

Cabinet

Agenda

Thursday 14 February 2019

The Cabinet will meet at SHIRE HALL, WARWICK on Thursday 14 February 2019 at 13.45.

Please note that this meeting will be filmed for live broadcast on the internet and can be viewed on line at warwickshire.public-i.tv. By entering the meeting room and using the public seating area you are consenting to being filmed. All recording will be undertaken in accordance with the Council's Standing Orders.

The agenda will be:

1. General

1) Apologies for Absence

2) Members' Disclosures of Pecuniary and Non-Pecuniary Interests

Members are required to register their disclosable pecuniary interests within 28 days of their election of appointment to the Council. A member attending a meeting where a matter arises in which s/he has a disclosable pecuniary interest must (unless s/he has a dispensation):

- Declare the interest if s/he has not already registered it
- Not participate in any discussion or vote
- Must leave the meeting room until the matter has been dealt with.
- Give written notice of any unregistered interest to the Monitoring Officer within 28 days of the meeting

Non-pecuniary interests must still be declared in accordance with the Code of Conduct. These should be declared at the commencement of the meeting.

3) Minutes of the meeting held on the 22 January 2019

To approve the minutes of the meeting held on 22 January 2019.

4) Public Speaking

To note any requests to speak in accordance with the Council's Public Speaking Scheme (see footnote to this agenda).

2. Kenilworth Station Review

Having been considered and commented on in draft form by the Communities Overview and Scrutiny Committee this report is now presented to Cabinet for final approval.

Cabinet Portfolio Holder: Councillor Jeff Clarke

Chair of Communities Overview and Scrutiny Committee: Councillor Alan Cockburn

Independent Review Chair: John Bridgeman CBE

3. Business Rates Retention Reform and A Review of Local Authorities' Relative Needs & Resources – Responding to the Government's Consultation

A report concerning the County Council's responses to the Fair Funding Review and Business Rates Reform.

Cabinet Portfolio Holder: Councillor Peter Butlin

4. School Admissions 2020/2021

This report sets out the arrangements for the school admissions process for 2020/21.

Cabinet Portfolio Holder: Councillor Colin Hayfield

5. Commissioning of Discharge to Assess on behalf of South Warwickshire NHS Foundation Trust under a Section 75 Agreement

A report that asks Cabinet to revise the current partnership arrangements between Warwickshire County Council (WCC) and South Warwickshire NHS Foundation Trust (SWFT) and enter into a new agreement under Section 75 of the National Health Service Act 2006 for the provision of Discharge to Assess services.

Cabinet Portfolio Holder: Councillor Les Caborn

6. Any Urgent Items

Any other items the Chair considers are urgent

7. Reports Containing Confidential or Exempt Information

To consider passing the following resolution:

'That members of the public be excluded from the meeting for the items mentioned below on the grounds that their presence would involve the disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972'.

8. Exempt Minutes of the 22 January 2019 meeting of Cabinet

To approve the exempt minutes of the meeting held on 22 January 2019.

9. Extra Care Housing in Warwickshire – Progress Report and Direction of Travel

This report provides an update to Cabinet on Extra Care Housing in Warwickshire.

Cabinet Portfolio Holder: Councillor Les Caborn

David Carter
Joint Managing Director
Warwickshire County Council
February 2019

Cabinet Membership and Portfolio Responsibilities

Councillor Izzi Seccombe OBE (**Leader of the Council and Chair of Cabinet**)
cllrmsseccombe@warwickshire.gov.uk

Councillor Peter Butlin (**Deputy Leader, Finance and Property**)
cllrbutlin@warwickshire.gov.uk

Councillor Les Caborn (**Adult Social Care and Health**)
cllrcaborn@warwickshire.gov.uk

Councillor Jeff Clarke (**Transport & Planning**)
cllrclarke@warwickshire.gov.uk

Councillor Andy Crump (**Fire & Rescue and Community Safety**)
cllrcrump@warwickshire.gov.uk

Councillor Colin Hayfield (**Education and Learning**)
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Councillor Kam Kaur (**Customer and Transformation**)
cllrkaur@warwickshire.gov.uk

Councillor Jeff Morgan (**Children's Services**)
cllrmorgan@warwickshire.gov.uk

Councillor David Reilly (**Environment and Heritage & Culture**)
cllrreilly@warwickshire.gov.uk

All public papers are available at www.warwickshire.gov.uk/cmis

Non-voting Invitees -

Councillor Jerry Roodhouse (**Leader of the Liberal Democrat Group**),
cllrroodhouse@warwickshire.gov.uk

Councillor Richard Chattaway (**Leader of the Labour Group**)
cllrchattaway@warwickshire.gov.uk

or their representatives.

Public Speaking

Any member of the public who is resident or who works in Warwickshire may speak at the meeting for up to three minutes on any item on the agenda for this meeting. This can be in the form of a statement or a question. If you wish to speak please notify Paul Williams (see below) in writing at least two clear working days before the meeting. You should give your name and address and the subject upon which you wish to speak. Full details of the public speaking scheme are set out in the Council's Standing Orders (Standing Order 34).

General Enquiries: Please contact Paul Williams, Democratic Services Team Leader

Tel 01926 418196 or email: paulwilliamscl@warwickshire.gov.uk

**Minutes of the meeting of the Cabinet
held on 22 January 2019**

Present:

Cabinet Members:

Councillors	Izzi Seccombe OBE	Leader of Council and Chair of Cabinet
	Peter Butlin	Deputy Leader (Finance and Property)
	Les Caborn	Adult Social Care & Health
	Jeff Clarke	Transport & Planning
	Andy Crump	Fire and Rescue and Community Safety
	Colin Hayfield	Education and Learning
	Kam Kaur	Customer & Transformation
	Jeff Morgan	Children's Services
	Dave Reilly	Environment and Heritage & Culture

Non-Voting Invitees:

Councillor Richard Chattaway Leader of the Labour Group

Other Councillors:

Councillors Sarah Boad, Jonathan Chilvers, John Holland, Keith Kondakor, Maggie O'Rourke and Alan Webb

Public attendance:

None

1. General

(1) Apologies for absence

Councillor Jerry Roodhouse - Leader of the Liberal Democrat Group

(2) Members' Disclosures of Pecuniary and Non-Pecuniary Interests

None

(3) Minutes of the meeting held on 11 December 2018 and Matters Arising

The minutes for the meeting held on 11 December 2018 were agreed as an accurate record and signed by the Chair.

(4) Public Speaking

None

(5) Chair's Announcement

Councillor Izzi Seccombe (Leader of Council and Chair of Cabinet) welcomed Lisa Kitto (Interim Assist Director for Finance and ICT) to Warwickshire County Council.

2. One Organisational Plan Quarterly Progress Report - April to December 2018

Councillor Kam Kaur (Portfolio Holder for Customer and Transformation) introduced the published report stating that overall the performance of Warwickshire County Council is good. There remain three areas of high demand that are a matter of concern namely, Education and Learning, Children's Services and Children and Young Families. However, for these and other service areas where some concerns exist over performance the report sets out the remedial measures that are in place to address them.

Councillor Peter Butlin (Deputy Leader, Finance and Property) briefed Cabinet on the financial aspects of the report. Members' attention was drawn to recommendations b and c that propose the transfer of £2.104m to Business Unit reserves and the approval of the use of underspends to fund overspends in Waste Management and Dedicated Schools Grant funded services within Education and Learning. Councillor Peter Butlin emphasised that overall the financial performance of the County Council is good and that where issues have been identified plans are in place to address them.

Councillor Sarah Boad expressed concern over some aspects of Community Safety and Fire performance (Page 5 of 9 of the published dashboard). It was noted that at certain times of the year response time targets for appliances are being missed and that performance was lower than in 2017/18. Councillor Boad suggested that any reduction in the number of appliances available to the Fire and Rescue Service may have a negative effect on response times in the future. Concerns were also raised over the number of people killed in fires in the County. Members were reminded that often fire deaths involved vulnerable people. Assurances were sought that measures are in place to safeguard these people where possible.

Referring to the employment rate chart on page 12 of 26 of the published report Councillor Keith Kondakor noted that the information provided was for 2017/18. Councillor Kondakor suggested that whilst the information appeared encouraging it was not reflective of the current position. It was noted that unemployment figures published on the day of Cabinet presented a less positive picture. In response Councillor Izzi Seccombe reminded Cabinet that it is necessary to utilise the data that is available. Nevertheless, she did agree that the unemployment claimant data should be evaluated.

Regarding the rate of land sales Councillor Keith Kondakor suggested that these are not happening quickly enough. It was suggested that land sales, the corresponding rate of house building and the availability of school places are interlinked. In response Cabinet was informed that school places have little to do with land sales. The funding for school places is provided through Section 106 funding and directly from central government.

Councillor Andy Crump (Portfolio Holder for Fire & Rescue and Community Safety) responded to members' concerns over fire related issues. He stated that the location of fire stations in towns was determined at a time when the need to reach fires was the principal consideration. Over time the balance of work for the Fire and Rescue Service has moved from fighting fires to rescue situations (ie at road traffic accidents). As a result, the ideal location for a fire station is close to the main

highway network. Ensuring that fire stations are in the best location is part of a long term project.

Councillor Crump added that much work is undertaken to reduce the incidence of fires. However, the very hot summer of 2018 proved to be particularly challenging.

In response to Councillor Boad's observations concerning the need to maintain the number of appliances available Cabinet was reminded that the resourcing of the Fire and Rescue Service would be considered as part of the Council's budget setting discussions on 7 February 2019. Concerning fire deaths, it was noted that these are always thoroughly investigated with a view to establishing their cause and any lessons that may be learned for the future.

Resolved

That Cabinet:

- 1) Notes the progress of the delivery of the One Organisational Plan 2020 for the period as contained in the report;
- 2) Approves the net transfer of £2.104 million to Business Unit reserves in order to support the delivery of services in future years, as outlined in section 3.2 of the report; and
- 3) Approves the use of underspends in Other Services to fund overspends in Waste Management and Dedicated Schools Grant funded services within Education & Learning, as outlined in section 3.1.5 of the report.

3. 2019-20 Refresh of the Medium Term Financial Plan 2020

Councillor Peter Butlin explained that the report before Cabinet was presented as a final update prior to the Council's budget setting meeting. Particular attention was drawn to section 2 of the report which set out the impact of the Local Government Finance Settlement (released on 13 December 2018). Supplementary information had been provided to the meeting concerning Council Tax collection. Replacing section 3.3 of the published report this stated,

3.3 Surplus/Deficit on Collection

As part of setting the council tax we also have to take into account any surplus/deficit on collection of council tax from previous years. The breakdown of the surplus/deficit across the districts is shown in Table 2 and provides an **additional £1.453 million one-off** funding available to support the budget in 2019/20.

Table 2: 2019/20 Surplus/(Deficit) on Council Tax Collection	
	£m
North Warwickshire	0.498
Nuneaton and Bedworth	0.451
Rugby	0.191
Stratford-on-Avon	(0.711)
Warwick	1.024
Total	1.453

Referencing Table 1 of the published report Councillor Keith Kondakor observed that the Council Tax base in Warwick has increased by over 4%. It was suggested that this may be attributable to the number of students located in Warwick District. In contrast Nuneaton and Bedworth and North Warwickshire have seen comparatively little growth.

Councillor Jonathan Chilvers (Leader of the Green Group) welcomed additional funding proposed for waste management but considered that more should be done to tackle the underlying issues around waste i.e. waste generation.

In response to a question from Councillor Sarah Boad concerning additional funding for children with special educational needs Cabinet was informed that this equates to approximately a 2% increase in budget.

Regarding the Fire and Rescue Service budget members were reminded that the savings proposals contained in the report were those put forward by Corporate Board. These along with others will be considered by Council on 7 February 2019.

Resolved

That Cabinet:

- 1) Notes the latest resource and spending information and the impact on the emerging budget proposals;
- 2) Notes the Assistant Director of Finance and ICT's risk assessment on the level of general reserves, as detailed in Appendix D of the report;
- 3) Agrees to extend the use of the Redundancy Fund to meet the costs of staffing changes arising from the new operating model and service transformation;
- 4) Agrees to publish, in light of the information provided, its 2019/20 budget resolutions for recommendation to Full Council on 7 February 2019;
- 5) Authorises the Assistant Director of Finance and ICT to incorporate the outstanding resource information into the budget resolutions to be considered by Full Council on 7 February 2019; and

- 6) Agrees to recommend that Council, in the event of final resource figures being above or below the estimates used in this report, approve that the variation be managed by an adjustment to the Medium Term Contingency.

4. OOP 2020: Development of Strategic Objectives 2019-20

Councillor Kam Kaur presented the report and explained the background to the new strategic objectives.

Councillor Alan Webb commended the objectives but emphasised that given the financial pressures the Council is under it may be a major challenge to meet them.

Councillor Keith Kondakor commended the objective around composting and waste and emphasised the need to be realistic in what can be achieved.

Resolved

That Cabinet approve the proposed OOP 2020 strategic objectives 2019-20 for onward consideration at Full Council on 7 February 2019.

5. Youth Justice Service Inspection

Councillor Andy Crump explained that the report before Cabinet presented a good news story. Cabinet commended officers of the Youth Justice Service for their hard work both for in terms of the service they deliver and also their agile response to the inspection.

Councillor Jonathan Chilvers echoed the comments regarding the officers of the service and asked whether the proposed saving of £222,000 will impact on the effectiveness of the service. In reply Cabinet was informed that savings proposals will be discussed at Council on 7 February when all groups will be able to table their proposals.

In response to a question from Councillor Richard Chattaway regarding proposed service redesign Councillor Crump agreed to share his views on this with members as work progresses.

Resolved

That Cabinet:

- 1) Notes that the Youth Justice Service Inspection resulted in an overall rating of Good with some elements rated Outstanding; and
- 2) Commends the staff of the service on the outcome and approves the continuing work on the Inspection Improvement Plan which will be monitored by the Youth Justice Chief Officer Board.

6. Inspection of Warwickshire Fire & Rescue Service by Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services

Councillor Andy Crump introduced the report and commended staff for their contribution to the inspection process. It was noted that the Warwickshire Fire and Rescue Service was one of the first to be inspected under the new regime. 8 out of 11 broad areas for inspection were deemed to be good. An improvement plan has been developed. This can be monitored by the Fire & Rescue and Community Safety Overview and Scrutiny Committee.

Other members commended the Service for the result of the inspection. Councillor O'Rourke stressed the need to address vacancy rates whilst Councillor Boad advocated the greater use of social media to address issues around diversity of workforce. In addition, Councillor Boad reminded Cabinet of the need to reflect on risk when considering resource allocation.

Councillor Izzi Seccombe agreed that diversity of workforce is an issue that will require attention adding that the recruitment of retained firefighters also presents a challenge.

The meeting was reminded that during the summer of 2018 appliances from Warwickshire had attended heathland fires in Staffordshire and at Saddleworth Moor near Manchester. In Warwickshire the Service had worked hard throughout that summer to promote fire prevention. (An example of this was a press release regarding the dangers of the careless disposal of barbeques).

Councillor Richard Chattaway cautioned against reductions to the Service's budget suggesting that this could have an impact on response times.

In conclusion Councillor Crump,

- Noted that collaboration with the West Midlands Fire and Rescue Service will assist in reducing response times adding that he would provide Councillor Boad with more information on them.
- Stated that work is ongoing with communities to address diversity issues.
- Again thanked officers of the Fire and Rescue Service for their endeavours

Resolved

- 1) That Cabinet note the formal inspection report published on 20 December 2018;
- 2) Commends the staff of the Warwickshire Fire and Rescue Service for their hard work in relation to the 2018 inspection and also for their ongoing service to the community.
- 3) That the Resources and Fire & Rescue Overview and Scrutiny Committee monitor the resultant action plan and related improvements.

7. Any Urgent Items

None

8. Reports Containing Confidential or Exempt Information

Resolved

That members of the public be excluded from the meeting for the items mentioned below on the grounds that their presence would involve the disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972.

EXEMPT ITEMS FOR DISCUSSION IN PRIVATE (PURPLE PAPERS)

9. Exempt Minutes of the meeting held on 11 December 2018 and Matters Arising

Resolved

The exempt minutes for the meeting held on 11 December 2018 were agreed as an accurate record and signed by the Chair.

10. Warwickshire Fire & Rescue Service - Training Provision

Councillor Andy Crump explained the background to the report adding that discussions regarding enhancements to training facilities for firefighters had been ongoing for a considerable time.

Councillors sought assurance that the proposals before Cabinet would match those previously considered in terms of the quality of the training to be delivered. In reply Councillor Crump stated that the proposals on the table would provide a similar level of training.

Councillor Pete Butlin reminded Cabinet that Warwickshire Fire and Rescue Service is now working in partnership with the West Midlands Service and that there is scope to share training facilities.

Resolved

Cabinet agreed the recommendations as set out in the exempt minutes.

11. Boarding School Policy

Councillor Jeff Morgan (Portfolio Holder for Children's Services) introduced the report explaining that the policy before Cabinet related to the placement of some looked after children at boarding schools. Members were informed that for some looked after children education at a boarding school can offer the best solution. Social and educational benefits can come from the additional attention and structure such children will receive at boarding school.

It was explained that the report and appendices were being considered in closed session on the grounds of confidentiality. It was expected that following the Cabinet meeting the Boarding School Policy would be made public.

Members agreed that the implementation of the Boarding School Policy should be monitored by the Children and Young People Overview and Scrutiny Committee.

Councillor Morgan closed by emphasising that the primary focus for the County Council is the wellbeing of the child. No child would be placed at a boarding school unless all parties were satisfied that this offered the best solution.

Resolved

That Cabinet agrees to the adoption of a Boarding School Policy:

- To add to its placement sufficiency strategy for looked after children and
- As an edge of care option.

12. Land at Crick Road, Rugby

Councillor Peter Butlin explained the background to the published report. Members expressed their support for the proposal.

Resolved

Cabinet agreed the recommendations as set out in the exempt minutes.

The meeting rose at 15.12.

.....
Chair

Cabinet

14 February 2019

Kenilworth Station Review

Recommendation

That Cabinet agrees the recommendations of the Kenilworth Station Task and Finish Group (TFG).

1.0 Introduction

- 1.1 Kenilworth's new railway station opened on Monday 30 April 2018. The introduction of services at the new station marked the end of a campaign by local residents lasting over two decades. It is widely regarded as a welcome addition to the fabric of the town currently seeing an hourly service, six days a week to Coventry and Leamington Spa.
- 1.2 To have constructed and opened a new station and to have introduced an entirely new passenger service within budget is a major achievement. However, in order to get to the position where services were operating, a series of challenges had to be overcome. Meeting these challenges meant that on a number of occasions the opening date for the station needed to be revised. This was a source of frustration to local residents, employers and partners involved in the project.
- 1.3 At its meeting on 20 March 2018 the County Council agreed that a review be undertaken to consider the reasons behind the delays encountered with a view to learning lessons that can be applied to future rail projects in Warwickshire and elsewhere.
- 1.4 On 14 November 2018 the Communities Overview and Scrutiny Committee received an update report on progress with the review. At the meeting the Independent Chair of the TFG, John Bridgeman CBE, briefed members on progress, setting out some of the emerging themes from the review. Members welcomed that the station was open and commended all those involved for its success.
- 1.5 On 16 January 2019 the Communities Overview and Scrutiny Committee considered the draft report and recommendations. An extract of the minutes from that meeting is given at Appendix A.

- 1.6 The review report is attached as Appendix B. This has been refined since 16 January 2019 taking on board feedback from rail advisers and the Communities Overview and Scrutiny Committee.
- 1.7 It is not considered necessary to repeat in this covering report that which is contained in the TFG's report. However, Cabinet's attention is particularly drawn to the TFG's recommendations set out below.

2.0 TFG Recommendations

Future Rail Reviews

1. That the Leader of Warwickshire County Council should write to the Secretary of State for Transport requesting that future reviews take greater account of the needs of local authorities and partners in rail enhancement projects. This should particularly draw attention to the financial and social impact that changes in policy can have on on-going projects.

Learning Lessons

2. That the current practice of holding a "Lessons Learned" session on the completion of every major transport project, where considered appropriate involving all partners (including relevant elected representatives) be continued and that messages resulting from that session be published and circulated widely.
3. That given its track record of successful delivery of new stations Warwickshire County Council commits to the ongoing maintenance of a body of evidence regarding past major transport projects and lessons learned from them.
4. That at the inception of any major transport projects the Project Manager convenes a short life working group comprising council officers and members and other partners to review lessons learned from previous projects undertaken in Warwickshire and elsewhere

Governance

5. That, as is already the practice, at the commencement of a major transport scheme (once partners have been appointed/ identified) a meeting be convened by officers of Warwickshire County of senior representatives from those agencies involved to develop a mutual understanding of the project's objectives and of roles and responsibilities. The meeting should be accompanied and guided by clear terms of reference placing it on a formal footing.
6. That the terms of the reference for the Major Schemes Board be reviewed by the Communities Overview and Scrutiny Committee with consideration being given to how it can offer support to others in the governance structure when greater authority is required to be used.

The Intervention Stage

7. That, recognising limitations on resources, the Leader of the Council writes to the Secretary of State for Transport with a request that consideration be given to ways in which rail industry partners enter into binding commercial agreements to deliver their agreed outputs.

Funding

8. That the Leader of the Council be asked to liaise with the Coventry and Warwickshire Local Enterprise Partnership (and other funding providers) to explain the negative effect that the application of very tight and rigid funding timescales can have on effective project management.
9. That during negotiations regarding funding partners who will be involved in project delivery be invited to liaise with fund holders to establish a common understanding of the challenges around timescales.

Communication

10. That from the commencement of a major transport project its nature and complexity and the reliance by partners on each other should be made explicit in all internal and external communications.
11. From the outset communications should be clear regarding the extent of the scheme, the services it will offer and the benefits it will bring. These messages should be repeated throughout the life of the project build.
12. That so far as is practicable all communications to the media and to communities be produced and broadcast collectively by all partners.
13. That whilst being honest and transparent completion dates for major transport schemes should be indicative only – as with the delivery of Highway Projects. This should be made clear in all communications.

Entry into Service

14. That consideration be given to the adoption of the improvements to the entry into service process as suggested by SLC Rail. These are:
 - The appointment of an EiS Manager who will have overall responsibility to deliver the EiS element of the works needs to be identified & resourced in the early stages of GRIP 5 to assist the Project PM.
 - Resource planning templates to be further developed and included with milestone prompts to identify the increased workload towards EiS
 - EiS needs to be on the project agenda earlier, ideally reflecting in early GRIP Stage PMP's

- The project Design Manager needs to be aware of all 'EiS engineering deliverables' so they are readily populated in a specific EiS project folder as they are approved through GRIP Stage 5 and 6
- Production of an EiS Strategy reflecting stakeholders for each element of the phased programme that do not necessarily have a NR concern, an example of this could be the local highways
- Seek to have phased hand-over for practicable completion where practicable
- Appointment of an Engineering Safety Manager
- Have EiS included early in to the stakeholder agenda's so stakeholders plan and provide the resource necessary for their responsibilities
- Identify named individuals from the key stakeholders responsible for EiS interface, this should also include the Principal Contractor
- Ensure EiS robustly shown in Employers programme so all parties are aware of the timescales and critical activities to ensure a smooth EiS
- Plan EiS to occur as defined activity within GRIP Stage 7, after successful conclusion of GRIP Stage 6 Inc. all testing, commissioning, training and certification thus project resources working on just GRIP Stage 7 deliverables
- Contractor programmes to reflect specific EiS deliverables required e.g. so delivered earlier in proceedings

Data Room

15. That the Leader of Warwickshire County Council writes to the Secretary of State for Transport highlighting the difficulties the “snap shot” approach currently used by the Data Room can present to franchise bidders and the issues it presented to the current train operator in terms of its preparedness to operate trains to Kenilworth.

Political Intervention

16. That as is current practice, from the early stages of a major transport project local MPs and Councillors be fully briefed by partners on its detail, both in terms of business case and potential challenges.

Changes in Franchise

17. That in order to reduce disruption to evolving rail projects the Leader of the Council writes to the Secretary of State for Transport asking that consideration be given to the introduction of a period of transition when rail franchises change.

3.0 Financial Implications

3.1 The Task and Finish Group considers that most of its recommendations place no major financial burden on any agency. Its principal focus is around continuing to apply good practice or the introduction of new processes and approaches that will further enhance effective partnership working.

4.0 Action Plan

4.1 In order to ensure that the recommendations set out in the report are implemented an action plan will be developed. This will identify officers and members as well as timings.

Appendices

- A) Extract from minutes of Communities Overview and Scrutiny Committee 16 January 2019
- B) Review of the Process and Events Leading to the Opening of the New Kenilworth Railway Station in April 2018

Background Papers

None

	Name	Contact Information
Report Author	Paul Williams	01926 418196 paulwilliamscl@warwickshire.gov.uk
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Strategic Director	David Carter	davidcarter@warwickshire.gov.uk
Portfolio Holder	Councillor Jeff Clarke	cllrclarke@warwickshire.gov.uk

The report was considered by the Communities Overview and Scrutiny Committee on 16 January 2019

Appendix A - Extract from Minutes of Communities Overview and Scrutiny Committee Meeting 16 January 2019

4. Kenilworth Station Review

John Bridgeman presented the report of the Task & Finish which was due to be presented to Cabinet in February 2019. Mr Bridgeman stated that the report was still in draft form and he would welcome any feedback from the Committee. He stated that one addition which would be made was the inclusion of a glossary as the report contained around 60 technical phrases and abbreviations specific to the rail industry. Since the Committee last received an update in November 2018 the Task and Finish group had met with West Midlands Trains, Network Rail, the Department for Transport and SLC Rail. Mr Bridgeman stated that it was a tribute to the hard work of officers that all this feedback had been incorporated into the report in time for the Committee to review it.

Members thanked John Bridgeman for the report and provided the following feedback:

- As well as a standalone glossary it would be beneficial to define terms within the text as it was difficult of a layman to understand the technical language.
- Members welcomed the recommendation around reviewing previous projects at the start of future major projects as it was noted that Kenilworth Station while having its own set of issues had experienced similar problems to other rail projects undertaken by the Council. Members hoped that learning from the review would benefit future rail projects in Stratford and Rugby.
- Members noted the comments in the report around the failure to provide a fully joined up service from Kenilworth to Nuneaton through Coventry but accepted that this was outside of the remit of the review and thus was not fully investigated.
- Members highlighted the need to ensure that there were clear lines of communication to residents especially to communicate when there had been delays and welcomed the recommendations around communications.

Resolved

That the Committee notes the report and recommendations of the Kenilworth Station Review Task and Finish Group (TFG).



**Review of the Process and Events Leading
to the Opening of the New Kenilworth
Railway Station in April 2018**



February 2019

*Working for
Warwickshire*

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Review of the Process and Events Leading to the Opening of the New Kenilworth Railway Station in April 2018

Index

	Foreword		
	Executive Summary		1
1	Introduction		9
1.1		The Review Process	10
1.2		The Kenilworth Station Project	15
2	Evidence		19
2.1		Key Partners in the Kenilworth Station Project	19
2.2		Governance and Support Arrangements	22
2.3		Accountability	24
2.4		Timeline of Key Decisions, Complications and Delays	26
2.5		Funding	29
2.6		Economic and Social Impact of Delays to the opening and Reputational Damage	29
2.7		Communications Regarding the Planned Opening of the Station	31
2.8		Lessons Identified and Learning Lessons	32
2.9	Evidence from Our Partners		33
2.9.1		SLC Rail	33
2.9.2		Network Rail	44
2.9.3		West Midlands Trains	47
2.9.4		Department for Transport	50
3	Observations and Conclusions		55
4	Recommendations		63
	Appendices	A TFG Terms of Reference B Projects Supported by the New Stations Fund C Project Timeline D Full results of public survey E Glossary	67

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Foreword by John Bridgeman CBE – Independent Chair of the Task and Finish Group

Since 1998 passenger rail travel in Britain has grown by more than 60% and in some places the number of passengers has more than doubled. In 2018/19 passenger numbers are at their highest ever level. At the same time the amount of traffic on our roads has also significantly increased leading to greater congestion and a reduction in air quality in towns and cities. The need to make best use of our rail infrastructure to carry people has never been more important.

Kenilworth in Warwickshire, with its population of 22,500 (and growing) is divided by a rail line that joins Leamington Spa and Coventry. However, since the Beeching cuts (when the former station was closed in 1965) it had until April 2018 lacked any passenger rail connection. Eventually a group of farsighted individuals sought to see this regrettable position reversed and began to campaign for a new station. Warwickshire County Council listened and set about working with the local community and partners to agree what needed to be done and source the funds to do it.

Many hurdles had to be overcome but eventually on 30 April 2018 the first train in 53 years pulled into Kenilworth Station. Amongst the celebrations however was a sense of frustration as opening of the new station had been promised for 17 months earlier. People wanted to understand why the station had taken so long to open especially after it appeared to be complete and awaiting its first passengers for some time.

Recognising that there are always lessons to be learned from complex projects such as that in Kenilworth I have been able to oversee, in an independent capacity, a review of the reasons behind those delays. The review has been undertaken by Councillors from Warwickshire County Council and Kenilworth Town Council working with officers of the County Council and their Rail Industry partners and I am pleased now to present their findings. Throughout the review I have noted how no one has sought to apportion blame or make political gain from the delays encountered. There has been a clear sense that delays have been outweighed by the benefits of the new station and to an important route on the national rail infrastructure.

Early on in the review concern was raised that there was a risk that the County Council would be “marking its own books”. That is to say a review into the Council’s activities by the Council itself might not be as rigorous as otherwise might be appropriate. My independent role and the experience I have brought to this process means that I can assure the reader that I am satisfied that this is not the case. Indeed, I have been impressed by the professionalism and the willingness to share their experiences of all parties involved in the delivery of the new station and its new passenger service.

The reader will see that lessons have been identified. Some of these lessons concern not what should have been done but also what has been done well and should be continued. I expect these to be absorbed by the County Council and also shared with partners including those in the rail industry which itself is now subject to a far-reaching national review.

During the course of our work we have learned of councils that are reluctant to promote rail projects owing to their complexity and the risk of criticism. (Warwickshire County Council already has a highly impressive track record of third party delivery of new stations; Warwick Parkway - 2000; Coleshill Parkway - 2007; Stratford-upon-Avon Parkway - 2011; Bermuda Park – 2016 and Kenilworth -2018). I am pleased to affirm that there is no evidence of such thoughts in Warwickshire where there is a commitment to pursue future rail related schemes as time and money permit. Clearly the County Council is committed to building on past successes as evidenced by its plans for a new Rugby Parkway station.

I must thank all those who have contributed their time and thoughts to this review. Regardless of their background or professional affiliations their candour and commitment has been of the highest order.

Executive Summary

In April 2018 the first trains in over 50 years stopped to pick up and set down passengers at Kenilworth Station. That this was possible was due to the efforts of residents of the town, local authority officers and Councillors and partners in the rail industry.

The station opened 17 months later than originally planned. The original planned opening date was December 2016. However, a series of circumstances conspired to this date requiring review on several occasions. The decision to broadcast revised opening dates which were then missed led to a degree of frustration from Kenilworth residents and local politicians.

In response to concerns raised, the County Council decided to undertake a task and finish review of the project following its completion. The purpose of the review was to “explore what factors influenced the opening date and to identify any lessons to be learned for future rail projects”.

The review involved engagement with partners from the rail industry, officers from the County Council, users of the station and residents of Kenilworth. In addition, Kenilworth Town Council was invited to participate in the review, their representatives making a useful contribution. The net result has been a body of evidence which in turn has led to the development of a series of recommendations.

The following agencies provided evidence for the review:

- SLC Rail
- West Midlands Railway (operated by West Midlands Trains Ltd)
- Network Rail
- Department for Transport

A questionnaire was circulated to service users and material produced by officers of the County Council providing details of the project.

Terms of reference were agreed and an independent Chair, John Bridgeman CBE appointed.

The review considered the following.

1. The basis of the scheme
2. Other new station schemes
3. Governance arrangements
4. Funding and restrictions imposed by funding providers
5. The impact of the Hendy Review (re-planning of Network Rail’s investment programme)
6. The impact of the change of rail franchise to West Midlands Trains on the project (securing rolling stock and train crew)
7. The potential influence of other rail operators on matters such as timetabling
8. The role of Network Rail at the intervention stage (Changes to infrastructure)

9. The role of the Department for Transport
10. The role of the Office of Rail and Road
11. The role of SLC Rail (the rail advisor)
12. Entry into service
13. Communications
14. The role of the local MP in keeping the project on track
15. The impact of delays in opening on local residents and commuters
16. Wider challenges facing the rail industry in the UK
17. The need to learn from the experience and to remember to reflect on lessons learned when embarking on projects in the future.

Through its research the Task and Finish Group identified a series of factors that served to complicate the overall project and slow its progress. These can be summarised thus.

Influencing Factors/Stages	Time Period of Impact
Government Policy (Hendy Review)	December 2016 to May 2017
Interface with Interventions Project	May 2017 to August 2017
Operational Matters (rolling stock)	May 2017 to August 2017
Interventions Project	May 2017 to August 2017
Franchise Considerations (rolling stock)	December 2017- February 2018
ORR approval	December 2017 to February 2018
Entry into Service approval	February 2018 to April 2018

(Note that some challenges arose or were addressed concurrently)

Having listened to and considered an extensive body of evidence the Task and Finish Group arrived at the following headline conclusion.

Warwickshire is a highly experienced “third party” deliverer of rail projects with 5 new stations opened in the county in 18 years.

Kenilworth presented special and particular challenges compared to the County Council’s 4 earlier new stations given its location on the single-line Coventry-Leamington section of the Southampton to Birmingham Main Line and the need for wholly new train services and associated rolling stock.

The wider industry context of the Hendy Review of Network Rail’s work-bank, which included its infrastructure project supporting the Kenilworth scheme, and the change of operating franchise from London Midland to West Midlands Trains, both within the immediate Kenilworth delivery programme, added further challenges to the scheme.

There are many lessons that can be learned for the project and by all partners involved.

In more specific terms the following have been highlighted.

The Hendy Review – This national review into rail infrastructure spending had a major impact on the project coming as it did at a point when planning was well advanced on the basis of twin tracking-the line through Kenilworth. A need to undertake fresh design work and get this agreed added more than four months to the time required to complete the project.

Governance – Governance of the project was generally sound although there are areas in which this could be refined further for future projects. From 2011 all parties had an opportunity to be fully involved in the project although time elapsed and staff changes can lead to a loss of “corporate memory”. It is clear that all parties need to be involved in projects at the earliest opportunity, are clear about their role and their capacity to ensure rapid progress by working cooperatively together.

Funding – When funding is secured it is usually conditional on meeting certain completion deadlines. It can be very difficult to meet those deadlines with fixed yearly funding profiles. Greater flexibility across the funding period would be helpful.

The Interventions* Stage – It is important that all parties take account of the complex nature of infrastructure changes and the need to plan and complete this in a timely manner.

* Interventions are the works undertaken on the rail infrastructure eg moving of track and installation of new signalling.

Changes to Franchise - Close to the end of the project the franchise for the train operator changed from London Midland Trains to West Midlands Trains. Although many staff transferred over from one company to the other the change did lead to unanticipated difficulties in securing rolling stock and undertaking crew training. In providing a unit to deliver the service West Midlands Trains has exposed itself to a degree of risk.

Signalling – Because the new Kenilworth service was to operate over the national cross country route and over a single track shared with freight operators Network Rail decided that investment in a major signalling upgrade should be made at Leamington Spa. This reflects how tabling a project can bring about positive outcomes that were previously unforeseen.

The Role of the Local MP – Evidence provided shows that having the local MP close to and supportive of a project is very useful. This is considered to be a key part of their role as representatives of their constituents.

Entry into Service (including Mechanical and Electrical Installation) – The latter stages of any project can see many details requiring close attention. In the case of Kenilworth Station, the recognition of the requirement to ensure that all passenger handling and safety measures were considered as a whole from the outset for the station build and the interventions project. A shortage of mechanical and electrical installation engineers and a degree of final redesign and construction work made entry into service a particular challenge.

Communication – Recognising the importance of the new station to the town of Kenilworth, stakeholders set out to ensure that the community would be kept fully up to date on its progress. A number of approaches with various media were adopted collectively and separately by partners. As the project approached completion so more announcements were made regarding what was at the time believed to be a realistic opening date. In doing so, however, expectations were understandably raised. When delays were announced so frustration grew. A key lesson for the review has been to be less precise when announcing completion dates for major projects. This does not mean that there should be a lack of transparency. Indeed, a further lesson to be learned is that communication channels should be fully utilised to make clear to people the complexity of any project being embarked upon and the precise nature of what people can expect at the end.

The Importance of Recognising that Which Went Well – Every agency involved in the project brought practices developed over many years to the table. It is important to acknowledge that lessons have been learned from the past which enabled mistakes to be avoided. There are lessons to be learned from these as well so that good practice is not only acknowledged but continued into the future.

The Task and Finish Group has developed a series of recommendations.

Recommendations

Future Rail Reviews

1. That the Leader of Warwickshire County Council should write to the Secretary of State for Transport requesting that future reviews take greater account of the needs of local authorities and partners in rail enhancement projects. This should particularly draw attention to the financial and social impact that changes in policy can have on on-going projects.

Learning Lessons

2. That the current practice of holding a “Lessons Learned” session on the completion of every major transport project, where considered appropriate involving all partners (including relevant elected representatives) be continued and that messages resulting from that session be published and circulated widely.
3. That given its track record of successful delivery of new stations Warwickshire County Council commits to the ongoing maintenance of a body of evidence regarding past major transport projects and lessons learned from them.
4. That at the inception of any major transport projects the Project Manager convenes a short life working group comprising council officers and members and other partners to review lessons learned from previous projects undertaken in Warwickshire and elsewhere

Governance

5. That, as is already the practice, at the commencement of a major transport scheme (once partners have been appointed/ identified) a meeting be convened by officers of Warwickshire County of senior representatives from those agencies involved to develop a mutual understanding of the project's objectives and of roles and responsibilities. The meeting should be accompanied and guided by clear terms of reference placing it on a formal footing.
6. That the terms of the reference for the Major Schemes Board be reviewed by the Communities Overview and Scrutiny Committee with consideration being given to how it can offer support to others in the governance structure when greater authority is required to be used.

The Intervention Stage

7. That, recognising limitations on resources, the Leader of the Council writes to the Secretary of State for Transport with a request that consideration be given to ways in which rail industry partners enter into binding commercial agreements to deliver their agreed outputs.

Funding

8. That the Leader of the Council be asked to liaise with the Coventry and Warwickshire Local Enterprise Partnership (and other funding providers) to explain the negative effect that the application of very tight and rigid funding timescales can have on effective project management.
9. That during negotiations regarding funding partners who will be involved in project delivery be invited to liaise with fund holders to establish a common understanding of the challenges around timescales.

Communication

10. That from the commencement of a major transport project its nature and complexity and the reliance by partners on each other should be made explicit in all internal and external communications.
11. From the outset communications should be clear regarding the extent of the scheme, the services it will offer and the benefits it will bring. These messages should be repeated throughout the life of the project build.
12. That so far as is practicable all communications to the media and to communities be produced and broadcast collectively by all partners.
13. That whilst being honest and transparent completion dates for major transport schemes should be indicative only – as with the delivery of Highway Projects. This should be made clear in all communications.

Entry into Service

14. That consideration be given to the adoption of the improvements to the entry into service process as suggested by SLC Rail. These are:
- The appointment of an EiS Manager who will have overall responsibility to deliver the EiS element of the works needs to be identified & resourced in the early stages of GRIP 5 to assist the Project PM.
 - Resource planning templates to be further developed and included with milestone prompts to identify the increased workload towards EiS
 - EiS needs to be on the project agenda earlier, ideally reflecting in early GRIP Stage PMP's
 - The project Design Manager needs to be aware of all 'EiS engineering deliverables' so they are readily populated in a specific EiS project folder as they are approved through GRIP Stage 5 and 6
 - Production of an EiS Strategy reflecting stakeholders for each element of the phased programme that do not necessarily have a NR concern, an example of this could be the local highways
 - Seek to have phased hand-over for practicable completion where practicable
 - Appointment of an Engineering Safety Manager
 - Have EiS included early in to the stakeholder agenda's so stakeholders plan and provide the resource necessary for their responsibilities
 - Identify named individuals from the key stakeholders responsible for EiS interface, this should also include the Principal Contractor
 - Ensure EiS robustly shown in Employers programme so all parties are aware of the timescales and critical activities to ensure a smooth EiS
 - Plan EiS to occur as defined activity within GRIP Stage 7, after successful conclusion of GRIP Stage 6 Inc. all testing, commissioning, training and certification thus project resources working on just GRIP Stage 7 deliverables
 - Contractor programmes to reflect specific EiS deliverables required e.g. so delivered earlier in proceedings

Data Room

15. That the Leader of Warwickshire County Council writes to the Secretary of State for Transport highlighting the difficulties the “snap shot” approach

currently used by the Data Room can present to franchise bidders and the issues it presented to the current train operator in terms of its preparedness to operate trains to Kenilworth.

Political Intervention

16. That as is current practice, from the early stages of a major transport project local MPs and Councillors be fully briefed by partners on its detail, both in terms of business case and potential challenges.

Changes in Franchise

17. That in order to reduce disruption to evolving rail projects the Leader of the Council writes to the Secretary of State for Transport asking that consideration be given to the introduction of a period of transition when rail franchises change.

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1. Introduction

Kenilworth is a medium sized market town in Warwickshire. It lies roughly equidistant between Coventry to the north and Leamington Spa to the south. The town is perhaps best known for its castle which in 2017 attracted 120,000 visitors. It also has a thriving employment base with retail, services and manufacturing represented. On 10 January 2016 the population of the town was estimated at 22,014 but with the current Warwick District Local Plan proposing the construction of almost 2000 new dwellings by 2029 that population is clearly set to grow significantly.

Until 30 April 2018 and for the preceding 53 years everybody entering Kenilworth arrived by road be it by private car, taxi, bus, bicycle or by walking. Significant growth in car ownership and usage has, especially in recent years begun to apply major pressure onto the highway network. Key locations around the town are heavily congested at certain times of the day and an incident on one of the major trunk routes that pass through Warwickshire can have a major knock-on effect on the town as drivers seek alternative routes to reach their destinations.

Between December 1844 and January 1965 Kenilworth was served by rail. Passenger and goods traffic used a station that sat conveniently on the edge of the town. Over the years many famous people including Royalty used the station. However post-war the growth in car ownership and the use of motor vehicles for longer distance goods handling saw a decline in rail patronage which in turn led to the identification by Dr Richard Beeching in his report, "The Reshaping of British Railways" of Kenilworth as a station set for closure.



Kenilworth Station in the 1964

During the 1990s pressure began to mount within the community for a new Kenilworth Station. This was picked up by Warwickshire County Council and in 2008 work began with partners on the preparation of a business case for such a station. This was included in the Council's Local Transport Plan. An early attempt to get the project running foundered in 2011 when funding for the scheme could not be secured.

In February 2013 a funding bid for £5m was submitted by Warwickshire County Council to the government's New Stations Fund. This bid was successful giving the green light for further discussions to be held with partners.

The project addressed a series of major challenges along the way but on 30 April 2018 the first passenger train pulled into the new station. At the time of writing the station

sees an hourly service between Monday and Saturday although it is anticipated that this frequency will in time increase as will the number of carriages used.

Although the station has been welcomed by the people of Kenilworth a number have questioned why it took longer to come into operation than had originally been indicated. The station existed and to all intents and purposes looked ready for use and yet for several months, despite assurances, no trains stopped there.

This report, commissioned by Warwickshire County Council and independently chaired by John Bridgeman CBE, is the result of a review into the period leading up to the opening of the station. Inevitably it touches at times on earlier stages in the station project but its principal purpose is to identify aspects of the project from which the Council, its partners and the wider rail industry can learn.

The report has been produced following consideration of a body of evidence gathered from officers within the County Council as well as partners and also service users. Its structure is aimed at giving the reader a concise assessment of the challenges addressed by everyone involved as well as setting out a series of recommendations to be noted and acted on as they relate to other similar schemes.

1.1 The Review Process

Commissioning by Warwickshire County Council

The review was commissioned by Warwickshire County Council at its meeting of 20 March 2018. At that meeting the Leader of the Council, Councillor Izzi Seccombe made the following statement.

'Members will be aware that the opening of Kenilworth Station is imminent and much welcomed. There is no doubting the economic benefits the station will bring to the town and surrounding area, as well as the travel links to the wider Midlands. We have been waiting for this station for over 50 years.

Members will also be aware that there have been difficulties in getting to the opening date and that we have had problems with delays. The station is a very complex project, much more complex than the opening of parkway stations of which we have delivered several successfully over the years.

None of us, as members of this council, colleagues in other authorities, or in the community, are happy with this situation. There are, no doubt, learning points for all concerned and to that end I am proposing the establishment of a scrutiny TFG to look into what problems have beset the opening of Kenilworth Station. I propose that we extend our invitation to our partners to participate, in particular Kenilworth Town Council; Rail Consultants SLC Rail; Network Rail; the Department for Transport and others that may be necessary as we progress.

I would welcome the support of you as councillors in establishing this Task and Finish Group under the Communities Overview and Scrutiny Committee.'

The review was agreed to by Council.

The Task and Finish Group

To undertake the review a cross-party Task and Finish Group (TFG) was established comprising elected members from Warwickshire County Council and Kenilworth Town Council and an Independent Chair.

Membership:

- John Bridgeman CBE (Independent Chair)
- Councillor Richard Chattaway (Warwickshire County Council)
- Councillor Alan Cockburn (Warwickshire County Council)
- Councillor Michael Coker (Kenilworth Town Council)
- Councillor Bill Gifford (Warwickshire County Council)
- Councillor Wallace Redford (Warwickshire County Council)
- Councillor Adrian Warwick (Warwickshire County Council)

John Bridgeman is one of the country's most experienced figures in public interest inquiries in both the public and private sectors. With a background in industry culminating in appointment as CEO of British Alcan Aluminium plc, John served for six years on the Monopolies and Mergers Commission and five years as Director General of the Office of Fair Trading - the Non-Ministerial Government Department responsible for Competition Policy and Consumer Protection. He has been Chair of the County Council's Audit and Standards Committee since 2000.

It is important to note that from the outset representatives of Kenilworth Town Council were engaged in the review process. Their attendance at meetings and their contribution to discussion was most useful.

The TFG was supported by officers from the Resources Directorate (legal advice and secretariat) and Communities Directorate (significant input from transport planners).

To further provide a degree of balance an independent rail advisor, Chris Kimberley, was commissioned to support the review by bringing his extensive knowledge of the rail industry and rail infrastructure construction projects to the table. In the past he has undertaken senior operational management, business planning and project lead roles, the latter including the successful bids for the Northern Rail and Caledonian Sleeper multi-million pound outsourced operations and maintenance passenger rail franchise contracts. Most recently Chris Kimberley was Director of Rail Operations at HS2 Ltd.

The Process

In order to give structure to the review a process was established that would help ensure that all sources of evidence were explored and that the information gathered was used to the best effect. This section explains some of the key elements of that process.

Terms of Reference

The TFG commenced its work by producing terms of reference (Appendix A). These serve to establish the aims and objectives of the review, the nature and sources of evidence that will be required and the review boundaries that serve to maintain a degree of focus.

Of particular note within the terms of reference are:

- a) The remit of the TFG which “is to explore the process leading to the opening of the Kenilworth Railway Station and to identify what lessons can be learned for future rail projects focusing on the following themes”:
 - (i) Project design and sign off and reasons for/impact of subsequent changes
 - (ii) Project planning and project management arrangements
 - (ii) Project delivery and sign off and the foreseeability of any complications during implementation
 - (iii) Partnership working arrangements, the role of different agencies their industry processes and any associated impact on project delivery
 - (v) The social and economic impacts of the revised opening date
- b) Those elements of the project that are not considered appropriate for the review to cover, namely:
 - (i) Funding arrangements for the Kenilworth railway station
 - (ii) Contractual and/or other agreements which remain the subject of negotiation

A consequence of this is that the role of the construction contractor is not examined in this review and the contractor was not asked to take part, and statements as to events and causes should be read subject to this qualification. However, this has not affected the ability of this review to consider the lessons to be learned from all other aspects of the management of the project and working with partners.

- c) Partners in the Kenilworth Station project whose input would be required if a comprehensive understanding was to be established. These are:
 - SLC Rail (WCC’s rail consultants)
 - Network Rail
 - Department for Transport (rail section)
 - West Midlands Trains (train operator)
 - Office of Rail and Road (ORR)

Lines of Inquiry

At its first full meeting held in July 2018 the TFG agreed ten lines of inquiry. These are fundamental to the review as they identify those areas of interest that it is considered are key to understanding the issues at hand.

1. The Role of Network Rail
2. The Role of SLC Rail
3. The Role of ORR
4. The Role of DfT
5. The Role of West Midland Trains
6. Basis for estimating first station opening date
7. Economic, Social and Reputational Damage
8. The Role of WCC's Project Board & Major Schemes Board
9. The WCC Procurement Process for a Rail Contract
10. Critical self-examination within Warwickshire County Council

As information was considered so it became clear that a further line of inquiry was required. This was around communication between partners, Kenilworth town organisations and with the wider community.

For lines of inquiry 1 to 5 (above) a short series of questions was prepared by officers of the County Council (agreed by the TFG) and sent to contacts at the partner organisations. The evidence provided forms the basis of the many of the group's findings and conclusions.

Other lines of inquiry were explored with officers at the TFG meetings. Again the findings from these are given later in this report.

Full Task and Finish Group Meetings

A number of meetings of the TFG were held to consider evidence drawn from the lines of inquiry. The meetings enabled evidence to be considered in-depth with expert professional advice being provided by officers. Detailed records of these meetings were made.

Site Visit

On the day of its first meeting (which was held in Kenilworth) the TFG members undertook a visit to Kenilworth Station. There, as well as gaining an impression of the station, they were able to speak to staff and passengers and appreciate the benefits the station is bringing to rail travellers. Members were also shown aspects of the station build that had led in part to the challenges faced immediately prior to opening.

Press Release

To be certain that the wider community was aware that this review is being undertaken a press release was produced and circulated to a range of local media. Consideration was given as to whether it should also be sent to specialist rail industry and enthusiast publications. It was however decided that this was unnecessary.

Meeting with Other Warwickshire County Councillors

Although the TFG is small comprising six, cross party, elected members (five from Warwickshire County Council and one Kenilworth Town Council) it was acknowledged early on that other members of the County Council may have views regarding the Kenilworth Station project that they might wish to share. To facilitate this, a meeting was held on 10 September 2018 to which all members of the County Council were invited. The meeting, attended by six County Councillors, proved to be useful in that it enabled them to learn more about the review and share their views on the Kenilworth Station project and other such schemes that may be proposed for the future. Questions to the Chair were invited in advance of the meeting to enable the maximum benefit to be drawn from the meeting.

Meetings with Partners

From the start it was considered that it would be of mutual benefit if members of the TFG could meet with representatives from partner organisations. This has been of great value. We were able to ask them their views of the Kenilworth Station Project; what they felt had gone well and what they would have done differently. It is clear from those spoken to that there is a strong desire to work as effectively and efficiently as possible.

Meetings with Warwickshire County Council Officers – Past and Present

A number of County Council officers have made valuable contributions which have assisted members in understanding the complexity of the project that was undertaken. In addition, two former employees of the County Council who are now retired met with the Chair to share their experience with this and other related schemes. Although they had left the authority before the station in Kenilworth was opened they brought to the review many years of experience working with transport-related projects and partners.

Public Questionnaire

A questionnaire was produced by officers within the Communities Directorate of WCC and placed at Kenilworth Station and Kenilworth Library. The purpose of the questionnaire was to give people an opportunity to express their views over the delays to the opening of the station and also to tell the County Council about their use of the new facility.

1.2 The Kenilworth Station Project

Before relating the main body of evidence considered by the TFG it is worth considering why Kenilworth Station was built, what has been delivered and how the scheme was funded.

a) Objectives

As has already been mentioned, the new Kenilworth Station was first given serious consideration in 2008 but it was five years before funding could be secured. The objectives for the project were and remain:

A. Improving access to development sites that have the potential to create jobs

The scheme supports public-transport access to around 33,000 new jobs which are planned in the Coventry and Warwickshire LEP Area up to 2030, including Friargate (15,300 jobs) and Coventry city centre (3,378 jobs).

A wider economic appraisal of Kenilworth Station scheme was undertaken for WCC by consultants SQW. The SQW work projected that: -

- the effect of the Kenilworth Station scheme is expected to result in an additional 785 jobs on development sites in the corridor by 2020, compared to the situation where it did not occur;
- based on assumptions about the average additional GVA per worker, the potential increase in sub-regional GVA to be worth approximately £30.6 million per annum (2010 prices) by 2020.

B. Improving access to urban employment centres

- the rail station at Kenilworth directly served the local markets for rail travel to the urban employment centres of Coventry and Leamington Spa;
- access is also be provided to urban employment centres further afield including London and Birmingham, Oxford and Reading via a single interchange.

C. Easing congestion

- by providing increased rail capacity on an over-crowded section of the Cross Country network between Leamington and Coventry;
- by promoting modal shift away from road to rail, reducing congestion on the road corridors between Kenilworth and Coventry and Kenilworth and Leamington. Over the 60 year appraisal period of the scheme Economic Case, it is estimated that some 224 million car kilometres will

be saved from the local and strategic road networks through passengers switching from road to rail. Assuming that 23mg of NO_x are emitted per vehicle km³, this would relate to a saving of up to 5,150kg NO_x over the 60 year appraisal period.

b) The Station

In December 2013 Warwickshire County Council's Cabinet approved the actions required for the implementation of the project.

The scope of these works included the detailed design, approvals, construction and commissioning of the proposed facility to include the following;

- Station building including ticket office, café and eating area with accessible toilet
- Equality Act compliant footbridge with lifts
- 2 platforms to accommodate 4 car trains (Subsequently changed following Hendy Review)
- Steps and ramps to the platform adjacent to the station building
- Platform waiting shelters
- Highway access onto Priory Road
- Car parking at the south end of the proposed site which includes 5 blue badge parking bays adjacent to the ticket office
- Separate motorcycle parking and covered bicycle parking adjacent to the new station
- Separate taxi facility and bus stand, for 1 bus to set down and pick up and turning area
- Retention of existing right of way footbridge and electrical sub-station
- Customer information, safety and ticketing systems



Clearing the Site 2016

Tendering for the contract was undertaken in an OJEU (Official Journal of the European Union) compliant manner in order to achieve best value for money and in accordance with the County Council's Contract Standing Orders. The submissions were evaluated against predetermined assessment criteria, a combination of both price and quality.



The New Station September 2017

To enable the planned train service to operate to the proposed timetable, it was recognised that some infrastructure works would be required to the existing line in

the vicinity of the new station and also at Leamington Station.

On the 13 May 2014 the Council's Regulatory Committee approved Outline Planning Permission. On the 10 February 2015 the Council's Regulatory Committee approved the Reserved Matters Planning Application.

In October 2014, a consultation exercise was conducted to provide the residents the opportunity to have their say on the station design. 72% of the residents were in favour of the 'Heritage' design.

The project was divided into three overlapping sections namely,

- Station Build
- Interventions (Alterations to the rail infrastructure)
- Service Provision

C) Funding

Funding for the Kenilworth Station scheme came from three different sources as set out in the table below.

Funding Source	
WCC Capital Programme	£4.853m
New Stations Fund	£4.900m
Coventry & Warwickshire Local Enterprise Partnership	£3.490m
TOTAL SCHEME FUNDING (Capital)	£13.243m
WCC contingency	£0.373m

It is expected that the project will have been delivered on-budget having taken account of pre-planned contingencies. (See Appendix B for examples of other stations supported by the New Stations Fund).

D) Services

As at February 2019 Kenilworth Station there is an hourly service operating between Leamington Spa and Coventry Monday to Saturday. This is provided by West Midlands Trains using a single car diesel unit. Up until the end of August 2018 there had been a total of 58,730 passenger journeys to/from Kenilworth Station (average 587 per day).

2. Evidence

This section sets out the basic facts behind the project, how it was managed and the reasons behind the delays to opening.

Some of the information considered relates not to the period between the completion of the station and its opening (that being the primary focus of this review) but to the earlier stages. This is included to provide some background and also to illustrate that what might appear a simple building operation can be very complex.

2.1 Key Partners and Stakeholders in the Kenilworth Station Project

In order to appreciate the complexity of the Kenilworth Station project it is important to understand the roles of the various partners engaged in it. Throughout the project the principal driver, Warwickshire County Council, worked with a wide range of individuals and organisations to get the best outcome. These included other local authorities including Kenilworth Town Council, statutory undertakers and community groups. Most work however was carried out by the following:

- Warwickshire County Council
- Network Rail
- West Midlands Trains
- Office of Road and Rail
- Department for Transport
- SLC Rail (Rail project advisers)
- John Graham Construction Ltd (builders of the station)

Outside partners brought their views on the project to the table and this evidence is provided later in this report.

Warwickshire County Council

Comprising 57 elected County Councillors and employing around 5500 people the County Council provides a wide range of services including social care, public health, education and learning, libraries and transport. With particular reference to transport the Council oversees maintenance of the highway network, coordinates bus services and has a strategic role in the delivery of rail related infrastructure such as stations. In recent years, the County Council has been behind the commissioning of several new stations. Kenilworth Station was its latest completion. Early work is underway on at least one more (Rugby Parkway).

That the County Council is using public money to provide services means that it must always strive to be as open and transparent as possible. It is also bound by the basic tenets of democracy to be fair and equitable. This means that before it can embark on a major project such as Kenilworth Station it must be convinced that it is doing the right thing in the context of its approved strategic objectives and policies. In addition, as the guardian of public money the Council must agree on the best approach.

In order to manage strategic transport projects, the County Council operates a series of accountable bodies. Each plays a distinct but interrelated role. It is important that

everyone on these bodies has a clear understanding of their own contribution and performs accordingly.

For the Kenilworth Station project, Warwickshire County Council acted as the principal driver, developing and promoting the scheme, obtaining the necessary funding and acting as project sponsor.

The major challenge that faced the County Council was to manage all the partners whilst achieving their combined goals within budget and matching public expectations.

SLC Rail

SLC Rail was appointed by Warwickshire County Council to provide expert knowledge and support for the Kenilworth Station project. The company is based in Birmingham and has an extensive portfolio supporting national government, local authorities and the rail industry. Its team members have held key leadership roles at Chiltern Railways, Chiltern's then shareholder John Laing plc and at SLC itself for delivery of all 4 other Warwickshire new stations in partnership with the County Council - Warwick Parkway - 2000 (Chiltern); Coleshill Parkway – 2007 (Laing); Stratford-upon-Avon Parkway - 2011 (SLC Rail); Bermuda Park (and Coventry Arena) -2016 (SLC Rail).

To the project SLC Rail brought the following:

- Development, alongside Warwickshire CC officers, of the Kenilworth project's strategy, business case, financial and commercial models, funding assembly (including preparation of the successful £4.9 million New Stations Fund bid in 2013), train timetable and performance assessment, rolling stock identification, rail industry stakeholder engagement, DfT-negotiations and progress of the scheme through the full 8 stages of Network Rail's 'Governance of Railway Investment Projects' (GRIP) process
- Project Manager - Coordinating overall project delivery (construction and train service implementation) to budget, programme and risks within the WCC governance framework
- Planner – Monitoring Contractor's programme and managed the Employer's programme
- Commercial Manager – Assisting the Project Manager in administering the contract
- Design Manager – Overseeing the Contractor's design process and coordinating the design submissions for consents/approvals. Supervising the construction to ensure works are delivered to approved design and Network Rail Standards
- Construction Manager – Monitors Contractor construction practices including quality and Health and Safety standards.
- Mechanical & Electrical Clerk of Works – Monitors Contractor construction to ensure these discipline specific works are in accordance with approved design and Network Rail Standards

One of the principal roles for SLC Rail was the oversight of the work of the contractors, Grahams Construction.

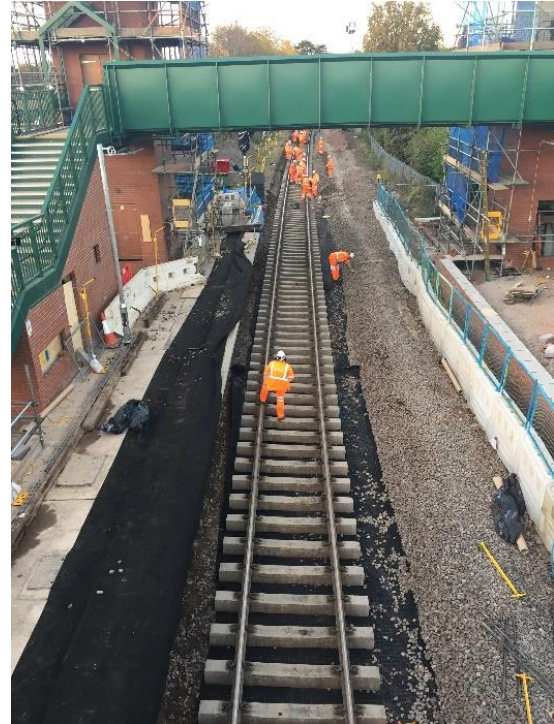
Network Rail

Network Rail owns the infrastructure, including the railway tracks, signals, overhead wires, tunnels, bridges, level crossings and most stations, but not the passenger or commercial freight rolling stock. Although it owns over 2,500 railway stations, it manages only 18 of them, all the other stations being managed by one or other of the various train operating companies.

With a budget of around £6.5bn Network Rail has around 800 rail infrastructure projects running at any one time. These can range from minor maintenance work to major reconfiguration of the network.

For the Kenilworth Station project Network Rail was responsible for the works relating to the railway line and associated infrastructure. (It is also required to take over responsibility for the station and must therefore be satisfied that it has been built to a suitable standard).

The challenges that faced Network Rail with Kenilworth Station were not unusual; making certain that the changes made to accommodate the new station were undertaken in a timely, efficient and compliant fashion whilst causing a minimum of disruption to other service users.



*Slewing the Track Through the Station
October 2017*

Evidence presented to the group regarding Network Rail has provided a picture of a very large and busy organisation that, charged with maintaining a complex and ageing rail network, has a very difficult task on its hands.

West Midlands Trains

West Midlands Trains is the train operating company that now serves Kenilworth Station. It is a consortium of three companies: Abellio, JR East and Mitsui.

West Midlands Trains took over the franchise from London Midland on 10 December 2017 at a time when Kenilworth Station was due to come into operation.

For West Midlands Trains to operate the service it was required to recruit and train staff and secure the use of adequate rolling stock. Their operations are complex and require careful timing if staff are not to be appointed and then left waiting as the project has not been signed-off.

Department for Transport

The Department for Transport is an arm of government with an annual budget of around £6bn. It has four strategic objectives:

- Sustain economic growth and improved productivity through reliable and efficient transport networks;
- Improve the environmental performance of transport;

- Strengthen the safety and security of transport; and
- Enhance access to jobs, services, and social networks, including for the most disadvantaged people.

The department creates the strategic framework for transport services, which are delivered through a wide range of public and private sector bodies including its own executive agencies.

The Department for Transport, whilst having an oversight of the Kenilworth Station project was not directly involved in its delivery. As a strategic body, however, the policies it generated and changes it made did impact on progress with the project. Some fundamental aspects of the original scheme were changed as a direct result of changes to policy.

Office of Road and Rail (ORR)

The ORR is a non-ministerial government department responsible for the economic and safety regulation of Britain's railways, and the economic monitoring of Highways England.

ORR regulates Network Rail by setting its activities and funding requirements for each Control Period, ensuring train operators have fair access to the railway network, and enforcing compliance with its network licence. ORR is the competition authority for the railways and enforces consumer protection law in relation to the railways.

ORR has regulatory oversight to ensure that the industry's requirements in respect of non-discriminatory access to facilities is upheld and in assuring the necessary safety standards have been met.

Graham Group Construction

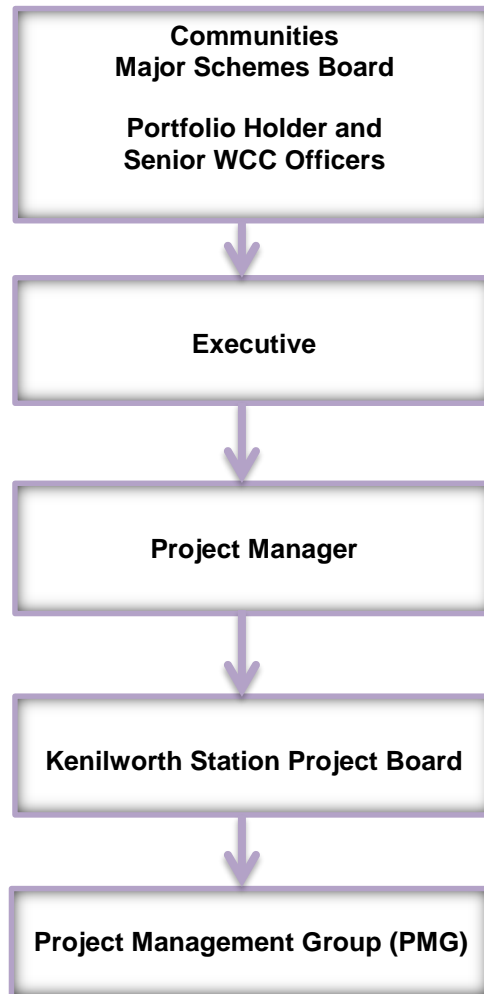
The Principal Contractor (Graham Group Construction) is a large organisation employing around 2200 people. It was selected using a competitive tendering process following an OJEU compliant procurement process. The Contractor was mandatorily required to demonstrate appropriate accreditations for the works requirements (through the Network Rail approved rail industry accreditation scheme), assessed against quality criteria including Health and Safety and Industry experience and references were provided. The Contractor was thus selected based on its demonstrable ability to deliver the design and construction of the project.

2.2 Governance and Support Arrangements

The Kenilworth Station project was managed through a project governance hierarchy in accordance with PRINCE 2 Project Management Framework. This served to ensure oversight and accountability at all levels.

This governance arrangement has been developed on the basis of experiences with other major capital projects undertaken over the last 20 years or so in Warwickshire. It has been reported that whilst the hierarchy is clearly defined there are few if any barriers to communication between the various tiers. It is considered important that if the project manager feels compelled to speak with members of the Major Schemes Board then she is readily able to do so.

The governance hierarchy used is given below.



The Major Schemes Board operates at a strategic level. Its terms of reference require it to focus principally on whether projects are on target time wise and financially.

The purpose of the Kenilworth Station Project Board was to:

1. Ensure delivery to time and budget
2. Ensure funding was in place to deliver the Project
3. Provide governance and quality assurance to the Major Schemes Board
4. Guide and direct the Project Management Group on all relevant Project matters

The purpose of the Project Management Group was to:

1. Oversee and manage development of the Project to completion of GRIP8
2. Manage budget, programme, cost and risk
3. Submit periodic progress reports to the Project Board
4. Make recommendations for decisions outside the delegated authority of the PMG

5. Manage change control and ensure quality assurance

Sub Groups

A number of sub groups were established to further support the process.

- **Communications Sub Group**

Meeting on a monthly basis to discuss communication and marketing opportunities. To report any decisions to PMG.

- **Finance Sub Group**

Meeting on a monthly basis to monitor the budget and funding. To report any decisions to PMG or the Project Board.

- **Monthly Contractor Progress Meeting**

Meeting on a monthly basis to review the design submission and approvals, progress of the construction works, health and safety matters arising, discharge of consents, programme and possessions update, manage issues and risks, review any stakeholder issues, review any commercial matters arising and to generally oversee the management of the contract.

- **Contract Management Sub Group**

Meeting on a monthly basis to oversee the management of the contract including Early Warning Notices, Project Manager Instructions, Notifications of Compensation Events (CEs) received, method of assessment of CEs, PM Compensation Events, Risk Register, Payments. To propose decisions to be made for the PMG or the Project Board.

2.3 Accountability

One of the key areas explored by the TFG has been accountability. The question was asked who was ultimately responsible for the delivery of the project and who was responsible for the delivery of the various stages that culminated in that success.

Accountability within Warwickshire County Council.

Ultimately it is the Leader who is responsible for all aspects of the County Council's work and service delivery. In practice many of the decisions made are delegated to her Portfolio Holders or to officers. The governance arrangements as set out above for the Kenilworth Station project begin to give a sense of how decision making and accountability cascades downwards and upwards.

Accountability with and Across Partner Organisations.

The Kenilworth Station project, although seemingly small on a national level, was complex and relied on a range of partners to fulfil the tasks set them. Failure by one partner to meet their deadline would have a knock on effect on others.



Bridge Lift July 2017

A major function for SLC Rail was to oversee the work of Grahams Construction. The SLC Rail team ensured that the Contractor was scrutinised through the following activities:

- During the design phase, the Design Manager chaired fortnightly progress meetings with the Contractor and their designer in order to oversee the quality of the designs being produced and to ensure that the contractor was following the Network Rail design approval process.
- When designs were submitted, SLC Rail carried out a review of the designs alongside the Network Rail review and provided formal comments for each discipline (Civil, Mechanical and Electrical)
- The Contractor was required to produce a formal monthly progress report to update the Employer on all aspects of the project. The reports were presented to both SLC Rail, the County Council, Network Rail and London Midland in a monthly progress meeting.
- The Contractor was required to submit programmes for acceptance every month. The programme submissions were scrutinised by SLC Rail and the Contractor was asked to justify any delay presented in the programme.
- In addition, during construction the Contractor was requested to submit weekly 'look ahead' programmes with further detail of the weekly activities. SLC Rail reviewed the programme as part of the SLC Rail weekly team meeting on site to monitor the Contractor's performance against the planned activities.
- During the construction period, SLC Rail had representation on site on a daily basis. SLC Rail checked the quality of construction against the approved design. Quality Issues were identified, logged & progressed to both the County Council's and Network Rail's satisfaction.

- SLC Rail also ensured that the works were being constructed in a safe manner and in accordance with the limitations of the Asset Protection Agreement between Network Rail and the County Council
- Construction Phase Plans and Work Package Plans (Method Statements and RAMS) were submitted to both Network Rail and SLC Rail for approval prior to works commencing on site. In addition, the SLC Rail Design Manager ensured that any temporary works designs were checked and signed off at the appropriate level.
- Regular Risk reduction meetings were held with Contractor to review the Early Warning raised by either party under the contract. SLC Rail and the Contractor discussed appropriate mitigations for each Early Warning raised.
- Regular commercial meetings were held with the contractor to review and agree payment applications, Instructions, quotations and Compensation Events. Contractual correspondence was managed by the SLC Rail Project Manager and Commercial Manager using an online tool provided by the Contractor (Viewpoint). Programme submissions were also submitted via Viewpoint.

2.4. Timeline of Key Decisions, Complications and Delays

This section explains many of the complications encountered by Warwickshire County Council and its partners as it worked to deliver the new station. It is important to bear in mind that complicating factors do not always present themselves as a sequence of events. Some challenges can be concurrently present at any one time. This means that if delays are already being caused by one issue a second issue that arises may not add to the overall delay as it can be resolved quickly. (See diagram at Appendix C).

The reader is referred to the evidence provided by key partners during evidence gathering meetings. This serves to provide greater detail on the points set out below.

This section does not, however, assess the role of the construction contractor.

Government Policy (Hendy Review)

Impact on the Kenilworth Station Project:

December 2016 to May 2017

The Hendy Review led to a four-and-a-half-month delay in the Kenilworth Station project. In September 2015, The Secretary of State asked Sir Peter Hendy (Chair of Network Rail) to conduct a review of the Network Rail enhancement programme in England and Wales to see what can be delivered in an affordable and timely way within the funding period to 2019 (Control Period 5). In November 2015, the Hendy Review was released. Prior to the Hendy Review, double tracking works between Leamington and Coventry were due to be delivered within Control Period 5 (2014-2019).

Kenilworth Station was therefore planned to be built with 2 platforms to future proof for the planned double tracking.

As a result of the Hendy Review, there was no commitment within the report to deliver the double tracking works from Leamington to Coventry within Control Period 5 (2014-2019) or Control Period 6 (2020-2025).

Due to the length of time between station construction and double tracking the responsibility for the day to day maintenance of a constructed platform 2 would not be accepted by the Station Facility Owner and as such, Network Rail could not accept it as an asset. In addition, the public perception of the second platform in place without a track or train service for over 10 years would be an unacceptable reputational risk for all parties.

As a result, after discussions with the DfT, it was confirmed that the project would include the provision of the footbridge as part of the station development. This would ensure that a fully accessible facility was provided from the opening of the station for all of the residents of Kenilworth.

Once this was eventually confirmed, DfT, Network Rail and the County Council agreed to remove the second platform from the station project scope. A resubmission of the designs was therefore required due to the amendments needed to remove the second platform. The scope of the amendments had to be agreed with Network Rail and Mott MacDonald to deliver the design changes. This in turn delayed the signature of the contract between the County Council and Network Rail (Asset Protection Agreement) and the Design and Build contract; the preferred bidder adjusted their price for the delay and winter working. The contract completion date moved from December 2016 to May 2017.

It has been suggested that in hindsight the County Council and partners should have reconsidered the entire programme at this stage (including the train operation and timetable impact) and announced the potential delay until the consequences of the Hendy announcement were fully understood. However, the County Council and SLC Rail were not fully appreciative of the subsequent problems being faced by NR. However, the Council appreciates the timescale was a challenge but still keen to deliver.

Interface with Interventions Project

Impact on the Kenilworth Station Project:

May 2017 to August 2017

A reported shortage of Network Rail resources resulted in prolonged design review periods and deficiencies in their existing asset information resulted in works being re-sequenced stopping whilst a culvert was surveyed to update NR asset register. A proposal for a temporary or demountable platform (post Hendy) led to distraction and disruption.

Operational Matters (rolling stock)

Impact on the Kenilworth Station Project:

May 2017 to August 2017

London Midland confirmed the cascade of a 153 train unit from GWR to arrive in June 2017 and enter into service August 2017. The timetable had to be remodelled due to Cross County being granted additional paths on a Sunday (despite Kenilworth having been signed off).

Interventions Project

Impact on the Kenilworth Station Project:

May 2017 to August 2017

Lack of availability of signalling records and other issues led to an adjusted planned completion date of August 2017.

Interventions Project- Kenilworth Loop and Track Slew works

Impact on the Kenilworth Station Project:

August 2017 to December 2017

Network Rail confirmed that the Kenilworth Loop Works required to allow the new shuttle service to operate, were not included in their programme of works, in November 2016. Network Rail confirmed these would not be delivered for August 2017. Following consideration of demountable platform, track slew delayed to October 2017.

Franchise Considerations (rolling stock)

Impact on the Kenilworth Station Project:

December 2017- February 2018

The West Midland Rail franchise with London Midland expired in October 2017 which meant that the opening date of the station went over the London Midland franchise period. This had implications on the planned arrangements with London Midland as previously agreed. The franchise was awarded to West Midlands Trains; however it became clear that under the new franchise arrangements, the availability of suitable rolling stock and the availability of trained drivers and conductors would not be ready in time for a December opening date delaying the opening beyond December 2017.

ORR approval

Impact on the Kenilworth Station Project:

December 2017 to February 2018

The submission of the Common Safety Method (CSM) and Interoperability documentation to the Office of Rail and Road (ORR) was protracted as the station and the track slew project were originally split in their CSM categorisation. The Systems Review Panel (SRP) expressed concerns over the fact that the projects were split and had different CSM categorisation. The categorisation for both projects became categorised the same (significant), increasing the status of the track slew project. This resulted in additional evidence required by Network Rail interventions project.

Entry into Service approval

Impact on the Kenilworth Station Project:

February 2018 to April 2018

In order for the station and the facilities to be taken into service and used by the public, the rail industry conducts an Entry in Service approval process before an official handover take places. On-site inspections are carried out by specialist project engineers from a range of disciplines (Civils, Mechanical & Engineering, Telecoms) from within NR to assess the new asset for safe functional operation. This proved to be a protracted process that required the contractor to make amendments to the station build to meet the requirements.

A number of inspections were carried out before a final inspection took place on 26 April 2018 where the handover documents were signed ready for the service to commence on 30 April 2018.

2.5 Funding

The extent and sources of funding for the project has been referenced early in this report. The TFG has learned that the funding provided by the Coventry and Warwickshire Local Enterprise Partnership was time limited and payments related to fixed milestones. Whilst such an approach works to maintain pressure for project completion there is evidence that those involved in directing the Kenilworth Station scheme felt unreasonably rushed at times into making decisions.

2.6 Economic and Social Impact of Delays to the Opening and Reputational Damage

The evidence for this section has been drawn from the results of the questionnaire circulated in September 2018. Full results from the questionnaire can be found at

Appendix D but the following are those points pertaining to people's perception of the impact to them of delays in the stations opening. Overall the reported impacts were minor or moderate. Few respondents reported any significant impact.

No impact / minor impact

72% of respondents (93 responses) indicated that the delayed station opening had no impact or a minor impact on them. The description of minor impacts are summarised below:

- More convenient way to travel / couldn't use trains (9 responses);
- Increased cost of commute (7 responses);
- Deferred journeys / changed plans (7 responses);
- Continued to use bus service (5 responses);
- Continued to use other stations (3 responses);
- Had to use car (2 responses);
- Annoying / disappointed (2 responses);
- Showed up local authority (1 response);
- Not knowing reason for delay (1 response);
- Wasn't there before so limited impact (1 response);
- Risk of losing interest / support for project (1 response).

Moderate impact

Just under a quarter of respondents (23%/30 responses) stated that the delay had resulted in a moderate impact. The description of moderate impacts are summarised below:

- Increased cost of commute (11 responses);
- Unable to travel by train (5 responses);
- Continued to use bus service (5 responses);
- Deferred journeys / plans had to be changed (4 responses);
- Nuisance / frustrated by wait (3 responses);
- Had to use other stations (1 response);
- Had to drive (1 response);
- Couldn't progress in job (1 response);
- Couldn't use for school or to see friends (1 response).

Severe impact

Just under 5% of respondents (6 responses) stated the impact of the delayed station opening was severe. The description of severe impacts are listed below:

- Purchased a rail card to be used in February. Due to delay this went unused for several months. Had to use bus services to get to work which cost more money (1 response);
- Had to use car for commute (1 response);
- Missed last bus and had to get a taxi a number of times (1 response);
- Continued to use the bus service (1 response);
- Couldn't travel by train to Coventry. Had to take a 45 minute bus journey (1 response);
- Now it's opened, missing connecting trains to Nuneaton and Coventry (1 response).

The TFG has considered the issue of reputational damage. Certainly during the period between the completion of the station building and the introduction of services there was degree of frustration expressed by some members of the community. The public questionnaire did not ask for views on how happy people are with the station now that it is open but with ever increasing patronage there is a sense that any damage that may have occurred in April 2018 was short lived.

2.7 Communications Regarding the Planned Opening of the Station

The TFG has considered evidence from the officers of the Warwickshire County Council Marketing and Communications Team as well as representatives from partner organisations and again the results of the questionnaire survey.

Communication on the project took a number of different forms either through social media, the local press or directly with groups such as the Friends of Kenilworth Station. In addition, the contractors building the station liaised with neighbours in an effort to make sure they were kept abreast of progress.

Early communications releases were undertaken jointly with partners. Monthly information management meetings were held with those partners to ensure that unified messages were presented to the public. However, over time a pattern developed where most information releases were led by the County Council. Attendance by partners at the monthly information management meetings tailed off towards the completion of the project meaning that public perceptions regarding progress with it were largely focussed on the work of the County Council.

The TFG has learned that many capital build projects avoid the announcement of a proposed opening date as was the case for Kenilworth Station. Rather, they announce opening in a season e.g. Autumn 2019. This may be appropriate for highway projects but very often new rail services are introduced on the day rail timetables change. For this reason, it is sometimes considered preferable to pin opening down to a particular date.

Another reason for identifying a date for opening is that it can be used as a lever to ensure that partners continue to drive towards completion.

The TFG has heard of two further aspects of communications which it is considered could have been approached differently.

- i) This report has already alluded to the complexity of the Kenilworth Station project involving not only the construction of a new station but also the introduction of a new train service. It is considered that the extent of this complexity was not effectively conveyed to the public. As a result many people imagined that the task being faced was simply to construct a station and platform. If people had had a greater appreciation of the situation they may have felt less frustration.
- ii) The complexity of the scheme should have been relayed to funding partners such as the Local Enterprise Partnership.

The results of the public questionnaire demonstrate a significant reliance by people on local press/radio to keep them up to date on local events. Whilst WCC is in control of the press release, WCC can't control the message that the media puts out.



November 2017

The use of the type of language used in announcements concerning the opening has been considered. Representatives of the County Council were, it appears, keen to offer assurances which, although well founded at the time they were given, could not it transpired be met. A better approach may have been to caveat announcements, not to confuse the message but to make clear the complexity of the

environment the project was being delivered in. Had people understood how reliant agencies charged with delivering the project were on each other they may have been more prepared to accept the delays encountered.

2.8 Lessons Identified and Learning Lessons

There is a clear distinction between “lessons identified” and “lessons learned”. It is easy to recognise that something should be done differently in the future but the key is to act on that.

Lessons Identified

The TFG considered whether Warwickshire County Council had learned lessons from previous capital transport projects (both rail and road related), what it had done to use those lessons and what it needs to do in the future to ensure that it benefits from past experience.

The County Council has a good track record of delivering large scale transport schemes. Since 1989 it has either been involved with or directly led on the opening of six railway stations as well as the construction of a number of new highways or improvements to existing ones.

From each of these schemes officers and members have sought to capture the experiences in the expectation that future schemes can benefit.

There is strong evidence that many of the processes that are followed by the Council today are the result of previous experience. For example, the governance structure used for Kenilworth Station has its roots in the construction of the Rugby Western Relief Road which opened in 2010.

The Council is not unique in seeking to learn lessons from the past. It is now accepted practice within the transport construction industry to undertake an evaluation of each scheme once it has been completed. The TFG examined examples of such reviews to gain an understanding of the extent to which project leads feel able to reflect on any shortcomings or good practices.

Lessons Learned

With lessons learned there are two key considerations to bear in mind.

1. No two schemes are the same. The lessons learned in one instance may not apply to the next. This is particularly the case with rail infrastructure schemes where many more partners are involved in successful delivery than with highway schemes. Politics, finance and environmental considerations can all conspire to complicate matters and undermine a project's ability to draw on the past for answers.
2. Where lessons are learned in one scheme they must not be forgotten or lost. It is too easy to launch a new major scheme without investing the time early on to take stock of past experience. In recent years, as staff levels have been reduced and experienced employees lost to the County Council so the need to build up that knowledge base of past projects becomes even more important.

2.9 Evidence from our Partners

This review has been fortunate in that representatives from a number of partners were able to share their experience with the TFG and provide a picture of how they regarded the project. As well as providing observations our partners were able to make suggestions on how processes could be improved. These too are set out in this section.

The reader should bear in mind that the evidence provided is based on partners' perceptions. There may be times when agencies have slightly divergent views. This, it is suggested, is understandable given the scale and complexity of the project.

2.9.1 Evidence Provided by SLC Rail

Contributing Officers:

Ian Walters – Managing Director SLC Rail

Ian Baxter – Director SLC Rail

General Comments

1. The Kenilworth Station project was made complicated by a series of circumstances and challenges all of which need to be addressed. That the project succeeded is remarkable. It straddled a change in franchise, required a

wholly new train service, was set on a single line section on a major inter-city and freight route with two significant adjacent junction stations at Leamington and Coventry, it involved many partners and it found a way to proceed despite the impact of the Hendy Review. This is too easily forgotten.

2. When the station was first considered it was necessary to reflect on whether the benefits it would bring to Kenilworth would outweigh the capital costs of the additional works required at Leamington Spa, Coventry and for the signalling on the Kenilworth Loop. The Department for Transport and Network Rail agreed to deliver the infrastructure work (signalling) with the quid pro quo being that WCC would deliver the second platform at the station (building all the station at once to save this having to be delivered by the route doubling project). This was in WCC's interest, as it removed some of the more complex scope from the WCC scheme but at the same time it removed from SLC and WCC a degree of control from the overall project interface. These infrastructure works being delivered by Network Rail at Leamington and on the Kenilworth Loop made a contribution to national rail network operation, rather than being specifically for the Kenilworth scheme. Changes to the signalling arrangements served to increase capacity and offer performance benefits on the route, this in turn has benefitted Cross Country and rail freight operators.
3. It is important to reflect on how the rail industry supports third parties. Sometimes their interests seem to be forgotten. For example, in 2014 the Rail Regulator (Office of Road and Rail – ORR) failed to consult WCC on Cross Country service changes to the Sunday Only timetable for the Leamington-Kenilworth-Coventry route that set the pattern for the current absence of Sunday Kenilworth service, notwithstanding WCC's subsequent correspondence with the ORR. There appears to be nothing in statute to protect the interests of third parties in such circumstances.
4. Greater attention should have been given to the way in which public expectations were managed in terms of the project programme.
5. Network Rail has assisted in enhancing the National Rail network and helped to facilitate the construction of a brand new station. It would have been understandable if Network Rail had been resistant to the project as, as with any new station and train service it necessarily requires changes to already finely balanced operations on a busy and highly utilised piece of the network.
6. Cross Country and the freight operators equally have their own agendas and imperatives. It is important to remember that Kenilworth lies on a UK main route between Bournemouth and Manchester and yet sits between 2 short stretches of single line that acts as both a capacity and performance constraint.
7. There is a risk that as projects progress so partner organisations experience a degree of "loss of corporate memory". This is particularly the case where individuals change over the life of the project. For example, early in the life of the Kenilworth Station project (around 2013) a series of foundation meetings

was undertaken. Further examples of information sharing and the involvement of key agencies throughout the project are:

- a) The **New Stations Fund** bid was supported in writing by all rail industry partners. This formed a comprehensive summary of the rationale for the Kenilworth scheme together with its business case, project structure and programme. Projects develop and change during their lives, but the NSF bid document was available to all formal parties to the Kenilworth project throughout. It might reasonably be said that whilst WCC is indeed responsible for leading a project with the full engagement of stakeholders, those stakeholders also have their own responsibility for how actively they participate, read and understand project documentation, organise communication within their organisation, and how they brief staff when people move on or change jobs.

- b) **Network Rail** – The key early design and specification phase for the station - GRIP 3 Option Selection was undertaken by Atkins for WCC and John Laing plc (at that time a potential investor in the station) as far back as 2010 and 2011 and signed off by Network Rail in May 2011. The further train service timetable analysis at GRIP 3, undertaken for the 2013 NSF Bid was signed off by Network Rail in February 2013. Progression of the scheme then went into their normal GRIP process within Network Rail, and with the Network Rail Sponsor's submission seeking support for progression to GRIP 4 at its March 2013 Investment Panel. Upon submission of the NSF Bid in February 2013, WCC was in routine, regular engagement with the DfT and Network Rail via the monthly New Stations Fund Board. Network Rail provided a letter of support (at senior level) for the New Stations Fund bid in 2013, and subsequently a Network Rail Sponsor, funded by WCC, was allocated to the project throughout the full period of the scheme until its delivery. All appropriate departments of Network Rail, at route level, and national level (such as its National Access Planning Team at Milton Keynes – which manages timetable planning), were fully involved throughout.

- c) **Department for Transport** – The DfT was engaged throughout, both before the submission of the NSF bid in 2012/13, at the time of the bid in 2013, also providing a letter of support, and thence at senior level via the monthly New Stations Fund Board. The DfT was also instrumental in supporting and facilitating the political engagement with the local MP as well as with the Secretary of State for Transport before, during and after the announcement of the success of the NSF Bid in December 2013.

d) **Train Operating Companies**

London Midland was involved from the outset of the preparations for and delivery of the New Stations Fund bid in 2013. As with NR and the DfT it provided a letter of support for the bid. It was then closely involved throughout in station specification, as per the normal GRIP processes, and with the ongoing and extensive timetable development and performance modelling processes that were required right up to the ending of its franchise in December 2017.

Cross Country were also properly involved, if not from the outset as they were neither calling at nor operating Kenilworth Station, but from the beginnings of the train service development process in 2013 and 2014 (e.g. page 30 reference under 'the Hendy Review' bullet point 2). Bullet 6 on page 47 may be read as suggesting that Cross Country was not engaged effectively, and this was not the case.

West Midlands Trains – WMT has been key to the success of the project. However, it is difficult to understand how WMT might have assumed that the Kenilworth service was in operation in the autumn of 2017.

- e) **Politicians and the Public** - Jeremy Wright MP was involved throughout the project, from 2013 onwards, participating in multiple meetings at Westminster with senior DfT, Network Rail and TOC officials, attending site visits and joining the test train runs in 2014. WCC Councillors for Kenilworth, the Portfolio Holder, Kenilworth Town Council members and rail user group representatives attended site visits and the train run, all involving full briefings, with many attending site visits by the Secretary of State for Transport to Kenilworth in 2013 and 2015. A major 3-day public exhibition took place in October 2014 at Kenilworth, attended by WCC, SLC and Rail Industry representatives.

The Hendy Review

1. It is clear that the Hendy Review led to delays. It also raised concerns that it may not be possible to deliver a service to Kenilworth owing to future demand from operators for paths along the line. In 2013 SLC calculated that it would be possible to run a service, and undertook major and extensive work in revisions to timetable feasibility and performance modelling on multiple occasions thereafter as train services timetables changed each year, on each and every occasion developing a feasible and deliverable train service (as evidenced by the operational train service in 2018).
2. Test running of the service substantively as finally determined took place on the signalling panel at the West Midlands Signalling Centre, with Network Rail, LM and Cross Country in attendance in 2014, together with test runs with a 153

unit. These showed that it would be possible to accommodate the Kenilworth service.

3. The Hendy Review and cancelling of the doubling of the route removed the need for a second platform, which in turn threatened the level of NSF funding. It also meant that it was not possible to award the contract: until funding could be confirmed, revised designs for a station with only a single platform submitted to Network Rail and approved (confirming scope), and the Hendy Review having concluded to ensure infrastructure works that enabled the timetable would be provided (a deliverable of Network Rail).
4. Delays to the award of the contract to 30 March 2016 added four and a half months to the project.
5. If Network Rail had been appointed to deliver the station this would not have removed the impact of the Hendy Review. There is a chance that with Network Rail behind the project Hendy may have stopped it from progressing at all during its review period (when all such similar schemes across the network were halted until the conclusion of the Review).
6. Challenges were also presented regarding changes to the signalling arrangements. Network Rail omitted an element of signalling scope (software modifications to the Kenilworth Loop), which Network Rail were unable to deliver on in the timescale so the opening date of the station was pushed back. All of the above can be attributed to some extent to Hendy.

Governance and Roles

1. A decision was made early on that the Project Board should not include partners such as Network Rail.
2. Network Rail is in an unusual position in that it is a supplier of services for which it is paid as well as the custodian of the network it operates and maintains, and in many cases also a deliverer of third party funded projects. In other words, it is not just a neutral arbiter but also a commercial operation.
3. A recent development in rail is that project management has moved from the eight stage GRIP system to the five stage Rail Network Enhancements Pipeline as a mechanism for scheme development / progression. (These stages are Determine, Develop, Design, Deliver and Deploy).
4. Network Rail has a valuable role in empowering sponsors. Sponsors are generalists and need assistance in understanding the detail of a project. Network Rail now have Business Development Directors who are responsible for dealing with 3rd parties, actively seeking both third party schemes and funding. This is a wholly different industry climate from that during which the Kenilworth scheme was developed and delivered.
5. With regards to Network Rail's early engagement with the scheme, it is important to note that it had been closely involved from the original GRIP3 process, undertaken by John Laing and WCC in 2011, having signed it off.

Network Rail was the formal recipient of the 2013 New Stations Fund bid, and wrote its own letter of support. From 2013 onwards it was involved at every stage of train service and project development through the GRIP process.

6. SLC Rail reported to WCC through several meetings as part of the governance process as follows:
 - Monthly Board Meetings – SLC Rail produced formal report on all aspects of the project including financial, design, construction, operations, programme, issues and top risks
 - Monthly Commercial review – SLC Rail updated WCC on all EWN, Instructions, CEs, Programme submissions, Applications for payment and valuations raised during the previous period. This was an assurance process for WCC to have visibility of all commercial decisions on the project. This meeting feeds into the monthly board meeting under the WCC governance process.
 - Monthly Finance meeting – Review of project account status including invoices/ payments on WCC ledger against capital and revenue budget. This meeting feeds into the monthly board meeting under the WCC governance process.
 - Fortnightly Project Team meetings between WCC and SLC Rail PMs to review all elements of the project. This meeting feeds into the monthly board meeting under the WCC governance process.
 - SLC Rail also provided support to WCC with attendance at regular LEP meetings.

Change in Franchise

1. The critical timing of the Kenilworth project at the end of the LM franchise and, as originally programmed, just before or at the start of the WMT franchise inevitably affected its progress. It is always challenging for an ending-franchisee to commit as strongly to an enhancement such as Kenilworth at such a point in its franchise life-cycle.
2. The new franchisee (WMT) was very keen to see services introduced at the station. It also mattered to WMT because it naturally would want to be seen positively in its earliest days, and because it is co-managed by both DfT and the West Midlands Rail Executive (WMRE), both committed to the Kenilworth scheme, the DfT via New Stations Fund monies, and WMRE via both policy and WCC being a member of it.
3. The change in franchise from London Midland (LM) to Abellio/West Midlands Trains (WMT) in December 2017 meant that the 153 unit that would have been required for the Coventry-Kenilworth-Leamington service was not leased by LM before its franchise expired. From the information available via the Data Room the new franchisee, WMT, understood that when they took over the stock would

be in place and staff trained. In order to overcome issues WMT began to work with the Department for Transport, to unlock early driver training with LM as incumbent operator. This however did not lead to any resolution to the fact that the franchise had less rolling stock than expected.

4. Delays to the electrification of the Great Western Main Line reduced the chances of cascading GWR 153 units for the Kenilworth service. In the end WMT used one of their own 153 units notwithstanding LM's preceding view that this would not be possible. Many of these complications arose from the delays in station opening date from August 2017 until after the change of franchise (October 2017).

Further Factors

1. At the start of the project (2012/13) it was expected that Network Rail would be in overall control – 'the controlling mind' of the rail industry, potentially making processes for Third Party schemes simpler. However, this has not proved to be the case (leading to the Hendy and Hansford Reviews and the new processes of the DfT's 'Rail Network Enhancements Pipeline' [March 2018])
2. A further example of alterations to services affecting Kenilworth timetable planning was changes to Chiltern Railways' Leamington to Birmingham shuttle service in 2015 which, as with the Kenilworth service, uses Platform 4 at Leamington Spa. These required the project to undertake a further round of timetable planning and performance modelling to demonstrate the service would continue to fit with these revised operating arrangements at Leamington.
3. At one point a demountable (temporary) platform was proposed by Network Rail, since this would have avoided the need for Network Rail to slew the track over. However, it was eventually decided, after months of discussions, that the demountable platform was not needed.
4. The Common Safety Method was a further complication. Initially the scheme was to be regarded as two projects but it was then changed by Network Rail internal panel review process to one. This change, very late in the day, increased the level of safety assurance on the Network Rail infrastructure works scheme, for which due paperwork and process had to be undertaken prior to entry into service authorisation.

Entry into Service (EIS)

1. This can be complicated as main contractors employ subcontractors and matters can slip if not properly managed. Occasionally contractors will press ahead and undertake installations relying on a perceived post installation sign-off process to validate technical questions.
2. Mechanical and Electrical Engineers (M&E) are in short supply generally, and this caused a hindrance on this scheme.

3. Network Rail did not employ specific M&E advisers on the project and focused on the platforms and other infrastructure. Nevertheless, any delays at the M&E sign off stage were very short.
4. The key with M&E is to visit the site prior to final inspection and do things on a progressive basis. For example, surge protection which was added after construction, was specified for all circuitry and telecoms, when this had not been a requirement on the detailed designs.
5. On occasions stations have been brought into service with snagging and final installations being carried out afterwards. This was not permitted and resisted to the last at Kenilworth. It reflects a lack of consistency across the industry where different promoters are involved, and indeed even on different Network Rail schemes.
6. It is important that Network Rail is satisfied with the station as it becomes their responsibility to maintain when it is signed over to them, and they are concerned that contractors and promoters will not return to fix defects in a timely way.
7. SLC believe that the EiS process needs to be more robust in its delivery and suggested that the following actions would improve / allow for the process to be completed as soon as practicable after completion of the GRIP 6 Stage.
 - The appointment of an EiS Manager who will have overall responsibility to deliver the EiS element of the works needs to be identified & resourced in the early stages of GRIP 5 to assist the Project PM
 - Resource planning templates are required to be further developed and included with milestone prompts to identify the increased workload towards EiS
 - EiS needs to be on the project agenda earlier, ideally reflecting in early GRIP Stage PMP's
 - The project Design Manager needs to be aware of all 'EiS engineering deliverables' so they are readily populated in a specific EiS project folder as they are approved through GRIP Stage 5 and 6
 - Production of an EiS Strategy reflecting stakeholders for each element of the phased programme that do not necessarily have a NR concern, an example of this could be the local highways
 - Seek to have phased hand-over for practicable completion where practicable
 - Appointment of an Engineering Safety Manager

- Have EiS included early in the stakeholder agendas so stakeholders plan and provide the resource necessary for their responsibilities
- Identify named individuals from the key stakeholders responsible for EiS interface, this should also include the Principal Contractor
- Ensure EiS robustly shown in Employer's programme so all parties are aware of the timescales and critical activities to ensure a smooth EiS
- Plan EiS to occur as defined activity within GRIP Stage 7, after successful conclusion of GRIP Stage 6 Inc. all testing, commissioning, training and certification thus project resources working on just GRIP Stage 7 deliverables
- Contractor programmes to reflect specific EiS deliverables required e.g. so delivered earlier in proceedings

Warwickshire County Council

1. Past and present officers at the County Council have made a major contribution to the success of the Kenilworth Station project and multiple others, including Warwick Parkway, Coleshill Parkway and Stratford Parkway, Bermuda Park (and Coventry Arena). It has a track record of rail project delivery unique amongst shire councils. However, there is evidence that officers became very concerned with the political dynamic and as a result were very risk averse. Authority remained high up in the organisation and governance arrangements tended to slow down progress and dilute decision making.
2. There appeared to be an unerring faith in the power of politics. It was believed that as the Secretary of State had promised service introduction on a certain date then this would happen (It did not). The concern that this faith was unfounded extended to WCC officers and the SLC project team. On various occasions it was wrongly believed that the intervention of a senior officer would lead to progress.

Communications

Messages regarding delays to the station opening were not handled well. It seems that even when the Council had a sense the opening would be delayed it was reluctant to release this information.

SLC Rail's Role in Monitoring the Contractor

The SLC Rail team ensured that the Contractor was scrutinized through the following activities:

1. During the design phase, the Design Manager chaired fortnightly progress meetings with the Contractor and their designer in order to oversee the quality

of the designs being produced and to ensure that the contractor was following the NR design approval process.

2. When designs were submitted, SLC Rail carried out a review of the designs alongside the Network Rail review and provided formal comments for each discipline (Civil, Mechanical and Electrical)
3. The Contractor was required to produce a formal progress report monthly to update the Employer on all aspects of the project. The reports were presented to both SLC Rail, WCC, NR and London Midland (LM) in a monthly progress meeting.
4. The Contractor was required to submit programmes for acceptance every month. The programme submissions were scrutinized by SLC Rail PM and Planner and the Contractor was asked to justify any delay presented in the programme.
5. In addition, during construction the Contractor was requested to submit weekly look-ahead programmes with further detail of the weekly activities. SLC Rail reviewed the programme as part of the SLC Rail weekly team meeting on site to monitor the Contractor's performance against the planned activities.
6. During the construction period, SLC Rail had representation on site on a daily basis. It monitored progress on site on a daily basis and checked the quality of construction against the approved design. Quality Issues were identified, logged & progressed to both WCC & NR satisfaction.
7. SLC Rail also ensured that the works were being constructed in a safe manner and in accordance with the limitations of the Asset Protection Agreement between NR and WCC.
8. Construction Phase Plans and Work Package Plans (Method Statements and RAMS) were submitted to both NR and SLC Rail for approval prior to works commencing on site. In addition, the SLC DM ensured that any temporary works designs were checked and signed off at the appropriate level (NR where appropriate).
9. Regular Risk reduction meetings were held with Contractor to review the Early Warning raised by either party under the contract. SLC Rail and the Contractor discussed appropriate mitigations for each EWN raised.
10. Regular commercial meetings were held with the contractor to review and agree payment applications, Instructions, quotations and Compensation Events. Contractual correspondence was managed by the SLC Rail PM and commercial manager using an online tool provided by the Contractor (Viewpoint). Programme submissions were also submitted via Viewpoint.

Learning Lessons

1. At the conclusion of all projects undertaken by SLC Rail they undertake a “Lessons Learnt” where all aspects of the project are dissected and reported upon. They consider this as a good working practice and an innovative approach that is captured and shared to promote repeat application of good practice or to avoid a negative recurrence.
2. Well-documented lessons learned enable them to further mature their project management capability and ability to deliver projects that leverage repeatable processes.
3. Both advantageous and adverse consequences within any of their projects can result in lessons learned and those that are particularly positive have been communicated outside of the team and promoted as a best practice to the rail industry.
4. The lessons learnt include the major stakeholders involved in the project, from the Client, NR, Designer’s & Principal Contractor. All views are considered and nothing is brushed under the carpet.
5. This is achieved by setting specific questions about the project, i.e. What went well, what didn’t, in each of the major deliverables, including engineering quality, programme & commercial management to name a few.
6. SLC Rail believe that by undertaking a lesson learnt then it becomes part of SLC Rail’s management process to provide future project teams with valuable insight into previous projects that are similar in nature about what went well and what did not go so well or had unintended consequences.
7. Any lessons learned captured at the end of one project are reviewed at the initiation of SLC Rail’s next project as it provides an invaluable insight to their project managers and team members of the new project to ensure that the best possible outcome is pursued.
8. SLC Rail also consider the purpose of the exercise is to recognise and document those insights so that the future project efforts incorporate more of the successful things and less of the unsuccessful things encountered by our project team.
9. Additionally, lessons learned exercises give attendees a chance to reflect on events and activities during the project and helps bring closure to the project.
10. It also provides attendees a safe and open opportunity for team members, sponsors, and stakeholders to have conversations about:
 - Successes that happened during or because of the project
 - Unintended outcomes that happened during or because of the project

- Other things that, in retrospect, might have been better handled if done differently
 - Recommendations to others who might be involved in future projects of a similar type
11. To help guide the discussions, there is a focus on major categories including people, process, and technology and then further definition of the lesson learned by type – whether the lesson is beneficial, detrimental, or simply a good practice.
- People – Project and organisational staffing and their appropriate training.
 - Process – Defined processes, procedures, standards, methodologies, templates, and guidelines that have been utilised on the project.
 - Tools/Technology – Statistical analysis and / or reporting tools, for example the use of Primavera P6.
12. SLC Rail also consider the impact/outcome of the lesson and how future projects may be affected:
- Beneficial – Where actual project event with advantageous outcome.
 - Detrimental – Lesson learned from an actual project event with adverse consequences.
 - Good Practice – Practice promoting or resulting in a positive outcome.
13. By fully capturing the essence of the discussion points identified above SLC Rail are able to collate and issue a draft Lessons Learnt for review and supplementary information to be added or statements to be amended before we officially issue the report for dissemination across the wider teams.

2.9.2 Evidence Provided by Network Rail

Contributing Officer:

Simon Clifford - Sponsor

General Comments

1. The new infrastructure changes (track and signalling alterations) provide NR with more operational flexibility along this corridor that provided a wider benefit.
2. There are many complex and detailed processes required to successfully deliver railway projects, processes such as Common Safety Method (CSM) Construction Design and Management (CDM) which become particularly challenging when there are numerous projects delivering a unified output. For

Kenilworth there were numerous challenges with the CSM process which related specifically to the integration of the two projects, detailed plans were put in place to manage this however there were still some areas where a more detailed and robust plan would have helped with CSM approval. NR, SLC and WCC worked closely together to resolve issues that appeared late in the project delivery, all party's ability to work together and respond quickly to the issues raised was a positive point that should be utilised on future projects.

Common Safety Methodology

1. The Interventions project did not require CSM approval however the CSM panel wanted to understand that the interface has been managed effectively which led to further risk information being requested by the station project. None of that should have been outside of what the process requires, however there was a lack of understanding of the CSM process that ultimately led to a delay.
2. A lesson to be learned would be to provide suitable training to all parties involved in delivering the project so they fully understand and appreciate their responsibilities under CSM when delivering infrastructure projects.
3. A key question that needs to be reviewed in more detail relates to why these projects were not delivered together as one large project. This would have been the ideal scenario. One delivery organization for both parts of the project would have been able to manage the interface and risk more effectively and led to a more efficient delivery.

Entry into Service

1. The delay in EIS was due to the installation on site not aligning with the approved design. There were numerous areas that differed from the approved design with some elements such as the CIS screen locations within the building not having a full design at all. There were missing documents such as the telecoms technical specification that should have been completed before the works commenced on site that were still not completed when the station entered service.
2. If design and installation is performed correctly then delays can be avoided.
3. Authorisation and EIS should be fairly simple process. All that is needed is the right information being provided in a timely manner.
4. NR especially the Sponsor team worked very closely with WCC to achieve successful EIS for the building. The approach was collaborative and a positive point to take onto future projects.

Governance

NR were not included as a key partner within the Kenilworth programme steering groups and board meetings held by WCC. This is a mistake as it created two teams that were then not working together in a true collaboration.

NR cannot be expected to collaborate if they are not being involved in the key decision-making for the projects and ultimately collaborated with by other parties.

Network Rail as Sponsor

1. The NR Sponsor works for the Client side of the organization and holds NRIP to account (where they are the delivery arm) but cannot hold third party deliverers to account. For Kenilworth the Sponsor team worked closely with WCC, SLC Rail and NRIP to deliver the works effectively, and whilst there were delays this cannot be attributed wholesale to NR.
2. The NR Sponsor team will continue to be encouraged on future projects to work closely with third parties from an early stage to help advise and support project delivery.

Crew Training

1. The split of the project meant that at times there was a lack of clarity over who was doing what. The division of responsibilities should have been made clearer earlier on in the project.
2. At one point it was thought that NR would be providing the crew training. However, this was not the case.
3. For the crew training material West Midlands Trains (WMT) want this 20 weeks in advance. In practice not all of the material needs to be available early on. Some of it such as the DVD can only be produced once the infrastructure works are complete.

Funding

1. Funders sometimes have unrealistic expectations about what can be achieved in a given time.
2. It is important to liaise with funders both during the bidding process and the project build to ensure that they are familiar with all the issues to be addressed.

Data Room

1. Information was missing from the Data Room. This impacted on progress with the project.
2. The rail network is approaching capacity in some areas. The long distance nature of cross country routes means that they can be susceptible to delay. A twin track would have been a bonus but even allowing for the risks provided by

any late running by Cross Country there have been very few delays to services so far.

3. There is a risk that some partners are unreasonably blamed for delays. At times NR felt like that although it was often NR that kept matters moving.

The Hendy Review

This led to delays but NR was able to provide evidence that it would be possible to operate an intensified service along the route as single track.

2.9.3 Evidence Provided by West Midlands Trains

Contributing Officer:

Steve Smith – Stations Portfolio Holder West Midlands Trains

General Comments

1. As part of or after the review into Kenilworth Station there may be merit in bringing partners together to reflect on lessons learned.
2. Although each new station build project is unique there are always common themes to be taken account of. These involve passengers and trains and the need to bring them together.
3. Regarding the delayed opening of Kenilworth Station London Midland Trains (LMT) and later WMT did advise early on that the proposed opening dates were overly ambitious. It was recognised that there may be issues not only with the station construction but also with Entry into Service. Before the service could commence it would be necessary to put in place the station, the service arrangements, the rolling stock and the infrastructure. It would have been naïve to think that this could be done quickly.
4. West Midlands Trains (WMT) is committed to the opening of seven new stations in its franchise area over the next two to three years. This is an ambitious target. The decision on where new stations should be opened is based on a detailed business case. For example, a new station is proposed for Kings Heath. This lies firmly in the commuter belt so the business case is strong. However, a new station and infrastructure will be required as will a minimum of 2 trains an hour (probably even 3 or 4).
5. Funding for the new stations will come via the DfT as part of the franchise arrangement.

6. Providing a new Kenilworth service was not part of the franchise bid and therefore it was not part of a business case. WMT had been led to believe that the new service was up and running when it submitted its bid.
7. WMT could have walked away from the project but elected not to.
8. On reflection it would have been better if WMT had worked more directly with the County Council rather than via SLC Rail. (This is no criticism of SLC Rail but going through a third party can lead to delays). The Kenilworth Station project has resulted in closer working between WMT and partners.

The Hendy Review

The Hendy review and the decision not to twin the Leamington to Coventry line was a disappointment. If WMT had a choice, it would have waited until such time as twin tracks were provided before agreeing to provide the service.

Risk

1. The Kenilworth Station service adds an element of risk in terms of the overall network. This is caused in part by the need to place the train in sidings and cross lines at both Coventry and Leamington between each run. The DfT monitors the franchise performance across its entirety. If performance is poor on the Kenilworth service, then this impacts on that overall franchise performance.
2. Since the service was introduced in April 2018 there have been a handful of delays. It should be noted that if a Cross Country train is delayed then the Kenilworth train is required to wait until it has gone through.

Crew Training

1. One complication for WMT caused by the delay in opening was that crews having been trained over a 15 month period found themselves with no service to operate. At one point, with the opening of Kenilworth Station delayed WMT did consider the introduction of services between Leamington and Coventry missing out Kenilworth until such time as it was ready.
2. A further complication arose when crew training material expected from Network Rail was not available when it was required. (Network Rail procures the training material which is shared with the rail operator before being finalised). The training material included written documentation and a DVD. (The delays in installing the infrastructure meant that the DVD could not be produced).

3. The competency of train crews needs to be maintained. The new service required six drivers and six conductors (working out of the Coventry depot). These all had to be trained. However, delays in the introduction of the service meant that a certain amount of refresher training was required. Training was undertaken in partnership with Cross-Country with crews riding on their trains for route-learning purposes.

Rolling Stock

1. An issue encountered by LMT's Mobilisation Team was that information in the "Data Room" suggested that services had commenced in August 2017. That was what LMT and (later) WMT were working to. At the time it bid for the franchise WMT was under the impression that the service was operational. Sourcing a diesel unit proved to be a problem. In 2014 it was agreed that LMT would not run the trains. Initially it was expected that a 153 unit would be cascaded down from a route that had recently been electrified. However, a halt to electrification meant that the units did not become available.
2. Fleet provision is complex. It is important to have sufficient units to provide services. This meant having a certain number of units out in service whilst others are in for repair and service. WMT had eight 153s with six or seven of these operating at any one time.
3. WMT would have liked to have delayed the introduction of the service until it had secured a more appropriate unit. However, it bowed to pressure to open the station ASAP.
4. When Jeremy Wright MP and Chris Grayling the Secretary of State for Transport agreed an opening date of December 10 2017 they believed that WMT would be providing the stock (153 unit). Only towards the end of the process was WMT told that it would have to secure the rolling stock. Following a review of stock availability, it was concluded that a unit could only be secured to the detriment of other services. It was necessary to re-roster existing stock and reduce the number of units that could be out of service at any one time. Risks were increased further as 153 units do not perform well when there are leaves or ice or snow on the line. They are not fitted with the latest traction control technology and can experience wheel-flats as the result of sliding.
5. A major frustration of LMT and later WMT was that they had asked early on whether they needed to source a unit. They were advised at the time that there was no point in signing a leasing agreement as there was uncertainty regarding whether a unit could be sourced. When thoughts turned again to the signing of

a lease WMT was into the final 12 months of its franchise and was therefore not allowed to sign any new contracts.

6. WMT is now running all eight of its 153 units at any one time. This carries a major risk and services have been affected by non-availability. It is not appreciated that additional miles travelled add to wear and tear or that the train operators pay the train leasing companies for the miles travelled.
7. WMT has been placed in a difficult position not of its making. DfT have been made aware of this.

2.9.4 Evidence Provided by the Department of Transport

Contributing Officer:

John Macquarrie - Senior Commercial Manager

Hendy Review

1. It is important to understand how decisions were made as part of the Hendy Review. The principal driver was the need to reduce rail infrastructure overspend. The Review sought to establish what could be delivered for the money available. In order to do this, it singled out projects that appeared weaker than others.
2. No one affected by the proposals contained in the Hendy Review were consulted or informed. This was a consequence of the short time frame available to complete it. It would have been preferable had the government produced a series of proposals based on the Review's findings and then consulted on them. By doing this at least people would have known what was to happen.
3. Any challenge to the outcome of the Review would have been unlikely to succeed as it remained necessary to reduce costs.
4. For the line from Leamington to Kenilworth the Review could have proposed a delay to the twinning of the track. However, the scheme was simply dropped.
5. The Kenilworth Station project then had to react to the Hendy Review.

Progress and Delays

1. The project progressed at a reasonable pace until its final stages. Some rail partners failed to appreciate the importance of the station scheme to Warwickshire. If they had there might have been a greater sense of urgency.
2. The project led to significant improvements to the wider rail network.
3. Delays are always regrettable but they are soon forgotten. For Kenilworth Station too many opening dates were announced and missed. It would have been better to accept that delays do happen.
4. It would have been easy for the Department for Transport (DfT) to adhere only to the idea of supporting the London Midland Franchise. However, it considered that it was better if the DfT became involved on a wider scale.
5. If the DfT were to engage with a similar project in the future it would look to do so at an earlier stage. Responsibilities should be made clear at an early stage so that everyone involved is clear of their role.
6. Franchisees can be commercially very aggressive. (They exist to turn a profit). In its last 12 months the franchisee is required to seek the permission of the DfT to make certain changes. This changes the dynamic of relationships.
7. There is a sense that Warwickshire County Council and other partners were reluctant to acknowledge that the station opening would be delayed. If the threat of delay had been acknowledged, then it could have been managed more effectively.
8. Communications released by WCC in December 2017 appeared to be apportioning blame with partners. (WCC suggested that the station was complete and ready to accept trains when this was not the case). This was regrettable as it is important to ensure the overall project team continues to work well.

Data Room

1. The Data Room is managed by the DfT. It produces an Infrastructure Assumptions Document which serves as a snap shot of the rail industry. When it was reviewed in 2017 it was believed that by December of that year there would be a train serving Kenilworth Station. It was that assumption that guided West Midlands Trains in its bid.
2. The Franchise Competitions Team oversees the Data Room.

3. On reflection it might be better that, even allowing for the snap shot approach, certain assumptions are reviewed and fed onwards to bidders so that they are clear what they are bidding on.

Franchising

1. In the final year of an operator's franchise it is the continuing role of the DfT to oversee performance. Issues arise when a local authority that is sponsoring a new station project begins to negotiate with an outgoing operator. A possible solution is for franchise periods to transition to some extent. In the case of Kenilworth Station London Midland Trains could have been required to provide driver training after the end of the franchise. If they failed to do so then the DfT could have charged a penalty.
2. It would have been useful if the County Council had met with the DfT franchising team early on in the Kenilworth Station process. This requires a mutual understanding on behalf of the DfT and WCC.
3. WCC should also have spoken to the two bidders so that they were clear what the Council was seeking to achieve. This could have been initiated via the DfT.
4. On occasions franchises will raise objection to service proposals for no apparent reason. In these instances the issue needs to be explored. When it is any objections can usually be overcome.
5. A half hourly service is proportionately more commercially attractive than an hourly service as it encourages more people to travel by rail.
6. In Germany and the Netherlands operators serve different routes on a hub and spoke basis. This avoids line sharing by different types of service (Intercity, fast and regional).

Working Together

1. The rail industry is very fragmented but seeks to work together as much as possible. An advantage of fragmentation is that it is possible to relatively easily identify those within various parts of the organisation that can assist.
2. It is essential that from the start senior officer buy-in is achieved. Even with Government Ministers (who change regularly) it is easier to seek their assistance if they are familiar with the details of a project. It is better to start at the highest level and then cascade responsibility downwards to an operational level. If matters do need to be escalated upwards this is made easier.

3. In the case of Warwickshire for Rugby Parkway the Chief Executive of the County Council should be engaged in high level meetings early on to develop a strategic overview. This should be regarded as the “foundation meeting”.
4. It is not possible to seek to make comparisons with station projects elsewhere as the circumstances for Kenilworth were unusual.
5. It is important to understand the position of other service providers such as Cross Country. Their business decisions are, like all other train operators, based on commercial considerations. If they were to seek to change the franchise specification they would be required to pay a charge.
6. It is important to ensure that an operator like Cross Country are party to proposals. Often a scheme will be proposed, find a sponsor, secure funding and then be considered “a done deal”. It is at this time when rail operators tend to hear about them.
7. If local authorities are seen as easy to work with it is probable that any projects in their area will be regarded favourably. This is no guarantee of support though.

Freight Operators

1. Freight operators are important but can often be forgotten when considering station projects.
2. They have less engagement with the DfT as they do not operate franchises.

Funding

1. If funders are seeking to impose unreasonable timescales then the challenges to be faced in the provision of a new station and service should be made very clear. To assist in this understanding funders should be encouraged to speak to the DfT and other partners.
2. There is little point in attempting to identify and adhere to “heroic” timescales that are imposed by funding.

Rolling Stock

1. The demand for diesel units currently far exceeds availability.
2. Manufacturers are moving away from diesel construction and have little appetite for small contracts.

3. Delays in electrification on other routes have reduced through cascading of diesels into the market.
4. Looking to the future it is calculated that Rugby Parkway will require one additional electric unit.

Political Intervention

1. With capital projects such as Kenilworth Station it can be useful at times if the local MP intervene where delays are encountered. This is what local people have a right to expect from their representative.
2. It is important that they are familiar with the detail of the project.
3. Intervention by an MP will only be helpful. It will not slow down progress.
4. Generally speaking the aim of engaging the local MP is not to secure additional funding (which it is unlikely they would succeed with) but rather to combat any delays.
5. Whilst it may not be appropriate for the local MP to sit on the project convening group it is important that they are closely involved from the start.

Final Comments

1. The County Council must not expect to shift total responsibility for a rail project to its rail advisor. If that happens the advisor becomes seen as the client.
2. It is essential from the start to establish good communications between the project sponsor (WCC) and the DfT as the enabler.

3. Observations and Conclusions

This section draws on the evidence provided to the TFG. Having listened to and considered that the Group has been left with a sense of where good practice should be built on and where changes to processes should be made. Rather than attempt to build these observations into each of the preceding evidence sections it is considered best for the reader to develop a picture of the whole project so they may in turn understand its complexity and how these observations relate to each other.

A. General Observations and Conclusions

The TFG would wish to make the following general observations.

1. That the new Kenilworth Station was built and is now operational is a credit to campaigners from Kenilworth who worked to see this succeed, to Warwickshire County Council which drove the project forward and to partners in other local authorities and in the rail industry who helped to realise it.
2. The project saw a series of circumstances beyond the control of any one organisation came together to complicate matters and cause delays.
3. To many people the project appeared relatively simple. It was in fact very complex involving the introduction of an entirely new rail service for the West Midlands as well as significant infrastructure enhancements that have brought wider national benefits. That major challenges were successfully met is a credit to all involved.
4. All of the partners engaged in the Kenilworth Station project have considerable experience in the delivery of major transport projects. It is clear that they have used this experience to develop their processes and systems. Much good practice was brought to bear and lessons can be learned from this regarding its future use and development.
5. There are several elements of the Kenilworth Station project that could have been executed more effectively. The officers from Warwickshire County Council and partner organisations that the TFG have spoken to have been very keen to share their experiences and indicated a desire to learn from the exercise.
6. At a time when a number of local authorities appear to be avoiding becoming involved in rail enhancement projects because they are considered to be too difficult it is reassuring to see Warwickshire County Council affirm its commitment to new station construction.
7. No project is perfect and there are always lessons to be learned. It is hoped that the outcome from this review will be noted by all involved and that it will result in enhancements in working practices locally and nationally in the future.

B. The Hendy Review

The TFG has been interested to learn of the impact of the Hendy Review both on the rate of progress of the Kenilworth Station project and what has been delivered to date. Not only did the Hendy Review remove the possibility of twinning the track between Leamington and Coventry (a move which would have seen a solution to a major bottleneck on the national network) it also put an end to plans for electrification. As a result of the Hendy Review the Kenilworth Station project experienced a significant delay and the need to amend the details of the scheme added to its cost and complexity.

The Group has received evidence that the Hendy Review took little account of the impact of its proposals on existing and proposed schemes. This is regrettable.

The Group considers that Warwickshire County Council should write to the Secretary of State for Transport to express its concerns over the impact of the Hendy Review on the Kenilworth Station project and seek assurance that the current Williams Review will take greater account of the needs of others.

C. Governance and Accountability

The TFG has welcomed that Warwickshire County Council has in place clear governance arrangements for major capital schemes. It is also pleased to note that this system has been developed using lessons learned from previous schemes such as the Rugby Western Relief Road.

That individual officers and elected members are cited on the supporting material for governance arrangements is of benefit as it is expected that each will understand what is expected of them.

The TFG is clear on the stated remit of the Major Schemes Board and understands why it was established. However, the group has also developed a sense that only having a very high level oversight of projects could limit the Board's understanding of a project's complexity and in turn its capacity to offer assistance where necessary.

The existence of a communications sub-group under the governance structure is welcomed. However, as is noted elsewhere in this report, the attendance at meetings of that sub-group was variable throughout the life of the project. This is regrettable. Continued collaboration on communications may have assisted in the ability to convey a joint message regarding the challenges being addressed ahead of the delay in opening.

The group recognises that working relationships between all parties can be enhanced if at the commencement of a project a meeting is convened of senior officers from the partner agencies. This enables a degree of mutual understanding of roles and responsibilities and encourages a spirit of professional familiarity that promotes good communication and problem solving where difficulties are encountered. It would be of benefit if this arrangement was placed on a formal footing with terms of reference. This would reduce the chances of people not understanding what is expected of them.

The successful delivery of the new station in Kenilworth is evidence of the general effectiveness of the governance arrangements that were in place. Nevertheless, there is a sense that there may be times when the Major Schemes Board will need to involve itself at a more operational level especially when the capacity to apply leverage held by its members is required to be deployed. The Group notes that the Major Schemes Board has operated for some time but considers that its terms of reference might benefit from a review to reflect changing operating practices. This review should be undertaken by the Communities Overview and Scrutiny Committee.

It had been suggested at one point that a template for the management of major transport projects could be developed and used. However, acknowledging that no two projects are the same this was discounted. A step forward though is the current development of a project management framework which it is expected will work alongside the Council's performance management framework.

D. The Intervention Stage

The TFG is mindful of the challenges faced by Network Rail in maintaining the national rail network and meeting the expectations of so many organisations.

The TFG initially developed a sense that in terms of the strategic rail network the Kenilworth Station project might at times have seemed a minor side-issue to some partners. This was clearly not the view of Warwickshire County Council, its local partners and the people of Warwickshire and for this reason it was important to ensure that the County Council and Network Rail worked effectively together. Evidence received from Network Rail is that the Kenilworth Station project was, despite being relatively small, given as much attention and priority as other projects in the West Midlands. In addition, the TFG has learned that in order to attempt to adhere to timescales Network Rail books more track possessions than it may require. Nevertheless, it must be recognised that whilst Network Rail delivered in terms of infrastructure the nature of its work and the competing priorities it faces mean that on occasions it was not able to provide the support needed when it was needed. The County Council found itself powerless in these circumstances but at the same time recognises the task that Network Rail has on its hands. It is not easy to offer a solution to the dilemma of having plant and staff on site just when they are needed. There appear to be few if any incentives to Network Rail to ensure that it is able to meet its deadlines. If there are incentives, they are not readily apparent.

The TFG is of the view that whilst the key to effective joint working lies in communication and a mutual understanding of the challenges to be addressed there is also a need to consider whether steps should be put in place arrangements in which rail industry partners enter into binding commercial agreements to deliver their agreed outputs.

E. Change in Franchise/ Data Room/Crew Training

That a change in franchise occurred towards the end of the Kenilworth Station project added significant complications. The TFG has learned of issues with the information provided to franchise bidders by the Data Room, the limitations placed on London

Midland Trains in its final year of the franchise and the challenges faced by West Midlands Trains when it commenced the franchise and realised that the Kenilworth Station project was unable to be as advanced as they first thought, that train units had to be sourced and crews trained.

It has been suggested that a possible means of avoiding a repeat of some of these issues is to introduce a period of transition for franchises. This would ensure that the outgoing rail operator remained responsible for certain aspects of their work beyond the end of the franchise. The TFG considers that Warwickshire County Council should write to the Secretary of State for Transport suggesting this.

The issues with the Data Room do require attention. That a franchise bidder based their assumptions on a snapshot that was out of date as soon as it was created is a concern. This is not a matter that Warwickshire County Council or Kenilworth Town Council can address directly but it is felt that the lessons learned through this review should be relayed to the DfT.

F. Rolling Stock/Units

The TFG acknowledge the challenges faced daily by a train operating company such as West Midlands Trains. In the instance of Kenilworth Station, the change of franchisee only a few weeks before the Kenilworth service was due to be introduced led to further complications for the company. It is suggested that the problems faced by West Midlands Trains in obtaining rolling stock and staff at relatively short notice reflect more the national picture of the pared down condition of the rail network.

That West Midlands Trains was prepared to take risks by utilising one of its current units is to be commended especially given the emphasis placed on service reliability by those monitoring franchise performance.

It is expected that this report will be circulated within the rail industry and that those in authority will recognise that having no give in the system can add to delays to the introduction of services.

General difficulties in securing rolling stock are recognised. Efforts and negotiations to do so began in 2013, as part of the New Stations Fund submission, and involved direct discussions with the DfT, the Rolling Stock Leasing companies and individual Train Operating Companies who operated Class 153 units (e.g. GWR, Northern etc). This is not a matter that the TFG can resolve. Nevertheless, it is considered that government should be reminded of the knock-on effect that delays in infrastructure improvements eg electrification can have on other aspects of rail operation.

G. Entry into Service

Towards the end of the project, when public anticipation of the opening of the station was at its peak it is regrettable that there were a series of delays.

The Group has learned about the complications presented around M&E installation and sign-off and understands the challenges currently faced by the rail industry in this area.

The TFG is of the view that M&E planning and delivery should have been commenced earlier with contractors, sub-contractors and those responsible for sign off working more closely together. SLC Rail has proposed a series of improvements to the EIS stage. Whilst these may not be applicable in all cases the Group considers that they should be adopted by the County Council and disseminated more widely.

H. Communications

Communication around the Kenilworth Station project took two different forms. Communication between those charged with completing the project and communication with the wider public.

There is evidence that communication between partners could at times have been better. The Group has heard evidence that at times some partners felt excluded from the table. This may be down to individuals' perceptions or the result of a more deliberate decision. Whatever the cause, it is important that all parties are clear on their roles, that they are valued and that when appropriate their contributions will be sought. If partners are not engaged for a particular reason they need to understand why.

It is suggested that the key to success is the establishment of good working relationships from the start and clear communications. There is no doubt that time invested early on in a project in developing those relationships will pay dividends later on when a quick face to face meeting or phone call can get matters back on track very quickly. This is referenced earlier in this section when discussing governance.

It is clear that communication with the wider public around opening dates was well intentioned being based on the information available at the time. Nevertheless, there are clearly lessons to be learned for the future. The TFG considers that it is better to maintain a general approach to announcing opening dates rather than citing one particular day. Given the challenges that needed to be overcome at Kenilworth it was, in hindsight, ill advised to announce any particular day for the introduction of services. It is acknowledged that at some point it is necessary to announce an opening date but if circumstances result in services running prior to that date few if any people would complain. Late opening, is however, almost always guaranteed to attract criticism. Evidence suggests that had communications regarding progress been issued by all partners the likelihood of Warwickshire County Council being regarded in a negative way would have been reduced. The Group considers that recommendations are required both for the careful identification of opening dates and the need for joint communication.

I. Economic and Social Impact of Delays to the Opening and Reputational Damage –

The TFG has considered the issue of reputational damage. Certainly during the period between the completion of the station building and the introduction of services there was degree of frustration expressed by some members of the community.

In the light of the responses received to the survey questionnaire it is clear that the impact of delays to individuals has been minimal. The public questionnaire did not ask for views on how satisfied people are with the station now that it is open but with ever

increasing patronage there is a sense that any damage that may have occurred in April 2018 was short lived.

J. Learning Lessons

The TFG recognises the views of officers and specialist advisers. It is essential that all parties learn from their experiences over time. The key is to maintain this on a formal and measured footing. A logical and thorough means of recording experience and then revisiting it at the commencement of new projects is necessary.

To assist in this the TFG considers that the County Council should commit to the establishment and maintenance of a body of lessons learned evidence from infrastructure projects. This need not be an expensive exercise but it does need to be placed on a formal basis with an officer or officers charged with ensuring it is kept up to date and circulated effectively.

In order to ensure that the lessons from any project are harvested effectively the group would strongly recommend that as soon as any project is complete the key partners meet and reflect on their role in it seeking to identify elements that can be improved on. Representatives from partner agencies have agreed that this is advisable. At the time of writing this report all partners have agreed to attend a meeting, however due to full completion and sign-off not having occurred, a meeting is still to be arranged.

K. Political Intervention

The Group has learned that on occasions throughout this project it has been necessary to seek leverage from very senior individuals such as the local MP or Councillors to progress the project. There is no evidence that Kenilworth is unique in this respect. Indeed, there is a sense that national and local politicians exist to represent the interests of their constituents and should be seeking to progress major projects. It is often the case that a word with the right person can help to “oil the wheels”.

L Specific Observations Concerning Warwickshire County Council

It would be wrong if a review of the Kenilworth Station project commissioned by Warwickshire County Council did not reflect on the role of the authority in its completion. Only by doing this can lessons be learned for the future.

What went well from a County Council Perspective?

1. Building on its record of new station projects, the County Council demonstrated foresight in pursuing the Kenilworth Station project. The opening of a new station in a town required a series of challenges around land acquisition, the securing of funding and planning permissions. To secure a brand new service required investment in good partnership working with a range of rail agencies. Being a third party agency added a further dimension to the project.
2. The County Council demonstrated that it had learned from past projects and that it adheres to good practice in terms of project management.

3. The governance arrangements (major boards and sub groups) are effective and were well supported by officers. The operational level meetings with partners to oversee the day to day delivery of the project were effective. (But see below).
4. The governance arrangement in relation to the commercial/contract management was very effective, incorporating lesson learned from previous projects.
5. That the station has come in on budget reflects well on the project's financial /contract management.
6. The County Council clearly worked well with its specialist rail adviser and recognised the benefits its rail adviser brings to the project.
7. The consultation and engagement with the public played a key role in the design choice and provided links to the original station.
8. Local County Councillors played a key role in gathering support for the project.
9. The project engaged with the community and residents in relation to the development especially given the challenge of being a town centre location. Consideration was also given to the audiences involved and the communication channels used.

What went less well from a County Council Perspective?

1. Although it had and generally adhered to a communications strategy, communication of progress and opening dates should have been managed more effectively. It would have been better if the County Council had:
 - a) been much clearer in explaining the complexity of the project and the nature of the service to be provided.
 - b) emphasised that most elements of the project were reliant on partner agencies delivering on time.
 - c) been less prepared to broadcast specific forecast opening dates. On reflection a more general opening date should have been announced.
2. There is evidence that whilst lessons are learned from past projects an enthusiasm to engage with the next scheme meant that no formal approach was adopted to revisit the lessons of the past.
3. Recognising the current terms of reference of the Major Schemes Board it appears that greater clarity needs to be given to its governance role on major infrastructure schemes. This is not a criticism of the individuals involved but more an observation on the role of the Board.
4. The Council should have recognised the value of convening a meeting of senior officers from all agencies at an early stage of the project. By building relationships at a high level open and frank conversations could have been held where problems were encountered.



The First Train 30 April 2019

4. Recommendations

Future Rail Reviews

1. That the Leader of Warwickshire County Council should write to the Secretary of State for Transport requesting that future reviews take greater account of the needs of local authorities and partners in rail enhancement projects. This should particularly draw attention to the financial and social impact that changes in policy can have on on-going projects.

Learning Lessons

2. That the current practice of holding a “Lessons Learned” session on the completion of every major transport project, where considered appropriate involving all partners (including relevant elected representatives) be continued and that messages resulting from that session be published and circulated widely.
3. That given its track record of successful delivery of new stations Warwickshire County Council commits to the ongoing maintenance of a body of evidence regarding past major transport projects and lessons learned from them.
4. That at the inception of any major transport projects the Project Manager convenes a short life working group comprising council officers and members and other partners to review lessons learned from previous projects undertaken in Warwickshire and elsewhere

Governance

5. That, as is already the practice, at the commencement of a major transport scheme (once partners have been appointed/ identified) a meeting be convened by officers of Warwickshire County of senior representatives from those agencies involved to develop a mutual understanding of the project’s objectives and of roles and responsibilities. The meeting should be accompanied and guided by clear terms of reference placing it on a formal footing.
6. That the terms of the reference for the Major Schemes Board be reviewed by the Communities Overview and Scrutiny Committee with consideration being given to how it can offer support to others in the governance structure when greater authority is required to be used.

The Intervention Stage

7. That, recognising limitations on resources, the Leader of the Council writes to the Secretary of State for Transport with a request that consideration be given to ways in which rail industry partners enter into binding commercial agreements to deliver their agreed outputs.

Funding

8. That the Leader of the Council be asked to liaise with the Coventry and Warwickshire Local Enterprise Partnership (and other funding providers) to explain the negative effect that the application of very tight and rigid funding timescales can have on effective project management.
9. That during negotiations regarding funding partners who will be involved in project delivery be invited to liaise with fund holders to establish a common understanding of the challenges around timescales.

Communication

10. That from the commencement of a major transport project its nature and complexity and the reliance by partners on each other should be made explicit in all internal and external communications.
11. From the outset communications should be clear regarding the extent of the scheme, the services it will offer and the benefits it will bring. These messages should be repeated throughout the life of the project build.
12. That so far as is practicable all communications to the media and to communities be produced and broadcast collectively by all partners.
13. That whilst being honest and transparent completion dates for major transport schemes should be indicative only – as with the delivery of Highway Projects. This should be made clear in all communications.

Entry into Service

14. That consideration be given to the adoption of the improvements to the entry into service process as suggested by SLC Rail. These are:
 - The appointment of an EiS Manager who will have overall responsibility to deliver the EiS element of the works needs to be identified & resourced in the early stages of GRIP 5 to assist the Project PM.
 - Resource planning templates to be further developed and included with milestone prompts to identify the increased workload towards EiS
 - EiS needs to be on the project agenda earlier, ideally reflecting in early GRIP Stage PMP's
 - The project Design Manager needs to be aware of all 'EiS engineering deliverables' so they are readily populated in a specific EiS project folder as they are approved through GRIP Stage 5 and 6
 - Production of an EiS Strategy reflecting stakeholders for each element of the phased programme that do not necessarily have a NR concern, an example of this could be the local highways

- Seek to have phased hand-over for practicable completion where practicable
- Appointment of an Engineering Safety Manager
- Have EiS included early in to the stakeholder agenda's so stakeholders plan and provide the resource necessary for their responsibilities
- Identify named individuals from the key stakeholders responsible for EiS interface, this should also include the Principal Contractor
- Ensure EiS robustly shown in Employers programme so all parties are aware of the timescales and critical activities to ensure a smooth EiS
- Plan EiS to occur as defined activity within GRIP Stage 7, after successful conclusion of GRIP Stage 6 Inc. all testing, commissioning, training and certification thus project resources working on just GRIP Stage 7 deliverables
- Contractor programmes to reflect specific EiS deliverables required e.g. so delivered earlier in proceedings

Data Room

15. That the Leader of Warwickshire County Council writes to the Secretary of State for Transport highlighting the difficulties the “snap shot” approach currently used by the Data Room can present to franchise bidders and the issues it presented to the current train operator in terms of its preparedness to operate trains to Kenilworth.

Political Intervention

16. That as is current practice, from the early stages of a major transport project local MPs and Councillors be fully briefed by partners on its detail, both in terms of business case and potential challenges.

Changes in Franchise

17. That in order to reduce disruption to evolving rail projects the Leader of the Council writes to the Secretary of State for Transport asking that consideration be given to the introduction of a period of transition when rail franchises change.

Appendices

- A TFG Terms of Reference
- B Projects Supported by the New Stations Fund
- C Project Timeline
- D Full results of public survey
- E Glossary

Terms of Reference

Review Topic	Kenilworth Railway Station Review
Task and Finish Group Members	<p>John Bridgeman CBE – Chair</p> <p>Warwickshire County Council - Councillors Richard Chattaway (L), Alan Cockburn (C), Bill Gifford (LD), Wallace Redford (C), and Adrian Warwick (C)</p> <p>Kenilworth Town Council - Councillor Michael Coker</p>
Key Departments	Communities Directorate – Transport and Economy
Support Officers	<p>Paul Williams – Democratic Services Team Leader</p> <p>Ian Marriott – Corporate Legal Service Manager</p> <p>Margaret Smith – Senior Transport Planner</p> <p>Industry Expert (external)</p>
Timescales/ completion	Anticipated timescale of circa 3 months – with the aim of reporting to autumn cycle of committee meetings as appropriate.
Rationale (Key issues and/or reason for doing the review)	<p>Kenilworth Station opened to the public on 30th April 2018. The original anticipated opening date following confirmation of funding was December 2016. There were a series of revisions to the opening date for a variety of reasons. The delivery of this project generated local interest from members of the public and the media. Concern has also been raised by elected members about the revisions to the opening of the station to the public. This issue was raised at full Council on 20 March 2018 when the Leader confirmed that a Task and Finish Group would be established to look into the issues which have impacted on the timescale for the opening of the station.</p> <p>The remit of this Task and Finish Group is therefore to explore what factors influenced the opening date and to identify what lessons can be learnt for future rail projects.</p> <p>The work of this review supports the following Council priority: <i>To ensure that Warwickshire's economy is vibrant and supported by the right jobs, training and skills and infrastructure.</i></p>
Objectives of Review (Specify exactly what the review should achieve)	The review should seek to make recommendations for consideration by the Communities OSC and then to be submitted to Cabinet as appropriate, and/or other relevant partners and decision makers, concerning the approach to developing and managing the delivery of rail projects to specified timeframes including lessons learnt and areas for improvement for future similar schemes

<p>Scope of the Topic (What is specifically to be included/excluded)</p>	<p>The following is <u>included</u> in the scope of the review:</p> <p>The remit of this Task and Finish Group is to explore the process leading to the opening of the Kenilworth Railway Station and to identify what lessons can be learnt for future rail projects focusing on the following themes;</p> <ul style="list-style-type: none"> (i) Project design and sign off and reasons for/impact of subsequent changes (ii) Project planning and project management arrangements (iii) Project delivery and sign off and the foreseeability of any complications during implementation (iv) Partnership working arrangements, the role of different agencies and their industry processes and any associated impact on project delivery (v) The social and economic impacts of the revised opening date <p>The following falls outside the scope of the review and will be <u>excluded</u>:</p> <ul style="list-style-type: none"> ➤ Funding arrangements for the Kenilworth Railway station ➤ Contractual and/or other agreements which remain the subject of negotiation
<p>How will the public be involved?</p>	<p>The Task and Finish Group will engage with the local community primarily through the Kenilworth Town Council</p>
<p>Which partners could be involved?</p>	<p>Potential for the following groups to be consulted / give evidence:</p> <ul style="list-style-type: none"> • SLC Rail (WCC's rail consultants) • Network Rail • Department for Transport (rail section) • West Midlands trains – train operator • Office of Rail and Road
<p>What primary / new evidence is needed?</p>	<ul style="list-style-type: none"> • Details and background of scheme • Project Delivery Plan • Project management and governance arrangements • Documentation supporting project sign off • Officer /Councillor/ Partner views on the delivery of the project • A list of interested parties/ partners and respective roles • Other to be identified during technical evidence gathering stage

<p>What secondary / existing information will be needed? (i.e. background information, existing reports, legislation, central gov reports)</p>	<ul style="list-style-type: none"> • Network Rail / DfT rail procedural guidance (GRIP) – extracts as relevant • Evidence of WCC’s experience of previous rail projects • Relevant reports / research / guidance on delivery of rail projects nationally – to be researched • Other to be identified during technical evidence gathering stage
<p>Indicators of Success (What factors would tell you what a good review should look like? What are the potential outcomes of the review e.g. service improvements, policy change, etc?)</p>	<p>The review will conclude by presenting realistic, evidenced based and well-reasoned recommendations to decision makers, together with a persuasive narrative that supports the changes proposed. Any recommendations with financial implications should identify potential funding streams accordingly.</p> <p>The review will be successful if lessons learned can be identified so that improvements can be made to the future design and delivery of rail projects.</p>

Projects Supported by the New Stations Fund

The New Stations Fund was set up to provide £20m towards the cost of building new stations to help give communities improved access to rail services in England and Wales. The funding was distributed through a competition, giving all promoters of new stations meeting the conditions an equal opportunity of securing a funding contribution. The first competition period ran from 24 January 2013 to 25 February 2013. A cross-industry awards panel met to consider all applications received by the closing date and selected five projects:

- Pye Corner, Wales – opened 14 December 2014
- Newcourt, Exeter – opened 4 June 2015
- Lea Bridge, London – opened 16 May 2016
- Ilkeston, Derby – opened 2 April 2017
- Kenilworth, Warwickshire – opened

The following is a summary of each of the projects (other than Kenilworth).

a) Pye Corner, Newport, Wales



Pye Corner Station on the Ebbw Valley Line between Rogerstone and Cardiff is an element in the ongoing development of an integrated transport network plan for South East Wales. Costing £1.9 million, the new 145m single platform station includes a car park with spaces for 62 cars, cycle parking and footpath access. The station was jointly funded by the Welsh Government and the New Stations Fund.

b) Newcourt Station, Exeter



Newcourt Station was the first station to open in Devon in over 20 years. Costing £2.2m it was originally expected to cost £1.5m but unforeseen additional work such as the replacement of signalling equipment and accessibility requirements at new stations pushed up the price. In addition increased land costs and rail industry costs were reportedly under estimated. The station comprises a single platform station at Newcourt. It is aimed at mitigating the impacts of the Newcourt development at the already congested road junctions of Countess Wear and junction 30 of the M5 to the south of Exeter.

c) Lea Bridge Station, London



Lea Bridge Station, located in Leyton, East London is not a new-build. It is a re-build, opened on 16 May 2016. Lea Bridge is situated on the line between Bishops Stortford and Stratford and offers six-minute journeys to Stratford and Tottenham Hale.

The cost of the project was 11.6m. £5m was provided by Waltham Forest Council, £1.1m from the New Station Fund and £5.5m from S106 monies.

The project did not encounter any major problems possibly owing to its status as a former station with stopping rail services already running on the line.

d) Ilkeston Station Derby



The Derbyshire town of Ilkeston, population 38,640, was at one time labelled “England’s largest town on a passenger railway line without a railway station”. In 2013 Derbyshire County Council developed a business case and submitted a bid to the New Stations Fund. The bid was founded on the premise that a new station on the site of the old Ilkeston Junction station could cut commuter times into Nottingham, open up job opportunities along the line for people living in the town and help boost the town’s economy.

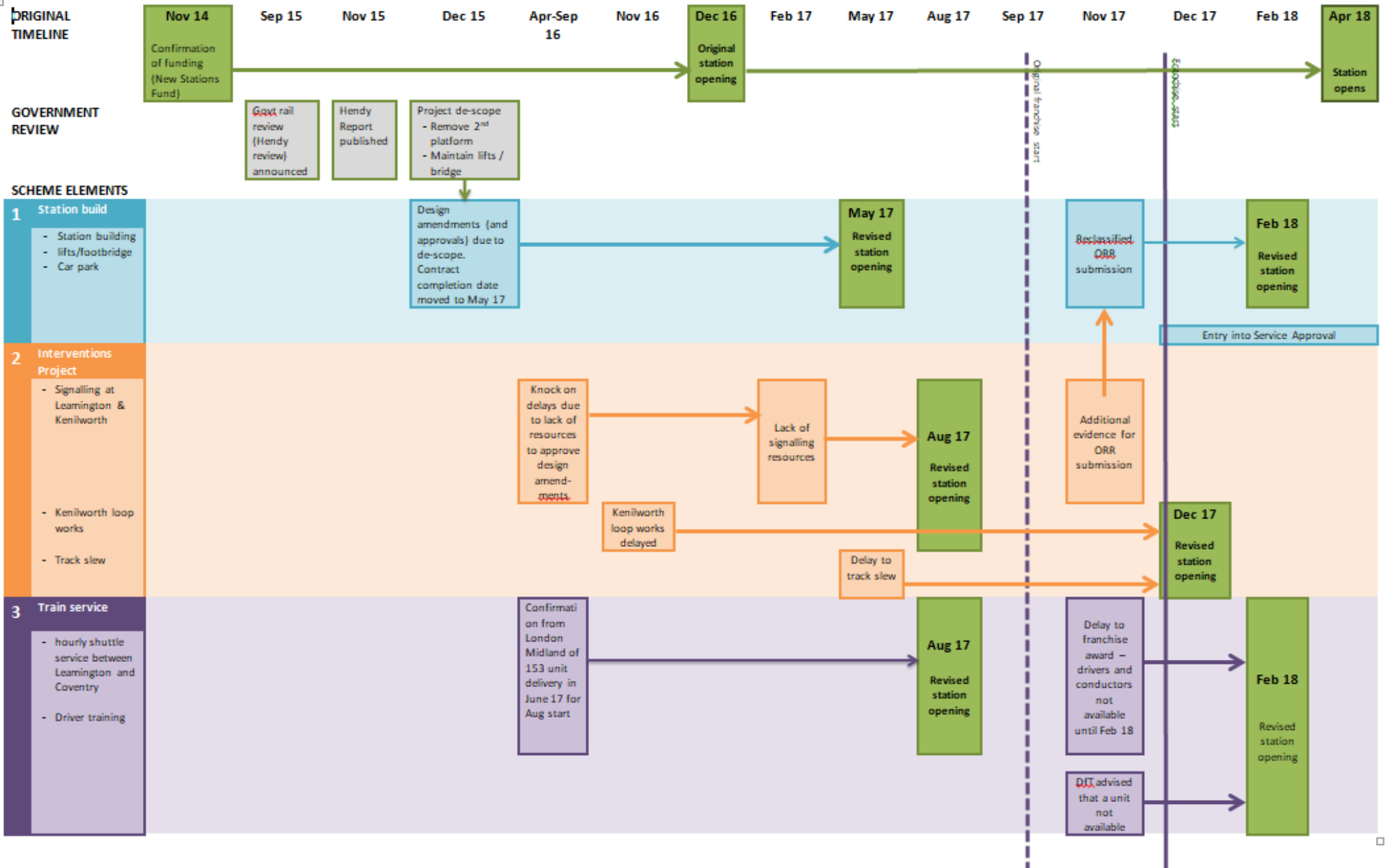
Site investigation was undertaken which resulted in the discovery of Great Crested Newts. There were also flooding concerns and the station had to be de-scoped to avoid work in the flood plain. Mine workings beneath the platform and bridge structures needed to be stabilised prior to their installation. Bores were drilled at three-metre centres and 24 metres deep.

Funding was sourced as follows. £2.26 million from Derbyshire County Council, £6.674 million from New Stations Fund and £1 million contributed by Nottingham Housing Market Area.

Northern Rail operate the main train service hourly between Nottingham, Sheffield and Leeds. East Midlands Trains are the station operator. The 100-metre platforms are the length of a four-car Class 158 train, or can be used by a five- car Meridian if it is stopped precisely.

160,000 passengers a year are expected to use the new station initially, rising to 250,000 over time. A commute to Nottingham takes 15-20 minutes, as opposed to 40-60 by road, with similar time-savings to Sheffield.

Kenilworth Station – Timeline of Key Decisions and Programme Delays



Kenilworth Station Review – feedback from public engagement

1. Purpose of public engagement

- 1.1 As part of the Kenilworth Station review, the Task and Finish Group agreed to undertake engagement with the public. The purpose of the public engagement was three-fold:
- to gain information about how rail users found out about the station project, including keeping up to date with station delivery progress;
 - to establish to what extent the delayed opening of the station impacted on the public and to understand the nature of this impact;
 - to gain information around usage of the new station.

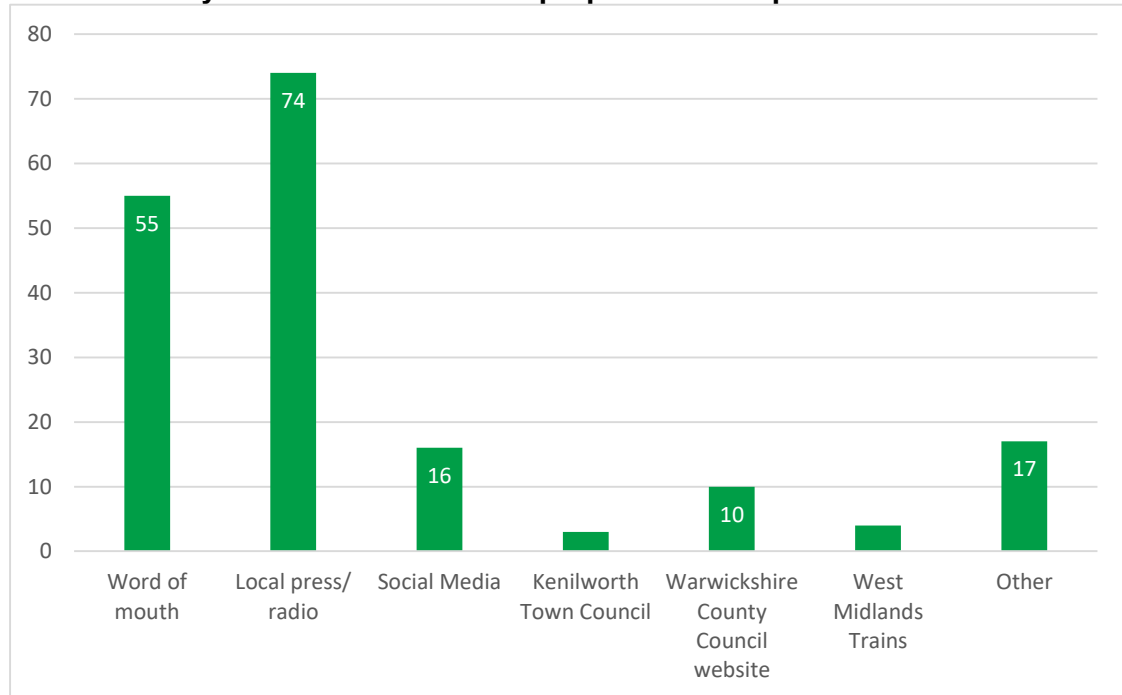
2. Method of engagement

- 2.1 The method of engagement was via a questionnaire survey distributed to rail users at Kenilworth Station over the period 1 October – 19 October 2018. Copies of the questionnaire were also available at Kenilworth library. As the focus of the WCC Communications activity for Kenilworth Station focused on the town itself, it was decided not to distribute the questionnaire more widely to destinations served by the new shuttle service (Leamington Spa and Coventry rail stations).
- 2.2 Participants could return their completed questionnaires to the Community Ticket Office at Kenilworth Station or Kenilworth library. Alternatively, participants could send their questionnaires to the County Council offices in Warwick using a freepost address included within the questionnaire survey.

3. Summary of Responses

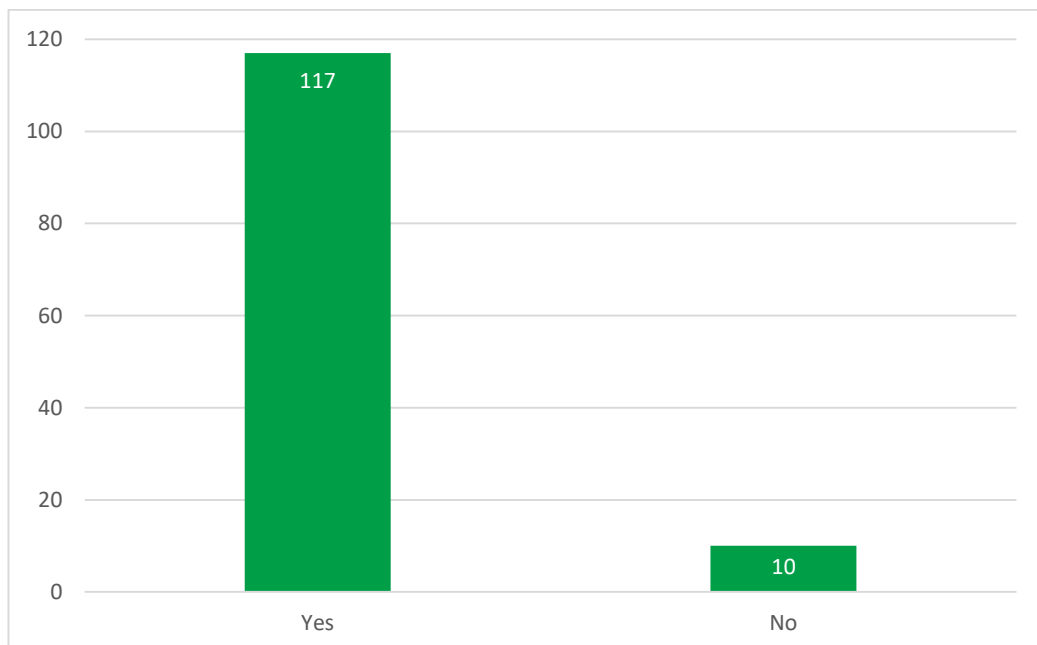
- 3.1 In total, 129 completed questionnaires were received. A summary of the responses to each question is provided below.

Q1. How did you find out about the proposal to re-open Kenilworth Station?



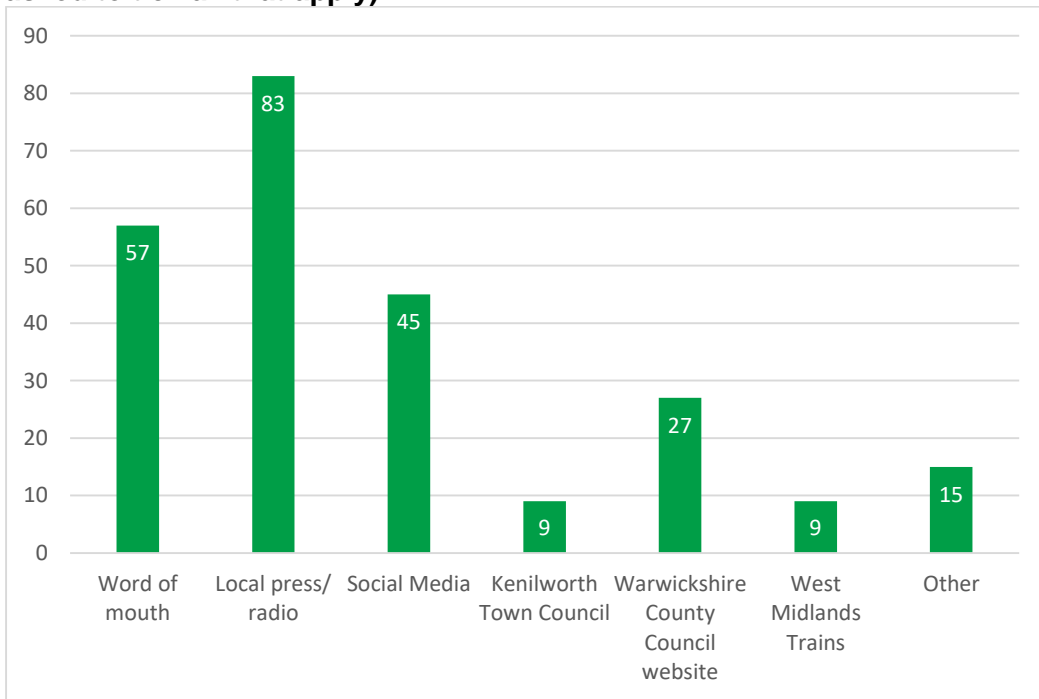
The local press or radio (41%/74 responses) was the most common way of finding out about the proposal to re-open Kenilworth Station, followed by word of mouth (31%/55 responses).

Q2a. Did you keep up to date with progress on the station's delivery?

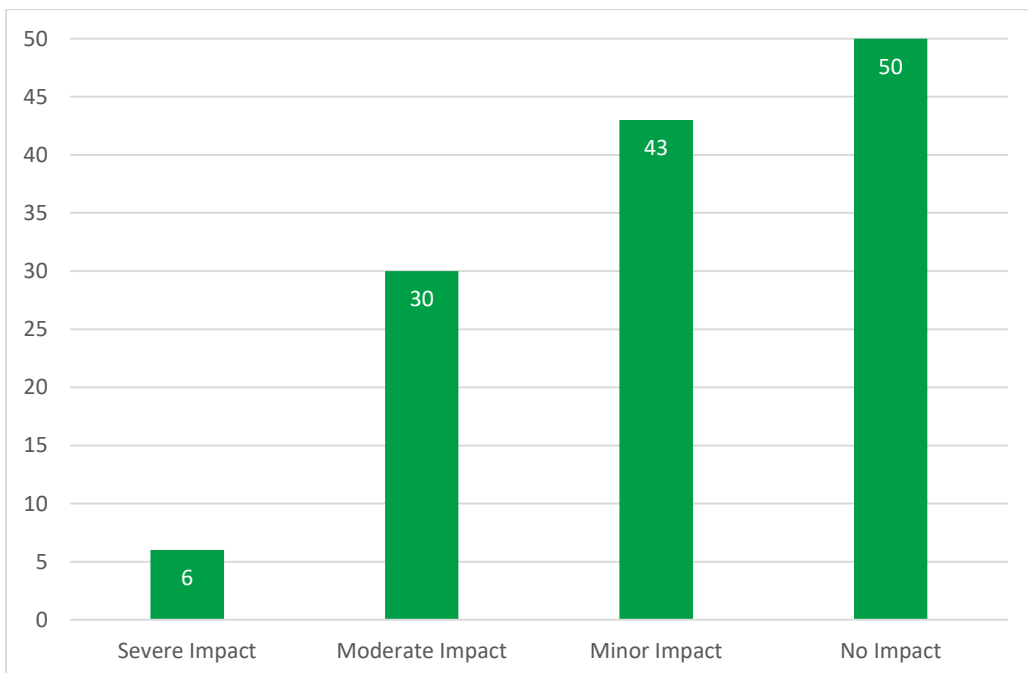


The majority of respondents (over 90%/117 responses) kept up to date with the station's delivery. The local press/radio was the most common way of keeping up to date (34%/83 responses), followed by word of mouth (23%/57 responses), social media (18%/45 responses) and Warwickshire County Council's website (11%/27 responses).

Q2b. If yes, what source(s) of information did you use? (Respondents were asked to tick all that apply)



Q3. To what extent did the delayed station opening impact on you?



No impact / minor impact

72% of respondents (93 responses) indicated that the delayed station opening had no impact or a minor impact on them. The description of minor impacts are summarised below:

- More convenient way to travel / couldn't use trains (9 responses);
- Increased cost of commute (7 responses);
- Deferred journeys / changed plans (7 responses);
- Continued to use bus service (5 responses);
- Continued to use other stations (3 responses);
- Had to use car (2 responses);
- Annoying / disappointed (2 responses);
- Showed up local authority (1 response);
- Not knowing reason for delay (1 response);
- Wasn't there before so limited impact (1 response);
- Risk of losing interest / support for project (1 response).

Moderate impact

Just under a quarter of respondents (23%/30 responses) stated that the delay had resulted in a moderate impact. The description of moderate impacts are summarised below:

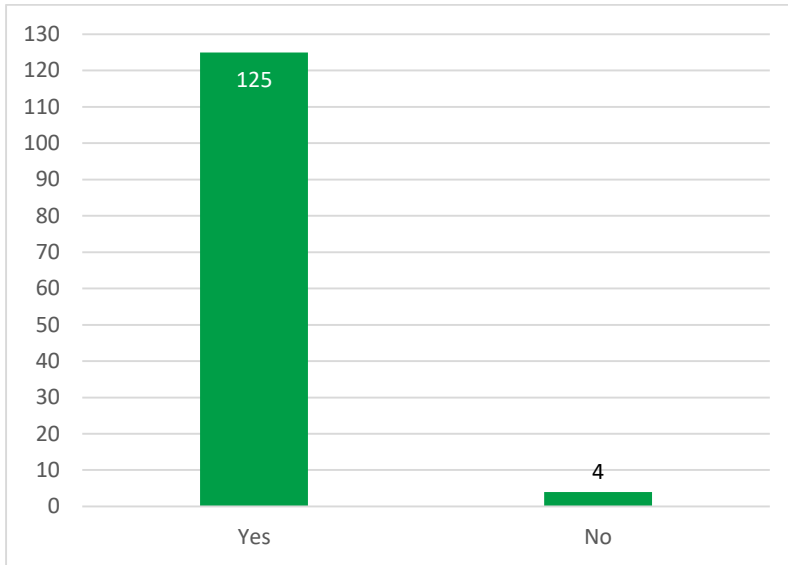
- Increased cost of commute (11 responses);
- Unable to travel by train (5 responses);
- Continued to use bus service (5 responses);
- Deferred journeys / plans had to be changed (4 responses);
- Nuisance / frustrated by wait (3 responses);
- Had to use other stations (1 response);
- Had to drive (1 response);
- Couldn't progress in job (1 response);
- Couldn't use for school or to see friends (1 response).

Severe impact

Just under 5% of respondents (6 responses) stated the impact of the delayed station opening was severe. The description of severe impacts are listed below:

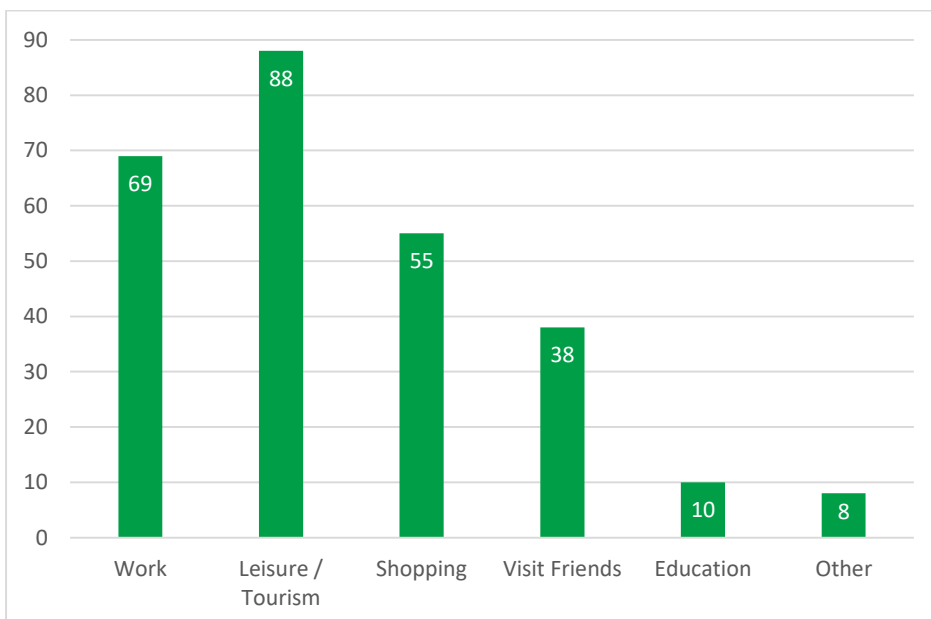
- Purchased a rail card to be used in February. Due to delay this went unused for several months. Had to use bus services to get to work which cost more money (1 response);
- Had to use car for commute (1 response);
- Missed last bus and had to get a taxi a number of times (1 response);
- Continued to use the bus service (1 response);
- Couldn't travel by train to Coventry. Had to take a 45minute bus journey (1 response);
- Now it's opened, missing connecting trains to Nuneaton and Coventry (1 response).

Q4. Have you used the new station?

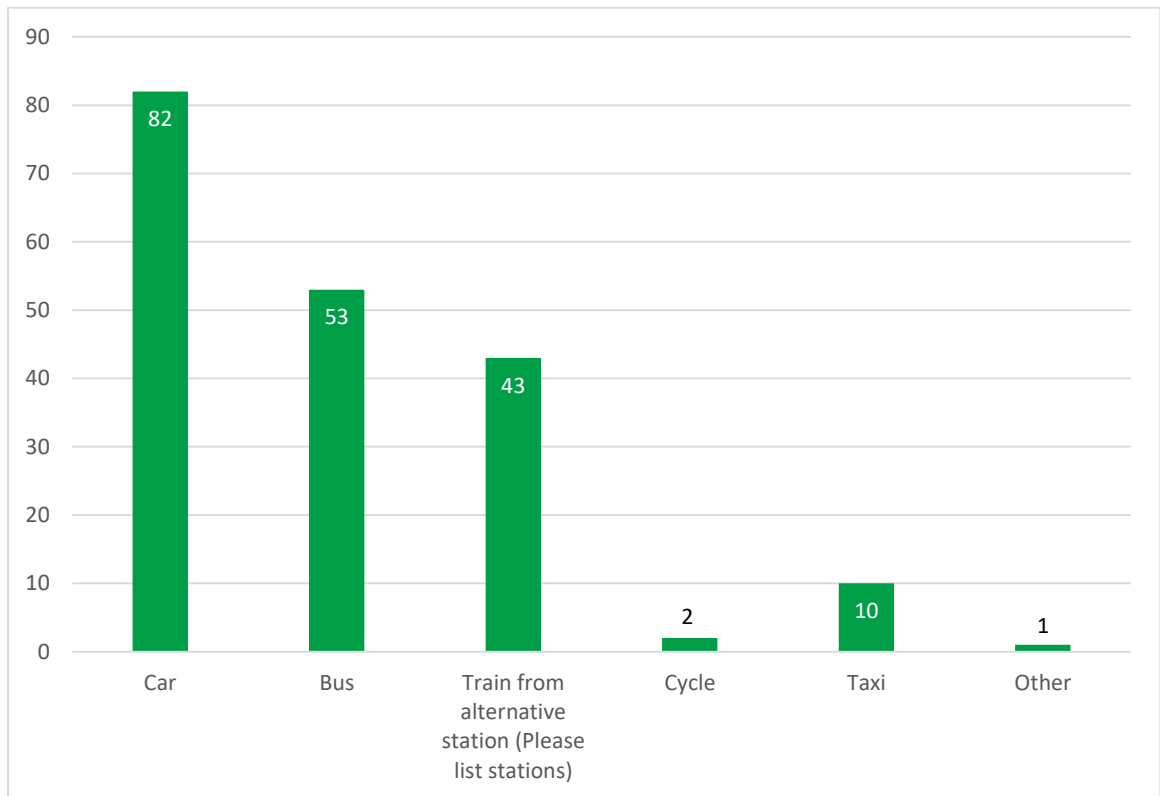


Nearly all respondents (97%/125 responses) have used the new station. The most common journey purpose is for leisure/tourism (32%/88 responses), followed by work (26%/69 responses) and shopping (21%/55 responses).

Q5. For what purpose have you used Kenilworth Station? (Respondents were asked to tick all that apply)



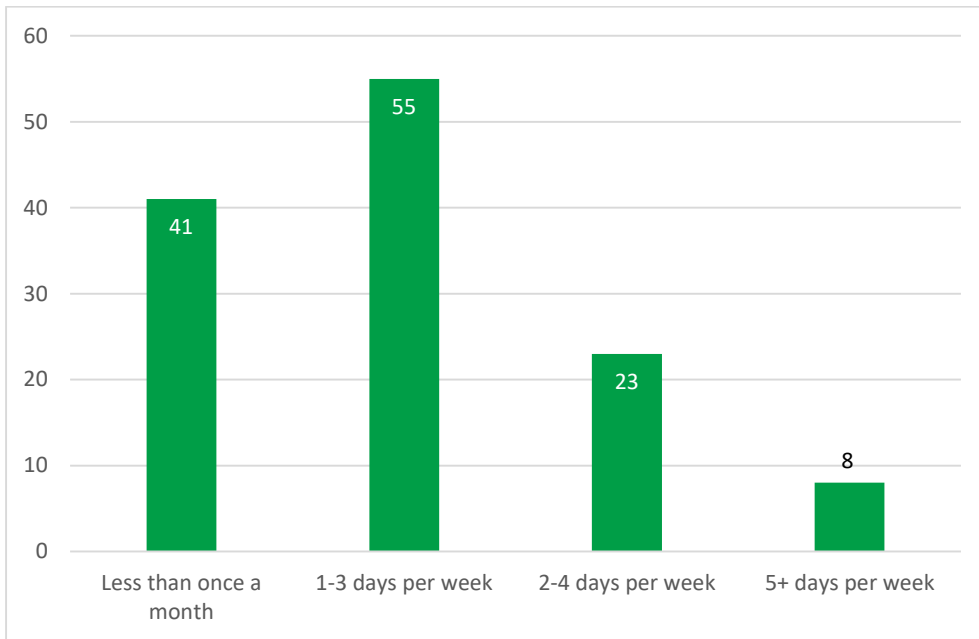
Q6. How did you make this journey before Kenilworth Station was re-opened?



The majority of respondents (43%/82 responses) previously made their journey by car. A significant transfer has also been made from bus travel (28%/53 responses) and transfer from nearby rail stations (23%/43 responses). Railheads used prior to Kenilworth Station re-opening include:

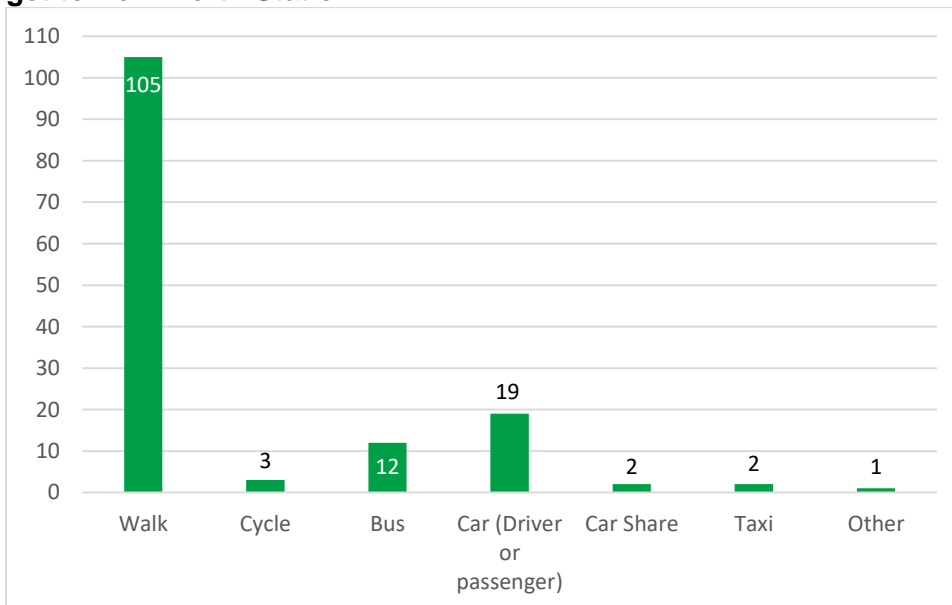
- Coventry (20 responses);
- Leamington Spa (11 responses);
- Warwick Parkway (10 responses);
- Tile Hill (6 responses).

Q7. How often do you use Kenilworth Station?



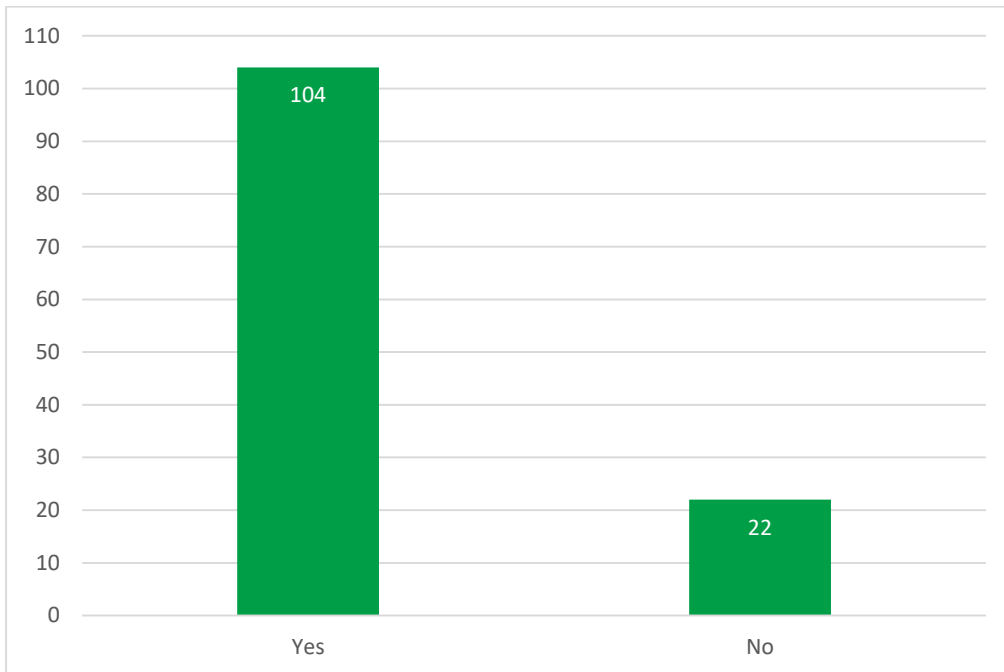
The majority of respondents use Kenilworth Station on a frequent basis, with two thirds (86 responses) travelling 1-3 days per week or more (43% travel 1-3 days per week, 18% travel 2-4 days per week and 6% travel 5 or more times per week). A third of respondents (41 responses) use the station less than once per month.

Q8. If starting your journey in Kenilworth, what is your usual travel method to get to Kenilworth Station?



There is a high walk up demand for Kenilworth Station, with almost three quarters of responses stating this mode as their usual travel method to get to the station (105 responses). Access by car is listed in 13% of responses (19 responses), with bus travel making up 8% of responses (12 responses).

Q9. Are you aware of the new bus service serving Kenilworth Station?



The majority of respondents (83%/104 responses) are aware of the new bus service serving Kenilworth Station.

APPENDIX E - Glossary

Abellio

Abellio operates public transport services in Europe, with both bus and rail networks. It was founded as NedRailways in 2001, before being renamed Abellio in October 2009. Abellio is wholly owned by the Dutch national rail operator Nederlandse Spoorwegen. Abellio is part of a consortium with JR East and Mitsui which operate West Midlands Trains the franchisee that serves Kenilworth Station.

Cascade of Train Units

Each item of rolling stock is leased by a train operating company from a train leasing company. In the UK there is very little spare capacity in terms of rolling stock availability. Where new services are to be introduced (such as with Kenilworth Station) stock has to be secured. If new stock is not required, then stock used elsewhere is cascaded down. It was expected that electrification would free up diesel stock. However, the Hendy review reduced the length of line to be electrified and so reduced the opportunities to redeploy diesel stock elsewhere.

CDM- Construction Design Management

The Construction Design and Management Regulations 2015, also known as CDM Regulations or CDM 2015, which came into force on 6 April 2015, are regulations governing the way construction projects of all sizes and types are planned. CDM 2015 is the latest update to the regulations that aim to improve the overall health, safety and welfare of those working in construction. These regulations offer a very broad definition of what construction works are - everyone involved in a construction project, including home maintenance and improvement works, has responsibility for health and safety.

CE- Compensation Event

Compensation events (CE) are the terminology used in NEC3 contracts to cover variations, loss and expense and extensions of time. A CE deals with the entire effect of an event on time and money. The contract will specify which events are compensation events.

CIS Screen- Customer Information System

A Customer Information System (CIS) is an automated system for supplying users of public transport with information about the nature and state of a public transport service, through visual, voice or other media. They are also known as Passenger Information Systems and Operational Information Systems. Among the information provided by such systems, a distinction can be drawn between:

- **Static** or schedule information, which changes only occasionally and is typically used for journey planning prior to departure.
- **Real Time information**, derived from automatic vehicle location systems, which changes continuously as a result of real-world events and is typically used during the course of a journey (primarily how close the service is running to time and when it is due at a stop, but also incidents that affect service operations, platform changes etc.).

Control Period

Network Rail Control Periods are the 5 year timescales into which Network Rail works for financial and other planning purposes. Each control Period begins on 1 April and end 31 March to coincide with the financial year.

Common Safety Methodology (CSM)

The starting point for anyone proposing any change in relation the mainline railway system is the CSM. The CSM applies when any technical, operational or organisation change is being proposed to the railway system. A person making the change needs to firstly consider if a change has an impact on safety. If there is no impact on safety, the risk management process in the CSM need not be applied and the proposer must keep a record of how it arrived at its decision.

Data Room

Data rooms are spaces used for housing data, usually of a secure or privileged nature. They can be physical data rooms, virtual data rooms or data centres. They are used for a variety of purposes, including data storage, document exchange, file sharing, financial transactions, legal transactions, etc. Traditional data rooms are a physically secure continually monitored room, which bidders and their advisers will visit in order to inspect and report on the various documents and other data made available.

DRN - Design Review Notice Period

A Design Review Notice is a process whereby designs are submitted to Network Rail for comment and approval.

Entry into Service

In order for the station and the facilities to be taken into service and used by the public, the rail industry conducts an Entry into Service approval process before an official handover can take place. On-site inspections are carried out by specialist project engineers from a range of disciplines (civils, mechanical & engineering, telecoms) to assess the new asset for safe functional operation.

EWN- Early Warning Notice

An early warning notice is used during the contract period where there could be a change to the original contract specification. Contracts have a very clear, simple, but critical process for 'early warning'. The contractor and project manager are expected to notify each other of any matter which could affect the cost, completion, progress or quality of the project.

The early warning process is simple in principle and critical to the success of contracts and facilitating a **spirit of mutual trust and cooperation**.

GRIP Stages

Governance for Railway Investment Projects (GRIP) is a management and control process developed by Network Rail for delivering projects on the operational railway. GRIP was developed to minimise and mitigate the risks associated with projects to enhance or renew the operational railway and projects in a high street environment. It is based on best practice within industries that undertake major infrastructure

projects and practice recommended by the bodies including the Association of Project Management (APM and the Chartered Institute of Building (CIOB)).

GRIP is product rather than process driven and divides projects into eight distinct stages:

1. Output definition.
2. Feasibility.
3. Option selection.
4. Single option development.
5. Detailed Design.
6. Construction test and commission.
7. Scheme hand back.
8. Project close out.

Formal reviews examine the project at critical stages in its lifecycle to provide assurance that it can successfully progress to the next stage.

Hansford Review

Professor Peter Hansford of University College London was commissioned by the Board of Network Rail to undertake an Independent Review of 'contestability' in the UK Rail Market, with the intent of "Encouraging Third Party Investment and Infrastructure Delivery on the National Railway". The Review considered opportunities for innovation and the use of alternative project delivery models on Britain's rail network, and explore the barriers that prevent or discourage third parties from investing in, and delivering, rail infrastructure projects. The review report was published in July 2017.

Hendy Review/Report

Undertaken by Sir Peter Hendy (Chairman of Network Rail) this review and resultant report focused on investment into the rail network. In reviewing projects, it was concluded that a number were running over time and over budget.

Interventions Work

The Interventions Work in relation to the Kenilworth Station project relates to the trackside works required to improve the rail infrastructure to deliver the new service e.g. moving the track (track slew) and installation of the new signalling.

Kenilworth Loop

A length of twin track forming a passing loop to the north of Kenilworth Station.

LEP- Local Enterprise Partnership

Local Enterprise Partnerships (LEPs) are voluntary partnerships between local authorities and businesses set up in 2011 by the Department for Business, Innovation and Skills to help determine local economic priorities and lead economic growth and job creation within the local area. They carry out some of the functions previously carried out by the Regional Development Agencies which were abolished in March 2012.

London Midland Trains

The former operator of local services between Leamington and Coventry. In late 2017 the franchise changed to West Midlands Trains.

Mott MacDonald

The Mott MacDonald Group is a consultancy with headquarters in the United Kingdom. It employs 16,000 staff in 150 countries. Mott MacDonald is one of the largest employee-owned companies in the world. It was established in 1989 by the merger of Mott, Hay and Anderson with Sir M MacDonald & Partners.

Network Rail

Network Rail is the owner and infrastructure manager of most of the rail network in the UK. It is an arm's length public body of the Department of Transport with no shareholders. Network Rail was a major partner in the Kenilworth Station project.

Network Rail Sponsor

The officer employed by Network Rail who provides a crucial link between agencies promoting rail projects and those in Network Rail who will undertake infrastructure work.

New Stations Fund

A £20m fund towards the cost of building new stations is helping give local communities improved access to rail services in England and Wales.

The funding is distributed through a competition, giving all promoters of new stations meeting the conditions an equal opportunity of securing a funding contribution.

Primavera P6

A project management tool.

Prince 2 (Project Management)

PRINCE2 (PRojects IN Controlled Environments) is a structured project management method and practitioner certification programme. PRINCE2 emphasises dividing projects into manageable and controllable stages. It is adopted in many countries worldwide, including the UK, western European countries, and Australia. Warwickshire County Council uses Prince 2 principles for many of its major projects.

Rail Franchise

Passenger rail franchising is the system of contracting out the operation of the passenger services on the railways of Great Britain to private companies through a system of franchising. The system was created in the 1990s as part of the privatisation of British Rail and involves franchises being awarded by the government to train operating companies through a process of competitive tendering. Franchises usually last for a minimum of seven years.

SLC Rail

Formed in 2009 SLC is a consultancy firm that provides guidance and advice on the development of new rail stations for third parties outside of Network Rail. SLC Rail were commissioned by Warwickshire County Council to assist in the delivery of Kenilworth Station.

Track Slew

Where rail track is realigned by slewing from one side to another. In the case of a new station this ensures that the track is the correct distance from the platform.

Train Operating Company

A train operating company (TOC) is a business operating passenger trains on the railway system of Great Britain under the collective National Rail brand. TOCs have existed since the privatisation of the network under the Railways Act 1993.

There are two types of TOC: most hold franchises let by the government, following bids from various companies, to operate services on certain routes for a specified duration, while a small number of open access operators hold licences to provide supplementary services on chosen routes. These operators can run services for the duration of the licence validity.

The term is also sometimes used to describe companies operating passenger or freight rail services over tracks that are owned by another company or a national network owner.

West Midlands Rail Executive

West Midlands Rail Executive (WMRE) is a municipally owned corporation which was formed to manage rail transport policy in the West Midlands. It is jointly owned by a partnership of 16 local authorities. Established in December 2017, WMR has joint responsibility for overseeing rail services running within the region along with the Department for Transport, a central government department. In particular, it oversees the operations of the train operating company West Midlands Trains.

West Midlands Signalling Centre

A state of the art installation at Saltley to the north of Birmingham City Centre. The facility enables service models to be trialled before putting them into operation.

153 Unit

A single car diesel unit first produced in the early 1990s

Cabinet

14 February 2019

Business Rates Retention Reform and A Review of Local Authorities' Relative Needs & Resources – Responding to the Government's Consultation

Recommendations

That Cabinet:

- 1) Comments on the proposed principles that should underpin the Council's response to the consultation papers, as outlined in Section 2, and approve their use in drafting the County Council's response to the Government's consultation papers.
- 2) Agrees the County Council's approach on the formal response to the consultation papers attached at **Appendix A** and **Appendix B**, as explained in Section 3.2.
- 3) Authorises the Assistant Director – Finance & ICT in consultation with the Joint Managing Director (Resources) to make any final amendments needed to the response, in line with agreed principles, before it is submitted to reflect any late information.
- 4) Authorises the Assistant Director – Finance & ICT in consultation with the Joint Managing Director (Resources) to use a similar approach for any future consultations on the Fair Funding Review and Business Rates Retention reform.

1. Background

Fair Funding Review

- 1.1. On 13 December 2018, alongside the Provisional Local Government Finance Settlement the Ministry for Housing, Communities and Local Government published the next stage consultation in the Fair Funding Review (FFR). The

FFR aims to determine and introduce a new funding mechanism, including how to treat resources and any transitional arrangements, in time for the 2020-21 Local Government Finance Settlement (i.e. in 12 months' time). This will coincide with implementation of 75% Business Rates Retention, a business rate baseline reset and the 2019 Spending Review.

- 1.2. The earlier consultation in December 2017 concentrated on establishing cost drivers and principles for a new formula whereas this new consultation is concerned a little more about the methodology and construction of the new allocation formulae.
- 1.3. The consultation proposes to introduce a population-driven foundation formula to determine allocations for a number of service areas but there will also be several service-specific formulae. There are also a number of areas included in the document where the MHCLG are minded to not implement specific formulae – these include Home to School Transport, Concessionary Travel and Homelessness.
- 1.4. With regard to the relative resource adjustment the Government propose using a notional council tax figure but are asking for views on what level that should be as well as the treatment of tax base for resource adjustments.
- 1.5. There are no firm plans yet for the transitional arrangements but the MHCLG have said they would like arrangements to be time limited and affordable. They are considering options where transitional arrangements unwind at different speeds depending on local circumstances (income and pressure) or the “distance from target”.

Business Rates Reform

- 1.6. Also on 13 December 2018, alongside the Provisional 2019-20 Local Government Finance Settlement, the Ministry of Housing, Communities and Local Government (MHCLG) published its Business Rates Retention (BRR) Reform consultation.
- 1.7. The consultation seeks views on proposals for sharing risk and reward, managing volatility in income and setting up the reformed business rates retention system. The reform of the BRR system will sit alongside the work of the Fair Funding Review (FFR). Nevertheless, the consultation makes clear that MHCLG also believes that the BRR reforms stand on their own merit.

1.8. At present the planned BRR Reform timetable for 2019 and early 2020 is as follows:

- Winter 2019 – Regional events and sector engagement
- February 2019 – Consultation Deadline
- Spring 2019 – Analysis of Responses and continuation of work with the Sector.
- Summer/Autumn 2019 – Consultation on Implementation and Transition
- Winter/Spring 2020 – MHCLG to work with LAs in preparation for April 2020.

2. Principles For A New System

2.1. The range and complexity of the issues outlined in Section 1 means any response the County Council makes to the Fair Funding Review and Business Rates Reform consultation papers will often need to be extremely technical and detailed. It is therefore proposed that the set of core principles which were approved by the Portfolio Holder (Finance & Property) on 8 March 2018 continue to frame our response to any consultation paper regarding Fair Funding and Business Rates Retention. This will continue to ensure consistency over time and provide a basis against which to assess any options that may come forward for consideration.

2.2. Overall for the County Council it is proposed that we should respond to the consultation on the basis that the proposals in our response are in the best interest of Warwickshire County Council and our district/borough authorities.

2.3. Within this overarching principle there are a number of other more specific principles outlined below:

- Local authorities deliver a wide range of important services used by residents on a daily basis, and provide essential support for the most vulnerable people in our society. The local government funding system must therefore offer appropriate levels of stability and assurance to councils to support financial planning.
- Local authorities should have greater control over the money they raise and strong incentives to deliver services efficiently in a way that promotes local economic growth.

- Local Government is a democratic system and must ensure sufficient flexibility for local members to use funding in accordance with local priorities and in response to local demand.
- Funding allocations should reflect the relative 'need to spend' both currently and in the future. Past spending patterns cannot deliver this.
- Funding allocations should take into account the capacity of authorities to fund local services through local income but this factor should not be used in both the relative need and relative wealth elements of the formula as this results in double counting.
- The system should be more transparent whilst providing as much discretion as possible to local councils over the use of resources so as to empower the transformation of local services and ensure that councillors are accountable for deciding how funding is used locally.
- Distribution of resources should reflect 'common sense' understanding in the differences in need between authorities and should be as simple as is practicable. To support this the link between local circumstances and funding allocations will need to be more visible.
- The new funding formula should be based on the most up-to-date data that is available.
- The new funding formula should be an objective assessment that is not influenced by local decision making or ministerial discretion.

2.4. It is also proposed that the set of core principles which were approved by Cabinet on 8 September 2016 continue to frame our response to any future responses to consultations on the *technical* aspects of Business Rates reform as listed below:

System Design

The new system should:

- Be fair between types of authorities, geographical areas and over time and with other taxpayers
- Be transparent
- Ensure no detrimental effect between authorities/areas that have early/differential adoption and all other areas
- Be clear on how risk is shared and recognised in the system
- Provide an incentive to generate economic growth

- Include a mechanism for dealing with shocks to the system

Needs (Fair Funding)

The new needs and redistribution assessment should:

- Be transparent
- Be fair between types of authority, between tiers and between geographical areas
- Be sustainable and predictable between services and authorities over time
- Reflect actual and relative cost pressures and drivers on the demand for local authority services. (For the County Council this means a new assessment of need does not just replicate the historic patterns of underfunding that have led to the wide variation in council tax levels across the country).

Devolution of responsibilities

The responsibilities devolved to local government should:

- Build on the strengths of local government
- Support the drive for economic growth
- Support improved outcomes for service users and local people
- Consider the medium term financial impact on local government
- Ensure the cost of any new responsibilities are covered by the resources available

3. Responding to the Government's Consultation

- 3.1. The deadline for responding to the consultation paper is 21 February 2019. The normal approval process for responses to consultations is via portfolio holders. But, given the potential impact of these changes on the future financing of the County Council, it is felt Members more widely need to know what is happening.
- 3.2. Given the synergies and in order to ensure our response achieves maximum effect, our approach is to make a response which is consistent with the majority of other shire counties. At the time of publication information regarding the wider shire county response to the consultation questions has yet to be received. Once received we will be in a position to fully populate **Appendix A** and **Appendix B** ensuring alignment with the principles in Section 2 at all times. If this is available before the Cabinet meeting on 14

February the draft responses will be circulated to members. Otherwise the final response will be circulated to the Portfolio Holder and spokespeople for comment.

- 3.3. This report seeks agreement to the principles to be used as the basis of the council's response and recommends the approach explained in Section 3.2 for preparing answers to the questions outlined in **Appendix A** and **Appendix B** as the response to the consultation.

4. Background Papers

- 4.1. None

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The following Elected Members have been consulted on this report prior to its publication: Cllr Butlin, Cllr Boad, Cllr Birdi, Cllr O'Rourke, Cllr Timms,

Fair Funding Review Consultation Response

Question 1): Do you have views at this stage, or evidence not previously shared with us, relating to the proposed structure of the relative needs assessment set out in this section?

Question 2): What are your views on the best approach to a Fire and Rescue Services funding formula and why?

Question 3): What are your views on the best approach to Home to School Transport and Concessionary Travel?

Question 4): What are your views on the proposed approach to the Area Cost Adjustment?

Question 5): Do you agree that the Government should continue to take account of non-discretionary council tax discounts and exemptions (e.g. single person discount and student exemptions) and the income forgone due to the pensioner-age element of local council tax support, in the measure of the council tax base? If so, how should we do this?

Question 6): Do you agree that an assumptions-based approach to measuring the impact of discretionary discounts and exemptions should be made when measuring the council tax base? If so, how should we do this?

Question 7): Do you agree that the Government should take account of the income forgone due to local council tax support for working age people? What are your views on how this should be determined?

Question 8): Do you agree that the Government should take a notional approach to council tax levels in the resources adjustment? What are your views on how this should be determined?

Question 9): What are your views on how the Government should determine the measure of council tax collection rate in the resources adjustment?

Question 10): Do you have views on how the Government should determine the allocation of council tax between each tier and/or fire and rescue authorities in multi-tier areas?

Question 11): Do you agree that the Government should apply a single measure of council tax resource fixed over the period between resets for the purposes of a resources adjustment in multi-year settlement funding allocations?

Question 12): Do you agree that surplus sales, fees and charges should not be taken into account when assessing local authorities' relative resources adjustment?

Question 13): If the Government was minded to do so, do you have a view on the basis on which surplus parking income should be taken into account?

Question 14): Do you agree with the proposed transition principles, and should any others be considered by the Government in designing of transitional arrangements?

Question 15): Do you have views on how the baseline should be constructed for the purposes of transition?

Question 16): Do you have any comments at this stage on the potential impact of the proposals outlined in this consultation document on persons who share a protected characteristic? Please provide evidence to support your comments.

Business Rates Retention Reform Consultation Responses

Question 1: Do you prefer a partial reset, a phased reset or a combination of the two?

Question 2: Please comment on why you think a partial/ phased reset is more desirable.

Question 3: What is the optimal time period for your preferred reset type?

Question 4: Do you have any comment on the proposed approach to the safety net?

Question 5: Do you agree with this approach to the reform of the levy?

Question 6: If so, what do you consider to be an appropriate level at which to classify growth as 'extraordinary'?

Question 7: What should the fall-back position be for the national tier split between counties and districts, should these authorities be unable to reach an agreement?

Question 8: Should a two-tier area be able to set their tier splits locally?

Question 9: What fiscally neutral measures could be used to incentivise pooling within the reformed system?

Question 10: On applying the criteria outlined in [Annex A](#), are there any hereditaments which you believe should be listed in the central list? Please identify these hereditaments by name and location.

Question 11: On applying the criteria outlined in [Annex A](#), are there any listed in the central list which you believe should be listed in a local list? Please identify these hereditaments by name and location.

Question 12: Do you agree that the use of a proxy provides an appropriate mechanism to calculate the compensation due to local authorities to losses resulting from valuation change?

Question 13: Do you believe that the Government should implement the proposed reform to the administration of the business rates retention system?

Question 14: What are your views on the approach to resetting Business Rates Baselines?

Question 15: Do you have any comments at this stage on the potential impact of the proposals outlined in this consultation document on persons who share a protected characteristic? Please provide evidence to support your comments

Cabinet

14 February 2019

School Admissions – 2020/2021

Recommendations

1. That the 2020 entry Coordinated Schemes are adopted in line with our statutory responsibility, as set out in Appendices A1 – A4.
2. That the in-year admissions process, for entry during the 2020/21 academic year, are adopted (for all schools where Warwickshire County Council is the admission authority, and other admission authorities as agreed), as set out at Appendix B.
3. That the published admission numbers are adopted as set out in Appendix C.

1.0 Introduction

- 1.1 Local Authorities are required to consult annually on admission arrangements. In accordance with the School Admissions Code (2014), consultation must take place for a minimum of six weeks between 01 October and 31 January of the school year before arrangements apply. For the 2020 entry year, the admission arrangements must then be determined (finalised) by 28 February 2019 and published on the Council website by 15 March 2019.
- 1.2 These admission arrangements will apply to all community and controlled schools - where Warwickshire County Council is the admission authority.
- 1.3 The admission arrangements relating to the coordinated schemes specifically will apply to all state-funded, mainstream infant, junior, primary and secondary schools within the county, regardless of who the admission authority is for those schools (for example, the admission authority for a school which has academy status will be the governing body of that school or the academy trust).

2.0 Background

- 2.1 Local Authorities are required to consult annually on their admission arrangements. For the 2020 entry year, the admission arrangements must then be determined (finalised) by 28 February 2019.
- 2.2 The majority of the proposed admission arrangements are similar to those approved for operation in previous years, although, the significant changes are highlighted further in this document.
- 2.3 The proposed admission arrangements apply to both school admissions at a 'normal point of entry' (i.e.: starting school in Reception, transfer from Year 2 in an infant or primary school to Year 3 at a junior, and starting in Year 7 at a secondary school) and to all other admissions during the school year (up to Year 11, inclusive).
- 2.4 Included within the admission arrangements is the process which parents should follow when they would like to request that their child's entry to Reception is deferred for a year, to the academic year following their fifth birthday. This is in response to guidance previously issued by the Department for Education and an increase in such requests.
- 2.5 The above process is also applicable to parents with children who will be commencing in all other year groups (other than Reception) and who wish to request that their child is educated outside of their chronological year group.
- 2.6 As part of their admission arrangements, all admission authorities are required to have a Published Admission Number (PAN). This is the maximum number of places offered at the normal point of entry. Appendix C shows all Warwickshire Schools and their Published Admission Number, along with any proposed changes for the 2020 entry year. This list includes schools where Warwickshire County Council is not the admission authority. Please note that these figures are subject to change. This is due to own admission authority schools carrying out their own consultations and ongoing discussions between the local authority and schools.

3.0 Coordinated Schemes

- 3.1 The coordinated schemes set out how the County Council will operate its statutory responsibility to ensure that every child residing in Warwickshire is offered one school place through their home authority, ready for when they start school or transfer to Year 7 (the schemes also apply to children transferring to Year 3, in certain cases). This process is in line with the School Admissions Code (2014), the Education Act (2002) and the School Standards and Framework Act (1998).
- 3.2 The following outlines specific sections of the coordinated schemes for 2020 entry where significant changes, or updates on previous changes, are proposed:

- a) **Over-subscription criteria for Warwickshire maintained infant, primary and junior schools:** The 2020 entry arrangements have taken into account the aims and challenges as outlined within the local authority's 'Education Strategy: 2018-2023'. In order to accommodate the strategy within the School Admissions Service, priority for places at local authority maintained infant, primary and junior schools within the county will be given to children who are classed as vulnerable and/or disadvantaged. This includes children who are in receipt of the Early Years Pupil Premium, as well as young people who are under a Child in Need Plan and/or a Child Protection Plan.

The aim of introducing such criteria is to assist families who are vulnerable and/or disadvantaged and present them with the opportunity to send their child to their preferred school. This may be the closest school to the family home, or the school where a sibling already attends, so as to assist with transportation and logistics, even if the preferred school is not the family's catchment school. The views of Children's Services and Social Workers may also be beneficial in allocating specific school places to those children who should not attend their local school due to safeguarding issues.

The allocation of places in such categories will be limited to a certain % of each school's Published Admission Number, so as not to create a disproportionate number of disadvantaged children within any one school.

These proposals are in addition to the legal requirements placed upon the local authority to give highest priority of places to children who are Looked After (or Previously Looked After) and young people who have been issued with an Education, Health and Care Plan.

The proposed over-subscription criteria also include a new category concerning children who have been privately adopted, or adopted from overseas. This is in line with guidance received from the Department of Education, which aims to give a similar level of priority of school places to children who are in care/were in care, regardless of where they live.

Although this is not yet a legal requirement for local authorities, it is the aim of Warwickshire County Council to adopt this approach, with effect from the September 2020 entry year, to provide more children with opportunities to receive a good or outstanding education, regardless of any disadvantage placed upon them in their early lives.

- b) **Offers made over PAN:** Continuing from the 2019 entry arrangements, the 2020 entry admission arrangements clearly set

out the process through which own admission authority schools must make a request to admit children over and above the determined and Published Admissions Number (PAN), as part of the coordinated schemes. Failure to comply by the deadlines outlined within the schemes may result in a school's request to admit children over PAN not being complied with, as part of the coordinated schemes, in line with the relevant National Offer Day.

- c) **Applying for a place in Year 3 at a primary school:** In previous years, a small number of primary schools within the local authority have opted to offer additional places for Year 3 entry, as part of the coordinated admissions scheme. However, as Year 3 is not the 'normal point of entry' for primary schools, the 2020 entry year will adopt a revised admissions process, as first followed in the 2019 entry year, whereby the coordinated admissions process will only operate in respect of children transferring from Year 2 in an infant or primary school to Year 3 in a junior school. The coordinated admissions process will not apply to any Warwickshire primary schools.
- d) **Over-subscription criteria for Junior schools (Year 3 transfers):** In line with the above, the over-subscription criteria for junior school places (ie: Year 3 transfers) for the 2020 entry year has continued from the 2019 entry coordinated arrangements. This relatively new order of criteria gives higher priority to children attending the partner infant school of the junior school for which they are applying, regardless of where they live. This is to ensure that as many children as possible, who attend an infant school in the county, can attend the partner junior of that school.
- e) **Late applications/Re-allocation dates:** As in previous years, under the coordinated schemes, late applications will not be considered prior to National Offer Day, and will instead be considered, and receive a school offer, on one of a fixed number of reallocation dates. This process is intended to make the reallocation process easier for parents to understand and to make it easier to identify areas where extra capacity in schools may be required

4.0 In-Year Admissions

- 4.1 It is proposed that the administration of in-year admissions for 2020/21 remain with the Local Authority. While it is not a legal requirement for Local Authorities to process such applications, retaining this function provides numerous benefits, especially around safeguarding, the tracking of vulnerable children and the operation of the Fair Access Protocol. The majority of admission authorities have indicated they are happy for the Local Authority to continue to carry out this function. No extra resources are required to do this, but there is specific work currently being undertaken by the service to incorporate an online application function for families to utilise as part of this

process. This will be introduced as and when construction and testing of the online system is completed.

5.0 Consultation

- 5.1 A consultation exercise into the proposed admission arrangements took place between 16 November 2018 and 11 January 2019.
- 5.2 Copies of any responses to the consultation will be made available to Elected Members prior to the Cabinet meeting. No objections have been received.
(Appendices E1 and E2)

6.0 Timescales associated with the decision and next steps

- 6.1 If Cabinet approve the proposed admission arrangements for School Admissions then they will apply to applications received for the 2020 entry year (coordination) and for in-year admissions during the 2020/21 academic year.

Background paper

Equality Impact Assessment – conducted in January 2018.

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This report was circulated to the following members prior to publication:

Councillors Dahmash, Morgan, Roodhouse, C.Davies, Williams and Hayfield

Warwickshire County Council
Secondary School Admission Arrangements – Coordinated Scheme
Year 7 Admission in September 2020



APPENDIX A1

Section 1 – Timetable for Secondary Coordinated Admissions Scheme, for entry in September 2020

DATE	EVENT
April 2019	Warwickshire School Admissions Service (the 'Admissions Service') to obtain data of Warwickshire children due to start secondary school in September 2020. Data obtained from schools, other local authorities and Independent schools located in Warwickshire.
From 7 th May 2019	Secondary packs posted directly to parents of children due to transfer to Secondary school in September 2020. Copies of publicity materials available on website.
Tuesday 7 th May 2019	Warwickshire 11+ Selection Test - Registration opens.
Wednesday 12 th June 2019 (11.59pm)	<p>Deadline for parents to request special testing arrangements for their child for 11+ test, due to special educational needs and/or medical issues. Relevant 'Special Testing Requirements' form to be completed and received by the Admissions Service by 11.59pm on this date.</p> <p>Special testing arrangement request forms received after this date may not be considered, or may make the application for a grammar school place late.</p> <p>Parents who submit such requests by this deadline will be notified our any access arrangements that have been approved for their child, for the 11+ test, by the end of July 2019.</p>
Friday 28 th June 2019 (11.59pm)	<p>Warwickshire 11+ Registration deadline, in order to be classed as on time.</p> <p>Registrations received after this date will be considered as late, unless the family are/will be moving into/within the county by 31st December 2019.</p>

Warwickshire County Council
Secondary School Admission Arrangements – Coordinated Scheme
Year 7 Admission in September 2020



Monday 1 st July 2019	<p>Secondary application process opens (online and telephone applications).</p> <p>Application data will be available via SAM (the School Admissions Module) to Voluntary Aided, Trust, Foundation schools and Academies who purchase the Admissions Service so that oversubscription criteria can be added and sibling/staff details checked. Data will include straight-line measurements.</p>
From Monday 5 th August 2019	<p>11+ test session invitation packs sent to families who have registered their child to sit the Warwickshire 2020 entry 11+ selection test by the deadline of 28th June 2019.</p> <p>Packs will be sent in batches throughout the month of August.</p> <p>If you registered your child for the 11+ test by the published deadline and you have not received an invitation pack by Friday 23rd August 2019 then you must contact the Admissions Service as a matter of urgency.</p>
Saturday 7 th and Sunday 8 th September 2019	<p>11+ testing sessions (<i>at least one testing session per day</i>) (on time candidates will be given priority to attend these testing sessions)</p>
Monday 9 th September 2019	<p>Parents must inform the Admissions Service, by no later than 11.59pm, if their child was not fit or well to attend the 11+ selection test on 7th or 8th September.</p>
Wednesday 11 th September 2019	<p>Proof of the illness/condition must be received by the Admissions Service by no later than noon (12pm), in order for the child to remain as an on time candidate for the 11+ testing.</p> <p>If sufficient evidence is not received by this date then the registration for the child to sit the 11+ test will be withdrawn. If the family still wishes for the child to sit the Warwickshire 11+ test then they must submit a new registration and this will be classed as late.</p> <p>Late candidates will not be tested until after 2nd March 2020.</p>

Warwickshire County Council
Secondary School Admission Arrangements – Coordinated Scheme
Year 7 Admission in September 2020



Monday 16 th /Tuesday 17 th September 2019	Supplementary 11+ test date (<i>at least one testing session, dependent on numbers</i>) 11+ testing session for children who were initially invited to testing on either 8th or 9th September, but could not attend due to illness or prior engagements, and evidence has been submitted of such. <i>Further testing sessions will be scheduled as and when there is demand.</i>
Friday 4 th October 2019	First reminder letter sent to Warwickshire parents who have not applied for a Secondary school place. Reminder emails to schools encouraging them to remind parents of the need to apply for a school place.
From Monday 14 th October 2019	11+ results will be sent to all families where children have sat the Warwickshire 11+ selection test, as on time candidates, in the previous month of September 2019. Results may be sent electronically or via post.
Friday 18 th October 2019	Second reminder letter sent to parents who have not applied for a Secondary school place. Reminder emails to schools encouraging them to remind parents of the need to apply. For a school place.
Thursday 31st October 2019 (11.59pm)	National Closing date for on time secondary school applications. Applications received after this date will be considered as late and will not be processed until after National Offer Day (2 nd March 2020), in line with scheduled reallocation dates (unless the family is moving into the area – residency requirements must be adhered to – see below for more information).
From Monday 11 th November 2019	Exchange of ADT files with other local authorities. <i>(ADT = Electronic files relating to application details)</i>
Monday 18 th November 2019	Applications will be sent to own admission authority schools who DO NOT purchase the Admissions Service, via an Excel spreadsheet so that oversubscription criteria can be added and sibling/staff details checked. Data will include straight-line measurements.

Warwickshire County Council
Secondary School Admission Arrangements – Coordinated Scheme
Year 7 Admission in September 2020



From 2 nd December 2019	Proof of address will be requested for all children where a Warwickshire grammar school has been named on the application. This is regardless of which home authority they reside in.
Friday 20 th December 2019	Deadline for own admission authority schools to request admitting over and above the determined PAN for the relevant entry year, in order for this to be considered in line with the coordinated admissions process and National Offer Day.
Tuesday 31 st December 2019 (11.59pm)	Extended deadline date for families moving into/within the county to have provided proof of their new residence and completed new/amended application for secondary school in order for application to be considered as on-time (see residency requirements below). The child must be residing in the new property by this date.
Tuesday 31 st December 2019 (11.59pm)	Sufficient proof of address documentation to have been received by the Admissions Service, where at least one Warwickshire grammar school has been named on the child's secondary school application. Failure to comply with this deadline, and supply the correct documentation requested, will result in the application for the relevant grammar school(s) being classed as late. See the individual schools' admission arrangements for further information.
Monday 6 th January 2020 (11.59pm)	Own admission authority schools to have completed all allocations of over-subscription criteria, sibling checks, staff checks and considered all faith/other supporting documentation provided as part of a family's application for a place. This task must be completed on SAM, where the school purchases the Admissions Service. Where schools do not buy into the service then the above must be completed via a ranked and completed Excel spreadsheet. The Secondary 2020 round on SAM will then be closed to schools from 5pm on Monday 6 th January 2020.
W/C: Monday 6 th January 2020	11+ testing sessions will be held during this week for candidates who moved house prior to the 31 st December 2019 deadline, and who provided sufficient evidence of such, and who registered for the test by 31 st December 2019, and who have not sat the 2020 entry 11+ test previously.

Warwickshire County Council
Secondary School Admission Arrangements – Coordinated Scheme
Year 7 Admission in September 2020



Friday 10 th January 2020	First exchange of ALT files with other local authorities. <i>(ALT = Electronic files relating to offers of school places)</i>
Monday 20 th January 2020	Second exchange of ALT files with other local authorities.
Monday 3 rd February 2020	Provisional offers available to all schools via SAM, other than academies who do not purchase the Admissions Service, in which case offers will be sent via Excel spreadsheet. Schools must notify Warwickshire Admissions Service of any issues by Friday 7 th February 2020. Offer data must remain confidential.
Friday 7 th February 2020	Schools to have notified the Admissions Service of any issues with provisional offers.
Friday 7 th February 2020	Special Educational Needs, Disability, Assessment and Review team (SENDAR) must have input relevant offers/offers on hold via Synergy.
Monday 10 th February 2020	Final exchange of ALT files with other authorities.
Monday 2nd March 2020	National Offer Day. Offers released to parents by Admissions Service (Statutory). Late applications will be available to schools via SAM, other than own admission authority schools who do not purchase the admissions service, in which case any late applications will be sent via Excel spreadsheet.
W/C: 2 nd March 2020	11+ testing sessions for late candidates will be scheduled to take place during this week, as required. Further testing sessions, to accommodate additional late candidates, will be arranged on an ad hoc basis.

Warwickshire County Council
Secondary School Admission Arrangements – Coordinated Scheme
Year 7 Admission in September 2020



Wednesday 11 th March 2020	Cut-off date for new applications – or amendments to previous applications - to be made in order to be considered in first reallocation round.
Friday 13 th March 2020 (11.59pm)	Own admission authority schools to have completed all allocations of over-subscription criteria, sibling checks, staff checks and considered all faith/other supporting documentation provided for late applications to be considered in first reallocation round.
Friday 13 th March 2020 (11.59pm)	Deadline to accept or decline offer made on 2 nd March.
Monday 16 th March 2020	Reminder letter sent to Warwickshire families who have not confirmed their acceptance or decline of the offer made. If no response received by 11.59pm on Friday 27 th March then the place offered may be withdrawn. Any vacancies created from such an action will be considered in the second reallocation round.
Wednesday 18 th March 2020	First reallocation round commences.
Monday 30 th March 2020 (11.59pm) – <i>Date TBC</i>	Deadline by which appeals must be lodged in order to be classed as on time. On time appeals must be heard within 40 school days from the deadline. Appeals lodged after this date will be heard within 40 school days of the deadline, where possible, or within 30 schools days of the date the appeal is lodged. Appeals lodged after 22 June 2020 may not be heard before the start of the new academic year in September 2020.
Wednesday 1 st April 2020	Cut-off date for new applications to be made in order to be considered in second reallocation round.

Warwickshire County Council
Secondary School Admission Arrangements – Coordinated Scheme
Year 7 Admission in September 2020



<p>Friday 3rd April 2020 (11.59pm)</p>	<p>Own admission authority schools to have completed all allocations of over-subscription criteria, sibling checks, staff checks and considered all faith/other supporting documentation provided for late applications to be considered in second reallocation round.</p> <p>This task must be completed on SAM, where the school purchases the Admissions Service. Where schools do not buy into the service then the above must be completed via a ranked and completed Excel spreadsheet.</p>
<p>Wednesday 8th April 2020</p>	<p>Second reallocation round commences.</p>
<p>Wednesday 15th April 2020 (11.59pm)</p>	<p>Cut-off date for new applications to be made in order to be considered in third reallocation round.</p> <p>Late applications received after 15th April will be processed as and when they are received, up to, and including, Friday 28th August 2020. The in-year admissions process will then commence from Tuesday 1st September 2020.</p>
<p>Friday 17th April 2020 (11.59pm)</p>	<p>Own admission authority schools to have completed all allocations of over-subscription criteria, sibling checks, staff checks and considered all faith/other supporting documentation provided for late applications to be considered in second reallocation round.</p> <p>This task must be completed on SAM, where the school purchases the Admissions Service. Where schools do not buy into the service then the above must be completed via a ranked and completed Excel spreadsheet.</p>
<p>Monday 20th April 2020</p>	<p>Third reallocation round commences.</p>
<p>From Monday 27th April 2020</p>	<p>Appeal hearings commence, for Year 7 entry in September 2020.</p>

Warwickshire County Council
Secondary School Admission Arrangements – Coordinated Scheme
Year 7 Admission in September 2020



From Tuesday 5 th May 2020	Places allocated to Warwickshire children due to transfer to secondary school in September 2020, where an application has not been submitted previously. Parents will be advised of these offers via post.
From Monday 8 th June 2020	In-Year applications for secondary school places starting in September 2020 can be submitted. (Year groups 8 -11 only. Applications for Year 7 places for September 2020 will continue to be processed through the coordinated scheme until 28 th August 2020). <u>IN-YEAR APPLICATIONS WILL NOT BE PROCESSED UNTIL AFTER 15th JUNE 2020.</u> <u>CONFIRMATION OF SCHOOL OFFERS WILL THEN BE SENT TO FAMILIES FROM 19th JUNE 2020.</u>
Tuesday 16 th June 2020 <i>(Date TBC)</i>	Appeals lodged by 11.59pm on 30 th March 2020 <i>(Date TBC)</i> will be heard by this date.
Friday 17 th July 2020	Appeals lodged after the deadline of 30 th March 2020, but before 8 th June 2020, will be heard by the 17 th July 2020, where possible. <i>(Dates TBC)</i>
Tuesday 1 st September 2020	In-Year admissions process commences. All applications made in accordance with the coordinated admissions rounds will be moved to In-Year status and will be held on any relevant waiting lists until 31 st December 2020.

Section 2 - Secondary (Year 7) Coordinated Admissions process for entry in September 2020

Terms

The term '**school**', in this document, refers to both maintained schools and own admission authority schools. It does not relate to special schools or private (fee-paying) schools, as these schools have their own admission processes.

The term '**parent**', in this document, refers to biological parents, all those with Parental Responsibility, and other person with primary care for a child.

The term '**own admission authority**' school, in this document, refers to state schools for whom the local authority is not the admissions authority, including; Academies; Voluntary Aided; Trust; and Foundation schools. The admission authority for such schools is the governing body or the academy trust.

The term '**secondary**' school, in this document, refers to any admission authority school which admits children at the beginning of Year 7 until (at least) the end of Year 11.

The terms '**UTC**' and '**Studio schools**', in this document, refer to schools which admit children at the beginning of Year 10.

Coordinated Admissions

All local authorities are required to have in place a scheme for coordinating admission arrangements for maintained schools and other mainstream state-funded schools (eg: academies) within their area. The term 'school' in this document refers to both maintained schools and own admissions authority schools.

Coordinated schemes are intended to simplify the admission process for parents whilst reducing the likelihood of any child being left without a school place. Coordination establishes a mechanism that ensures, as far as is reasonably practicable, every parent of a child who has applied for a school place is sent a single offer of a school place by the local authority in which their home address falls (their 'home authority').

Under the system of coordinated admissions, parents apply directly to their home authority and make a single application for a school place. Local authorities and other admission authorities - such as the academy trust, or the governing body of a Voluntary Aided school - then exchange application data. This is to determine which children can be offered a place at which school. Parents then receive a single offer of a school place from their home authority.

Independent (fee-paying) schools are not part of the coordinated scheme. These schools will have their own admission criteria, application process and scheme for offering places. Parents should contact the relevant school directly if they wish to apply for a place.

Only parents of children who are resident in the county of Warwickshire, or who are able to satisfy the relevant address requirements as laid out in this document, should make an

application through the Warwickshire Admissions Service.

Warwickshire residents must apply for school places through the Admissions Service. Where parents approach schools directly, the school must direct the parent to the Admissions Service. Any Warwickshire resident who does not make an application through the Admissions Service, even if they applied directly to a school, will have any subsequent application which they make through the Admissions Service considered as late, if this is then received after the relevant deadline, as laid out in this document.

The Admissions Service will manage the process of allocating schools places in line with the Coordinated Admissions Scheme. Application data relating to schools in other local authorities will be forwarded via S2S. This system is part of the DfE's Secure Access website and is designed to securely transfer data between local authorities and schools.

This scheme primarily relates to children who are due to start secondary school (Year 7) in September 2019. However, the deadlines and key dates for applications and offers also apply to children transferring to Year 10 in a 14-19 UTC or Studio School in September 2019, whose applications will also be processed in line with this scheme.

Admission Arrangements

All admission authorities are required to have a set of admission arrangements that clearly set out how children will be admitted. These arrangements need to include the criteria that will be applied if there are more applications received than places available at the school for the relevant entry year ('oversubscription criteria'). Admission arrangements are determined by admission authorities, in line with the School Admissions Code (2014).

In Community and Voluntary Controlled schools the local authority is the admission authority and has responsibility for determining admission arrangements. In Voluntary Aided, Trust and Foundation schools, the Governing Body has responsibility for determining admission arrangements. In Academies and Multi-Academy-Trusts, the Trust has responsibility for determining admission arrangements.

A school's admission arrangements must contain:

- The school's **Published Admission Number (PAN)** for each 'relevant age group'. This is the number of places that will normally be offered to children joining the school at the normal point of entry (for secondary schools this is Year 7).
- The **school's oversubscription criteria**. These are used to decide which children are offered places when there are more applications than places available. Each child is assigned a criterion with places offered in criteria order to fill the school.
- **Definition of sibling**. Admission authorities must state in their arrangements what they mean by sibling (eg: does it include step-siblings). Where priority is given to siblings of former pupils, admission authorities must set out a clear and simple definition of such former pupils. Some schools give priority to siblings of pupils attending another state funded school. Where this is the case, this priority must be clearly set out in the arrangements.
- **Distance from school**. Admission authorities must clearly set out how distance

from home to school will be measured, and make it clear how the 'home address' will be determined and the point in the school from which all distances are measured. This should include provision for parents who have shared responsibility for a child.

The School Admissions Code also requires that:

- Where a child has an individual Education, Health and Care (EHC) Plan that names a specific school, then that child must be admitted to that particular school.
- The highest priority in a school's oversubscription criteria must also be given, unless otherwise allowed in the Admissions Code, to Looked After Children and all Previously Looked After Children.

'Previously Looked After Children' are children who were looked after (ie: who were under local authority care – eg: placed in foster care), but ceased to be so because they were adopted (or became subject to a child arrangements order or special guardianship order).

- If a school is not oversubscribed, all applicants must be offered a place (with the exception of designated grammar schools).

The admission arrangements of any school must be such as to enable relevant decisions to be made in line with the timetable of this scheme.

Information for parents

In April of each year, the Admissions Service receives data from Warwickshire County Council's Commissioning Support Service, MIS Team, other local authorities and Independent schools located in Warwickshire, relating to children due to start secondary school in September of the following year. This data is then used to distribute information about the admissions process to the families concerned.

In May of each year, information letters explaining the coordinated school admissions process are sent to the parents of children resident in Warwickshire who are due to start secondary school in September of the following year.

A specific information leaflet will also be available on the County Council's website. It is expected that all families following the 2020 entry secondary school coordinated admissions process, as well as all schools within the county, will have read through this leaflet. Schools are encouraged to inform parents of the need to apply for a school place and make parents aware of the necessary deadlines.

Also available on the Warwickshire County Council website will be the local authority's Composite Prospectus (from September 2020). This is an expanded version of the leaflet which is available online and will contain the full admission arrangements of each state school in Warwickshire (not independent fee-paying schools or special schools, as applications for these schools are not considered under the coordinated admissions process).

Applying for a school place

Parents apply for school places using a Common Application Form (CAF). Parents are encouraged to apply for a school place using Warwickshire's online application system. This allows parents to complete an electronic version of the CAF. The advantages of the online system are as follows:

- The process is relatively quick and easy.
- Applicants receive an acknowledgment email confirming that their application has been submitted.
- Parents applying online receive their offer of a school place from 08.30am on National Offer Day.

The online application process allows parents to:

- Apply for places at their preferred schools by naming these on the application. Warwickshire parents can name a maximum of six schools on their application.
- Rank their preferred schools in the order they would like their child to be offered a place (parents should name their most preferred school(s) as their first/highest preference on the application).
- Give reasons for each preference.
- Give details of any siblings who will also be attending one of the preferred schools at the point of admission of the child for whom a place is being applied.
Some own admission authority schools will also consider sibling links where the sibling attends the preferred school at the time of application, rather than time of admission of the child for whom the application is being made.
- Give details of any parent who is a staff member at the school which has been named as a preference, in line with the oversubscription for some own admission authority schools.
- Provide details of social or medical issues, in line with the oversubscription for some own admission authority schools.
- Indicate if the child has an Education, Health and Care Plan.
- Confirm details in relation to faith, in line with the oversubscription for some own admission authority schools (faith schools may require additional evidence as part of the application. This should be submitted directly to the school for which a place is being sought. Further information about this can be found in the admission arrangements for each school concerned).
- Confirm if the child falls within the classification of 'Looked After'* or 'Previously Looked After'**, in line with paragraph 1.7 of the School Admissions Code (2014).

**'Looked After' refers to a child who is currently under the care of the Local Authority (eg: in foster care under a full or interim care order).*

****Previously Looked After' refers to a child who was looked after (as outlined above), but ceased to be so because they were adopted straight after leaving care, or they became subject to a child arrangements order – including a residency order - or special guardianship order.*

Alternatively, parents can contact the Admissions Service and make an application over the telephone. This allows parents to provide the same information as the online system, but in this case the offer of a school place will be sent via second class post, so may not be received as quickly as an online offer, which will be sent via email.

Completed application forms, regardless of the method used to make the application, should be received by the home authority (Warwickshire Admissions Service) by no later than 5.00pm on the statutory closing date of 31st October 2019. Completed application forms received after the closing date will be considered as late unless suitable evidence of a house move can be provided by the relevant deadline (see 'Changes of address' section below).

Amendments to the application (eg: an additional preference being named, or the order of the ranked preferences being changed) will be permitted prior to the closing date of 31st October 2019. Any changes made to an application after this date will be classed as late (unless they are made in line with the change of address requirements detailed below).

Supplementary Information Forms

Some schools require parents to complete a Supplementary Information Form (SIF) in order to assign the oversubscription criteria. If a SIF is required by the admission authority of a school, this will be detailed in Warwickshire County Council's Composite Prospectus and on the Warwickshire County Council website. It will also be detailed in the admission arrangements for the school concerned.

Admission authorities within Warwickshire will not use Supplementary Information Forms (SIFs) except where the information which is collated through the Common Application Form is insufficient for consideration against the school's published oversubscription criteria. Where SIFs are used by admission authorities in Warwickshire, every effort will be made to ensure that only the information which is required in relation to the published oversubscription criteria is requested. This is in accordance with paragraph 2.4 of the School Admissions Code.

SIFs must not ask for any of the information prohibited in paragraph 1.9 of the Admissions code, or:

- a) Any personal details about parents and families, such as maiden names, criminal convictions, marital, or financial status (including marriage certificates).
- b) The first language of parents or the child.
- c) Details about any disability, special educational needs or medical conditions which either the child or a parent has been diagnosed with.
- d) Require that parents agree to support the ethos of the school in a practical way.
- e) Require that both parents sign the form, or ask for the child to complete the form.

When a school receives a SIF, Warwickshire Admissions Service will not consider the parents to have applied for a place at that school unless the parent has also submitted the Common Application Form and named the school as a preference on that form. SIFs should be submitted directly to the school concerned for their consideration against the

oversubscription criteria. Warwickshire Admissions Service will not process any SIFs.

When a school's admission arrangements require a SIF and one is not completed, but the parent has listed the school on the CAF and submitted this to their home local authority, the application must still be considered without the additional information. If a SIF is not received then the application can only be considered in accordance with the information available to the governing body from the CAF, and this may result in the application being given lower priority for a place, in line with the admission arrangements and oversubscription criteria for that school.

Where a SIF is required it must be returned to the school which is requesting such additional information by the application deadline of 31st October 2019. The school concerned may not process any additional information received after this date. Please contact the school you are interested in directly for further information about the additional information they require.

14 – 19 UTCs and Studio Schools (Year 10 applications)

Warwickshire County Council does not yet contain any 14-19 schools, such as University Technical Colleges (UTCs) and Studio Schools, which admit students from the beginning of Year 10.

However, the Admissions Service will write to all Year 9 students attending a Warwickshire state-funded secondary school in September 2018 to inform them of their eligibility to apply for a 14-19 school place, for entry into Year 10 at such schools in September 2020.

Applications for Year 10 places at these schools (in other authority areas) should be made through the Local Authority (through the Admissions Service), either over the telephone or by using the appropriate paper application form (copies available on request from the Admissions Service or on the County Council's website). Applications for places at these schools cannot be made through the online system.

Such applications will be processed in line with the deadlines and processes associated with Warwickshire's secondary coordinated admissions process, where possible, and in liaison with the schools/authorities concerned.

Where such applications are received by the deadline of 31st October 2019 (for September 2020 entry) they will be processed in line with this coordinated scheme and offers will be released to parents on National Offer Day – 2nd March 2020.

Applications received after 31st October 2019 will be processed when possible, in liaison with the schools/authorities concerned, and may be treated as late applications.

For any application for a place in Year 10 of a school which does not have Year 10 as the 'normal point of entry' for that school, the in-year admissions process should be followed. Applications, for places for Year 10 entry in September 2020, can be made on or after 8th June 2020 (with applications then being processed from 15th June 2020). Such applications will not be processed before this date.

If the family are happy for the child to remain at their current secondary school when they transfer from Year 9 to Year 10 then there will be no further action required and the student will transfer into the next year group automatically.

Changes of address

School places will be allocated using the home address which is named on the Common Application Form at the point of the National closing date (31st October 2019), unless any of the following three conditions are met:

1. **House move prior to 31st October 2019:** Where the home address changes before the closing date for applications, parents must notify the Admissions Service of the change of address and, if required, will be permitted to amend their school preferences. Parents will need to contact the Admissions Service to update the application.

Some admission authorities may have additional residency requirements which parents must abide by in order for their application to be classed as on time. See each school's admission arrangements for clarification.

2. **House move after 31st October 2019, but on, or before, 31st December 2019:** Where the home address changes after the closing date for applications, but before the extended deadline for families who are moving (either within or into the county), parents can contact the Admissions Service and will be permitted to submit, or amend, an application, as long as this is done before 11.59pm on 31st December 2019.

The child must be residing (living) in the new property by the deadline of 31st December 2019.

3. **House move after 31st December 2019:** Where an application is made by the National Closing date of 31st October 2019, but a house move happens after 31st December 2019, the application will be considered using the address that was originally named at the time the application was made, prior to the 31st October 2019 deadline.

Proof of Address

Address details will not be updated on an application until suitable documentation has been received by the Admissions Service that shows that the family, including the child for whom the application is being made, is resident in the property.

Suitable proof of address in these circumstances can include either: a full copy of the signed tenancy agreement (which should terminate on, or after, 2nd September 2020), or a letter from the family's solicitor confirming that there has been an exchange of contracts on the new property.

It is the family's responsibility to ensure that such documents are received by the Admissions Service.

All emails sent to the service will be automatically acknowledged. If you wish to send documents via post then we would strongly recommend that you use a recorded delivery method.

If you have any difficulty in submitting any of the documents stated above then please contact the Admissions Service, who can advise you further.

Where a house move has occurred after the 31st December 2019, and no application has previously been made to Warwickshire, an application must be made and suitable documentation to confirm the new address must be submitted.

In this case, the application will be classed as late and will not be considered in the first round of offers, which will be released on 2nd March 2020. However, the application will be given consideration in the first reallocation round, commencing on 18th March 2020, as long as both the application for a school place **and** suitable proof of the new address is received by the relevant reallocation round deadline: 11.59pm on 11th March 2020.

Applications received after 11.59pm on 11th March 2020, but before 11.59pm on 15th April 2020, will be classed as late and will only be considered in line with the second or third reallocation dates, depending on the date the application is received by the School Admissions Service. Applications received after 11.59pm on 15th April 2020 will be processed on an ad hoc basis.

Applications for schools in other local authorities and applications for Warwickshire schools from families living in other local authorities

Applications for schools in other local authorities, and any relevant additional / supplementary information, will be electronically forwarded to the relevant coordinating local authority, in line with the timetable found at the beginning of this document.

Warwickshire Admissions Service will also receive applications from other local authorities in line with the timetable found at the beginning of this document. These will be recorded and passed to admission authorities, as appropriate. If the application is for a Community or Voluntary Controlled school then the Admissions Service will give consideration for places alongside other applicants, in line with the relevant oversubscription criteria.

Multiple applications made by the same parent / household

If more than one application is made prior to the closing date of 31st October 2019, by the same parent / household, then only the newest application will be processed (ie: the last application made before the deadline). Any applications made previously will not be processed.

If the newest application is submitted after the closing date then it will be treated as a late application (unless there has been a change of address, in line with the requirements detailed above) and any previous applications will be disregarded.

If a school place has been offered by Warwickshire Admissions Service and an applicant then chooses to submit further applications, the newest application will take priority over any previous applications. Further applications made after the deadline date will be classed as late.

If it is possible to offer a place at one of the preferences on the newest application, the offer will be made and the previous school place offered will be withdrawn.

Applicants may withdraw an application for any of their named school preferences at any

time either via telephone, email or in writing via post.

If a request is received for an application for a school to be withdrawn which coincides with National Offer Day, or one of the reallocation rounds, then the offer may already have been processed and the parent will be notified of this. In this instance, the applicant must notify the Admissions Service that the place at that school is no longer required and the offer will be declined and withdrawn by the Admissions Service.

Multiple applications made by Separated Parents

The Admissions Service will not become involved in disputes between parents, or parties, regarding applications for school places.

Where parents cannot agree on either the home address or the school preferences to name on an application (or both), the Admissions Service will contact both parents to inform them of the situation and to request that they confirm between themselves, and to the local authority, which application and school preferences to take forward. This may require the involvement of the courts, if necessary.

If this fails to resolve the matter then the Admissions Service reserves the right to consider only the application made by the parent with whom the child resides for the majority of nights during the school week.

Where the child spends 50% of their time with each parent, and a decision cannot be reached between them by the relevant closing date for the submission of applications, the local authority will use a random number generator to determine the result. This will determine which application (including address details and school preferences) to consider when allocating the child a school place.

The draw will be carried out by two officers of the Admissions Service in the presence of a local authority solicitor. The result of the draw will be recorded and countersigned at the time by all parties involved and both parents will be notified of the outcome in writing. Random allocation will take place prior to the first exchange of application data. All other applications will then be disregarded.

How offers are determined

Subject to the above, admission authorities must consider all applications. If there are more applications received for a school than there are places available then the relevant oversubscription criteria for the school will be assigned to each application. Warwickshire Admissions Service carries out this function for all Community and Voluntary Controlled schools (as Warwickshire is the 'admission authority' for these schools), and by prior agreement for other admission authorities, such as academies and voluntary aided schools. No offers will be made without first liaising with the appropriate admission authority for that school.

If a school is oversubscribed then the admission authority must produce an intake list, in ranked order, which must include all those who have expressed a preference for the school. The ranked list must be returned to Warwickshire Admissions Service. Where it has been agreed that the Admissions Service will carry out this function for an own admission authority school, it is the admission authority's responsibility to ensure that they

are in agreement with the intake list. Any issues must be raised with the Admissions Service by the date set out in the timetable at the beginning of this document.

In the case of Community and Voluntary Controlled schools, the Admissions Service will apply the oversubscription criteria.

In the majority of cases, and where possible, the aim will be to offer a place at the school named as the highest preference. Where it is possible to offer a place at more than one of the preferred schools named on the application, a place will be offered at the school listed as the highest preference out of the schools where an offer can be made. Any applications for schools which are listed as lower preferences than the school offered will then be automatically withdrawn.

Where the Admissions Service is unable to allocate a place at any preferred school, a place will be allocated at the next nearest school which has availability. If the next nearest school has an admission authority other than Warwickshire County Council, then permission will be sought from that admission authority to make such offers. The next nearest school with availability will be identified based on distance, calculated as set out below.

A single school place should be identified for each child by the end of the coordinated admissions process.

Distance

Distance will be calculated by a straight line measurement from the address point location coordinate of the applicant's home address (as set by Ordnance Survey) to the centre point ('centroid') of the school in question. The centroid is a pre-determined point set by Warwickshire County Council and all distances are subject to changes which may occur with updates of mapping data.

Published Admission Number (PAN)

Where schools have more applications to consider than there are places available, offers will be made in accordance with the school's Published Admission Number (PAN), as part of the coordinated admissions process. Where an admission authority wishes to admit over its PAN, as part of the coordinated process, the process outlined in the following paragraph – 'Offers over PAN' - should be followed.

Offers over PAN

Where an admission authority wishes to admit children into Year 7, over and above their PAN, as part of the coordinated admissions scheme, they must make this request in writing to the Admissions Service by no later than the end of the Autumn term prior to the relevant entry year (ie: 20th December 2019 for September 2020 entry). The Local Authority will agree to such requests, where the request is received in good time (ie: by the above deadline), where the admission authority can show that the school has capacity and finances to support admitting over PAN, and where admitting over PAN would not adversely affect offers made for other schools in the local area.

Where such a request is received after the date outlined above then the determined PAN

will be honoured, in relation to the coordinated admissions scheme, and offers made up to PAN (where possible) in line with National Offer Day – 2nd March 2020. The request will then be taken into account in line with the specified reallocation dates, where possible to do so, and only where the admission authority can show that the school has capacity and finances to support admitting over PAN, and where admitting over PAN would not adversely affect offers made for other schools in the local area.

Where further capacity is required to provide every child in Warwickshire with an appropriate school place, a discussion will be held with relevant schools by members of the Admissions team and officers in School Place Planning to reach an agreement.

Notification of offers

National Offer Day is 2nd March 2020.

Warwickshire Admissions Service will communicate to all parents who are resident within the county, who have made an **on time** application (ie: by the deadline of 31st October 2019, or the extended deadline for families who are moving house), regarding the school place which has been offered. This applies to schools offered within either Warwickshire or another local authority, and will give the reason as to why schools which were named as higher preferences have not been offered, if applicable.

All applicants who made an on time application online will receive notification of the school place offered, **after** 8.30am on 2nd March 2020. These offers will be sent via email and will also be available to view via the online parent portal system.

Offer letters will only be sent to parents who completed an application over the telephone or via paper copy. Letters will be sent second class, with the intention of them being received by the recipient **after** 2nd March 2020.

When an applicant is not offered their first preference school they will be provided with the following information (this may be via an electronic link to such documents, where the offer is sent by email):

- a) Information about their right of appeal against any refusal of a place,
- b) A breakdown of the offers made for each school,
- c) Information about the waiting list process.

Appeals

Where applicable, parents will be informed of their statutory right of appeal when they receive the outcome of their application. Parents can appeal for any preference where they have received a refusal. However, applicants cannot appeal for a place at a school listed as a lower preference than the school place offered. This is because the application will not have been considered for the school listed as a lower preference than the school offered and will have been automatically withdrawn.

Appeals for places at Community and Voluntary Controlled Schools can be lodged on the Warwickshire County Council website. For other schools which do not have Warwickshire County Council as its admission authority, such as academies and voluntary aided schools,

parents should contact the school directly for details of the appeals process. A list of these schools is available on the Warwickshire County Council website.

Late applications

Every effort will be made to encourage parents to submit their application by the closing date of 11.59pm on 31st October 2019. However, if an application is received after this deadline then it will be classed as late (unless the rules on a change of address prior to 31st December 2019 apply). Late applications will not be processed until **after** National Offer Day on 2nd March 2020.

Late applications will be considered as part of the relevant reallocation round, depending on when the application is received. Late applications will be considered on the reallocation dates listed in the timetable at the beginning of this document.

If the applicant requests that new preferences are added to the application, and the 31st October 2019 deadline has passed, these amendments will be classed as **late**. Any schools named on the application prior to 31st October 2019 deadline will not be affected and will remain as on time.

Each application will be limited to a maximum of six active preferences at any one time during the coordination admissions process. Where adding a further school preference, at the request of the applicant, would cause the application to contain more than six preferences, then a preference of the applicant's choosing must first be withdrawn from the process, otherwise the new preference school will not be added to the application.

In respect of own admission authority schools who have bought into the coordinated admissions process for 2020 entry, information about late applications will be made available to those admission authorities after National Offer Day, for consideration as part of the reallocation rounds. The admission authorities will be required to assign relevant oversubscription criteria, as well as carrying out any relevant checks, and they will also be made aware of any offers made through the reallocation process.

In the case of a late application, where it is possible to offer a place at more than one of the preferred schools through one of the reallocation rounds, a place will be offered at the school listed as the highest preference on the application.

'Unplaced' offers

Where the local authority is unable to allocate a place at any of the preferred schools named on the child's application, either on National Offer Day or through any of the reallocation rounds, a place will be allocated at the next nearest school which still has availability at that time. The next nearest school with availability will be identified based on distance calculated by straight line measurement. This school offer will be referred to as 'unplaced' as it will be an offer for a school which the family did not name – 'place' - on their application.

Waiting lists

Only one school place will be offered as part of the coordinated admissions process.

Where a school is offered on National Offer Day, and this was named as a lower preference school on the application than a re-offer that can be made as part of one of the reallocation rounds (or any point afterwards), a re-offer for the higher preference school that can be offered from the waiting list will be made.

Where the re-offered, higher preference, school is then accepted by the parent, the previous school offered will be automatically withdrawn. The Admissions Service will attempt to contact the family prior to any re-offer being made, to obtain the family's continued interest in an alternative school, where possible.

Children will automatically be added to the waiting lists of any non-selective schools listed as a higher preference than the school at which a place is initially offered.

The waiting lists for Warwickshire schools will not order children based on the date the application was received, so there will be no distinction between on time applications and those which have been classed as late. Waiting lists will be held in the order of the admission authority's oversubscription criteria.

Waiting lists will be re-ranked prior to each reallocation round, and when a new application is received thereafter. Admission authorities will be required to assign oversubscription criteria where new applications are received, or a previous application is amended (eg: a change of address).

Applications made after National Offer Day, in respect of schools who are their own admission authority but do not buy into the Admissions Service, will be made available to those schools in order for criteria to be assigned and waiting lists ranked, in line with the relevant reallocation dates (and thereafter, when new applications are received).

Applications made for selective (grammar) schools in Warwickshire, where a place has not been offered, will only be placed on to the relevant waiting list if the academic criteria, as set through a Local Review Process, have been met. This usually means that there is a minimum 11+ test score required in order for a child to be placed on to the waiting list for each grammar school. Further information about this will be sent to families where their child has sat the 2020 entry Warwickshire 1+ test on National Offer Day.

The local authority will continue to operate the coordinated admission scheme, in relation to processing new applications and allocating places, where this is appropriate, up to and including 28th August 2020.

For every over-subscribed Community and Voluntary Controlled school, Warwickshire Admissions Service will retain a waiting list until the end of the Autumn term (31st December 2020). At that point all waiting lists will be cleared and all applicants will be removed from the lists.

If the parent wishes for their child to remain on the waiting list after this period then they will need to complete and submit a Change of School application form, a copy of which will be available on the County Council's website.

Waiting lists will then be cleared at the end of each subsequent term (Spring and Summer) and parents must contact the Admissions Service to confirm their continued interest in the schools applied for in order to remain on the waiting list for a school.

Failure to make contact with the Admissions Service, to confirm continued interest in a

place at a particular school, by the beginning of both the Spring term and the Summer term (2021), will result in the child being removed from the relevant waiting lists. A new Change of School application will then need to be made if the family would like to maintain their interest in obtaining a place at a different school for their child.

For other admission authorities – eg: academies and voluntary aided schools - parents should contact the school for details of their waiting list policy. For the majority of these schools, the waiting list will continue to be held by the local authority, but in some cases there will be no waiting list held at all after 31st December 2020.

Accepting the school place offered

Warwickshire parents will be asked to respond to the offer of a school place by the deadline of 13th March 2020. Acceptance of the place can be done through the online application portal, or via email, or over the telephone through the Admissions Service.

Failure to respond to the offer by the deadline stated above will result in a letter being sent to the family from 15th March 2020, giving a further deadline to respond and confirm acceptance or a decline of the school place offered.

Failure to respond to this further correspondence may then result in the school offer being withdrawn from the child. Parents will continue to receive correspondence from Warwickshire County Council regarding the child's school destination for September 2020 and may also be referred to the Attendance, Compliance and Enforcement team (ACE), who may take legal action against a parent, where deemed necessary.

Where an offer is made through one of the specified reallocation rounds, or thereafter, the family will be notified, in writing, of the deadline to accept or decline the offer. Failure to comply may result in the offer being withdrawn and the child will retain their previous offer of a school place.

Declining the school place offered

Where a family wish to decline the place offered, this cannot be done via the online portal and must be done either over the telephone or via email through the Admissions Service.

Coordination after National Offer Day

The School Admissions Code makes it clear that parents must continue to apply through their home authority for school places as part of the coordinated admissions scheme (ie: between 1 March and 31 August for Secondary transfer). This will ensure that, as places become available, they are re-allocated effectively and duplicate offers are avoided. All admission authorities must continue to follow the coordinated scheme until 1st September 2020 and not begin allocating school places themselves during this period.

Cooperation between admission authorities will ensure that each child is offered only one school place and that it is the highest preference possible that can be offered from the child's application.

From 1st September 2020 the coordinated scheme will cease and the In-Year Admissions process will begin.

Applications from overseas residents

UK Military families/Crown Servants

For families of UK Service Personnel with a confirmed posting within the county, or crown servants returning from overseas to live in the county, admission authorities:

- **Must** allocate a place in advance of the family arriving in the area, provided the application is accompanied by an official letter that declares a relocation date and a Unit postal address or quartering area address when considering the application against their oversubscription criteria. This must include accepting a Unit postal address or quartering area address for a service child.
- **Must** ensure that arrangements in their area support the Government's commitment to removing disadvantage for service children. Arrangements must be appropriate for the area and be described in the local authority's composite prospectus.
- **Must not** refuse a service child a place because the family does not currently live in the area, or cannot provide documentary evidence of residence at a particular property
- **Must not** reserve blocks of places for these children.

The application will follow the coordinated admissions process in all other respects, as outlined in this document.

Families moving to, or back to, the UK (Non-Military)

There is no legal requirement to process applications from other families coming from overseas who are not yet resident within Warwickshire, except as set out above.

Applications from overseas families in all other cases will therefore only be processed in line with the coordinated scheme once the family, including the child for whom the application is being made, can show evidence that they will be residing in Warwickshire imminently. Proof of residence may be requested at any time during the application process and the application will only be processed once sufficient documentation, that confirms a Warwickshire address, has been provided to the Admissions Service.

Where both an application for secondary school places AND documentation relating to the family's new address is provided by the extended deadline of 31st December 2019 for families moving into the county, then the application will be treated as on time and processed alongside all other applications. Applications and/or sufficient residency documentation received after this deadline will be treated as late and will not be processed until after 2nd March 2020.

Where schools are their own admission authority, their residency requirements may be different but will be stated in the admission arrangements for those schools concerned.

For schools where Warwickshire County Council is the admission authority, there is also an expectation that the child and applicant will still be in residence at the address used to

allocate a place from the start of term in September 2020, at least. Short-term house moves purely to secure a school place may be considered fraudulent or intentionally misleading and, in such circumstances, the place may be withdrawn, even when the child has started at the school concerned. Other admission authorities have similar provisions in their own admission arrangements. Please contact individual schools for further information on this.

Children educated outside of their chronological year group

As required by the School Admissions Code, Warwickshire County Council operates a process for the transfer of all children to secondary school (Year 7) in the September following their eleventh birthday.

However, some parents may feel their child is not ready to start in a secondary school at that point, perhaps due to a medical issue which has caused them to miss a significant amount of time in primary education, or a special educational need. Some schools may have agreed for a child to be accelerated to the year group above within their current school and the family/school may wish for this arrangement to continue as part of the child's secondary school education. Other children may be educated outside of their chronological year group for alternative reasons, under which circumstances it may be appropriate for this arrangement to continue.

Parents who wish to request that their child be educated outside of their chronological year group and will therefore transfer to secondary school a year earlier or a year later than normal, should read the ***'Guidance and Policy relating to the education of children outside of their chronological year group'*** and complete the relevant request form, which can both be found on the website: www.warwickshire.gov.uk/admissions

Requests for a child to be educated out of year group must be made in line with the relevant deadline for making such a request. Where a child should chronologically be transferring to secondary school in September 2020, but the family wishes to defer entry for a year, the deadline to make such a request (for entry in September 2021) is 1st December 2019 (or the next working day if the 1st December 2019 falls on a weekend).

Requests received after this deadline may not be given consideration until after National Offer Day on 2nd March 2020, in line with the above.

Request forms will not be processed unless approval has been given from the schools concerned, as noted on the specific request form. An agreement for a child to be educated out of year group is **not** a guarantee of a school offer.

Home-to-School Transport Assistance

An offer of a school place does not necessarily mean that home-to-school transport assistance will be automatically provided to the child.

Applications for home-to-school transport assistance – usually in the form of a free bus pass – are assessed in line with the relevant Transport Policy. The criteria set out in that policy is different to the criteria and policy which is followed in relation to the school admissions process, and the time of making an application for transport assistance can also have an impact on the outcome, as this will not necessarily correlate with the school admissions process.

If transport assistance has been approved, but an alternative school can be offered from a waiting list, then this assistance may be stopped if the place from the waiting list is not taken up. Where transport assistance is requested in the case of a child who has been given an 'unplaced' school offer, such cases will be considered on an individual basis.

It is important that parents consider their child's transport options to and from school when making an application for school places. Where families are not eligible for home-to-school transport assistance then it is the legal responsibility of the parent / carer to ensure that the child gets to and from school each day, not the local authority.

Where a child is eligible for home-to-school transport assistance then this responsibility does rest on the local authority. Applications for transport assistance are processed and considered in line with the relevant Transport Policy, using specific criteria.

Information on applying for transport assistance, and the criteria used when assessing applications, can be found on the Warwickshire website at:
www.warwickshire.gov.uk/schooltravel

DRAFT

***An Equality Impact Assessment/
Analysis on this policy was
undertaken in:***

January 2018

***It will be reviewed in January
2021.***

Warwickshire County Council
Oversubscription Criteria for LA Maintained Secondary Schools
2020/2021 Academic Year

In the event that a Warwickshire Community or Voluntary Controlled secondary school is oversubscribed, then the following oversubscription criteria will be used when allocating places, in the order as set out below:

- 1. Children in the care of, or provided with accommodation by, a local authority and children who were looked after, but ceased to be so because they were adopted (or became subject to a child arrangements order or special guardianship order);**
- 2. Children living in the priority area who will have a sibling at the school at the time of admission;**
- 3. Other pupils living in the priority area;**
- 4. Children living outside the priority area who will have a sibling at the school at the time of admission;**
- 5. Other children living outside the priority area.**

Please note:

- a) Children with an Education, Health and Care (EHC) Plan that names a school will be admitted first. In this event the number of places that remain for allocation will be reduced.
- b) Time of admission relates to the time the applicant would start at the school – not the time of application or offer.

The following terms and definitions apply to the oversubscription criteria for Warwickshire Community Secondary Schools.

➤ **Priority Areas**

Each community and voluntary controlled school has an area identified as its priority area (some admission authorities refer to this as a 'catchment area').

A small number of schools share priority areas; these are known as 'shared priority areas'. Full details of priority areas are available on the Warwickshire County Council website and can be viewed using interactive maps.

Secondary School Priority Area Maps can be accessed at:
<http://www.warwickshire.gov.uk/mapsecondaryschools>

Secondary School Priority Area Descriptions can be accessed at:
<http://www.warwickshire.gov.uk/wp-content/uploads/2013/02/SecondarySchoolPriorityAreaDetails1.pdf>

➤ **Priority within each oversubscription criterion**

Where applicants are allocated the same criterion, priority is given in order of distance between the child's home and the school applied for (shortest distance = highest priority).

Distance will be calculated by using a straight line measurement from the address point location coordinate of the applicant's home address (as set by Ordnance Survey) to the centre point ('centroid') of the school in question. (The centroid is a predetermined point set by Warwickshire County Council and all distances are subject to changes which may occur with updates of mapping data).

Transport Assistance will not be approved on the sole basis that the school offered is the catchment school and will only be provided in accordance with Warwickshire County Council's Home-to-School Transport Policy. This may mean that the nearest appropriate school – for transport purposes – may be a school in a different priority area.

➤ **Sibling, i.e. brother or sister, attending the school at the time of admission**

Sibling is defined as: a full brother or sister; a half brother or sister; an adopted brother or sister; a child living in the same address who is being Looked After by a local authority; a step-brother or sister; or the child of a parents' partner, where the child for whom the school place is being sought is living in the same family unit and at the same address as that sibling.

➤ **Definition of Home Address**

Where the child normally resides during the school week and where they sleep for at

least 50% of the week.

If arrangements are such that a child resides at two addresses for equal amounts of time, then parents must decide which address to use for admissions purposes. Failure to agree on the address to use on the child's application for a school by the national closing date will result in Warwickshire County Council using a random number generator to determine which application to process.

Addresses involved in child-minding arrangements, whether with professional child-minders, friends or relatives, are excluded.

Where a school place is offered on the basis of an address which is subsequently found to be different from the address where the child ordinarily resides, that place may be withdrawn. Cases will be assessed on an individual basis and in discussion with any schools named on the application which are their own admission authority.

There is an expectation that the child will be resident at the address used to allocate a place on a long-term basis, and until at least the start of the autumn term (September 2020) in relation to the coordinated admissions process.

Short-term house moves purely to secure a school place may be considered fraudulent or intentionally misleading and, in such circumstances, the place may be withdrawn.

Where a child's address changes after National Offer Day, the Local Authority (acting on behalf of the school, in some cases) may request an explanation for the house move and documentary evidence that the child is resident at the new property. The Admissions Service operates a thorough and robust address checking process, which may include both announced and unannounced home visits

➤ **Postal Address File (PAF)**

The address point location coordinate of the applicant's home address as set by Ordnance Survey.

- **Applications made from the same multiple dwelling which shares a single Postal Address File (PAF), and;**
- **Other applications where the distance from home to school is identical**

Where required, individual priority for such applicants within a particular criterion will be determined by a random number generator allocation. The draw will be carried out by two officers of the Admissions Service in the presence of a local authority solicitor. The result of the draw will be recorded and countersigned at the time by all parties involved. Applicants will be notified of the outcome in writing.

Warwickshire County Council
Reception and Junior (Year 3) Coordinated Admissions Scheme
2020 entry



APPENDIX A3

Section 1 – Timetable for Primary, Infant and Junior Coordinated Admissions Scheme, for entry in September 2020
(Including children due to start school in Reception and those transferring to Year 3 in Junior school)

DATE	EVENT
August 2019	Warwickshire School Admissions Service (the 'Admissions Service') to obtain data from Census, Early Years and the NHS, relating to children eligible to start school, or transfer to Year 3 in a junior school, in September 2020.
From Monday 2 nd September 2019	Information packs posted directly to families of children eligible to start school, or transfer to Year 3 in a junior school, in September 2020.
Monday 16 th September 2019	<p>Application process opens (online and telephone application processes available).</p> <p>Applications will be received and processed for children due to start school in Reception, and those due to transfer from Year 2 in an infant or primary school to Year 3 at a junior school, in September 2020.</p> <p><i>Applications for children in Year 2 at an infant school, who wish to move to a primary school for Year 3 in September 2020, should follow the in-year admissions process, as outlined below, from June 2020. Such applications will not be processed as part of the coordinated admissions scheme.</i></p> <p><i>Applications for children in Year 2 at a primary school, who wish to change to a different primary school for Year 3 in September 2020, should follow the in-year admissions process, as outlined below, from June 2020. Such applications will not be processed as part of the coordinated admissions scheme.</i></p>
From Monday 16 th September 2019	Application data will be available via SAM (the School Admissions Module) to Voluntary Aided, Trust, Foundation schools and Academies who purchase the Admissions Service so that oversubscription criteria can be added and sibling/staff details checked. Data will include straight-line measurements.

Monday 2 nd December 2019	Deadline for requesting deferred entry, for those chronologically due to start school in September 2020, but who wish to defer until September 2021.
Friday 13 th December 2019	Reminder letter sent to parents who have not applied for a Reception place and those currently attending Year 2 in an infant school who have not applied for a Junior school place, for entry on September 2020.
Friday 20 th December 2019	Deadline for own admission authority schools to request admitting over and above the determined PAN for the relevant entry year, in order for this to be considered in line with the coordinated admissions process and National Offer Day.
Wednesday 15 January 2020 (11.59pm)	National Closing date for on time applications. Applications received after this date will be considered as late and will not be processed until after National Offer Day (16 th April 2020), in line with scheduled reallocation dates (unless the family is moving into the area – residency requirements must be adhered to – see below for more information).
From Monday 27 th January 2020	Exchange of ADT files with other local authorities. <i>(ADT = Electronic files relating to application details)</i>
Monday 3 rd February 2020 (11.59pm)	Extended deadline date for families moving into/within the county to have provided proof of their new residence and completed new/amended application for school places in order for application to be considered as on-time (see residency requirements below). The child must be residing in the new property by this date.
From Monday 3 rd February 2020	Applications sent to own admission authority schools who DO NOT purchase the Admissions Service so that oversubscription criteria can be added and sibling/staff details checked. Data will be presented in an Excel spreadsheet and will include straight-line measurements.
Friday 14 th February 2020	Special Educational Needs, Disability, Assessment and Review team (SENDAR) must have input relevant offers/offers on hold via Synergy.
Monday 17 th February 2020 (11.59pm)	Own admission authority schools to have completed all allocations of over-subscription criteria, sibling checks, staff checks and considered all faith/other supporting documentation provided as part of a family's application for a place.

	<p>This task must be completed on SAM, where the school purchases the Admissions Service. Where schools do not buy into the service then the above must be completed via a ranked and completed Excel spreadsheet.</p> <p>The Reception 2020 and Junior 2020 rounds on SAM will then be closed to schools from 5pm on Monday 17th February 2020.</p>
Friday 28 th February 2020	<p>First exchange of ALT files with other local authorities.</p> <p><i>(ALT = Electronic files relating to offers of school places)</i></p>
Monday 23 rd March 2020	<p>Final exchange of ALT files with other authorities.</p>
Monday 30 th March 2020	<p>Provisional offers available to all schools via SAM, other than academies who do not purchase Warwickshire's Admissions Service, in which case offers will be sent via Excel spreadsheet. Schools must notify the Admissions Service of any issues by 4pm on Friday 3rd April 2020.</p> <p>Offer data must remain confidential.</p>
Thursday 16th April 2020	<p>National Offer Day.</p> <p>Offers released to parents by Warwickshire's Admissions Service (Statutory).</p> <p>Late applications will be available to schools via SAM, other than own admission authority schools who do not purchase the Admissions Service, in which case any late applications will be sent via Excel spreadsheet.</p>
Friday 24 th April 2020 (11.59pm)	<p>Deadline to accept or decline offer made.</p>
Monday 27 th April 2020	<p>Reminder letter sent to any Warwickshire parents that have not accepted or declined the offer made. If no response received by 11.59pm on Friday 8th May 2020 then offer may be withdrawn.</p> <p>Any vacancies created from such an action will be considered in the second reallocation round.</p>
Wednesday 29 th April 2020 (11.59pm)	<p>Cut-off date for new applications to be made in order to be considered in first reallocation round.</p>

Friday 1 st May 2020 (11.59pm)	<p>Own admission authority schools to have completed all allocations of over-subscription criteria, sibling checks, staff checks and considered all faith/other supporting documentation provided for late applications to be considered in first reallocation round.</p> <p>This task must be completed on SAM, where the school purchases the Admissions Service. Where schools do not buy into the service then the above must be completed via a ranked and completed Excel spreadsheet.</p>
From Tuesday 5 th May 2020	First reallocation round commences.
Friday 15 th May 2020 (11.59pm)	Cut-off date for new applications to be made in order to be considered in second reallocation round.
Friday 22 nd May 2020	<p>Own admission authority schools to have completed all allocations of over-subscription criteria, sibling checks, staff checks and considered all faith/other supporting documentation provided for late applications to be considered in second reallocation round.</p> <p>This task must be completed on SAM, where the school purchases the Admissions Service. Where schools do not buy into the service then the above must be completed via a ranked and completed Excel spreadsheet.</p>
Tuesday 26 th May 2020	Second reallocation round commences.
Friday 29 th May 2020 (11.59pm) <i>DATE TBC</i>	<p>Deadline by which appeals must be lodged in order to be classed as on time. On time appeals must be heard within 40 school days from the deadline.</p> <p>Appeals lodged after this date will be heard within 40 school days of the deadline, where possible, or within 30 schools days of the date the appeal is lodged.</p> <p>Appeals lodged after 22 June 2020 may not be heard before the start of the new academic year in September 2020.</p>

Wednesday 3 rd June 2020 (11.59pm)	<p>Cut-off date for new applications to be made in order to be considered in third reallocation round.</p> <p>Applications received after 11.59pm on 3rd June will be processed as and when they are received, up to, and including, Friday 28th August 2020.</p> <p>The in-year admissions process will then commence from Tuesday 1st September 2020.</p>
Friday 5 th June 2020 (11.59pm)	<p>Own admission authority schools to have completed all allocations of over-subscription criteria, sibling checks, staff checks and considered all faith/other supporting documentation provided for late applications to be considered in second reallocation round.</p> <p>This task must be completed on SAM, where the school purchases the Admissions Service. Where schools do not buy into the service then the above must be completed via a ranked and completed Excel spreadsheet.</p>
Monday 8 th June 2020	Third reallocation round commences.
From Monday 8 th June 2020	<p>In-Year applications for infant, primary and junior school places starting in September 2020 can be submitted - Year groups 1, 2, 4, 5 and 6 only, plus Year 3 applications for <u>primary</u> schools.</p> <p>Applications for Reception places at infant and primary schools, as well as Year 3 applications for junior schools, for entry in September 2020, will continue to be processed through the coordinated scheme until 28th August 2020 .</p> <p><u>IN-YEAR APPLICATIONS WILL NOT BE PROCESSED UNTIL AFTER 15th JUNE 2020. CONFIRMATION OF SCHOOL OFFERS WILL THEN BE SENT TO FAMILIES FROM 19th JUNE 2020.</u></p>
From 11 th June 2020 <i>(Date TBC)</i>	Appeal hearings commence for Reception places at infant and primary schools, as well as Year 3 applications for junior schools, for entry in September 2020.
Friday 12 th June 2020	Places will be allocated to children who are due to start school in Reception in September 2020, as well as those due to transfer from Year 2 in an infant school to Year 3 in a junior school, where:

	<ul style="list-style-type: none"> • The Admissions Service has information that indicates that the child is resident in Warwickshire, <i>and</i>; • An application for a school place has not been submitted previously <p>Families will be advised of these offers via post.</p>
From Monday 15 th June 2020	<p>In-Year applications for infant, primary and junior school places starting in September 2020 will be processed - Year groups 1, 2, 4, 5 and 6 only, plus Year 3 applications for <u>primary</u> schools.</p> <p>Families will be notified of the outcome of their in-year application from 19th June 2020.</p>
Friday 10 th July 2020 <i>(Date TBC)</i>	<p>Appeals lodged by 11.59pm on 29th May 2020 <i>(Date TBC)</i> will be heard by this date.</p>
Friday 17 th July 2020	<p>Appeals lodged after the deadline of 29th May 2020, but before 8th June 2020 (11.59pm), will be heard by the 17th July 2020, where possible. <i>(Dates TBC)</i></p>
Tuesday 1 st September 2020	<p>In-Year admissions process commences. All applications made in accordance with the coordinated admissions rounds will be moved to In-Year status and will be held on any relevant waiting lists until 31st December 2020.</p>

Section 2 – Reception and Junior Co-ordinated Admissions process – for entry in September 2020

(including children due to start school and those transferring from Year 2 in an infant or primary school to Year 3 in a junior school)

Terms

The term '**school**', in this document, refers to maintained schools, and academy and free schools. It does not relate to special schools or private (fee-paying) schools, as these schools have their own admission processes.

The term '**parent**', in this document, refers to biological parents, all those with Parental Responsibility, and other person with primary care for a child.

The term '**own admission authority**' school, in this document, refers to state schools for whom the local authority is not the admissions authority, including; Academies; Voluntary Aided; Trust; and Foundation schools. The admission authority for such schools is the governing body or the academy trust.

The term '**infant**' school, in this document, refers to any admission authority school which admits children at the beginning of the Reception year until the end of Year 2.

The term '**junior**' school, in this document, refers to any admission authority school which admits children at the beginning of Year 3 until the end of Year 6.

The term '**primary**' school, in this document, refers to any admission authority school which admits children at the beginning of the Reception year until the end of Year 6.

Coordinated Admissions

All local authorities are required to have in place a scheme for coordinating admission arrangements for maintained schools and other mainstream state-funded schools (eg: academies) within their area. The term 'school' in this document refers to both maintained schools and own admissions authority schools.

Coordinated schemes are intended to simplify the admission process for parents whilst reducing the likelihood of any child being left without a school place. Coordination establishes a mechanism that ensures that, as far as is reasonably practicable, every parent of a child who has applied for a school place is sent a single offer of a school place by the local authority in which their home address falls (their 'home authority').

Under the system of coordinated admissions, parents apply directly to their home authority and make a single application for a school place. Local authorities and other admission authorities - such as the academy trust, or the governing body of a Voluntary Aided school - then exchange application data. This is to determine which children can be offered a place at which school. Parents then receive a single offer of a school place from their home authority.

Independent (fee-paying) schools are not part of the coordinated scheme. These schools will have their own admission criteria, application process and scheme for offering places. Parents should contact the relevant school directly if they wish to apply for a place.

Only parents of children who are resident in the county of Warwickshire, or who are able to satisfy the relevant address requirements as laid out in this document, should make an application through the Warwickshire School Admissions Service.

Warwickshire residents must apply for school places through the Admissions Service. Where parents approach schools directly, the school must direct the parent to the Admissions Service. Any Warwickshire resident who does not make an application through the Admissions Service, even if they applied directly to a school, will have any subsequent application which they make through the Admissions Service considered as late, if this is then received after the relevant deadline, as laid out in this document.

The Admissions Service will manage the process of allocating schools places in line with the Coordinated Admissions Scheme. Application data relating to schools in other local authorities will be forwarded via S2S. This system is part of the DfE's Secure Access website and is designed to securely transfer data between local authorities and schools.

Admission Arrangements

All admission authorities are required to have a set of admission arrangements that clearly set out how children will be admitted. These arrangements need to include the criteria that will be applied if there are more applications received than places available at the school for the relevant entry year ('oversubscription criteria'). Admission arrangements are determined by admission authorities, in line with the School Admissions Code (2014).

In Community and Voluntary Controlled schools the local authority is the admission authority and has responsibility for determining admission arrangements. In Voluntary Aided, Trust and Foundation schools, the Governing Body has responsibility for determining admission arrangements. In Academies and Multi-Academy-Trusts, the Trust has responsibility for determining admission arrangements.

A school's admission arrangements must contain:

- The school's **Published Admission Number (PAN)** for each 'relevant age group'. This is the number of places that will normally be offered to children joining the school at the normal point of entry (for infant and primary schools this is Reception and for junior schools this is Year 3).
- The **school's oversubscription criteria**. These are used to decide which children are offered places when there are more applications than places available. Each child is assigned a criterion with places offered in criteria order to fill the school.

- **Definition of sibling.** Admission authorities must state in their arrangements what they mean by sibling (eg: does it include step-siblings). Where priority is given to siblings of former pupils, admission authorities must set out a clear and simple definition of such former pupils. Some schools give priority to siblings of pupils attending another state funded school. Where this is the case, this priority must be clearly set out in the arrangements.
- **Distance from school.** Admission authorities must clearly set out how distance from home to school will be measured, and make it clear how 'home address' will be determined and the point in the school from which all distances are measured. This should include provision for parents who have shared responsibility for a child.

The School Admissions Code also requires that:

- Where a child has an individual Education, Health and Care (EHC) Plan that names a specific school, then that child must be admitted to that particular school.
- The highest priority in a school's oversubscription criteria must also be given, unless otherwise allowed in the Admissions Code, to Looked After Children and all Previously Looked After Children.

'Previously Looked After Children' are children who were looked after (ie: who were under local authority care – eg: placed in foster care), but ceased to be so because they were adopted (or became subject to a child arrangements order or special guardianship order).

- If a school is not oversubscribed, all applicants must be offered a place (with the exception of designated grammar schools).

The admission arrangements of any school must be such as to enable relevant decisions to be made in line with the timetable of this scheme.

Information for parents

In August of each year, the Admissions Service receives data from the NHS relating to children who are due to start school in September of the following year. Data is also received from Infant schools relating to children who are due to transfer to Year 3 in September of the following year. This data is then used to distribute information about the admissions process to the families concerned.

In September of each year, information letters explaining the school admissions process will be sent to the families of children who are resident in Warwickshire who either:

- Have a child due to start school in Reception in the following September, *or*;
- Have a child attending Year 2 in an infant or primary school.

A specific information leaflet will also be available on the County Council's website. It is expected that all families following the 2020 entry coordinated admissions process, as well as all schools within the county, will have read through this leaflet. Schools (as

well as nurseries and other childcare providers, in the case of children who are due to start school) are encouraged to inform parents of the need to apply for a school place and make parents aware of the necessary deadlines.

Also available on the Warwickshire County Council website will be the local authority's Composite Prospectus (from September 2020). This is an expanded version of the leaflet that is available online and will contain the full admission arrangements of each state school in Warwickshire (not independent fee-paying schools or special schools, as applications for these schools are not considered under the coordinated admissions process).

Applying for a school place

Parents apply for school places using a Common Application Form (CAF). Parents are encouraged to apply for a school place using Warwickshire's online application system. This allows parents to complete an electronic version of the CAF. The advantages of the online system are as follows:

- The process is relatively quick and easy.
- Applicants receive an acknowledgment email confirming that their application has been submitted.
- Parents applying online receive their offer of a school place from 08.30am on National Offer Day.

The online application process allows parents to:

- Apply for places at their preferred schools by naming these on the application. Warwickshire parents can name a maximum of six schools on their application.
- Rank their preferred schools in the order they would like their child to be offered a place (parents should name their most preferred school(s) as their first/highest preference on the application).
- Give reasons for each preference.
- Give details of any siblings who will also be attending one of the preferred schools at the point of admission of the child for whom a place is being applied. *Some own admission authority schools will also consider sibling links where the sibling attends the preferred school at the time of application, rather than time of admission of the child for whom the application is being made.*
- Give details of any parent who is a staff member at the school which has been named as a preference, in line with the oversubscription for some own admission authority schools.
- Provide details of social or medical issues, in line with the over-subscription for some own admission authority schools.
- Indicate if the child has an Education, Health and Care Plan.

- Indicate if the child is in receipt of Pupil Premium (including Early Pupil Premium and Service/Military Premium), in line with the over-subscription criteria for local authority maintained schools in Warwickshire.
- Indicate if the child is, or has ever been, classed as a Child in Need or has been subject to a Child Protection Plan through Children's Services, in line with the over-subscription criteria for local authority maintained schools in Warwickshire.
- Confirm details in relation to faith, in line with the oversubscription for some own admission authority schools (faith schools may require additional evidence as part of the application. This should be submitted directly to the school for which a place is being sought. Further information about this can be found in the admission arrangements for each school concerned).
- Confirm if the child falls within the classification of 'Looked After' or 'Previously Looked After', in line with paragraph 1.7 of the School Admissions Code (2014).

***'Looked After' refers to a child who is currently under the care of the Local Authority (eg: in foster care under a full or interim care order).*

****'Previously Looked After' refers to a child who was looked after (as outlined above), but ceased to be so because they were adopted straight after leaving care, or they became subject to a child arrangements order – including a residency order - or special guardianship order.*

Alternatively, parents can contact the Admissions Service and make an application over the telephone. This allows parents to provide the same information as the online system, but in this case the offer of a school place will be sent via second class post, so may not be received as quickly as an online offer, which will be sent via email.

Completed application forms, regardless of the method used to make the application, should be received by the home authority (Warwickshire School Admissions Service) by no later than 5.00pm on the statutory closing date of 15th January 2020. Completed application forms received after the closing date will be considered as late unless suitable evidence of a house move can be provided by the relevant deadline (see 'Changes of address' section below).

Amendments to the application (eg: an additional preference being named, or the order of the ranked preferences being changed) will be permitted prior to the closing date of 15th January 2020. Any changes made to an application after this date will be classed as late (unless they are made in line with the requirements detailed below).

Supplementary Information Forms

Some schools require parents to complete a Supplementary Information Form (SIF) in order to assign the oversubscription criteria. If a SIF is required by the admission authority of a school, this will be detailed in Warwickshire County Council's Composite

Prospectus and on the Warwickshire County Council website. It will also be detailed in the admission arrangements for the school concerned.

Admission authorities within Warwickshire will not use Supplementary Information Forms (SIFs) except where the information which is collated through the Common Application Form is insufficient for consideration against the school's published oversubscription criteria. Where SIFs are used by admission authorities in Warwickshire, every effort will be made to ensure that only the information which is required in relation to the published oversubscription criteria is requested. This is in accordance with paragraph 2.4 of the School Admissions Code.

SIFs must not ask for any of the information prohibited in paragraph 1.9 of the Admissions code, or:

- a) Any personal details about parents and families, such as maiden names, criminal convictions, marital, or financial status (including marriage certificates).
- b) The first language of parents or the child.
- c) Details about any disability, special educational needs or medical conditions which either the child or a parent has been diagnosed with.
- d) Require that parents agree to support the ethos of the school in a practical way.
- e) Require that both parents sign the form, or ask for the child to complete the form.

When a school receives a SIF, Warwickshire Admissions Service will not consider the parents to have applied for a place at that school unless the parent has also submitted the Common Application Form and named the school as a preference on that form. SIFs should be submitted directly to the school concerned for their consideration against the oversubscription criteria. Warwickshire Admissions Service will not process any SIFs.

When a school's admission arrangements require a SIF and one is not completed, but the parent has listed the school on the CAF and submitted this to their home local authority, the application must still be considered without the additional information. If a SIF is not received then the application can only be considered in accordance with the information available to the governing body from the CAF, and this may result in the application being given lower priority for a place, in line with the admission arrangements and oversubscription criteria for that school.

Where a SIF is required it must be returned to the preferred school by the application deadline of 15 January 2019. The school concerned may not process any additional information received after this date. Please contact the school you are interested in directly for further information about the additional information they require.

Changes of address

School places will be allocated using the home address which is named on the Common Application Form at the point of the national closing date (15th January 2020), unless any of the following three conditions are met:

- **House move prior to 15th January 2020:** Where the home address changes before the closing date for applications, parents must notify the Admissions Service of the change of address and, if required, will be permitted to amend their

school preferences. Parents will need to contact the Admissions Service to update the application.

Some admission authorities may have additional residency requirements which parents must abide by in order for their application to be classed as on time. See each school's admission arrangements for clarification.

- **House move after 15th January 2020, but on, or before, 3rd February 2020:** Where the home address changes after the closing date for applications, but before the extended deadline for families who are moving (either within or into the county), parents can contact the School Admissions Service and will be permitted to submit, or amend, an application, as long as this is done before 11.59pm on 3rd February 2020.

The child must be residing (living) in the new property by the deadline of 3rd February 2020.

- **House move after 3rd February 2020:** Where an application is made by the National closing date of 15th January 2020, but a house move happens after this date and no evidence could be submitted by the extended deadline of 3rd February 2020, the application will be considered using the previous address which was named on the application.

Proof of Address

Address details will not be updated on an application until suitable documentation has been received by the Admissions Service that shows that the family, including the child for whom the application is being made, is resident in the property.

Suitable proof of address in these circumstances can include either: a full copy of the signed tenancy agreement (which should terminate on, or after, 2nd September 2020), or a letter from the family's solicitor confirming that there has been an exchange of contracts on the new property.

It is the family's responsibility to ensure that such documents are received by the Admissions Service.

All emails sent to the service will be automatically acknowledged. If you wish to send documents via post then we would strongly recommend that you use a recorded delivery method.

If you have any difficulty in submitting any of the documents stated above then please contact the Admissions Service, who can advise you further.

Where a house move has occurred after the 3rd February deadline, and no application has previously been made to Warwickshire, an application must be made and suitable documentation to confirm the new address must be submitted.

In this case, the application will be classed as late and will not be considered in the first round of offers, which will be released on 16th April 2020. However, the application will be given consideration in the first reallocation round, commencing on 5th May 2020, as long as the application **and** suitable proof of the new address is received by the relevant reallocation round deadline: 11.59pm on 29th April 2020.

Applications received after 12.01am on 29th April 2020, but before 11.59pm on 3rd June 2020, will be classed as late and will only be considered in line with the second or third reallocation dates, depending on the date the application is received by the School Admissions Service. Applications received after 11.59pm on 3rd June 2020 will be processed on an ad hoc basis.

Applications for schools in other local authorities and applications for Warwickshire schools from families living in other local authorities

Applications for schools in other local authorities, and any relevant additional / supplementary information, will be electronically forwarded to the relevant coordinating local authority, in line with the timetable found at the beginning of this document.

Warwickshire School Admissions Service will also receive applications from other local authorities in line with the timetable found at the beginning of this document. These will be recorded and passed to admission authorities, as appropriate. If the application is for a Community or Voluntary Controlled school then the Admissions Service will give consideration for places alongside other applicants, in line with the relevant oversubscription criteria.

Multiple applications made by the same parent / household

If more than one application is made prior to the closing date of 15th January 2020, by the same parent / household, then only the newest application will be processed (ie: the last application made before the deadline). Any applications made previously will not be processed.

If the newest application is submitted after the closing date then it will be treated as a late application (unless there has been a change of address, in line with the requirements detailed above) and any previous applications will be disregarded.

If a school place has been offered by School Admissions Service and an applicant then chooses to submit further applications, the newest application will take priority over any previous applications. Further applications made after the deadline date will be classed as late.

If it is possible to offer a place at one of the preferences on the newest application, the offer will be made and the previous school place offered will be withdrawn.

Applicants may withdraw an application for any of their named school preferences at any time either via telephone, email or in writing via post.

If a request is received for an application for a school to be withdrawn which coincides with National Offer Day, or one of the reallocation rounds, then the offer may already

have been processed and the parent will be notified of this. In this instance, the applicant must notify the Admissions Service that the place at that school is no longer required and the offer will be declined and withdrawn by the Admissions Service.

Multiple applications made by Separated Parents

The Admissions Service will not become involved in disputes between parents, or parties, regarding applications for school places.

Where parents cannot agree on either the home address or the school preferences to name on an application (or both), the Admissions Service will contact both parents to inform them of the situation and to request that they confirm between themselves, and to the local authority, which application and school preferences to take forward. This may require the involvement of the courts, if necessary.

If this fails to resolve the matter then the Admissions Service reserves the right to consider only the application made by the parent with whom the child resides for the majority of nights during the school week.

Where the child spends 50% of their time with each parent, and a decision cannot be reached between them by the relevant closing date for the submission of applications, the local authority will use a random number generator to determine the result. This will determine which application (including address details and school preferences) to consider when allocating the child a school place.

The draw will be carried out by two officers of the Admissions Service in the presence of a local authority solicitor. The result of the draw will be recorded and countersigned at the time by all parties involved and both parents will be notified of the outcome in writing. Random allocation will take place prior to the first exchange of application data. All other applications will then be disregarded.

How offers are determined

Subject to the above, admission authorities must consider all applications. If there are more applications received for a school than there are places available then the relevant oversubscription criteria for the school will be assigned to each application.

Warwickshire Admissions Service carries out this function for all Community and Voluntary Controlled schools (as Warwickshire is the 'admission authority' for these schools), and by prior agreement for other admission authorities, such as academies and voluntary aided schools. No offers will be made without first liaising with the appropriate admission authority for that school.

If a school is oversubscribed then the admission authority must produce an intake list, in ranked order, which must include all those who have expressed a preference for the school. The ranked list must be returned to Warwickshire Admissions Service. Where it has been agreed that the Admissions Service will carry out this function for an admission authority, it is that admission authority's responsibility to ensure that they are in agreement with the intake list. Any issues must be raised with the Admissions Service by the date set out in the timetable at the beginning of this document.

In the case of Community and Voluntary Controlled schools, the Admissions Service will apply the oversubscription criteria.

In the majority of cases, and where possible, the aim will be to offer a place at the school named as the highest preference. Where it is possible to offer a place at more than one of the preferred schools named on the application, a place will be offered at the school listed as the highest preference out of the schools where an offer can be offered. Any applications for schools which are listed as lower preferences than the school offered will then be automatically withdrawn.

Where the Admissions Service is unable to allocate a place at any preferred school, a place will be allocated at the next nearest school has availability. If the next nearest school has an admission authority other than Warwickshire County Council, then permission will be sought from that admission authority to make such offers. The next nearest school with availability will be identified based on distance, calculated as set out below.

A single school place should be identified for each child by the end of the coordinated admissions process.

Distance

Distance will be calculated by a straight line measurement from the address point location coordinate of the applicant's home address (as set by Ordnance Survey) to the centre point ('centroid') of the school in question. The centroid is a pre-determined point set by Warwickshire County Council and all distances are subject to changes which may occur with updates of mapping data.

Published Admission Number (PAN)

Where schools have more applications to consider than there are places available, offers will be made in accordance with the school's Published Admission Number (PAN), as part of the coordinated admissions process. Where an admission authority wishes to admit over its PAN, as part of the coordinated process, the process outlined in the following paragraph – 'Offers over PAN' - should be followed.

Offers over PAN

Where an admission authority wishes to admit children over and above their PAN, as part of the coordinated admissions scheme, they must make this request in writing to the Admissions Service by no later than the end of the Autumn term prior to the relevant entry year (ie: 20th December 2019 for September 2020 entry). The Local Authority will agree to such requests, where the request is received in good time (ie: by the above deadline), where the admission authority can show that the school has capacity and finances to support admitting over PAN, and where admitting over PAN would not adversely affect offers made for other schools in the local area.

Where such a request is received after the date outlined above then the determined PAN will be honoured, in relation to the coordinated admissions scheme, and offers

made up to PAN (where possible) in line with National Offer Day – 16th April 2020. The request will then be taken into account in line with the specified reallocation dates, where possible to do so, and only where the admission authority can show that the school has capacity and finances to support admitting over PAN, and where admitting over PAN would not adversely affect offers made for other schools in the local area.

Where further capacity is required to provide every child in Warwickshire with an appropriate school place, a discussion will be held with the school by members of the Admissions team and officers in School Place Planning to reach an agreement.

Notification of offers

National Offer Day is 16th April 2020.

Warwickshire Admissions Service will communicate to all parents who are resident within the county, who have made an **on time** application (ie: by the deadline of 15th January 2020 or, if relevant, by the extended deadline for a house move), regarding the school place which has been offered. This applies to schools offered within either Warwickshire or another local authority, and will give the reason as to why schools which were named as higher preferences have not been offered, if applicable.

All applicants who made an on time application online will receive notification of the school place offered, **after** 8.30am on 16th April 2020. These offers will be sent via email and will also be available to view via the online parent portal system.

Offer letters will only be sent to parents who completed an application over the telephone or via paper copy. Letters will be sent second class, with the intention of them being received by the recipient **after** 16th April 2020.

When an applicant is not offered their first preference school they will be provided with the following information (this may be via an electronic link to such documents, where the offer is sent by email):

- a) Information about their right of appeal against any refusal of a place,
- b) A breakdown of the offers made for each school,
- c) Information about the waiting list process.

Appeals

Where applicable, parents will be informed of their statutory right of appeal when they receive the outcome of their application. Parents can appeal for any preference where they have received a refusal. However, applicants cannot appeal for a place at a school listed as a lower preference than the school place offered. This is because the application will not have been considered for the school listed as a lower preference than the school offered and will have been automatically withdrawn.

Appeals for places at Community and Voluntary Controlled Schools can be lodged on the Warwickshire County Council website. For other schools which do not have Warwickshire County Council as its admission authority, such as academies and voluntary aided schools, parents should contact the school directly for details of the

appeals process. A list of these schools is available on the Warwickshire County Council website.

Late applications

Every effort will be made to encourage parents to submit their application by the closing date of 11.59pm on 15th January 2020. However, if an application is received after this deadline then it will be classed as late (unless the rules on a change of address prior to 3rd February 2020 apply). Late applications will not be processed until **after** National Offer Day on 16th April 2020.

Late applications will be considered as part of the relevant reallocation round, depending on when the application is received. Late applications will be considered on the reallocation dates listed in the timetable at the beginning of this document.

If the applicant requests that new preferences are added to the application, and the 15th January 2020 deadline has passed, such amendments will be classed as **late**. Any schools named on the application prior to 15th January 2020 deadline will not be affected and will remain as on time.

Each application will be limited to a maximum of six active preferences at any one time during the coordination admissions process. Where adding a further school preference, at the request of the applicant, would cause the application to contain more than six preferences, then a preference of the applicant's choosing must first be withdrawn from the process, otherwise the new preference school will not be added to the application.

In respect of own admission authority schools who have bought into the coordinated admissions process for 2020 entry, information about late applications will be made available to those admission authorities after National Offer Day, for consideration as part of the reallocation rounds. The admission authorities will be required to assign relevant oversubscription criteria, as well as carrying out any relevant checks, and they will also be made aware of any offers made through the reallocation process.

In the case of a late application, where it is possible to offer a place at more than one of the preferred schools through one of the reallocation rounds, a place will be offered at the school listed as the highest preference on the application.

'Unplaced' offers

Where the local authority is unable to allocate a place at any of the preferred schools named on the child's application, either on National Offer Day or through any of the reallocation rounds, a place will be allocated at the next nearest school which still has availability at that time. The next nearest school with availability will be identified based on distance calculated by straight line measurement. This school offer will be referred to as 'unplaced' as it will be an offer for a school which the family did not name – 'place' - on their application.

Waiting lists

Only one school place will be offered as part of the coordinated admissions process.

Where a school is offered on National Offer Day, and this was named as a lower preference school on the application than a re-offer that can be made as part of one of the reallocation rounds (or any point afterwards), a re-offer for the higher preference school that can be offered from the waiting list will be made.

Where the re-offered, higher preference, school is then accepted by the parent, the previous school offered will be automatically withdrawn. The Admissions Service will attempt to contact the family prior to any re-offer being made, to obtain the family's continued interest in an alternative school, where possible.

Children will automatically be added to the waiting lists of any non-selective schools listed as a higher preference than the school at which a place is initially offered.

The waiting lists for Warwickshire schools will not order children based on the date the application was received, so there will be no distinction between on time applications and those which have been classed as late. Waiting lists will be held in the order of the admission authority's oversubscription criteria.

Waiting lists will be re-ranked prior to each reallocation round, and when a new application is received thereafter. Admission authorities will be required to assign oversubscription criteria where new applications are received, or a previous application is amended (eg: a change of address).

Applications made after National Offer Day, in respect of schools who are their own admission authority but do not buy into the Admissions Service, will be made available to those schools in order for criteria to be assigned and waiting lists ranked, in line with the relevant reallocation dates (and thereafter, when new applications are received).

The local authority will continue to operate the coordinated admission scheme, in relation to processing new applications and allocating places, where this is appropriate, up to and including 28th August 2020.

For every over-subscribed Community and Voluntary Controlled school, Warwickshire Admissions Service will retain a waiting list until the end of the Autumn term (31st December 2020). At that point all waiting lists will be cleared and all applicants will be removed from the lists.

If the parent wishes for their child to remain on the waiting list after this period then they will need to complete and submit a Change of School application form, a copy of which will be available on the County Council's website.

Waiting lists will then be cleared at the end of each subsequent term (Spring and Summer) and parents must contact the Admissions Service to confirm their continued interest in the schools applied for in order to remain on the waiting list for a school.

Failure to make contact with the Admissions Service, to confirm continued interest in a place at a particular school, by the beginning of both the Spring term and the Summer term (2021), will result in the child being removed from the relevant waiting lists. A new

Change of School application will then need to be made if the family would like to maintain their interest in obtaining a place at a different school for their child.

For other admission authorities – eg: academies and voluntary aided schools - parents should contact the school for details of their waiting list policy. For the majority of these schools, the waiting list will continue to be held by the local authority, but in some cases there will be no waiting list held at all after 31st December 2020.

Applying for a place in a junior school

The normal point of entry to a Junior school is Year 3. The local authority coordinates the process of allocating places to these schools.

Parents who have a child in Year 2 at an Infant school, who will need to transfer to Year 3 in a Junior school from September 2020, will be eligible to apply for a place through this coordinated admissions scheme using the Common Application Form (CAF).

Applications will also be received and processed in line with the coordinated admissions scheme, for children in Year 2 at a primary school who wish to transfer to Year 3 at a junior school.

As Year 3 is not the 'normal point of entry' in a primary school, applications for children in Year 2 at an infant school, who wish to move to a primary school for Year 3 in September 2020, should follow the in-year admissions process, from 8th June 2020. Such applications will not be processed as part of the coordinated admissions scheme.*

Applications for children in Year 2 at a primary school, who wish to change to a different primary school for Year 3 in September 2019, should also follow the in-year admissions process, from 8th June 2020. Such applications will not be processed as part of the coordinated admissions scheme.

**Please note that the Local Authority may request that a small number of primary schools within the county make 'unplaced' offers to children, as part of the coordinated admissions process, where it is concluded that there is not enough capacity within junior schools in the local area to satisfy need. This will be an agreement made between the Local Authority and the schools concerned only.*

Accepting the school place offered

Warwickshire parents will be asked to respond to the offer of a school place issued on 16th April by the deadline of 24th April 2020. Acceptance of the place can be done through the online application portal, or via email or over the telephone through the Admissions Service.

Failure to respond to the offer by the deadline stated above will result in a letter being sent to the family on 27th April 2020, giving a further deadline to respond and confirm acceptance of the school place offered.

Failure to respond to this further correspondence may then result in the school offer being withdrawn from the child. Parents will continue to receive correspondence from Warwickshire County Council regarding the child's school destination for September

2020 and may also be referred to the Attendance, Compliance and Enforcement team (ACE), who may take legal action against a parent, where deemed necessary.

Where an offer is made through one of the specified reallocation rounds, or thereafter, the family will be notified, in writing, of the deadline to accept or decline the offer. Failure to comply with this may result in the offer being withdrawn and the child will retain their previous offer of a school place.

Declining the school place offered

Where a family wish to decline the place offered, this cannot be done via the online portal and must be done either over the telephone or via email through the Admissions Service

Coordination after National Offer Day

The School Admissions Code makes it clear that parents must continue to apply through their home authority for school places as part of the coordinated admissions scheme (ie: between 16 April and 31 August for Reception, Infant and Junior transfers). This will ensure that, as places become available, they are re-allocated effectively and duplicate offers are avoided. All admission authorities must continue to follow the coordinated scheme until 1st September 2020 and not begin allocating school places themselves during this period.

Cooperation between admission authorities will ensure that each child is offered only one school place and that it is the highest preference possible that can be offered from the child's application.

From 1st September 2020 the coordinated scheme will cease and the In-Year Admissions process will begin.

Applications from overseas residents

UK Military families/Crown Servants

For families of UK Service Personnel with a confirmed posting within the county, or crown servants returning from overseas to live in the county, admission authorities:

- **Must** allocate a place in advance of the family arriving in the area, provided the application is accompanied by an official letter that declares a relocation date and a Unit postal address or quartering area address when considering the application against their oversubscription criteria. This must include accepting a Unit postal address or quartering area address for a service child.
- **Must** ensure that arrangements in their area support the Government's commitment to removing disadvantage for service children. Arrangements must be appropriate for the area and be described in the local authority's composite prospectus.

- **Must not** refuse a service child a place because the family does not currently live in the area, or cannot provide documentary evidence of residence at a particular property
- **Must not** reserve blocks of places for these children.

The application will follow the coordinated admissions process in all other respects, as outlined in this document.

Families moving to, or back to, the UK (Non-Military)

There is no legal requirement to process applications from other families coming from overseas who are not yet resident within Warwickshire, except as set out above.

Applications from overseas families in all other cases will therefore only be processed in line with the coordinated scheme once the family, including the child for whom the application is being made, can show evidence that they will be residing in Warwickshire imminently. Proof of residence may be requested at any time during the application process and the application will only be processed once sufficient documentation, that confirms a Warwickshire address, has been provided to the Admissions Service.

Where both an application for school places AND documentation relating to the family's new address is provided by the extended deadline of 3rd February 2020 for families moving into the county, then the application will be treated as on time and processed alongside all other applications. Applications and/or sufficient residency documentation received after this deadline will be treated as late and will not be processed until after 16th April 2020.

Where schools are their own admission authority, their residency requirements may be different but will be stated in the admission arrangements for those schools concerned.

For schools where Warwickshire County Council is the admission authority, there is also an expectation that the child and applicant will still be in residence at the address used to allocate a place from the start of term in September 2020, at least.

Short-term house moves purely to secure a school place may be considered fraudulent or intentionally misleading and, in such circumstances, the place may be withdrawn, even when the child has started at the school concerned. Other admission authorities have similar provisions in their own admission arrangements. Please contact individual schools for further information on this.

Deferred Entry into Reception

(ie: requests for children to be educated outside of their chronological year group)

As required by the School Admissions Code, Warwickshire County Council operates a process for the admission of all children to start school in the September following their fourth birthday.

However, some parents may feel their child is not ready to start school at this point, perhaps due to a medical issue or special educational need which has caused some level of developmental delay.

Parents can request for their child to be educated out of their chronological year group and start Reception a year later. This is referred to as '**deferred entry**'.

Parents who wish to request that their child be educated outside of their chronological year group, and therefore start school a year later (or a year earlier, in some cases) than normal, should read the '**Guidance and Policy relating to the education of children outside of their chronological year group**' and complete the relevant request form, which can both be found on the website: www.warwickshire.gov.uk/admissions

Requests for a child to be educated out of year group must be made in line with the relevant deadline for making such a request. Where a child should chronologically be starting school in September 2020, but the family wishes to defer entry for a year, the deadline to make such a request (for entry in September 2021) is 1st December 2019 (or the next working day if 1st December 2019 falls on a weekend). Requests received after this deadline may not be given consideration until after National Offer Day on 16th April 2020, in line with the above.

Request forms will not be processed unless approval has been given from the schools concerned, as noted on the specific request form. An agreement for a child to be educated out of year group is **not** a guarantee of a school offer.

Requests to defer entry into Reception will not be agreed if the only reason is that a place has not been offered at one of the preferred schools through the coordinated admissions process for the correct chronological year group.

Parents are reminded that children must be in receipt of a full-time education from the beginning of the first academic term to start after the child's fifth birthday.

Delayed entry into Reception

Parents may consider it appropriate for a child to start school in Reception later in the academic year, perhaps due to medical issues or because they are a summer-born child and are not felt to be ready to start school in the September.

An application for a school place must be made in line with the coordinated admissions process, and all relevant deadlines adhered to, so that a school offer can be made prior to the request for delayed entry being made by the parent.

This request must then be made (after school offers have been released on 16th April 2020), in writing, directly to the head teacher of the school at which an offer has been made and accepted. If delayed entry is agreed then the school place will be held until the date it is agreed between the parent and the school that the child will start at the school.

This may be a preferable alternative than deferring entry completely until a whole year later as it will give the child the opportunity to settle into Reception, make friends and

become familiar with the educational setting, and then be prepared to start in Year 1 the following September.

The parent is responsible for sourcing any childcare provision which is required prior to the child starting at school later in the academic year, and the child will still receive their free entitlement until they start school.

Parents are reminded that children must be in receipt of a full-time education from the beginning of the first academic term to start after the child's fifth birthday.

Part-time attendance in Reception

When a child starts school in Reception, the offer of a place is made on the assumption that attendance will be on a full-time basis, from the September after their fourth birthday, as is the child's entitlement.

However, part-time attendance can be arranged in certain cases. This is where the child will still start in Reception in September but will attend for fewer hours, either for a short period or more long-term. Part-time attendance could be appropriate for a child who tires easily, possibly due to a medical condition.

An application for a school place must be made in line with the coordinated admissions process, and all relevant deadlines adhered to, so that a school offer can be made prior to the request for part-time attendance being made by the parent.

This request must be made, in writing, directly to the head teacher of the school at which an offer has been made and accepted. This may be a preferable alternative than delaying entry until later in the year as it will give the child the opportunity to settle in gradually but they will still be able to make friends and become familiar with the educational setting.

If you wish to combine a part-time school place with any other childcare provider, your child's free entitlement will be used to pay for the school provision. You will need to pay the childcare provider for the hours used at the private provision.

Parents are reminded that children must be in receipt of a full-time education from the beginning of the first academic term to start after the child's fifth birthday.

Home-to-School Transport Assistance

An offer of a school place does not necessarily mean that home-to-school transport assistance will be automatically provided to the child.

Applications for home-to-school transport assistance – usually in the form of a free bus pass – are assessed in line with the relevant Transport Policy. The criteria set out in that policy is different to the criteria and policy which is followed in relation to the school admissions process, and the time of making an application for transport assistance can also have an impact on the outcome, as this will not necessarily correlate with the school admissions process.

If transport assistance has been approved, but an alternative school can be offered from a waiting list, then this assistance may be stopped if the place from the waiting list is not taken up. Where transport assistance is requested in the case of a child who has been given an 'unplaced' school offer, such cases will be considered on an individual basis.

It is important that parents consider their child's transport options to and from school when making an application for school places. Where families are not eligible for home-to-school transport assistance then it is the legal responsibility of the parent / carer to ensure that the child gets to and from school each day, not the local authority.

Where a child is eligible for home-to-school transport assistance then this responsibility does rest on the local authority. Applications for transport assistance are processed and considered in line with the relevant Transport Policy, using specific criteria.

Information on applying for transport assistance, and the criteria used when assessing applications, can be found on the Warwickshire website at:
www.warwickshire.gov.uk/schooltravel

***An Equality Impact Assessment/
Analysis on this policy was
undertaken in:***

January 2018

***It will be reviewed in January
2021.***

Appendix 1

Warwickshire Infant and Junior schools

Area	Infant schools	<i>PARTNER OF</i>	Junior schools
Nuneaton & Bedworth			
	Abbey C of E Infant School	<i>PARTNER OF</i>	Queen's C of E Academy
	Arden Forest Infant School (Bulkington)	<i>PARTNER OF</i>	St James C of E Academy (Bulkington)
	Chilvers Coton Community Infant School and Nursery	<i>PARTNER OF</i>	Queen's C of E Academy Middlemarch (Foundation) Junior School
	Exhall Cedars Infant School, Exhall	<i>PARTNER OF</i>	St Giles Junior School, Bedworth
	Galley Common Infant School Nathaniel Newton Infant School	<i>PARTNER OF</i>	Michael Drayton Junior School (Hartshill)
	Glendale Infant School	<i>PARTNER OF</i>	Croft Junior School Middlemarch Junior School
	Race Leys Infant School (Bedworth)	<i>PARTNER OF</i>	Race Leys Junior School (Bedworth)
	Whitestone Infant School	<i>PARTNER OF</i>	Chetwynd Junior School
East (Rugby)			
	Abbots Farm Infant School	<i>PARTNER OF</i>	Abbots Farm Junior School

	Bawnmore Community Infant School	<i>PARTNER OF</i>	Bilton C of E Junior School
	Bilton Infant School		
	Boughton Leigh Infant School	<i>PARTNER OF</i>	Boughton Leigh Junior School
	Brownsover Community Infant School		
	Dunchurch (Foundation) Infant School	<i>PARTNER OF</i>	Dunchurch Boughton C of E (Aided) Junior School
	Leamington Hastings C of E Academy		
	Henry Hinde Infant School	<i>PARTNER OF</i>	Henry Hinde Junior School
Central/South			
	Briar Hill Infant School, Whitnash	<i>PARTNER OF</i>	St Margaret's C of E Junior School, Whitnash
	Emscote Infant School, Warwick	<i>PARTNER OF</i>	All Saint's C of E Junior School, Warwick
	Telford Infant School, Leamington	<i>PARTNER OF</i>	Telford Junior School, Leamington
	Thorns Community Infant School, Kenilworth	<i>PARTNER OF</i>	Park Hill Junior School, Kenilworth
	Studley Community Infant School	<i>PARTNER OF</i>	Studley St Mary's C of E Academy, Studley

Warwickshire County Council **Oversubscription Criteria for Community and Voluntary Controlled** **Primary, Infant and Junior Schools**

2020 / 2021 Academic Year

Primary Schools

(Reception entry)

In the event that a Warwickshire Community or Voluntary Controlled primary school is oversubscribed, then the following oversubscription criteria will be used when allocating places:

1a. Children in the care of, or provided with accommodation by, a local authority within England, and children who were looked after, but ceased to be so because they were adopted (or became subject to a child arrangements order or special guardianship order);

(a copy of the interim / full care order, or a copy of the adoption certificate, must be submitted with the application)

1b. Children who have been adopted, either through a local authority or through a voluntary adoption agency that is registered with CVAA UK.

This category applies to all adoptions which do not fit within Category 1a, including those which take place outside of English law;

(a copy of the adoption certificate must be submitted with the application)

2. Children who are in receipt of either the Early Years Pupil Premium or the Service Premium, with no more than 14%* of the places available to be allocated under this category. The child must be in receipt of the premium at the time the application is made, or have been in receipt at any point since the child turned three years old;

Check your eligibility at: www.warwickshire.gov.uk/freeschoolmeals

**14% represents the national figure (13.7%) of children in receipt of Free School Meals, as stated within the Department for Education's Statistical Publication entitled, 'Schools, Pupils and their Characteristics', issued in June 2018.*

If the number of places from the percentage results in a decimal number then this will be rounded down to a whole number if .4 or below, and rounded up to a whole number if .5 or above.

Eg: 14% of 30 = 4.2. In this case, the number of places available to allocate within this category would be a rounded down to a whole number of 4.

3. Children who are subject to a Child in Need Plan or a Child Protection Plan at the time of making the application, or who have been at any point since 1 September 2015, with no more than 9% of the places available to be allocated under this category;

Further checks will be undertaken by Warwickshire County Council to confirm circumstances for children who are considered under this category.

***9% represents an average figure (8.7%) within the local authority of children either in need or on a child protection plan (where the conference stage commenced), when compared with cohort sizes of children aged 4 – 16, resident in Warwickshire within the 2017/18 academic year. Data obtained from the Department for Education's statistical publication entitled, 'Characteristics of Children in Need', which contains analysis of data obtained in March 2017.*

*If the number of places from the percentage results in a decimal number then this will be rounded down to a whole number if .4 or below, and round up to a whole number if .5 or above.
Eg: 9% of 30 = 2.7. In this case, the number of places available to allocate within this category would be a rounded up to a whole number of 3.*

If there are more applicants who comply with either category 2 or 3 than the number of places available under that category, places will be allocated based on the distance between home and school, in line with the rules set out in these criteria for 'Priority within each over-subscription criterion'.

4. Children living in the priority area for the school, who will have a sibling attending the same school in Years 1 - 6 at the time of admission in September 2020;

5. Other children living in the priority area for the school;

6. Children living outside the priority area for the school, who will have a sibling attending the same school in Years 1 – 6 at the time of admission in September 2020;

7. Other children living outside the priority area for the school.

Please note:

- a) Children with an Education, Health and Care (EHC) Plan that names a school will be admitted first. In this event, the number of places that remain for allocation will be reduced.
- b) Children attending, or with a place at, a nursery class do not have a higher priority for - and are not guaranteed - a place at the attached primary school.
- c) 'PAN' = Published Admission Number
The PAN for each individual school is confirmed in the local authority's documentation relating to the 2020 entry year, which can be found online at: www.warwickshire.gov.uk/schoollcriteria

Infant Schools

(Reception entry)

In the event that a Warwickshire Community or Voluntary Controlled infant school is oversubscribed, then the following oversubscription criteria will be used when allocating places.

1a. Children in the care of, or provided with accommodation by, a local authority within England, and children who were looked after, but ceased to be so because they were adopted (or became subject to a child arrangements order or special guardianship order);

*(a copy of the interim / full care order, or a copy of the adoption certificate, **must** be submitted with the application)*

1b. Children who have been adopted, either through a local authority or through a voluntary adoption agency that is registered with CVAA UK.

This category applies to all adoptions which do not fit within Category 1a, including those which take place outside of English law;

*(a copy of the adoption certificate **must** be submitted with the application)*

2. Children who are in receipt of either the Early Years Pupil Premium or the Service Premium, with no more than 14%* of the places available to be allocated within this category. The child must be in receipt of the premium at the time the application is made, or have been in receipt at any point since the child turned three years old;

Check your eligibility at: www.warwickshire.gov.uk/freeschoolmeals

**14% represents the national figure (13.7%) of children in receipt of Free School Meals, as stated within the Department for Education's Statistical Publication entitled, 'Schools, Pupils and their Characteristics', issued in June 2018.*

If the number of places from the percentage results in a decimal number then this will be rounded down to a whole number if .4 or below, and rounded up to a whole number if .5 or above.

Eg: 14% of 30 = 4.2. In this case, the number of places available to allocate within this category would be a rounded down to a whole number of 4.

3. Children who are subject to a Child in Need Plan or a Child Protection Plan at the time of making the application, or who have been at any point since 1 September 2015, with no more than 9% of the places available to be allocated under this category;

Further checks will be undertaken by Warwickshire County Council to confirm circumstances for children who are considered under this category.

***9% represents an average figure (8.7%) within the local authority of children either in need or on a child protection plan (where the conference stage commenced), when compared with cohort sizes of children aged 4 – 16, resident in Warwickshire within the 2017/18 academic year. Data obtained from the Department for Education's statistical publication entitled, 'Characteristics of Children in Need', which contains analysis of data obtained in March 2017.*

If the number of places from the percentage results in a decimal number then this will be rounded down to a whole number if .4 or below, and round up to a whole number if .5 or above.

Eg: 9% of 30 = 2.7. In this case, the number of places available to allocate within this category would be a rounded up to a whole number of 3.

If there are more applicants who comply with either category 2 or 3 than the number of places available under that category, places will be allocated based on the distance between home and school, in line with the rules set out in these criteria for 'Priority within each over-subscription criterion'.

4a. Children living in the priority area for the school, who will have a sibling attending the same school in Year 1 or 2 at the time of admission in September 2020;

4b. Children living in the priority area for the school, who will have a sibling attending the partner junior school in Years 3 - 6 at the time of admission in September 2020*;

5. Other children living in the priority area for the school;

6a. Children living outside the priority area for the school, who will have a sibling attending the same school in Year 1 or 2 at the time of admission in September 2020;

6b. Children living outside the priority area for the school, who will have a sibling attending the partner junior school in Years 3 - 6 at the time of admission in September 2020*;

7. Other children living outside the priority area for the school.

**If you are also applying for a Year 3 place at the partner junior school for another child, for entry in September 2020, please be aware that they will not be considered as a sibling link for the infant school applicant until after that child has been offered a place at the junior school and you have confirmed your acceptance of the Year 3 place.*

Please note:

- a) Children with an Education, Health and Care (EHC) Plan that names a school will be admitted first. In this event, the number of places that remain for allocation will be reduced.
- b) Children attending, or with a place at, a nursery class do not have a higher priority for - and are not guaranteed - a place at the attached infant school.
- c) A table showing a full list of the 'partner' infant and junior schools within the county can be found at Appendix 1 of this document.
- c) 'PAN' = Published Admission Number
The PAN for each individual school is confirmed in the local authority's documentation relating to the 2020 entry year, which can be found online at: www.warwickshire.gov.uk/schoollacriteria

Junior Schools **(Year 3 entry)**

In the event that a Warwickshire junior school is oversubscribed, then the following over-subscription criteria will be used when allocating places:

1a. Children in the care of, or provided with accommodation by, a local authority within England, and children who were looked after, but ceased to be so because they were adopted (or became subject to a child arrangements order or special guardianship order);

*(a copy of the interim / full care order, or a copy of the adoption certificate, **must** be submitted with the application)*

1b. Children who have been adopted, either through a local authority or through a voluntary adoption agency that is registered with CVAA UK.

This category applies to all adoptions which do not fit within Category 1a, including those which take place outside of English law;

*(a copy of the adoption certificate **must** be submitted with the application)*

2. Children who are in receipt of either the Early Years Pupil Premium or the Service Premium, with no more than 14%* of the places available to be allocated within this category. The child must be in receipt of the premium at the time the application is made, or have been in receipt at any point since the child turned three years old;

Check your eligibility at: www.warwickshire.gov.uk/freeschoolmeals

**14% represents the national figure (13.7%) of children in receipt of Free School Meals, as stated within the Department for Education's Statistical Publication entitled, 'Schools, Pupils and their Characteristics', issued in June 2018.*

If the number of places from the percentage results in a decimal number then this will be rounded down to a whole number if .4 or below, and rounded up to a whole number if .5 or above.

Eg: 14% of 30 = 4.2. In this case, the number of places available to allocate within this category would be a rounded down to a whole number of 4.

3. Children who are subject to a Child in Need Plan or a Child Protection Plan at the time of making the application, or who have been at any point since 1 September 2015, with no more than 9% of the places available to be allocated under this category;

Further checks will be undertaken by Warwickshire County Council to confirm circumstances for children who are considered under this category.

***9% represents an average figure (8.7%) within the local authority of children either in need or on a child protection plan (where the conference stage commenced), when compared with cohort sizes of children aged 4 – 16, resident in Warwickshire within the 2017/18 academic year. Data obtained from the Department for Education's statistical publication entitled, 'Characteristics of Children in Need', which contains analysis of data obtained in March 2017.*

If the number of places from the percentage results in a decimal number then this will be rounded down to a whole number if .4 or below, and round up to a whole number if .5 or above.

Eg: 9% of 30 = 2.7. In this case, the number of places available to allocate within this category would be a rounded up to a whole number of 3.

If there are more applicants who comply with either category 2 or 3 than the number of places available under that category, places will be allocated based on the distance between home and school, in line with the rules set out in these criteria for 'Priority within each over-subscription criterion'.

4. Children who currently attend the partner infant school and who intend to remain at that school until the end of the 2019/20 academic year in July 2020;

5a. Children living in the priority area for the school, who will have a sibling attending the same school in Years 4, 5 or 6 at the time of admission in September 2020;

5b. Children living in the priority area for the school, who will have a sibling attending the partner infant school at the time of admission in September 2020*;

6. Other children living in the priority area for the school;

7a. Children living outside the priority area for the school, who will have a sibling attending the same school in Years 4, 5 or 6 at the time of admission in September 2020;

7b. Children living outside the priority area for the school, who will have a sibling attending the partner infant school at the time of admission in September 2020*;

8. Other children living outside the priority area for the school.

**If you are also applying for a Reception place at the partner infant school for another child, for entry in September 2020, please be aware that they will not be considered as a sibling link for the junior school applicant until after that child has been offered a place at the infant school and you have confirmed your acceptance of the Reception place.*

Please note:

- a) Children with an Education, Health and Care (EHC) Plan that names a school will be admitted first. In this event, the number of places that remain for allocation will be reduced.
- b) A table showing a full list of the 'partner' infant and junior schools within the county can be found at Appendix 1 of this document.
- c) 'PAN' = Published Admission Number
The PAN for each individual school is confirmed in the local authority's documentation relating to the 2020 entry year, which can be found online at: www.warwickshire.gov.uk/schoollacriteria

The following terms and definitions apply to the oversubscription criteria for Warwickshire Community and Voluntary Controlled Infant, Primary and Junior Schools.

➤ **Priority Areas**

Each community and voluntary controlled school has an area identified as its priority area (this is sometimes referred to as a 'catchment area').

A small number of schools share priority areas; these are known as 'shared priority areas'. Full details of priority areas are available on the Warwickshire County Council website and can be viewed using interactive maps.

Infant and Primary School Priority Area Maps can be accessed at:
<http://www.warwickshire.gov.uk/mapinfantprimaryschools>

Junior and Primary School Priority Area Maps can be accessed at:
<http://www.warwickshire.gov.uk/mapjuniorprimaryschools>

Some own admission authority schools do not have a priority ('catchment') area. Full details can be found in the individual admission arrangements for own admission authority schools.

➤ **Priority within each over-subscription criterion**

Where applicants are allocated the same criterion, priority is given in order of distance between the child's home and the school applied for (shortest distance = highest priority).

Distance will be calculated by using a straight line measurement from the address point location coordinate of the applicant's home address (as set by Ordnance Survey) to the centre point ('centroid') of the school in question. (The centroid is a predetermined point set by Warwickshire County Council and all distances are subject to changes which may occur with updates of mapping data).

Transport Assistance will not be approved on the sole basis that the school offered is the catchment school and will only be provided in accordance with Warwickshire County Council's Home-to-School Transport Policy. This may mean that the nearest appropriate school – for transport purposes – may be a school in a different priority area.

➤ **Sibling, i.e. brother or sister, attending the school at the time of admission**

Sibling is defined as: a full brother or sister; a half brother or sister; an adopted brother or sister; a child living in the same address who is being Looked After by a local authority; a step-brother or sister; or the child of a parents' partner, where the child for whom the school place is being sought is living in the same family unit and at the same address as that sibling.

➤ **Definition of Home Address**

Where the child normally resides during the school week and where they sleep for at least 50% of the week.

If arrangements are such that a child resides at two addresses for equal amounts of time, then parents must decide which address to use for admissions purposes. Failure to agree on the address to use on the child's application for a school by the national closing date will result in Warwickshire County Council using a random number generator to determine which application to process.

Addresses involved in child-minding arrangements, whether with professional child-minders, friends or relatives, are excluded.

Where a school place is offered on the basis of an address which is subsequently found to be different from the address where the child ordinarily resides, that place may be withdrawn. Cases will be assessed on an individual basis and in discussion with any schools named on the application which are their own admission authority.

There is an expectation that the child will be resident at the address used to allocate a place on a long-term basis, and until at least the start of the autumn term (September 2020) in relation to the coordinated admissions process.

Short-term house moves purely to secure a school place may be considered fraudulent or intentionally misleading and, in such circumstances, the place may be withdrawn.

Where a child's address changes after National Offer Day, the Local Authority (acting on behalf of the school, in some cases) may request an explanation for the house move and documentary evidence that the child is resident at the new property. The Admissions Service operates a thorough and robust address checking process, which may include both announced and unannounced home visits

➤ **Postal Address File (PAF)**

The address point location coordinate of the applicant's home address as set by Ordnance Survey.

➤ **Applications made from the same multiple dwelling which shares a single Postal Address File (PAF), and;**

➤ **Other applications where the distance from home to school is identical**

Where required, individual priority for such applicants within a particular criterion will be determined by a random number generator allocation. The draw will be carried out by two officers of the Admissions Service in the presence of a local authority solicitor. The result of the draw will be recorded and countersigned at the time by all parties involved. Applicants will be notified of the outcome in writing.

Warwickshire Infant and Junior Schools

Area	Infant schools	PARTNER OF	Junior schools
Nuneaton & Bedworth			
	Abbey C of E Infant School	<i>PARTNER OF</i>	Queen's C of E Academy
	Arden Forest Infant School (Bulkington)	<i>PARTNER OF</i>	St James C of E Academy (Bulkington)
	Chilvers Coton Community Infant School and Nursery	<i>PARTNER OF</i>	Queen's C of E Academy Middlemarch (Foundation) Junior School
	Exhall Cedars Infant School, Exhall	<i>PARTNER OF</i>	St Giles Junior School, Bedworth
	Galley Common Infant School Nathaniel Newton Infant School	<i>PARTNER OF</i>	Michael Drayton Junior School (Hartshill)
	Glendale Infant School	<i>PARTNER OF</i>	Croft Junior School Middlemarch Junior School
	Race Leys Infant School (Bedworth)	<i>PARTNER OF</i>	Race Leys Junior School (Bedworth)
	Whitestone Infant School	<i>PARTNER OF</i>	Chetwynd Junior School
East (Rugby)			
	Abbots Farm Infant School	<i>PARTNER OF</i>	Abbots Farm Junior School
	Bawnmore Community Infant School Bilton Infant School	<i>PARTNER OF</i>	Bilton C of E Junior School

	Boughton Leigh Infant School	<i>PARTNER OF</i>	Boughton Leigh Junior School
	Brownsover Coomunity Infant School		
	Dunchurch (Foundation) Infant School	<i>PARTNER OF</i>	Dunchurch Boughton C of E (Aided) Junior School
	Leamington Hastings C of E Academy		
	Henry Hinde Infant School	<i>PARTNER OF</i>	Henry Hinde Junior School
Central/South			
	Briar Hill Infant School, Whitnash	<i>PARTNER OF</i>	St Margaret's C of E Junior School, Whitnash
	Emscote Infant School, Warwick	<i>PARTNER OF</i>	All Saint's C of E Junior School, Warwick
	Telford Infant School, Leamington	<i>PARTNER OF</i>	Telford Junior School, Leamington
	Thorns Community Infant School, Kenilworth	<i>PARTNER OF</i>	Park Hill Junior School, Kenilworth
	Studley Community Infant School	<i>PARTNER OF</i>	Studley St Mary's C of E Academy, Studley

Warwickshire County Council In-Year Admissions Process

2020/2021 Academic Year

Terms

The term '**school**', in this document, refers to maintained schools, and academy and free schools. It does not relate to special schools or private (fee-paying) schools, as these schools have their own admission processes.

The term '**parent**', in this document, refers to biological parents, all those with Parental Responsibility, and other person with primary care for a child.

The term '**own admission authority**' school, in this document, refers to state schools for whom the local authority is not the admissions authority, including; Academies; Voluntary Aided; Trust; and Foundation schools. The admission authority for such schools is the governing body or the academy trust.

The term '**infant**' school, in this document, refers to any admission authority school which admits children at the beginning of the Reception year until the end of Year 2.

The term '**junior**' school, in this document, refers to any admission authority school which admits children at the beginning of Year 3 until the end of Year 6.

The term '**primary**' school, in this document, refers to any admission authority school which admits children at the beginning of the Reception year until the end of Year 6.

The term '**secondary**' school, in this document, refers to any admission authority school which admits children at the beginning of Year 7 until (at least) the end of Year 11.

Introduction

The School Admissions Code no longer requires local authorities to coordinate in-year applications for school places. In-year applications are those relevant to when a parent wishes to move their child from one school to another outside of the normal admissions round, for example, because of a house move.

Warwickshire County Council does, however, still coordinate in-year applications for all community and voluntary controlled schools, and the vast majority of own admission authority schools, such as academies. At the time of writing, only the following schools are not part of Warwickshire's In-Year Admissions Scheme:

- All Saints Bedworth C of E Primary School
- Southam St James C of E (VA) Primary School
- St Lawrence C of E (VA) Primary School (Napton)
- St Nicolas C Of E Academy (Nuneaton)

- Studley St Mary's C of E Junior School
- Rugby Free Primary School
- Etone College
- North Leamington School
- Rugby Free Secondary School
- The Queen Elizabeth Academy

TO BE UPDATED, AS REQUIRED

Warwickshire residents wishing to apply for a place at the above schools should contact them directly. Non-Warwickshire residents should instead contact the local authority in which they live to establish the in-year admissions process in relation to their home authority.

In-year admissions also apply where parents would like to move their child from Year 2 in a Primary School into Year 3 of a different Primary school. This is because Year 3 is not the normal point of entry for primary schools.

However, a change of school from Year 2 in an Infant school to Year 3 in a Junior school is classed as a normal point of entry – or ‘transfer round’ - and these applications must follow the coordinated admissions process, which is explained in the Warwickshire County Council admission arrangements for the relevant entry year.

The application process

Families must follow the in-year admissions process by completing a Change of School application form for their child.

This process allows parents to:

- Name up to six schools on the application form, in their order of preference
- Rank their preferred schools in the order they would like their child to be offered a place (parents should name their most preferred school(s) as their first/highest preference on the application).
- Give reasons for each preference.
- Give details of any siblings who will also be attending one of the preferred schools at the point of admission of the child for whom a place is being applied.
Some own admission authority schools will also consider sibling links where the sibling attends the preferred school at the time of application, rather than time of admission of the child for whom the application is being made.
- Give details of any parent who is a staff member at the school which has been named as a preference, in line with the oversubscription for some own admission

authority schools.

- Indicate if the child has an Education, Health and Care Plan
- Provide details of the child's faith
- Confirm if the child falls within the classification of 'Looked After'* or 'Previously Looked After'***, in line with paragraph 1.7 of the School Admissions Code (2014).

**'Looked After' refers to a child who is currently under the care of the Local Authority (eg: in foster care under a full or interim care order).*

***'Previously Looked After' refers to a child who was looked after (as outlined above), but ceased to be so because they were adopted straight after leaving care, or they became subject to a child arrangements order – including a residency order - or special guardianship order.*

The Change of School application form consists of 3 sections: Sections A and C, which must be completed by the parent / carer , and Section B, which should be completed by the child's current, or previous, school.

Completion of Section B will help to ensure that discussions have taken place between the child's current, or previous, school and the parent(s) regarding any outstanding issues.

It may delay the processing of the application if Section B of the application form has not been completed.

Copies of the Change of School application form are available on the Warwickshire County Council website and from Warwickshire's Admissions Service.

A guide to the Change of School application process is also available to parents, carers and any other organisations who are interested in the process. Copies of this guidance can be found on the County Council website, or hard copies can be requested through the Admissions Service. A further guide is also available specifically for schools, by request through the Admissions Service.

Once the Change of School form is completed it should be returned to the Admissions Service at Warwickshire County Council.

Definition of Home Address

Where the child normally resides during the school week and where they sleep for at least 50% of the week.

If arrangements are such that a child resides at two addresses for equal amounts of time, then parents must decide which address to use for admissions purposes. Failure to agree on the address to use on the child's application for a school will result in Warwickshire

County Council using a random number generator to determine which application to process.

Addresses involved in child-minding arrangements, whether with professional child-minders, friends or relatives, are excluded.

Where a school place is offered on the basis of an address which is subsequently found to be different from the address where the child ordinarily resides, that place may be withdrawn. Cases will be assessed on an individual basis and in discussion with any schools named on the application which are their own admission authority.

There is an expectation that the child will be resident at the address used to allocate a place on a long-term basis. Short-term house moves purely to secure a school place may be considered fraudulent or intentionally misleading and, in such circumstances, the place may be withdrawn.

Where a child's address changes after a school offer has been made, the Local Authority (acting on behalf of the school, in some cases) may request an explanation for the house move and documentary evidence that the child is resident at the new property. The Admissions Service operates a thorough and robust address checking process and home visits are also carried out through this process.

Evidence of Home Address

As part of the application process, two documents which confirm the child's home address **must** be submitted with the Change of School application form.

The first document should be a copy of either;

- a full, signed copy of a current tenancy agreement, **or**,
- a copy of a letter from the solicitor confirming that there has been an exchange of contracts or a copy of the completion letter from the solicitor

The second document should be a copy of one of the following:

- Utility bill (electricity, gas, water or landline phone), *dated within the last 3 months*
- Council tax bill for the current financial year
- Housing benefit letter, *dated within the last 3 months*
- Universal Credit award notice letter, *dated within the last 3 months*

Copies of documents are required – **do not send originals as these documents will not be returned**.

If you have any difficulty in submitting any of the documents stated above then please contact the Admissions Service, who can advise you further.

Children of split parent families

The Admissions Service will not become involved in disputes between parents, or parties, regarding applications for school places.

As part of the disclaimer found in Section C of the Change of School application, it is expected that all parties with parent responsibility of the child will be aware of the application being made and will agree to all the information disclosed within, including the schools named as preferences on that application.

Where parents, or other parties with parental responsibility for the child, do not agree that an in-year application should be made for the child (in order for them to change school during the academic year), then the parent or party who does not agree should contact the Admissions Service, in writing, to confirm this. In such cases, the application will not be processed further, where possible.

If the application has already been processed and a school place offered, then the local authority and the school at which the place has been offered will honour the place. If any person with parental responsibility wishes to dispute the application or school place offered further then they must seek their own, independent legal advice, which may then lead to a court order being made. The local authority will obey any such court order that is then provided.

Where it is agreed that an in-year application should be made, but the home address and/or the school preferences to name on an application cannot be agreed to, the Admissions Service will contact both parents to inform them of the situation and to request that they confirm between themselves, and to the local authority, which application and school preferences to take forward. This may require the involvement of the courts, where necessary.

Where two different Change of School applications are submitted by each parent, stating different addresses and/or school choices, and the child spends 50% of their time with each parent, the local authority will use a random number generator to determine which application to process.

This draw will be carried out by two officers of the Admissions Service in the presence of a local authority solicitor. The result of the draw will be recorded and countersigned at the time by all parties involved and both parents will be notified of the outcome in writing. All other applications will then be disregarded.

Applications from overseas residents

UK Military families/Crown Servants

For families of UK Service Personnel with a confirmed posting to within the county, or crown servants returning from overseas to live in the county, admission authorities:

- **Must** allocate a place in advance of the family arriving in the area*, provided the application is accompanied by an official letter that declares a relocation date and a Unit postal address or quartering area address when considering the application against their oversubscription criteria. This must include accepting a Unit postal address or quartering area address for a service child.

**The child must then start at the school allocated within the academic year for which the offer relates. For example, a Year 8 place offered in October 2019 must be taken up by the end of the academic year in July 2020, otherwise a new application will need to be submitted and processed for the child.*

- **Must** ensure that arrangements in their area support the Government's commitment to removing disadvantage for service children. Arrangements must be appropriate for the area and be described in the local authority's composite prospectus.
- **Must not** refuse a service child a place because the family does not currently live in the area, or cannot provide documentary evidence of residence at a particular property
- **Must not** reserve blocks of places for these children.

The application will follow the in-year admissions process in all other respects, as outlined in this document.

Families moving to, or back to, the UK (Non-Military)

There is no legal requirement to process applications from other families coming from overseas who are not yet resident within UK, except as set out above.

Applications from overseas families in all other cases will therefore only be processed in line with the coordinated scheme once the family, including the child for whom the application is being made, can show evidence that they will be residing in Warwickshire imminently. Proof of residence may be requested at any time during the application process and the application will only be processed once sufficient documentation, that confirms a Warwickshire address, has been provided to the Admissions Service.

For schools where Warwickshire County Council is the admission authority there is also an expectation that the child and applicant will reside at the address used to allocate a place on a long-term basis. Short-term house moves purely to secure a school place may be considered fraudulent or intentionally misleading and, in such circumstances, the place may be withdrawn, even when the child has started at the school concerned. Other admission authorities have similar provisions in their own admission arrangements. Please contact individual schools for further information on this.

How the offer of a place is determined

Upon receipt of a completed Change of School application form the Admissions Service will send it to the school listed as the first preference on the application form. Schools should inform the Admissions Service within **two school days*** if they are able to offer a place. If the first preference school is able to offer a place then the parents will be notified in writing and no further consideration will be given to any remaining preferences.

Where the first preference school is not able to offer a place then the relevant oversubscription criteria will be used to determine the child's place on the school's waiting

list.

Further preferences named on the application will then be considered in order, using the same process as outlined above. It is the intention of the local authority to process a Change of School application within **10 school days***.

**Please be aware that, at busy periods of the school year, the application may take longer to process. Particularly busy periods for both the local authority and schools include the last 4 weeks of the academic year, in June/July, and the first 2 weeks of the new academic year in September. In-year applications submitted at these times of the year are likely to take longer than 10 school days to process.*

Also, due to the requirement for individual schools to be involved in the in-year admissions process, applications are unlikely to be processed during school holidays. This will, therefore, have an impact on the length of time an application is with the local authority and/or school before a place can be offered or refused. For example, in-year applications cannot be processed during the 6 week summer holidays, so any Change of School applications submitted at the end of July are unlikely to be processed until the beginning of September.

Over-subscription criteria (Community and Voluntary Controlled Schools)

For community and voluntary controlled schools, the Admissions Service will apply the oversubscription criteria. This will be taken from one of the following documents, depending on the year group for which admission is being sought:

- Applications for places into Year 1, Year 2, Year 3, Year 4, Year 5 and Year 6 - at a Warwickshire Community or Voluntary Controlled Primary, Infant or Junior School - will utilise the over-subscription criteria as laid out in the document entitled, **'Warwickshire County Council Oversubscription Criteria for Community and Voluntary Controlled Primary, Infant and Junior Schools - 2020/2021 Academic Year'**.

The above will also apply to in-year applications for places into Reception, but only where the application is made **after** 31 August 2020.

- Applications for places into Year 8, Year 9, Year 10 and Year 11 - at a Warwickshire Community or Voluntary Controlled Secondary School - will utilise the over-subscription criteria as laid out in the document entitled, **'Warwickshire County Council Oversubscription Criteria for LA Maintained Secondary Schools – 2020/2021 Academic Year'**.

The above will also apply to in-year applications for places into Year 7, but only where the application is made **after** 31 August 2020.

Over-subscription criteria (Own Admission Authority Schools)

Where it has been agreed that the Admissions Service will carry out the in-year application process for own admission authority schools, it is the admission authority's responsibility to determine the over-subscription criteria to allocate to each application. The over-subscription criteria can be viewed by the school via the School Admissions Module.

Other own admission authority schools are responsible for assigning their own oversubscription criteria.

Own admission authority schools will have their own set of determined admission arrangements for the relevant academic year, which should outline the over-subscription criteria to follow in relation to in-year applications.

Refusal of an offer

Where the first preference school is not able to offer a place then the second preference school will be sent the application and the process repeated, and so on, until a place can be offered at one of the schools named on the application, or all preferences have been exhausted.

Should it not be possible to offer a place at **any** of the preferences named on the application, and the applicant does not want their child to remain at their current school, then a place will be allocated at the next nearest school with availability (this could be either a community or voluntary controlled school maintained by Warwickshire or an own admission authority school which has a space, including voluntary aided schools and academies). The next nearest school with availability will be identified based on distance calculated by a straight line measurement.

Where a school preference is considered and a place is not offered to the applicant, the parent's legal right to appeal is triggered. Applicants will be informed of this in their written notification of refusal of a place at the preferred school(s).

Appeals

Parents will be informed of their statutory right of appeal when they receive the outcome of their application. Parents can appeal for any school preference where they have received a refusal. Parents cannot, however, appeal for a place at a school listed as a lower preference than the school place offered. This is because the place will not have been considered and the application for that school preference will have been automatically withdrawn.

Appeals for places at Community and Voluntary Controlled Schools can be lodged on the Warwickshire County Council website. For own admission authority schools, such as academies and voluntary aided schools, parents should contact the school directly for details of the appeals process. A list of these schools is available on the Warwickshire County Council website.

Waiting Lists

Children will be automatically added to the waiting lists of all Warwickshire community and voluntary controlled schools listed as a higher preference than the school at which a place is allocated. Waiting lists for all community and voluntary controlled schools will be held by the Admissions Service.

Waiting lists will then be cleared at the end of each subsequent term (Spring and Summer) and parents must contact the Admissions Service to confirm their continued interest in the schools applied for in order to remain on the waiting list for a school.

Failure to make contact with the Admissions Service, to confirm continued interest in a place at a particular school, by the beginning of both the Spring term and the Summer term (2021), will result in the child being removed from the relevant waiting lists. A new Change of School application will then need to be made if the family would like to maintain their interest in obtaining a place at a different school for their child.

For other admission authorities – eg: academies and voluntary aided schools - parents should contact the school for details of their waiting list policy. For the majority of these schools, the waiting list will continue to be held by the local authority, but in some cases there will be no waiting list held at all after 31st December 2020.

Distance

Distance will be calculated by a straight line measurement from the address point location coordinate of the applicant's home address (as set by Ordnance Survey) to the centre point ('centroid') of the school in question. The centroid is a pre-determined point set by Warwickshire County Council and all distances are subject to changes which may occur with updates of mapping data.

Timescales

Warwickshire County Council aims to process all in-year applications within ten school days.

However, applications may take longer to process in certain circumstances, for example:

- Where the application names more than one school – as each school preference will need to be considered individually
- Where the application names one, or more, Grammar Schools - as the child's academic ability will need to be assessed and compared to the relevant cohort
- Where it is determined that the child's application should be considered through the 'Fair Access Protocol' – as this process is carried out separately to the normal admissions process

Once a place is offered parents have ten working days to accept the place. Parents must accept the place by contacting the Admissions Service. If a place is not accepted within this

period then the offer may be withdrawn.

Places must normally be taken up (ie: the child must start at the school) within twenty school days of the place being offered. The only exception to this is where the place offered is for the following academic year, when the place should be taken up at the start of the academic year.

Where applications are not completed in full, the applicant will be notified and the application will not be processed any further.

Applying for a Year 3 place at a primary school, starting in September 2020

There is **no requirement** for parents to make an application for a Year 3 place at the primary school which their child is currently attending in Year 2, if they wish for them to remain at that same school. The child will automatically transfer from Year 2 at that school into Year 3 in September 2020.

However, if a parent who currently has a child in Year 2 at a primary school wishes to make an application for a different primary school, for entry into Year 3 in September 2020, then they must follow the in-year admissions process, as outlined in this document. This is also the case where a child currently in Year 2 at an infant school wishes to make an application for a Year 3 place at a primary school, for entry in September 2020.

In-year applications for Year 3 places at primary schools, for entry in September 2020, can be submitted from Monday 8th June 2020. Places will then be offered **from** 19th June 2020.

Where the child attends Year 2 in an infant or primary school, and the family wish to make an application for a Year 3 place at a Warwickshire **junior school**, for entry in September 2020, then the coordinated admissions process must be followed. Please see the document entitled, '**Warwickshire County Council - Reception and Junior (Year 3) Coordinated Admissions Scheme – 2020 entry**' for further information about this process.

Warwickshire residents applying for a place at schools outside of Warwickshire

Warwickshire residents wishing to apply for a place at a school outside of Warwickshire should contact the relevant admission authority for that school for advice about their individual application process. For example, parents wanting to apply for a place at a Coventry school should contact Coventry School Admissions Service **and** the school concerned directly for further advice, as the school may operate their own in-year admissions process.

Parents may then be directed to apply for schools in other authorities through Warwickshire County Council's In-Year admissions process, in which case, the above process should be followed.

Non-Warwickshire residents applying for a place at a Warwickshire school

Non-Warwickshire residents wishing to apply for a place at a Warwickshire school should, in the first instance, contact their local authority and the school concerned to establish the application process. Parents may then be directed to apply using Warwickshire County Council's In-Year admissions process, in which case, the above process should be followed.

Children educated outside of their chronological year group

As required by the School Admissions Code, Warwickshire County Council operates an application process for the transfer of pupils to the next key stage, as appropriate, and an in-year application process.

In some cases, children will not follow the chronological process for their age group. This may be due to a medical issue which has caused the child to miss a significant amount of time in school, or a special educational need, in which case the parent may request that they be educated in the year group below. Other children may already be educated outside of their chronological year group and it may be appropriate for this arrangement to continue.

Families following the in-year admissions process, who wish to request that their child be educated out of year group at a new school, should read '***Guidance and Policy relating to the education of children outside of their chronological year group***' and complete the relevant request form, which can be found online at: www.warwickshire.gov.uk/admissions

The completed request form should be sent with the completed Change of School application.

Request forms will not be processed unless approval has been given from the schools concerned, as noted on the specific request form. An agreement for a child to be educated out of year group is **not** a guarantee of a school offer.

Requests for a child to be educated outside of their chronological year group will not be agreed if the only reason is that a place cannot be offered at one of the preferred schools.

Fair Access Protocol

Some applications may need to be considered under Warwickshire County Council's 'Fair Access Protocol' (FAP). This will apply to some children when it has not been possible to secure a school place for them through the normal in-year admissions process.

If your child's application is being considered under the FAP then you will be notified of this as soon as possible after submitting your application.

Further information on the FAP can be found in the appendices at the end of this document, as well as online at: www.warwickshire.gov.uk/changingschools

Home-to-School Transport Assistance

An offer of a school place does not necessarily mean that home-to-school transport assistance will be automatically provided to the child.

Applications for home-to-school transport assistance – usually in the form of a free bus pass – are assessed in line with the relevant Transport Policy. The criteria set out in that policy is different to the criteria and policy which is followed in relation to the school admissions process, and the time of making an application for transport assistance can also have an impact on the outcome, as this will not necessarily correlate with the school admissions process.

If transport assistance has been approved, but an alternative school can be offered from a waiting list, then this assistance may be stopped if the place from the waiting list is not taken up. Where transport assistance is requested in the case of a child who has been given an ‘unplaced’ school offer, such cases will be considered on an individual basis.

It is important that parents consider their child’s transport options to and from school when making an application for school places. Where families are not eligible for home-to-school transport assistance then it is the legal responsibility of the parent / carer to ensure that the child gets to and from school each day, not the local authority.

Where a child is eligible for home-to-school transport assistance then this responsibility does rest on the local authority. Applications for transport assistance are processed and considered in line with the relevant Transport Policy, using specific criteria.

Information on applying for transport assistance, and the criteria used when assessing applications, can be found on the Warwickshire website at:
www.warwickshire.gov.uk/schooltravel

***An Equality Impact Assessment/Analysis on
this policy was undertaken on:
January 2018***

It will be reviewed in January 2021.

Appendix 1

What is the 'Fair Access Protocol' (FAP)?

The School Admissions Code 2014, issued under section 84 School Standards and Framework Act 1998, requires each local authority to have in place a Fair Access Protocol (FAP) agreed with the majority of schools in its area. The requirement is supplemented by further advice from the Department for Education (DFE) 'Fair Access Protocols: Principles and Process' published in November 2012. This sets out some principles to clarify the expectations on all state funded schools (including academies and free schools etc) as well as all other admission authorities to ensure that FAP's operate effectively at a local level.

The purpose of the Protocol is to ensure that – outside the normal admissions round - unplaced children, especially the most vulnerable, are offered a place at a suitable school as quickly as possible. The Protocol also seeks to ensure that no school - including those with available places - is asked to take a disproportionate number of children who have been excluded from other schools, or who have challenging behaviour.

Fair Access Protocols should not be used as a means to circumvent the normal in year admissions process. A parent can apply for a place as an in year admission for their child at any time, to any school outside the normal admissions round and is entitled to an appeal when a place is not offered.

All admission authorities **must** participate in the Fair Access Protocol in order to ensure that unplaced children are allocated a school place quickly. There is no duty for local authorities or admission authorities to comply with parental preference when allocating places through the Fair Access Protocol.

TO BE UPDATED, AS REQUIRED

Appendix 2

Primary Fair Access Protocol – The Process

- Once an in year admissions application has been identified as having the potential to fall under the Protocol a clear process (attached at Annex A) will be consistently followed.
- This process applies to all schools, including those which are full in the appropriate year group:
- The application will be referred to the Primary Fair Access Panel. The Panel will meet at the end of each month, will compose of EIS representatives, Manager for Fair Access and In Year, Area Managers for ACE, Manager for CME and will be chaired by the Manager of Pupil Services.
- The Panel will first determine whether the application does indeed fall under the Protocol. If the application does not clearly fall into one of the above then the application will return to the in-year admissions process.
- If it is agreed that the application falls under the Protocol then the nearest mainstream school by straight line from the front of the home address to the front entrance of the school will be identified. If this school has not taken a child in this key stage via the Protocol in this academic year, this school will be identified to admit the child. The only exception to this will be if the child has already attended that school and the Panel agrees that there is evidence that it is not appropriate for the child to return, in which case the next nearest school will be allocated. Safe walking routes will be considered where appropriate
- If the school identified to admit has already admitted a child to the relevant key stage via the Protocol this academic year, the next nearest school will be identified. This school will then be required to admit the child unless this school has also admitted a child under the Protocol in this key stage this academic year. If this does not result in an admission then the process will continue to identify the next nearest school until a school is found which has not admitted a child in the given key stage under the Protocol this academic year. The use of academic years is for reporting processes, schools that have taken a child spanning over the summer term will be considered as having accepted a child.
- All schools are bound by the provisions of the Protocol without exception. The decision of the panel is final, if challenged this may result in referral to the Schools Adjudicator for direction, if a maintained school, the LA will direct the Governing Body.
- Once a decision is made, the school will be expected to admit the child to a full time place within 10 working days. Please note the child must be placed on roll however, work with EIS may continue until the placement has settled.

TO BE UPDATED, AS REQUIRED

Appendix 3

Primary Fair Access Protocol – Assessing eligibility

Assessing eligibility of children to be considered under this Protocol In line with the School Admissions Code children of compulsory school age will be considered within the scope of the Protocol if they are judged by the council or a school which is its own admissions authority to be likely to have difficulty in securing a school place. In WCC this means that a child meeting one or more of the following categories will be considered eligible:

1. Children who are in the Criminal Justice system and/or Pupil Referral Units (including Alternative Provision) who need to be reintegrated into mainstream education (statutory)
2. Children who have been out of education for two months or more (statutory)
3. Children of Gypsy, Roma, Traveller communities, refugees and asylum seekers (statutory)
4. Children who are homeless (statutory)
5. Children with unsupportive family backgrounds from whom a place has not been sought (statutory)
6. Children who are carers (statutory)
7. Children with special educational needs, disabilities or a medical condition (but without a statement) where there is professional evidence to support this (statutory)
8. Children referred by schools under paragraph 3.12 of the School Admissions Code which states, “where a governing body does not wish to admit a child with challenging behaviour outside the normal admissions round, even though places are available, it must refer the case to the local authority for action under the Fair Access Protocol. This will normally only be appropriate when a school has a particularly high proportion of children with challenging behaviour or previously excluded children” where this can be robustly evidenced (statutory).
9. Children of UK service personnel (UK Armed Forces) (local)
10. Children who have a persistent record (below 80% for each of two consecutive terms) of absence at the current or last school (local)

TO BE UPDATED, AS REQUIRED

Appendix 4

Secondary Fair Access Protocol

The Process:

The Fair Access Protocol's aim is to ensure every pupil residing within Warwickshire, eligible to be placed via the protocol, has access to the most appropriate education provision within a timely manner, thus avoiding time out of education. Once a pupil is identified as requiring a placement by use of the protocol, the process timeline will be followed as set out in appendix 2. **Parental preference does not need to be considered.**

The local authority **must** ensure that no school – including those with available places - is asked to take a disproportionate number of children who have been excluded from other schools, or who have challenging behaviour.' (Disproportionate number will be assessed by the use of the points system. WCC will administer the protocol in a fair and transparent way by taking account of the % of pupils on roll with challenging behaviours as agreed by the weightings agreed by the steering group) It is anticipated that no school will be asked to accept two pupils from the FAP within the same academic year within a 6 week period) **(SA Code 3.9)**

'When seeking to place a pupil under the Fair Access Protocol, all schools should be treated in a fair, equitable and consistent manner.' **(DFE Guidance Nov 12)**

'All schools should work together collaboratively, taking into account the needs of the pupil and those of the school.' **(DFE Guidance Nov 12)**

'To ensure that outside the normal admissions round – unplaced children, especially the most vulnerable, are offered a place at a suitable school quickly, to ensure the amount of time any pupil is out of school is kept to a minimum. The use of the word unplaced within WCC protocol will also cover children already on roll at a school but who are experiencing difficulties finding a new school, if the managed move system is not appropriate, relations may have broken down or a house move is the reason coupled with behaviour issues. **All schools are expected to respond to requests by the local authority to admit a pupil under the Fair Access Protocol within 7 days, 5 of which include school days. This is a response to state their intentions not a start date for pupils.** **(DFE Guidance Nov 12)**

All details of the pupil's previous history, contact details etc will be made available and passed to the identified school within the protocol letter sent to the identified school for their consideration. Schools must open dialogue with admissions/Fair Access regarding their ability to meet the needs of the pupil within 2 school days of the first approach being made/ receipt of letter. **It is expected that a school will agree a starting date for the pupil within 5 school days or set out its reasons for refusal in writing to the local authority within that 5 school days after receipt of the first approach.**

All schools must accept and enrol, pupils placed via the protocol, within the agreed timeframes set out. Additional funding requirements for pupils placed via the protocol are to be met by the school or accessed via Area Behaviour Partnerships. Additional funds will only be identified if a school is able to demonstrate the needs of the pupil in question exceed the funds available within the school's budget. It is expected that the school has utilised all of its support

mechanisms within school and engaged external partnerships as per the usual ABP procedure. Factors taken into account in identifying the most appropriate education provision will include:

- *distance from home address,*
- *year group,*
- *pupil's previous history,*
- *available transport (including public transport links),*
- *the points system showing the ranked order of schools within the local area,*
- *local associations such as peer groups,*
- *previous association with a particular school.*

The difference between In Year Admissions and Fair Access Protocol?

In Year Admissions (see appendix 1) relate to all admissions to school from reception to Year 11 which are not covered by the reception or secondary transfer schemes. In most cases the admissions process is straightforward. The parent arrives in the area, applies for a place in a school where there is a vacancy and the child is admitted to school. It may also be a parent wishing to change schools with no house move.

In other cases there may be extenuating circumstances as to why the child's admission should be treated as an exception and the child placed in a school via the Fair Access Protocol. The circumstances can include;

- a newly arrived child who was not previously permanently excluded but who was attending a Pupil Referral Unit (PRU) possibly in another area
- a newly arrived child who had previously attended two or more Warwickshire primary or secondary schools whose school history shows they have attended a number of different schools.
- a newly arrived child whose parent/carer states that the child has medical or educational needs but does not have a statement of special educational need (All information will be explored to determine the best possible route for admission. WCC officers may refer to the Headteacher Protocol Steering Group members for advice.)
- a newly arrived child who has not previously attended a mainstream school or who has not attended a mainstream school for more than 1 school term (possible home educated or persistent non-attender)

All applicants are required to complete an In Year Common Application Form and return the forms direct to the Local Authority. The Admissions team will determine, based on the details supplied within the application, whether the child qualifies for admission under the normal In Year process or via the Fair Access Protocol. All pupils must complete a Common Application Form.

However, all applications will be considered for their preferred schools in order. If an application is deemed to fit the criteria for placement under the Fair Access protocol, see chart 1, a school may refer the case back to the Local Authority and refuse admission, even if they have places available. Parents retain the right to appeal this decision. However, the Admissions Team will then process the application via the protocol and identify the next school that is able to accept a protocol placement. It may be a school will accept a pupil even though they are not next on the points system to be considered, in which case they will be given the points for the child as if placed via the protocol.

The groups of children and young people placed via the protocol are in many cases likely to be vulnerable. If after admission, a school identifies that a child presents issues of concern, they should initiate the Common Assessment Framework (CAF).

- vii) The list of children to be included in a FAP is to be agreed with the majority of schools in the area but **must** as a minimum, include the following children of compulsory school age who have difficulty securing a school place: each of these categories is weighted as agreed by the steering group. **SA Code 2014, 3.15** –

TO BE UPDATED, AS REQUIRED

DRAFT

Appendix 5

Secondary Fair Access Protocol

Eligibility:

a) children from the criminal justice system or Pupil Referral Units who need to be reintegrated into mainstream education;	1	50
b) children who have been out of education for two months or more; (<i>not to include children taken off roll with no education provision identified. In these circumstances the local authority will challenge the school and refer to the EFA if necessary</i>)	6	30
c) children of Gypsies, Roma, Travellers, refugees and asylum seekers;	2	50
d) children who are homeless;	10	20
e) children with unsupportive family backgrounds for whom a place has not been sought;	9	20
f) children who are carers; and	12	20
g) children with special educational needs, disabilities or medical conditions (but without a statement/Education Health care plan).	3	50

In addition to the minimum requirements listed in the SA Code 2014, Warwickshire's protocol includes the following:

h) children whose parents have been unable to find a place after moving to the area, due to a shortage of places or refusal by local schools to admit; (<i>if this process has taken more than 7 days the LA will identify a school and approach via the protocol</i>)	15	10
i) children known to other professional agencies who may present as 'vulnerable' but with no obvious behavioural problems; (<i>this could include persistent non-attenders, victims of bullying who may already be on a school roll</i>)	14	10
j) children who, following an overturn of an exclusion review, have no school place;	4	40
k) Year 11 pre January census who are finding it difficult to secure a place quickly, over 7 days;	7	30
l) Year 11 post January census who are finding it	8	20

difficult to secure a place quickly, over 7 days;		
m) children presenting with significant behavioural problems, who have not previously been permanently excluded, nor necessarily known to other agencies and any child who has returned to the area, including those who had left the country, and who were previously attending a Warwickshire school within the same academic year or within one term. The expectation is that these children will be referred to their previous school if the child is living in the same area and that the school either readmits the child or makes arrangements for a managed move locally	5	40
n) children with known behavioural problems, who have transferred between two or more Warwickshire secondary schools and who have not been permanently excluded. This may be due to parents withdrawing a pupil to avoid exclusion, or parents moving pupils to avoid other professional teams becoming involved. We reserve the right to refer cases to other professional bodies within Warwickshire and beyond where we feel it is in the interest of the child's welfare.	11	20
o) children who have been removed by their parents from a school roll to be educated 'otherwise' and are now seeking another school place. The expectation is that these children will be referred to their previous school and that school either readmits the child or makes arrangements for a managed move. It is hoped to reduce the amount of parents removing their child to avoid sanctions. However we must be aware this clause can only be applied if there are known behavioural issues documented.	13	10

TO BE UPDATED, AS REQUIRED



APPENDIX E1

Amy Taylor <amytaylor@warwickshire.gov.uk>

RE: Warwickshire LA 2020 entry admission arrangements: pre-consultation (ATTACHMENTS ENCLOSED FOR COMMENT)

1 message

Joanne Evans <Joanne.Evans@covcofe.org>

15 November 2018 at 11:43

To: Amy Taylor <amytaylor@warwickshire.gov.uk>

Cc: Collette Naven-Jones/ED/WarksCC <collettenavenjones@warwickshire.gov.uk>, April Gold

<April.Gold@covcofe.org>, Linda Wainscot <Linda.Wainscot@covcofe.org>, Rebecca Tonks <r.tonks@bdes.org.uk>, Jo

Baker <Jo.Baker@covlec.org>, Louise Beale <Louise.Beale@covlec.org>

Hi Amy - thanks for that. Those additions to the oversubscription criteria are very welcome and a really proactive response to the strategic goals for disadvantaged children. It will be interesting to see the impact of this over time.

The documents you have sent seem very comprehensive. I have just a few queries:

- The in-year admissions for own admission authority schools – will there be a charge for this service?
- I'm concerned that using percentages for a cap could be unclear for parents – for example in criteria 3 – 9% of a PAN of 30 is 2.7 – so will that be 2 places or 3?
- 'Partner schools' – this is a stupid question sorry – but are there any infant/junior schools not on this list? i.e. with no/multiple 'partner' school?

Thanks and best wishes

Joanne

Mrs Joanne Evans

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Cabinet

14 February 2019

Commissioning of Discharge to Assess on behalf of South Warwickshire NHS Foundation Trust under a Section 75 Agreement

Recommendations

That Cabinet:

- 1) Authorises the Strategic Director for People to revise the current partnership arrangements between Warwickshire County Council (WCC) and South Warwickshire NHS Foundation Trust (SWFT) and enter into a new agreement under Section 75 of the National Health Service Act 2006 for the provision of Discharge to Assess services (Pathway 2 and 3) on terms and conditions acceptable to the Strategic Director for Resources.
- 2) Authorises the Strategic Director of People (i) to undertake an appropriate procurement process for the commissioning of the Pathway 2 and Pathway 3 services; and (ii) to award any subsequent contracts on terms and conditions acceptable to the Strategic Director for Resources.

1.0 Background

- 1.1 The objective of the Discharge to Assess (D2A) model of provision is to facilitate a hospital step down pathway whereby patients who are medically fit for discharge, but are unable to go back to their original place of residence without further assessments or rehabilitation, do not occupy acute hospital beds for longer than necessary. For older people in particular, longer stays in hospital can lead to worse health outcomes and can increase in their long-term care needs. For example, for people aged 80 years and over, 10 days spent in a hospital bed equates to 10 years of muscle wasting (NAO).¹
- 1.2 By avoiding unnecessary prolonged stays in an acute hospital setting it is intended that improved outcomes can be achieved for patients. In addition, the service reduces pressures on acute hospital bed spaces and cost efficiencies are generated as reinvestments are made into community based care and support services.

Current Discharge to Assess Provision

¹ NHS England – Improving Hospital Discharge: <https://www.england.nhs.uk/urgent-emergency-care/hospital-to-home/improving-hospital-discharge/>

- 1.3 In South Warwickshire, 19 Discharge to Assess Pathway 3 (block) beds were commissioned in 2015 by WCC on behalf of SWFT under a Section 75 partnership agreement. The beds are currently provided by two nursing care homes: Kenilworth Grange in Kenilworth and Sebright Nursing Home in Leamington Spa. The contracts are being extended each year but will expire in May 2021.
- 1.4 The Pathway 3 offer of service is for customers who are likely to need a care or nursing home placement in the longer term and who may be eligible for NHS Continued Healthcare Funding (CHC funding). Usually these individuals would be assessed for CHC funding whilst they are still in hospital and then undergo a social care assessment if necessary prior to being discharged; this can cause delays to their discharge. It also results in the individual receiving an assessment for their long term health and support needs in an acute hospital environment, which often leads to support being commissioned that does not reflect the need of the individual. The D2A pathway enables these individuals to be discharged from hospital at the appropriate time so that they can undergo the relevant health and social care assessments in a more suitable (non-acute) environment.
- 1.5 These services are managed by WCC under the Section 75 agreement.
- 1.6 The cost of the Discharge to Assess Pathway 3 Service is forecast to be approximately £1.1 million for the financial year 2018/19 and is funded jointly by SWFT and South Warwickshire Clinical Commissioning Group (SWCCG). This funding is transferred as a 'D2A Fund' from SWFT to WCC under the current Section 75 agreement and is then used by WCC to commission the Pathway 3 services from the nursing homes. In addition, WCC recovers costs of commissioning the services from SWFT, including Procurement and Commissioner fees.
- 1.7 The current Section 75 arrangements were developed in April 2015. The Agreement has been extended several times since March 2016; it is therefore timely to revisit these arrangements. In addition, partners now wish to include Pathway 2, within these commissioning and Section 75 arrangements.
- 1.8 The contracts for the D2A Pathway 3 services are currently being extended each year on a rolling basis but this rolling basis option will expire in May 2021. There is an expectation that WCC continues to commission the Discharge to Assess Pathway 3 services on behalf of SWFT for the foreseeable future, to further aid commitment to the alignment/integration of Health and Social Care Functions within Warwickshire.

Commissioning of Pathway 2 services on behalf of SWFT

- 1.9 In addition to commissioning the Pathway 3 services, SWFT have now requested that WCC acts as lead commissioner for D2A Pathway 2 beds that are currently provided by WCS Care Group Limited under a contract with SWFT. This request is due to the successful management of the Pathway 3 D2A Contract by WCC within the current Section 75 agreement.

- 1.10 The Pathway 2 service offer is for customers who are medically fit for discharge but cannot return to their own home, but who have the potential to do so if given additional short term support and reablement in a 24-hour care home environment. The Pathway 2 service offers Physiotherapist and Occupational Therapist support, with the intention of developing the customers' independence to enable them to return to their own home. Ongoing assessment of long term needs is also facilitated in a more (non-acute) suitable environment.
- 1.11 In South Warwickshire, there are currently 10 Discharge to Assess Pathway 2 beds provided by WCS Care Group Limited in South Warwickshire, with an annual contract value of circa £667,644.
- 1.12 The provision of Discharge to Assess services is a health function which SWFT is responsible for and therefore has to be delegated to WCC under the Section 75 Agreement to enable WCC to commission these services on SWFT's behalf. Section 75 of the NHS Act 2006 enables WCC and SWFT to enter into these arrangements if doing so is likely to lead to an improvement in the way the functions of SWFT and the health-related functions of the WCC (which includes the duty of WCC to prevent/delay needs for care and support) are exercised. Ensuring that patients are discharged from hospital in a timely way and their independence is maximised before they return to their own home is consistent with WCC's prevention agenda.

2.0 Benefits of WCC commissioning D2A Services on behalf of health partners

- 2.1 The benefits of WCC continuing to commission the D2A Pathway 3 services and expanding this arrangement to the D2A Pathway 2 services are outlined below:
- WCC has been successfully commissioning the Pathway 3 services for the past 3 years;
 - In addition to this, WCC also acts as the Lead Commissioner on behalf of South Warwickshire CCG and Warwickshire North CCG under a Section 75 Agreement for the provision of Residential and Nursing Care Home services. It therefore has increasing experience of commissioning on behalf of Health partners and is developing good relationships with these partners and the providers;
 - Services are commissioned in line with procurement regulations and satisfy the wish to have longer term contracts (more than 4 years) to assist with market sustainability;
 - Improved collaboration across organisational boundaries through the utilisation of alternative models of contracting and integrated commissioning processes leading to better outcomes for customers;
 - Reducing duplication in service provision to facilitate improved hospital discharge processes;

- Shorter length of stay in hospital with after-care, long term condition care and end of life care at or closer to home leading to improved outcomes for customers;
- Improved partnership working to reduce the number of people delayed in hospital and to support people to be as independent as possible leading to improved longer-term outcomes for customers;
- Promote to the market, opportunities to link with the Out of Hospital Programme to add to the current measures to improve health and wellbeing and to reduce demand;
- Joint risk sharing and apportioning risk to the provider, which has been viewed as a means of incentivising providers to seek innovative ways to achieve the aims of the service contract through improving integration, or particular outcomes, and achieving better value for money.

3.0 Proposal

3.1 It is proposed that the following recommendations set out below are considered and approved:

3.1.1 The Strategic Director for People is authorised to revise the current partnership arrangements between WCC and SWFT and enter into a new agreement under Section 75 of the National Health Service Act 2006 for the provision of Discharge to Assess services (Pathway 2 and 3) on terms and conditions acceptable to the Strategic Director for Resources;

3.1.2 Authorises the Strategic Director for People (i) to undertake an appropriate procurement process for the commissioning of the Pathway 2 and Pathway 3 services; and (ii) to award any subsequent contracts on terms and conditions acceptable to the Strategic Director for Resources.

4.0 Timescales associated with the decision and next steps

Action	Date	Responsible Officer
3.1 Revised Section 75 developed and signed off	By 31 st March 2019	WCC Legal Services, SWFT Legal Services, CCGs
3.2 Contract delivery commences	1 st April 2019	WCC Public Health and Strategic Commissioning Business Unit

5.0 Background papers

None

6.0 Supporting Papers

Discharge to Assess – Permission to Procure Cabinet report, 18 September 2014

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This report was circulated to the following elected members prior to publication:

Councillors Caborn, Redford, Golby, Parsons and Rolfe.