimum from April this year
- 3.6 The effect of this agreement is to give the debtor at least 30 days rather than the current 7 days to make contact with the bailiffs before a first visit to the property is made at which time a further £235 fees will be incurred. During the 30 day period we are also insisting that the bailiffs send three letters rather than the current practice of one, and requesting they attempt to make at least three phone calls to the debtor at different times of the day and week where a phone number is known. It is hoped that this will provide maximum opportunity to collect payment or agree a payment arrangement where the amount cannot be made in full to avoid a personal visit to the property being necessary (see Appendix D).
- 3.7 In addition to these changes, we will be carrying out a campaign of increased awareness so customers late in paying Council Tax and Business Rates and against whom court action is necessary to recover monies are aware of the new bailiff fees.
- ... 3.8 Of the 30,000 properties from whom monies are collected, it was necessary to obtain a liability order at court against 3092 households in 2013/14, an increase of 806 on the corresponding period in 2012/13. This awareness raising has already taken the form of briefing sessions to all key workers in the Borough, and we will continue to encourage early engagement with ourselves and/or our partners in particular the Citizens Advice Bureau via information available on all reminder notices issued, our website and an article in the summer edition of North Talk In addition, a hard hitting leaflet attached at Appendix E which has agreed via the Financial Inclusion Partnership will be enclosed with all Council Tax summonses and letters notifying that a liability order has been granted.

## 4 Report Implications

### 4.1 Finance and Value for Money Implications

4.1.1 Under our current contract with Bristow and Sutor which is due to be reviewed in twelve months time, no commission is paid to them on monies collected and the customer pays all bailiff fees. This situation remains unchanged by the new legislation.

### 4.2 Legal and Human Rights Implications

4.2.1 The Council's approach to recovering monies ensures that all customers are aware of the consequences of non payment of Council Tax and that they are encouraged at every opportunity to engage with us and/or our partners to avoid additional costs being added whether as a result of Court action or referral to a bailiff.

### 4.3 Risk Management Implications

4.3.1 This approach aims to keep Council Tax collection rates as high as possible whilst helping those who genuinely can't pay to obtain early help and advice.

### 4.4 Equalities Implications

4.4.1 This approach should ensure we continue to undertake actions fairly and consistently. The regulations specifically give vulnerable debtors the chance to seek advice and this approach will be monitored to assess any adverse impacts that may arise.

The Contact Officer for this report is Mike Shaw (719338).

## Background Papers

Background Paper	Author	Nature of Background Paper	Date
Transforming Bailiff Action	Ministry of Justice	Response to Consultation	25/1/13

### Changes Being Brought in by Tribunal, Courts and Enforcement Act 2007

This Act brought in items such as debt relief orders, but also looked at how bailiffs worked. Part of it was new legislation called the Taking Control of Goods and aimed to bring in a single piece of legislation to cover all debts. This comes into force on 6/4/14.

#### Previous Fees and Charges

For attending to levy distraint on a first visit where no levy is made. £24.50

For attending to levy distraint on a second visit where no levy is made. £18.00

If the levy is made on the first visit, the £24.50 will be substituted by the levy fee calculated by reference to the fee structure dependent on the size of the debt (eg) a debt of £500 would result in a charge of £24.50 on the first £100 (24.5%) plus £16.00 on the next £400 (4%) totalling £38.50. The remaining fee structure is 2.5% on the next £1500, 1% on next £8000 and 0.25% on any additional sum

If the levy is made on the second visit, the £24.50 will be incurred for the first visit and will be added to the levy fee calculated by reference to the fee structure dependent on the size of the debt as detailed above.

If a levy is made on a third or subsequent visit, the £42.50 will be incurred for the two earlier visits and will be added to the levy fee calculated by reference to the fee structure dependent on the size of the debt as detailed above.

In addition to the above, if a levy is made and a walking possession agreement is entered into (the goods stay with the person unless they default) , a flat rate fee of £12 will be added.

In a case where close possession is entered into (the bailiff stays with the goods until payment is made or are removed ), fees will be £15.00 per day.

Charges for attending/attempting to remove, and for removing goods and chattels, are to remain unprescribed other than to state "they must be reasonable". What is a reasonable fee should be agreed between the bailiff and the Billing Authority.

An indication of the cost of assessing the value of a good before sale where requested by a debtor must be given. This need only be an approximation and not the actual figure.

Auctioneer fees shall remain at 15% of the sum realised where a sale is held on the auctioneers premises and 7.5% where it is held on the debtors premises. Both rates encompass any advertising costs (previously levied without restriction).

Where advertising costs have been incurred but a sale does not take place because the debt is paid, a minimum fee of £24.50 or actual costs incurred up to a maximum of 5% of the liability order, whichever is the greater can be charged.

All such fees will be payable by the debtor. Fees and charges associated with the levying of distress can only be made in cases where certificated bailiffs have been used.



New Fees and Charges – Government want the process to be transparent and simple. Therefore, for the collection of any debt there will be a fee structure:

1. Administration/Compliance stage - **£75**. This is charged as soon as the Enforcement Officer is instructed and they send notification to the debtor that they are collecting the debt.
2. Enforcement stage **£235** this is for the first doorstep visit. (+7.5% if debt over £1,500).
3. Sale Stage **£110** for goods to be taken to place of sale (+7.5% if debt over £1,500).

The above are all inclusive charges and so nothing else can be charged (e.g. Credit card fees)

Fees will be reviewed after 1, 3 and 5 years.

#### Administration/Compliance Stage

1. Letter – we are currently looking at a 3 letter approach (see attached flowchart during a 30 day period)
2. Phone calls – we are looking at a minimum of 3 calls being made at various times – one in the daytime, one in the evening and one at weekends/
3. Payment arrangement – any fees for paying by credit cards or debit cards will now be included in the £75 fee

All this action will be taken before a visit is taken at a cost of £235 at the enforcement stage

#### Enforcement Stage - Taking Control of Goods

1. Notice must have been sent by Enforcement Agent (EA and must be certified) 7 days before goods can be taken (This excludes Sundays and Bank Holidays).
2. Notice must include set information.
3. If Joint & Severally liable – action will only be able to be in one name – could see two compliance fees and two enforcement fees being charged.
4. 12 month time limit introduced.
5. EA may enter relevant premises where (i) usually lives or (ii) carries out trade (This does not include second homes).
6. Hours of entry – (i) Any day (ii) 6am to 9pm (iii) When premises open for business.
7. Goods that can be taken (i) at the premises (ii) on the highway (iii) only goods belonging to the debtor (co-owners will have to have notice served – even if you have reason to believe they co-own).
8. Exempt goods are listed in the Act.
9. Now called a Controlled Goods Agreement (rather than walking possession). This has to be signed to be valid. Goods have to be descriptive.

#### Clarification on Transitional Arrangement

The new fees begin on 6<sup>th</sup> April. Any cases already held and on which the bailiffs have already levied (listed goods) will continue under the existing fee structure

However, where they have been instructed but not levied (i.e.) have incurred a first or second visit charge will not be charged the compliance stage fee of £75 and will proceed to the enforcement stage

If cases are recalled or returned by the bailiff this is at no charge to the debtor or Council

**Briefing Paper on Impact of Bailiff Fee Changes to take effect on 6<sup>th</sup> April 2014****Table 1**

<b>Stage</b>	<b>Old bailiff fees (£)</b>	<b>New bailiff fees (£)</b>
Bailiff instruction fee	£0	£75
First visit fee	£24.50	£235
Second visit fee	£18.00	£0
Removal of goods fee	£160 (average)	£110
<b>Total if goods are removed</b>	<b>£285 (plus any debit or credit card fees paid. This figure includes an average an average levy fee of £82.50 based on an average debt of £1250)</b>	<b>£420</b>

**Table 2**

<b><u>New Fees</u></b>	<b><u>Council Tax Support</u></b>		<b><u>Non Council Tax Support</u></b>	
<b>Average Debt</b>	£80	% increase to the debt (cumulative)	£1250	% increase to the debt (cumulative)
Court Costs	£100	125%	£100	8%
Bailiff Instruction Fee	£75 (£175)	219%	£75 (£175)	14%
Visit Fee	£235 (£410)	513%	£235 (£410)	33%
Goods Removal Fee	£110 (£520)	650%	£110 (£520)	42%
<b>Total payable if goods removed</b>	<b>£600</b>		<b>£1770</b>	

## North Warwickshire Borough Council

Bob Trahern, IRRV (Hons)  
Assistant Chief Executive (Community Services)  
The Council House  
South Street  
Atherstone  
Warwickshire  
CV9 1DE

Telephone : (01827) 719338  
Fax : (01827) 719412  
Website: [www.northwarks.gov.uk](http://www.northwarks.gov.uk)

Andy Rose  
Managing Director  
Bristow & Sutor  
Bartleet Road  
Redditch  
Worcestershire

B98 0FL

Dear Andy

**Service Level Agreement between Bristow and Sutor and North Warwickshire Borough Council, Nuneaton and Bedworth Borough Council, Stratford District Council, Warwick District Council and Rugby Borough Council**

Further to our recent telephone call, I am writing to confirm the following actions that we require Bristow and Sutor to carry out for the five Warwickshire district councils named above from 6 April 2014 in addition to the terms and conditions of the formal contract for services that currently exists between us.

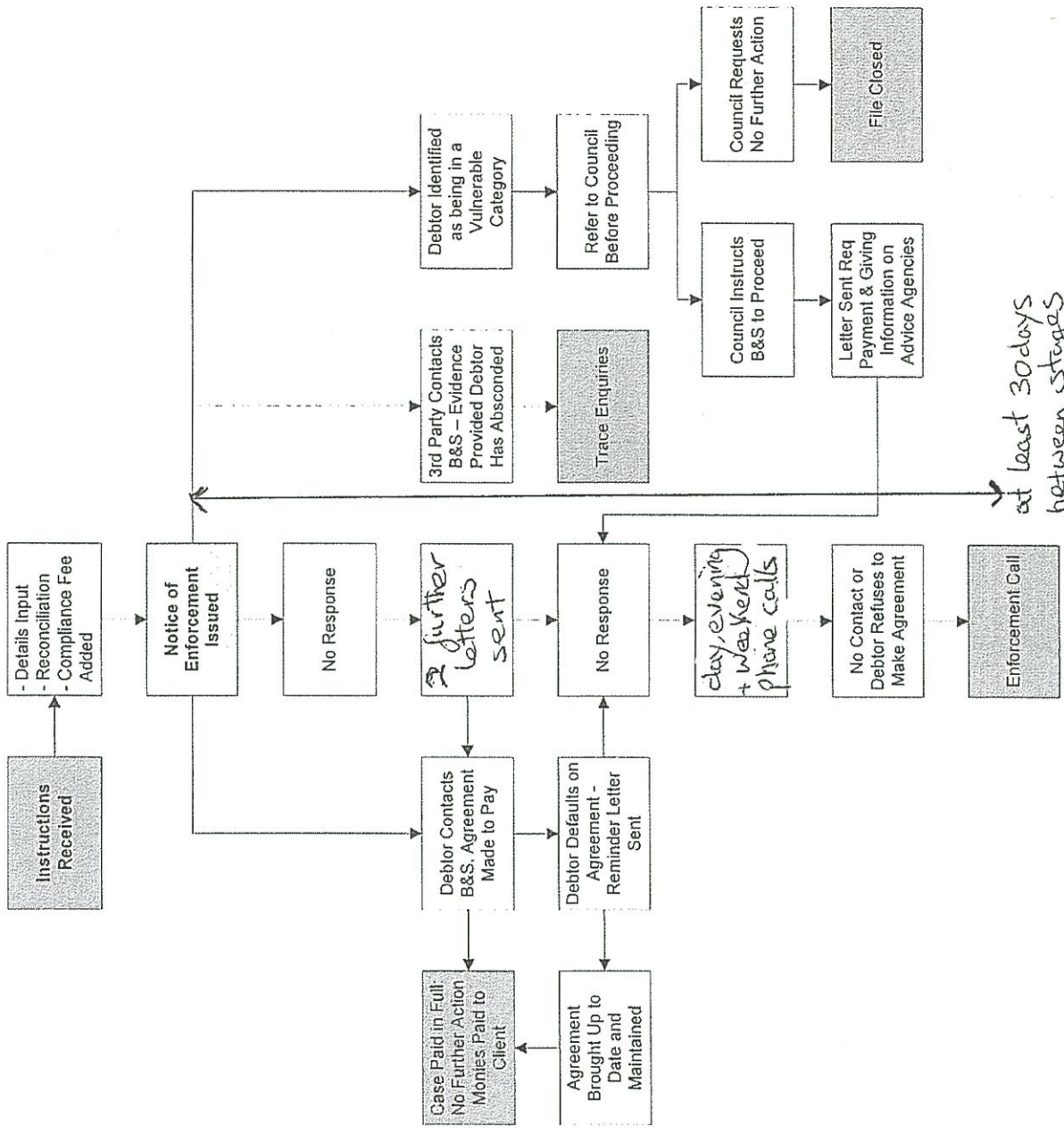
In respect of council tax, they are to

- a) continue sending the equivalent of a '14 day notice' – ie a non fee-bearing notice sent at least 14 days prior to the commencement of the compliance stage informing the debtor of forthcoming actions and fees
- b) observe a minimum 30 day waiting period before a case is moved on from compliance stage to enforcement stage
- c) send at least two further notices and make a minimum of one daytime phone call, one evening phone call and one weekend phone call (where a phone number is available) during the period in b)
- d) measure and notify each council of the proportion of cases moving from compliance to enforcement stage on a council by council basis within an agreed period
- e) measure and notify each council of the proportion of cases withdrawn by each council from bailiff action on a council by council basis within an agreed period
- f) provide a service for low value accounts whereby they are returned to councils rather than being moved on to the enforcement stage
- g) provide a non statutory, commission based collection service outside of the Tribunals, Courts and Enforcement Act 2007 for council tax debts if required
- h) continue implementing and administering statutory attachment of earnings orders where appropriate
- i) refer seemingly vulnerable debtors to appropriate agencies as directed by each council
- j) move any currently unlevied debtors on to the new statutory arrangements only after the issue of a non fee-bearing notice warning them of the next recovery stage
- k) continue under the existing statutory arrangements and fees for any currently levied debtors
- l) honour any existing arrangements made with debtors and send them a non fee-bearing notice warning them of the next recovery stage upon default

I suggest we meet up after three months to review these arrangements, particularly to agree the tolerances in d) and e).

For non domestic rates we are happy for the statutory arrangements to apply without amendment.

Many thanks  
Mike Shaw  
Revenues & Benefits Manager  
North Warwickshire Borough Council  
on behalf of all five councils listed above



*at least 30 days between stages*

# In debt? In arrears? Don't bury your head in the sand!



The way that bailiffs operate is changing from 6th April. **YOU** will now be charged **£75** straight away if we need to pass your unpaid council tax or business rates debt after taking action in the court which also adds another **£100** to what **YOU** owe. If the bailiff has to visit your property, this will cost **YOU** an additional **£235**. Don't let it get to this stage - ring us **NOW** and let us help you take control of your finances.

## Don't delay. Act today

### Ring us on 01827 719357



North Warwickshire  
Borough Council





North Warwickshire  
Borough Council



### Where to go for more information, help and advice

#### **Local Welfare Support Scheme**

From April 2013 people in **CRISIS** who need **emergency** provision should call Warwickshire County Council. The county council may be able to help you with food parcels and emergency fuel costs. **Tel 0800 408 1448 (freephone from landlines) or 01926 359182**

NB: The Local Welfare Support Scheme replaces the Crisis Loans and Community Care grants previously issued by the DWP.

#### **North Warwickshire BC Food Bank**

For North Warwickshire BC residents struggling to meet their everyday household bills and to feed their families - **Tel: 01827 715341**

#### **Citizens Advice Bureau (CAB)**

The CAB offers a range of free services and advice including information on your money, family and health issues and your legal rights. **Tel: Advice Line 0844 855 2322 Information line 01827 712852 or Visit: [www.nwcab.org.uk](http://www.nwcab.org.uk)**

#### **The Money Advice Service**

For FREE, unbiased and independent advice on **all** money matters visit **[www.moneyadvice.org.uk](http://www.moneyadvice.org.uk)** or **Tel: 0300 500 500**

#### **New Central Credit Union**

If you need help budgeting & managing your money, opening a bank account, advice on savings and affordable loans contact New Central Credit Union on **Tel: 02476 633456 or Email [info@newcentralcu.co.uk](mailto:info@newcentralcu.co.uk)**. A representative is also available at NWBC Offices on Tuesdays 11:30 am until 2:30 pm – Tel: 01827 715341 for more information

#### **Act On Energy**

Worried about your gas and electricity bills? Need advice on energy efficiency and keeping warm, need help and advice on boiler servicing call **Act on Energy Tel: 0800 988 2881**

#### **Age UK**

If you're 50 and over and need information, advice and guidance about benefits, support services available to you, details of activities near to you and befriending services then Contact **Age Uk, Partnership Centre, Coleshill Rd, Atherstone, CV9 1BN or Tel: 01827 717172**

#### **National Careers Service, Atherstone.**

Looking for work? Get **FREE** careers advice, help with your CV, finding training courses, help with vacancies and get redundancy support at NWBC Council Offices, Tuesday – Thursday 8.30 am – 5.00 pm. **Call CSWP on Tel 07971483377 or Email [elaine.wainwright@cswp.org.uk](mailto:elaine.wainwright@cswp.org.uk)**

**Chapter 1 – 2<sup>nd</sup> Chance Furniture Showroom** – A furniture re-use project that collects unwanted furniture and makes them available at an affordable price. Discounts are available for those on benefits and low income. Come

**NORTH WARWICKSHIRE BOROUGH COUNCIL**

**MINUTES OF THE  
HOUSING SUB-COMMITTEE**

**28 April 2014**

Present: Councillor Winter in the Chair

Councillors Davis, N Dirveiks, Fox, Johnston, Lewis and Moore.

Councillor Smith was also in attendance.

**25 Disclosable Pecuniary and Non-Pecuniary Interests**

None were declared at the meeting.

**26 Minutes of the Housing Sub-Committee held on 28 January 2014**

The minutes of the meeting of the Sub-Committee held on 28 January 2014, copies having previously been circulated, were approved as a correct record and signed by the Chairman.

**27 Progress Report on Achievement of Corporate Plan Targets – April – March 2013/14**

The Chief Executive and the Deputy Chief Executive informed Members of the progress with the achievement of the Corporate Plan targets relevant to the Sub-Committee for April to March 2013/14.

**Resolved:**

**That the report be noted.**

**28 Mobile Homes Act 2013**

The Assistant Director (Housing) reported on recent changes to the regulation of certain caravan sites and sought Members' views on fees and related matters.

**Resolved:**

- a That the report be noted and the proposed fees schedule approved; and**

## **Recommendation to Executive Board**

- b That the proposed Constitutional amendments be approved.**

### **29 Green Deal Communities Grant Funding**

The Assistant Director (Housing) gave details of an award of grant funding to the Council from DECC (Department for Energy and Climate Change) for energy efficiency works to private properties and how the Council might utilise it.

#### **Resolved:**

**That the award be accepted and delivery of the project, as set out in the report of the Assistant Director (Housing) is undertaken.**

### **30 Animal Wardens - Update**

The Assistant Director (Housing) reported on the work of the animal wardens over the past year and proposed a wider scope of chargeable services for pest control.

#### **Resolved:**

**That the report be noted and the opportunity to undertake chargeable services for the control of moles on request be approved.**

### **31 Empty Homes - Update**

The Assistant Director (Housing) provided the Sub-Committee with an update on empty homes activity around the Borough over the past year.

#### **Resolved:**

**That the report be noted.**



**32 Developing New Council Properties**

The Assistant Director (Housing) provided the Sub-Committee with an update on the Council's current new build schemes and proposed methods for developing new homes in the future.

**Resolved:**

- a That the Council enters into a consortium with Waterloo Housing Group in order to engage with the Homes and Communities Agency's Affordable Homes Programme 2015-18; and**
- b That the Council considers purchasing properties which become available as part of Section 106 agreements.**

**John Winter  
CHAIRMAN**

**Agenda Item No 21**

**Resources Board**

**2 June 2014**

**Report of the  
Chief Executive**

**Exclusion of the Public and Press**

**Recommendation to the Board**

**That under Section 100A(4) of the Local Government Act 1972, the public and press be excluded from the meeting for the following items of business, on the grounds that they involve the likely disclosure of exempt information as defined by Schedule 12A to the Act.**

**Agenda Item No 22**

**Owen Street Arts Centre**

Paragraph 1 – by reason of the report containing information which is likely to reveal the identity of an individual.

**Agenda Item No 23**

**Request for Licence for Access Over Land**

Paragraph 1 – by reason of the report containing information relating to an individual.

The Contact Officer for this report is David Harris (719222).