

Agenda for a meeting of the WARWICKSHIRE COUNTY COUNCIL to be held at the SHIRE HALL, WARWICK on THURSDAY 26 July 2018 at 10.00 AM.

Please note that this meeting will be filmed for live broadcast on the internet. Generally, the public gallery is not filmed, but 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.

AGENDA

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

To confirm the minutes of the meeting held on 15 May 2018.

(4) Announcements

To receive any announcements from the Chair of the Council, Leader, Cabinet Members or Joint Managing Directors.

2. Petitions

To receive any petitions submitted in accordance with the Council's Petition Scheme.

3. Public Speaking

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

4. Warwickshire Minerals Plan

Cabinet Portfolio Holder: Councillor Jeff Clarke

This report seeks the Council's approval to submit the proposed Warwickshire Minerals Plan to the Secretary of State for independent examination. Cabinet will be considering the Plan at its meeting on 24 July and also approving the Minerals and Waste Development Scheme (subject to Council's approval of the Minerals Plan).

5. Warwickshire Youth Justice Service Strategic Plan 2018-2019

Cabinet Portfolio Holder: Councillor Andy Crump

Cabinet will be considering the Plan at its meeting on 24 July and recommending the Plan to Council for formal approval.

6. Education Strategy 2018-2023

Cabinet Portfolio Holder: Councillor Colin Hayfield

Cabinet considered the outcome of consultation and approved a new Education Strategy at its meeting on 14 June. The new Education Strategy is now presented to Council for formal adoption.

7. Education Sufficiency Strategy 2013-2023

Cabinet Portfolio Holder: Councillor Colin Hayfield

Cabinet considered the updated strategy for the sufficiency of education provision in Warwickshire at its meeting on 14 June. (This is aligned with the new Education Strategy referred to above). Cabinet agreed the new Sufficiency Strategy and recommended its formal adoption by Council.

8. Bermuda Connectivity

Cabinet Portfolio Holder: Councillor Jeff Clarke

Cabinet on 24 July will be considering approval of the Bermuda Connectivity scheme following a recent consultation exercise. Subject to this approval the Council will be requested to approve an addition to the Capital Programme.

9. Audit and Standards Committee Annual Report 2017/18

Cabinet Portfolio Holder: Councillor Kam Kaur

Council is requested to approve the Annual Report of the Audit and Standards Committee. This report is being considered by Cabinet on 24 July and the Audit and Standards Committee on 25 July.

10. Annual Governance Statement 2017/18

Cabinet Portfolio Holder: Councillor Kam Kaur

Cabinet and the Audit and Standards Committee will be considering the Annual Governance Statement at their meetings on 24 July and 25 July respectively with a view to their recommending its approval by Council.

11. Warwickshire Pension Fund Statement of Accounts 2017/18

Cabinet Portfolio Holder: Councillor Peter Butlin

The Audit and Standards Committee will be considering the Pension Fund Statement of Accounts for 2017/18 at its meeting on 25 July 2018 with a view to recommending its approval by Council.

12. Statement of Accounts 2017/18

Cabinet Portfolio Holder: Councillor Peter Butlin

The Audit and Standards Committee will be considering the Council's Statement of Accounts for 2017/18 at its meeting on 25 July 2018 with a view to recommending its approval by Council.

13. S278 Highway Improvement Schemes at C30 Hillmorton Lane/Link Road to Houlton and The Kent, Rugby - Addition to Capital Programme

Cabinet Portfolio Holder: Councillor Peter Butlin

The Council is recommended to approve the addition of this scheme to the Capital Programme.

14. Notices of Motion

To consider the following motions submitted by members in accordance with Standing Order 5:

(1) Rugby Parkway Station

‘That, in view of the recent announcement about the unsuccessful bid to secure funding for the Rugby Parkway Station, the Leader of the Council makes urgent representations to the Department of Transport to secure national funding for the Rugby Parkway scheme as quickly as possible.’

Proposer: Councillor Maggie O’Rourke

Seconder: Councillor Alan Webb

(2) Business Rates

‘That the Council lobbies central Government to address the problem of business rate bills that make it difficult for town centre based businesses to compete with on-line shopping and to compensate local authorities for any subsequent loss of business rate income.’

Proposer: Councillor Bill Olnier

Seconder: Councillor Richard Chattaway

(3) Universal Credit

‘That the Council notes the National Audit Office report of 15 June 2018 "Rolling Out Universal Credit" and urges the Secretary of State to implement the recommendations of that report in order to support Warwickshire residents, in particular improving the tracking and transparency of progress towards Universal Credit’s intended benefits and working with delivery partners to establish a shared evidence base for how Universal Credit is working in practice’.

Proposer: Councillor John Holland

Seconder: Councillor Corinne Davies

(4) Town Centre working group

'That, following the budget setting meeting in February 2018 when the Council voted against a capital programme to regenerate Bedworth, Nuneaton and other town centres and the Leader welcomed the proposal for a working group of members to be set up to look at Bedworth town centre, the Council now requests that the Leader sets up this working group with a membership of three members, including the relevant portfolio holder, and to include appropriate partners, so that proposals can be presented to Cabinet for consideration in December as part of the February 2019 budget capital programme refresh; and that Council requests that the Cabinet receives a report on town centre regeneration for other parts of Warwickshire.'

Proposer: Councillor Richard Chattaway

Seconder: Councillor Dave Parsons

15. Member Question Time (Standing Order 7)

A period of up to 40 minutes is allocated for questions to the Leader, Cabinet Portfolio Holders and Chairs of Overview and Scrutiny Committees.

16. Any other items of urgent business.

To consider any other items that the Chair considers are urgent.

17. Exclusion of Public and Press

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 paragraphs 1,2 and 3 of Part 1 of Schedule 12A of the Local Government Act 1972'.

18. Property Rationalisation Programme - Montague Road, Warwick

Cabinet Portfolio Holder: Councillor Peter Butlin

Cabinet will be considering this report at its meeting on 24 July 2018 and making recommendations to Council regarding disposal of this site.

19. Proposed Operating Model and Leadership Team Structure

Cabinet Portfolio Holders: Councillor Kam Kaur and Councillor Izzi Seccombe

Following the transformation update report considered by Cabinet in June, this report recommends proposals in relation to the Leadership Team Structure.

DAVID CARTER
Joint Managing Director
Shire Hall
Warwick
July 2018

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 Janet Purcell (see below) in writing at least two 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 is set out in the Council's Standing Orders (Standing Order 34).

For advice on the public eligibility to speak and the procedure, or any enquiries regarding this agenda, please contact Janet Purcell, Democratic Services Manager, Law & Governance, Resources Group Tel: 01926 413716.
email: janetpurcell@warwickshire.gov.uk

Minutes of the Meeting of Warwickshire County Council held on 15 May 2018

Present:
Councillor John Cooke (Chair)

Councillors Helen Adkins, Jo Barker, Margaret Bell, Parminder Singh Birdi, Sarah Boad, Mike Brain, Peter Butlin, Les Caborn, Mark Cargill, Richard Chattaway, Jonathan Chilvers, Jeff Clarke, Alan Cockburn, Andy Crump, Yousef Dahmash, Corinne Davies, Nicola Davies, Neil Dirveiks, Judith Falp, Jenny Fradgley, Pete Gilbert, Dan Gissane, Clare Golby, Seb Gran, Colin Hayfield, John Holland, Andy Jenns, Kam Kaur, Keith Kondakor, Keith Lloyd, Jeff Morgan, Bill Olnor, Maggie O'Rourke, Bhagwant Singh Pandher, Anne Parry, Dave Parsons, Caroline Phillips, Wallace Redford, David Reilly, Clive Rickhards, Howard Roberts, Kate Rolfe, Jerry Roodhouse, Andy Sargeant, Izzi Seccombe OBE, Dave Shilton, Jill Simpson-Vince, Bob Stevens, Heather Timms, Adrian Warwick, Alan Webb, Chris Williams and Andy Wright.

The retiring chair, Councillor Clive Rickhards, opened the meeting and welcomed members and visitors to the meeting, in particular the new member for Leamington Willes (Councillor Helen Adkins) and Councillor Felicity Bunker from Warwick District Council and Kenilworth Town Council.

1. Election of Chair

Councillor Alan Cockburn, seconded by Councillor Dave Shilton, proposed that Councillor John Cooke be elected Chair of Council for the ensuing municipal year.

There were no other nominations.

Resolved

That Councillor John Cooke be elected Chair of Council until the annual meeting of the Council in 2019.

Councillor John Cooke made his declaration of office and thanked the Council for their support and for the honour of representing the Council.

Vote of thanks to retiring chair.

The Chair proposed a vote of thanks to the outgoing chair, Councillor Clive Rickhards, and paid tribute to the excellent manner in which Councillor Rickhards had conducted Council meetings and also thanked Councillor Rickhards and his wife Maureen for being superb ambassadors for the County over the last year.

Councillor Izzi Seccombe seconded the vote of thanks and she and other members expressed their appreciation to Councillor Rickhards and his wife Maureen for their work throughout their year, in particular their support of many charitable events across the County.

Councillor Clive Rickhards expressed his gratitude to members and officers for their support and in particular thanked Councillor Cooke for his support as Vice Chair, Stuart Reed for his chauffeuring service and Dawn Mardle, who had provided brilliant support to both himself and the Lord Lieutenant over the year. Councillor Rickhards gave particular thanks to his wife Maureen, who had been 'simply the best' as his consort.

Councillor Rickhards also thanked members for their donations (totalling £2,230 to date) for the bereavement charity, the Edwards Trust.

Councillor Rickhards paid tribute to the many volunteers he had met during his year in office who give their time and energy to help others and also to the County Council's staff, many of whom he had met at the Star Awards and who do excellent work in difficult times. Councillor Rickhards added that he had been particularly inspired by the people he had met at the citizenship ceremonies and by the many charities supported by the mayors and chairmen of councils across the County.

Councillor Rickhards expressed his sincere thanks to the Council and the many people and organisations he had met during his year in office.

Resolved

That the County Council places on record its appreciation to Councillor Clive Rickhards for his excellent service as Chair of the Council during 2017/18.

3. Election of Vice Chair

Councillor Sarah Boad, seconded by Councillor Clive Rickhards, proposed that Councillor Nicola Davies be elected Vice-Chair of the Council for the ensuing municipal year.

There were no other nominations.

Resolved

That Councillor Nicola Davies be elected Vice Chair of Council until the annual meeting of the Council in 2019.

Councillor Nicola Davies made her declaration of office and thanked the Council for her election.

3. General

(1) Apologies for absence

Apologies for absence were submitted on behalf of Councillors Bill Gifford, John Horner and Pam Williams.

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

None.

(3) Minutes

Resolved

That, subject to the addition of the resolution to minute 10, as set out below, the minutes of the meeting held on 20 March 2018 be approved as a correct record.

“10. Capital Programme Provision for Disposal of Strategic Land

Resolved

That Council approve an increase in the capital programme of £1,368,000 to support the strategy for the disposal of strategic land funded from the transfer of the surplus of £174,500 in the Warwickshire Aylesford Flood Alleviation Scheme and £1,193,500 of whichever receipt is first realised from the disposals of Meadow Farm and Eastboro Way.”

(4) Announcements

Carer’s Week 11-17 June

Councillor Les Caborn, Cabinet Portfolio Holder for Adult Social Care and Health, referred to the exhibition in the ante-chamber and the launch of a new information portal for carers developed with Warwick University. Councillor Caborn urged members to sign the pledge for carers and undertook to ensure that the full programme of events for Carer’s Week 11-17 June is circulated to all members.

Dame Tessa Jowell

Councillor Izzi Seccombe, Leader of the Council, paid tribute to Dame Tessa Jowell who had died on 12 May 2018 and who had been a resident of Warwickshire for many years.

Councillor Seccombe commended the work that Dame Tessa Jowell had done nationally, in particular as Minister for the London Olympics, and more recently in raising support for research into brain cancer, but also for her very active part in the local community, where she would be greatly missed.

Councillor Bill Olnor added his tribute to Dame Tessa Jowell for her kindness and commitment to improving the lives of others.

(5) Petitions

None

(6) Public Speaking

None.

4. Election of County Councillor for Leamington Willes Division

The Council formally welcomed Councillor Helen Adkins as the newly elected member for Leamington Willes Division.

5. Appointments to Committees and Other Bodies

Councillor Izzi Seccombe, Leader of the Council, moved that Council approve the recommendations as tabled at the meeting, with an amendment (replacing Councillor Mark Cargill with Councillor Mike Brain on the membership of the Police and Crime Panel)

Councillor Richard Chattaway, Leader of the Labour Group, seconded the recommendations.

The recommendations were put to the vote and agreed as set out below.

Resolved

- (1) That the Council confirms the Committee structure and delegations to member bodies as set out in the Constitution.
- (2) That the number of places on Council Committees be as follows:

Committees	Con	Lab	LD	Green	Ind.	WRA	Total
Audit & Standards Committee	4	1	1				6
Regulatory Committee	7	2	2		1		12
Staff & Pensions Committee	4	1	1				6
Adult SC & Health	7	2	1				10
Children	7	1	1	1			10
Communities	6	2	1	1			10
Resources	6	2	1			1	10
Total	41	11	8	2	1	1	64

- (3) That the Council appoints the committees and membership as set out below:

Opposition Group Spokespersons are indicated for Overview and Scrutiny Committees (Sp)

Committees	Conservative	Labour	Liberal Democrat	Green	Independent
Audit & Standards Committee Co-optees: J Bridgeman & B Meacham	Singh Birdi John Horner Crump Simpson-Vince	Holland	Gifford		
Regulatory Committee	Bell Brain Cargill Golby Shilton Warwick CWilliams	Olner Webb	Gifford Rickhards		Lloyd

Committees	Conservative	Labour	Liberal Democrat	Green	Whitnash Residents
Staff & Pensions Committee	Horner Kaur Singh Pandher Stevens	Webb	Gifford		
Adult Social Care and Health Overview & Scrutiny Committee	Cargill Golby Parry Redford Sargeant Simpson-Vince Warwick	Adkins Parsons (sp)	Rolfe (Sp)		
Children and Young People Overview & Scrutiny Committee	Barker Bell Dahmash Gilbert Gissane C Williams P Williams	C Davies (Sp)	Roodhouse (Sp)	Chilvers (Sp)	
Communities OSC	Cockburn Crump Gran Singh Pandher Shilton Wright	Dirveiks Phillips (Sp)	Fradgley (Sp)	Kondakor (Sp)	
Resources and Fire & Rescue Overview and Scrutiny Committee	Singh Birdi Cooke Gilbert Jenns Stevens Timms	Olnor O'Rourke (sp)	Boad (Sp)		Falp

(4) That John Bridgeman be confirmed as the Chair of the Audit and Standards Committee.

(5) That the Council appoints the membership to the following bodies as set out below:

	Conservative	Labour	Liberal Democrat
Health and Wellbeing Board	Caborn Morgan Seccombe	Holland	
Joint Coventry & Warwickshire Health Overview & Scrutiny Cttee	Cargill Golby Redford	Holland	Roodhouse
Corporate Parenting Panel	Dahmash Morgan C Williams P Williams	Phillips	Roodhouse
Standing Advisory Council on Religious Education (SACRE)	Golby P Williams	Phillips	Boad
Warwickshire Waste Partnership	Reilly Horner Wright	Chattaway	Fradgley

- (6) That the Leader of the Council be confirmed as the Chair of the Health and Wellbeing Board
- (7) (a) That the following be appointed to the Local Pension Board and Local Fire & Rescue Pensions Board:

<i>Local Pension Board</i>	<i>End of term of office</i>
Singh Birdi	May 2021
Keith Bray	May 2021
Chris Blundell	February 2021
TBA	May 2021
Keith Francis	May 2021
Alan Kidner	May 2021

<i>Local Fire & Rescue Pension Board</i>	<i>End of term of office</i>
Keith Bray	July 2021
Katie Brown (Fire HR Manager)	July 2021
Liz Firmstone (Communities Finance Manager)	July 2021
Marcus Giles (FBU)	July 2021
Tony Morgan (Retained Firefighters Union)	July 2021
Paul Morley (Fire Officers Assoc)	July 2021

- (b) That the Council confirms the re-appointment of Keith Bray as independent Chair of the Local Pension Board and of the Warwickshire Fire and Rescue Local Pension Board.
- (8) (a) That, subject to (b) below, the following County Councillors be appointed to the Police and Crime Panel:

Councillors Brain, Chattaway, N Davies, Dirveiks and Warwick.

- (b) That the Joint Managing Director (Resources), in consultation with the Leaders of the political groups, be authorised to change the allocation of seats between the political groups on the Police and Crime Panel following the district/borough elections to ensure the geographical and political balance of the Panel.

- (9) That the Council appoints members to external bodies as set out below

	Conservative	Labour	Liberal Democrat
Local Enterprise Partnership	Butlin		
Local Government Association (LGA)	Seccombe Butlin	Chattaway	Roodhouse
County Councils Network	Seccombe Butlin	Chattaway	Roodhouse
LGA Fire Commission	Roberts		

- (10) That Council confirms the delegations to officers as set out in the Constitution and endorses the change from 'Groups' to 'Directorates' in the officer structure.

- (11) That the Council authorises the Joint Managing Director (Resources) to make such amendments to the Council's Constitution as may be required as a consequence of any changes agreed by the Council.

6. Overview and Scrutiny Annual Report 2017-18

Councillor Heather Timms, Chair of the Resources and Fire & Rescue Overview and Scrutiny Committee, presented the Overview and Scrutiny Annual Report and was seconded by Councillor Yousef Dahmash.

Councillor Heather Timms highlighted that over half of the members of the Committees had been newly elected in May 2017 and Councillor Timms thanked them for their hard work and active participation. Councillor Timms also commended the work of the the task and finish groups, in particular the Fire and Rescue Task and Finish group that had reported to her Committee. Councillor Timms added that, looking forward, the Committee would be continuing to monitor the quality of services as well as the meeting of savings targets.

Councillor Yousef Dahmash added his thanks to members and also to officers, including the Democratic Services Team and in particular Ben Patel-Sadler, who had provided excellent support to the Children and Young People Overview and Scrutiny Committee. Councillor Yousef Dahmash highlighted the work that the new Committee had undertaken on the scrutiny of the 0-5 redesign of children's centres and the value of having public input. He added that the overview and scrutiny committees provide an environment for positive cross party work, and that it is this cross-party work that is essential for scrutiny to be effective.

Councillor Johnathan Chilvers, Leader of the Green Group, welcomed the commitment to inviting more public and outside representatives to input into scrutiny as this can provide different perspectives on issues. Councillor Chilvers added that he also wished to see a greater focus on a fewer number of items so that there is time to properly scrutinise an item in detail and to identify specific issues and recommendations. He recognised that this can be more demanding but in the longer term can lead to better scrutiny.

Councillor Wallace Redford, Chair of the Adult Social Care and Health Overview and Scrutiny Committee, thanked the members of his Committee and officers for their work and in particular the work of the GP Services Task and Finish Group which had worked to a very tight timescale. Councillor Redford added that most of the members were new to the Committee and to support them (and in recognition of the heavy workload of the Committee) a system of regular briefing sessions had been introduced which he expected to continue in the year ahead.

Councillor Redford added that a good relationship was developing with the Coventry Health Overview and Scrutiny Committee and the first review would be on Stroke Services. Councillor Redford looked forward to the next year of work, emphasising that he would continue to ensure the Committee prioritises its work and focuses on fewer items so that they can be reviewed effectively.

Resolved

That Council notes the Overview and Scrutiny Annual Report 2017-18.

7. Warwickshire Health and Wellbeing Board Annual Review 2017-18 and Planning Approach 2018-19

Councillor Izzi Seccombe, Leader of Council and Chair of the Health and Wellbeing Board, presented the Board's annual review for endorsement by the Council and was seconded by Councillor Les Caborn, Cabinet Portfolio Holder for Adult Social Care and Health.

Councillor Seccombe drew attention to the significant national policy changes and local decisions at paragraph 1.3, in particular the establishment of a 'Place Forum' (joint development sessions with Coventry Health and Wellbeing Board) and the work programme for the year ahead. Councillor Les Caborn highlighted the increasing joint working with partners, building on the lead that the County Council has taken in integrating Public Health and Social Care. He added that the next six months would see dedicated leads from across the partnership developing a Health and Wellbeing Strategy for Warwickshire and being launched as part of the 2019 Year of Wellbeing.

Councillor John Holland expressed his support for the Health and Wellbeing Board which is an important body with a lot of work to do and added his appreciation of the work of staff in the Council and the NHS. Councillor Holland added that there were, however, concerns that need to be addressed, for example life expectancy had stopped increasing in 2010 and in less wealthy areas of the County it has now decreased, indicating an increase in health inequality. Councillor Holland recognised that joining up NHS and care services is a challenge but that there is a need to have a clear vision and work with partners to meet the challenge of reduced funding. He added his support for the work of Public Health and urged that Public Health's preventative strategies be implemented across Council services, for example by implementing healthy transport options.

Councillor Jerry Roodhouse, Leader of the Liberal Democrat Group, raised concern with regard to the lack of transparency of the NHS's 'Better Health, Better Care, Better Value' Programme (formerly known as the STP), in particular that there were activities at an operational level that members and the public are not aware of and he questioned whether the programme was progressing to its original timescales. Councillor Keith Kondakor added his concern that, whilst he welcomed positive proposals for health and wellbeing, he was concerned that initiatives such as the George Eliot Campus, did not appear to have funding and it was not clear that it was progressing.

Councillor Izzi Seccombe, in responding to the debate, supported the need for greater transparency and that Health and Wellbeing Boards have a role in holding partners to account in particular around health inequalities and, although they do not have budgets, they are an important means of drawing partners together around common goals. Councillor Seccombe added that the Year of Wellbeing was one of the first initiatives that the Health and Wellbeing Board had agreed and that the County Council has committed £120,000 to the initiative which is being match funded by Coventry City Council.

Councillor Seccombe added her thanks to all on the Health and Wellbeing Board, including the District and Borough partners who have taken up the pilot schemes on locality based health and wellbeing. These are in place in Alcester and Atherstone and are being rolled out to all of the District and Boroughs.

Resolved

That Council endorses the Health and Wellbeing Annual Review 2017-18 and proposed planning approach for 2018-19.

8. Stratford-upon-Avon Area Transport Strategy

Councillor Jeff Clarke, Cabinet Portfolio Holder for Transport and Planning, presented the Stratford upon Avon Area Transport Strategy which had been produced jointly with Stratford on Avon District Council, Stratford Town Council, parish councils and other organisations and approved by Cabinet on 10 May. Councillor Clarke proposed that the Council approve the Strategy and was seconded by Councillor Peter Butlin, Deputy Leader.

Councillor Clarke emphasised that the Strategy is necessary to respond to the current and future demands on the transport network, taking account of traffic pressures and air quality, and balancing the needs of local residents and visitors to the town. Councillor Clarke added that the majority of measures in the Strategy are dependent on unlocking external funding.

The following points were raised in debate:

- The decision to exclude reference to the Eastern Relief Road was welcomed. The time for any reference to an Eastern Relief Road should be when the new transport strategy is devised in 2026, in line with the work on the new core strategy by Stratford on Avon District Council in 2031.
- The Southern and Western Warwickshire Area Strategy is partially outdated and therefore it should be updated and address the problems across the area, for instance the high level of congestion in Studley.
- The statements in the strategy are welcome, particularly on cycling and park and ride.
- It would be helpful if transport strategies included a statement that there will be information made available for residents who may be impacted by development and in particular any compensation that may be available for those impacted by the proposed South Western Relief Road.
- A transport plan that increases cycling, walking and use of public transport improves the wellbeing of all.
- Cycling and walking routes are fundamental to planning applications.

Councillor Peter Butlin, in responding to the debate, added that the consultation undertaken in Stratford had been extensive with a total of 910 responses and the challenge was in managing traffic and travel in and through the town, whilst protecting the environment, meeting the needs of residents and also retaining the vibrant and

unique economy of the Town. Councillor Butlin added that the Strategy will be a living document and will be adapted but it is a Strategy that will be used by the District Council when it revisits its Local Plan and development for the future.

Resolved

That the Council approves the Stratford-upon-Avon Area Transport Strategy as an addendum to the Warwickshire Local Transport Plan 2011-2026.

9. Capital Investment Fund - A46 Stoneleigh Junction Improvements

Councillor Peter Butlin, Cabinet Portfolio Holder for Finance and Property, moved that Council approve the recommendations from Cabinet as set out in the report and was seconded by Councillor Izzi Seccombe.

Councillor Peter Butlin emphasised the importance of the scheme for economic and safety reasons and stressed that the DfT will not approve their full funding until they have confirmation that the remainder of the funding package will be met from the County Council and the West Midlands Combined Authority.

Councillor Johnathon Chilvers proposed that the recommendations be amended by the deletion of recommendation 2 (which sought agreement that any future funding needed above the level agreed is found from within existing resources of the Transport and Economy Business Unit). Councillor Keith Kondakor seconded the amendment.

Councillor Chilvers expressed concern that recommendation 2 would allow any level of increase in the cost of the scheme without further member decision. Councillor Kondakor added that there should be a funding cap and that increase in costs of large projects meant that there was less funding available for other schemes. Councillor Kondakor added that it would be preferable to look at descaling projects, focusing on safety aspects and allocating a fixed sum.

Councillor Seccombe, in seconding the Cabinet recommendations, reminded Council that this junction improvement was one of a number of important junction improvements and is the first of 3 phases. Councillor Peter Butlin added that he was confident that the £10m allocation would not be exceeded.

The amendment to delete recommendation 2 was put to the vote and was LOST, the voting being 2 for, more against and 2 abstentions.

The recommendations as listed in the report were put to the vote and were CARRIED as set out below:

Resolved

That Council:

- 1) supports the use of a maximum of £10.000m of the Capital Investment Fund to deliver improvements to the A46 Stoneleigh Junction, as part of an overall scheme costing £33.100m;

- 2) agrees that any future funding needed above this level is found from within the existing resources of the Transport and Economy Business Unit;
- 3) agrees to the funding allocated from the Capital Investment Fund being reduced on a £ for £ basis if alternative sources of funding become available;
- 4) agrees that, should the full funding package not be approved by the Department for Transport and the West Midlands Combined Authority and a decision made to abandon the scheme, the revenue impacts of costs incurred to that point should fall upon the existing resources of the Transport and Economy Business Unit; and
- 5) approves the addition of the A46 Stoneleigh Junction Improvements scheme to the capital programme at an estimated cost of £10m, funded from the Capital Investment Fund.

10. Proposed Establishment of the Horton Joint Health Overview and Scrutiny Committee

Councillor Wallace Redford, Chair of the Adult Social Care and Health Overview and Scrutiny Committee, sought the Council's approval to establish a joint Health Overview and Scrutiny Committee with Oxfordshire and Northamptonshire Councils and was seconded by Councillor Jo Barker.

Councillor Redford explained that the Joint Committee is required following a recommendation of the Secretary of State that there be further local consultation on proposals for the reconfiguration of obstetric services at Horton Hospital.

The proposal was put to the vote and agreed unanimously as set out below.

Resolved

That Council:

- 1) agrees to establish a Joint Health Scrutiny Committee with Northamptonshire and Oxfordshire County Councils with the express purpose of responding to the consultation for substantial reconfiguration of consultant-led obstetric services at the Horton General Hospital;
- 2) agrees to nominate Councillor Wallace Redford as the Council's representative on the Joint Health Scrutiny Committee;
- 3) delegates to the joint committee, this Council's powers to scrutinise and refer the consultation for substantial reconfiguration of consultant-led obstetric services at the Horton General Hospital to the Secretary of State; and
- 4) delegates to the Joint Managing Director (Resources) in consultation with the Strategic Director for People and the Chair of the Adult Social Care and Health

Overview and Scrutiny Committee, the power to finalise and agree the Terms of Reference for the new Joint HOSC based on the draft at Annex A of the report.

11. Annual Monitor of the use of the Urgency and Call-in Procedures

Councillor Izzi Seccombe, Leader of the Council, proposed that Council notes the annual monitor of the use of the urgency and call in procedures and was seconded by Councillor Peter Butlin.

It was noted that there had been no call-ins during the year and that the use of urgency had reduced from 11 in 2016/17 to 8 in 2017/18. Councillor Seccombe commented that the need for urgent decisions had been largely due to the tight timescales set by external bodies but that there were some that were caused by officer oversight and she would continue to urge officers to seek decisions in a timely manner when this was in their control to so do.

Resolved

That Council notes the report.

12. Member Question Time (Standing Order 7)

(1) Weddington Road Crossing

Councillor Keith Kondakor asked Councillor Jeff Clarke whether, in the light of the delay in providing the crossing on Weddington Road (two years from the date of the planning application) and the delay of around four years in access to the Bellway site, and other S278 projects, he would endeavour to ensure there are not delays like this in future and that the current delays are resolved immediately.

Councillor Jeff Clarke replied that he would investigate this and respond to Councillor Kondakor.

(2) Kenilworth Station Task and Finish Group

Councillor Sarah Boad, Deputy Leader of the Liberal Democrat Group, asked what progress had been made in establishing a member Task and Finish Group to scrutinise the reasons for the delays on the Kenilworth Station project.

Councillor Izzi Seccombe, Leader of the Council, replied that the terms of reference had been drawn up and an independent Chair was being sought. The group would be established as quickly as possible.

(3) Benefits for Carers

Councillor Jenny Fradgley asked Councillor Les Caborn, Cabinet Portfolio Holder for Adult Social Care and Health, whether all residents and carers involved in recent benefits reorganisation are content with the outcome and any back payments are being made.

Councillor Les Caborn replied that the change in costings applied from the date of implementation and should not be applied retrospectively. Councillor Caborn undertook to ensure officers investigated the particular case that Councillor Fradgley had raised with him.

(4) Bermuda Connectivity Project

Councillor Keith Kondakor asked Councillor Jeff Clarke, Cabinet Portfolio Holder for Transport and Environment, how the consultation on the revised project for the Bermuda Connectivity Project could be underway without the revised traffic and air pollution assessments which were still in preparation.

Councillor Jeff Clarke responded that the consultation had started and that it was a general consultation on the previous basis but with a renewed layout. Councillor Clarke added that any additional information that is required will be shared and put on line when available.

Councillor Keith Kondakor asked whether there would also be more detail on the costings as it is unclear whether the £8m includes the £1m already spent. Councillor Clarke replied that all costings would be reported to members at a future date.

Councillor Richard Chattaway, Leader of the Labour Group, asked for confirmation that the consultation was not on the full scheme but the changes in the scheme. Councillor Clarke confirmed that it was regarding the changes.

13. Any other items of urgent business

None

14. Exclusion of Press and Public

Resolved

That members of the public be excluded from the meeting for the item 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.

15. Exempt Minutes of the Meeting held on 20 March 2018

That the minutes of the meeting held on 20 March 2018 be approved as a correct record, subject to the resolution being included in the public minutes as referred to at minute 3 (3) above.

The meeting closed at 12.43 p.m.

.....
Chair

**County Council
26 July 2018**

**Warwickshire Minerals Plan – Proposed Submission
(Section 20) and Further Publication Consultation
(Regulations 19 and 35)**

Recommendations

That Council:

- (1) approves the proposed Warwickshire Minerals Plan set out in Appendix 1 for submission to the Secretary of State for independent examination in accordance with Section 20 of the Planning and Compulsory Purchase Act 2004 and Regulation 22 of the Town and Country Planning (Local Planning) (England) Regulations 2012 (“the 2012 Regulations”);
- (2) authorises the Joint Managing Director (Communities) to:
 - (a) publish the proposed Plan (with any corrections of typographical errors) in accordance with Regulations 19 and 35 of the 2012 Regulations;
 - (b) determine following the end of the publication period and in consultation with the Portfolio Holder for Transport and Planning and the Joint Managing Director (Resources) whether main modifications should be proposed or any other circumstances require further consideration by Cabinet and Council;
 - (c) provided that no such further consideration is required prepare the materials required for submission to the Secretary of State and submit the Plan to the Secretary of State;
 - (d) take all administrative and other steps which she considers necessary or desirable for the conduct of the Examination in Public and to enable Council to adopt a sound and compliant Plan (including for the avoidance of doubt proposing modifications following consultation with the Portfolio Holder for Transport and Planning and the Joint Managing Director (Resources) that (taken together) do not materially affect the policies set out in the Plan).

1. Background

- 1.1 Warwickshire County Council is the Mineral Planning Authority for Warwickshire and it has a statutory duty to produce the county's Minerals Plan. The Minerals Plan sets out the spatial strategy, allocated sites, the vision, objectives and policies for guiding minerals development for a 15 year plan period. It also provides the framework for minerals development management including implementation and monitoring.
- 1.2 Government guidance also requires that Mineral Planning Authorities should plan for a steady and adequate supply of minerals including the provision of aggregates (sand and gravel and crushed rock). The Minerals Plan is the vehicle which enables this to be implemented, through the allocation of minerals sites. This provides certainty to communities as to where mineral development should take place in the county. This approach should ensure that the plan is sound and legally compliant.

2. Plan Submission Process

- 2.1 This report seeks approval to submit the proposed Warwickshire Minerals Plan as set out in Appendix 1 to the Secretary of State for Independent examination. This will follow consultation on the pre-submission draft for a period of 6 weeks from September 2018. This is a further "Publication" consultation under Regulation 19 of the Town and Country Planning (Local Planning) (England) Regulations 2012. Since the first Regulation 19 consultation carried out between December 2016 and February 2017, the plan requirements have significantly changed due to the a fall in the most recent 10 year sales average from the Local Aggregates Assessment (LAA) 2017. The total plan requirement of sand and gravel in the plan period has fallen from 8.48 million tonnes to 6.525 mt, which would have been an over provision of 1.955 mt. Consequently, a further consultation of the plan based on the lower plan requirement for sand and gravel is required.
- 2.2 The purpose of the consultation is therefore to allow further representations to be made on the proposed Plan before submission to the Secretary of State and subsequent consideration at an examination in public. An updated Summary of Consultation from the previous Publication Consultation is attached in Appendix 2.
- 2.3 The 'Submission' plan document is intended to be the final version of the plan before examination. The statutory process envisages that only changes (here referred to as "main modifications" can be made between the end of Publication Consultation and submission to the Secretary of State. If there are further changes to the plan required, they will be forwarded with the submitted plan for the Inspector at the Public Examination. Full Council is therefore

asked to, firstly, delegate authority to the Joint Managing Director (Communities) to determine following the end of the publication period and in consultation with the Portfolio Holder for Transport and Planning and Joint Managing Director (Resources) whether main modifications should be proposed. Secondly, provided there are no other circumstances that require further consideration by either Cabinet or Council, to prepare the materials required for submission and to submit the Plan to the Secretary of State.

The Plan is being considered by Cabinet on 24 July 2018.

3.0 Next Steps

- 3.1 Once the Publication consultation has been completed and a delegated decision made on whether any changes are required to the Plan to make it legally compliant and sound it will be submitted to the Secretary of State. The Secretary of State will then appoint an Inspector to determine by way of independent Examination whether or not the Minerals Plan (and any submitted changes to it) is sound and legally compliant. This Examination is provisionally planned for the end of 2019.
- 3.2 It is expected that the Plan will be adopted in the latter part of 2020. The timetable is summarised in the Minerals and Waste Development Scheme in see Appendix 3.

Appendix 1 – Minerals Plan Publication (2018) Document

Appendix 2 – Updated Summary of Consultation

Appendix 3 – Minerals and Waste Development Scheme

Background Papers

None

	Name	Contact Information
Report Author	Tony Lyons	tonylyons@warwickshire.gov.uk Tel: 01926 412422
Head of Service	Mark Ryder	markryder@warwickshire.gov.uk Tel : 01926 412811
Joint Managing Director (Communities)	Monica Fogarty	monicafogarty@warwickshire.gov.uk Tel : 01926 412514
Portfolio Holder	Councillor J Clarke	cllrclarke@warwickshire.gov.uk

Warwickshire Minerals Plan Publication Consultation 2018

Warwickshire County Council

Foreword

We are pleased to introduce Warwickshire County Council's (WCC) Minerals Plan. This document sets out the preferred strategy, sites and policies for the extraction of minerals in support of sustainable economic development over the next 15 years.

Minerals are critical in supporting the development of sustainable communities and economic growth. It is critical that a sufficient supply of material is maintained in order to support the provision of houses, roads, energy and the infrastructure required in Warwickshire into the future.

The sand and gravel sites put forward as preferred sites within the plan are in locations as accessible as possible to the main areas of projected development and growth. This approach limits environmental impacts and more effectively contributes to the infrastructure requirements within these areas.

The National Planning Policy Framework (NPPF) requires that WCC as a Mineral Planning Authority to maintain at least a seven year land-bank for sand and gravel throughout the plan period.

This Minerals Plan is the product of consultation and engagement with residents, the minerals industry and other businesses as well as community and environmental groups. By working closely with stakeholders and using the most up to date research and guidance, we have produced a realistic plan that sets out six allocations for the extraction of 6.525 million tonnes of minerals for the duration of the plan period.

This document is a significant step towards ensuring the county's minerals needs are met in the most sustainable way, by balancing all economic, social and environmental factors.



Cllr Jeff Clark
Cabinet Portfolio Holder for Transport and Planning



Monica Fogarty
Joint Managing Director (Communities)

1 Introduction

The Warwickshire Minerals Plan (which was formerly called the 'Minerals Core Strategy') is a Development Plan Document which sets out the spatial strategy, vision, objectives and policies for guiding minerals development in the County for a 15 year period from 2018. It also provides the framework for minerals development management including implementation and monitoring so that any new planning applications submitted will be assessed against the most up to date policies which accord with the most recent Government guidance.

What have we done so far?

Work commenced on the Minerals Core Strategy in 2006/2007. During 2008/09, there was a major amendment to the scope of Warwickshire's Minerals Core Strategy, which meant that instead of moving forward to the submission stage, it was agreed with Government Office for the West Midlands that the Issues and Options would be revisited. The Council consulted on the 'Minerals Core Strategy - Revised Spatial Options' document in February 2009. This set out three strategy options for locating new minerals development, 19 key issues and policy principles and 27 potential minerals sites submitted to the Council for possible allocation in the plan. The 27 sites were submitted by operators, landowners or developers following the Council's 'call for sites' in late 2008. The site submissions covered a variety of different mineral types (including sand and gravel, cement clay/limestone, shallow coal and Etruria marl brick clay). They were all included in the document and no decisions were made on the sites as views were sought on the submissions before more detailed analysis of the sites was undertaken.

The Council considered all the responses received and were working towards the next consultation when Central Government wrote to all Waste Planning Authorities advising that waste plans should be produced as soon as possible to ensure compliance with European legislation. Consequently, in 2010, the Council prioritised the progression of the waste plan. The Warwickshire Waste Core Strategy was adopted in July 2013 which then enabled the Council to restart work on the Minerals Plan. Following a second request for sites in 2013 the Council consulted on the Minerals Plan Preferred Options and Policies between October 2015 and January 2016, which put forward sites for sand and gravel only. Feedback during the consultation with communities and stakeholders had been taken into account which included further assessment of the sites.

The previous consultation, carried out in December 2016 and February 2017 related to the 2016 Publication (Pre-Submission Draft) Plan. In light of the feedback received and revised 2017 LAA (including a Topic Paper), the Council felt it appropriate to review the Plan based on revised sand and gravel requirements to better reflect the current and future growth requirements for Warwickshire. Following on from the review of sites, this Plan, the 2018 Publication (Pre-Submission Draft) Plan is the subject of this current consultation.

Where are we now?

The National Planning Policy Framework (NPPF) and supporting technical guidance was issued in March 2012. The Government has also produced updated planning policy guidance in what is now known as Planning Practice Guidance. This provides guidance on the planning for mineral extraction in plan making and the planning application process. The Council needs to ensure that its policies,

strategy and proposals accord with this guidance in order for the plan to be found sound. The NPPF and the Planning Practice Guidance replace the former Minerals Planning Guidance Notes and Statements.

Government guidance requires that Mineral Planning Authorities (MPAs) should plan for a steady and adequate supply of minerals including the provision of certain amounts of 'aggregates' i.e. sand and gravel and crushed rock. The Government issued a revised aggregates apportionment for the West Midlands region in June 2009 and requested that the then West Midlands Regional Assembly (WMRA) should apportion amounts to individual MPAs, taking into account advice from the Regional Aggregates Working Party (RAWP) and the MPAs. Although the WMRA chose a preferred methodology for calculating the apportionments, the RAWP and the majority of the MPAs did not agree with the recommendation. In March 2010, the WMRA and all other Regional Planning Bodies were abolished as part of the Government's Localism agenda and the proposed apportionments were never formally adopted.

Since that time, the Government has produced the National Planning Policy Framework. This requires that MPAs should prepare an annual Local Aggregate Assessment (LAA) based on a rolling average of 10 years past sales' and other relevant local information and an assessment of all supply options (including marine dredged, secondary and recycled aggregates sources and to present it to the West Midlands Aggregate Working Party (WMAWP) for comment. The Council has produced four LAAs, summary below:

- The first LAA was adopted on 24th June 2014,
- Consulted on the second LAA in October 2015
- The third LAA was signed off by the WMAWP on 6th October 2016 and was the basis for the 2016 Publication (Pre-Submission Draft) Plan
- The Council's latest consultation, the subject of this current stage of the Plan, is the 2018 Publication (Pre-Submission Draft) Plan and is supported by the 2017 LAA

Sand and gravel provision in Warwickshire

The National Planning Policy Framework states that MPAs should make provision for a sand and gravel landbank of at least 7 years of permitted reserves. Warwickshire's landbank currently stands at 13 years based on calculations within the most recent LAA (2017). A number of sites have closed since 2008 and until recently only one new site at Wolston Fields has been put forward by the industry and that started operating in late 2014. However, planning approval has now been given to extend the existing Brinklow Quarry to provide an extra 3.4 million tonnes and work restarted at High Cross Quarry in 2017

Crushed rock provision in Warwickshire

The National Planning Policy Framework requires that MPAs should maintain a crushed rock landbank of at least 10 years. Warwickshire's crushed rock landbank remains healthy at 29.18 years with a 25,680,700 tonnes reserve at December 2013. However, there is only one quarry producing crushed rock and much of the County's landbank is provided by other permitted sites which are dormant and not currently operational. The mineral resource area for crushed rock in the county is very limited and subject to a number of constraints but is safeguarded as a mineral safeguarding

area (MSA). A map showing the extent of the MSA is appended to this plan. The plan contains policies against which proposals for future working of the mineral resource area will be considered.

Provision of other minerals in the County

There are also landbank requirements for cement (15 years) and brick clay (25 years) which are relevant to Warwickshire. However, there is only one site for each of these minerals; Rugby for cement and Kingsbury Brickworks for clay. Rugby relies on imported limestone (chalk slurry) piped from Kensworth (Bedfordshire) from outside Warwickshire and clay from within the county at Southam Quarry. Rugby has sufficient reserves of all the major raw materials required to produce cement during the plan period. Kingsbury Brickworks currently has a 25 year landbank of permitted reserves sufficient to meet its future needs. The long term needs of both plant sites depends more on mineral safeguarding than finding new sites. For this reason the future planning of all minerals other than sand and gravel will be addressed through the policies in this Plan rather than site allocations.

Underground Coal Gasification (UCG) and Fracking

Underground Coal Gasification is a separate process to fracking and involves the burning of coal seams underground and using the resulting gas to produce energy. The Coal Authority is responsible for issuing licences granting the right to access the coal, but no UCG operations can take place until the applicant has secured all other necessary rights and permissions. This would include securing the necessary permission from Warwickshire County Council as the Mineral Planning Authority. This Plan contains a policy to ensure that UCG proposals can be adequately assessed.

Fracking is a process whereby the rock is fractured by injecting water at high pressure which forces gases through pipes above the surface. This Plan addresses the issue through a policy. However, it should be noted that the geology within Warwickshire may not be conducive to enabling fracking as there are no major shale deposits in the County. No operator has expressed any interest in fracking in the County at the current time.

2 Policy Context

National Minerals Planning Policy

National Planning Policy Framework

The National Planning Policy Framework sets out the Government's planning policies for England and how these are expected to be applied. It replaced all previous Planning Policy Statements/ Guidance Notes and Minerals Policy Statements/ Guidance Notes.

The key policy messages are that when preparing plans authorities should:

- Identify and include policies for extraction of mineral resources of local and national importance in their area, but should not identify new sites or extensions to existing sites for peat extraction;
- So far as practicable, take account of the contribution that substitute or secondary and recycled materials and minerals waste would make to the supply of materials, before considering extraction of primary materials, whilst aiming to source minerals supplies indigenously;
- Define Minerals Safeguarding Areas and adopt appropriate policies in order that known locations of specific minerals resources of local and national importance are not needlessly sterilised by non-mineral development, whilst not creating a presumption that resources defined will be worked; and define Minerals Consultation Areas based on these Minerals Safeguarding Areas;
- Safeguard: - existing, planned and potential rail heads, rail links to quarries, wharfage and associated storage, handling and processing facilities for the bulk transport by rail, sea or inland waterways of minerals, including recycled, secondary and marine-dredged materials; and existing planned and potential sites for concrete batching, the manufacture of coated materials, other concrete products and the handling, processing and distribution of substitute, recycled and secondary aggregate material.
- Set out policies to encourage the prior extraction of minerals, where practicable and environmentally feasible, if it is necessary for non-mineral development to take place;
- Set out environmental criteria, in line with the policies in this Framework, against which planning applications will be assessed so as to ensure that permitted operations do not have unacceptable adverse impacts on the natural and historic environment or human health, including from noise, dust, visual intrusion, traffic, tip-and-quarry-slope stability, differential settlement of quarry backfill, mining subsidence, increased flood risk, impacts on the flow and quantity of surface and groundwater and migration of contamination from the site; and take into account the cumulative effects of multiple impacts from individual sites and/or a number of sites in a locality;
- When developing noise limits, recognise that some noisy short-term activities, which may otherwise be regarded as unacceptable, are unavoidable to facilitate minerals extraction; and
- Put in place policies to ensure worked land is reclaimed at the earliest opportunity, taking account of aviation safety, and that high quality restoration and aftercare of mineral sites takes place, including for agriculture (safeguarding and conserving the long term potential of

the best and most versatile agricultural land, geodiversity, biodiversity, nature woodland, the historic environment, recreation and soil resources).

Minerals Planning Practice Guidance

The Guidance advises on planning for mineral extraction in plan making and the application process. It explains what minerals are and why permission is required to extract minerals. It sets out how minerals can be safeguarded from non-mineral development, and how local authorities can identify suitable locations for mineral development and how they can plan for mineral extraction.

Mineral Planning Authorities are encouraged to plan for minerals extraction using Ordnance Survey-based proposals maps and relevant evidence provided by the minerals industry and other appropriate bodies.

This approach will allow mineral planning authorities to highlight areas where mineral extraction is expected to take place, as well as managing potentially conflicting objectives for use of land.

Mineral Planning Authorities should plan for the steady and adequate supply of minerals in one or more of the following ways (in order of priority):

1. designating Specific Sites – where viable resources are known to exist, landowners are supportive of minerals development and the proposal is likely to be acceptable in planning terms. Such sites may also include essential operations associated with mineral extraction;
2. designating Preferred Areas - these are areas of known resources where planning permission might reasonably be anticipated. Such areas may also include essential operations associated with mineral extraction; and/or
3. designating Areas of Search – areas where knowledge of mineral resources may be less certain but within which planning permission may be granted, particularly if there is a potential shortfall in supply.

Local Planning

Warwickshire Minerals Local Plan (adopted 1995)

The Minerals Local Plan was adopted in February 1995 and remained in effect until September 2007. Thereafter, only certain policies were saved to form part of the statutory development plan for Warwickshire. The saved policies remain in effect until the new Minerals Plan is adopted.

Warwickshire Waste Core Strategy (adopted 2013)

The Warwickshire Waste Core Strategy was adopted at the meeting of Full Council on the 9th July 2013. Once adopted, these policies became part of the statutory development plan for Warwickshire, replacing the saved policies of the Warwickshire Waste Local Plan 1999.

Warwickshire Local Transport Plan (WLTP)

The Warwickshire Transport Plan sets out how the County and its partners intend to improve transport and accessibility, as well as outlining longer term improvement schemes in the County for the period up to 2026. The County's existing Local Transport Plan (LTP3) came into effect on the 1st

April 2011. The Minerals Development Framework will need to accord with the policies and principles of the LTP3.

District and Borough Local Plans and Neighbourhood Planning

These provide the planning policy context at a local level. In the same way as the Minerals and Waste Local Plans are being replaced by new Local Plans, each district and borough in Warwickshire is in the process of producing new Local Plans.

Communities now have new powers to shape development through neighbourhood planning, which is a new right introduced through the Localism Act 2011. A Neighbourhood Development Plan can set out a vision for an area and planning policies for the use and development of land. It will form part of the statutory planning framework for the area, and the policies and proposals contained within the neighbourhood plan will be used in the determination of planning applications.

Planning Policy summary

The national and local plans, policies and guidance set out above form the context for the Minerals Plan. In applying these policies, plans and guidance to produce this Plan, it is important to have a thorough understanding of the local context. The next chapters will provide a spatial portrait of the County's characteristics as well as a broad overview of Warwickshire's mineral context.

3 Spatial Portrait

Locational Context

Warwickshire lies to the south and east of the West Midlands conurbation and has established strong sub-regional links with the adjoining authorities of Coventry and Solihull and wider linkages with different parts of the West Midlands. The location of the County also means that it also has economic links with the East Midlands and the South East.

Warwickshire is bounded to the North West by the West Midlands Metropolitan conurbation and Staffordshire, Leicestershire to the north east, Northamptonshire to the east, Worcestershire to the west, and Oxfordshire to the south and Gloucestershire to the south west. Despite the focus of population within the main towns of the County, a significant part of Warwickshire is rural in nature with the majority of people living in the north and central areas of the County.

Warwickshire is a two tier local authority and has five district/borough areas:

- North Warwickshire Borough
- Nuneaton and Bedworth Borough
- Rugby Borough
- Stratford-on-Avon District
- Warwick District

Population

In 2015/2016 Warwickshire was home to 556,750 people according to the latest population figures from the 2016 estimate (ONS). There had been a 20% increase in the annual number of births in Warwickshire during the last 10 years. Population sizes within the districts and main settlements are shown in Table 3.1 and Table 3.2, but the largest towns in Warwickshire as of 2011 are Nuneaton (pop 82,000), Rugby (72,100), Leamington Spa (49,600) and Bedworth (37,200).

Across Warwickshire, as a whole the highest rates of projected population growth are in the groups aged 65 and over. The rate of growth increases with age, with the oldest age group (those aged 85 and over) projected to increase by more than 40% between 2011 and -2021.

Districts	Population
North Warwickshire	63,229
Nuneaton and Bedworth	127,019
Rugby	103,815
Stratford-upon-Avon	123,670

Warwick	140,411
Warwickshire	556,750

Table 3.2 The population of the main settlements in Warwickshire

	Mid 2002 Ward Estimates 2012	Mid 2012 Ward Estimates	% change 2002 - 2012
Alcester	6,000	6,000	0.0
Atherstone and Mancetter	10,900	11,000	+0.9
Bedworth	34,700	37,300	+7.5
Coleshill	6,300	6,500	+3.2
Kenilworth	23,300	23,300	0.0
Leamington Spa	45,800	50,500	+10.3
Nuneaton	78,500	82,400	+5.0
Polesworth	7,000	7,000	0.0
Rugby	61,700	72,600	+17.7
Shipston-on-Stour	4,500	5,100	+13.3
Southam	6,500	6,600	+1.5
Stratford-upon-Avon	22,300	27,600	+23.8
Studley	6,000	5,800	-3.3
Warwick	26,100	30,300	+16.1
Wellesbourne	7,000	6,800	-2.9
Whitnash	8,200	8,900	+8.1

Notes: Mid 2011 ward population estimates are the most recent population estimates available. The

definition of Bedworth used here includes the wards of Bede, Exhall, Heath, Poplar, Slough but not Bulkington ward, which has a population of 6,000. All figures are rounded to the nearest 100.

Source: Warwickshire Observatory; National Statistics mid-year population estimates for 2012 wards, (www.statistics.gov.uk) © Crown Copyright 2014.

Employment and Training

The market towns of northern and eastern Warwickshire were industrialised in the nineteenth century and include Atherstone, Bedworth, Nuneaton and Rugby. Major industries include (or included) coal mining, textiles, engineering and cement production, but heavy industry has been in decline, being replaced by distribution centres, light to medium industry and services. The prosperous towns of central, southern and western Warwickshire include Leamington Spa, Stratford upon Avon, Kenilworth, Alcester and Warwick which sustain light to medium industries, services and tourism as major employment sectors.

Whilst the sub-region retains its traditional links with manufacturing (particularly the motor industry), it has experienced significant growth in the service sector economy over the last 20 years. The completion of the M40 in the early 1990s and improved rail services between the West Midlands and London has resulted in the creation of jobs in the area.

The number of people who are claiming Job Seekers Allowance in Warwickshire is below the national and regional levels. At borough and district level, the proportion of residents claiming such benefits ranges from very low in Stratford-on-Avon District (6%) to fairly high in Nuneaton and Bedworth Borough (7% although this was as high as 8% in 2010). In the twelve months from June 2013 -2014, all districts have experienced a fall in their claimant count rate, with reductions in North Warwickshire Borough, Stratford-on-Avon District and Warwick District all exceeding 40%.

Long term unemployment remains a concern in the county; in June 2014, some 1.320 residents had been unemployed for 12 months or more. As the data visualization at the start of this section shows, total unemployment and youth unemployment have returned to levels experienced before the downturn, however long term unemployment has yet to return to levels witnessed a decade ago. One half of those long- term unemployment in the county reside in Nuneaton & Bedworth Borough Council compared to just one fifth in June 2002. This is due to the number of long term unemployment in Nuneaton & Bedworth Borough increasing at a faster rate compared to the rest of the county.

Over one in five (21.6%) of Warwickshire residents have no formal qualifications. This varies at a local level and when comparing Warwickshire to the national average (England & Wales), the County is positively outperforming. One of the targets for Warwickshire County Council and the Warwickshire Local Enterprise Partnership (which are working on a skills strategy for the sub-region) is to develop the skills of Warwickshire residents.

Quality of Life in Warwickshire

Despite being a prosperous County there are inequalities, with the majority of the less prosperous areas with higher levels of deprivation located in the north of the County in the Boroughs of

Nuneaton and North Warwickshire. However, even in the more prosperous southern districts, pockets of deprivation exist. Higher levels of deprivation are often epitomised by the physical and practical problems of lack of transport and support services and of limited employment opportunities outside the main towns.

The latest English Indices of Multiple Deprivation (IMD 2015) provide the most detailed and comprehensive measure of deprivation and disadvantage to date. They reveal that at a county level, that Warwickshire is ranked 124th out of 152 upper tier authorities in England meaning that it is amongst the 20% least deprived areas in England according to the IMD rank of average score as shown in Table 3.2.

Nuneaton & Bedworth has the highest levels of deprivation in the County, indicated by the highest average Lower Layer Super Output Area (LSOA) score. The Borough ranks as the 111th most deprived Local Authority District (out of the 326 Local Authorities in England). Stratford-on-Avon is the least deprived in Warwickshire with a national rank of 272nd.

Local Authority District	IMD - Rank of average score (out of 326)
North Warwickshire	190
Nuneaton & Bedworth	111
Rugby	240
Stratford-on-Avon	272
Warwick	267

Source: English Indices of Deprivation 2015, Department for Communities & Local Government

Various indicators measured at Super Output level reveal a mixed picture within the County in terms of health and disability, income, employment, crime, educational skills and training and barriers to housing and living environment deprivation. For income deprivation, employment, crime and education the general pattern is that the larger concentrations of deprivation are in Nuneaton and North Warwickshire with only a few isolated pockets in Stratford and Warwick. The picture in relation to "Barriers to Housing and Services" is slightly different with the problem areas particularly in the more prosperous districts of Stratford and Warwick. Housing is less affordable in these areas.

There are eight LSOAs in Warwickshire ranked within the top 10% most deprived LSOAs nationally on the overall IMD 2015. Six of these eight are located in Nuneaton & Bedworth Borough, one within Warwick District and the other within North Warwickshire Borough. This compares with nine LSOAs ranked within the top 10% most deprived LSOAs in the IMD 2010, all of which were located within Nuneaton & Bedworth.

The annual Warwickshire Quality of Life Survey 2014/15 shows that all boroughs and districts have experienced a downward trend in the numbers of people claiming Job Seekers Allowance benefit in the last year. Whilst the health of people across the County is generally above the national average, the performance across a range of indicators between boroughs and districts presents a more varied picture. On a positive note, fear of crime levels have fallen and are currently the lowest seen in the County in ten years. This is mirrored by a fall in recorded crime across the County with just fewer than 10% of fewer crimes being recorded in 2009-10. Serious road casualties have also continued to see a decline in numbers and are half the number experienced ten years ago. Waste disposed of per head of population is still falling and recycling and composting rates are continuing to build on previous improvements.

Transport

Warwickshire lies at the heart of Britain's transport network with several key strategic routes passing through the County including the M6, M6 toll, M40, M42, M45 and M69 along with a number of key trunk routes including the A5, A45, and the A46. The A46 and A444 act as a key route in the North-South corridor from Nuneaton down to Leamington and Warwick and the A46 provides a strategic link between the East Midlands (M1/M69) and the South West (M5). Warwickshire experiences a high level of through road freight traffic movement (M6, M40, M42 and A46).

Warwickshire is well connected by rail with the West Coast Main Line running through the County from the north-west to London and the south east. These are important passenger and freight movements. There are two rail freight terminals in the County, both of which lie in North Warwickshire; Birch Coppice and Hams Hall. The Daventry International Rail Freight Terminal (DIRFT) is also located just beyond the Rugby borough border in Northamptonshire.

There are also plans for a new HS2 high speed rail link through the County. In 2010, the Department for Transport with HS2 Ltd announced the proposed route for the high speed rail link between Birmingham and London Euston. The proposed route is highlighted in Figure 1.1. Whilst the HS2 rail proposals are still at pre-development stage, there may be implications for the emerging Minerals Plan. The HS2 proposals will be closely monitored through future monitoring and taken into account at all stages as the Minerals Plan develops.

There are four canals which run through Warwickshire which form the Warwickshire Ring. The Coventry Canal links Coventry and Fradley Junction just north of Lichfield. It also runs through the towns of Bedworth, Nuneaton, Atherstone, Polesworth and Tamworth. It is navigable for boats up to 21.9m (72ft) length. The Stratford-upon-Avon Canal runs for 25 miles in total, comprising two sections. The southern section starts at the River Avon in Stratford-upon-Avon and stretches north as far as Kingswood Junction near Lapworth, where it is connected to the Grand Union Canal by a short spur. The northern section continues, joining the Worcester and Birmingham Canal at Kings Norton Junction in south Birmingham.

The 135 mile Grand Union Canal links Birmingham and London and enters Warwickshire through the south-east by Braunston Junction near Daventry. It joins up with the Oxford Canal to share a small section. They both head west, travelling between Long Itchington to the north and Southam to the south, before splitting again at Napton Junction. Here the Oxford Canal turns south to travel out of

the County while the Grand Union heads north-west. The Oxford Canal is a 78 mile long narrow canal linking Oxford with Coventry via Banbury and Rugby.

Warwickshire has over 1,750 miles of public rights of way, along with over 100 miles of canal towpaths and a variety of other site based countryside access opportunities, both private and local authority operated. As well as providing a resource for the people of Warwickshire, the network also plays a larger role with several regionally and nationally important long distance promoted routes passing through the county. The settlement pattern and transport infrastructure, together with the existing mineral sites within the County, are shown in Figure 1.1. The County Council's advisory lorry routes are shown in Figure 1.2.

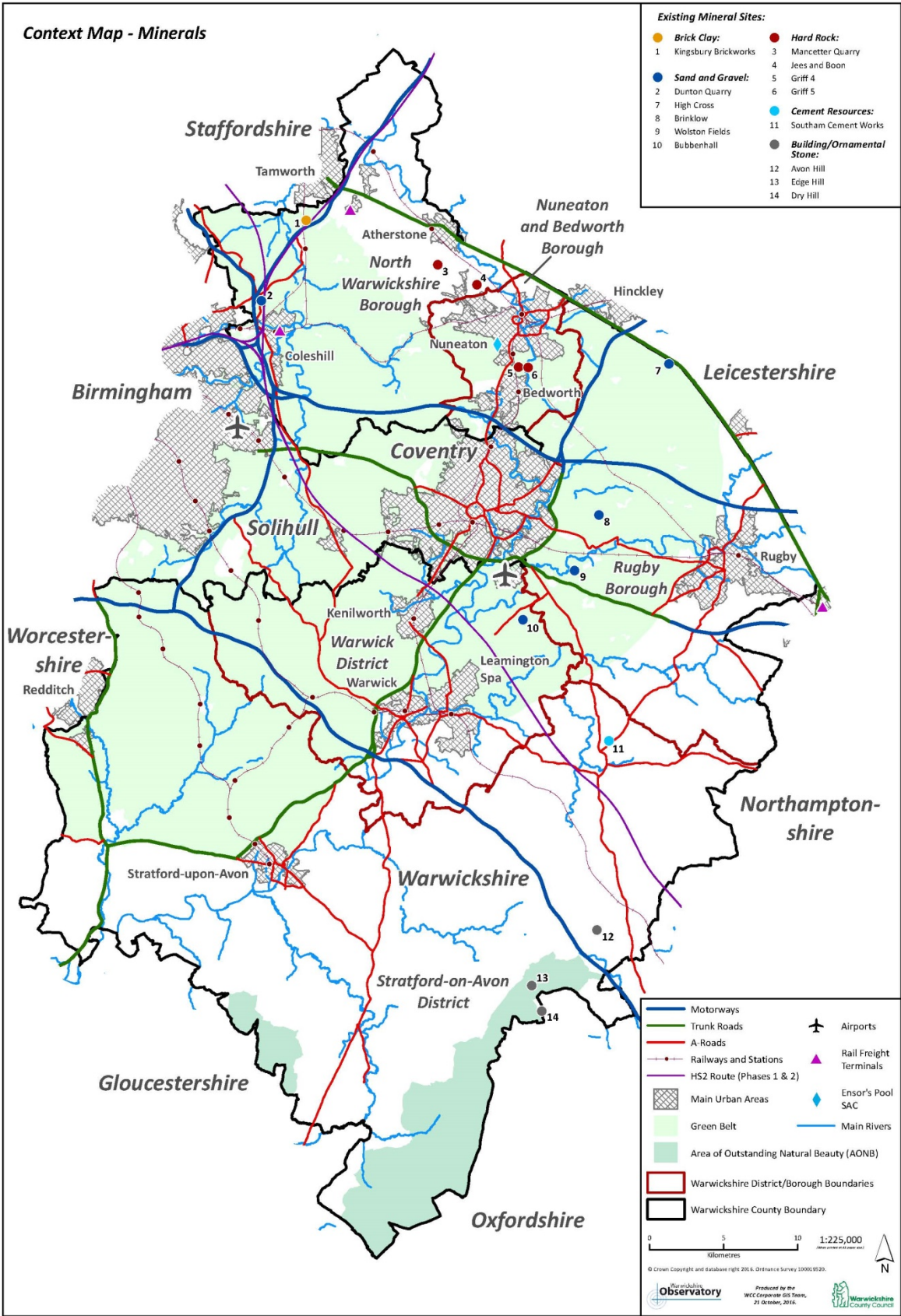


Figure 1.1 Sub-regional context - Minerals

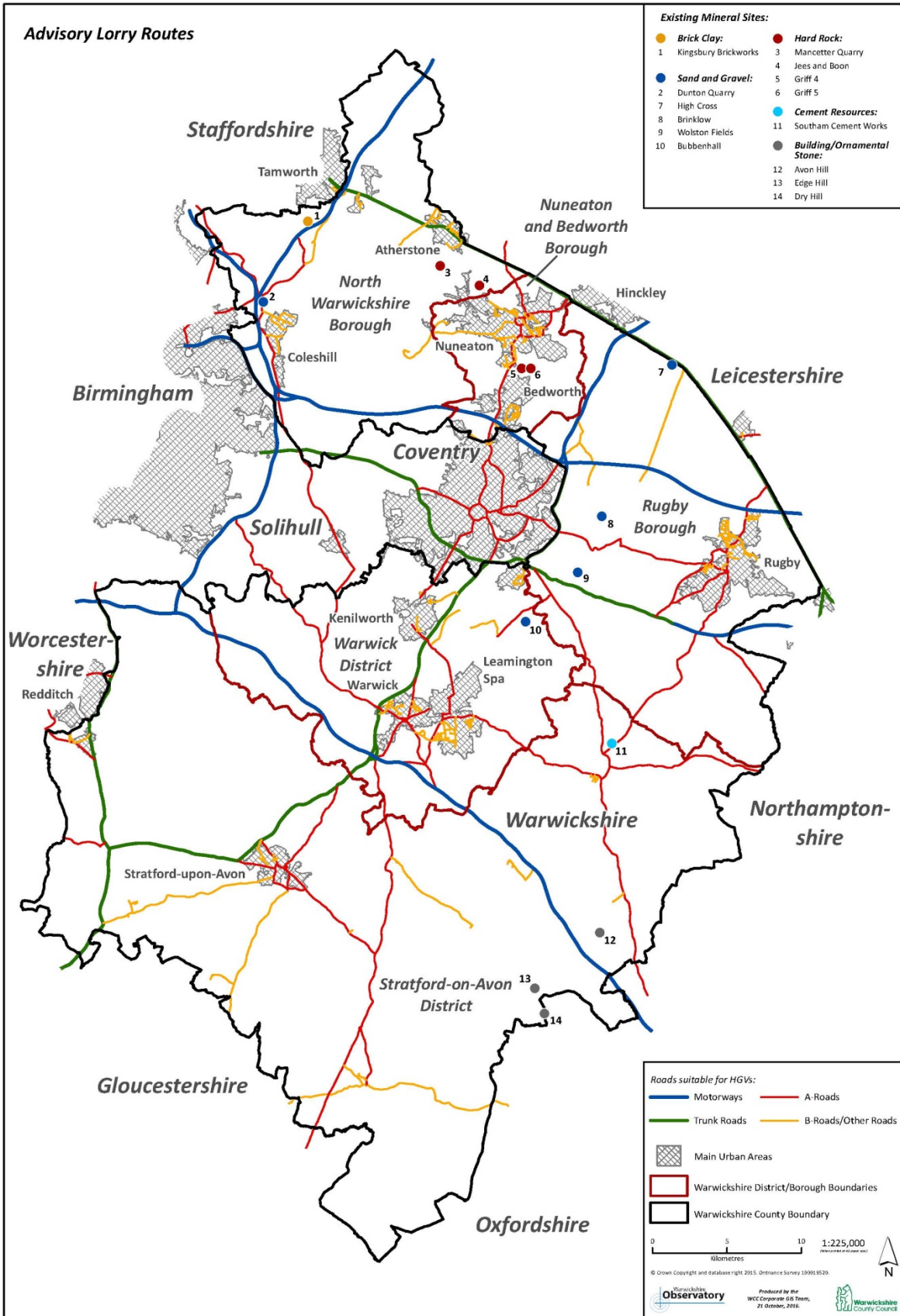


Figure 1.2 Advisory Lorry Routes in Warwickshire

Environment

Warwickshire has a landscape of considerable variety and complexity, with seven distinct landscape character areas: Arden, Dunsmore, Avon Valley, Feldon, Cotswolds, High Cross Plateau and Mease Lowlands. Part of the Cotswolds character area is designated as an Area of Outstanding Natural Beauty (AONB), a national designation to conserve the natural beauty of landscapes of recognised importance. Warwickshire County Council has produced a set of guidelines designed to offer advice on maintaining diversity and beauty, to conserve the landscapes for future generations and have also produced the Warwickshire, Coventry and Solihull Green Infrastructure Strategy. Furthermore, a large proportion of the County is covered by a swathe of designated Green Belt (depicted in Figure 1.3).

In accordance with Articles 6.3 and 6.4 of the European Habitats Directive, Warwickshire County Council must undertake a Habitats Regulations Assessment (HRA) to assess that its plans or projects, either individually or in combination, do not impact upon the conservation objectives of European designated sites. As Warwickshire is host to a site of European importance (shown on Figure 1.3), and there are sites in proximity of the county, an initial screening assessment has been undertaken. A further assessment has been undertaken and accompanies this plan.

The County has seen a decrease in unimproved grassland as well as a loss of hedgerows and traditionally managed woodland. Warwickshire is one of the two worst hit Counties in England, as flower rich pasture and meadowland has reduced to just a few hundred acres (a 97% loss between the second World War and 1996) and approximately 32% of hedgerows have been lost, both as a result of agricultural intensification. Although there have been isolated successes in halting the loss of Warwickshire's biodiversity, there is a need for appropriate spatial planning to protect and enhance wildlife populations and habitats. Therefore the Plan will seek to support the overarching aim and objectives of the County's Biodiversity Strategy, and seek to protect or enhance the 26 species and 24 habitats set out in the Warwickshire, Coventry and Solihull Biodiversity Action Plan. The Biodiversity Action Plan is informed by the Habitat Biodiversity Audit (HBA), a project led by the Warwickshire Wildlife Trust that seeks to provide up-to-date, accurate and readily accessible ecological data to partners including the County Council. This will provide accurate measurements and monitoring of priority habitats in the County. The Warwickshire Biological Records Centre also provides information on species distribution and ecological sites in the County. This work will provide an important context for the Minerals Plan and will help to shape the proposals and policies contained within it.

The County's Historic Environment Record (HER) has recorded 18,882 Historic Landscape Character Areas (including 4968 Historic Farmstead Records) and 10,470 monuments. Of these monuments, 198 are designated as Scheduled Monuments of national importance. The County also has approximately 6,008 Listed Buildings of historical or architectural interest and 138 Conservation Areas. Furthermore, there are 31 Registered Parks and Gardens and there is 1 Registered Historic Battlefield site at Edgehill. Warwickshire's historic landscape makes a considerable contribution to the County's character and local distinctiveness and the Warwickshire Historic Landscape Characterisation project (in conjunction with the then English Heritage) will further contribute to the understanding of how the County's landscape has developed over time, and its capacity for change,

so that an integrated approach to its sustainable management can be established. There are also a number of National Trust land and properties in the county.

Warwickshire's topography and river drainage pattern means that parts of the County are at particular risk of flooding. In recent years a number of large scale events have occurred across the country. The flooding events of 1998 and 2007 as well as near misses in the winters of 2012/13 and 2013/14, and very recent flooding in February and March 2016, as well as many localised extreme events, indicate flooding is a significant ongoing risk in Warwickshire. This reflects the fact that the County is relatively flat and has numerous watercourses. The most severely and regularly affected areas are all of the reaches of the Leam and Avon and the tributaries of these rivers. Stratford-upon-Avon and Leamington are the main urban areas mostly affected by large scale flooding but many more rural towns and villages have also suffered. Under the Flood and Water Management Act (2010) ('the Act') Warwickshire County Council (WCC) became a Lead Local Flood Authority (LLFA), responsible for managing local flood risk from surface water, groundwater and ordinary watercourses in Warwickshire. One of the new duties placed upon WCC as the LLFA, to assist in the management of local flood risk, is to 'develop, maintain, apply and monitor' a Local Flood Risk Management Strategy. This Local Flood Risk Management Strategy ('the Strategy') provides an overview and assessment of local flood risk in Warwickshire, setting out objectives and measures for how WCC will manage and reduce local flood risk. It covers the county of Warwickshire comprising the five local authorities of North Warwickshire, Nuneaton and Bedworth, Rugby, Stratford upon Avon and Warwick.

In August 2007, Warwickshire County Council, Coventry City Council, Solihull Metropolitan Borough Council and the Districts and Boroughs of Warwickshire commissioned consultants to produce a level 1 Strategic Flood Risk Assessment (SFRA). The outputs from the SFRA provide information to inform the Minerals Plan to ensure that due regard is paid to flood risk in the creation of policies and plans. The SFRA maps all forms of flood risk and uses this as an evidence base to locate new development primarily in low flood risk areas. Areas of 'low' (zone 1), 'medium' (zone 2) and 'high' (zone 3) risk are mapped using data collected from many sources, including the Environment Agency, Warwickshire County Council, Severn Trent Water, the Highways Agency and the Canal and Rivers Trust.

In Warwickshire the latest agricultural land classification information for the county shows that 0.1% of the land is grade 1, 11.9% is grade 2, 74.5% is grade 3, 7.9% is grade 4, and 0.1% is grade 5. Figure 1.4 shows the geographical distribution of the various grades.

Details of the Air Quality Management Areas in the county are shown on Figure 1.5.

Tourism makes a key economic contribution to the Warwickshire economy and the quality of life for the county's resident population. The county has assets with national and international visitor appeal and is a popular destination for day visiting, and indicators suggest opportunities for significant future growth. The total business turnover generated in Warwickshire as a result of tourism is estimated to be £971,315,000 or, turnover of just under £1 billion, and supported 20,800 jobs and 3610 firms (2011).

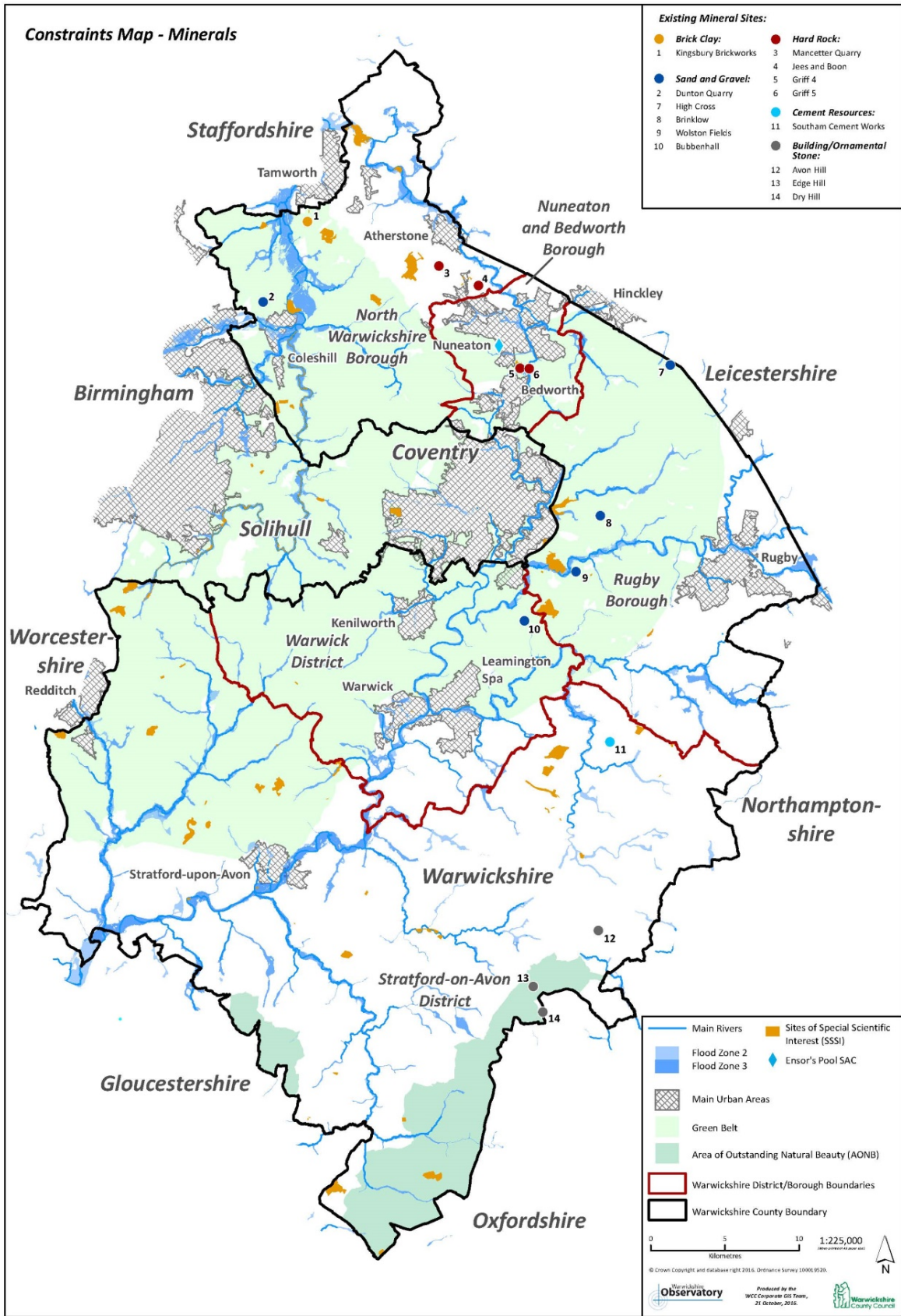


Figure 1.3 Mineral Constraints Map

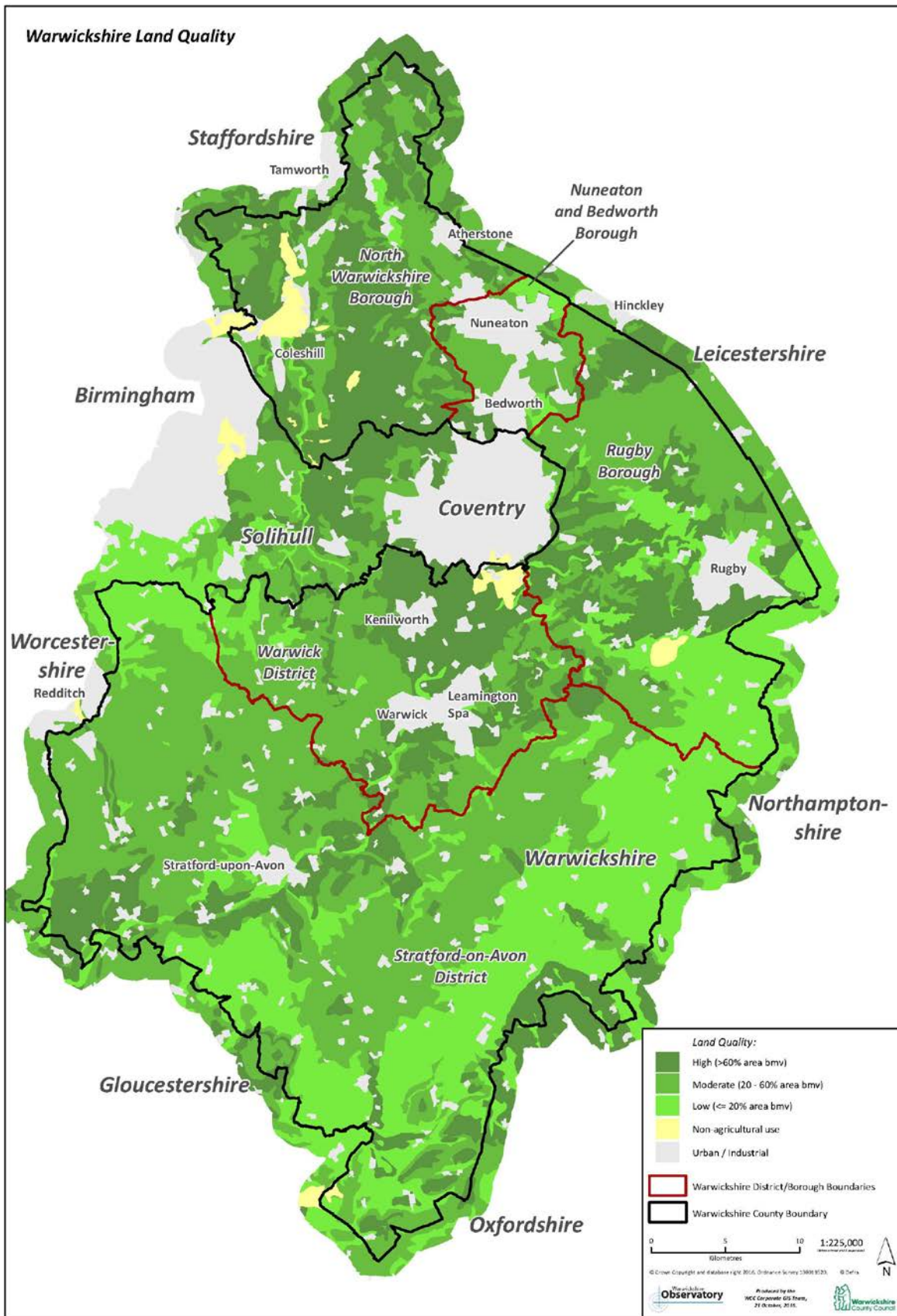


Figure 1.4 Best and Most Versatile Land Plan (Agricultural Land Classification)

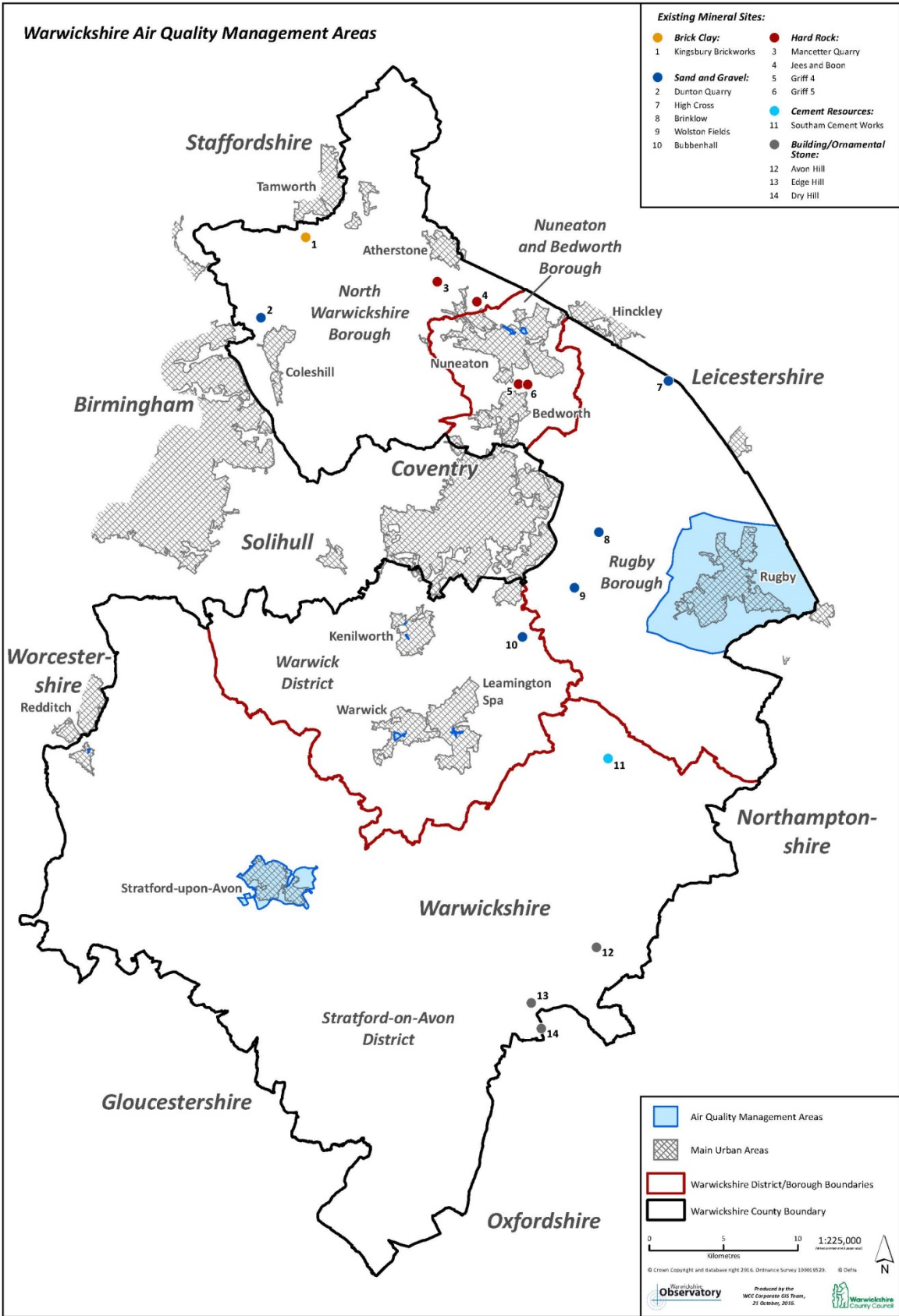


Figure 1.5 Air Quality Management Areas

Since the SFRA was carried out in 2008, some areas have been remodelled, including the Rivers Stour and Leam, Shottery Brook and additional modelling has been undertaken for Southam on the river Itcham and the Pingle Brook. The most recent updates to the SFRA are available on the Environment Agency website.

In addition, when considering the wider implications around hydrology over and the above flooding issues, the Water Cycle Study (WCS) is an important part of the evidence base. A WCS is a more holistic approach than the SFRA as it helps to determine what sustainable water infrastructure is required and where and when it is needed.

The WCS has been carried out at a sub-regional level and covers all the districts within Warwickshire. The existing sub-regional Water Cycle Study is considered adequate to inform the development of the Minerals Plan.

As a co-deliverer of the Water Framework Directive (WFD) 2000/60/EC, Warwickshire County Council needs to ensure that its policies and strategies support the Directive's aspirations and targets. The WFD does not allow for any drop in quality of the water environment, and aims for all waterbodies to achieve 'Good' status by 2015. The Environment Agency have subsequently produced River Basin Management Plans (RBMPs) which assess the current state of the water environment and include measures for protecting and improving the water environment. The RBMPs specify what is required to be undertaken to ensure that Good Status is achieved on schedule.

Whilst the administrative area of Warwickshire covers the three river basins of the Severn, the Humber and the Thames, the majority of the County lies within the Severn River basin. The policies contained within the Minerals Plan will therefore need to help to achieve the aims, objectives, priorities and targets set out in these plans, particularly the Severn RBMP.

To achieve this, while mitigating climate change and the additional development proposed, policy and decision makers need to take a tough stance on the control of water pollution, ensuring betterment from the existing situation is achieved wherever possible, and the risk of contamination of Controlled Waters is minimised in all new developments and redevelopment proposals.

In order to achieve the Spatial Vision we have, in previous consultations, set out a number of objectives, which have been refined during our previous consultation work. These are set in the context of the main objectives for national mineral planning in Chapter 6 of this Plan.

4 Minerals Context

The diverse mineral resources of Warwickshire have been exploited since the first human settlements developed in the County. Today extraction of cement raw materials (clay), building stone, sand and gravel, crushed rock and brick clay still occur and reserves of these minerals still exist. A map of the County's geology with all of the existing mineral sites is shown in Figure 1.6.

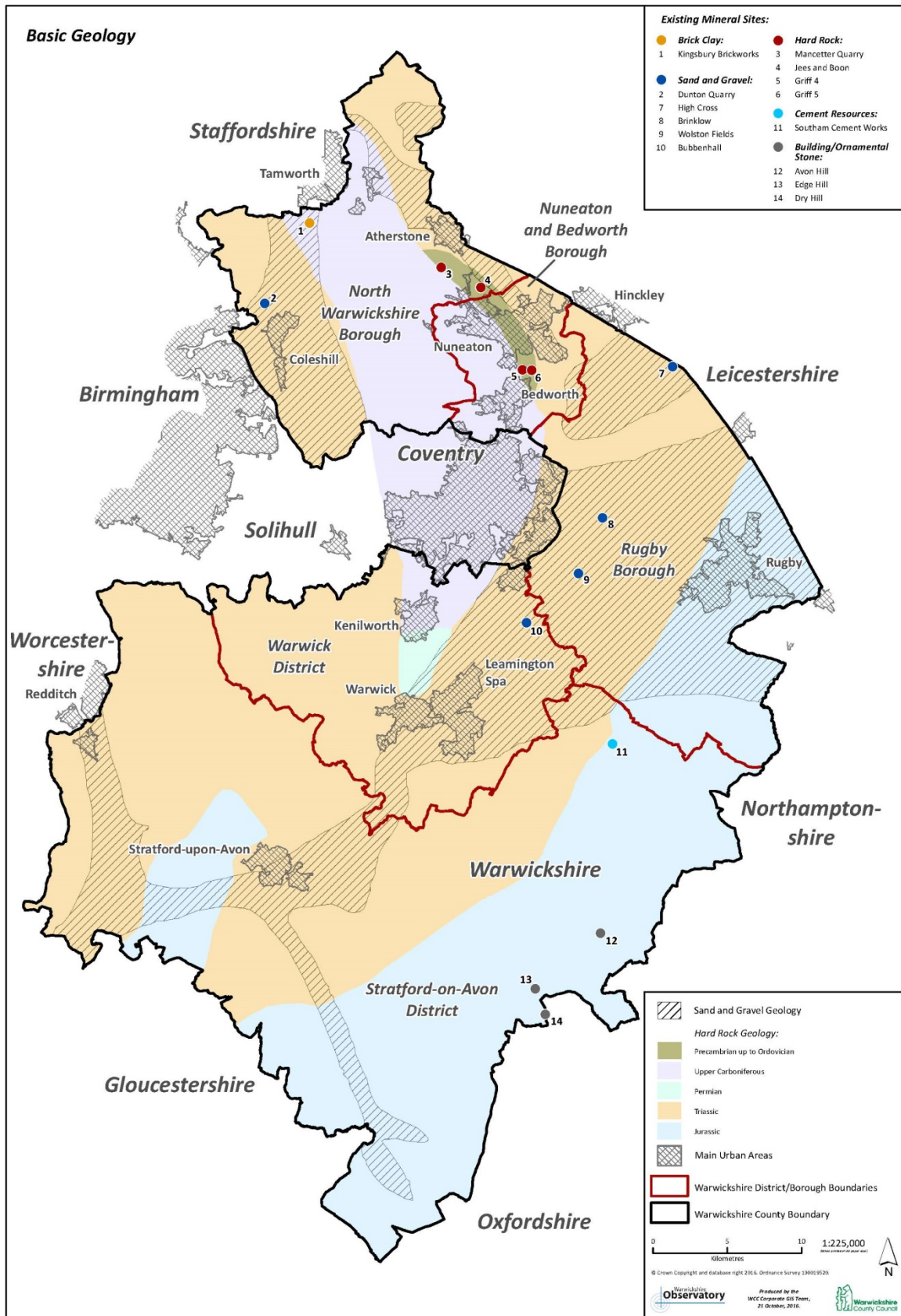


Figure 1.6 Warwickshire's Geology

Sand and Gravel

Sand and gravel is one of the main types of aggregate minerals, along with crushed rock, which are mainly used as bulk minerals in the construction industry. Sand is a hard residual mineral quartz. Sand and gravel is defined on the basis of particle size rather than composition. Gravel, sometimes known as coarse aggregate, is between 4mm and 80mm in particle size and is mainly used in concrete manufacture. Sand comprises particles that are less than 4mm but greater than 0.063mm and are mainly used as fine aggregate. Anything below the lower level is classed as silt and is usually discarded by the minerals industry although sometimes it can be used as a horticultural sand or to secure restoration of a site.

Sand and gravel resources can be classified into two major categories depending on their age and geology:

- superficial, or 'drift' deposits, and
- bedrock, or 'solid' deposits – there are no bedrock deposits in Warwickshire.

These comprise all those sand and gravel sediments laid down during the last two million years. They mainly comprise river sands and gravels which take the form of extensive spreads that occur along the floors of major river valleys, generally beneath alluvium, and as river terraces flanking the valley sides. River terraces are the dissected, or eroded, remnants of earlier abandoned river floodplains.

Such deposits are found in the south of the county especially along the River Avon and its tributaries. Consequently, such resources of sand and gravel are focussed on specific areas to the south of Warwick around Charlecote, Wasperton and Barford and west of Stratford and around Bidford on Avon and Salford Priors.

Deposit thickness varies from less than 1m to maximum values of around 10m. Sand to gravel ratios are variable, but river deposits typically are relatively clean with lower fines content (silt and clay) than glacial deposits. The largest producing area in the county in the 1980s centred on the terraces of the River Tame in north-west Warwickshire with nearby Glacial deposits around Coleshill. These deposits have almost all become worked out in recent years apart from an area around Lea Marston.

The other major group of resources are glaciofluvial sands and gravels. These deposits were associated with glacial action and laid down by the glacial meltwaters issuing from, or flowing on top, within and beneath, ice sheets and glaciers. The deposits are commonly associated with till (boulder clay), and may exhibit complex relationships, occurring as sheet or delta-like layers above till deposits, or as elongate, irregular lenses within the till sequence.

As a result, the distribution of glaciofluvial deposits is less predictable in geographical extent than river sand and gravel deposits. They may also exhibit considerable lateral variations in thickness, composition and particle size distribution, generally contain more fines (silt and clay) and frequently contain a larger amount of over-sized materials. Glacio fluvial deposits are common to the Rugby area to the south east of Coventry. They are spread more widely than the river terrace deposits but may be more variable in quality.

Typical Extraction Processes

The high water table level at some sand and gravel quarries especially in the river terrace deposits means that active workings have to be pumped, to enable dry screen extraction. Wet extraction under the water is also possible, but is a less efficient process.

The extraction process starts with the stripping of soils and sometimes overburden, which are then stored on site and often used for screening and bunding during the process before being returned to the void. Then the exposed sand and gravel can easily be excavated by hydraulic excavators, which either load direct onto dump trucks or feed on to conveyors before being processed.

The processing plant can either be fixed on site or off site for satellite operations or mobile. The plant itself enables a series of screening and washing operations to grade and sort the mineral into the required sizes of sand and gravel. Waste 'fines' (i.e. fine sand or silt, clay) which on average make up between 5-10% of the deposit are pumped into silt ponds. Silt ponds are normally allowed to dry out to permit reclamation, although once full they can be re-excavated to provide extra capacity or sold as a product. Processed materials are then stockpiled by type until required for sale. Sometimes sites used materials from other sites for blending purposes to create a wider range of products.

Uses of Sand and Gravel

Sand and gravel extraction cannot be looked at in isolation from the markets and products that they are added to, in the manufacture of building materials. Nationally and locally, the main use of sand and gravel is for concrete (67% of the total sand and gravel sold). Other uses for sand include mortar and for gravel include drainage layers or construction fill.

Sand is also used in a number of other ways to make, mortar and asphalt as well as for use in brick making, landscaping, agriculture and many other industrial processes such as glass making. Gravel has a number of uses, including road construction, drainage, water and effluent filtration and pipe bedding. It can also be used for decorative purposes on landscaping projects or for domestic properties for instance in the construction of driveways.

Concrete is made from a mixture of water, cement, coarse aggregate (natural gravel, crushed limestone or other hard rock) and fine aggregate (generally quartz sand, but limestone sand and other crushed rock fines are also used). The water and cement form the paste binder, whilst the aggregate forms an inert filler. Fine and coarse aggregate are added either separately or as a combined 'all in' aggregate. The properties of the aggregate used, influence the mix proportions and the performance of the concrete. Particle size, form and shape are important. For example, finer sand sizes require more cement, which has additional cost implications as cement is the most expensive component of concrete.

Existing Sites and supply arrangements

At present there are three sites producing sand and gravel in the county; Wolston Fields and Brinklow and a third one at High Cross has recently recommenced operations. The material from Wolston is processed off site at Bubbenhall but operations are scheduled for completion within the next few years whilst Brinklow has recently received permission to extend its working until 2046. In addition there are remaining permitted reserves at Bubbenhall Quarry and Dunton Quarry but these

are constrained and only involve modest amounts. Warwickshire's proximity to the West Midlands Conurbation and increasing demand from within the County has led to a depletion of reserves in recent years.

Warwickshire Aggregate Minerals Infrastructure

The main types of infrastructure connected with sand and gravel production in the county are set out below

Fixed Processing Plants

There are currently only four sites in the county with fixed processing plant and the planning consents for two of the four sites are scheduled to expire in 2021. A further site is expected to close around 2021 due to landownership constraints.

Concrete Batching Plants

Concrete batching plants are simply various pieces of equipment on a site, which are used to mix various materials to produce concrete. These materials comprise water, air, admixtures, sand, aggregate (rocks, gravel, etc.), fly ash, silica fume, slag, and cement. There are two main types of concrete plants: Dry mix plants and Wet mix plants. Dry Mix Plants are those which dispense pre-weighed loads of sand and gravel on to trucks, which then have specific volumes of water added and then the concrete is mixed on the truck whilst being transported to the particular site. Wet mix plants are those which mix the materials and produce concrete from a central production point, which is then loaded on to lorries. The mix is agitated en-route to the site.

The county has a well - developed network of concrete production plants. There are 14 concrete batching plants in the county. These have traditionally been located either in quarries or on industrial estates but are mainly on industrial estates now. These plants are listed in Appendix 2.

Asphalt Plants

An asphalt plant is a plant used for the manufacture of asphalt, macadam and other forms of coated road stone, sometimes collectively known as blacktop or asphalt concrete. Sand is used in the production process.

The manufacture of coated road stone demands the combination of a number of aggregates, sand and a filler (such as stone dust), in the correct proportions, heated, and finally coated with a binder, usually bitumen based or, in some cases, tar. The temperature of the finished product must be sufficient to be workable after transport to the final destination. A temperature in the range of 100 to 200 degrees Celsius is normal.

Recycled materials can be added to the asphalt mix but the quality of Asphalt starts reducing once the percentage of recycled asphalt increases beyond 20%.

There are 3 asphalt plants in the county again sited in existing or former quarries.

Mortar Plants

Dry Mix Mortar is produced in specially designed dry mix mortar plants in which binders and aggregate are mixed in the appropriate way and are transported to construction site in bags or silos and need only be mixed with water prior to use.

It is composed of a thick mixture of water, sand, and cement. The water is used to hydrate the cement and hold the mix together. The water to cement ratio is higher in mortar than in concrete in order to form an extra strong bonding element.

There are two mortar plants in the county at Brinklow and Bubbenhall Quarries. Further details of all the aggregate minerals infrastructure in the county is available at Appendix 4.

Brick Clay

Historically bricks have been made across Warwickshire wherever suitable clay was found. The use of local clay for the production of bricks has ceased with the exception of the large scale brickworks at Kingsbury which extracts the high quality Etruria Marl which is part of the County's Carboniferous sequence of rocks. However, this is a major plant of regional significance owing to the specialist brick types which are exported around the country.

Building Stone

Historically building stone has been used extensively throughout the county and further information can be found in "A Building Stone Atlas of Warwickshire – published in May 2011. The aesthetic qualities of the stone used impart a distinctive character to the county's historic buildings.

Working of building stone in the county has typically been very intermittent, less intensive, surface related and from small scale (nature and extent) quarries irrespective of whether they are "relic" as described in the NPPF. The minerals industry believes that dimension stone extraction should not be limited to local markets or the heritage sector. The sector should be free to develop new- build markets and should be allowed to operate at higher production if it contributes to economic development. By emphasizing reliance on local markets and small scale operations the industry believes that the authority is being too prescriptive and not recognising the potential for change. The evidence is that the past pattern of working has not changed and the industry is in decline and situation is unlikely to change in the foreseeable future.

There are currently no sites working building stone in the county. Sites at Edge Hill and Dry Hill in the Cotswold AONB and Avon Hill outside the AONB have worked ironstone and limestone but only Edge Hill is currently operational working very small ironstone stockpiles for secondary aggregates prior to completing the final restoration of the site. The location and scale of the sites are reflective of the physical and planning constraints affecting building stone extraction such as the capacity of local roads, amenity considerations and designations and designated assets.

Coal

Coal from the Carboniferous Coal Measures which are exposed at the surface in the north of the County has been exploited since Roman Times. Small scale operations from shallow pits continued until the middle to late 19th century when numerous deep mines began operational in North Warwickshire reflecting an increase in the demand for coal and advances in mining technology. The last deep mine at Daw Mill, near Arley in North Warwickshire closed in 2013 following a huge underground fire. Previously, coal extraction had taken place in the Corley Moor area at a depth of around 800 – 900 metres. The coalfields in Warwickshire are shown on Figure 1.7.

Cement Production

The production of cement has a long history in Warwickshire with extraction of the required minerals (Jurassic Lias limestones and shales) occurring around Southam and Rugby. Current production comes from the one cement plant in Rugby, where locally extracted materials are mixed with chalk slurry transported by pipeline from Bedfordshire.

Crushed Rock

The Precambrian and Ordovician igneous rocks which outcrop around Nuneaton up to Mancetter in North Warwickshire are a vital source of high specification roadstone and aggregates which supply the main road networks of the West Midlands and neighbouring regions.

Recycled Aggregates

Recycled aggregates comprise construction, demolition and excavation waste such as brick, stone, concrete and asphalt which have been reprocessed to provide products for the construction industry to re-use. Traditionally, much of the material was recycled by mobile plant on construction sites but recently there has been an increase in the number of new sites associated with live or exhausted quarries. This is certainly the case in Warwickshire with several recent permissions at former quarries which are linked for the completion of the restoration of the former quarries and the life of the site. It is apparent that recycling of aggregates is becoming as important in the county as the production of primary aggregate production.

Currently there are 9 recycled aggregates sites in the county and a plan showing the location of the sites is provided in Figure 1.8.

In recent years, construction and demolition (c&d) waste recycling figures have not been fully monitored because of the difficulty in getting returns from operators and the number of temporary sites with mobile plant. In addition, there are also issues regarding the accuracy of the returns and the extent of the number of exempt sites.

Monitoring work carried out for the adopted Waste Core Strategy looked at permitted capacity at such sites and when added to recent permissions gives a total of 830,250 tonnes of capacity per annum. This is helpful but the absence of actual sales and production figures and their uses limits their overall usefulness in determining future supply requirements. However, after 2013 the AWP survey the authority has tried harder to focus on recycled and secondary materials and from 9 monitoring forms sent out to operators, figures from individual operators and from the Waste Data

Interrogator, produced a total of 575,388 tonnes of construction and demolition waste material recycled for 2013. This is an increase in the total figure for 2012 which had a figure of 524184 tonnes. Recent permissions at Griff IV Quarry (a former hard rock quarry), Griff Clara and at the former Middleton Hall Quarry have added 100,000 tonnes of capacity since the start of 2012. Whilst Dunton Quarry (a former sand and gravel quarry) has permission to operate until 2021.

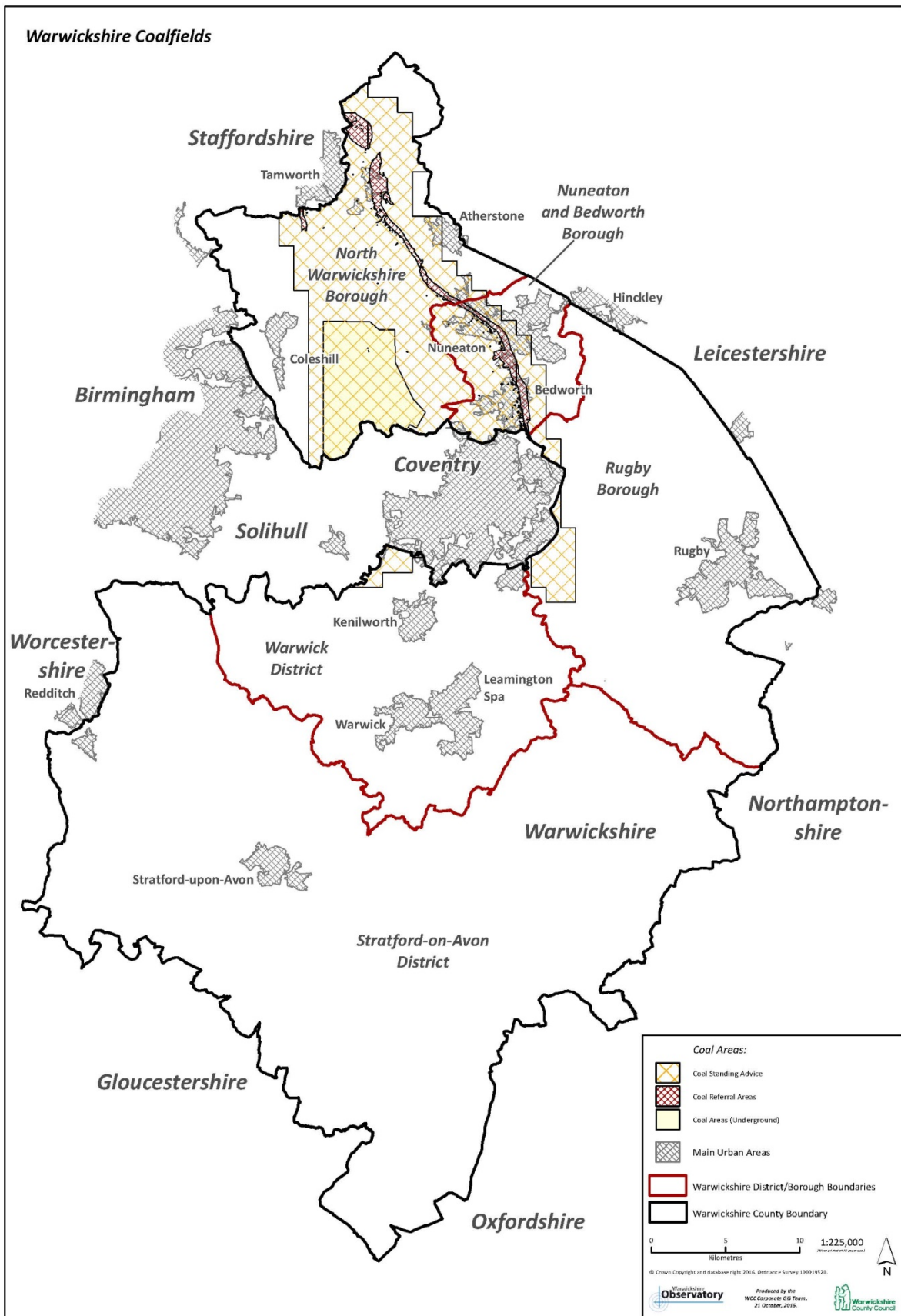


Figure 1.7 Warwickshire Coalfields

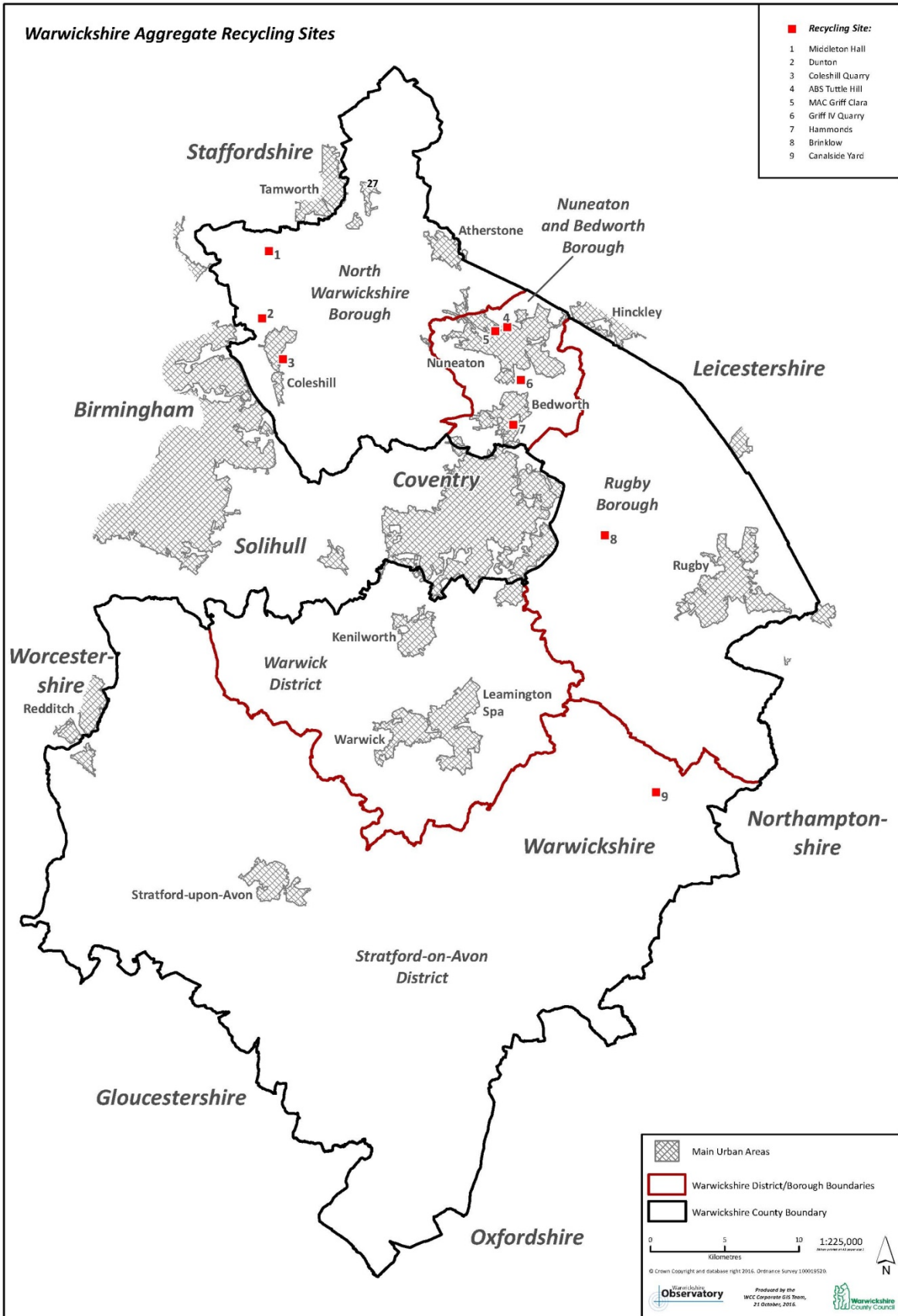


Figure 1.8 Warwickshire Aggregates Recycling Sites

5 Key Issues for Minerals in the County

Key Strategies

Demand Strategy

Meeting the demand for aggregates and other minerals (see Policies MCS1, MCS2 and MCS3).

Warwickshire Local Aggregate Assessment

The NPPF requires the preparation and maintenance of an evidence base (the Local Aggregates Assessment (LAA)) to inform its annual production requirements based on a methodology of a rolling average of the previous 10 years sales and other relevant local information such as levels of planned construction including housebuilding. The 2014 LAA using 2012 data gave a production requirement of 0.751 million tonnes per annum which equates to a figure of 12.241 million tonnes over the 15 year plan period (2017-2032). However, the draft 2015 LAA using 2013 data shows the production requirement down to 0.688 million tonnes and the 15 year plan requirement down to 10.3 million tonnes. The draft 2016 LAA using 2014 data shows production down again to 0.573 million tonnes giving a revised plan requirement of 8.02 million tonnes. This requirement will be met by providing sand and gravel site allocations in this plan as it is not practicable to make future provision through use of secondary and recycled aggregates due to the limitations and constraints on the continuity of supply, use of such materials in the construction market, the temporary nature of sites and the variability of production capacity and sales at existing sites.

The Planning Officers Society and the Mineral Products Association have recently published good practice guidance on LAAs and this advises that the starting point for the LAA should be the latest available 10 year sales, which is the 2016 data. The guidance also emphasises the importance of taking account of other relevant local information. The guidance accepts that there is no currently defined methodology for quantifying and translating aggregates demand from future housebuilding rates. The guidance simply encourages local information to be based on sound evidence which is relevant, adequate, proportionate and up to date. In the consultation on the Preferred Option and Policies document a figure of 10% was added to address any concerns about a low 15 year plan requirement. Based on the draft 2015 LAA the plan requirement was increased from 10.3 million tonnes to 11.6 million tonnes using the 10% addition. However, the 10% addition has not been taken forward and the 2016 LAA figure of 8.02 tonnes has been used to determine the requirements for this plan.

It should be noted that in addition to the ten year past sales assessment Planning Practice Guidance states that Mineral Planning Authorities should also look at average sales over the last three years in particular to identify the general trend of demand as part of the consideration of whether it might be appropriate to increase supply. The latest figures for 2016 show the 3 year average to be much lower than the 10 year average at 0.270 million tonnes so from this measure there is certainly no justification to increase supply above the 10 year sales figure.

Issue 1 - Aggregates

The NPPF states that MPAs should plan for a steady and adequate supply of aggregates through the provision of land won and other elements of their Local Aggregates Assessment and through the maintenance of landbanks of at least 7 years for sand and gravel and 10 years for crushed rock. However, the main issue for this plan to address is the shortfall in sand and gravel. Without adequate sand and gravel there will not be enough aggregate to serve the construction industry in the County and the sub-region. An adequate landbank needs to be maintained throughout the plan period.

Other Minerals

There is no provision required to meet needs for other minerals during the plan period. For those minerals where landbanks are required to be maintained such as for brick clays and cement the resource will be safeguarded and planning applications will be treated on their merits in accordance with the policies in the development plan. The remaining minerals which are not covered by landbanks and /or safeguarding will be addressed by determining planning applications in accordance with the criteria-based policies in this plan.

Issue 2 - Future Production

How to address the decline in sand and gravel production in the county? (See Policy MCS1 and Policy SO)

It is important that the County delivers aggregates to serve the construction industry in the County and to contribute to the needs of the West Midland Metropolitan Area. However, whilst the construction industry has come out of recession there is a shortage of sites coming forward to provide primary aggregates within the County. Several sites have ceased production leaving the County with currently only 3 active sand and gravel sites and only 1 active crushed rock site. WCC has carried out a further Local Aggregates Assessment and the average production over a period of the last 10 years is now 0.508 million tonnes.

The industry has submitted only a handful of planning applications since 2003 for mineral development some of which were later withdrawn. The question remaining is whether the minerals industry is still interested in extracting sand and gravel in the County, whether it considers the quality of the material in the County to be inferior and not worth extracting for the concrete market, or whether there is better quality material in surrounding areas to serve local markets or whether their existing sites in surrounding areas can deliver the materials the construction industry in Warwickshire needs at a more competitive price.

Issue 3 - Mineral Safeguarding and Prior Extraction (see Policies MCS5 and DM10)

The NPPF states that Mineral Planning Authorities should define Mineral Safeguarding Areas (MSAs) in order that known locations of specific minerals resources of local and national importance are not needlessly sterilised by non-mineral development. There is no presumption that any resources defined will be worked. However, where planning applications for non-mineral development are submitted, the relevant district or borough should consult the County Council and where it would be practicable and environmentally feasible to work the mineral, we may seek a mineral assessment to

be carried out prior to determination. In some cases we may insist on prior extraction of the mineral before the non-mineral development is carried out.

Safeguarding extends to ensuring that existing or potential facilities required for the transportation and storage of minerals are also protected. Where there are planned, existing or potential rail heads, rail links to quarries, wharfage and associated storage, handling and processing facilities for the bulk transport by rail or inland waterways of minerals, including recycled, secondary and marine-dredged materials, these should be safeguarded. At present there is no bulk transportation of minerals by either rail or inland waterways in Warwickshire and no prospect of different modes of transport becoming available in the foreseeable future. In addition, safeguarding should also be extended to existing, planned and potential sites for concrete batching, the manufacture of coated materials, other concrete products and the handling, processing and distribution of substitute, recycled and secondary aggregate material.

Issue 4 - Avoiding and mitigating the impacts (see Policy DM4)

Mineral development can have a significant adverse impact on society, the economy and the environment. This could be in a number of different ways including the effect on natural resources (including water, air and soil), biodiversity, geodiversity, archaeology, heritage and cultural assets and their settings, the quality and character of the landscape, adjacent land uses or occupiers, the distinctive character and setting of the County's settlements, and the effect on the openness of the Green Belt. The effects of mineral working can also be cumulative from individual sites and/or a number of sites in a locality.

Generally, when a planning application is submitted for mineral development one or more of these areas could be affected. However, in many situations these can be addressed by the operator or developer avoiding these areas, redirecting the impact and/or proposing adequate mitigation or making compensatory provision where mitigation measures might not be sufficient to offset potential impacts. For instance if there is a potential landscape impact it could be mitigated by redesigning the scheme or creating new features or planting large areas of trees. To ensure that this is provided to an acceptable standard, planning conditions would be attached to any planning permission or planning obligations would be required. If it was considered that the adverse effects were unacceptable and could not be mitigated it could be a reason for refusing the planning application.

Issue 5 - Secondary and Recycled Aggregates (see Policy MCS4)

Recycled aggregates are aggregates derived from reprocessing materials previously used in construction. Recycled materials include recycled concrete from construction and demolition waste material (C&DW), road planings and railway ballast.

Secondary aggregates are usually by-products of other industrial processes not previously used in construction. Different materials are common to specific areas depending on what the manufacturing process is in that area. In Warwickshire one of the main secondary aggregates is the residual cement kiln ash from the cement manufacturing process at Rugby Cement Works.

The issue regarding recycled and secondary aggregates is ensuring that the maximum amount of this material is reused in the construction process which can then be substituted for primary aggregates.

It is acknowledged that such materials may not be interchangeable or a substitute for primary aggregates and that not all materials can be recycled into aggregates.

However, by recycling more aggregate to a standard whereby it can be re-used in new construction projects, it ensures that less primary aggregate is required and hence fewer quarries are needed. This is more sustainable than relying wholly on primary aggregates. Policies in this plan encourage such uses.

Issue 6 - Potential shortage of inert fill for restoration to agriculture (see Policies MCS4, DM4 and DM9)

One problem related to the increase in recycling of aggregate material is that much more material is now being recycled so that there may be less waste material to fill the quarry voids quickly once extraction has been completed. If the economy improves that situation may change. Equally some operators have been able to access suitable resources whilst others have experienced problems. It may take longer for quarries to be restored back to agriculture if that is the proposed end use. This can be a problem for communities which may be left with an un-restored quarry for several years longer than had initially been proposed.

Depending on the site circumstances and design proposals there are a number of solutions which this plan considers are acceptable. First is to encourage the use of low level land restoration so that less fill material is needed to restore sites back to agriculture. Best and most versatile agricultural land can be restored/enhanced using low level land techniques and without having adverse impacts on visual appearance. Second is to focus on restoring part of the site to the best and most versatile agricultural land leaving the remainder to be used for nature conservation and recreational uses. Third is to require the phased working and restoration of sites and fourth is, where land cannot be restored to agriculture, it could be used for flood storage and sustainable urban drainage systems for example.

Issue 7 - Restoration and potential for promoting Green Infrastructure (see Policies DM3 and DM9)

There is great competition for land around urban areas from housing and employment uses as well as other land uses. As urban areas increase in size they may be situated close to existing or proposed quarries. As part of restoration mineral workings have the potential to incorporate elements of nature conservation and recreation and green infrastructure. These may be able to be incorporated into the green infrastructure network for boroughs and districts and the county as defined in the Coventry, Solihull, and Warwickshire Sub-Regional Green Infrastructure Strategy. Minerals Plans and District Local Plans need to be “joined up” to ensure that future opportunities are recognised early in the plan process.

Issue 8 - Restoration for Waste Management Uses (see Policy DM9)

Increasingly, former mineral sites are becoming used for recycling operations. Sites which may have been infilled with inert waste such as aggregates in order to help prepare them for restoration to agricultural use may also have been given permission for temporary recycling facilities to provide a continuing source of infill material. This has occurred at several locations such as Coleshill, Dunton and Middleton Hall without any adverse impact. Where such uses are demonstrated to be environmentally acceptable, they can help with recycling of inert waste in the County.

Issue 9 - Transportation of Minerals (see Policy DM5)

All transportation of minerals in Warwickshire is currently by road. It is desirable that new quarries are located as close as possible to potential markets which include the major towns in the County and potential large new infrastructure centres. Shorter distances to the markets will reduce travel costs and hence be more sustainable.

Transportation of minerals can be a potential problem if quarries are located away from the main trunk and "A" road system. Generally, mineral extraction sites are not approved if they require lorries to travel through minor roads and centres of population including both towns and villages. Any site submissions with predicted transport/ highway problems will be rejected unless it can be demonstrated that the issues can be satisfactorily mitigated. Although there is no transportation of minerals by canal or rail in the County at present and for the foreseeable future it is a highly sustainable option and should an opportunity arise during the plan period it should be encouraged.

Issue 10 - Flooding and flood alleviation (see Policy DM7)

New Planning Practice Guidance states that local authorities and developers should seek flood risk management opportunities to reduce the overall level of flood risk in the area and beyond. Careful consideration should also be given throughout the lifetime of the mineral extraction to ensure that flood risk is not increased elsewhere. This can be achieved, for instance, through the layout and form of development, including green infrastructure and appropriate application of sustainable drainage systems through safeguarding land for flood risk management.

New mineral developments can help reduce the impact of flooding in some areas where there may be opportunities to restore quarries as flood attenuation and storage areas. This may be in association with other objectives of this plan such as encouraging biodiversity, informal recreation and contributing to the green infrastructure of the county as a whole.

Issue 11 - Onshore Oil and Gas, Shale Gas/Oil and Fracking (see Policy MCS9)

The Department for Communities and Local Government has recently issued planning practice guidance for onshore oil and gas and this includes unconventional hydrocarbons, hydraulic fracturing and coal bed methane. The guidance states that it is likely that Warwickshire County Council would be responsible for assessing planning applications in Warwickshire where planning permission is required. This is a highly contentious national issue and the current situation in Warwickshire is that no proposals have come forward to date. The most recent information that the County Council has received from the British Geological Survey is that, of the main potentially prospective shale gas rocks, none are present in Warwickshire in thicknesses or depths that would be expected to be commercially viable.

However, while shale gas development in Warwickshire may be unlikely in the short term, this is a new technology and the plan must address any potential developments in that industry. Therefore this plan contains Policy MCS 9 to enable any such proposals to be assessed.

Issue 12 - Underground Coal Gasification (see Policy MCS10)

Underground Coal Gasification (UCG) is a separate process to fracking and involves the controlled combustion of coal seams underground and using the resulting gas to produce energy. The Coal Authority is responsible for issuing licences granting the right to access the coal, but no UCG operations can take place until the applicant has secured all other necessary rights and permissions. This would include securing the necessary permission from Warwickshire County Council as the Mineral Planning Authority. A conditional licence application was made to the Coal Authority in May 2013 by Cluff Natural Resources Plc. No decision was made by the Coal Authority and the County Council was told that Cluff would let its applications lapse as it wished to focus on offshore areas where there were larger reserves.

Policy MCS 10 ensures that UCG proposals, if they come forward, can be adequately assessed.

Issue 13 - Coal (see Policy MCS8)

Whilst the NPPF gives a general presumption against the extraction of coal there are large coal reserves in the County. There appear to be no plans to reopen Daw Mill Colliery by UK Coal, which closed in 2013 following a major underground fire. Neither does there appear to be any plan to sink another pit head or even return to surface coal extraction in the County. As there are large coal reserves deep underground and on the surface in the north of the County and in the Warwickshire coalfield and there is likely to be a shortage of energy nationally in the short to medium term, there is always going to be the possibility that coal may be considered economically viable to extract in the future (see Fig 1.8). Therefore, Policy MCS 8 provides guidance for the consideration of any such proposal.

6 Vision and Objectives

Spatial Vision and Objectives of the Minerals Plan

The Spatial Vision provides an image of what the County may look like at the end of the plan period (2032). The Vision is as follows:

By the end of the plan period in 2032 Warwickshire will have provided a range of minerals and construction materials to support sustainable economic growth and improve the quality of life in the County. While minerals can only be worked where they are found, minerals sites will have been located as close as possible to the main settlements of Stratford, Warwick, Kenilworth, Leamington, Rugby, Nuneaton, Bedworth and Atherstone to support sustainable development. Minerals will have been safeguarded from non-mineral development and opportunities for prior extraction will have been sought wherever possible.

New quarries will have been located where they are environmentally acceptable or where any adverse impacts will have been mitigated to an acceptable level through good design and the imposition and monitoring of planning conditions and obligations. Mineral sites will have delivered a range of local and strategic restoration benefits.

Recycled and Secondary Aggregates will continue to make a major contribution to the supply of materials to the construction industry in the County and as technology develops will continue to provide a substitute for primary aggregates in new construction projects.

Objectives of the Warwickshire Minerals Plan

The Government's objectives of contributing to the achievement of sustainable development (as defined in Section 39 of the Planning and Compulsory Purchase Act 2004) provide the framework for this plan's objectives.

The following section identifies the key objectives that guide this plan. These objectives have been derived from the National Planning Policy Framework, from knowledge based on minerals planning in the local area and from previous responses to consultation during the preparation of this plan.

The objectives identified to help achieve the Spatial Vision are as follows:

- I. To secure a steady and adequate supply of aggregates and other minerals required to support sustainable economic growth at the national, sub-regional and local level.
- II. To help deliver sustainable mineral development by promoting the prudent use and safeguarding of Warwickshire's mineral resources and help prevent sterilisation of land from non-mineral development.
- III. To promote the use of recycled and/or secondary materials and promote waste minimisation to reduce the overall demand for primary mineral extraction for construction aggregates.
- IV. To protect, conserve and enhance the natural (including controlled water defined in the Water Resources Act 1991) and historic environment and avoid, reduce or mitigate potential adverse effects associated with mineral developments.

- V. To have full regard for the concerns and interests of local communities and protect them from unacceptable adverse impacts including human health from mineral developments.
- VI. To minimise the impact of the movement of bulk materials by road on local communities and where possible encourage the use of alternative modes of transport.
- VII. To ensure mineral sites are restored to a high standard once extraction has ceased, ensure that each site is restored to the most beneficial use(s) and provides restoration benefits including green infrastructure and biodiversity.
- VIII. To promote the use of locally extracted materials to encourage local distinctiveness and reduce transportation distances.
- IX. To reduce the effect of mineral development on the causes of climate change and facilitate adaptation to the effects of climate change.
- X. To ensure the best and most versatile agricultural land is protected or restored to a condition and quality that retains its longer term capability as a high quality resource.

7 Spatial Strategy and Preferred Site Options

Spatial Strategy for Minerals

In the case of all minerals, including sand and gravel, any spatial strategy is constrained by the fact that minerals can only be worked where they naturally occur and some resources are already sterilised by other development.

Sand and Gravel

1. Sand and gravel are relatively low value/high bulk minerals that are not typically transported far except by rail or canal/river/sea. They need to be widely available to the local building and construction industries. The distribution of sand and gravel supply therefore needs to reflect the existing and planned pattern and rate of development as far as possible given the geological constraints.
2. Warwickshire lies to the south and east of the West Midlands conurbation and has established strong sub-regional links with the adjoining authorities of Coventry and Solihull and wider linkages with different parts of the West Midlands. The majority of the people live in the north and central areas of the County.
3. The main focus for development is in and around the main settlements of Nuneaton, Rugby, Leamington Spa, Bedworth, Warwick, Stratford upon Avon and Kenilworth and to a lesser extent to small settlements and rural areas as well. The Plan area also exports sand and gravel to the adjoining urban areas of Coventry, Solihull and Birmingham.
4. Sand and gravel resources in the County can be classified into two major categories depending on their age and geology: superficial, or 'drift' deposits, and bedrock, or 'solid' deposits – there are no bedrock deposits in Warwickshire.
5. The superficial deposits in Warwickshire mainly comprise river sands and gravels and are found in the south of the county especially along the River Avon and its tributaries. Consequently, such resources of sand and gravel are focussed on specific areas to the south of Warwick around Charlecote, Wasperton and Barford and west of Stratford and around Bidford on Avon and Salford Priors. Deposit thickness varies from less than 1m to maximum values of around 10m. Sand to gravel ratios are variable, but river deposits typically are relatively clean with lower fines content (silt and clay) than glacial deposits. The largest producing area in the county in the 1980's centred on the terraces of the River Tame in north-west Warwickshire with nearby Glacial deposits around Coleshill. These deposits have almost been worked out in recent years apart from an area around Lea Marston.
6. The other major group of resources in Warwickshire are glaciofluvial sands and gravels and they are less predictable in geographical extent than river sand and gravel deposits. They may also exhibit considerable lateral variations in thickness, composition and particle size distribution, generally contain more fines (silt and clay) and frequently contain a larger amount of over-sized materials. Glacio fluvial deposits are common to the Rugby area to the south east of Coventry. They are spread more widely than the river terrace deposits but may be more variable in quality.

7. While the geographical and geological distribution of sand and gravel resources will largely shape the spatial approach other factors have also had an important bearing in choosing the final spatial strategy such as:
 - Maintaining the spatial distribution of sites across the county;
 - Maintaining annual production rates through a suite of sites until 2032;
 - The need to be close to existing and planned development and growth to maintain local deliveries;
 - Within a locality where working has taken place or planned in the past; and
 - Focusing on larger sites where possible to minimise the spread of impacts across a large number of local communities.
8. The chosen spatial strategy has been subject to a sustainability appraisal details of which can be found in the accompanying 2018 Sustainability Report and is shown in the Plan on Figure 1.9.

Other Minerals

In terms of other minerals (brick clays, crushed rock, cement materials and building stone) the existing sites and facilities (shown on Figure 1.6) reflect the limited outcrop of the specific mineral resources and uses and therefore will continue to be the spatial approach during the plan period. There are no plans to allocate sites for these or any other minerals including coal and therefore, any planning applications for new mineral sites and/or facilities or extensions to sites will be assessed through the policies in this plan. Any known mineral resources will be safeguarded from non-mineral development in accordance with the policies in the plan.

Site Selection and Preferred Site Options for Sand and Gravel.

Site Selection Process

At the Preferred Option and Policies stage the plan requirements were 11.33 million tonnes to be delivered by 2032 for which 9 allocations were made. The plan requirements changed as a result of declining sales and also the grant of planning permission for new reserves and one of the landowners withdrew a potential allocation. Therefore, at the first Publication Consultation stage on the plan 8 allocations were required to deliver 8.022 million tonnes. Following a further decline in sales, this plan requires only 6.525 million tonnes which can be delivered through 6 allocations.

The site selection process used in identifying potential site allocations is described in detail in the Site Identification and Assessment Methodology for Allocating Sand and Gravel Sites 2018 (SIAM 2018). This process has gone through a number of iterations and refinements during the plan preparation as the requirements have changed, new information and evidence has become available and the consultations carried on the emerging plan. The results of the assessment process are reported in SIAM 2018 and the performance of the possible preferred sites in the SA Report 2018.

In summary at the Preferred Option and Policies stage there were 30 sites nominated for allocation in the plan. They were all processed and assessed through a four step process even though for some nominations there was insufficient information and viable resources could not be confirmed.

The four steps were:

- Step 1 Site Nominations
- Step 2 Initial Assessments and Appraisal of Sites
- Step 3 Detailed Site Assessments
- Step 4 Selection of Preferred Sites

The Council felt it would be prudent to take all the sites through the process to help speed up the process, provide certainty for all interested parties and to minimise costs and abortive work.

Through this process 21 sites were rejected and 9 sites selected. Two further sites were nominated at the consultation on the Preferred Option and Policies stage and they were taken through the same process.

At the Publication Consultation stage the assessment process was re-run and 24 sites were rejected and 8 sites selected. This plan has seen a further assessment process run which has led to 26 sites being rejected and 6 sites selected.

For this plan the assessment process up to Step 3 (the detailed assessment stage) has identified the following sites as being potential allocations:

- Site 1 Bourton
- Site 2 Lawford Heath
- Sites 3/32 Shawell Quarry
- Site 4 Wasperton
- Site 6 Coney Grey Farm
- Site 9 Lea Marston
- Site 22 Brinklow Quarry (south)
- Site 23 Barnwell's Barn Farm, Lawford Heath.

The Council then considered these sites at the Step 4 stage in terms of their spatial strategy alignment and final deliverability checklist of application of constraints on viability, production during the plan period and site availability. None of the sites failed the spatial strategy alignment test but the following sites did not pass the final deliverability checklist test and therefore were not selected:

- Site 22 Brinklow Quarry (south) – production could not be provided during the plan period
- Site 23 Barnwell's Barn Farm (south) – the application of constraints made this part of the site unviable
- Site 23 Barnwell's Barn Farm (north) – the site was no longer available as it was required to deliver a new housing and employment allocation in the Rugby local plan.

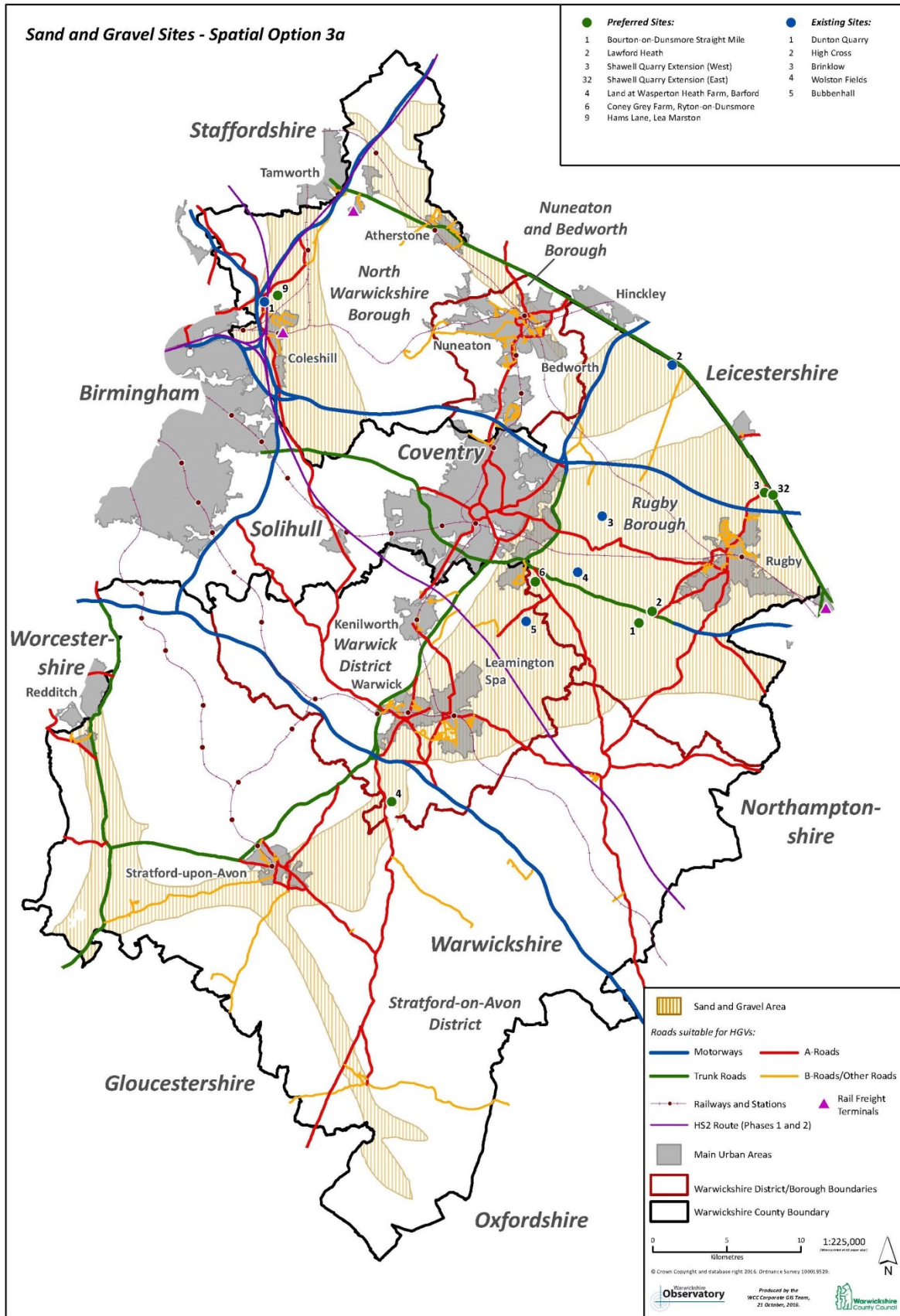


Figure 1.9 Sand and Gravel Sites – Spatial Option 3a

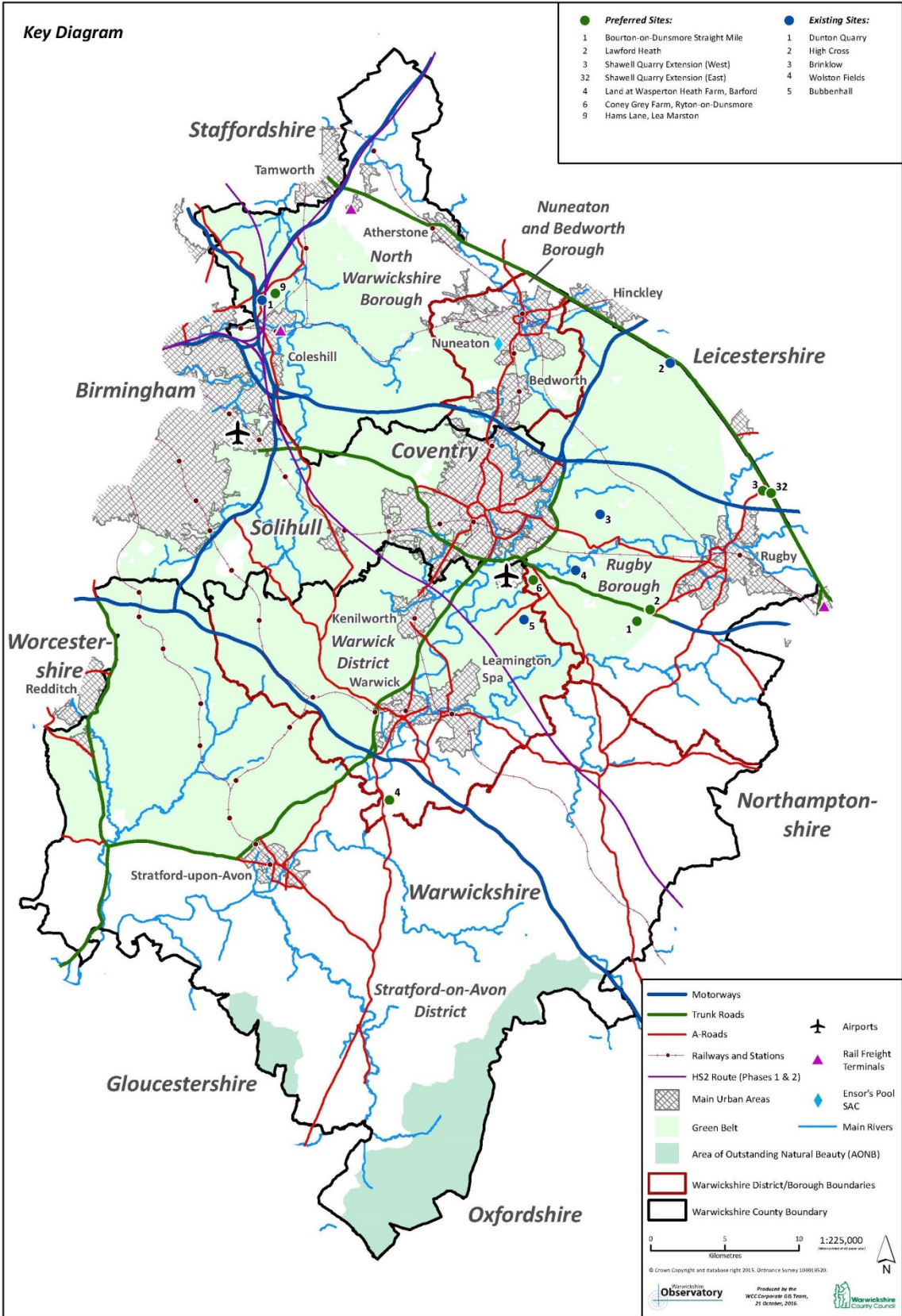


Figure 1.10 Key Diagram

Mineral Sites to be Allocated and Preferred Site Options

The plan requirements (objectively assessed needs) derived from the Local Aggregates Assessment (LAA) 2017 are that 6.525 million tonnes of sand and gravel is required to maintain the predicted rate of annual production throughout the plan period 2017 – 2032. The Council have chosen to meet the specified needs in full and not to rely upon imports from adjoining areas.

In order to provide sufficient resources to maintain the predicted rate of annual production of sand and gravel throughout the plan period to 2032, the Council needs to allocate a number of mineral sites both large and small. In the plan sites have been categorised as follows:

- Small - 0.3 – 0.5 million tonnes
- Medium - 0.5 – 1 million tonnes
- Large - 1 - 2 million tonnes
- Very large - 2 million tonnes +

This categorisation reflects mineral working in the County which has been and continues to be characterised by a limited range of sites producing up to 250,000 + tonnes per annum.

Thirty two sites were assessed and a key feature of the sites submitted for consideration has been the variety of promoters and potential developers and the ways of developing sites. Of the 32 sites submitted 6 have been selected for allocation and they are shown on Figure 1.10.

The allocation of a site does not mean that planning permission will be automatically granted for all the land defined on the individual site plans or that all of the estimated tonnages will be delivered. Preparation of planning applications may see tonnages increase or decrease because of better information derived from such things as detailed drilling, planning requirements having to be met or compliance with policies in the development plan.

Details of the six allocations are set out in Policy SO below and subsequent specific site allocation policies.

The tonnages shown in the policy reflect the information provided by the promoter including their views on possible annual production. Where a range in production has been suggested the Council have selected the lowest figure for the purposes of selection and allocation to ensure deliverability. Annual production could rise or fall depending upon the market conditions existing during the life of the plan.

Policy SO - Overarching Policy - Mineral Sites to be Allocated

To meet the demand for sand and gravel in the County during and up to the end of the plan period (2032) of 6.525 million tonnes the following sites are allocated for mineral development, as identified on the Key Diagram Figure 1.10 and individual site plans Figures 1.11 – 1.16.

Table 7.1 Mineral Sites to be Allocated		
Reference	Site	Tonnage (mt)

Site 1	Bourton on Dunsmore	1.15
Site 2	Lawford Heath	2.0
Site 3/32	Shawell Quarry	1.1
Site 4	Wasperton	1.8
Site 6	Coney Grey Farm, Ryton	0.4
Site 9	Hams Lane, Lea Marston	1.06
Total		7.51

Site Allocation Policies

The following Policies S1, S2, S3, S4, S6, and S9 set out requirements for the acceptable development of each of the allocated sites and they have been allocated because it is considered likely that those requirements can be met. However, these requirements concern matters which are apparent at the time of plan preparation and nothing should be taken as precluding the possibility that, other planning objections will need to be addressed in order for the development of allocated sites to be made acceptable.

The allocated sites will be delivered through the granting of specific planning permission(s). The preparation of planning applications to work and restore the sites will be informed by the site allocation policies and the normal development management processes and procedures. Developers are encouraged to discuss their proposals informally with the Council before submitting a planning application. The Council offers a pre-application advice service which will help developers in the preparation of their proposals and subsequent planning application documentation. An Environmental Impact Assessment may need to be submitted and important issues will need to be addressed in the planning application.

A number of issues are common to all forms of mineral development such as for example ecology and landscape. Where site specific issues have been raised during consultation on the plan and need to be addressed at the local plan stage then these have been set out in the reasoned justification for the site allocation policy. Such matters however will be considered again at the planning application stage when more detailed proposals are available.

Site 1 Bourton on Dunsmore (serving Rugby and Coventry development needs)

Background to Allocation

This is a new site consisting of 29 hectares which is much smaller than the submitted site (110 hectares) amended by the landowners at the draft plan stage and reflects the Council's view of what can be realistically delivered in the plan period.

Site Description

The site is relatively flat comprising two parcels of land to the south of the A45 lying either side of the Straight Mile (B4453). It is currently in agricultural use comprising medium to large hedged fields. To the north of the site lies agricultural land with properties fronting onto the A 45 (west bound) beyond and to south of the site lies agricultural land with the villages of Bourton-on-Dunsmore (over 500m) and Draycote (1km) beyond. To the west lie agricultural land and an industrial estate beyond. To the east and north east of the southern parcel lie Bernhard's Landscapes Ltd and Rugby Wyevale Garden Centre with the A45/A4071/B4453 junction beyond housing a Travelodge, McDonald's and a service station.

Site Development and Indicative Working Proposals

The site has the potential to release 1.15 million tonnes of sand and gravel during the plan period to serve the markets of Rugby and Coventry. It would partly replace mineral extraction which has ceased at nearby Ling Hall Quarry, even though the processing of imported minerals continues at Ling Hall

It could be developed in phases and by working the land north of the Straight Mile first. This would allow important hedgerows and hedgerow trees to be protected and advance planting to take place and be established to reduce any impacts from mineral working. The southern parcel could then be worked to minimise any potential impacts on the north side of Bourton on Dunsmore Village. The site could be restored to agriculture using imported inert fill and nature conservation uses including some wetland and marsh habitat to enhance biodiversity. Opportunities to create habitat linkages with existing green infrastructure corridors should be pursued and the restoration design should provide for possible flood alleviation measures.

The Straight Mile is likely to be able to accommodate an increase in HGV use. Improvements may be required to the junction of A4071 and B4453 however this will be addressed at the planning application stage through a Transport Assessment.

Later development of the site (years 2022- 2032) would provide increased production capacity in the county at an estimated rate of 150,000 tonnes per annum and help to minimize the potential cumulative effects of working both Sites 1 and 2 and the restoration and continued operation of Ling Hall Quarry which lies to the north of the A45 at Lawford Heath.

Key Issues

Key Issues affecting the site are set out below. They are based on an assessment of the site at the time this plan was written and therefore if circumstances change or new information becomes available prior to the site coming forward through a planning application, any new issues will also need to be taken into account.

- Biodiversity

Draycote Meadows SSSI lies 500 metres to the south east of the site. Extraction of sand and gravel is unlikely to cause harm to the SSSI, but provision of suitable measures to protect and where possible

enhance the special features of Draycote Meadows will be required. Any hydrological and water quality issues associated with the SSSI will need to be addressed at the planning application stage. A protected species survey of the site will be required.

- Flood Risk and Water Resources

The site lies within flood risk zone 1 (low risk of flooding) and therefore is unlikely to exacerbate any potential local flooding. However, a Flood Risk Assessment will be required at the planning application stage which will need to demonstrate that throughout the working and restoration of the site mineral working will not cause an increase in flood risk both within and beyond the new site boundary.

The site falls within the River Leam catchment and the River Leam is used for drinking water supply. Safeguards to alleviate any pollution risk to the River Leam will be required at the planning application stage. There are also water abstractions licensed in the vicinity of the site and there will be a need to demonstrate at the planning application stage that no derogation of water will occur as a result of the proposed development.

- Green Belt

The site is located inside the Green Belt. At the planning application stage there will be a need to demonstrate that any processing plant erected will not impact on the openness of the Green Belt.

- Amenity

Both Bernhard's Landscapes Ltd and Rugby Wyevale Garden Centre are separated by existing vegetation, roads and buildings/structures from the site. However, the nature, extent, operation and monitoring of dust suppression measures will need to be addressed at the planning application stage to minimise any potential adverse impacts on these businesses. An Environmental Management Plan will be required at the planning application stage.

- Landscape

The site falls within the Dunsmore Plateau Farmlands landscape character type, which in this area, is characterised by a broad flat summit which falls away steeply along its northern and southern margins. The site is relatively flat, forming part of the summit, and is intensively farmed. However, it still retains its historic geometric pattern of medium to large scale hedged fields. Hedgerows, including roadside hedgerows, are becoming increasingly gappy. Road visual impact should be minimal providing the existing hedgerow network and screen planting is gapped up and retained throughout the working phases. Safeguarding existing hedgerows and mature hedgerow trees coupled with advanced planting and the phased working and restoration of the site should minimise any potential adverse landscape and visual impacts.

Site Allocation Policy: Policy S1 - Allocation at Site 1 Bourton on Dunsmore

Land at Bourton on Dunsmore shown on Figure 1.11 is allocated for sand and gravel working subject to the following requirements:

- suitable access onto Straight Mile (B4453) for minerals and inert fill;

- improvements may be required to the junction of A4071 and B4453;
- all HGVs to travel via A45 and northern end of B4453 ;
- tunnel/ conveyor under Straight Mile;
- phased working and progressive restoration to agriculture and nature conservation uses;
- advance tree and hedgerow planting;
- preparation of an Environmental Management Plan for the site;
- all soils to be stored on site for future use in the restoration of the site;
- mobile plant to be located so as to reduce impact on the openness of the Green Belt;
- the provision of suitable measures to protect and where appropriate enhance the special features of Draycote Meadows SSSI;
- no derogation of water abstractions in the vicinity of the site;
- Provision of safeguards to alleviate any pollution risk to the River Leam.

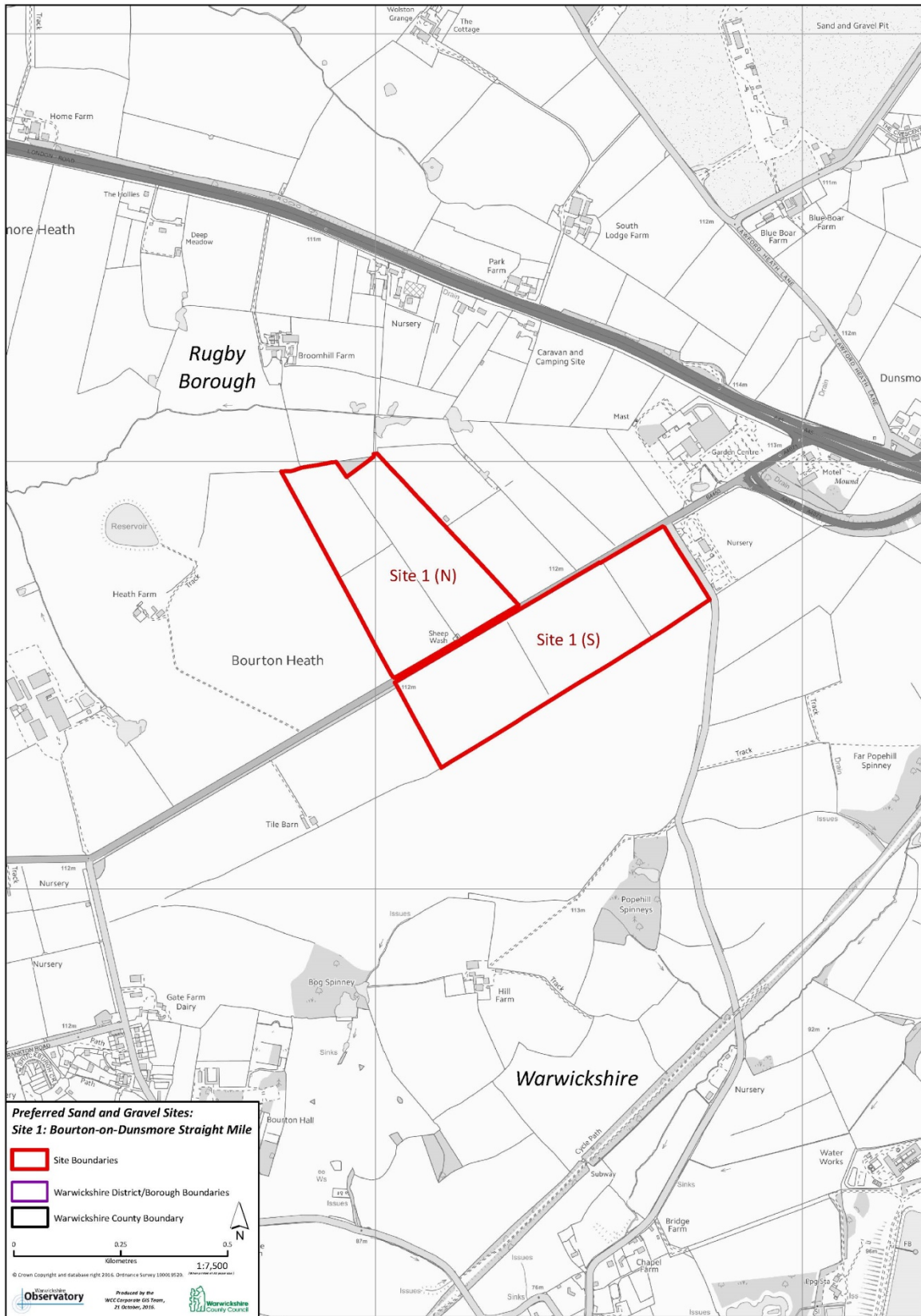


Figure 1.11 Site 1 Bourton on Dunsmore

Site 2 - Lawford Heath (serving Rugby and Coventry development needs)

Background to Allocation

This is a new site of 61.7 hectares comprising two parcels of land lying either side of Lawford Heath Lane, north of the A45 at Lawford Heath. The promoter has reduced the size of the site from 113 hectares (2.47 million tonnes) to reduce the risk of working close to potentially sensitive receptors such as at Wolston Grange Care Home, The Crescent and The Ryelands.

Site Description

The two parcels of land which comprise the site are currently in agricultural use comprising medium to large hedged fields. According to the approved Minerals Local Plan 1995 (page 8, paragraph 4.5 b) Buffer Zones) a settlement is defined as a cohesive group of 10 or more dwellings) nearby and it has good access to Coalpit Lane and the local highway network.

There are a number of properties bordering the western boundary of the western parcel of land including Park Farm, South Lodge Farm, Wolston Grange Care Home, North Lodge Farm, The Cottage, Wolston Grange Cottage, North Lodge and a cattery. The eastern parcel is bordered by Blue Boar Farms buildings to the north and south-west. To the north of the site lies agricultural land and restored areas of the Ling Hall Quarry complex, to the east lies Ling Hall Quarry and agricultural land, to the south A45 (east bound) and the junction of the A45/A4071/B4453 and to the west agricultural land with the A45 beyond.

Site Development and Indicative Working Proposals

The promoter has submitted plans showing 3 resource blocks which could be worked covering an area of 42 ha. These resource blocks have the potential to release 2.0 million tonnes of sand and gravel during the plan period to serve the markets of Rugby and Coventry. It would partly replace mineral extraction which has ceased at nearby Ling Hall Quarry even though the processing of imported minerals continues at the quarry.

If the site is worked as a standalone site, then access to Coalpit Lane will require the road to be improved. However this will be addressed at the planning application stage through a Transport Assessment.

The site could be developed in phases, which would allow important hedgerows and hedgerow trees to be protected, to reduce any impacts from mineral working. The majority of the site would be restored to agriculture using imported inert fill and by slightly lowering the level of the land leaving the opportunity to provide some nature conservation interest (small water bodies). Opportunities to create habitat linkages with existing green infrastructure corridors should be pursued as part of the restoration of the site. Public Right Of Way R164 within the site would have to be temporarily diverted during the development of the site.

Early development of the site would provide increased production capacity in the County at an estimated rate of 200,000 tonnes per annum potentially avoiding any cumulative impacts such as, on the local highway network from the future operation of Site 1. The opportunity to work the site back to the existing Ling Hall processing plant should be explored although it is acknowledged that it may be possible to locate a small mobile processing plant on the resource blocks to the south of Lawford Heath Lane.

Key Issues

Key Issues affecting the site are set out below. They are based on an assessment of the site at the time this plan was written and therefore if circumstances change or new information becomes available prior to the site coming forward through a planning application, any new issues will also need to be taken into account.

- Biodiversity

Draycote Meadows SSSI lies 1km to the south east of the site. Extraction of sand and gravel is unlikely to cause harm to the SSSI, but provision of suitable measures to protect and where possible, enhance the special features of Draycote Meadows will be required. Any hydrological and water quality issues associated with the SSSI will need to be addressed at the planning application stage. A protected species survey of the site will be required. One of the tributaries of the River Avon Local Wildlife Site lies to the west of the site and terminates at a pond lying on the western boundary of the western parcel. The pond will not be worked as part of these proposals.

- Water Resources

There are water abstractions licensed in the vicinity of the site and there will be a need to demonstrate at the planning application stage that no derogation of water will occur as a result of the proposed development.

- Green Belt

The site is located inside the Green Belt. At the planning application stage there will be a need to demonstrate that any processing plant erected will not impact on the openness of the Green Belt.

- Amenity

There are a number of properties bordering the western boundary of the western parcel of land including Park Farm, South Lodge Farm, Wolston Grange Care Home, North Lodge Farm, The Cottage, Wolston Grange Cottage, North Lodge and a cattery. The eastern parcel is bordered by Blue Boar Farms buildings to the north and south-west. The provision of a buffer zone of a minimum of 100 metres from these properties would minimise any potential adverse impacts from such things as noise and dust. The suitability of this buffer zone will be reviewed at the planning application stage. In addition, an Environmental Management Plan will be required at the planning application stage.

- Landscape

The site falls within the Dunsmore Plateau Farmlands landscape character type which in this area is characterised by a broad flat summit which falls away steeply along its northern and southern margins. The site is relatively flat, forming part of the summit, and is intensively farmed. However, it still retains its historic geometric pattern of medium to large scale hedged fields. Hedgerows, including roadside hedgerows, are becoming increasingly gappy. Road visual impact should be minimal providing the existing hedgerow network and screen planting is gapped up and retained throughout the working phases. Safeguarding existing woodland blocks, hedgerows and mature hedgerow trees coupled with advanced planting and the phased working and restoration of the site should minimise any potential adverse landscape and visual impacts.

- Listed Building

Park Farmhouse on the A45 which is a Grade II listed building lies adjacent to the southern boundary of the western parcel. There is likely to be no harm to the significance of the setting of this designated heritage asset because of the proposed 100m stand-off, strong existing vegetation around the curtilage of the building restricting views, the lack of public access, the building's orientation of north to south, its location on the A45, working will only take place to the east of the building, the building is separated from the site by an existing farm access to South Lodge Farm, working in this location would be temporary and the site would be restored to its existing agricultural use.

Policy S2 - Allocation at Site 2 Lawford Heath

Land at Lawford Heath shown on Figure 1.12 is allocated for sand and gravel working subject to the following requirements:

- if worked as a standalone site then any access required on Coalpit Lane will require improvements to the Lane including road widening and resurfacing;
- all HGVs to travel via A45 and eastern end of Coalpit Lane;
- phased working and progressive restoration to agriculture and nature conservation uses and protection of ancient small leaved lime tree;
- a minimum stand-off of 100m from individual properties - Park Farm, Blue Boar Farms, South Lodge Farm, North Lodge Farm, Wolston Grange Care Home, The Cottage, Wolston Grange Cottage, North Lodge and the Grange Cattery;
- explore the opportunity to work the site back to Ling Hall Quarry plant site by overland conveyor;
- provision of suitable measures to protect and where appropriate enhance the special features of Draycote Meadows SSSI and protect a tributary of River Avon LWS and its pond in the western parcel;
- an archaeological evaluation of the site including the Scheduled Ancient Monument lying to the east of Coalpit Lane;
- the need to maintain the setting and structural integrity of the listed building at Park Farm;
- preparation of an Environmental Management Plan for the site;
- all soils to be stored for future use in the restoration of the site;
- if worked as a standalone site small mobile plant to be located so as to reduce impact on the openness of the Green Belt;
- no derogation of water abstractions in the vicinity of the site.

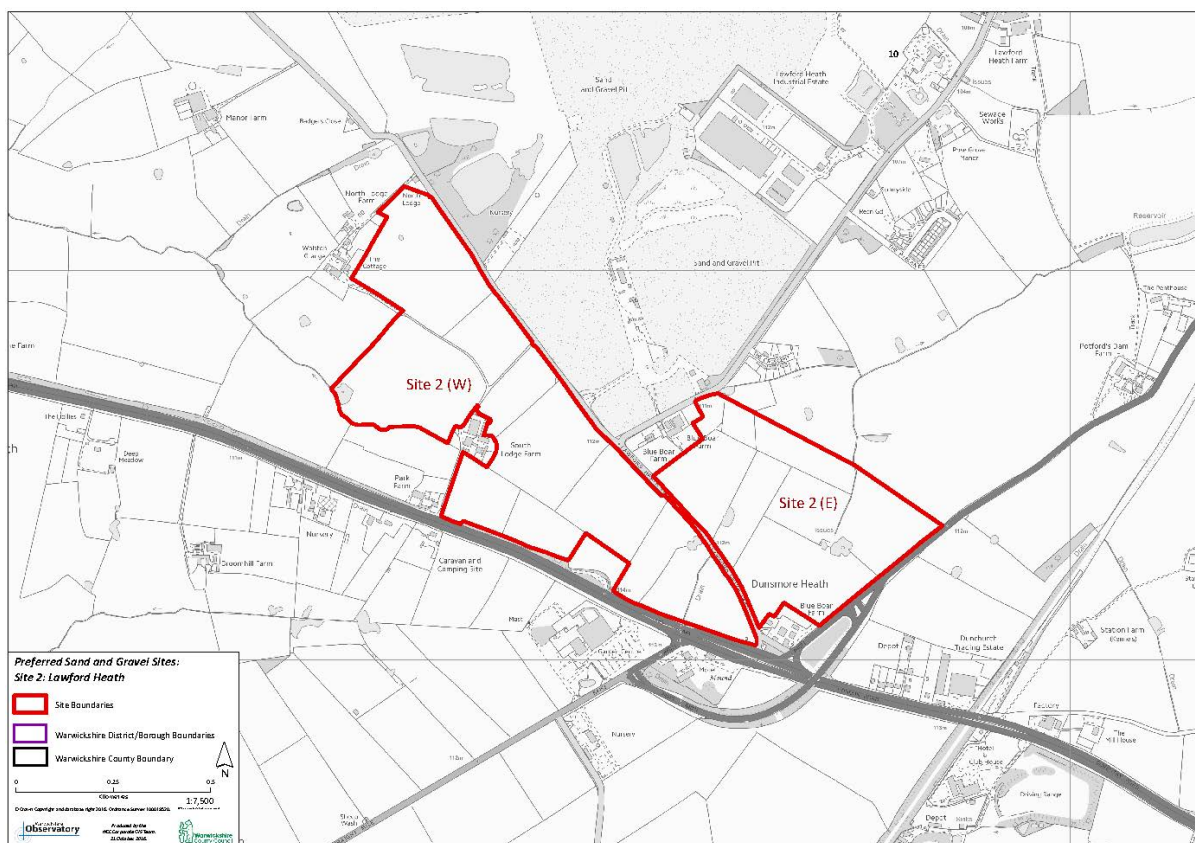


Figure 1.12 Site 2 Lawford Heath

Site 3/32 - Shawell Quarry (serving Rugby and Nuneaton development needs)

Background to Allocation

Site 32 which is a small strip of land within Warwickshire to the east of the A5 forms part of a draft allocation in the Leicestershire County Council Minerals Local Plan and was added to Site 3 at the first publication stage as a further extension to Shawell Quarry.

Site Description

There are two sites; one is a 33 hectare extension (Site 3) to the existing Shawell Quarry (in Leicestershire) to the west of the A5 and south of the A426 at the junction of the A5/A426 and the other a small strip of land east of the A5 (Site 32).

The site west of the A5 is currently in agricultural use comprising medium to large hedged fields in a very open landscape. The strip of land to the east of the A5 is also in agricultural use comprising a large field well screened from the A5. Site 3 is bounded by the A426 to the North West with agricultural fields beyond. To the north at the junction of the A426/A5 and on its south western and eastern approaches there are a small number of properties and businesses. To the north east beyond the A426/A5 junction lies agricultural fields and Shawell Quarry. To the east beyond the A5 is agricultural fields and the Shawell Quarry complex and to the south the site is bounded by woodland and agriculture with Coton House and grounds beyond. Site 32 is bounded to the west by A5, to the

south by Shawell Quarry, to the east by agriculture and the quarry complex and to the north by agriculture. The nearest settlement is Churchover located approximately 1.6km to the west of the site. The quarry has good access to the local highway network and in close proximity to the junction of the M6 and the M1 motorways.

Site Development and Indicative Working Proposals

Both sites would be worked back to the existing processing plant at Shawell Quarry using an overland conveyor. Both sites could be developed in phases which would allow important hedgerows to be protected to reduce any impacts from mineral working. Advance planting at the junction of the A5/A426 would help minimise any impacts on the properties on the north side of the A426 from the working of Site 3 west of the A5. Both sites would be restored to agriculture without infilling by lowering the level of the land. However, there may be opportunities to provide ecological enhancements to the restoration of the sites. PROW R64x within Site 3 would have to be temporarily diverted during the development of the site.

The two sites have the potential to release 1.1 (revised figure based on further information) million tonnes of sand and gravel during the plan period to serve the markets of Rugby and Nuneaton. The early development of the sites (years 2017-2021) would provide increased production capacity in the County at an estimated rate of 300,000 tonnes per annum.

Key Issues

Key Issues affecting the site are set out below. They are based on an assessment of the site at the time this plan was written and therefore if circumstances change or new information becomes available prior to the site coming forward through a planning application, any new issues will also need to be taken into account.

- Landscape

The sites fall within the High Cross Plateau landscape character type which is characterised by a large scale, rolling landscape with wide views. The sites themselves are relatively flat and intensively farmed. Road visual impact should be minimal providing the existing hedgerow network and screen planting is retained. Advanced hedgerow planting, allowing hedgerows to grow taller and providing a small block of woodland planting immediately south of the roundabout to screen the properties north of Site 3 and the phased working and restoration of the sites should minimise any potential adverse landscape and visual impacts.

Policy S3 - Allocation at Sites 3/32 Shawell Quarry

Land at Shawell Quarry comprising two sites shown on Figure 1.13 is allocated for sand and gravel working subject to the following requirements:

- both sites being worked back by overland conveyor to Shawell Quarry;
- phased working and progressive restoration to agriculture on both sites;
- a minimum stand-off of 100m from individual properties on north side of A426 at the junction of A5/A426 for Site 3;
- advance tree planting at the junction of A5/A426 for Site 3;

- 30m stand off from Coton Spinney and Newton Spinney for Site 3;
- the provision of suitable measures to protect and where appropriate enhance the special features of interest of Cave's Inn Pits SSSI (Both sites);
- the provision of suitable measures to protect the watercourse running along the southern boundary of Site 3;
- provision for the retention of Bridleway X27 (as currently diverted) and X28, and Footpaths X18 and X30 (Site 32);
- appropriate management of non-designated heritage assets (Site 32);
- retained hedgerows should incorporate an element of traditional hedgerow management, where not already being so managed (Site 32);
- retention of the woodland belt between the current extraction area and Rugby Road (A426) (Site 32);
- restoration proposals which reflect the objectives of the Lutterworth Lowlands local landscape and Leicestershire Vales national landscape character areas, and provide the best balance of enhancing biodiversity and preserve the best and most versatile soil resources (Site 32);
- restoration to include woodland to link existing woodland areas between Gibbet Lane and the A5 (Site 32);
- restoration to include provision of improved public access, particularly between Gibbet Lane and the A5 (Site 32);
- restoration to be achieved without the importation of inert waste for both sites;
- preparation of an Environmental Management Plan for both sites;
- assessment of potential for and impact upon significant archaeological remains, including evidence associated with the Tripontium (Caves Inn) Roman settlement for both sites.

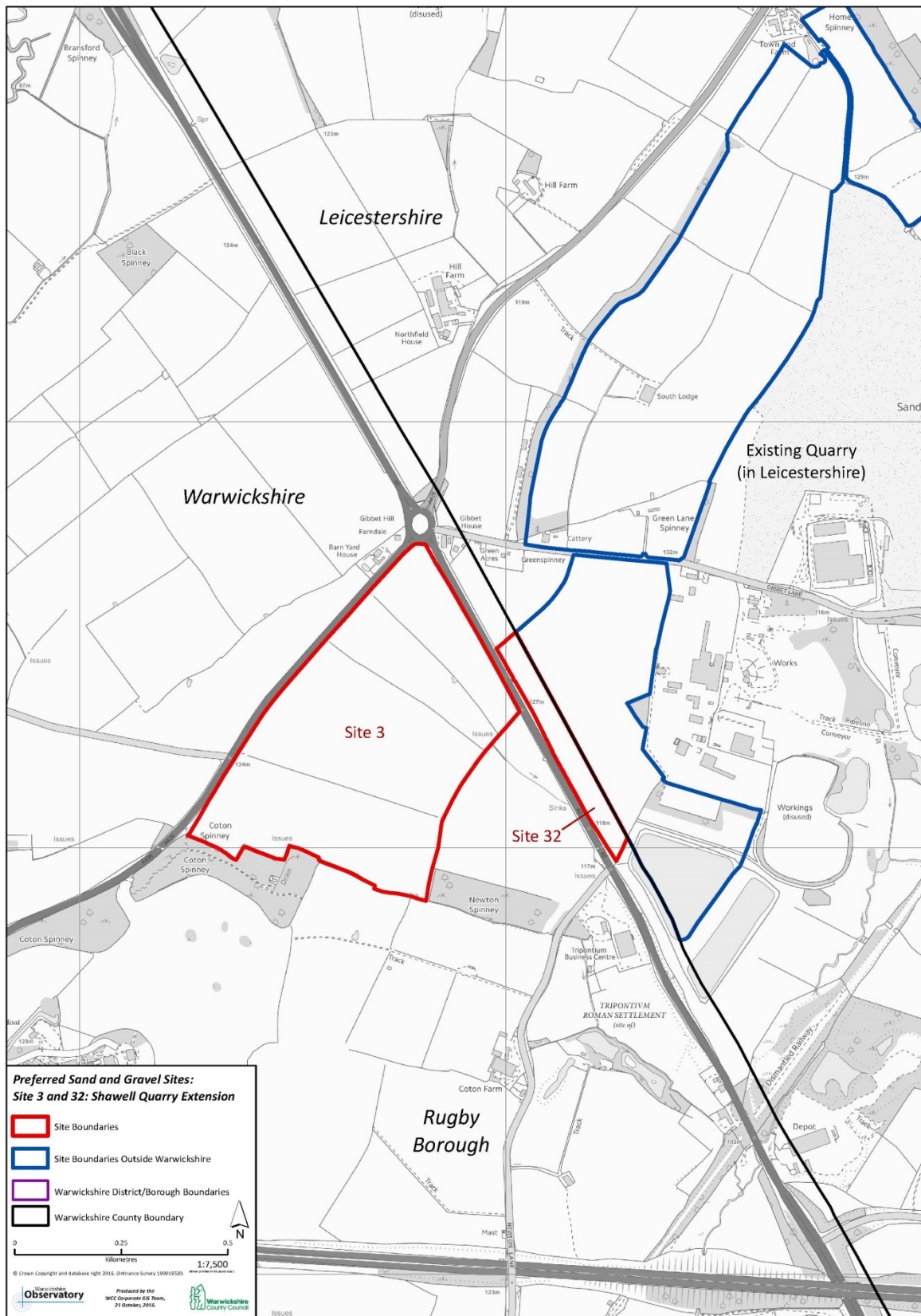


Figure 1.13 Site 3/32 Shawell Quarry

Site 4 - Wasperton (serving Warwick, Leamington and Stratford upon Avon development needs)

Background to Allocation

This site was promoted through the Revised Spatial Options in 2009 and the Preferred Option and Policies in 2015.

The boundary of the 2015 site has been amended by the promoter at the draft plan stage to take working further away from Barford Village. Working would take place to the east of Wasperton and Holloway Farm some 350m from the edge of the village.

Pioneer Aggregates submitted a planning application (Ref: W825/871438) for the extraction and processing of sand and gravel on 90.5 ha of land at Wasperton Hill Farm, Wasperton near Barford on 11 December 1987. The planning application was refused by the County Council on 8th April 1988.

Pioneer appealed against the County Council's decision and the Secretary of State following receipt of a report of his inspector allowed the appeal subject to conditions on 13th November 1989. The tenant farmer applied to the High Court to have the decision quashed but the application was dismissed. The tenant then applied to the Court of Appeal and in a judgement dated 16th October 1992 the Court of Appeal allowed the appeal and quashed the decision on the basis that the decision was not within the powers of the Act and was not based on adequate reasoning. It did not say that mineral extraction could not take place at Wasperton at that time or even in the future. Following the Court of Appeal decision the Secretary of State re-determined the appeal and dismissed it in a letter dated 21st December 1993. The re-determined appeal (1987 scheme) was found to be not acceptable in terms of the development standards and policies being applied at that time and because real supply exceeded real need.

Site Description

The site lies 6 kms (4 miles) south of Warwick and about 350m south of the southern edge of Barford Village and covers an area of 85 hectares.

The A429, Warwick to Cirencester principal road, runs north to south along the site's western boundary. This road bypasses the western side of Barford to a large roundabout junction (Longbridge J15) with the M40 motorway. There are three existing agricultural accesses off the A429 to the site; two at the northern end to connect Wasperton Farm and Holloway Farm to the main highway and one at the southern end which provides access to Marlpit Cottages.

The site is an approximately level area of some 85ha of arable farmland part of Wasperton Hill Farm of which approximately 50% is best and most versatile. The land is laid out in several large fields and parts of fields, divided by hedgerows. There are some hedgerow trees and small plantations.

The land has a northern boundary to Wasperton Lane, a narrow country lane running eastwards from Wellesbourne Road the main road running through Barford Village to the B4087. The majority of Barford Village lies to the north of the lane along Wellesbourne Road and along Church Street/High Street road running to the north east.

There is a long western boundary to the site along the A429. On the other side of the A429 lies the small settlement of Wasperton the majority of which is a designated Conservation Area. The nearest house in Wasperton to the site is Wasperton House which is a listed building.

Land to the south of the site is flat and mainly open farmland. About 200m to the south of Site 4, the Threlford Brook runs westwards and south - westward towards Charlecote and the River Avon.

Immediately to the north – west of the site there is a roughly triangular area of level arable farmland, part of Wasperton Hill Farm, bounded by A429 and Wellesbourne Road to the west, the southern edge of Barford and Wasperton Lane to the north, and the site to the east and south.

A large part of Barford Village is a designated Conservation Area. The main exclusions being the business properties and Bremridge Close housing estate along and off Wellesbourne Road and the post war housing estates at the south east corner of the village; Sandy Way and Dugard Place

There are no buildings within the site.

To the north east of the site, farmland rises gently away from the site towards Hareway lane, a narrow country lane running eastwards from the A452 Banbury Road. To the east of the site, agricultural land rises gently away from the site.

One public right of way runs across the site. Bridleway W101A traverses the access track from the A429, past Marl Pit Cottages towards Heathcote Farm. Another right of way runs close to the site's southern boundary along the access track to Glebe Farm and Seven Elms. To the east of the site, Footpath 101 runs south-west from Wasperton lane, close to Wasperton Hill Farm to Heathcote Farm.

Site Development and Indicative Working Proposals

The site covers an area of 85 ha and is owned by The President and Scholars of St John Baptist College in the University of Oxford. According to the promoters mineral extraction would be limited to 70ha of the site.

The site has been drilled and an assessment has been provided of the likely tonnage to be released from working. The site has the potential to release 1.8 million tonnes of sand and gravel during the plan period to serve the markets of Warwick, Leamington and Stratford upon Avon. Annual production has been estimated at 200,000 tonnes per year giving the site a potential life of 9 years. The estimated mineral traffic movements would be 60 a day (30 in and 30 out).

Indicative locations in the middle of the site have been provided for access to the site from A429 and the plant site. Access to the two existing farms Wasperton Farm and Holloway Farm would be maintained during the life of the site.

The site could be developed in phases which would allow important hedgerows to be protected to reduce any impacts from mineral working. The increased stand offs provided by the promoter and advance planting would help minimise any impacts to properties on the south and west side of Barford village on Wasperton Lane and Wellesbourne Road respectively. It would be restored to agriculture using imported inert fill and by carefully managing all the soils on site especially from the

land which is not best and most versatile agricultural land. However, there will be opportunities to provide ecological improvements and enhancements to the restoration of the site creating a new and exciting landscape adjacent to Barford and Wasperton villages. PROW W101a within the site would have to be temporarily diverted during the development of the site.

The early development of the site (years 2017- 2021) would provide increased production capacity in the County at an estimated rate of 200,000 tonnes per annum.

Key Issues

The Key Issues affecting the site are set out below. They are based on an assessment of the site at the time this plan was written and therefore if circumstances change or new information becomes available prior to the site coming forward through a planning application, any new issues will also need to be taken into account.

- Highways

A number of concerns have been raised about the adequacy of the local highway network to accommodate the development and the potential vehicle routeing and access arrangements. The Highway Authority believe the A429 should be able to accommodate a high volume of traffic and larger vehicles (HGVs) and that it provides an excellent link onto the A46 and M40, and then onto the wider highway network.

The road is described as a “major access road” on the Warwickshire Advisory Lorry Route Map. The Highway Authority’s preference is that one of the existing accesses should be used to access the site subject to suitable improvements. Depending on the number of vehicular trips likely to be generated and the direction of travel a right turn lane may also be necessary. The exact location of the access will be determined at the planning application stage through the submission of a Transport Assessment. Other than local deliveries of sand and gravel to the village (if required) there will be no access to the site through Barford village. The developer advises that the majority of the traffic will travel north via the A429 (Barford Bypass). Wasperton Lane is unsuitable for access to the site.

- Amenity

The proposed mineral working is now 350m from properties in Barford village so there is unlikely to be any adverse impacts from noise and dust. Screening bunds can alleviate noise by acting as a barrier to the transmission of soundwaves and can help capture dust particles. Dust emissions can be reduced by various mitigation measures including good operational management and the design and layout of the site. Properties around the site are already the subject of dust emissions as a result of normal agricultural activities.

A properly operated and managed mineral site is less likely to create any health issues. The nature of the development is that the only activity that might create PM10 or finer dust is crushing and this is a wet process so if these finer dust particles are generated they do not escape. Crushing will only take place occasionally on Site 4 well away from any properties. A health impact assessment will be undertaken as part of an environmental assessment at the planning application stage. This assessment will consider the health and morbidity of local residents.

- Agricultural Land

There is unlikely to be any irreversible or permanent loss of Best and Most Versatile (Grades 1, 2 and 3a) agricultural land because only 58% of the site is BMV and the remaining 42% is Grade 3b and 3c. The ALC survey provided by the developer does not show any Grade 1 land on the site.

- Listed Buildings

Although there are potentially five listed buildings around Site 4 which could be affected by mineral working (Forge Cottage, Wasperton House, Seven Elms, Wasperton Hill House, and Wasperton Farmhouse) a heritage report submitted by objectors only focusses on three properties – Seven Elms, Wasperton Hill House, and Wasperton House. There was no visibility between Wasperton House and the site, no association and the intervening distance was also a factor. There was also no visibility and association between Forge Cottage and the site and views were limited by the topography.

Seven Elms is a Grade II listed building and lies at its nearest point 55m from the southern boundary (north east of the asset) of Site 4. There is likely to be no harm to the significance of the setting of this designated heritage asset because it is no longer a farm house and has been subject to change, there is a building and vegetation between the site and the asset which limits views in a north easterly direction, the proposed 100m stand- off from the asset, the intervening distances to the site's southern boundary (200m to the north west and 400m to the west of the asset), working in this location would be temporary and subject to other mitigation measures and the site would be restored to its existing agricultural use.

Wasperton Farmhouse is a Grade II listed building and lies at its nearest point 70m from the northern boundary (south of the asset) of Site 4. There is likely to be no harm to the significance of the setting of this designated heritage asset because of the proposed 100m stand- off from the asset, the lack of working proposed to the north and west of the asset retaining its existing agricultural land use, working to the south would be screened by existing vegetation and working to the east screened by an existing building and vegetation, the lack of public access to the site with the main road over 300m to the west and no public footpaths nearby, working in this location would be temporary and subject to other mitigation measures and the site would be restored to its existing agricultural use.

Wasperton Hill House is a Grade II listed building and lies 650m to the east of Site 4. There is likely to be no harm to the significance of the setting of this designated heritage asset because of the significant intervening distances to the site's eastern boundary, working would be temporary and subject to other mitigation measures and the site would be restored to its existing agricultural use.

- Conservation Areas

There are significant physical barriers between Barford and Wasperton Conservation Areas and the site due to the presence of property, land and roads which mean that neither the areas nor their settings will be harmed by mineral working.

- Restoration

The proposal to restore most of the area back to agriculture including all the BMV land with suitable inert material is acceptable in planning terms. The promoter believes that the volumes of inert wastes needed are relatively modest and should be available over the period of the development to return the land back to original levels making the prospect of lowering the land unlikely.

A good restoration scheme supported by planning conditions and regular monitoring by the mineral planning authority and the landowners should ensure that the site is properly restored avoiding the past problems on other sites. The landowners have indicated that they intend to appoint specialist consultants to ensure that the site is properly restored to high quality agriculture.

- Landscape

The site falls within the River Avon Valley. The majority of the site lies within the Terraced Farmlands landscape character type while land to the west lies in the River Meadowlands landscape character type. The Terraced Farmlands is typified by a large scale geometric field pattern and is relatively flat, and intensively farmed. The land to the north of Wasperton Lane gently rises to the north and the land 650m beyond the eastern boundary also rises eastwards to the B 4087. At over 1 km to the west of the site beyond the River Avon the land rises to the A46 beyond. With the stand offs to The Forge Cottage, Wasperton Farm, Holloway Farm, Glebe Farm and Seven Elms and Seven Elms Barn, safeguarding and where possible strengthening existing hedgerows and mature hedgerow trees coupled with advanced tree and hedgerow planting on the north western and eastern boundaries, no loss of agricultural land and the phased working and restoration of the site to agriculture should minimise any potential adverse landscape and visual impacts.

A hedgerow regulations assessment and landscape and visual assessment will be required at the planning application stage. The use of soils for temporary visual (and noise) screening will help reduce impacts and ensure the site is restored to the required standard. There will be no permanent loss of BMV land.

- Ecology

Detailed survey reports and assessments and mitigation plans would be needed to fully determine the likely impacts of the proposals on the key ecological receptors (protected species and habitats) and determine any necessary avoidance, mitigation and compensation measures required. The scope of such surveys and assessments and plans would be dependent on the proposals and would be determined at the planning application stage.

Policy S4 - Allocation at Site 4, Wasperton

Land at Wasperton shown on Figure 1.14 is allocated for sand and gravel working subject to the following requirements:

- suitable access onto Wellesbourne Road (A429);
- no access onto Wasperton Lane;
- phased working and progressive restoration to agriculture and nature conservation uses;

- a minimum stand-off of 100m from The Forge Cottage, Wasperton Farm house, Holloway Farm house, Glebe Farm house and Seven Elms and Seven Elms Barn ;
- advance tree and hedgerow planting on the north western and eastern boundaries of the site;
- safeguarding and where possible strengthening existing hedgerows and hedgerow trees;
- the provision of suitable measures to protect the length of watercourse (River Avon and tributaries Local Wildlife Site) running along the northern boundary and partly into the site;
- the need to maintain the setting and the structural integrity of Seven Elms and Wasperton Farmhouse and the setting of Wasperton Hill House;
- preparation of an Environmental Management Plan for the site;
- all soils to be stored on site for future use in the restoration of the site;

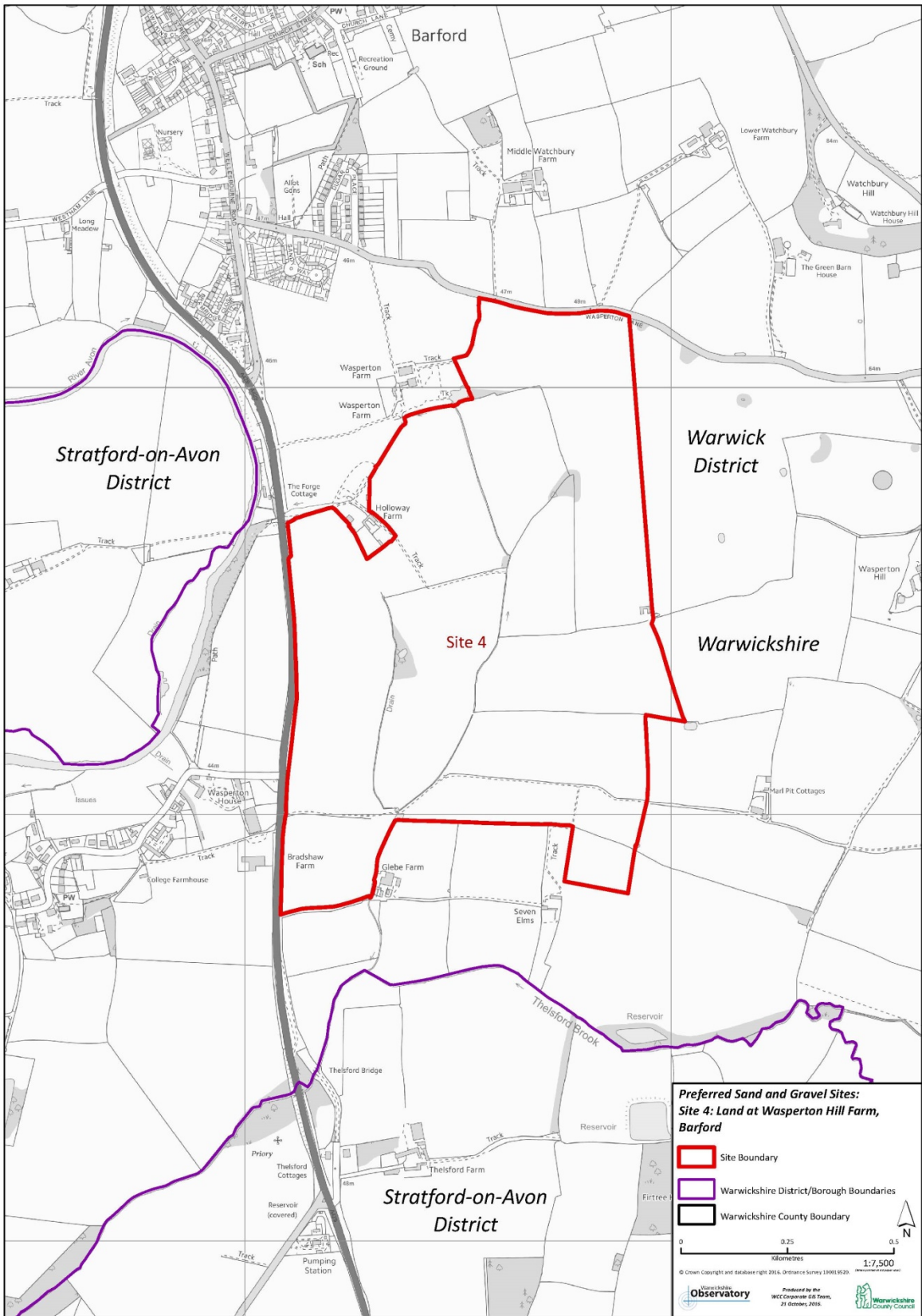


Figure 1.14 Site 4 Land at Wasperton

Site 6 - Coney Grey Farm, Ryton (serving Coventry and Kenilworth development needs)

Site Description

The site lies east of Middlemarch Industrial Estate beyond the River Avon and to the west of the A423 at Ryton covering an area of 47 hectares. The site comprises medium to large scale mixed farming with hedged field boundaries in the main and a block of woodland to the west. The eastern half of the site has previously been worked and restored to a lower level with imported wastes. The entrance to the site on A423 is part of a new roundabout to serve the new Prologis business park. There are no settlements nearby and the site has direct access to the local highway network. There are farm buildings located in the centre of the site.

To the north of the site lie farmland, a caravan park and residential properties, to the east beyond the A423, an employment park with the A45 beyond. To the south lie farmland, residential and business properties and existing industrial uses. The River Avon forms the western boundary of the site.

Site Development and Indicative Working Proposals

The previously restored eastern half of the site would benefit from further improvements. This could be achieved by moving soils from the western side of the site to create flood storage/flood alleviation to raise the low level land on the east. Only the centre of the site to the west of the farm buildings which is outside the functional floodplain would be worked. Stand offs and advance planting would help minimise any impacts to properties fronting the eastern half of the site (south and north). It would be restored to agriculture using imported inert fill. There will be opportunities to provide ecological enhancements and flood alleviation as part of the restoration of the site. PROW R152 within the site may have to be temporarily diverted during the development of the site.

It has the potential to release 0.3 - 0.4 million tonnes of sand and gravel during the plan period to serve the markets of Coventry and Kenilworth. Material is likely to be processed off site or on site using small mobile processing plant.

The site would provide a modest increase in production capacity in the County at an estimated rate of 100,000 tonnes per annum.

Key Issues

Key Issues affecting the site are set out below. They are based on an assessment of the site at the time this plan was written and therefore if circumstances change or new information becomes available prior to the site coming forward through a planning application, any new issues will also need to be taken into account.

- Landscape

The Site lies within the Dunsmore Plateau Fringe landscape type and is characterised by a rather variable open to framed landscape with large arable fields. The River Avon corridor is a special feature within this landscape owing to the nature of the surrounding landform. Safeguarding and strengthening primary linear features (hedgerows, woodland edges' and wooded stream lines) and

advance planting along the northern, eastern and southern boundaries and phased working and restoration should ensure that any potential adverse landscape and visual impacts are minimised.

Policy S6 - Allocation at Site 6 Coney Grey Farm, Ryton

Land at Coney Grey Farm, Ryton shown on Figure 1.15 is allocated for sand and gravel working subject to the following requirements:

- operating as a satellite site to an existing or planned quarry in the Rugby/Warwick area or operating as a stand- alone site using small mobile processing plant if a suitable location can be found within the site;
- phased working and progressive restoration to agriculture with increased biodiversity and flood storage/flood alleviation. Materials removed from the western side of the site shall be used to restore the land on the eastern side. The restoration plan should have regard to the Dunsmore Living Landscape scheme;
- a minimum stand-off of 100m from individual properties fronting onto the eastern half of the site (north and south);
- advance planting on the roadside boundary and next to properties fronting onto the northern, eastern southern boundaries of the site;
- provision of suitable measures to protect and where appropriate enhance the special features of Brandon Marsh SSSI and Ryton Woods SSSI and protect and enhance the River Avon LWS and Siskin Drive Bird Sanctuary LWS. Protect the watercourse passing through the site and along its southern boundary;
- preparation of an Environmental Management Plan for the site;
- all soils to be stored on site for future use in the restoration of the site.

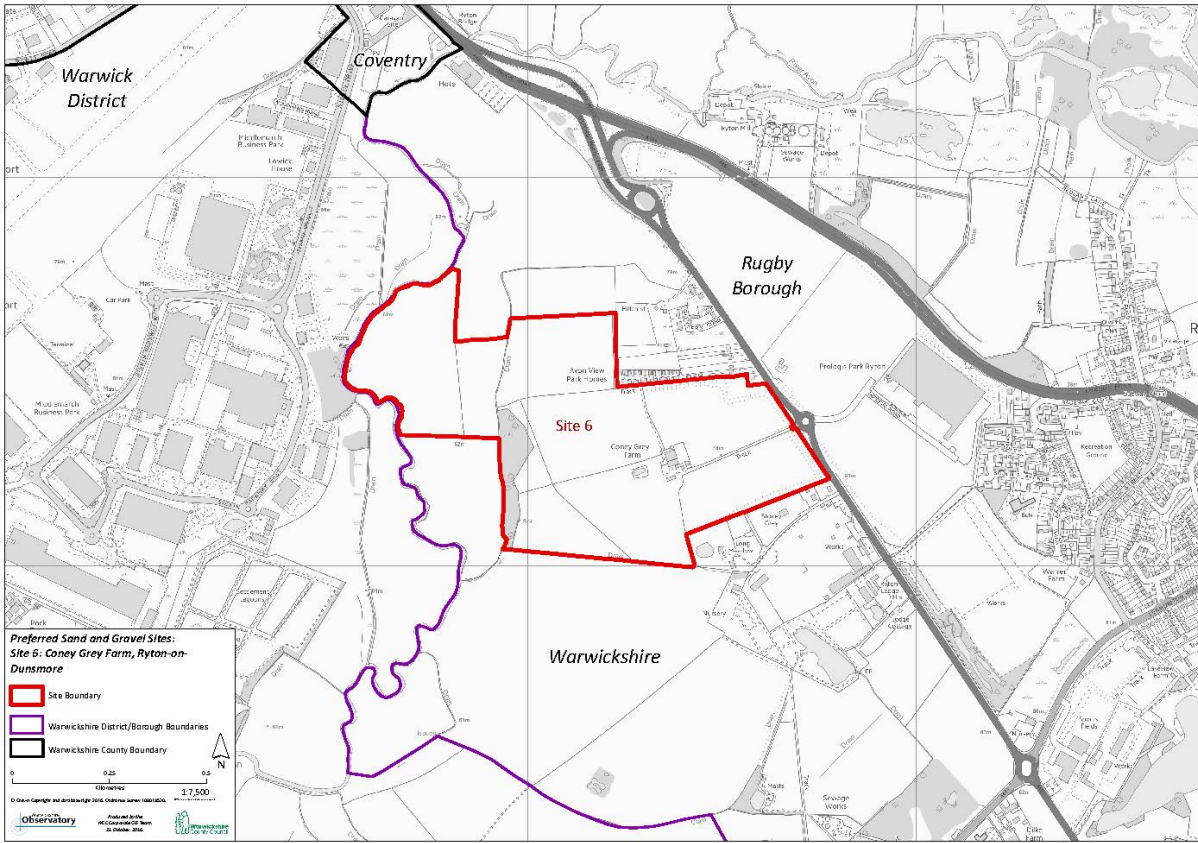


Figure 1.15 Site 6 Coney Grey Farm, Ryton on Dunsmore

Site 9 - Hams Lane, Lea Marston (serving North Warwickshire and Birmingham and Solihull development needs)

Site Description

This site lies to the west of Lea Marston village near to Junction 9 of M42 (Dunton Island) and covers an area of 48 hectares. To the north of the site lies Blackgreaves Farm, residential properties and beyond Blackgreaves Lane, a restaurant, Lea Marston Hotel and leisure centre, to the east Lea Marston village, farmland and woodland with the River Tame and lakes beyond, to the south National Grid electricity transmission assets and farmland and to the west farmland, Dunton Quarry, woodland and Reindeer Park. To the south east beyond the mainline railway from Derby to Birmingham lies Hams Hall distribution park. To the south and west (250m from the safeguarding zone) of the site lies the line (north-south alignment) of the proposed High Speed 2 railway linking Birmingham to London (Phase One route) with land to the north west beyond the A4097 being proposed as a railhead to help with the construction of the new railway (Kingsbury Railhead). To the west and north of the site lies the proposed HS2 Phase 2 route which will provide new rail links to the north and west of England. The site is currently in mainly agricultural use comprising large open hedged fields but parts of the site are also used from time to time for other temporary uses. For example part of the northern end of the site is used by a shooting club. The settlement of Lea Marston lies 200m to the east but the site has good access to the local highway network. There are three overhead pylons on the site which are to be retained.

Site Development and Indicative Working Proposals

The site could be developed in phases which would allow important hedgerows to be protected to reduce any impacts from mineral working. Stand offs would help minimise any impacts to individual properties on Blackgreaves Lane and Reindeer Park off Kingsbury Road. It could be restored to agriculture using imported inert fill. However, there may be opportunities to provide ecological enhancements as part of the restoration of the site particularly in the north east corner and for additional woodland in the north-west corner adjacent to Dunton Wood. Public Rights of Ways M14, M16 and M23 within the site would have to be temporarily diverted during the development of the site.

The site has the potential to release 1.06 million tonnes of sand and gravel during the plan period to serve the markets of North Warwickshire and Birmingham and Solihull. The site could provide new local capacity to replace that lost with the closure of nearby Coleshill Quarry.

The development of the site would provide increased production capacity in the County at an estimated rate of 100,000 tonnes per annum. It would appear sensible to try and work the site in conjunction with the construction of HS2 and the Kingsbury Rail Head to the north. This could provide the opportunity to improve the restoration options (site levels and future uses) for the site and contribute to the Tame Valley Wetlands Partnership Scheme and the Trent and Tame Valleys Futurescape project. The site lies not far from an existing mineral and waste site at Dunton so the opportunity to work the site back to Dunton by overland conveyor ought to be explored. This would negate the need to erect a stand-alone processing plant and provide a new access onto Hams Lane.

The site formed part of the Lea Marston Preferred Area (PA2) in the 1995 Minerals Local Plan for Warwickshire.

Key Issues

Key Issues affecting the site are set out below. They are based on an assessment of the site at the time this plan was written and therefore if circumstances change or new information becomes available prior to the site coming forward through a planning application, any new issues will also need to be taken into account.

- Amenity

There are properties/buildings bordering the north western boundary of the site accessed from Blackgreaves Lane and buildings at Reindeer Park on the western side south of Dunton Wood. The provision of a buffer zone of a minimum of 100 metres from these properties would minimise any potential adverse impacts from such things as noise and dust. The suitability of this buffer zone will be reviewed at the planning application stage. In addition an Environmental Management Plan will be required at the planning application stage.

- Listed Building

Blackgreaves Farmhouse on Blackgreaves Lane to the north of the site is a Grade II listed building. There is likely to be no harm to the significance of the setting of this designated heritage asset because of the proposed 100m stand-off, the presence of a number of farm buildings and properties between the farmhouse and the site, the building's orientation with front façade facing east, working in this location would be temporary and the site would be restored to its existing agricultural use.

- Biodiversity

Whitacre Heath SSSI lies 650m to the east of the site beyond Hams Lane, mainline railway and the River Tame. Extraction of sand and gravel is unlikely to cause harm to the SSSI, but provision of suitable measures to protect and where possible enhance its special features will be required. Any hydrological and water quality issues associated with the SSSI will need to be addressed at the planning application stage. A protected species survey report, assessment and mitigation plan for the site will be required.

- HS2

The close relationship of the site to HS2 has raised expectations about the possible future land uses including access to the local highway network and restoration to uses and standards following mineral working. These are non-mineral development matters and should be addressed through discussions with the local planning authority. To avoid vehicles passing through Lea Marston village and over non allocated land to other parts of the local highway network the Highway Authority requires vehicles to leave the site and travel south on Hams Lane to Faraday Avenue and then to the A446. There are no justified reasons to include other alternative access routes which are not supported by the Highway Authority and are free from planning and environmental constraints.

- Other Previously Rejected Sites

Some objectors have requested that the site be deleted in favour of other omitted sites and land (Sites 10, 11 and 12 and land to the west of A4097 Kingsbury Road). These sites have been considered on previous occasions and found to be unacceptable in planning terms and not deliverable. The land west of A4097 has not been nominated for allocation and is required for the construction of HS2 including a major railhead. These sites would not release construction materials for the general market during the plan period a key requirement for supplying and meeting future demands for aggregates in the MLP.

- Landscape

The site falls within the Arden Parklands landscape character type which is characterised by medium to large in scale and defined by woodland edges, belts of trees and wooded streamlines. The landform is gently rolling, open in aspect and is intensively farmed. Provision of suitable stand-offs to Dunton Wood and existing properties will significantly reduce the amount of higher ground on the western side of the site which together with advanced hedge tree planting, gapping up hedgerows and providing small blocks of woodland planting and the phased working and restoration of the site should minimise any potential adverse landscape and visual impacts.

Policy S9 - Allocation at Site 9 Hams Lane, Lea Marston

Land at Hams Lane, Lea Marston shown on Figure 1.16 is allocated for sand and gravel working subject to the following requirements:

- if worked as a stand- alone site suitable access onto Hams Lane and all vehicles turning right to Faraday Avenue. No access through Lea Marston village;
- exploring the opportunity to work the site back to Dunton Quarry by overland conveyor;
- phased working and progressive restoration to agriculture and nature conservation uses;
- a minimum stand- off of 100m from individual properties on Blackgreaves Lane and at Reindeer Park, Kingsbury Road;
- 30m stand off from Dunton Wood;
- additional woodland planting;
- the provision of suitable measures to protect and where appropriate enhance the special features of Whitacre Heath SSSI;
- preparation of an Environmental Management Plan for the site;
- all soils to be stored on site for future use in the restoration of the site;
- if worked as a stand-alone site mobile plant to be located so as to reduce impact on the openness of the Green Belt;
- the working and restoration plan should take into account and contribute to the Tame Valley Wetlands Partnership Scheme and Trent and Tame River Valleys Futurescape project;
- take into account any mitigation approved to minimize the impact of HS2 on Lea Marston village.

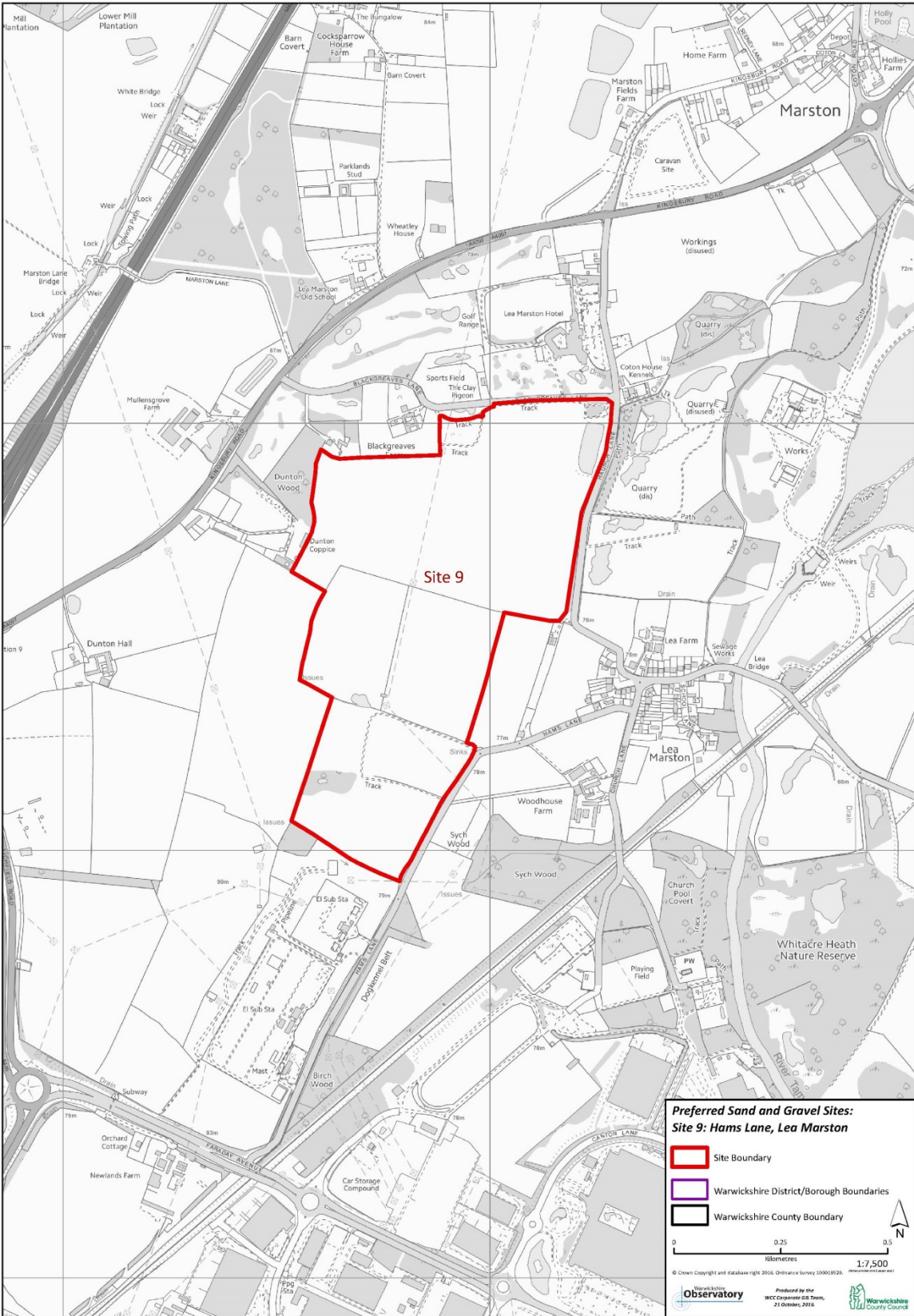


Figure 1.16 Site 9 Hams Lane, Lea Marston

8 Core Strategy Policies

Minerals Core Strategy Policies

Policy MCS 1 - Supply of Minerals and Materials

The MPA will maintain a supply of materials from substitute or secondary and recycled materials and mineral waste and will take account of this when considering proposals to extract aggregate minerals in the County at sites other than those allocated in Policy SO.

The MPA will ensure that during the plan period there is a sufficient supply of minerals through Warwickshire's contribution to local and national needs.

The MPA will maintain landbanks of permitted reserves for aggregate minerals and for brick clay.

Any planning application for mineral development will be treated on its merits and assessed against all other relevant Development Plan policies, taking into account the guidance in the National Planning Policy Framework and all other material planning considerations.

The MPA will seek to supplement supplies by taking advantage of unplanned opportunities as they arise such as the extraction of known minerals of local, regional, or national importance prior to, or as part of, non-mineral development.

Justification

Minerals are essential to support sustainable economic growth and the quality of life in Warwickshire. It is important therefore that there is a sufficient supply of material to provide the infrastructure, buildings, energy and the goods which the County needs. Warwickshire contains many mineral resources including sand and gravel, hard rock, brick clay, coal; cement raw materials and building stone.

However a significant part of the County is rural in nature and there is a wide variety of landscapes one of which is partly designated nationally as an Area of Outstanding Natural Beauty (AONB) (Cotswolds AONB). The County is also rich in wildlife and habitats and has an important cultural heritage which adds to its character and local distinctiveness. A large proportion of the County is covered by a swathe of designated Green Belt. A key concern is the protection of the countryside from the movement of freight by road and ensuring that quarry traffic avoids rural settlements, environmentally sensitive areas and the use of minor and unsuitable roads. Continuing to maintain a sufficient supply of materials during the plan period will always be constrained by the need to protect the county's natural and built environment and its local communities.

By maximising the use of alternative sources of materials (recycled and secondary materials and mineral wastes) the supply of land won minerals can be managed more sustainably. The maintenance of appropriate land banks of minerals reserves will provide an indicator of continuing security of supplies and when new supplies may be needed.

In order to conserve resources, ensure that resources are used sustainably and the environment and local communities are protected, proposals for new mineral development will be treated strictly on

their merits having regard to the development plan and any other relevant material planning considerations.

Policy MCS 2 - Sand and Gravel

The MPA will ensure that there is a steady and adequate supply of sand and gravel, taking account of the Council's latest landbank figures, based on the latest published annual monitoring and the latest Local Aggregates Assessment (LAA).

Warwickshire's local plan requirement is 6.525 million tonnes to be provided over the 15 year plan period at an average production rate of 0.508 million tonnes per annum. The MPA aims to achieve this production rate from existing permitted reserves, by granting planning permission at the sites allocated by Policy SO and through windfall developments such as the extraction of sand and gravel prior to, or as part of, non-mineral development.

Throughout the plan period the MPA will maintain at least 7 year landbank of permitted reserves.

Proposals for sand and gravel extraction outside the allocated sites will only be supported where the proposal demonstrates that significant operational, transport, environmental and restoration benefits will be provided by working in that location,

Justification

Paragraph 145 of the National Planning Policy Framework (NPPF) states that a steady and adequate supply of aggregates should be planned for by taking a number of measures including the preparation of an annual Local Aggregates Assessment, taking account of guidelines on future provision, making provision for land won resources through identified sites or areas or policy criteria, providing appropriate landbanks and granting planning permission for sustainable mineral development.

The latest Local Aggregates Assessment shows a need for 8.022 million tonnes of sand and gravel to be provided over the life of the plan (2017-2032) taking account of future demand for, and supply of, aggregate minerals in the county. To ensure that the annual predicted rate of production is maintained during the plan period eight sites need to be identified and provided for in the plan.

The Council will regularly monitor the performance of the policies and proposals in the plan including the length of the landbank and will seek to ensure that a minimum 7 year landbank for sand and gravel is maintained throughout the plan period subject to appropriate proposals coming forward which are acceptable in planning terms and sustainable. However it needs to be recognised that for nearly ten years the landbank for sand and gravel in the County has been well below national targets. There are a low number of operating sites having small production capacities; a number of quarries have closed with no new replacements; and there have been only a small number of planning applications submitted some of which were withdrawn before being determined. While there may be difficulties in gaining new planning permissions and in recent years the recession may have significantly affected demand for construction materials this does not adequately explain the continuing low level of permitted reserves in the county. Some parts of the local minerals industry have advised that the quality of the resource in Warwickshire is a major factor which will affect the viability of any proposals and limit the number of new planning

applications being submitted. As production in the County has declined the amount of imports has increased from 202,000 in 2005 to 359,000 in 2009 according to the government's four yearly surveys of aggregates.

Designation of a site in the local plan does not guarantee that planning permission will be granted because poorly drafted proposals may produce significant adverse environmental impacts which may not be capable of mitigation and imposition of planning controls through planning conditions. However, the expectation is that a proposal is capable of being formulated and brought forward within the sites set out in Policy SO and is considered likely to be made acceptable in planning terms. Proposals to develop the allocated sites therefore need to be viable, well prepared, carefully designed and capable of being delivered during the life of the plan.

For proposals coming forward outside the designated sites will be one test to be met and that is demonstrating that significant operational, transport, environmental and restoration benefits can be provided by working in that location.

Policy MCS 3 - Crushed Rock

The MPA will ensure that there is a steady and adequate supply of crushed rock, taking account of the Council's latest landbank figures, based on the latest published annual monitoring and the latest Local Aggregates Assessment (LAA). The Council will seek to maintain at least a 10 year landbank for crushed rock.

Proposals for the winning and working of crushed rock will only be supported where the proposal demonstrates that significant operational, transport, environmental and restoration benefits will be provided from working in that location.

Proposals for the working of limestone in the Cotswold AONB for crushed rock provision will be refused except in exceptional circumstances and where it can be demonstrated that they are in the public interest.

Justification

There is a regionally important resource of hard rock which is restricted to a narrow outcrop which extends from Bedworth to Nuneaton and Atherstone. The rocks are known to have high polished stone value (PSV) content and are used mainly for road stone and rail ballast.

There is now only one active crushed rock quarry in Warwickshire near Atherstone at Mancetter, although there are other reserves at Griff (V) and Jeas and Boon (now called Hartshill Quarry). Griff quarry has been previously worked but has been left inactive in recent years. Hartshill Quarry has recently reopened.

The current landbank stands at 30.97 years (2016 available data before MPA amalgamation) based on figures reported by the minerals industry which is well above the 10 year landbank requirement set out in the NPPF. At 2016 the permitted reserves stood at 27.26m tonnes which include the 2 million tonnes extension permitted in August 2015 at Mancetter Quarry.

Due to the limited nature of the outcrop and known constraints physical, community, environmental transport and being able to access the resource and the extensive landbanks there are no plans to allocate sites for future working of crushed rock in the County.

Proposals coming forward will need to be able to demonstrate that significant operational, transport, environmental and restoration benefits will be provided from working in that location.

The NPPF says that great weight should be given to conserving landscape and scenic beauty in Areas of Outstanding Natural Beauty such as the Cotswold AONB. The conservation of wildlife and cultural heritage are also important considerations in these areas. For major development such as the working of limestone for crushed rock provision, planning permission will be refused except in exceptional circumstances and where it is in the public interest.

Proposals for mineral working in the Cotswold AONB should include an assessment of the following:

- a) The need for the development, including in terms of national considerations, and the impact of permitting it, or refusing it, upon the local economy;
- b) The cost of, and scope for, developing elsewhere outside the designated area, or meeting the need for it in some other way; and
- c) Any detrimental effect on the environment, the landscape and recreational opportunities, and the extent to which that could be moderated.

However those crushed rock mineral resources which are considered to be locally, regionally or nationally important are shown on the Crushed Rock Mineral Safeguarding Area on Map 14.2 in Appendix 2. The extraction of crushed rock prior to, or as part of, permitted non-mineral development will be sought in accordance with policies in this plan.

Policy MCS 4 - Secondary and Recycled Aggregates

Proposals for the reception, processing, treatment and distribution of waste materials in order to produce recycled and secondary aggregates will be supported where the proposal will promote the sustainable management of waste in accordance with the principles of the Waste Hierarchy and will facilitate a reduction in the need for primary aggregates.

Justification

Recycled aggregates comprise construction, demolition and excavation waste such as brick, stone, concrete and asphalt which have been processed to provide products for the construction industry to re-use. The recycling of aggregates is important in the County and there are 9 operational sites one of which, Dunton Quarry at Curdworth, is a major facility providing materials to the local and regional construction industry. In 2015, 830,250 tonnes of construction and demolition waste material was recycled in the County. Further details of the nine recycling sites in the county are provided in Appendix 5.

New facilities will be supported where they will help deliver sustainable waste management, and facilitate a reduction in the production of primary aggregates.

Policy MCS 5 - Safeguarding of Minerals and Minerals Infrastructure (see also Policy DM10)

Warwickshire's sand and gravel, crushed rock, brick-making clay resources, cement raw materials and building stone will be safeguarded against needless sterilisation by non-minerals development, unless "prior extraction" takes place.

Safeguarded mineral resources are defined by a Mineral Safeguarding Area illustrated on the Maps in Appendix 2. Minerals infrastructure safeguarded in Warwickshire comprises mineral sites, concrete batching plants, mortar plant, asphalt plants, concrete products plant and recycled and secondary aggregates sites shown on Fig 1.9.

Non-mineral development, except for those types of development set out in Appendix 3, shall not normally be permitted if they would unnecessarily sterilise existing and future mineral sites and mineral infrastructure or prejudice or jeopardise their use by creating incompatible land uses nearby.

Justification

This core strategy policy sets out the key elements of mineral safeguarding in Warwickshire and is supported by development management policy DM 10 which provides further details.

As minerals can only be worked where they are found it is important to safeguard viable mineral resources from needless sterilisation by other development to secure a future long term supply of minerals. National planning policy requires Mineral Planning Authorities (MPAs) to "secure an adequate and steady supply of indigenous minerals" needed to support sustainable growth whilst encouraging the recycling of suitable materials to minimise the requirement for new primary extraction. National planning policy also requires MPAs "to define Minerals Safeguarding Areas (MSA) in order that proven resources are not needlessly sterilised by non-mineral development, whilst not creating a presumption that resources defined will be worked, and where appropriate regeneration can be facilitated.

The key safeguarded mineral resources in Warwickshire are sand and gravel, crushed rock, brick-making clay resources, cement raw materials and building stone. These resources have been identified for long term safeguarding beyond the life of this plan and are designated as MSAs and shown illustrated on the Maps in Appendix 2.

The Maps were produced as part of a report produced on behalf of the MPA by the British Geological Survey which mapped the extent of mineral resources in the County, the latest guidance and information about those resources and other data and information available to the MPA. From time to time the MSAs may be reviewed and updated as mineral resources become exhausted or as the result of exploratory or detailed drilling as part of the preparation of planning application for minerals development or a mineral survey and assessment report submitted with a planning application for non-mineral development.

Safeguarding the infrastructure that supports the supply of minerals is just as important as safeguarding mineral resources. Safeguarding minerals infrastructure is a requirement of national planning policy which states that the following should be safeguarded:

- Existing, planned and potential rail heads, rail links to quarries, wharfage and associated storage, handling and processing facilities for the bulk transport by rail, sea or inland waterways of minerals, including recycled, secondary and marine-dredged materials; and
- Existing, planned and potential sites for concrete batching, the manufacture of coated materials, other concrete products and the handling, processing and distribution of substitute, recycled and secondary aggregate material.

There are no existing, planned or potential rail heads, rail links to quarries, or bulk transport facilities in the County. There are concrete batching plants, mortar and coated materials plant in the County on existing mineral sites which should provide a degree of protection, particularly those in the Green Belt. However the nine sites providing recycled and secondary aggregate materials in the County (see Figure 1.9) are quite important so for the duration of their life these facilities will be safeguarded in accordance with this policy from non-mineral development if that development would unnecessarily sterilise the sites or prejudice or jeopardise their use by creating incompatible land uses nearby.

The encroachment of incompatible activities around minerals development sites/facilities may create conflict due to either the more sensitive nature of other forms of development or their on-going occupation or usage. This could potentially impose constraints, reducing the viability of future mineral operations. It is the non-minerals developer's responsibility to determine site specific potential impacts, as well as identification and implementation of mitigation measures where necessary. The MPA may advise that development should not be permitted if it would constrain the effective operation of existing sites or sites allocated for future mineral development.

The MPA believes that the best way of achieving the level of control required is to apply this policy and DM 10 to consultations received from the local planning authorities on a case by case basis. A buffer zone approach would be difficult to substantiate as there are already other planning controls in place and determining the extent of the buffer zone required would have to be done on a case by case to reflect the nature and extent of the site/facilities and the potential for encroachment of incompatible development. Furthermore there are only three sand and gravel sites operating in the county and they are all in the Green Belt where development is restricted. Most of the remaining existing minerals infrastructure is either in the Green Belt or in existing industrial areas.

In order to avoid unnecessary consultations by other local planning authorities, Appendix 3 lists types of applications for proposed non-mineral developments which in the opinion of the Council are unlikely to conflict with the aims of Policy MCS5 and are excepted from its scope.

Policy MCS 6 - Brick Clay

The MPA will maintain at least 25 years' permitted reserves of brick clay to support capital investment required for new or existing plant for brick manufacturing and the maintenance and improvement of existing plant and equipment by permitting new or extended sites and by permitting extraction prior to, or as part of, non-mineral development.

a) Proposals for brick clay extraction will be supported where the proposal:

b) supports capital investment required for new or existing plant for brick manufacturing and the maintenance and improvement of existing plant and equipment; and

c) provides for the extraction of premium brick clays such as those from the Etruria Formation or other clay raw materials with equivalent physical characteristics;

d) and in addition the proposal either:

- i) enables the continuation of appropriate blends to be made: or
- ii) provides raw materials released from the working of other minerals: or
- iii) provides raw materials which can be utilised at an existing plant or for an environmental project where the raw materials is required to meet specific technical requirements and those materials cannot be supplied from any other location.

Proposals for the long term stockpiling of clays released through the extraction of other minerals or prior extraction will be supported if the proposals:

- a) are practicable and environmentally feasible; and
- b) will not have any unacceptable adverse impacts.

Justification

The NPPF says that mineral planning authorities should plan for a steady and adequate supply of industrial minerals by providing a stock of permitted reserves to support the level of actual and proposed investment required for new or existing plant and the maintenance and improvement of existing plant and equipment of at least 25 years for brick clay. It also says that mineral planning authorities should take account of the provision of brick clay from a number of different sources to enable appropriate blends to be made.

Clay raw materials are used to create bricks, tiles, and pipes, provide engineering fill and create products with particular physical and aesthetic qualities. Such qualities are mostly the direct result of the physical characteristics of the raw material and which may be available in only a few locations. Clays worked in the Etruria Formation for example allow higher quality products to be manufactured such as engineering bricks, facing brick and slips, pavers, roof and floor tiles and the Staffordshire Blue brick use for engineering purposes and valued for its aesthetic qualities.

The only brickworks operating in the County is at Kingsbury, which supplies a range of brick products to local and regional markets from on-site marls and clays. Provision of clay and marl from the quarry is also known to support clay product manufacturing at a site in Walsall. The MPA intends to monitor the supply of clays to works outside the County as part of on-going co-operation with other mineral planning authorities.

Clays are also worked at Southam and are transported to Rugby for use in the production of cement

These facilities currently have access to sufficient materials to meet future needs. However, proposals for extensions to existing or new marl/clay quarries to meet future needs will be supported if the requirements of this and other policies in the plan are met.

However those brick-making clay resources which are considered to be locally, regionally or nationally important are shown on the Brick Clay Mineral Safeguarding Area on Map 14.3 in Appendix 2. The extraction of brick-making clay resources prior to, or as part of, permitted non-mineral development will be sought in accordance with policies in this plan.

Policy MCS 7 - Building Stone

The MPA will support the extraction of building stone from small scale quarries where it can be demonstrated:

- a) there is a need for the material; and
- b) there are no suitable, viable and more sustainable alternative sources available; and
- c) the scale, extent and location of the proposed quarrying are such that adverse impacts upon the environment and amenity can be avoided or adequately mitigated; and
- d) it will positively contribute towards the maintenance of the historic built environment and will encourage local distinctiveness and good quality design; and
- e) any working of minerals for non-building stone purposes will not prejudice the ability to satisfactorily achieve previously approved or acceptable in principle proposals for future site restoration that accord with Policy DM 9.

Justification

Historically building stone has been used extensively throughout the county and further information can be found in "A Building Stone Atlas of Warwickshire – published in May 2011. The aesthetic qualities of the stone used impart a distinctive character to the county's historic buildings.

Working of building stone in the county has typically been very intermittent, less intensive, surface related and from small scale (nature and extent) quarries irrespective of whether they are "relic" as described in the NPPF. The minerals industry believes that dimension stone extraction should not be limited to local markets or the heritage sector. The sector should be free to develop new- build markets and should be allowed to operate at higher production if it contributes to economic development. By emphasizing reliance on local markets and small scale operations the industry believes that the authority is being too prescriptive and not recognising the potential for change. The evidence is that the past pattern of working has not changed and the industry is in decline and situation is unlikely to change in the foreseeable future.

There are currently no sites working building stone in the county. Sites at Edge Hill and Dry Hill in the Cotswold AONB and Avon Hill outside the AONB have worked ironstone and limestone but only Edge Hill is currently operational working very small ironstone stockpiles for secondary aggregates prior to completing the final restoration of the site. The location and scale of the sites are reflective of the physical and planning constraints affecting building stone extraction such as the capacity of local roads, amenity considerations and designations and designated assets.

There is at present no demand for additional sites or for building stone to be released for future working. However those building stone mineral resources which are considered to be locally, regionally or nationally important are shown on the Building Stone Mineral Safeguarding Area on Map 14.5 in Appendix 2. The extraction of building stone prior to, or as part of, permitted non-mineral development will be sought in accordance with policies in this plan.

Proposals for future working of building stone outside the Cotswold AONB will therefore be carefully considered against the requirements of this policy. Developers will need to demonstrate a need for the material to repair old buildings and structures and for new construction, that there are no

alternative supplies elsewhere within and outside the county and that any adverse impacts of proposed working are capable of being avoided or adequately mitigated.

Proposals within the Cotswold AONB and which would affect its setting will need to be scrutinised more carefully. The statutory purpose of an AONB is to conserve and enhance the natural beauty of the area of outstanding natural beauty (sect 82 Countryside and Rights of Way Act 2000). Section 85 of the Act places a statutory (legal) duty on the authority to have regard to the purpose of conserving and enhancing the natural beauty of the area when discharging any function (such as plan making) in relation to, or affecting land within, an AONB. Wildlife in the AONB and its cultural heritage are also important factors to be taken into account.

Any quarry proposal comprising major development due its scale and impact will need to clearly demonstrate that there are exceptional circumstances and the proposal is in the public interest, in accordance with the “major development test” in the National Planning Policy Framework.

Quantities of waste rock (non-building stone) can be generated during the extraction of building stone particularly in the initial phases of working. This waste stone may have a potential use as aggregate: the use or disposal of it is an issue which needs to be considered on a case by case basis through a planning application. A particular consideration will be the extent to which the proposal could prejudice the restoration of the site.

Policy MCS 8 - Coal Mining (surface and deep mining)

Proposals for coal mining will only be approved where the proposal is demonstrated to be environmentally acceptable, or can be made so through planning conditions and obligations. Where this cannot be demonstrated, planning permission will only be granted where the proposal is demonstrated to provide national, local or community benefits that clearly outweigh the adverse impacts arising from the proposal.

In particular, appropriate consideration will need to be given to the proposal's impacts in terms of:

- a) contribution to delivering an indigenous source of energy and securing a diverse energy mix;
- b) disposal of colliery spoil (deep mining);
- c) minimising the nature and extent of surface subsidence (deep mining)
- d) arrangements for the extraction and stockpiling of other minerals (surface mining).

Justification

Coal from the Carboniferous Coal Measures which are exposed at the surface in the north of the County has been exploited since Roman Times. Small scale operations from shallow pits continued until the middle to late 19th century when numerous deep mines began operation in North Warwickshire reflecting an increase in the demand for coal and advances in mining technology. The last deep mine at Daw Mill, near Arley in North Warwickshire closed in 2013 following a huge underground fire. Previously, coal extraction had taken place in the Corley Moor area at a depth of around 800 – 900 metres.

Whilst the NPPF gives a general presumption against the extraction of coal there are large coal reserves in the County. There are no plans to reopen Daw Mill Colliery and neither does there appear to be any plan to sink another pit head or even return to surface coal extraction in the County. As there are large coal reserves deep underground and on the surface in the north of the County and in the Warwickshire Coalfield and there is likely to be a shortage of energy nationally in the short to medium term, there is always going to be the possibility that coal may be considered economically viable to extract in the future.

The extent of the Warwickshire Coalfield is shown on Fig 1.5. Proposals for future working of coal by conventional underground or surface means will therefore be considered in accordance with the policies in the development plan.

For any coal mining proposals the County Council will have regard to the desirability of the preservation of natural beauty, of the conservation of flora and fauna and geological or physiological features of special interest and of the protection of sites, buildings, structures and objects of architectural, historic or archaeological interest and the extent to which the coal operator has complied with the duty under Section 53 of the Coal Industry Act 1994, to have regard those matters and to mitigate impacts, when preparing any planning application.

Policy MCS 9 - Conventional and unconventional Hydrocarbons

Planning permission for the exploration and/or appraisal of hydrocarbons will only be supported where it has been demonstrated that:

- a) Well sites and associated facilities are sited in the least sensitive location from which the target reservoir can be assessed; and
- b) The proposed development will not generate unacceptable adverse impacts on the environment, transport systems and local communities; and
- c) Drilling at the proposed location will not generate unacceptable adverse impacts on the integrity of the underlying geological structure; and
- d) Measures will be taken to mitigate to acceptable levels adverse impacts on the environment, transport systems and local communities.

Where proposals for exploration and appraised are permitted, there will be no presumption that long term production from those wells will be permitted.

Planning permission for production of hydrocarbons will only be supported where it is demonstrated that:

- a) The Proposal can adhere to criteria b - d above; and
- b) The further works and surface facilities are justified as being required to manage the output from the well(s), including facilities for the utilization of energy where relevant, and are sited in the least sensitive location from which the target reservoir can be accessed; and
- e) c) There is a full appraisal programme for the hydrocarbon resource; and
- f) d) There is a development framework for the site and an assessment of the proposal's economic impacts.

All proposals should include secure arrangements for full restoration and aftercare for each of the stages of development.

Proposals for the exploration, appraisal and production of shale/oil gas in the Cotswolds AONB will be refused except in exceptional circumstances and where it can be demonstrated that they are in the public interest.

Justification

The exploration, appraisal or production of hydrocarbons can only take place in areas where the Department of Energy and Climate Change (DECC) have issued a licence under the Petroleum Act 1998 (Petroleum Licence).

The NPPF says that mineral planning authorities should clearly distinguish between the three phases of development (exploration, appraisal (testing) and production) and address constraints on production and processing within areas that are licensed for oil and gas production and unconventional hydrocarbons

Exploration involves acquiring geological data to establish whether hydrocarbons are present by seismic surveys and drilling and in the case of shale gas hydraulic fracturing. Appraisal follows exploration and is concerned with determining the extent of the deposit or its production characteristics to establish whether it can be economically exploited and will also involve hydraulic fracturing. This can involve further seismic work, longer-term flow tests and the drilling of further wells. The production phase involves the drilling of a number of wells together with the installation of pipelines, erection of processing facilities and temporary storage tanks. For unconventional hydrocarbons exploratory drilling may take considerably longer than drilling for conventional oil and gas and will involve removing water from the coal seam in the case of coalbed methane. Production can last up to 20 years or more. When work ceases the facilities will be dismantled and the sites restored.

Conventional oil and gas are usually located in porous reservoirs of sandstone or limestone. Unconventional oil and gas usually comes from sources such as shale and coal seams which act as reservoirs.

Separate planning permission is required for each phase of hydrocarbon extraction although some initial seismic work may not require express planning permission.

There has only been one application for permission to drill exploratory wells for conventional hydrocarbons and that was near Kingsbury in 2001. The drilling did not confirm the presence of any hydrocarbons and no further work was carried out. Since then no interest has been shown in carrying out exploratory work in the county to search for oil or natural gas deposits. There are no national or local targets for the production of conventional or unconventional hydrocarbons and each proposal within the licence area needs to be considered on its own merits. There are no requirements to safeguard shale gas/oil resources.

The NPPF says that great weight should be given to conserving landscape and scenic beauty in Areas of Outstanding Natural Beauty. The conservation of wildlife and cultural heritage are also important considerations in these areas. For major development such as the exploration, appraisal and

production of hydrocarbons planning permission should be refused except in exceptional circumstances and where it is in the public interest.

Developers should avoid developing proposals within influencing distance of sites designated as being internationally or nationally important for nature conservation. Heritage assets and their settings should also be avoided.

Sites will not be encouraged where access is required to transport plant, machinery and materials for drilling, processing and production through residential areas, sensitive land uses or via roads which are minor or considered unsuitable by the Highway Authority for HGV use.

Normally drilling takes place 24 hours a day, 7 days a week for safety reasons. The ability to directional drill means that access to a reservoir to recover the gas/oil may be secured from distant locations and fewer wells. However, this has the potential to have significant impacts on the residential amenity of properties and communities near to a proposed site.

Particular consideration will be given to the close proximity of any proposed well head to any residential properties and to settlements in the County. The cumulative effects of continuous drilling in one location following exploration or several locations close --by will also be given particular scrutiny.

Proposals for conventional and unconventional hydrocarbon extraction will be considered in accordance with the policies in the development plan.

The Department for Communities and Local Government has issued planning practice guidance for onshore oil and gas and this includes unconventional hydrocarbons, hydraulic fracturing and coal bed methane. The guidance states that it is likely that Warwickshire County Council would be responsible for assessing planning applications in Warwickshire where planning permission is required.

The Government says that shale gas is of national importance and they expect Mineral Planning Authorities to give great weight to the benefits of mineral extraction, including the economy. This includes shale gas exploration and extraction. Mineral plans should reflect that minerals resources can only be worked where they are found and applications must be assessed on a site by site basis and having regard to their context. Plans should not set restrictions or thresholds across their plan area that limits shale development without proper justification.

The situation in Warwickshire is that no proposals have come forward to explore, appraise or produce shale gas/oil to date. The most recent information that the County Council has received from the British Geological Survey is that of the main potentially prospective shale gas rocks, none are present in Warwickshire in thicknesses or depths that would be expected to be commercially viable. Clear geological evidence of the suitability of any source rocks in the county for shale gas/oil extraction will need to be submitted as part of any proposals.

However, while shale gas development in Warwickshire may be unlikely in the short term, the plan must address any potential developments in that industry.

Shale gas is methane found in rocks deep (2,000 -3,000 metres) below the earth's surface which had previously been considered too impermeable to allow economic recovery. Coal bed methane is methane that is extracted from unworked coal seams at shallower depths (150-1,500m).

Hydraulic fracturing or fracking is the process of opening and/or extending existing narrow fractures or creating new ones in gas or oil bearing rock by injecting water, sand and non- hazardous chemical additives, which allows gas or oil to flow into wells to be captured.

The exploration, appraisal or production of unconventional hydrocarbons can only take place in areas where the Department of Energy and Climate Change (DECC) have issued a licence under the Petroleum Act 1998 (Petroleum Licence). At present there are no licence areas in Warwickshire. As a result of the Infrastructure Act 2015 the formal consent of the Secretary of State for Energy and Climate Change is now also required. Consent cannot be issued unless a scheme to provide benefits, financial or otherwise, for the local area is in place, irrespective of planning permission. To grant consent, the Secretary of State must be satisfied that 13 specific conditions on environmental matters and information are met.

Policy MCS 10 - Underground Coal Gasification

Proposals for Underground Coal Gasification, the production of syngas and the erection of plant to utilise the gas to produce energy and/or other fuels and chemical feedstocks will only be supported if it is demonstrated that the proposal is environmentally acceptable or can be made so by planning conditions or obligations, and that it provides national, local or community benefits which clearly outweigh the likely adverse impacts so as to justify the grant of planning permission.

Justification

Underground Coal Gasification (UCG) is a separate process to fracking involving controlled combustion of coal seams beneath the ground and the recovery of the resulting gases. The coal can be accessed by carefully controlled directional drilling of several wells that penetrate the coal seam for an appropriate distance. Normally two wells are required one to inject steam and air or oxygen to ignite the seam and the other to recover the gas-water vapour mixture (syngas). Syngas is mainly a mixture of methane, hydrogen, carbon monoxide and carbon dioxide. The gas can be utilised in on-site and/or off- site plant to produce energy (via gas combustion), fuels (diesels) and chemical feedstocks (fertilisers).

Any power station that proposes to use gas produced by Underground Coal Gasification will need to demonstrate that it is carbon capture ready before planning permission may be given for the construction of the power station. New power stations that use the gas as a fuel will also be subject to the Emissions Performance Standard. The Standard, introduced through provisions of the Energy Act 2013, recently came into force and places a limit on the amount of carbon dioxide emissions that new fossil fuel power stations can emit.

The Coal Authority is responsible for issuing licences granting the right to access the coal, but no UCG operations can take place until the applicant has secured all other necessary rights and permissions. This would include securing the necessary planning permission from Warwickshire County Council as the Mineral Planning Authority. A Conditional Licence application was made to the Coal Authority in May 2013 by Cluff Natural Resources Plc. No decision was made by the Coal

Authority and the County Council were told that Cluff would let its application lapse as it wished to focus on offshore areas where there were larger reserves.

There are no national or local targets for the production of syngas and the production of energy, other fuels and/or chemical feedstocks from UCG so each proposal needs to be considered on its own merits.

Developers should avoid developing proposals within influencing distance of sites designated as being internationally or nationally important for nature conservation. Heritage assets and their settings should also be avoided.

Sites will not be encouraged where access is required to transport plant, machinery and materials for drilling wells, producing and utilising syngas to produce energy, other fuels and chemical feedstocks, through residential areas, sensitive land uses or via roads which are minor or considered unsuitable by the Highway Authority for HGV use.

Normally drilling the wells takes place 24 hours a day, 7 days a week for safety reasons. The erection and operation of plant to recover and utilise the syngas to produce energy, other fuels and chemical feedstocks has the potential to have significant impacts on the residential amenity of properties and communities near to proposed site. Particular consideration will be given to the close proximity of the proposed wells, gas recovery and utilisation plant to any residential properties and settlements in the County. Proposals for Underground Coal Gasification, the production of syngas and the erection of plant to utilise the gas to produce energy and/or other fuels and chemical feedstocks will be considered in accordance with the policies in the development plan.

9 Development Management Policies

Development Management and the Planning Application Process

Warwickshire County Council as the Minerals Planning Authority is responsible for dealing with all planning applications for minerals development in the County. In order to fully consider such proposals, an applicant will need to submit sufficient information for the Council to base its development control decisions.

Pre-application consultation should be undertaken with the Council and other relevant stakeholders to establish what supporting information will be required as part of the planning application, particularly where there may be a need for an Environmental Impact Assessment (EIA) in accordance with the Town and County Planning (Environmental Impact Assessment) Regulations 2011. This will ensure that the environmental impacts of proposed developments are assessed in a systematic way and that planning applications are prepared and processed in an effective and efficient manner.

A screening opinion should be sought from the Council if there is any uncertainty as to whether an EIA is required. Where an EIA is required, operators should seek a scoping opinion from the Council to establish the content and level of detail required for the planning application as part of the pre-application consultation process. Planning applications that fall within the scope of the EIA Regulations will not be determined until a satisfactory Environment Statement (ES) has been submitted and all necessary information has been considered. The Council may need to consult other bodies, such as the Environment Agency and Natural England before an opinion is given.

Warwickshire County Council strongly encourages developers to consult with the local community at the earliest stage of any proposal. This will foster a positive attitude and a high level of co-operation between the minerals industry and the communities they serve.

Planning Control

Planning permissions will usually be subject to a number of planning conditions designed to avoid, reduce and minimise unacceptable adverse amenity impacts of the development. These are imposed, as appropriate, to control the implementation, operation and restoration of the permitted development. Paragraph 206 of the National Planning Policy Framework sets out the six tests for planning conditions which are as follows:

1. necessary;
2. relevant to planning and;
3. to the development to be permitted;
4. enforceable;
5. precise and;
6. reasonable in all other respects.

Where the use of planning conditions to address unacceptable impacts is not possible, developments may be made acceptable in planning terms through the use of planning obligations. These are usually legal agreements (S 106) between the planning authority and those with an interest in a piece of land (i.e. developers) that help to ensure that wider environmental impacts, including those beyond the development boundary, can be resolved and managed.

Government guidance in the NPPF (paragraph 204) states that planning obligations should only be sought where they meet all of the following policy tests:

- a) necessary to make the development acceptable in planning terms;
- b) directly related to the development; and
- c) fairly and reasonably related in scale and kind to the development.

Planning obligations can also be used to secure some community benefits from the development – this may consist of infrastructure, landscaping or community facilities, which the developer will agree to provide as part of the proposal. These planning obligations are often only finalised once an application has been approved in principle. The Community Infrastructure Levy Regulations 2010 (Reg. 122) states that planning obligations must meet the following tests in order to be taken into account as a material consideration when determining a planning application of:

- a) Necessary to make the development acceptable in planning terms;
- b) directly related to the development; and
- c) fairly and reasonably related in scale and kind to the development.

Where permission is to be granted for a proposal to develop a minerals site, conditions will be imposed, or in appropriate circumstances, agreements entered into to secure any of the following:

- measures to mitigate amenity impacts to acceptable levels - including access/ road improvements, limits on vehicle numbers/movements, limits on outputs, visual intrusion, noise, illumination, odour, dust, and emissions (to air, water or soil), establishment of liaison meetings, etc.
- measures to protect, conserve and enhance ecological, geological, archaeological and other historic assets
- site design - including location, design and size of buildings, plant or structures, disposal and management of overburden and other extracted materials, landscaping, screening, protection of existing trees, hedgerows and shrubbery, flood prevention, protection of the water environment, use of sustainable drainage systems, protection of public rights of way, and where appropriate waste management considerations.
- site operations - including commencement and duration of the permission, materials to be processed and stockpiled, hours of working, vehicle movements, materials and soil management/movements, environmental monitoring/ control regimes, storage/containment of waste, site security etc.
- measures for reinstatement, decommissioning, restoration, aftercare/future management and monitoring of the site to bring it back to a beneficial and appropriate afteruse.

The Community Infrastructure Levy Regulations 2010 allows local authorities to charge developments to ensure that costs incurred in providing necessary infrastructure to support development can be funded (wholly or partly) by owners or developers. Such infrastructure would include, but may not be confined to, roads and other transport facilities, flood defences, schools and other educational facilities, medical facilities, sport and recreational facilities, open spaces and affordable housing. The charging authorities (i.e. the district and borough councils) wishing to charge a levy will need to produce a charging schedule setting out the levy rates for their area. Where no

charging schedule is in place, existing s106 contributions will continue to be applied where necessary.

Temporary permissions

In some circumstances, the Council may consider it appropriate to grant temporary planning permission for certain development proposals. This may be for operational reasons, or to monitor the impacts of the proposed development including any proposed mitigation before permanent permission is considered. Where the granting of temporary permission is deemed appropriate, the nature and scale of the operation, together with the location of the site, and the nature, extent and delivery of the proposed mitigation will be taken into account to determine the duration of the planning permission.

Pollution control matters

The Environment Agency (EA), as Waste Regulatory Authority, is concerned with controlling the pollution aspects of mining, mining related activities and waste facilities through Environmental Permitting. The EA is required to consult Mineral Planning Authorities when new permit applications are being considered for approval. Where a permit is required for land identified for a waste management use as part of or associated with mineral development and planning permission is required, the planning permission would need to be secured before the EA can grant the permit. The EA also controls certain aspects of the aftercare of mineral sites to prevent pollution such as the discharge of surface and/or ground water from a site. The roles of Mineral Planning Authorities and the EA in the regulation and enforcement of mineral sites are therefore separate but complementary. The Council will therefore need to liaise with the EA and other relevant bodies to ensure that their information and expertise is used for its decision making.

Mining legacy issues

The Coal Authority has defined Development High Risk Areas in Warwickshire to help planning authorities identify higher risk areas that may be affected by coal mining legacy issues. This may include abandoned coal mines; shallow coal workings (recorded and probable); mine entries; coal seam outcrops; mine gas sites and areas; recorded coal mining related hazards; fissures and previous surface mining sites. The Standing Advice Area is the remainder of the defined coalfield. In this area no known risks have been recorded, and as such presents a lower potential risk to new development proposals, although there may still be unrecorded issues in this area. Further information on these areas, and how mining legacy issues should be addressed, is available at

<https://www.gov.uk/guidance/planning-applications-coalmining-risk> assessments

Monitoring and enforcement

Mineral Planning Authorities have a responsibility for the monitoring of mineral planning permissions and conditions. If problems become apparent through site monitoring or site visits or where problems are drawn to the Council's attention between visits, then the Council will seek to resolve any issues as quickly as possible. Where breaches of planning control take place and there is a potential risk to the environment or communities, the Council will exercise its powers to serve

legal notices to remedy any breaches of planning control. It may use its powers to implement legal action to halt unauthorised development and where necessary, require appropriate remedial work to be carried out. Further details of the County Council's policies on monitoring and enforcement can be obtained from the authority's adopted enforcement plan.

Community liaison

Although mineral development can provide both economic and environmental benefits for an area, the nature of the facility or its operations can result in concern or anxiety within the local community. Operators of mineral sites will form part of that community, and as such are required to consult and inform members of that community.

Mineral operators and/or developers are strongly encouraged to participate in community liaison meetings, particularly where planning permission for mineral development is sought. Where planning permission has been granted, operators are strongly encouraged to take part in ongoing liaison meetings. Community liaison meetings will provide a valuable forum where the local community is informed of current progress of the site and how operations have complied with conditions attached to any planning permission. They can also provide an opportunity for constructive discussion about any concerns or problems so that they can be resolved to the satisfaction of both the local community and the mineral operator.

Development Management Policies

The following section provides the Development Management policies for assessing mineral development proposals. The policies should not be read in isolation and proposals will need to demonstrate that they comply with all the other relevant Core Strategy and Development Management policies.

Policy DM 1 - Protection and enhancement of environmental assets and landscapes

Mineral development should protect, conserve, and where possible enhance, environmental assets and landscapes (the natural environment) by ensuring that there are no unacceptable adverse impacts upon:

- a) the quality and character of the landscape;
- b) natural resources (including water, air and soil resources);
- c) biodiversity;
- d) geodiversity;

Mineral development proposals should demonstrate that nature conservation sites, species, and habitats (an indicative list of sites, species, and habitats is contained in Table 9.1) of international and national importance will be preserved or conserved and, where possible, enhanced. The level of protection to be afforded to the asset will be commensurate with its designation and significance.

Any mineral development proposals which would have adverse effects on the integrity of any European Site (Natura 2000 sites) (either alone or in combination with other plans and projects) will not be permitted unless:

- a) there are no alternative solutions; and
- b) there are imperative reasons of overriding public interest; and
- c) adequate compensatory measures can be taken to ensure the overall coherence of Natura 2000 is protected.

Proposals should also maintain or, where possible, enhance biodiversity and recognised sites, species, and habitats (an indicative list of sites, species, and habitats is contained in the table below) of sub-regional or local importance. The level of protection to be afforded to the asset will be commensurate with its level of importance and contribution to wider ecological or geological/geomorphological networks.

Planning permission will not be granted for mineral development which will result in the loss or deterioration of irreplaceable habitats, including ancient woodland and the loss of aged or veteran trees found outside ancient woodland, unless the need for, and benefits of, the mineral development in that location clearly outweigh the loss.

Mineral development proposals will be supported where they deliver a net gain in biodiversity and contribute to establishing a coherent and resilient ecological network subject to compliance with other policies in the development plan.

Planning permission for major minerals development in a designated AONB will be refused except in exceptional circumstances and where it can be demonstrated that it is in public interest.

Justification

Landscape

Warwickshire's landscape is varied and complex, although there are seven distinct landscape character areas; Arden, Dunsmore, Avon Valley, Feldon, Cotswolds, High Cross Plateau and Mease Lowlands. Part of the Cotswolds character area is designated as an Area of Outstanding Natural Beauty (AONB), a national designation to conserve the natural beauty of a landscape of recognised importance.

Mineral development can have adverse impacts on environmental assets and landscapes of international, national and local importance. Proposals for mineral development should protect and where possible enhance the quality and character of the countryside and valued landscapes. Developers will need to include an assessment of the adverse impacts upon local landscape character and that of adjacent areas that is appropriate to the scale and nature of the proposed development. Proposals should be designed having taken account of any relevant local landscape character assessments, guidelines (the latest Warwickshire Landscape Guidelines are available at <http://www.warwickshire.gov.uk/landscapeguidelines>) or design codes.

Designated Areas of Outstanding Natural Beauty (AONB) have the highest status of protection in relation to landscape and scenic beauty. For proposals that lie within or in close proximity to the

Cotswolds AONB, the development must preserve the quality and character of the area and comply with the necessary policies of the Cotswolds AONB Management Plan. Planning permission for major minerals development in a designated AONB will be refused except in exceptional circumstances and where it can be demonstrated that it is in public interest.

Trees

Section 197 of The Town and Country Planning Act 1990 places a general duty on local planning authorities to ensure, whenever it is appropriate, that in granting planning permission for any development adequate provision is made, by the imposition of conditions, for the preservation or planting of trees. The County Council values the important contribution that trees, hedgerows and woodland make to the environment. Developers are required to identify trees, woodland or hedgerows that may potentially be affected as part of a minerals proposal. Removal of trees, woodland or hedgerows should be avoided where possible. Areas identified for woodland conservation or enhancement and trees covered by Tree Preservation Orders (TPOs) will be afforded particular protection. A tree survey will often be required for proposals affecting trees or proposals to fell trees. Where trees, hedgerows or woodland are intended to be lost as part of a proposal, appropriate compensatory planting should be provided as part of the development. The County Council will support new woodland creation where this expands tree cover in the county.

Soil Resources

The NPPF states that the planning system should protect and enhance valued soils and prevent the adverse effects of unacceptable levels of pollution. This is because soil is an essential finite resource that provides for the growing of foods, timber and other crops, acts as a store for carbon and water, a reservoir for biodiversity and a buffer against pollution.

The soils in Warwickshire are valued as a finite multi-functional resource, which underpins the county's well-being and prosperity. Decisions made about mineral development and restoration will take full account of the impact on soils, their intrinsic character and the sustainability of the many ecosystems they deliver. An important consideration will be the permanency of the impact on the soils especially the most potentially productive soil on site from the proposed mineral development. A soil survey and agricultural land classification must be carried out as part of the preparation of mineral development proposals.

Measures must be taken to protect, conserve and manage soil resources during mineral working and prevent soil from being adversely affected by pollution.

Ecology and Geology

The Minerals Local Plan needs to safeguard Warwickshire's rich biodiversity and geodiversity. The NPPF states that local planning authorities should set out the strategic priorities for their area including strategic policies which deliver climate change mitigation and adaptation, conservation and enhancement of the natural and historic environment including landscape. Areas and features of designated international, national and local importance need to be identified and protected. Proposals will also need to seek to maximise opportunities for enhancement or improvement where possible.

The Mineral Planning Authority has a statutory duty under the Natural Environment and Rural Communities Act (2006) to have regard to the purpose of conserving biodiversity in exercising its functions.

Warwickshire is host to one site of international ecological importance; Ensor's Pool Special Area of Conservation, although there are 4 other designated sites within 15km of the Warwickshire boundary. These sites are afforded specific statutory protection, as set out in Circular 06/2005 (Biodiversity and Geological Conservation). In accordance with Articles 6.3 and 6.4 of the European Habitats Directive, where proposals may impact upon internationally designated sites, developers must undertake an appropriate assessment to demonstrate that the proposal, either alone, or in combination with other plans, policies or programmes would not have a significant adverse impact upon the integrity of such sites. Where a proposal may have adverse effects on the integrity of a site or sites designated as of international importance for nature conservation, planning permission will only be permitted where it is demonstrated there are no suitable alternatives and there are imperative reasons of overriding public interest. Any future planning applications that lie within a 2km buffer of the Natural England River Mease Catchment Risk Zone (based on the DMRB guidance) or a 3km buffer of Ensor's Pool (on the recommendation of the Environment Agency) should be considered for a project level HRA when further details of the precise scheme and proposals are made available for consideration of LSE on these SACs. Given the potential for any planning application within 3km of Ensor's Pool to also have in-combination LSE with the current submission version of the Nuneaton and Bedworth Plan 2015, any project level HRA for an application within 3km of Ensor's Pool should consider these in-combination effects against the version of the Nuneaton and Bedworth Plan available at the time of the planning application.

Nationally designated sites such as SSSIs are afforded high protection. There are currently 62 SSSIs within the County, with 20 of these designated for reasons of geological interest. Where a proposed development is likely to have an adverse effect on a SSSI (either individually or in combination with other developments), planning permission will not normally be granted. Where an adverse effect on the site's notified special interest features is likely, planning permission will only be granted where the benefits of the development at that site clearly outweigh the likely impacts on the site and its qualifying features, and any broader impacts on the national network of SSSIs. Where necessary, conditions and/or planning obligations will be used to mitigate the harmful effects of the development and, where possible, to ensure the conservation and enhancement of biological and geological/geomorphological assets.

Sites of designated sub-regional or local importance do not carry the weight of statutory protection. However, they can still play a valuable role in contributing to the biodiversity and geodiversity of an area, as well as improving environmental quality and contributing to climate change adaptation and mitigation. Where a mineral proposal may have an adverse impact upon any locally designated assets, measures should be implemented to reduce any adverse impact to an acceptable level (further guidance is set out in Circular 06/2005). In certain circumstances, there may be other material considerations or factors that may bring wider benefits that may override the preservation of the asset. Where significant adverse impacts on ecological assets cannot be avoided or appropriately mitigated, a developer would need to provide at least replacement habitats on, or in close proximity to the site, that as a minimum provide an equal benefit to those lost or affected. Such measures may include provision of new areas for biodiversity, or enhancing existing areas.

Biodiversity Offsetting has been adopted by the Coventry, Solihull and Warwickshire local authorities as a mechanism to compensate for residual loss to biodiversity resulting from a development after avoidance and mitigation measures have been implemented. It is intended that the mechanism will be used to protect, enhance and create a network of biodiversity assets identified in the sub-regional Green Infrastructure Strategy. Every development application is expected to submit a Biodiversity Impact Assessment calculation which demonstrates how no net loss to biodiversity can be achieved.

Planning permission will not be granted where mineral developments would result in the loss or deterioration of irreplaceable habitats (i.e. an ancient semi-natural woodland or the loss of aged or veteran trees) unless the need for, or benefits of the development in that location clearly outweighs the loss.

Mineral proposals should support the overarching aim and objectives of the County's Biodiversity Strategy and protect or enhance the priority species and habitats identified in the Warwickshire, Coventry and Solihull Biodiversity Action Plan. The ecological data held by the Warwickshire Biological Records Centre and the data collected as part of the Habitat Biodiversity Audit will provide a valuable evidence base for informing development control decision making. Mineral development should be designed:

- to improve the quality of priority habitats both within and outside sites where possible
- to increase the size of priority habitat areas where possible
- to create new areas of priority habitat where possible
- to enhance ecological connections between, or to join up, areas of priority habitat through the use of corridors, 'stepping stones' or other features
- Mineral development proposals should also support the overarching aim and objectives of any Local Geodiversity Action Plans covering the County. Where mineral proposals may provide opportunities for geological recording or potential for geo-conservation (e.g. retention of geological exposures during operations and on restoration or sites with temporary exposures during mineral extraction or engineering works), appropriate consultation should be undertaken with the County's Keeper of Geology (details available at www.warwickshire.gov.uk/museum).

	Sites designated for their nature conservation or geological/ geomorphological importance	Habitats	Species
International	Ramsar Natura 2000 (Special Areas of Conservation, Special Protection Areas)	Any internationally designated habitats	Any internationally protected species European protected species

National	National Nature Reserves Sites of Special Scientific Interest (SSSI)	Ancient Semi-Natural Woodland National BAP Habitats	National BAP species Notable and protected species identified under Section 41 of the Natural Environment and Rural Communities Act 2006
Local	Local Nature Reserves Local Wildlife Sites Local Geological Sites	Local BAP Habitats	Local BAP Species Species identified on local rare, endangered and vulnerable lists

Policy DM 2 - Warwickshire's Historic Environment & Heritage Assets

To safeguard the importance of Warwickshire's historic environment, mineral development should seek to conserve, and, where appropriate, enhance the significance of affected heritage assets and their settings (an indicative list of heritage assets is contained in the table below). This includes all heritage assets such as historic buildings, conservation areas, historic parks and gardens, archaeology and important landscapes and townscapes.

Applications affecting the significance of a heritage asset will be required to provide sufficient information to demonstrate how the proposal would contribute to the asset's conservation.

Warwickshire Historic Environment Record should be used to inform future mineral development including potential conservation and enhancement measures.

Great weight will be given to the conservation of Warwickshire's heritage assets. Any harm to the significance of a heritage asset must be justified. Proposals will be weighed against any associated public benefits; whether it has been demonstrated that all reasonable efforts have been made to conserve the asset or mitigate the extent of the harm; and whether the works proposed are the minimum required to secure the future of the asset.

Scheduled monuments and other designated archaeological sites of equivalent importance should be preserved in situ. Substantial harm or loss should be wholly exceptional and planning consent will be refused unless that substantial harm or loss is necessary to achieve substantial public benefits that outweigh that harm or loss. In these situations, provision should be made for excavation and recording with an appropriate assessment and evaluation. An appropriate publication/ curation of findings will be expected to be provided.

Justification

Heritage and Cultural Assets

The NPPF outlines that the historic environment and heritage assets should be conserved for the benefit of present and future generations. It sets out that applicants should identify all heritage assets that may be affected by a proposed development.

The Mineral Planning Authority has a duty under the Planning (Listed Buildings and Conservation Areas) Act 1990, to pay special regard to the desirability of preserving the setting of a listed building (S.66) and for special regard to be paid to the desirability of preserving or enhancing the character or appearance of a Conservation Area (S.72).

The County's Historic Environment Record available at <http://timetrail.warwickshire.gov.uk/> should be consulted as a minimum and where heritage assets and their settings may be affected, applicants should undertake an appropriate assessment of the significance of the impact. In assessing the impacts, the level of detail will need to be proportionate to the significance of the asset with appropriate expertise sought where necessary.

Where the development is likely to have a significant adverse effect on heritage or cultural assets of designated national importance or their settings planning permission will not be granted unless it is demonstrated through an appropriate assessment that the asset is adequately preserved, conserved or protected, or that any adverse impacts are adequately mitigated, or there is an overriding reason of national importance for the development to take place in that location that outweighs the adverse impacts on the asset.

Where an application site includes, or is considered to have the potential to include heritage assets with archaeological interest, applicants should submit an appropriate desk-based assessment and, where desk-based research is insufficient to properly assess the interest, a field evaluation. This information together with an assessment of the impact of the proposal should be set out in the application. It should detail the sources that have been considered and the expertise that has been consulted.

Table 9.2	
Type of designation	Heritage and cultural assets
International	World Heritage Sites Any heritage assets of international significance
National	Registered Historic Battlefields Registered Historic Parks and Gardens Scheduled Ancient Monuments Listed Buildings Conservation Areas
Local	Historic environment and heritage assets recorded on the County's Historic Environment Record and local lists

In certain situations quarrying activity could have a potential impact on groundwater flows and the chemistry of preserved organic and paleo-environmental remains. Where groundwater levels are lowered as a result of excavation this may result in the possible degradation of remains through dewatering, whilst increasing groundwater levels and the effects of rewetting could also be harmful. Developers of new sites and proposed extensions to existing sites will be expected to address these issues as part of the preparation of a planning application to work minerals through appropriate surveys and assessments and by changes to the design and operation of the scheme of working and restoration

Where the development is likely to have an adverse impact on important archaeological remains, planning permission will not be granted unless the nature and significance of the remains have been ascertained through an appropriate assessment and where adverse impacts are anticipated, adequate provision for preservation in situ, excavation or recording of the interest has been made in accordance with the significance of the asset.

Policy DM 3 - Green Infrastructure

Proposals for minerals development will only be granted where proposals do not compromise the integrity of strategic and local green infrastructure assets in connecting locations of natural and cultural heritage, green spaces, or biodiversity or other environmental interest in urban and rural areas.

The design and layout of and the operation and restoration of new mineral sites and the restoration of existing mineral sites should take account of, and provide opportunities to create, maintain and enhance green infrastructure provision, and improve accessibility to these assets. Where new green infrastructure assets are to be created details of the arrangements for the long term management of the asset will need to be provided prior to the determination of any planning application.

Justification

Green Infrastructure

Paragraph 114 of the National Planning Policy Framework (NPPF) says that local planning authorities should set out a strategic approach in their local plans, planning positively for the creation, protection, enhancement and management of networks of biodiversity and green infrastructure (GI)

The Planning Practice Guidance which supports the NPPF says that green infrastructure is a network of multifunctional green space, urban and rural, which is capable of delivering a wide range of environmental and quality of life benefits for local communities.

Green infrastructure provides multiple benefits including ecosystem services, at a range of scales, derived from natural systems and processes, for the individual, for society, the economy and the environment.

Paragraph 117 of the NPPF says that planning policies should:

- a) Plan for biodiversity at a landscape scale across local authority boundaries;

b) Identify and map components of the local ecological networks, including the hierarchy of international, national and locally designated sites of importance for biodiversity, wildlife corridors and stepping stones that connect them and areas identified by local partnerships for habitat restoration or creation.

The Warwickshire, Coventry & Solihull Sub-Regional Green Infrastructure Strategy takes an overarching, strategic approach to the definition and assessment of provision of strategic GI assets and has identified sub regional green infrastructure assets to enable decision makers to plan for landscape scale ecological networks at a local scale. The District and Borough Councils in Warwickshire have through the preparation of their local plans also identified GI assets which should be protected and areas where new GI assets should be provided. Sensitive mineral development could support the implementation of both strategic and local initiatives set out in the development plan for Warwickshire.

Mineral development has the potential if it is not carefully planned, operated and managed to compromise existing and proposed GI assets by carrying out development which would lead to the loss or deterioration of Warwickshire's natural capital and ecosystem services it provides through intensive and long term environmental disturbance.

Equally, mineral development has the potential to provide new GI assets during the operation and restoration of the site which could increase both the extent and quality of local GI networks. Green infrastructure requires sustainable management and maintenance arrangements to be put in place if it is to provide benefits and services in the long term and ensure operations deliver biodiversity net gains. The protection, enhancement and creation of green infrastructure should be considered at an early stage of a mineral development proposal. Planning conditions and planning obligations will be required to secure and fund new and existing GI assets both on site and, if necessary, offsite.

A large proportion of the County is covered by a swathe of designated Green Belt which is part of the County's GI. The fundamental aim of designating Green Belt is to prevent urban sprawl by keeping land permanently open. The NPPF states that there is a presumption against 'inappropriate development' and such development should not be approved, except in 'very special circumstances' where other considerations clearly outweigh the harm to the Green Belt. In the case of mineral extraction the NPPF says that this form of development is not inappropriate in the Green Belt provided it preserves the openness of the Green Belt and does not conflict with the purposes of including land in the Green Belt. The Courts have held that when considering the effect of the development on the openness of the Green Belt consideration should be given to not only spatial impacts but also visual impact. Green Belt policies as articulated in district and borough development plans will apply to minerals proposals.

Policy DM 4 - Health, Economy and Amenity - Minimising the Impacts of Mineral Development

Planning permission will not be granted for mineral development proposals which will have unacceptable adverse impacts on local communities (including adjacent land uses or occupiers) or their environment (including open spaces, sports and other recreational assets) , or on the economy (including tourism), either individually or cumulatively with other existing or proposed developments through any of the following:

- a) noise
- b) lighting/illumination
- c) vibration/blast vibration
- d) visual intrusion
- e) public health
- f) dust
- g) emissions to air and odours
- h) contamination of land
- i) water pollution
- j) road traffic
- k) loss of best and most versatile agricultural land
- l) land instability
- m) flooding

Mineral development should be undertaken in close consultation with local communities in order to address any valid local concerns raised by the proposals.

Justification

Mineral development can generate concerns from local communities relating to adverse impacts on health, local amenity and the economic viability of local businesses. The health and quality of life of local communities, and the activities of local businesses, will need to be safeguarded where they may be impacted by mineral development. There are measures that can be implemented that can seek to control certain impacts of mineral developments and their operations. However, planning permission will not be granted where specific, objectively proven impacts are demonstrated to have an unacceptable adverse impact on the viability of a nearby business, local amenity or the health of local communities. In terms of personal safety and perception of safety it is recommended that a contact point is made available to the local community by the site operators to provide a source of reassurance relating to any aspect of the mineral development and its operations.

Warwickshire is host to many important open spaces, sports, tourism assets and other recreational assets. Their existence, amenity and use will need to be safeguarded when planning mineral development.

Proposals will need to demonstrate that there will be no unacceptable adverse impact on open spaces, sports and recreational assets, particularly those identified in District Local Plans/Development Frameworks as of specific importance. Proposals should be appropriately designed to reduce adverse impacts as far as possible. Where a mineral development would result in an unacceptable adverse impact on any open spaces, sports, and recreational assets, appropriate mitigation and/or compensatory measures will need to be implemented to offset the adverse impacts. In assessing impacts upon such assets, the findings of relevant green infrastructure or open space, recreation and sports/playing field studies should be considered, with a particular focus on existing provision and identified future needs in terms of quantity, quality and accessibility. Several mineral developments on a site, or several in close proximity to one another, can result in an unacceptable total adverse impact on the environment or affected communities. Where mineral development is proposed on, or in proximity to another development, the cumulative impacts of all

developments in the locality must be taken into account. The types of impacts that may affect health, economic aspects and amenity are addressed below.

Noise

Mineral development are likely to produce noise from mineral extraction operations, movement and replacement of soils, material production processes, vehicles and heavy machinery, including reversing alarms, as well as from ancillary development and the transportation of material to and from mineral sites. Noise impacts should be appropriately mitigated to an acceptable level and informed by a noise assessment by an independent acoustician. Proposals should be designed to minimise, mitigate or remove noise at the source. Noise limits will be set at noise sensitive properties to protect amenity taking into account the nature, duration and type of activities/operations proposed and whether they are temporary or continuous.

Lighting/Illumination

Mineral development can produce light pollution, particularly where operations take place at night. Unacceptable levels of light pollution can have an adverse effect on the environment and the quality of life of local communities. Lighting or illumination impacts will need to be controlled to an acceptable level, with a lighting assessment undertaken where necessary that takes account of issues such as positioning, height, alignment, light intensity and period of use. Where necessary, the Council will use controls at the planning application stage to minimise any potential unacceptable adverse impacts but unacceptable adverse impacts can be limited by good design.

Vibration/Blast Vibration

Vibration is often linked with blasting at mineral sites particularly those producing crushed rock. There are three effects associated with blasting; namely, ground vibration, air overpressure and projected rock particles (fly rock). The extent of the disturbance is dependent on the type and quantity of explosives, degree of confinement, the distance to the nearest buildings, the geology and topography of the site and atmospheric conditions.

Proposals should aim to minimise vibration from blasting by using other forms of extraction techniques or by the careful design of the quarry, and controlling the number of blasts and quantity of explosives. Suitable limits and controls may need to be imposed to protect surrounding areas

Visual Intrusion

Mineral proposals will need to ensure that any visual impacts of the development are not of an unacceptable level. Visual impact is normally assessed from publicly accessible viewpoints of the development site. In assessing visual impact, all component parts of the development should be considered e.g. the quarry design and measures to screen the site, layout of the site, access routes, height and design of built structures and landforms, ancillary plant and infrastructure such as fences, and proposals for restoring the site to an appropriate after use.. Where necessary, proposals will need to demonstrate through a suitable assessment that any unacceptable adverse visual impacts of the development upon the amenity of local land uses and users and the general landscape are, or have been made to be, acceptable.

Public Health, Dust and Emissions to air and odours

Mineral development can impact upon local air quality through emissions (both from on-site operations and vehicle movements on and off-site), dust and in some circumstances odour. Air quality in Warwickshire is generally good, although there are localised air quality problems caused by road transport where levels of nitrogen dioxide and particles have exceeded pollutant levels. Subsequently, nine Air Quality Management Areas (AQMAs) have been declared in the County, although an AQMA is Henley-in-Arden in Stratford District is likely to be declared in the future.

Where necessary, proposals will need to demonstrate through a suitable assessment that any such impacts are of an acceptable impact. The Council will work closely with regulatory partners in the assessment of planning applications (and submitted assessments where necessary) and the imposition of conditions on planning permissions where required.

Mineral development can have an impact upon climate change through the production of greenhouse gas emissions therefore, proposals should make provision to reduce greenhouse gas emissions and impacts upon climate change.

Contamination of Land

It is possible in some circumstances for mineral operations and activities to contaminate land particularly where waste management operations and activities are also involved and this is an important issue that needs to be addressed. Measures should be taken to prevent the mobilisation and migration of contaminants on and off the site and to control emissions to water and land. Proposals for mineral operations and activities that would lead to unacceptable levels of contamination on and/or off site as part of the operation, restoration or aftercare of that development will not be permitted.

Best and most versatile agricultural land

The NPPF defines 'best and most versatile' agricultural land as land of grades 1 (Excellent), 2 (Very good) and 3a (Good) of the MAFF Agricultural Land Classification (ALC) system. The guidance says that local planning authorities should take into account the economic and other benefits of the best and most versatile agricultural land. It adds that where significant development of agricultural land is demonstrated to be necessary local planning authorities should seek to use of areas of poor quality land in preference to that of higher quality.

The latest ALC information indicates that 0.1% of land in the County is grade 1, 11.9% is grade 2, 74.5% is grade 3, 7.9% is grade 4 and 0.1% is grade 5. However, these statistics were created before the sub-division of grade 3 into 3a and 3b. Subsequently, the appropriate consultation should be undertaken with Natural England where necessary to establish the exact grade of the agricultural land to be affected (see Natural England Technical Information Note TIN 049).

Development (irreversible or permanent loss) on 'best and most versatile' agricultural land will only be permitted where it is demonstrated as part of the planning application that the development of the land outweighs the economic and other benefits of retaining the agricultural land. In determining whether proposals will lead to permanent or irreversible loss the Council will wish to see applicants carry out a rigorous sifting process addressing the following considerations the

availability of suitable alternative sites on lower quality land and where only sites on higher quality land are available whether all options for reinstatement without loss of quality have been considered. The Council will take into account whether there is overriding need for the development which could not be reasonably met from an alternative environmentally acceptable site, whether the safeguarding of high quality land as a natural resource is outweighed by other sustainability factors, and the appropriate and deliverable reclamation scheme will deliver very significant environmental or community benefits which may otherwise not readily be achievable in the absence of the scheme. In all cases, a detailed agricultural land assessment will need to be produced and submitted with the planning application.

Land instability

The NPPF seeks to ensure that unstable land is sufficiently taken into account in the planning process and outlines the ways in which land instability, either natural or man-made, should be treated when planning applications are to be considered.

Mineral development can cause the following land instability problems which could have environmental consequences:

- differential settlement of quarry backfill which will impact upon future after uses;
- mining subsidence;
- tip and quarry slope stability particularly in old colliery waste tips.

Mineral development should not create land instability both on and off site and during and after completion of mining operations. Any minerals won and worked or released by underground methods should ensure that adequate precautions are taken to avoid, minimise subsidence problems on the ground surface.

Mineral waste tips must be designed, constructed, operated and maintained so that instability or movement likely to cause risk to the health and safety of any person is avoided.

Developers are strongly encouraged to engage in pre-application consultation with the planning authority so that land stability issues can be discussed at the outset and resolved where necessary prior to the registration of the application.

The Coal Authority has defined Development High Risk Areas in Warwickshire to help identify higher risk areas that may be affected by coal mining legacy issues. The Standing Advice Area is the remainder of the defined coalfield. In this area no known risks have been recorded, and as such presents a lower potential risk to new development proposals, although there may still be unrecorded issues in this area. Further information on these areas, and how mining legacy issues should be addressed, is available at <https://www.gov.uk/guidance/planning-applications-coalmining-risk-assessments> The prior removal of minerals, where practicable and environmentally feasible, can remove or treat land instability problems both on site and on adjoining land.

Economy

The NPPF recognises that minerals are essential to support sustainable growth and out way of life through the provision of materials for infrastructure, buildings, energy and goods. Sand and gravel operations provide a wide range of construction materials for local markets such as for new and existing housing and the provision of new roads. Aggregate producing companies come in many sizes from multinationals that operate globally to family firms working locally and they also provide employment and goods and services that can contribute to the local economy.

However, mineral operations and the transport of minerals can cause adverse environmental impacts and these impacts can sometimes affect the operation and use of local business premises if not managed properly. Such impacts can include increased noise, dust and vibration and contamination and pollution of water and land and also disruption and congestion on local roads.

Policy DM 5 - Sustainable Transportation

Developers must demonstrate that a proposal facilitates sustainable transportation by:

- a) considering alternatives to road transport;
- b) minimising transportation distances;
- c) minimising the production of carbon emissions; and
- d) Where road is the only viable method of transportation, demonstrating that there is no unacceptable adverse impact on the safety, capacity and use of the highway network.

Where appropriate, applications for mineral development will need to be accompanied by a Transport Assessment which demonstrates that:

- the proposed development has direct access or environmentally acceptable links to the routes set out on the Warwickshire Advisory Lorry Route Map and the strategic highway network;
- the proposal seeks to keep the transportation of minerals, mineral derived products and wastes to a minimum;
- the highway network is able and suitable to accommodate the additional number of movements;
- the proposal (either alone, or in combination with other developments) will not result in an unacceptable detrimental impact on road safety;
- the proposal has adequate arrangements for parking, loading/unloading and vehicle movements within the site;
- the proposed access arrangements are safe and convenient for users;
- the transportation of minerals, mineral derived products and wastes (either alone, or in combination with other developments) will not result in an unacceptable impact on national and/or local environmental designations, the environment or noise sensitive local communities
- any proposed lorry routeing arrangements can be managed and enforced; and
- any necessary mitigation or compensatory works directly related to the development have been identified and that provision has been made for the carrying out of the works and their funding.

Justification

The NPPF says that developments that generate significant movement should be located where the need to travel will be minimised and the use of sustainable transport modes can be maximised. It also says that mineral planning authorities should ensure that permitted operations do not have unacceptable adverse impacts on the natural and historic environment or human health from traffic.

The majority of mineral, mineral derived products and wastes movements are currently by road which can have an adverse impact on local communities and the environment through noise, vibration, air pollution, carbon emissions, visual intrusion, highway/public safety and impacts upon local amenity. Where proposed developments are likely to have impacts on the transport network, applicants are strongly encouraged to engage with the appropriate transport authorities at the earliest possible stages of development. This will ensure that developments can be designed to avoid impacts at the outset, or to consider mitigation measures at the earliest possible stages. Such transport authorities may include the following (as appropriate): the Highways England the county Highways Authority, and the Warwickshire Police Road Safety Unit, Network Rail; or Canal and Rivers Trust.

The Warwickshire Advisory Lorry Route Map available at <https://apps.warwickshire.gov.uk/api/documents/WCCC-764-38> sets out the best available routes for heavy goods vehicles to use. Sites will not be encouraged where access is required through residential areas, sensitive land uses or via roads which are minor or considered unsuitable by the Highway Authority for HGV use.

A comprehensive Transport Assessment (TA) will need to be submitted with a planning application where a development is likely to have significant transport and related environmental impacts. The TA should identify the measures that will be taken to adequately mitigate or overcome the anticipated transport impacts of the proposal, and improve accessibility and safety for all travel modes. Where a development will have relatively limited transport implications, a Transport Statement may be appropriate. This will be the case where a proposed development is expected to generate relatively low numbers of trips or traffic flows, with minor transport impacts.

Applicants are strongly encouraged to undertake pre-application discussions with the relevant Highway Authority (Highways England is the responsible highway authority for trunk roads and trunk motorways and the County Council is the highway authority for all other roads in Warwickshire) to establish whether a TA is required, and if so, the scope of the assessment required to consider the transport and related environmental impacts of the proposed development.

The TA should include routing, on-site and off-site parking, hours/days of movement, driving conduct and complaints procedures and where appropriate anticipated traffic impact on the Strategic Road Network including any necessary mitigation. TAs should be incorporated into pre-application discussions and/or planning agreements and as part of the mitigation measures where necessary. Many impacts of transporting minerals, mineral derived wastes can be controlled through the use of appropriate conditions attached to a planning permission. However, developers will be encouraged to consider routing restrictions controllable by agreement to ensure the potential transport impacts of mineral development are minimised.

Where the road network is not adequate for the amount or type of movements, legal agreements will be sought to achieve appropriate improvements to mitigate the adverse impacts. Routing agreements will also be used where necessary to ensure that adequate/appropriate routes are used to prevent unacceptable adverse impacts upon local communities. Restrictions on the number/type of movements or outputs/sales may also be applied where necessary where road network improvements may have an unacceptable adverse impact on areas of designated landscape importance e.g. the Cotswold AONB or Conservation Areas or other environmentally sensitive areas.

Where minerals, mineral derived products and wastes are to be transported to or from the site, Lorries should be sheeted or netted to prevent the deposit of materials on the public highway. Operators should also encourage drivers not to arrive at the sites before the start of operations, as this can often cause significant disturbance to local residents at an early time of the day.

The NPPF advises that applicants are encouraged to submit travel plans for developments where there are likely to be significant transport implications from certain types of development. Travel plans help to raise awareness of the impacts of travel decisions, and they can help to deliver sustainable transport objectives through facilitating reductions in car usage, increasing use of public transport, reducing traffic speeds, improving road safety and providing environmentally friendly transportation of materials. Where travel plans are to be submitted alongside a planning application, they should be produced in consultation with the relevant highway authority and local transport providers.

The Warwickshire Local Transport Plan 3 (LTP3) provides information on how the County Council and its partners intend to improve transport and accessibility in Warwickshire for the period up to 2026. The LTP3 provides an important transport context for the Minerals Local Plan and applicants may find that the study and the supporting evidence may help when producing transport information for a planning application.

Policy DM 6 - Public Rights of Way and Recreational Highways

Mineral development proposals will only be granted where it is demonstrated that there will be no unacceptable adverse impact upon public rights of way and recreational highways, unless suitable permanent diversions or alternative routes are provided. Temporary diversions or alternatives may be required during construction or restoration works.

Justification

Public Rights of Way and Recreational Highways

Public Rights of Way (PRoWs) are public highways that are protected by law and include footpaths, bridleways, restricted byways and byways open to all traffic (BOAT). The 'Definitive Map and Statement of Public Rights of Way' (DMS) is a legal document and sets out conclusive evidence of these routes. However, checks should be undertaken with the Warwickshire County Council Rights of Way Team to confirm the location and true widths of PRoWs as some additional routes may not be shown on the published version of the DMS.

Recreational highways are unclassified roads (UCRs) with an unsealed surface in the County which form valuable links in the recreational highway network. Because they are highways recreational UCRs are managed in the same way as the rights of way network but mainly for recreational use.

A PRoW or recreational unclassified road (UCR) will be affected by mineral development where it:

- a) crosses or is adjacent to an application site
- b) is to be used for site access (whether temporary or permanent)
- c) Will be crossed by an access road (whether temporary or permanent).

Applicants are required to identify all relevant PRoWs that may be affected by the development following the appropriate consultation with the Warwickshire County Council Rights of Way Team. Where mineral development is likely to affect a PRoW, the Rights of Way Team should be consulted at the earliest opportunity as part of any pre - application discussions. Where a PRoW may be adversely impacted during the development, suitable diversions or alternative routes (which are not inconvenient to users) should be provided. Where appropriate, new mineral development should protect and enhance Public Rights of Way and access. Proposals should seek to comply with the policies set out in the Council's latest Rights of Way Improvement Plan (Rights of Way and Recreational Highway Strategy 2011 -2026) available at www.warwickshire.gov.uk/rowip (ROWIP).

Enhancement may be achieved by improvements to the network through practical works on existing routes, contributions to longer term management of affected routes, new paths or upgraded paths or cycle tracks particularly those providing better and/or additional links to the network or provision of promotional materials Providing greater and better access to the countryside in general may also be considered as an enhancement.

Policy DM 7 - Flood Risk and Water Quality

Planning permission will not be granted unless it can be demonstrated that the development will not increase the risk of flooding elsewhere throughout the lifetime of the development. Ancillary activities such as processing, vehicle handling, and stockpiling and any noise/amenity bunds must not be located in the functional floodplain Zone 3b. A restoration plan must be provided and every opportunity to reduce flood risk management must be taken.

Planning permission will not be granted where mineral development proposals would have an unacceptable adverse impact on water quality or achieving the targets of the Water Framework Directive.

Justification

Water and Flood Risk

Climate change is likely to lead to increased and new risks of flooding within the lifetime of planned developments. Mineral development needs to be appropriately planned and designed to avoid, reduce and where necessary manage flood risk. However, the restoration of existing and new mineral workings in flood risk areas to increase flood water storage and enhance the natural environment can sometimes be beneficial.

The County's updated Strategic Flood Risk Assessment (SFRA) and the Local Flood Risk Management Strategy and Surface Water Management Plan should be consulted as part of the preparation of any planning application for mineral development as it provides the basis of the Sequential Test through providing information on the probability of flooding, taking into account other sources of flooding and the impacts of climate change.

An appropriate Site Specific Flood Risk Assessment is required for all planning application proposals that lie within flood zones 2 and 3, and proposals of over 1 hectare in Flood Zone 1, in accordance with national guidance. Where new development may be vulnerable to flooding, the development should be designed to be appropriately flood resistant and resilient, with safe access and egress during flood events. National guidance says mineral workings can be large and may afford opportunities for applying the sequential approach at the site level. It may be possible to locate ancillary facilities such as processing plant and offices in areas at lowest flood risk. Sequential working and restoration can be designed to reduce flood risk by providing flood storage and attenuation.

Proposals for minerals development should seek to use water efficiently during the lifetime of the operation to avoid water shortages and environmental degradation. If water is required for on-site mineral processing and the intention is to source it from groundwater or surface water then an abstraction licence will be required from the Environment Agency. An abstraction licence may also be required for dewatering sites to win and work any minerals.

Minerals development should maximise opportunities to reduce the causes and impacts of flooding, both on and off site, through incorporating measures such as Sustainable Drainage Systems (SuDS). The use of SuDS such as ponds, reed beds and other landscape features that help to reduce flood risk, improve water quality and increase biodiversity will be supported.

Ancillary activities such as processing, vehicle handling, and stockpiling and any noise/amenity bunds must not be located in the floodplain. A restoration plan must be provided and every opportunity to reduce flood risk management must be taken e.g. local bunding, increasing the capacity of lakes left in restored workings to act as controlled flood storage.

Water Quality

The County Council is a co-deliverer of the Water Framework Directive. The Water Framework Directive sets a target of aiming to achieve at least 'Good Status' in all water bodies by 2015. Water quality will be a significant planning concern if mineral workings indirectly affect water bodies. Mineral development activities can potentially have an adverse impact on ground and surface water quality unless they are appropriately planned, designed and monitored throughout the life of the development. Under the Pollution Control regime, the Environment Agency is responsible for regulating mineral development activities to ensure that water quality meets set standards to prevent harm to the environment or human health.

New proposals should include an assessment of how the proposed development would affect a relevant water body in a river basin management plan and how the impacts will be mitigated. The impacts may include sub-water table working, the replacement of natural permeable materials with

potentially poor quality and lower permeability imported materials and the storage and use of hazardous substances. Any assessment should therefore focus on the following elements:

- a) Identifying where there might be impacts on water bodies;
- b) Seek options to reduce impacts on water bodies;
- c) Require all practicable mitigation;
- d) Prevent deterioration of current water body status;
- e) Take listed measures in river basin management plan (RBMP) into account;
- f) Consider alternative development options that would avoid or reduce impacts on water bodies;
- g) Seek opportunities to improve water bodies;
- h) Consider objectives in RBMP's for protected areas;
- i) It should be noted that water bodies include surface watercourses and underground aquifers.

Proposals for mineral development will only be permitted where it can be demonstrated that provision has been made to protect and where appropriate, enhance ground and surface water. Where mineral development may have an unacceptable adverse impact on surface or groundwater quality, planning permission will not be granted.

Policy DM 8 - Aviation Safeguarding

Planning permission will not be granted for mineral development proposals where they would have an unacceptable adverse impact on aviation safety.

Justification

Civil and military aerodromes and technical sites must be safeguarded in accordance with the Town and Country Planning (Safeguarding Aerodromes, Technical Sites and Military Explosives Storage Areas) Direction 2002. This seeks to ensure that their operation and development are not inhibited by:

- buildings, structures, erections or works which infringe protected surfaces, obscure runway approach lights or have the potential to impair the performance of aerodrome navigation aids, radio aids or telecommunication systems;
- lighting which has the potential to distract pilots; or
- developments which have the potential to increase the number of birds or the bird hazard risk such as the restoration of mineral workings by infilling with wastes

Where mineral development proposals are located within 13km of officially safeguarded civil aerodromes, 8 miles of military aerodromes or delineated safeguard areas for NATS Technical Sites, the appropriate consultation must be undertaken in accordance with Town and Country Planning (Safeguarding Aerodromes, Technical Sites and Military Explosives Storage Areas) Direction 2002. In the event that the mineral development results in unacceptable adverse impacts on aviation safety planning permission should not be granted. Policy DM 9 - Reinstatement, reclamation, restoration and aftercare Planning permission for mineral development will not be granted unless satisfactory provision has been made for high quality restoration and aftercare of the site, for the steps to be taken to bring the land up to the required standard for the intended after use and for the future

management of its after use including securing and making as safe as possible the site when mineral operations cease ; and unless it has been demonstrated that the site will be reclaimed at the earliest opportunity y.

In determining planning applications the Council will take into account the extent to which the proposals can deliver additional restoration benefits to the local community and the environment such as net gains in biodiversity.

Justification

The Minerals Local Plan seeks to ensure that the highest possible standards of restoration which contributes to achieving local and national objectives are delivered at the earliest opportunity in Warwickshire.

Planning permission will not be granted unless satisfactory information is submitted to demonstrate that provision will be made for high quality restoration and/or aftercare of a site and where necessary and appropriate long term management of its intended after use. For uses of land such as nature conservation the level of aftercare and future management will be higher and will be required for a longer period of time. Such extended aftercare will be secured by a planning obligation secured before planning permission is granted.

Restoration schemes should be produced to take account of the unique characteristics of the site to clearly demonstrate that the overall objectives of the scheme are practically achievable. This will include (as appropriate):

- a) the intended after use;
- b) phasing;
- c) storage and management of soils/overburden;
- d) filling operations (if required);
- e) final landform and levels;
- f) vegetation establishment;
- g) removal of site infrastructure;
- h) landscaping and tree planting;
- i) provision of surface features; and
- j) Aftercare and long term management and monitoring.

For mineral extraction sites where expected extraction is likely to last for many years it may prove beneficial for the principles of the restoration or after-use to be established at the planning application stage, rather than detailed schemes drawn up at the outset. This is because there may be technological/operational innovation or policy changes over the period of operation. In these cases, a more flexible approach may lead to a restoration proposal that is both beneficial and deliverable. This is particularly important for large sites and areas where workings are concentrated such as in river valleys.

Restoration of sites should normally be undertaken in phases (progressive) to minimise local disturbance and impacts and to minimise the area of land required at any one time by the mineral working. Where proposals come forward to restore a site to lower than original levels consideration will be given to the landscape impacts of the proposed final restored level and whether it is

appropriate in the local landscape. However it is recognized that Best and Most Versatile agricultural land can be restored/enhanced using low level land techniques and without having adverse impacts on visual appearance. By focussing on restoring part of the site to the best and most versatile agricultural land the remainder can be left for nature conservation and recreational uses.

Carefully prepared and designed mineral development proposals offer the opportunity to provide restoration benefits to the local community and the environment through such things as net gains in biodiversity, green infrastructure and additional woodland planting. The Council will support proposals for the development of bio-secure sites for the possible re- introduction of white clawed crayfish.

Extensions to mineral workings either laterally or by deepening can provide opportunities to delay the restoration of an existing site creating the potential for significant environmental harm. Extensions to existing mineral working will not be permitted unless it can be demonstrated that the majority of the existing site cannot be restored to its intended after use(s) due to practical or technical reasons.

It is recognised that the mineral developments can pose a risk to safety after their working life has ended so it is important that sites are secured and made as safe as possible when mineral operations cease.

Policy DM 10 - Mineral Safeguarding (see also Policy MCS 5)

Non-mineral development, except for those types of development set out in Appendix 3, will not be permitted if it would needlessly sterilise unnecessarily sterilise important mineral resources or would prejudice or jeopardise the use of existing mineral sites or existing and future mineral infrastructure unless:

- a) the prospective developer has produced evidence prior to the determination of the planning application that clearly demonstrates that the mineral concerned is no longer of any value, or potential value or the minerals infrastructure is no longer needed; or
- b) it would be inappropriate to extract mineral resources at that location, with regard to the other policies in the Plan: or
- c) it can be clearly demonstrated that the mineral will be extracted prior to the development taking place; or
- d) the non-mineral development is of a temporary nature and can be completed and the site restored before the mineral needs to be extracted; or
- or
- e) the merits of the development clearly outweigh the need for safeguarding.

Proposals for the extraction of minerals prior to, or as part of, non-mineral development will be supported where:

- a) it is practicable and will not result in the approved non-mineral development being incapable of implementation and development; and
- b) it is environmentally feasible; and

- c) it can be carried out without any unacceptable adverse impacts; and
- d) it can be carried out within a reasonable timescale: and
- e) proposals are submitted which clearly demonstrate that the site will be restored should the approved non-mineral development be delayed or not implemented.

Justification

This policy sets out how non-mineral development proposals will be assessed with regard to the safeguarding of existing and future mineral sites and mineral infrastructure in Warwickshire and where proposals for prior extraction of minerals will be supported.

Other forms of development (new and/or redevelopment) may impact on minerals development, either through surface development sterilising mineral resources or encroachment of incompatible development affecting the operational viability of the minerals development. As such the existence of existing and future mineral sites and minerals infrastructure should be taken into consideration with regard to the determination of proposals for other forms of development.

Warwickshire contains many mineral resources including sand and gravel, hard rock, brick-making clay, coal; cement raw materials and building stone. The NPPF states that Mineral Planning Authorities (MPAs) should define Minerals Safeguarding Areas (MSAs) in their Local Plans to ensure that mineral resources are adequately and effectively considered in land use planning decisions so that they are not needlessly sterilised. Mineral safeguarding helps to protect Warwickshire's viable mineral resources. Minerals are non-renewable resource that can only be worked where they are found.

Non-mineral developers are required to check whether proposals lie within the County Council's delineated MSA, available at www.warwickshire.gov.uk/msa before submitting any planning application for non-mineral development to the relevant local planning authority. The MSAs have been prepared on the basis of the best information available. They were produced as part of a report produced on behalf of the MPA by the British Geological Survey which mapped the extent of mineral resources in the County, the latest guidance and information about those resources and other data and information available to the MPA. From time to time the MSAs may be reviewed and updated as mineral resources become exhausted or as the result of exploratory or detailed drilling as part of the preparation of planning application for minerals development or a mineral survey and assessment report submitted with a planning application for non-mineral development.

There will be occasions where the resource extends beyond the mapped information so developers should always check to see if there is any further up to data available.

Consultation Process.

The local planning authority (LPA) will consult the MPA on the non-mineral development planning application and not determine the planning application until it has given the MPA the opportunity to consider the implications for safeguarding the mineral resource and/or mineral infrastructure. The LPA may involve the MPA in pre-application discussions where the opportunity to discuss safeguarding issues can be addressed in the non-mineral development planning application.

Proposals for non-mineral development within a MSA except for those types of development described in Appendix 3 in the Plan must demonstrate that the sterilisation of mineral resources of local, regional or national importance will not occur as a result of the development, and that the development would not pose a serious hindrance to future winning and working of minerals. In the case of mineral infrastructure the non-mineral development must demonstrate that it will not constrain or hinder the existing and potential use of the infrastructure site. In order to avoid unnecessary consultations by other local planning authorities, Appendix 3 lists types of applications for proposed non –mineral developments which in the opinion of the Council are unlikely to conflict with the aims of Policy MCS5 and are excepted from its scope.

The non- minerals developer should carry out a mineral assessment as part of the preparation of their planning application and submit it to the County Council at the same time as submitting to the local planning authority to minimise any delays. The assessment should include site specific geological survey data to establish the existence or otherwise of a mineral resource of economic importance (such as nature, extent, type, quantity of the reserve and overburden to reserve ratio). When determining the extent of the resource that could be removed the emphasis should be on a sequential approach starting with the full removal of the mineral resource before moving then onto limited or partial removal and finally incidental removal. Consideration should be given to both the use of the resource within the development and release to the wider market. By changing the design of the non-mineral development it may be possible to increase the amount of resources which can be released and not sterilised.

The MPA will consider the mineral assessment report and determine if sterilisation is likely to occur and whether prior extraction is likely to meet the requirements set out in this Policy. The MPA may consult the local minerals industry as part of its assessment work or seek independent expert advice as appropriate. In the case of minerals infrastructure the MPA will determine if the non-mineral development is likely to constrain or hinder the existing and potential use of the infrastructure site. As part of this process the County Council may consult the operator/landowner of the relevant infrastructure site affected and will take account any comments they may make before finalising and submitting their views to the relevant LPA.

If the MPA determines that sterilization is not likely to occur then it will notify the relevant LPA before they determine the non-mineral development proposals. If the MPA believes that sterilisation is likely to occur and prior extraction of all or most of the affected resource is feasible then the MPA will object to the non-mineral development before determination.

The MPA will seek the submission of a separate planning application for prior extraction of the full mineral resource and will notify the relevant LPA and non-mineral developer accordingly. For all other prior extraction proposals (limited or partial or incidental) the MPA will seek the imposition of a planning condition on the non-mineral development permission requiring the submission and approval of a scheme of mineral removal or Construction Management Plan.

The MPA will determine the planning application for prior extraction in accordance with policies in this plan. In the case of mineral infrastructure the County Council will seek in the first instance an amendment to the non-mineral development to prevent any constraint or hindrance of the existing and potential use of the infrastructure site. If that is not possible then the County Council will object

to the non-mineral development and notify the local planning authority and the developer accordingly.

Prior extraction will be supported where it is practicable, where it will not prevent the non-mineral development taking place, is environmentally feasible, will not cause any unacceptable adverse impacts, can be carried out within a reasonable timescale and if the non-mineral development is delayed the worked out site can be beneficially restored.

Policy DM 11 - Carbon Emissions and Resource Efficiency

Mineral development that reduces overall carbon emissions and improves resource efficiency during construction, operation and restoration will be supported subject to compliance with other policies in the development plan.

Justification

The mineral sector must make a contribution to meeting carbon reduction targets set out in the UK Low Carbon Transition Plan and the Strategy for Sustainable Construction. Mineral development must be carried out in such a way that reduce embodied and operational carbon emissions associated both with site/plant and transportation of materials and products during the life cycle of the development (construction, operation and restoration). Promotion of renewable and carbon energy and energy efficiency are key to achieving this.

Resource efficiency is about getting the most out of the finite resources and minimizing waste; this also brings benefits in terms of carbon emissions reduction. Planning applications for mineral development must demonstrate how Carbon Emissions and Resource Efficiency are to be achieved.

Policy DM 12 - Overall Assessment of Proposals

Proposals should clearly demonstrate that any adverse impacts have been considered under the following mitigation hierarchy:

Level 1 avoided; or

Level 2 satisfactorily mitigated where all avoidance has been implemented as far as possible; or

Level 3 adequately compensated for either onsite or offsite (as a last resort where any adverse impacts cannot be avoided or satisfactorily mitigated).

All opportunities to satisfy Stage 1 and Stage 2 should be exhausted before proceeding to the next stage.

Justification

As part of the County Council's overall assessment of the suitability of the proposals it will determine if they can clearly demonstrate that any adverse impacts have been considered against the mitigation hierarchy set out in this policy.

10 Implementation

As the Minerals Planning Authority, Warwickshire County Council will play a leading role in implementing the policies of this Minerals Plan in a variety of ways. This will include:

- a) determining planning applications in accordance with the Development Plan, government policy and guidance and other material considerations;
- b) attaching conditions to planning permissions where appropriate;
- c) seeking planning obligations or legal agreements with developers where necessary;
- d) enforcing breaches of planning control where necessary;
- e) encouraging co-operation and dialogue between the minerals industry and communities by facilitating consultation and participating in liaison meetings;
- f) consulting and engaging a wide range of stakeholders including other County Council departments, District and Borough Councils, Parish Councils, adjoining Minerals Planning Authorities, the West Midlands Aggregate Working Party, the Environment Agency, Natural England, English Heritage, the Health and Safety Executive, DEFRA, the Highways Agency and other interest groups;
- g) working collaboratively with the minerals industry and issuing advice, guidance or supplementary policy documents where required.

Monitoring

Warwickshire County Council has a legal duty to monitor policy implementation as part of its Annual Monitoring Report (AMR). The table below provides a proposed monitoring framework to assess the implementation of the policies by establishing performance indicators, targets and possible sources of information. In reviewing policy implementation on an annual basis (as a minimum), it will allow the Council to gather information to shape future policy formulation and decision making, to examine the effectiveness of its policies and, where necessary, to identify policy changes or interventions.

Table 10.1				
Policy	Objectives Achieved	Performance Indicator	Target	Information Source
S0 S1 - S9	i	1. Amount of sand and gravel permitted. 2. Number of sites producing sand and gravel. 3. Permissions within Allocated Sites or	. Planned level of provision met. 2. Planned production levels maintained during plan period. 3. All sites permitted	1. Planning Applications/Annual Monitoring Report(AMR) 2. Aggregates Working Party (AWP) Annual Surveys/Annual Mineral Raised Inquiry (AMRI) returns/Local Aggregates

		outside allocated sites.	during plan period	Assessment (LAA). 3. Planning Applications/AMR
MCS1	i	<p>1. Amount of recycled and secondary aggregates produced.</p> <p>2. Sales of sand and gravel comparing with rolling 10 and 3 years sales averages.</p> <p>3. Reserves of sand and gravel, crushed rock and clay</p>	<p>1. Sales of recycled and secondary aggregates</p> <p>2. Sales of sand and gravel to meet planned level of provision.</p> <p>3. Maintain landbanks of permitted reserves – Sand Gravel - 7 years. Crushed Rock - 10 years and 25 years for Brick Clay</p>	1/2/3. AWP Annual Surveys/LAA
MCS2	i	<p>1. Sales of sand and gravel.</p> <p>2. Reserves of sand and gravel.</p> <p>3. Permissions within Allocated Sites.</p> <p>4. Number of sites permitted outside allocated sites.</p>	<p>1. Planned level of provision met.</p> <p>2. Sand and Gravel landbank - 7 years.</p> <p>3. All sites permitted during plan period.</p> <p>4. No permissions granted unless the material planning benefits outweigh the material planning objections.</p>	<p>1/2 AWP Annual Surveys/LAA</p> <p>3/4. Planning Applications/AMR</p>
MCS3	i	<p>1. Sales of crushed rock.</p> <p>2. Reserves of crushed rock.</p> <p>3. Permissions granted.</p>	<p>1. Planned level of provision met.</p> <p>2. Crushed rock landbank - 10 years</p> <p>3. No permissions in the Cotswold AONB</p>	<p>1/3. Planning Applications/AMR</p> <p>2. AWP Annual Surveys/LAA</p>

MCS4	iii	<ol style="list-style-type: none"> 1. Number of proposals granted 2. Amount of new capacity provided. 	1/2. All proposals in line with policy.	1. Planning Applications/AMR
MCS5	ii	<ol style="list-style-type: none"> 1. Extent of MSAs sterilised by non - mineral development. 2. Number of objections made by WCC to proposals which sterilise mineral resources of economic importance. 3. Number of mineral infrastructure sites adversely affected by non -mineral development 	<ol style="list-style-type: none"> 1/2. No sterilisation of mineral resources contrary to requirements of policy. 3. No loss of minerals infrastructure sites contrary to requirements to policy. 	1/2/3. Planning Consultations/AMR
MCS6	i, viii	<ol style="list-style-type: none"> 1. Production of clay 2. Reserves of Clay 3. Permissions for long term stockpiling of clays 4. Supplies to works outside the county 	<ol style="list-style-type: none"> 1. Planned level of provision met 2. Clay landbank – 25 years 3. No target 4. No target 	<ol style="list-style-type: none"> 1/2. Annual survey by WCC/AMR. 3. Planning Applications/AMR 4. Monitoring surveys with other MPAs
MCS7	i, viii	1. Approved proposals meet criteria	1. All proposals in line with policy.	1. Planning Applications/AMR
MCS8	i	1. Approved proposals meet criteria	1. All proposals in line with policy.	1. Planning Applications/AMR
MCS9	i	1. Approved proposals meet criteria	1. All proposals in line with policy.	1. Planning Applications/AMR
MCS10	i	1. Approved proposals meet criteria	1. All proposals in line with policy.	1. Planning Applications/AMR

DM1, DM2, DM3	iv, v	<p>1. Approved proposals meet environmental criteria.</p> <p>2. Mineral development carried out in close consultation with local communities.</p> <p>3. Number of Site Liaison Committees</p>	<p>1. All proposals in line with policy.</p> <p>2. All proposals subject to early consultation with local communities.</p> <p>3. No target</p>	<p>1/2. Planning Applications.</p> <p>3. AMR</p>
DM4	v, x	<p>1. Approved proposals meet environmental criteria.</p> <p>2. Number of applications refused due to adverse health, amenity, economic or environmental effects</p>	<p>1. All proposals in line with policy.</p> <p>2. All proposals accompanied by Transport Assessment where appropriate</p>	<p>1/2 Planning applications/AMR</p>
DM5	vi	<p>1. Approved proposals meet criteria.</p> <p>2. Number of Transport Assessments submitted.</p>	<p>1. All proposals in line with policy.</p>	<p>1/2 Planning Applications/AMR</p>
DM6	iv, v	<p>1. Approved proposals meet criteria.</p> <p>2. Length of public rights of way/recreational highways lost and/or created</p>	<p>1. All proposals in line with policy.</p> <p>2. No loss of public rights of way/recreational highways.</p>	<p>1/2 Planning Applications/AMR</p>
DM7	ix	<p>1. Approved proposals meet criteria</p>	<p>1. All proposals in line with policy.</p>	<p>1. Planning Applications/AMR</p>
DM8	iv, v	<p>1. Approved proposals meet criteria</p>	<p>1. All proposals in line with policy.</p>	<p>1. Planning Applications/AMR</p>

DM9	vii	1. Approved proposals meet criteria	1. All proposals in line with policy.	1. Planning Applications/AMR
DM10	ii	1. Extent of MSAs sterilised by non - mineral development. 2. Number of objections made by WCC to proposals which sterilise mineral resources of economic importance.	1/2. No sterilisation of mineral resources contrary to requirements of policy.	1/2. Planning Consultations/AMR
DM11	ix	1. Approved proposals meet criteria	1. All proposals in line with policy.	1. Planning Applications/AMR
DM12	iv, v, vi, vii, viii, ix, x	1. Approved proposals meet criteria	1. All proposals in line with policy.	1. Planning Applications/AMR

11 Glossary

Term of reference	Abbreviation (where used)	Definition
Aftercare		The management and treatment of land for a set period of time immediately following the completed restoration of mineral workings to ensure the land is returned to the required environmental standard.
After-use		The ultimate use after mineral working for agriculture, forestry, amenity (including nature conservation and country parks) industrial or other development.
Aggregates		Sand, gravel crushed rock and other bulk materials used by the construction industry.
Apportionment		The proportional split of the regional guidelines for the supply of aggregates for the West Midlands which is shared between the Mineral Planning Authorities.
Areas of Search		Areas of Search are designated sites which have mineral potential but for which there hasn't been the detailed investigation to prove the quality of the deposit. Therefore industry is encouraged to assess the economic viability. These areas have been examined against environmental constraints and their identification confers a general presumption in favour of proposals for extraction within them.
Area of Outstanding Natural Beauty	AONB	These are statutory designations under the National Parks and Access to The Countryside Act 1949. The primary objective is the conservation of The natural beauty of the landscape.
Biodiversity		There are three distinct levels to biodiversity: The variety of ecosystems and habitats (woodland, grasslands and wetlands), The number of different Species and The genetic variation within individual species.

		<p>Some examples</p> <p>of biodiversity include; meadows full of wild flowers, hedgerows full of Blossom and woods filled with birdsong.</p>
Biodiversity Action Plan	BAP	<p>UK and Local action plans to identify, conserve and protect existing biological diversity and to enhance it where possible. Action plans for the most threatened species and habitats have been set out to aid recovery, and reporting rounds show how the UKBAP has contributed to the UK's progress towards the significant reduction of biodiversity loss called for by the Convention on Biological Diversity.</p>
Borrow Pit		<p>A temporary and usually small scale mineral extraction operation specifically to supply mineral to a major construction project nearby.</p>
Buffer Zones		<p>These are areas drawn around settlements or properties in which mineral development is prohibited. The purpose of these zones is to protect settlements from disruption caused by the working of the minerals. They can also apply to an area around existing workings where non-mineral development may be prohibited which would adversely affect the operation of the existing mineral workings.</p>
Carboniferous		<p>A division of geological time from around 360-290 million years ago.</p>
Clay		<p>A very fine-grained mineral with particles measuring less than 0.002mm. It has high plasticity when wet and considerable strength when air-dry. It is a very useful engineering material.</p>
Construction and Demolition Waste	C and D Waste	<p>Waste arising from construction, repair, maintenance and demolition of buildings and structures, including roads. It consists mostly of brick, concrete, hardcore, sub-soil and top-soil, but can also contain quantities of timber, metal, plastics and occasionally hazardous waste materials.</p>
Coal		<p>Combustible mineral formed from organic matter (mostly plant material). A fossil fuel most commonly used in energy production.</p>

Crushed rock		Naturally occurring rock which is crushed into a series of required sizes to produce an aggregate.
Department for Communities and Local Government	DCLG	Government department with national responsibility for housing, urban regeneration, local government and planning.
Department for the Environment Food and Rural Affairs	DEFRA	Government department with national responsibility for sustainable waste management.
Development Control Policies		A set of criteria-based policies required to ensure that all development within the area meets the vision and strategy set out in the plan.
Development Plan Documents	DPDs	These outline the key development goals of the Local Development Framework. These are documents that have been subject to rigorous community involvement, consultation and independent examination. Once adopted, development control decisions must be made in accordance with the DPDs, unless material considerations indicate otherwise.
Environment Agency	EA	The principal environmental regulatory body in England and Wales. Responsible for promoting improvements in waste management, permitting waste management facilities including landfills and ensuring consistency in regulation across England and Wales.
Flood Zones		These are areas that could be affected due to flooding from rivers. Flood zone 3 indicates the extent of a flood (1 in 100) chance of happening in any year. Flood zone 2 indicates the extent of an extreme flood with a 0.1 per cent (1 in 1000) chance of happening in any year. Flood zones are defined in planning policy for England and are produced ignoring the presence of existing flood defences, since defences can be 'overtopped' if a flood occurs which is higher than the defences are designed to withstand. Defences can even fail in extreme events.
Green Belt		Areas of land defined in Structure Plans and district wide Local Plans that are rural in character and adjacent to urban areas, where permanent and strict planning controls apply in order to check surrounding countryside from further encroachment; prevent neighbouring towns from merging into one another;

		preserve the special character of historic towns and assist urban regeneration.
Green Infrastructure		Green Infrastructure is a network of high quality green spaces and other environmental features. It is a resource capable of delivering a wide range of environmental and quality of life benefits for local communities. Included in Green Infrastructure are parks, open spaces, playing fields, woodlands, allotments and private gardens. Key considerations for green infrastructure are the functions or ecosystem services it provides. It should be considered at a broader scale than is necessarily the case for individual areas
Greenfield Land		Undeveloped or vacant land not included in the definition of 'previously developed land'.
Hazardous Waste		Broadly any waste on the European Hazardous Waste list that has one or more of fourteen hazardous properties.
Inspector's report		This will be produced by the Planning Inspector following the Independent Examination and may contain binding recommendations for the Council to consider. The report will then be subject to an internal QA process in the Inspectorate before dispatch. The Local Planning Authority then has two weeks to carry out the fact check.
Jurassic		A division of geological time from around 200-135 million years ago.
Landbank		Landbanks of aggregate mineral reserves, or aggregate landbanks, are principally a monitoring tool to provide a mineral planning authority with early warning of possible disruption to the provision of an adequate and steady supply of land-won aggregates in their particular area. Aggregate landbanks should be used principally as a trigger for a mineral planning authority to review the current provision of aggregates in its area and consider whether to conduct a review of the allocation of sites in the plan. In doing so, it may take into account the remaining planned provision in the minerals local plan. A landbank is also a set of sites with planning permission to work minerals.
Local Biodiversity		Non-statutory plan developed through partnership working and seeking to identify local priorities and to determine the

Action Plan		contribution they can make to the delivery of the national Species and Habitat Action Plan targets.
Local Development Document	LDD	A document that forms part of the Local Development Framework. Can either be a Development Plan Document or a Supplementary Planning Document.
Local Development Framework	LDF	LDF is the term used to describe a group of documents produced by the Local Planning Authority detailing: Development Plan Documents, Supplementary Planning Documents, Statement of Community Involvement, Local Development Scheme, Authority Monitoring Reports
Local Development Scheme	LDS	Sets out the programme for the preparation of the Local Development Documents.
Mineral Consultation Areas	MCAs	MCAs define broad areas in which the presence of minerals resources has been identified but not assessed in detail. Currently Warwickshire County Council's MCA's define areas where there is a presence of aggregate resources. This has been supplied to all five District Councils within the County. As Mineral Planning Authority Warwickshire requires to be consulted on all planning applications falling within the Mineral Consultation Areas with the following exceptions. Development in accordance with the allocations of an adopted or deposited local plan, Householder applications such as extensions to houses, Reserved Matter applications unless the Mineral Planning Authorities specifically requested consultation at the outline stage, Minor developments, such as fences, walls, bus shelters, Applications for listed buildings unless specifically requested, Advertisement applications, Extensions or alterations to an existing use/building which do not fundamentally change the scale and character of the use/building, but sub-division of a dwelling will require consultation.
Mineral Development		Development consisting of the winning and working of minerals or involving the depositing of mineral waste.
Mineral Exploration		Ascertaining the presence, extent or quality of any deposit of a mineral with a view to exploiting that mineral. .
Mineral Reserves		Mineral deposits which have been investigated and are proven to be of economic importance due to the quality, quantity and

		nature of the deposit and benefit from an existing planning permission.
Mineral Resource		A potential source of mineral where the deposits nature, quality and quantity have yet to be assessed or is not yet economic.
Mineral Safeguarding Areas		Since minerals are a non-renewable resource, minerals safeguarding is the process of ensuring that non-minerals development does not needlessly prevent the future extraction of mineral resources, of local and national importance.
Minerals and Waste Development Scheme	MWDS	A project plan and timetable for the preparation of the Minerals and Waste Development Frameworks and all of its constituent documents.
Minerals Plan Document		A document which sets out the long term vision, objectives and strategy for mineral development across Warwickshire up to 2032 and provides the framework for mineral development control.
National Planning Policy Framework	NPPF	Sets out the government's planning policies for England.
Office of the Deputy Prime Minister	ODPM	Former government department with responsibility for planning and local government. The responsibilities of the ODPM transferred to the DCLG on 5th May 2006.
Permitted Reserves		Mineral deposits with the benefit of planning permission for extraction.
Planning and Compulsory Purchase Act 2004	PCPA	An Act to make provision relating to Spatial Development and town and country planning; and the compulsory acquisition.
Planning Inspectorate	PINS	The Government agency responsible for scheduling independent examinations. PINS employ planning inspectors who sit on independent examinations.
Preferred Area		Area containing mineral resources, which can be identified with a high degree of certainty and where the principle of extraction has been established. These areas must be subject to extensive consultation before they are formally delineated.

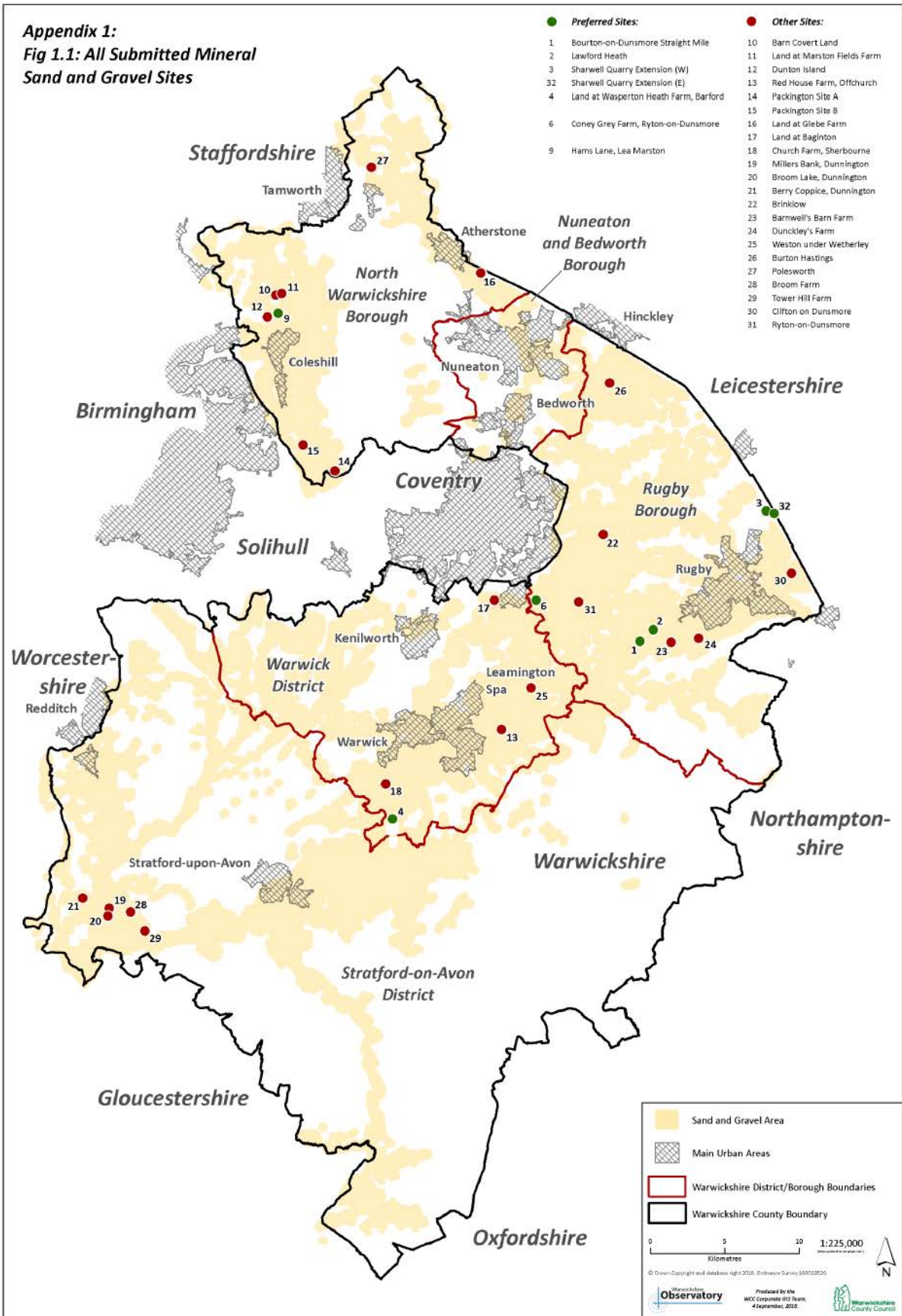
Previously Developed Land	PDL	Previously developed land is that which is or was occupied by a permanent structure (excluding agricultural and forestry buildings), and associated fixed surface infrastructure. The definition covers the curtilage of the development. Previously developed land may occur in both built up and rural settings. The definition includes defence buildings and land used for mineral extraction and waste disposal where provision for restoration has not been made through development control procedures. The definition excludes land and buildings that are currently in use for agricultural and forestry purposes and land built up areas which has not been developed previously (e.g. parks, recreation grounds and allotments even though these may contain certain urban features such as paths, pavilions and other buildings). Also excluded is land that was previously developed but where the remains of any structure or activity have blended into the landscape in the process of time (to the extent that it can be reasonably considered as part of the natural surroundings), and where there is a clear reason that could out-weigh the re-use of the site such as its contribution to nature conservation or it has subsequently been put to an amenity use and cannot be regarded as requiring redevelopment.
Primary Aggregates		Material extracted or produced from natural occurring mineral deposits used as an aggregate.
Proposals Map		Illustrates the policies and proposals in the development plan documents and any saved policies that are included in the local development framework.
Public Consultation		A process through which the public is informed about proposals by the planning authority or developer and invited to submit comments.
Polished Stone Value	PSV	This is a value given to an individual aggregate, found by subjecting the aggregate to a standard polishing process and then testing the aggregate with the Portable Skid Resistance Tester. Aggregate that has a PSV value (over 60) is regarded as a High Skid Resistant Aggregate. High PSV stone is used for the production of asphalt, for road surfacing.

Quarry		A type of open pit mine from which rock or minerals are extracted. They are often shallower than other types of open pit mine.
Ramsar Site		Internationally important sites designated under the Convention on Wetlands of International importance especially as water fowl habitat, Ramsar 1971.
Reclamation		The process of returning an area to an acceptable environmental condition whether for the resumption of the former land use or for a new use. It includes restoration, aftercare, soil handling, filling and contouring operations.
Recycled Aggregates		Aggregates produced from recycled construction waste such as crushed concrete, road planing's etc.
Recycling		Involves the reprocessing of waste materials, either into the same product or a different one.
Regionally Important Geological Site	RIG	A non-statutory regionally important geological or geomorphological site (basically relating to rocks, the Earth's structure and landform).
Registered Parks and Gardens		Gardens, grounds and other planned open spaces, such as town squares. The emphasis of the register is on 'designed' landscapes, rather than on planting or botanical importance. Historic parks and gardens are a fragile and finite resource: they can easily be damaged beyond repair or lost forever.
Restoration		Following the completion of the winning and working of minerals the use of subsoil and/or topsoil and/or soil making materials to return the land to an acceptable environmental condition to enable the resumption of a former land use or for a new use.
Re-use		The reuse of materials in their original form, without any processing other than cleaning. This can be practised by the commercial sector with the use of products cleaned.
Rural Areas		The rural areas of the county are those outside of the built up areas of Nuneaton, Bedworth, Rugby, Kenilworth, Leamington Spa, Warwick and Stratford-upon-Avon, Atherstone,

		Polesworth/Dordon and not 'Hams Hall'.
Sand and Gravel		A finely divided rock, comprising of particles or granules that range in size from 0.063 to 2mm for sand, and up to 64mm for gravel. It is used as an important aggregate mineral.
Saved Plan/Policies		Under the Planning Compulsory Purchase Act (2004) the Minerals and Waste Local Plans for Warwickshire have been 'saved' for a period of three years (until September 2007). Selected policies within these plans have been further 'saved' beyond September 2007, but will be progressively replaced by the emerging DPDs within the new MWDF.
Scheduled Ancient Monuments		Sites and remains designated under the Ancient Monument and Archaeological Areas Act 1979 to ensure protection from development.
Secondary Aggregates		These are materials that originate as waste products from quarrying and mining activities or as a by-product from an industrial process which can be processed and used as an aggregate in the construction industry.
Sites of Special Scientific Interest	SSSIs	A site statutorily protected for its nature conservation, geological or scientific value designated under the Wildlife and Countryside Act 1981 (as amended).
Special Area of Conservation	SAC	Candidate and proposed: designated with the intention to protect habitats of threatened species of wildlife, under the European Community Council Directive on the Conservation of Natural Habitats and Wild Fauna and Flora.
Special Landscape Areas	SLA	An area recognised as being of County level landscape importance. A non-statutory landscape designation, Special Landscape Areas frequently border Areas of Outstanding Natural Beauty, protecting the landscape settings of these statutorily designated areas.
Special Protection Area	SPA	Internationally important sites designated under Council Directive 79/403/EEC on the Conservation of Wild Birds 1979.
Strategic Environmental Assessment (SEA)	SEA	Local Planning Authorities must comply with European Union Directive 2001/42/EC which requires a high level, strategic assessment of local development documents (DPDs and, where appropriate SPDs) and other local programmes (e.g. the Local

		Transport Plan and the Municipal Waste Management Strategy) that are likely to have significant effects on the environment.
Statement of Community Involvement	SCI	A document which outlines the standards and approach that the County will undertake in engaging with stakeholders and the local community in producing its Minerals and Waste plans.
Sterilisation		This occurs when developments such as housing, roads or industrial parks, pipelines, pylons, wind farms, railways and canals etc. are built over potential mineral resources/reserves. Sometimes access restrictions may sterilise minerals resources/reserves.
Strategic Flood Risk Assessment	SFRA	An assessment which identifies the main risks to a development site from flooding and recommends mitigation measures to reduce the impact of flooding to the site and surrounding area.
Sustainability Appraisal	SA	Local Planning Authorities are bound by legislation to appraise the degree to which their plans and policies contribute to the achievement of sustainable development. The process of Sustainability Appraisal is similar to Strategic Environmental Assessment but is broader in context, examining the effects of the plans and policies on a range of social, economic and environmental factors. To comply with Government Policy, Warwickshire County Council produces a Sustainability Appraisal that incorporates a Strategic Environmental Assessment of its Minerals and Waste Local Development Documents.
Sustainable Development		Development which seeks to meet the needs of the present without compromising the ability of future generations to meet their own needs.
Sustainable Mineral Extraction		Means using mineral resources efficiently, so as to carry out mineral working only where it is needed, ensuring that there is sufficient balance between the economic, social, and environmental goals of sustainable development.
Waste Local Plan	WLP	A statutory detailed land use plan, produced by the County Council. Its purpose is to set out specific land use policies in relation to waste management development in the County. The policies are applied to planning applications for waste disposal facilities, such as landfill sites, incinerators and recycling depots.

Appendix 1: Minerals Sites Submission Plans



Appendix 2: Minerals Safeguarding Plans

Warwickshire County Council commissioned the British Geological Survey (BGS) to delineate its Mineral Safeguarding Areas (MSAs).

We have produced MSAs for all the main minerals in the county; these are for sand and gravel, crushed rock, coal, building stone, brick clay and cement raw materials.

These are all shown below. They are also shown on a composite map.



British Geological Survey
NATURAL ENVIRONMENT RESEARCH COUNCIL

Warwickshire Mineral Safeguarding Area - Unconsolidated sand and gravel

Warwickshire Mineral Safeguarding Areas (MSAs)

Geological units from figures A2 to A9 were selected and refined during the consultation phase of the project and buffered by the amount specified in table 1, page 6 of this report, in order to produce this MSA map. MSAs stop at the Warwickshire county boundary.

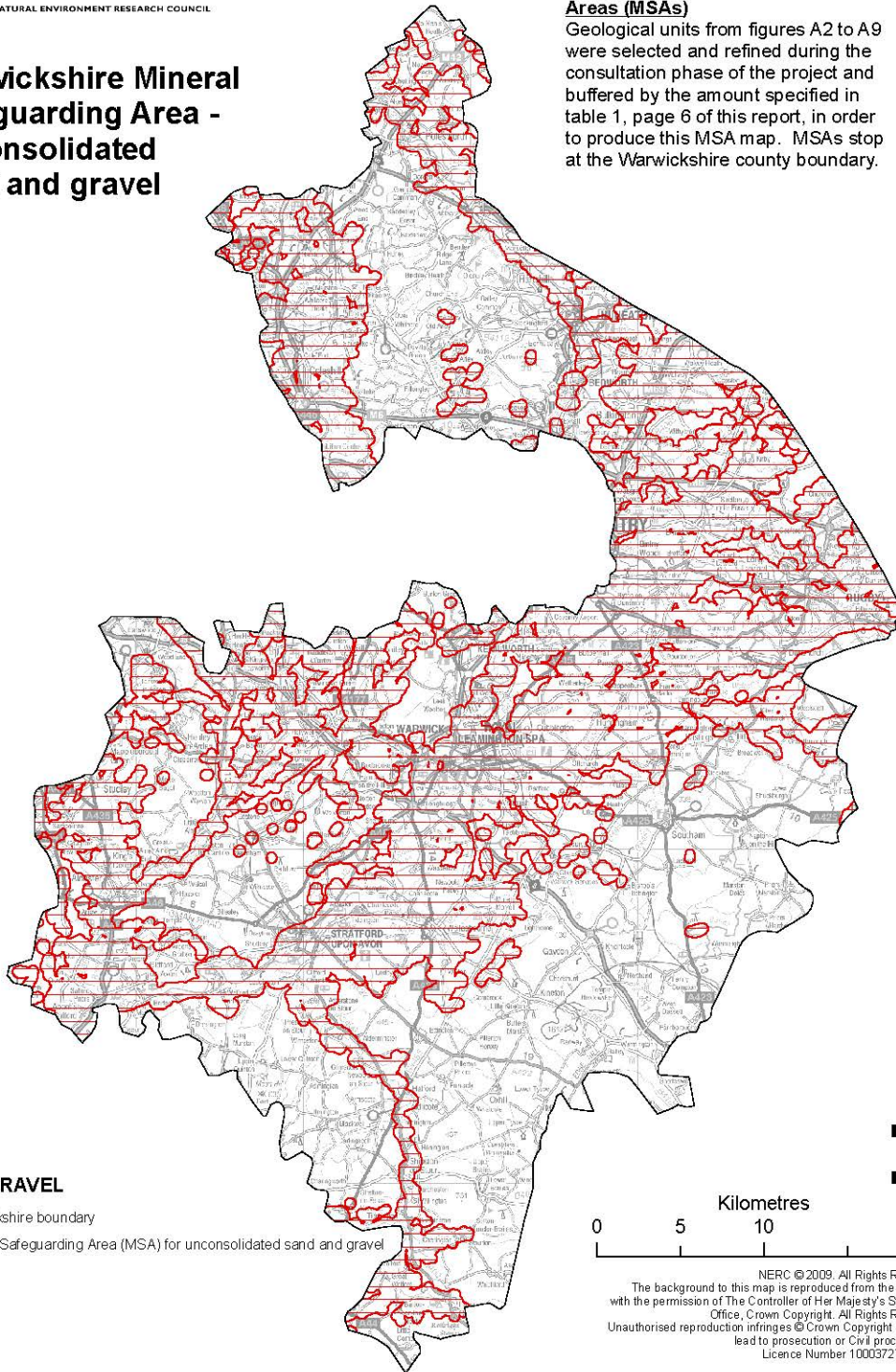


Figure A10: Warwickshire MSA - Unconsolidated sand and gravel



British Geological Survey
NATURAL ENVIRONMENT RESEARCH COUNCIL

Warwickshire - Crushed rock

Consultation phase maps

These maps are part of the consultation phase of the 'Delineating Warwickshire Mineral Safeguarding Areas' project. They show geological units from the 'BGS DIGMapGB-50' geological linework and the 1999 published Warwickshire / West Midlands Mineral Resources map. This linework will be refined through consultation to incorporate knowledge from stakeholders in order to produce Mineral Safeguarding Area maps.

Active sites are from the BGS database of active quarries called 'BRITPITS'.

The border around the administrative boundary shows minerals up to 5km beyond the Warwickshire boundary in order to consider the extent of the minerals straddling the Mineral Planning Authority (MPA) boundary.

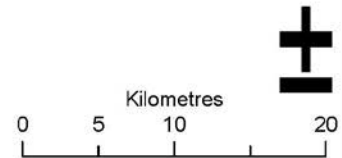
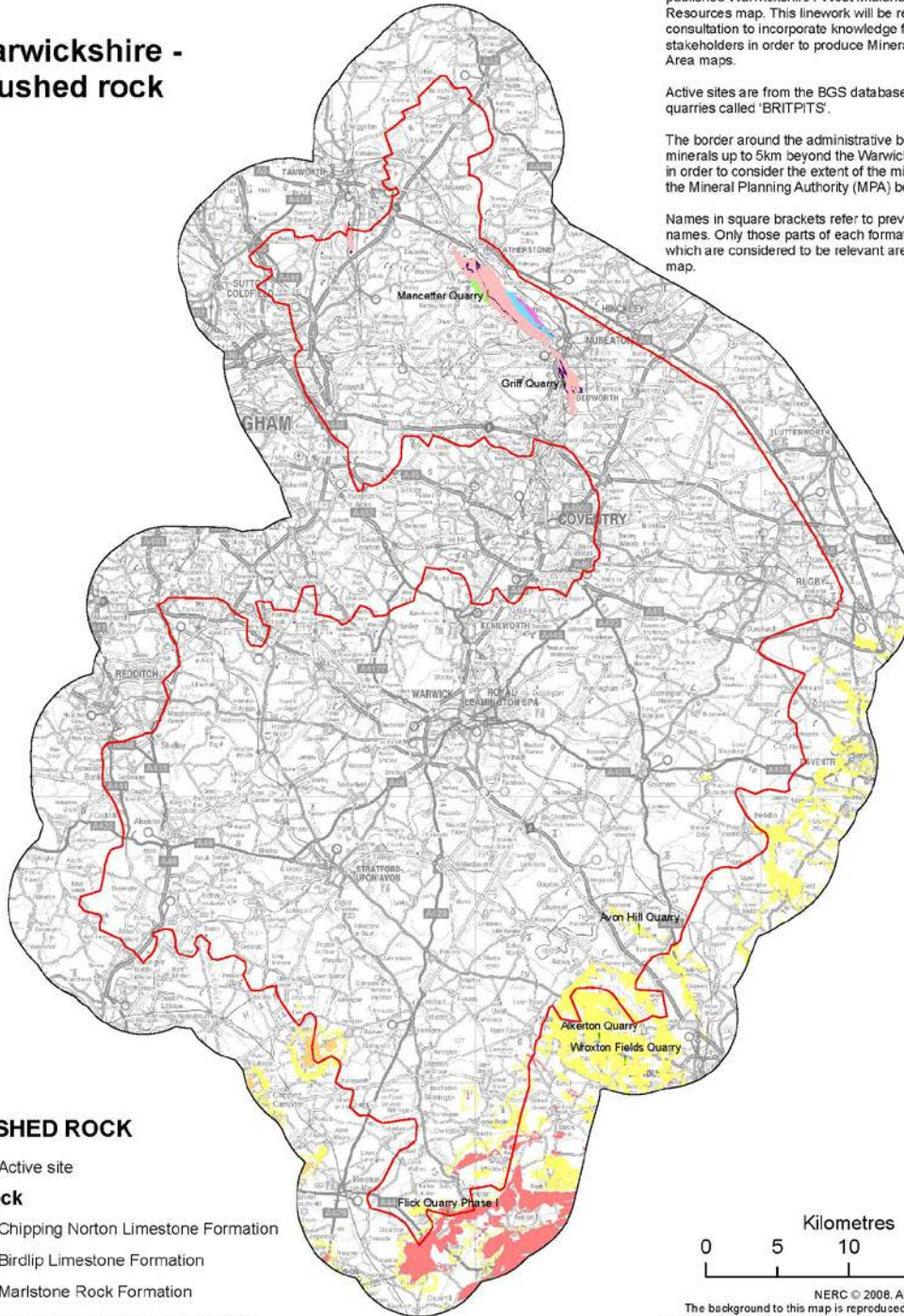
Names in square brackets refer to previously used names. Only those parts of each formation or group which are considered to be relevant are shown on the map.

CRUSHED ROCK

! Active site

Bedrock

- Chipping Norton Limestone Formation
- Birdlip Limestone Formation
- Marlstone Rock Formation
- Oldbury Farm Sandstone Formation
- Midlands Minor Intrusive Suite (hosted by Stockingford Shale Group) [Diorite sills]
- Stockingford Shale Group (hosts Midlands Minor Intrusive Suite)
- Hartshill Sandstone Formation [Hartshill Quartzite]
- Caldecote Volcanic Formation [Charnian volcanics and minor intrusives]



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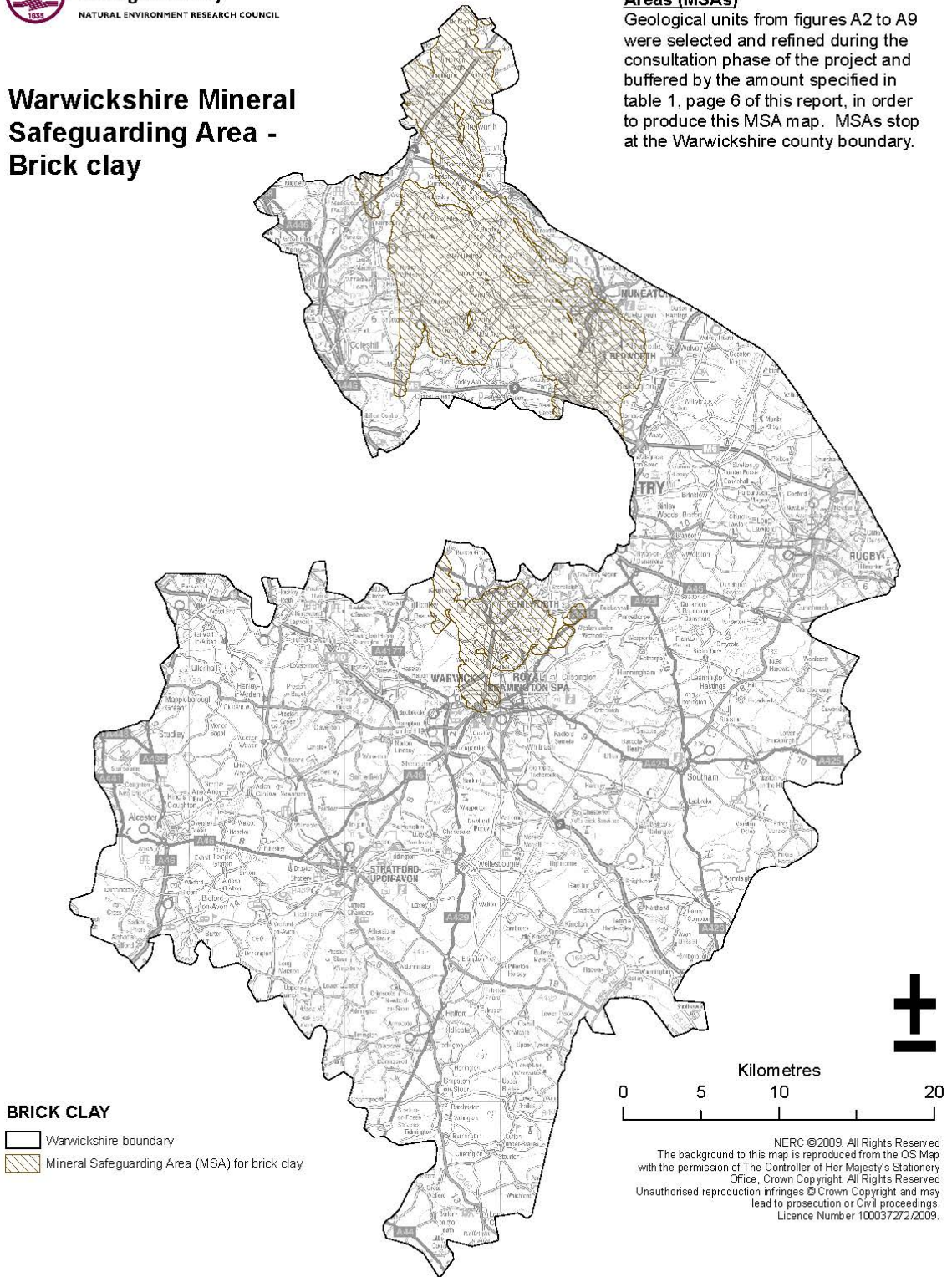
Figure A3: Warwickshire - Crushed rock



Warwickshire Mineral Safeguarding Area - Brick clay

Warwickshire Mineral Safeguarding Areas (MSAs)

Geological units from figures A2 to A9 were selected and refined during the consultation phase of the project and buffered by the amount specified in table 1, page 6 of this report, in order to produce this MSA map. MSAs stop at the Warwickshire county boundary.



BRICK CLAY

- Warwickshire boundary
- Mineral Safeguarding Area (MSA) for brick clay

0 5 10 20
Kilometres

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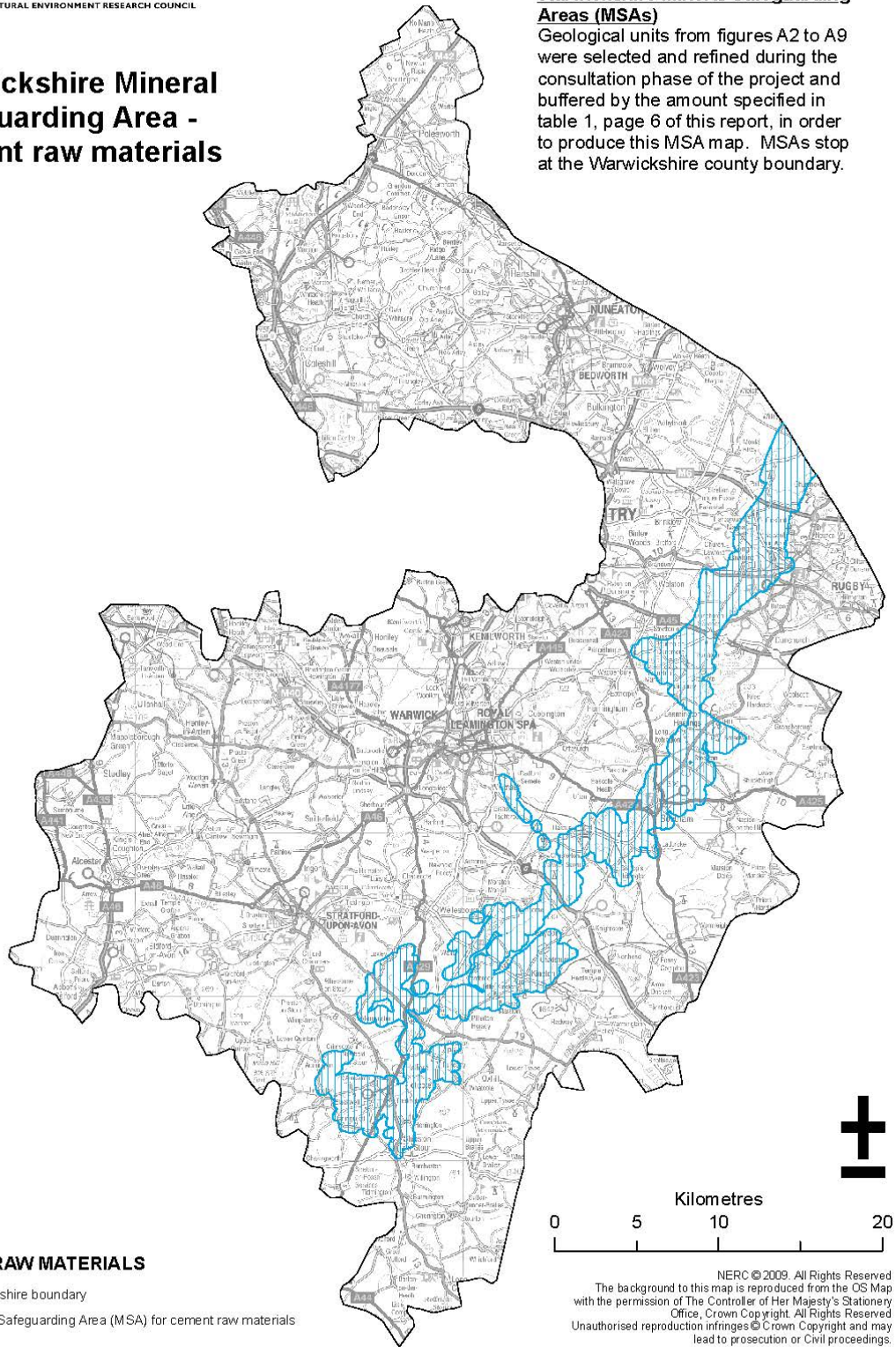
Figure A13: Warwickshire MSA - Brick clay



Warwickshire Mineral Safeguarding Area - Cement raw materials

Warwickshire Mineral Safeguarding Areas (MSAs)

Geological units from figures A2 to A9 were selected and refined during the consultation phase of the project and buffered by the amount specified in table 1, page 6 of this report, in order to produce this MSA map. MSAs stop at the Warwickshire county boundary.



CEMENT RAW MATERIALS

- Warwickshire boundary
- Mineral Safeguarding Area (MSA) for cement raw materials

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Figure A14: Warwickshire MSA - Cement raw materials



British Geological Survey
NATURAL ENVIRONMENT RESEARCH COUNCIL

Warwickshire Mineral Safeguarding Area - Building stone

Warwickshire Mineral Safeguarding Areas (MSAs)

Geological units from figures A2 to A9 were selected and refined during the consultation phase of the project and buffered by the amount specified in table 1, page 6 of this report, in order to produce this MSA map. MSAs stop at the Warwickshire county boundary.

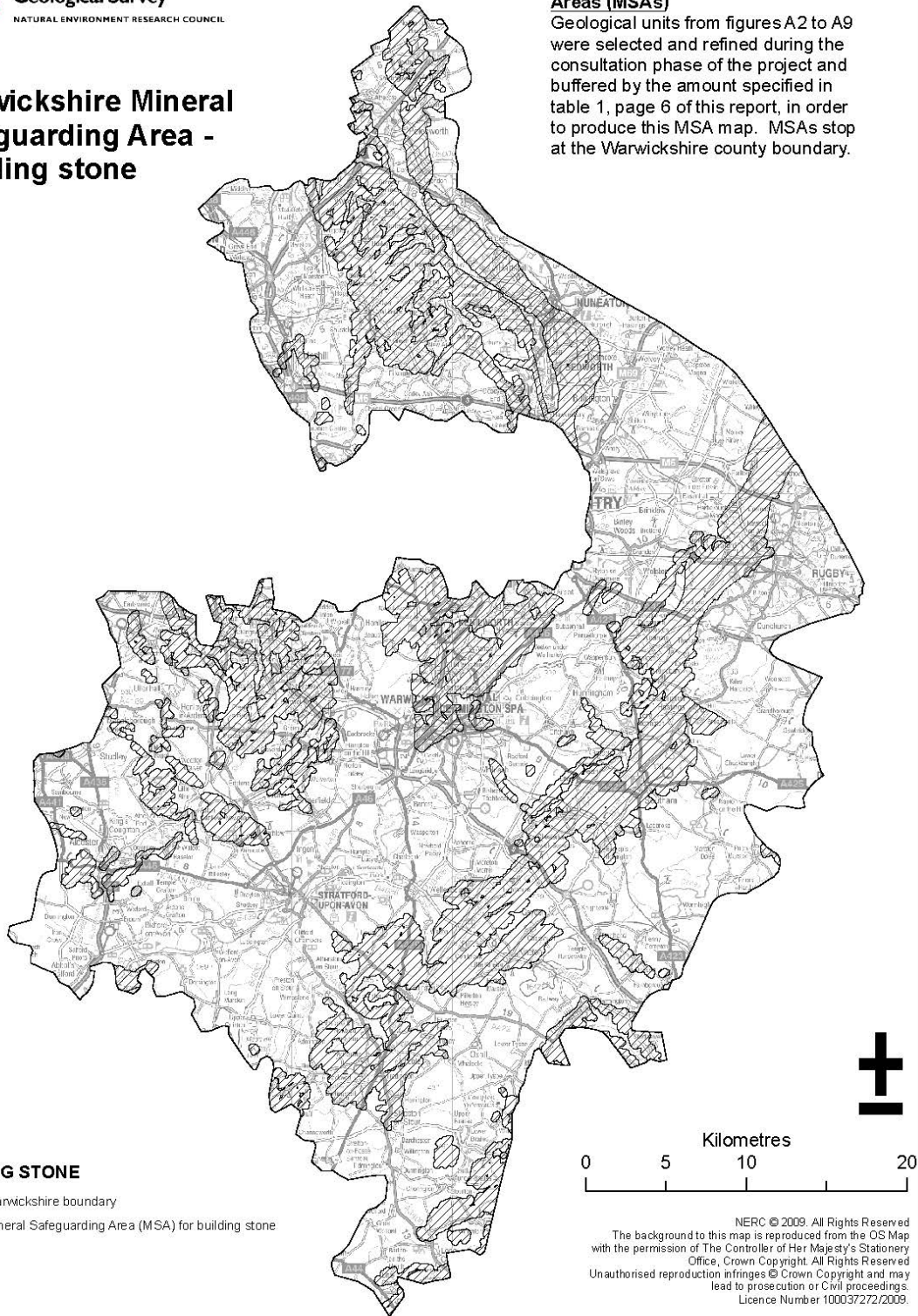


Figure A15: Warwickshire MSA - Building stone

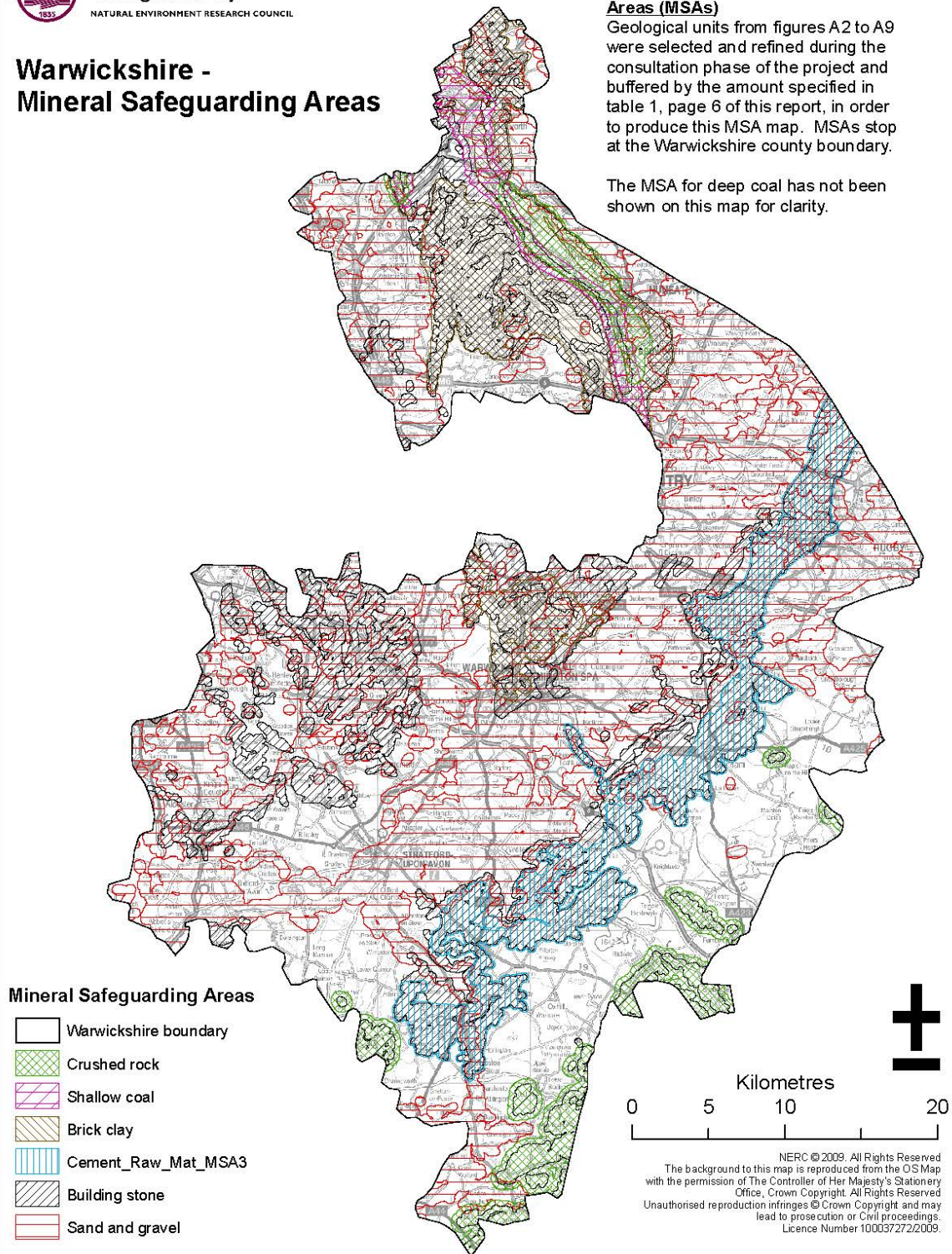


Warwickshire - Mineral Safeguarding Areas

Warwickshire Mineral Safeguarding Areas (MSAs)

Geological units from figures A2 to A9 were selected and refined during the consultation phase of the project and buffered by the amount specified in table 1, page 6 of this report, in order to produce this MSA map. MSAs stop at the Warwickshire county boundary.

The MSA for deep coal has not been shown on this map for clarity.



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Figure A16: Warwickshire MSAs

Appendix 3: Exemptions Criteria for Mineral Safeguarding

Supporting information for Policies MCS5 and DM10 Safeguarding of Minerals and Minerals Infrastructure

Exemptions Criteria

1. Applications for householder development;
2. Applications for alterations and extensions to existing buildings and for change of use of existing development, unless intensifying activity on site;
3. Applications that are in accordance with the development plan where the assessment of the site options took account of potential mineral sterilisation;
4. Application for minor development;
5. Applications for advertisement consent;
6. Applications for reserved matters after outline consent has been granted;
7. Prior notifications (telecoms, forestry, agriculture, demolition);
8. Certificates of Lawfulness of Existing Use or Development (CLEUD) and Certificates of Lawfulness of Proposed Use or Development (CLPUD);
9. Applications for works to trees;
10. Applications for temporary planning permission;
11. Applications for listed building consent;
12. Applications for non-compliance of conditions where this relates to non-mineral issues.

Appendix 4:- Minerals Infrastructure in Warwickshire – Aggregate Minerals

Type	Site Name	Address	Tel.No.	Status
Fixed Processing Plants				
Grid Ref SP3627171436	Bubbenhall (Smiths Concrete)	Waverley Wood Farm, Weston Lane, Coventry CV8 3BN	01295 753800	Operational for imported materials until 2021 when landowner requires removal of the plant
SP4227878442	Brinklow Quarry	Highwood Farm, Coventry Road, Brinklow, Rugby, CV23 0NJ		Operational
SP4427273444	Ling Hall Quarry (Breedon)	Coalpit Lane, Lawford Heath, Warks, CV23 9HH		Operational for imported materials
SP1829393418	Dunton Quarry (KSD Recycled Aggregates)	Lichfield Road, Curdworth, Sutton Coldfield, B76 0BB		Operational for recycled and imported materials until 2021 when planning permission expires
Mobile Processing Plant				
SP4628888446	High Cross Quarry			Operational
Asphalt Plants				
SP3029595430	Mancetter Quarry (Lafarge Tarmac)	Quarry Lane, Mancetter, Atherstone, Warks, CV9 2RF		There are two plants on site. Operational for both on site and imported materials

SP4427273444	Ling Hall Quarry (Breedon)	Coalpit Lane, Lawford Heath, Warks, CV23 9HH		Operational for imported materials
SP3628888800	Griff IV Quarry (Midland Quarry Products)	Gypsy Lane Nuneaton CV10 7PH		Operational until 2032 using imported materials
Concrete Batching Plants				
1 SP4427273444	Ling Hall Quarry (Breedon)(1 st Mix)	Coalpit Lane, Lawford Heath, Warks, CV23 9HH	0845 413 5208	Operational for imported materials
2 SP3627171436	Bubbenhall Quarry (Smith Concrete)	Waverley Wood Farm, Weston Lane, Coventry CV8 3BN	01295 753800	Operational for imported materials
3 SP2125151421	Atherstone Airfield (Smith Concrete)	Atherstone Airfield, Atherstone on Stour, Warwickshire, CV23 8NJ		
4 SP3580085200	Coventry Concrete Plant (Cemex)	Bayton Road, Exhall, Coventry, Warks, CV7 9EJ	02476 360416	
5 SP3860075700	Brandon (Coventry Concrete Plant – Breedon formerly Lafarge Readymix Ltd)	Brandon Lane, Willenhall Coventry CV3 3GW	01332 694000	
6 SP1829393418	Dunton Quarry (KSD Recycled Aggregates)	Lichfield Road, Curdworth, Sutton Coldfield, B76 0BB		Operational for both recycled and imported materials
7 SP4570071900	Cemex Rugby RMC Plant	Orchard Road Industrial Estate, Dunchurch, Rugby, Warks CV23 9LN	01788 521885 0345 155 1835	
8	Dunchurch (Tarmac	Dunchurch Trading Estate,	01902 382803	Now closed.

SP4560071900	Topmix Ltd (Ace Mini Mix)	London Road, Dunchurch, Rugby, CV23 9LN		
9 SP2720065400	Warwick (Smiths Concrete)	Budbrooke Industrial Estate, Budbrooke Road, Warwick CV34 5XH	01295 753800	
10 SP3550085300	Bedworth (Hanson)	Bayton Road, Exhall, Coventry, West Mids. CV7 9PH	0330 123 0690	
11 SP3580085200	Cemex Rugby RMC Plant	Rugby Cement Plant, Lawford Rd, Rugby CV21 2RY	0345 155 1835	
12 SP1970090900	Aggregate Industries	Highway Point, Gorse Lane, Coleshill B46 1JU	0121 753 6420	
13 SP3530085300	The Rock Solid Concrete Company (Mixer Hire Ltd)	Unit 89 Bayton Road Exhall Coventry CV7 9QN	024 7601 4749	
Bagging Plants Aggregates SP3627171436	Bubbenhall Quarry (Smiths Concrete)			Facility to bag aggregates relocated to Hanson's Nuneaton site.
SP3355094750	Tarmac Nuneaton Packed Products	Mancetter Road, Hartshill, Nuneaton, Warks, CV10 ORT	0333 003 4868	Operational
SP3490089000	Hanson Packed Products, Nuneaton	Griff Clara Industrial Estate, Off St Davids, Nuneaton, CV10 7PP	0330 123 2074	
Concrete Products - Blocks				
SP2050092400	Hanson Thermolite (Forterra)	Canton Lane, Hams Hall Distribution Park, Coleshill,	01675 468000	

		Birmingham, B46 1AQ		
Mortar Plants				
SP4227878442	Brinklow Quarry (Premier Mortars Ltd)	Coventry Road Brinklow Rugby CV23 ONJ	02476 454293	Operational
SP 3627171436	Bubbenhall Quarry (Smith Concrete)			Plant not operational
Rail served Facilities and Plant	None			
Water served Facilities and Plant	None			

Appendix 5 – Recycling Sites

<i>Aggregate recycling sites in the county (2016)</i>					
Site number	Site name	Operator	Permitted Capacity (tpa)	Date of permission	Time Limited?
1	ABS, Tuttle Hill, Nuneaton	ABS	Unlimited – (Transfer)	October 1992	No
2	Hammonds Bayton Road, Bedworth	Hammonds	30,250	Originally approved in 1999	No
3	Brinklow Quarry, Highwood Farm, Brinklow	Mrs J Aston	45,000	February 2007	Required to cease at end of the mineral operation
4	Canalside Yard, Napton	Jordan Contracts Midlands Ltd	Unlimited	Sept 2004	No
5	Coleshill Quarry, Coleshill	Cemex/ Weavers Hill Aggregates	90,000	Sept 2011 (Renewal of permission)	20.09.14
6	Dunton Quarry, Curdworth	KSD	500,000*	May 2012 (Renewal of permission)	31.12.21
7	MAC Griff Clara	MAC Contracting	75,000	July 2012	No

8	Griff IV Quarry, Nuneaton	WCL Quarries Ltd	25,000	October 2012 (subject to S106)	31.12.32
9	Middleton Hall Quarry,	Parkstone /Hanson Aggregates	65,000	May 2012	31.12.22

*Unlimited capacity for planning. Figure refers to EA Licenses.



Summary of Consultation (Updated)

Warwickshire Minerals Plan (Publication Stage 2016)

JULY 2018

*Working for
Warwickshire*

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Executive Summary

It was agreed at the October 2016 Cabinet meeting that a report would be presented to Cabinet on the consultation undertaken on the Warwickshire Minerals Plan Publication 2016. The report was first presented to Cabinet in October 2017 and has been updated following Cabinet's decision to reduce the plan requirements in line with the Local Aggregate Assessment 2017 and to review the sites to be allocated to meet the new lower requirements.

At Publication stage, the focus is primarily on the technical aspects of the plan making process which includes legal compliance, the Duty to Cooperate and the test of 'soundness'. This stage has been noted by the public as asking complex and legalistic questions which are not easy to understand. However, these questions are needed to fulfil national planning policy guidance (National Planning Policy Framework 2012) and regulation that governs plan making (the Town and Country Planning Act (Local Planning) (England) Regulations 2012). WCC has followed best practice by providing a guidance note to assist the public to help them understand the process better and make an informed response using the questionnaire form.

Feedback provided herewith is based on quantitative and qualitative analysis following the questions as set out in the questionnaire used for the consultation. A summary analysis is provided on open questions (free text boxes) to help understand key points raised and how this could affect the plan. Open questions are summarised and grouped into key issues, for example, Question 5 of the questionnaire asks if the plan is considered legally compliant or 'sound' and to also provide justification. While responses have been primarily related to site based policies and individual sites the most important issues raised relate to the amount of construction materials required during the plan period and how the plan will deliver and maintain future supplies. Comments have also been made in relation to specific core strategy and development management policies and other sections of the Plan.

The responses to site based policies focus primarily on Policy SO (Overarching Policy - Mineral Sites to be Allocated), Policy S1 (Bourton on Dunsmore), Policy S4 (Land at Wasperton), Policy S5 (Glebe Farm, Wasperton) and Policy S7 (Lower Farm Salford Priors). For all the sites there are common issues such as traffic and highways, safety, flooding, landscape and visual amenity, dust and noise, health and wellbeing but there are also comments that are specific to individual sites.

For many, the absence of very detailed designs and assessments normally expected at the planning application stage provides little assurance or certainty that the sites can be delivered sustainably. This view is not shared by the developers/promoters of the site, statutory consultees or your officers as the level of information required at the local plan stage is less detailed than a planning application. Further information was supplied by developers after the consultation on the Preferred Option and Policies and the site based policies set out a number of individual requirements to address areas of concern raised from previous consultation responses.

Section 1: Introduction

Introduction

As agreed at October 2016 Cabinet, the Warwickshire Minerals Plan would be published in accordance with Regulations 19 and 35 of the Town and Country Planning (Local Planning) (England) Regulations 2012. It was also agreed *“that following the next period of consultation and before submission of the Minerals Plan to the Secretary of State, a report be presented to Cabinet and to Council setting out responses to the Consultation exercise and subsequent analysis of those responses”*. The report was first presented to Cabinet in October 2017 and has been updated following Cabinet’s decision to reduce the overall plan requirement for sand and gravel in line with the Local Aggregate Assessment 2017 and to review the sites to be allocated to meet the new lower requirements.

Consultation on the Publication Plan (Pre Submission Draft) 2016 was held between Friday 9th December 2016 and Friday 3rd February 2017 – extended beyond the minimum 6 week period to take into account the Christmas holiday period allowing additional time to comment on the Plan. As set out in the Council’s Statement of Community Involvement (Adopted September 2016), methods for consultation have included:

- The Council website
- Press Notices in the local newspapers
- Responding to any invites requested by parish/district/borough councils
- On request, attending any Community Forum meetings
- Sending information and copies of Plan and consultation to parish councils, libraries and borough/district councils
- On request, attending mineral liaison committees
- Site Notices displayed on sites allocated within the Plan
- County Councillor briefings offered

This report aims to identify the main points raised by respondents in respect of whether the Plan:

- meets the four tests of soundness;
- is legally compliant; and,
- complies with the Duty to Cooperate.

It also seeks to provide a quantitative and qualitative analysis of the feedback received to the consultation using the relevant questions in the questionnaire.

This Summary of Consultation is not intended to repeat the feedback of consultation that was carried out at Preferred Options stage of the plan. A summary of all the objections at that stage was highlighted and responded to in a separate Report of Consultation which was reported back to Cabinet in October 2016 along with the draft Publication Plan.

Purpose of the consultation

The Publication consultation is undertaken to seek views from communities, stakeholders and other consultees as to whether the plan meets the tests of soundness and other requirements set out in the National Planning Policy Framework. In other words whether:

- the Council has planned for the adequate and steady supply of sand and gravel to meet the County's future needs;
- the Minerals Local Plan is based on sound evidence and its policies justified;
- the requirements set out in the Minerals Local Plan can be delivered by 2032; and
- the Minerals Local Plan is consistent with national policy.

As part of plan preparation, communities have been consulted at various stages, table 1 sets out the stage and purpose of each consultation.

Consultation	Date	Purpose of consultation
Minerals Core Strategy – Revised Spatial Options	19.02.09 – 08.05.09	Consultation on emerging minerals plan
Minerals Plan – Preferred Option and Policies	19.10.15 – 04.01.16	Continuation from the Revised Spatial Options undertaken in 2009. Plan which included new sites (following a Call for Sites) and a review of the draft Plan in the context of new national planning policy and regulations relating to plan making. The time lapse between stages was due to the urgency to produce and adopt the Waste Plan, in order to comply with the EU Waste Directive.
Focused Consultation	19.10.15 – 04.01.16	Consultation on 2 potential additional sites that had been submitted for plan allocation during the Preferred Option and Policies consultation.
Warwickshire Minerals Plan Publication 2016	09.12.16 – 03.02.17	Publication of plan before submitting to the Secretary of State – consultation on whether the plan is considered legally compliant, meets the test of soundness and complies with Duty to Cooperate.

Table 1: Consultations undertaken for the minerals local plan

Structure of this report

As set out below (table 2), this report provides a structured analysis based on the layout of the questionnaire.

Section of report	Question as set out in questionnaire	Summary of section
Section 2: Responses received	<p><u>Part A of the Form</u> Please indicate your interest in the Minerals Local Plan</p> <p>Do you wish to be notified of future stages of the Minerals Local Plan?</p>	<p>This section shows how many responses have been received and gives a breakdown of type of respondent (i.e. whether they are a landowner, resident, interest group, etc.).</p> <p>It is noted that the majority of comments received have been from borough/district residents. It also includes how comments have been received (i.e. by email, post or online), and it gives a breakdown of what the representation relates to (i.e. whether it is a specific policy or paragraph within the text).</p>
Section 3: Soundness & legal compliance	<p><u>Part B of the Form</u> Q1: To which part of the Plan does this representation relate?</p> <p>Q2: Do you consider the Plan to be legally compliant?</p> <p>Q3: Do you consider the Plan to be 'sound'? If No, please continue to Question 4, otherwise please continue to Question 5</p> <p>Q4: Do you consider the Plan is 'unsound' because it is not:</p> <ul style="list-style-type: none"> ● Positively prepared ● Justified ● Effective ● Consistent with national planning 	<p>This section starts by identifying the policies (section or paragraph of the Plan) comments relate to, asks the question whether consultees felt the Plan is sound and legally compliant.</p> <p>Finishes with the main analysis of why the Plan is considered 'unsound' and / or not legally compliant. A significant amount of interest relates to site based policies, the amount of sand and gravel required for the plan and core strategy and development management policies.</p>

	<p>policy</p> <p>Q5 - If you consider that the Minerals Local Plan is not legally compliant or is unsound please give details as to why you consider this to be so.</p>	
Section 4: How the Plan could be changed?	<p><u>Part B of the Form</u> Q6 - Please set out any change(s) that you consider necessary to make the Minerals Local Plan legally compliant or 'sound', having regard to the test you have identified at Question 4 above where this relates to 'soundness'.</p>	<p>This section reports on the feedback received on what changes are required to make the Plan legally compliant or 'sound'. As would be expected most respondents commenting on the sites have requested that they be deleted.</p>
Section 5: The Duty to Cooperate	<p><u>Part B of the Form</u> Q7: Do you consider the Minerals Local Plan complies with the Duty to Co-operate?</p>	<p>This section reports on responses relating to the Duty to Cooperate and whether the Plan complies. The Duty to Cooperate relates to named organisations including adjoining mineral planning authorities and not individual members of the public.</p>
Section 6: Attendance at examination	<p><u>Part B of the Form</u> Q8: If your representation is seeking to make a change to the Minerals Local Plan, do you consider it necessary to participate in the oral part of the examination?</p> <p>Q9 - If you wish to participate at the oral part of the examination, please outline why you consider this to be necessary.</p>	<p>This section reports on the amount of consultees that have requested to participate (or not) at the oral hearing of the examination and why.</p>
Section 7: Conclusion	n/a	<p>This includes a summary of the key points of this report and how it relates to the aims of the consultation.</p>

Appendices – Attached separately to this document	n/a	<i>Appendix 1: Glossary</i> - this gives a definition of the technical words used in this report <i>Appendix 2: The Questionnaire Form</i> - this is a copy of the questionnaire form which was used for the consultation
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Table 2: Report structure in context to the questionnaire

Section 2: Responses received

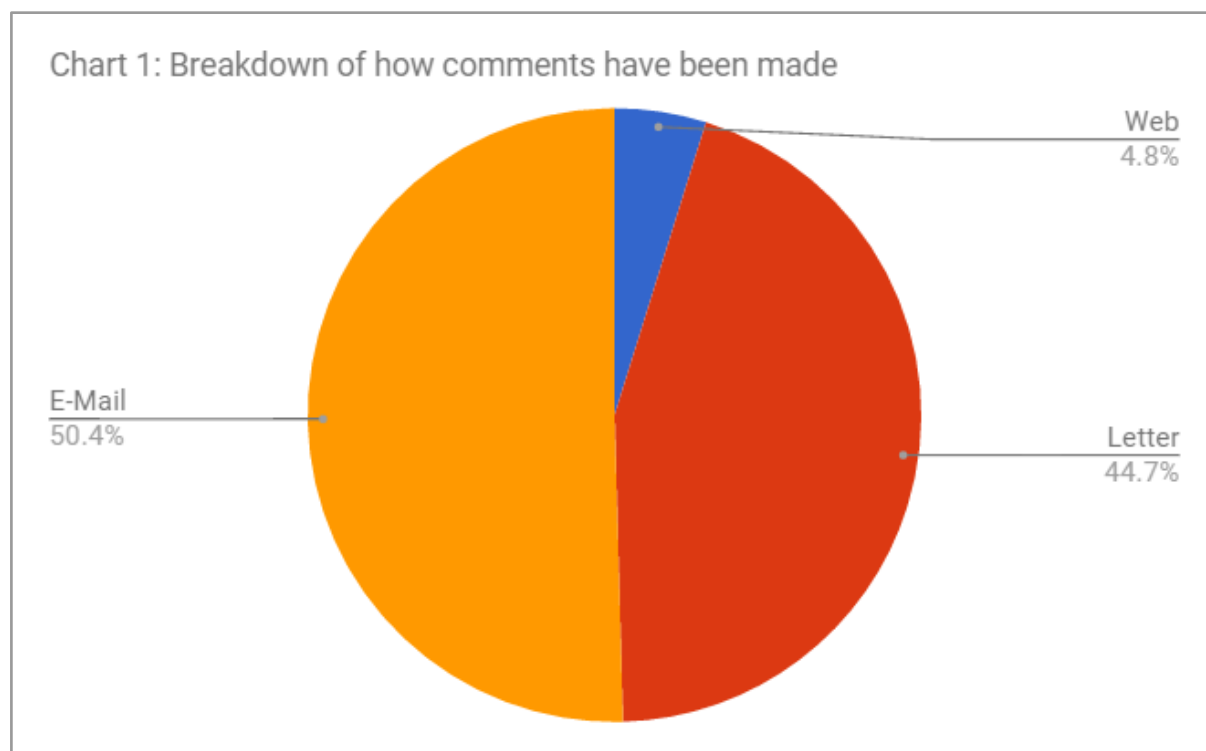
Introduction

This section is a quantitative analysis that looks at the representations under Part A of the questionnaire. The key areas this section reports on are the:

- Number of responses received
- Method used to submit representations
- Type of consultee
- Breakdown of representations made
- Number of those who wish to be kept informed of future stages

Consultation responses

A total of 684 representations were received from 283 respondents. The preferred method of making representations has been by email which accounts for 50.4% of all responses (345), then letter at 44.7% (306) and only 4.8% (33) using the web based online response facility - the consultation portal (OBJECTIVE).



Where respondents chose to submit a letter or an email, those representations have been uploaded specifically based on the questions set out on the form. This is a requirement of the Publication stage of the Plan where the questions specifically relate to issues of soundness and legal compliance as well as the Duty to Cooperate. This helps in the analysis of feedback and organisation of information when the comments are submitted to the Secretary of State for future examination.

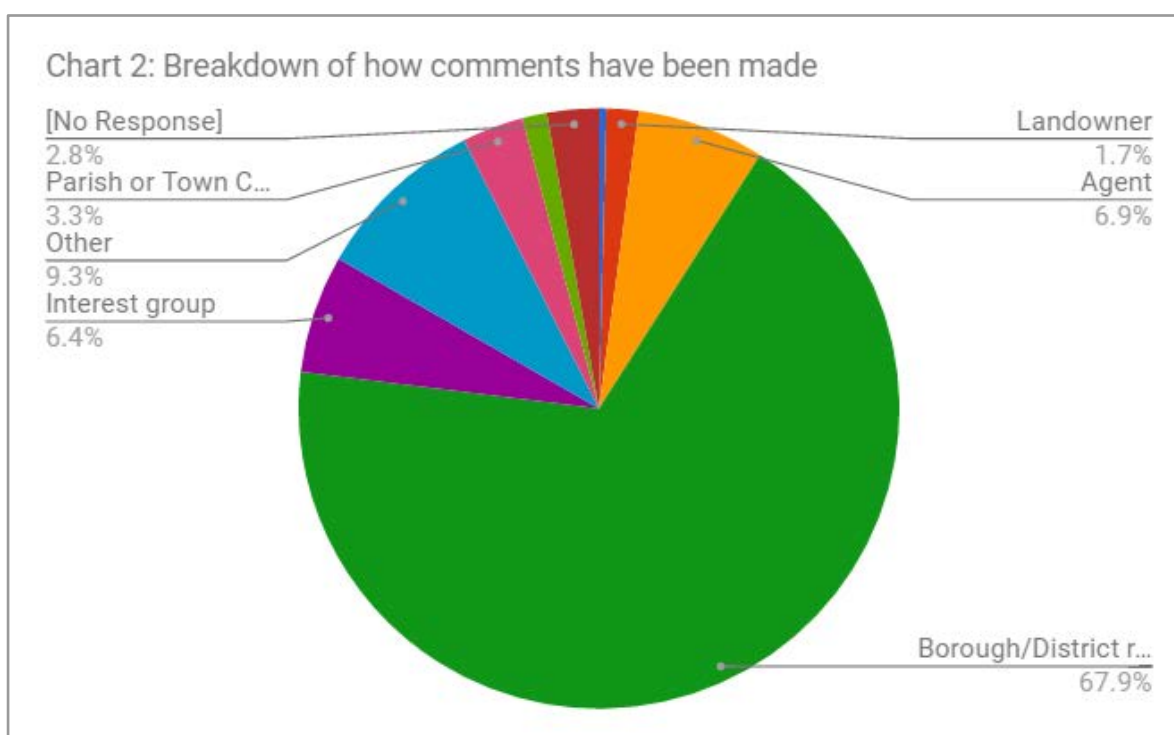
A total of 16 representations have not provided a name and address and there have been 12 late responses. A hard copy of these representations will be made available for the Planning Inspector, should he or she wish to view them at a future Examination in Public (EIP). These representations have not been included as part of the total representations submitted for the purposes of the consultation analysis here, as they are not considered to be duly made if they do not include name and address details or late.

Part A of the questionnaire

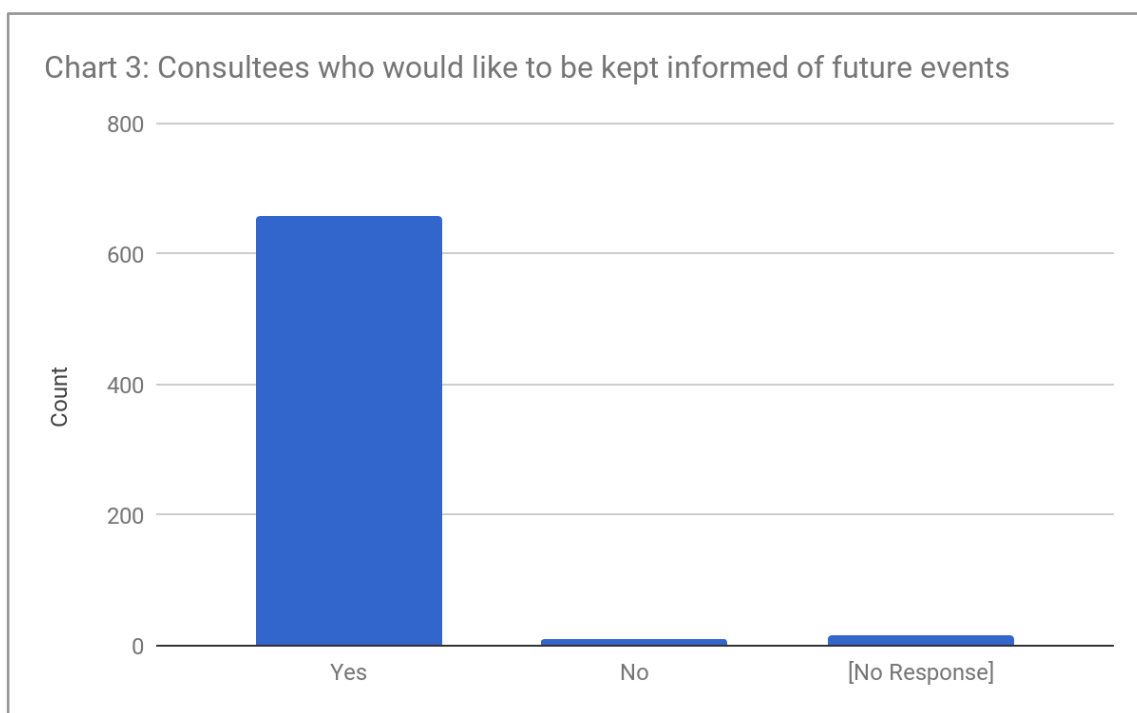
Part A of the questionnaire used for the consultation contained two questions:

- ***Please indicate your interest in the plan? and,***
- ***Do you wish to be notified of future stages of the plan?***

In response to the first question, a significant proportion of the responses were from district and borough residents (67.9%), representations made by agents (consultants) (6.9%), interest groups (6.4%) others such as statutory stakeholders such as the Environment Agency and Natural England (9.3%). Parish and Town Councils comprised 3.3% of responses and 2.8% of consultees who responded to the Plan, did not respond to this question (as shown on Chart 2). It should be noted that some respondents have indicated that they have more than one interest (i.e. interest group and district and borough resident).



In regards to the second question, responses show that a very high proportion of respondents would like to be kept informed of future events, 11 said no, they did not wish to be kept informed and 15 did not respond at all (see Chart 3).



Observations

Based on the feedback presented in this section, the following observations are made:

- Electronic representations (either by email or online) accounts for over half of all responses (55.2%)
- Email is the favoured method for submitting representations (50.4%)
- Online representations accounted for only a small portion (4.8%) of the total responses received
- 67.9% of respondents were borough/district residents
- 96.2% would like to be kept informed of future events¹

Web Responses

It is noted that there has been a particularly poor response rate for responses made on the web based software package known as “Objective”. Only 4.8% of responses were made using this vehicle. By using this means to respond, respondents can ensure that all their comments are made in exactly the right sections. Otherwise, officers when inputting the data may have to decide to which one the respondent is referring, which may not always be clear. This also has major implications for the timescale of the plan as it means officers have to spend a lot of time inputting all the data themselves, which is especially time consuming if the responses are sent in letter form through the post. This is one of the reasons why the plan has been slow in coming forward through each stage.

¹ Since the consultation, the General Data Protection Regulations has come into force which requires WCC to contact all consultees and confirm whether they wish to remain on the policy database, (link to further information about privacy and GDPR: www.warwickshire.gov.uk/privacy).

Section 3: Soundness & legal compliance

Introduction

This section provides feedback on the key issues raised during the consultation in context to whether the Plan is considered legally compliant and if it is 'sound' and the reasons for their response. Representations have been grouped into key issues (largely relating to site based policies) to help organise information easier for analysis and for reporting back. In addition to providing a commentary on the responses received, there is also officer observations on the appropriateness and relevance of the comments made for the continuation of plan making by the authority.

The questions analysed in this section relate to Part B of the questionnaire:

- *Question 1: To which part of the Plan does this representation relate?*
- *Question 2: Do you consider the Plan to be legally compliant?*
- *Question 3: Do you consider the Plan to be 'sound'? If No, please continue to Question 4, otherwise please continue to Question 5*
- *Question 4: Do you consider the Plan is 'unsound' because it is not:*
 - *Positively prepared*
 - *Justified*
 - *Effective*
 - *Consistent with national planning policy*
- *Question 5 - If you consider that the Minerals Local Plan is not legally compliant or is unsound please give details as to why you consider this to be so*

Question 1: To which part of the Plan does this representation relate?

This question asks respondents to state which policy, paragraph or part of the Plan comments refer to. Chart 4 presents how many comments were received on each policy / section of the Plan. In summary, Section 1 (Introduction) received 48 comments, Section 2 (Policy Context) 4 comments, Section 5 (Key Issues for Minerals in the County) 10 comments and Section 9 (Development Management Policies) 10 comments.

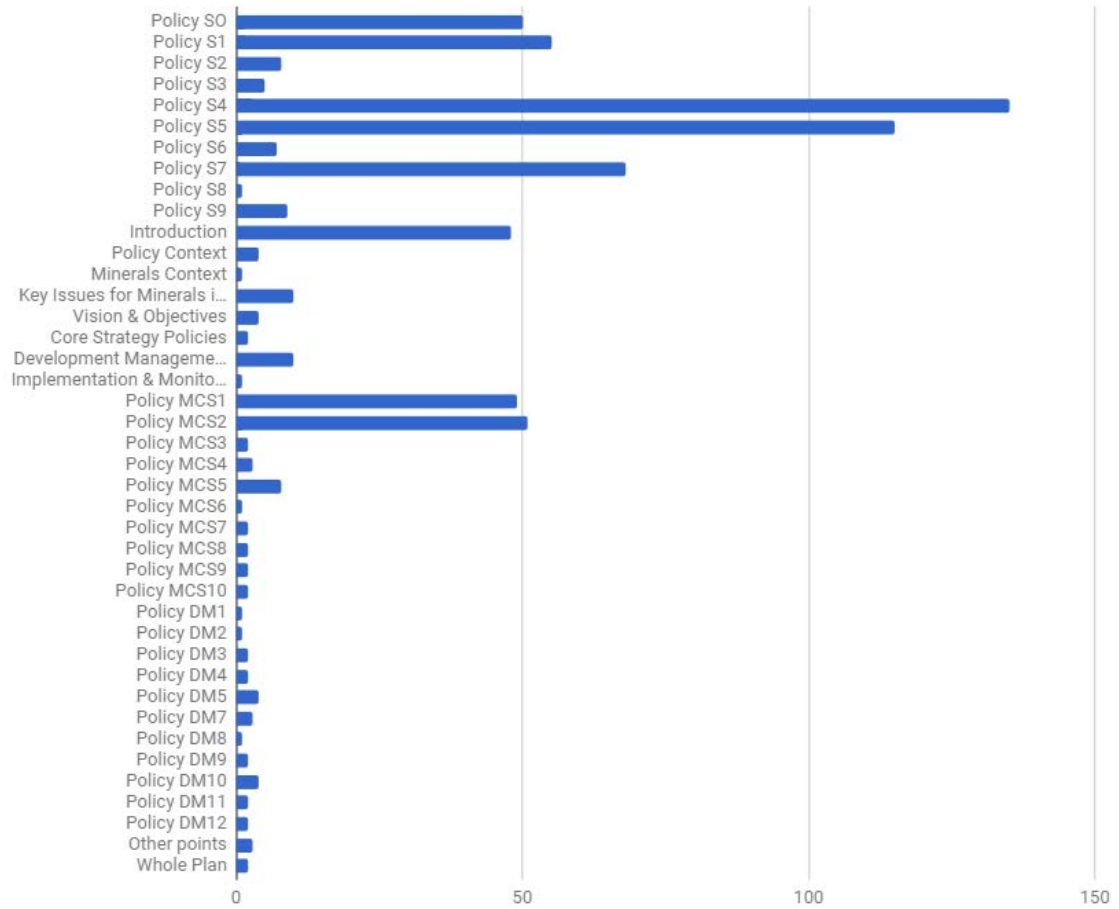
In Section 7 of the plan Policy SO (received 50 comments) provides the overarching policy for the allocation of sand and gravel sites within the County to meet future requirements. As shown in Chart 4, a large number of representations have also been made on the individual site allocation policies. Policy S1 (Bourton on Dunsmore) received 55 comments, Policy S4 (Land at Wasperton) 135, Policy S5 (Glebe) at 115 and Policy S7 (Lower Farm, Salford Priors) 68 comments.

Other notable policies that received large responses relate to the core strategy under Section 8. In particular, Policy MCS1 (Supply of Minerals and Materials) received 49 representations and Policy MCS2 (Sand and Gravel) 51 representations. Below is a list of the policies listed in Chart 4 that have been referred to in the consultation and the number of responses received:

- Policy SO Overarching Policy - Mineral Sites to be Allocated (50 comments)
- Policy S1 Allocation at Site 1 Bourton on Dunsmore (55 comments)

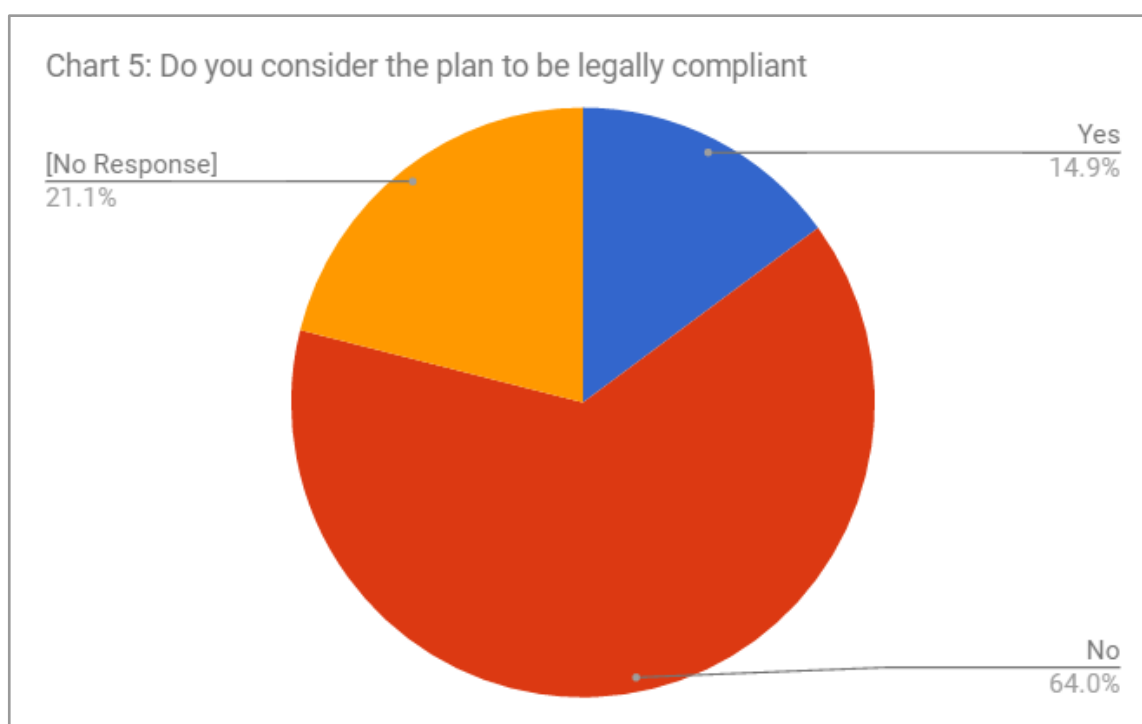
- Policy S2 Allocation at Site 2 Lawford Heath (8 comments)
- Policy S3 Allocation at Sites 3/32 Shawell Quarry (5 comments)
- Policy S4 Allocation at Site 4 Wasperton (135 comments)
- Policy S5 Allocation at Site 5 Glebe Farm, Wasperton (115 comments) Policy S6 Allocation at Site 6 Coney Grey Farm, Ryton (7 comments)
- Policy S7 Allocation at Site 7 Lower Farm, Salford Priors (68 comments) Policy S8 Allocation at Site 8 Broom Court Farm, Bidford (1 comment)
- Policy S9 Allocation at Site 9 Hams Lane, Lea Marston (9 comments)
- Policy MCS1 Supply of Minerals and Materials (49 comments)
- Policy MCS2 Sand and Gravel (51 comments)
- Policy MCS3 Crushed Rock (2 comments)
- Policy MCS4 Secondary and Recycled Aggregates (3 comments)
- Policy MCS5 Safeguarding of Minerals and Minerals Infrastructure (8 comments)
- Policy MCS6 Brick Clay (1 comment)
- Policy MCS7 Building Stone (2 comments)
- Policy MCS8 Coal Mining (2 comments)
- Policy MCS9 Conventional and unconventional Hydrocarbons (2 comments)
- Policy MCS10 Underground Coal Gasification (2 comments)
- Policy DM1 Protection and enhancement of environmental assets and landscapes (1 comment)
- Policy DM2 Warwickshire's Historic Environment & Heritage Assets (1 comment)
- Policy DM3 Green Infrastructure (2 comments)
- Policy DM4 Health, Economy and Amenity - Minimising the Impacts of Mineral Development (2 comments)
- Policy DM5 Sustainable Transport (4 comments)
- Policy DM7 Flood Risk and Water Quality (3 comments)
- Policy DM8 Aviation Safeguarding (1 comment)
- Policy DM9 Reinstatement, reclamation, restoration and aftercare (2 comments)
- Policy DM10 Mineral Safeguarding (4 comments)
- Policy DM11 'Whole Life' Carbon and Resource Efficiency (2 comments)
- Policy DM12 Overall Assessment of Proposals (2 comments)

Chart 4: Representations in relation to the plan



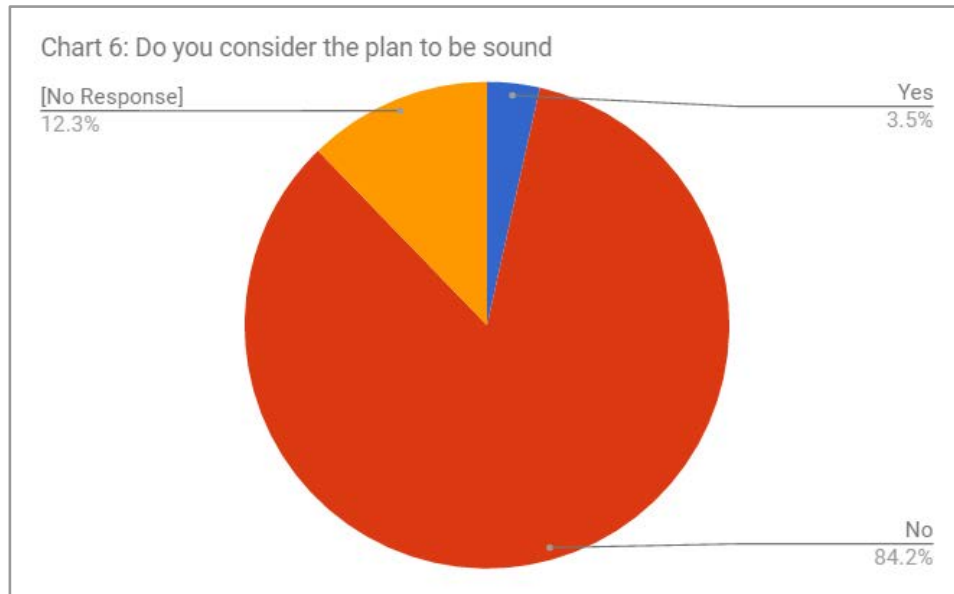
Question 2: Do you consider the Plan to be legally compliant?

This question seeks views as to whether the Plan meets the legal and procedural requirements set out in the regulations such as whether the plan has been prepared in accordance with statutory procedures; the Local Development Scheme and whether consultation has been undertaken in accordance with the Statement of Community Involvement, the requirement for a Sustainability Appraisal has been met and whether a Habitat Regulations Assessment has been prepared as set out in the National Planning Policy Framework. Chart 5 presents the results of those respondents that answered the question, 64% felt that the Plan was not legally compliant, 14.9% felt it was and 21.1% did not respond. Most of those responding to this question did not point to a specific piece of legislative non-compliance by the authority but rather commented that the plan was unsound because a particular site had been allocated in the plan. Where a specific legal non-compliance was cited then it was focussed on the plan not having regard to national planning policy.



Question 3: Do you consider the Plan to be 'sound'? If No, please continue to Question 4: otherwise please continue to Question 5

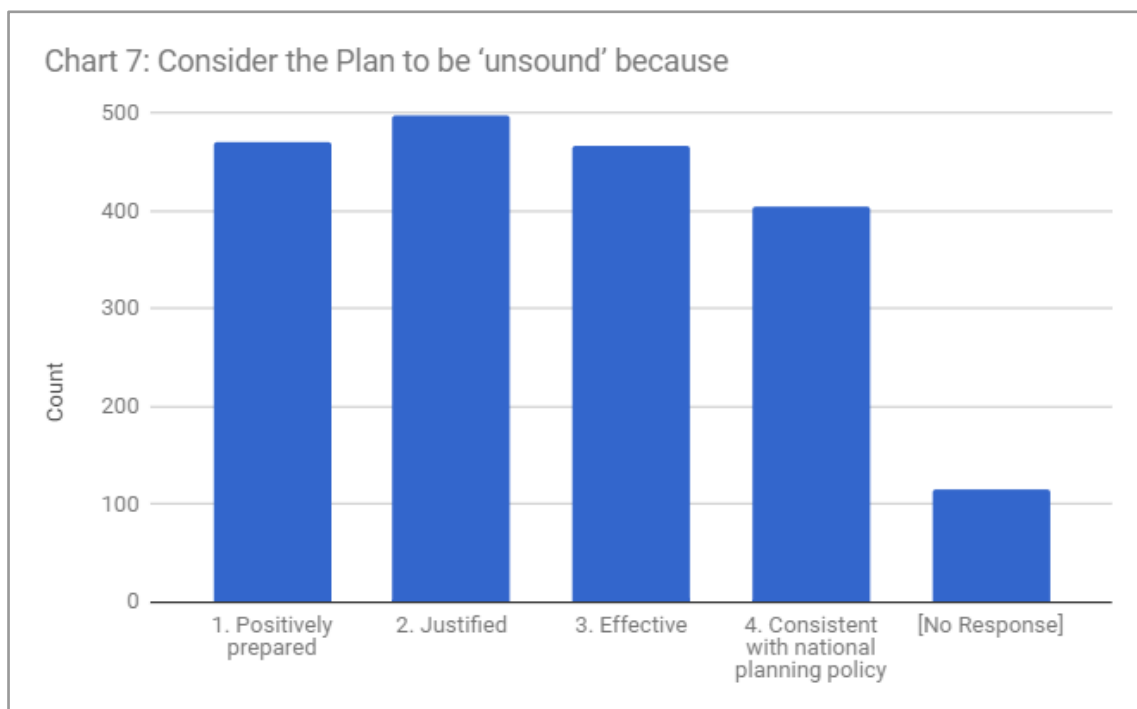
The test of 'soundness' relates to four areas: Positively prepared, Justified, Effective and Consistent with national policy. Consultees were asked if they considered the Plan to be 'sound'. Chart 6 shows the results of those respondents that answered the question, 84.2% felt that the Plan was not sound, 3.5% felt it was and 12.3% did not respond.



Question 4: Do you consider the Plan is 'unsound' because it is not:

- i. Positively prepared**
- ii. Justified**
- iii. Effective**
- iv. Consistent with national planning policy**

This question asks respondents that felt the Plan to be 'unsound' to state which or all of the four tests had not been met. As shown in Chart 7, there is a relatively even split between the four tests with Justified (ii) being considered the main reason why the Plan was felt to be 'unsound'.



Question 5 - If you consider that the Minerals Local Plan is not legally compliant or is unsound please give details as to why you consider this to be so.

This section now turns to the qualitative assessment that looks at why consultees felt that the plan is considered not legally compliant or unsound. As explained above, the majority of comments received relate to site based policies and the plan requirement for future sand and gravel extraction.

Site based responses

The summary below provides feedback and officer commentary on the site allocation policy responses.

Policy SO Overarching Policy - Mineral Sites to be Allocated

According to respondents the level of tonnage in the policy required to be met by the allocations is far in excess of what it actually required if the correct calculation methodology is used. They believe that the actual tonnage required is 1.899 million tonnes and the number of sites required to meet this tonnage should be revised and reassessed accordingly. The cumulative impacts of sites within the Rugby and Coventry area have not been thoroughly assessed and Site 12 has been unreasonably omitted from the plan.

Officer observations – *A separate Topic Paper prepared by Officers addresses in more detail the comments made about the required amount and how it has been calculated. There is a clear difference in opinion about the calculation methodology and how it should be applied taking into account the particular circumstances in Warwickshire with its very low production rate and reliance on one particular site. Officers have checked its methodology and its application with the Aggregates Working Party, the plans of other authorities and locally based evidence.*

Site selection was based on a robust process set out in the Site Assessment Methodology for Allocating Sand and Gravel Sites (October 2016). Further assessments will be required if the plan requirements are lower than previous consultations. Detailed assessments will also be required at planning application stage where more details would be provided by the applicant to objectively assess the environmental impacts of the development and the mitigation measures required to minimise any potential impacts as a result of the development. Site 12 will have to be reassessed in the light of the comments made.

Policy S1 Allocation at Site 1 Bourton on Dunsmore

A number of respondents have referred to representations made by an agent on behalf of the parish council. These comments relate to the removal of this site (and therefore the policy) on the basis that it fails the test of 'soundness' as the Plan over provides on sand and gravel and therefore the site is not needed.

Officer observations - *The Topic Paper deals with this matter in more detail especially the claim that the plan over provides which is disputed. .*

There were comments that the site should be restored to wetlands due to an unacceptable risk of flooding to local villages to the south east (Draycote for example) and the contamination of drinking water. There are also concerns that the restoration will not be to a

satisfactory standard and / or carried out at an acceptable rate causing a delayed onset of blight. Restoration will not be to the original levels and this will have adverse visual effects due to changes in the local landscape which cannot be accommodated.

Officer observations - *The Plan envisages that the site could be restored to agriculture and to nature conservation uses using where feasible imported inert fill and lowering the level of the land. Moreover restoration of sand and gravel sites will be determined as part of the planning application process where detailed information will be available.*

Concerns have been raised that development would pose a serious risk from flooding within the immediate locality and further beyond. A report submitted as additional information on water and hydrology claims that the site is 'a catchment reservoir acting as a sponge for rainfall that eventually drains down to the River Leam' - this report has been referred to by a number of respondents. Representations have also been submitted in relation to the landscaping/screening of the site.

Officer observations - *The issue of flooding was raised in the previous consultation but as reported previously the Environment Agency do not object to the inclusion of the site and that remains their position. Any planning application for mineral extraction would require a Flood Risk Assessment to address any potential flood impacts and potential mitigation measures. Landscaping and screening would be dealt with at planning application stage when more detailed design and assessments would be available.*

Representations suggest the need for a Transport Assessment (TA) as part of when a planning application is submitted that identifies any transport mitigation measures required. Additionally, traffic and routing of HGVs should be agreed to avoid the B4453 (Straight Mile) to the south-west of the A45 as part of any planning application submitted for mineral extraction. There has been dissatisfaction expressed in relation to the existing capacity of the local infrastructure, in particular, road junctions and traffic light management and the ability to manage traffic generated by mineral working at the site.

Officer observations - *Any planning application for mineral extraction would require a Transport Assessment to identify any potential highways issues and potential works and measures to address any issues.*

Site 1 (Bourton on Dunsmore), Site 2 (Lawford Heath) and Site 6 (Coney Grey Farm, Ryton) are in close proximity to each other and is unbalanced in terms of location around Rugby and the Coventry area.

Officer observations - *Extraction can only take place where there are minerals. While the geographical and geological distribution of sand and gravel resources will largely shape the spatial approach other factors have also had an important bearing in choosing the final spatial strategy such as:*

- *Maintaining the spatial distribution of sites across the county;*
- *Maintaining annual production rates through a suite of sites until 2032;*

- *The need to be close to existing and planned development and growth to maintain local deliveries;*
- *Within a locality where working has taken place or planned in the past; and*
- *Focusing on larger sites where possible to minimise the spread of impacts across a large number of local communities.*

The chosen spatial strategy has been subject to a sustainability appraisal details of which can be found in the 2018 Sustainability Report and is shown in the Plan on Figure 1.9.

Issues also mentioned include:

- Dust, pollution, noise and traffic
- Air quality - impact on local area
- Cumulative impacts with Site 2 (Lawford Heath)

Officer observations - *Site assessments have been carried out as part of the site selection process and any detailed studies would be submitted as part of the planning application process. An environmental assessment would identify any potential issues and impacts and the measures required to address them.*

Policy S2 Allocation at Site 2 Lawford Heath

The boundary of the allocation has been revised and the operator supports this, therefore it is considered justified and 'sound'.

Officer observations - *Your officers agree.*

A respondent has requested that due consideration should be given in relation to the following:

- Allocation of residential and employment land southwest of Rugby - as identified in the Rugby Borough Local Plan
- Scheduled Ancient Monuments to the northwest

Officer observations - *Site assessments have been carried out as part of the site selection process and the matters raised have been taken into account when allocating sites and determining the phasing of working.*

Policy S3 Allocation at Site 3/32 Shawell Quarry

As noted in the previous consultation, there have been concerns relating to traffic congestion raised along with suggestions that appropriate mitigation should be implemented.

Officer observations - *The land will be worked back to the existing plant site at Shawell Quarry in Leicestershire by overland conveyors and therefore there will be no access direct from the allocated sites. The continuing suitability of the existing access in Leicestershire will be determined through a Transport Assessment submitted as part of a planning application.*

Representation has been made to ensuring that there is adequate landscaping and screening of the site remains an issue as well as noting that the site is within flood zone 1.

Officer observations - *These matters will be dealt with at the planning application stage.*

Policy S4 Allocation at Site 4 Wasperton

Many of the comments received have been raised in the previous consultation, this includes:

- Traffic
- Effects of increased noise and dust on the communities
- Blight
- Loss of agricultural land
- Impacts on health
- Heritage assets
- Visual amenity and on landscape
- Lack of evidence to substantiate claims that the site can be properly restored
- Better site options available

Officer observations - *Specific issues that have been raised have either been assessed or reassessed as part of the site assessment process or / and will be further assessed as part of the planning application which will include an Environmental Impact Assessment (EIA). Issues relating to blight and property values are not planning matters.*

Concerns have been raised relating to the existing local highway network and that it cannot accommodate the development of the site and that sites considered by the council elsewhere in the county of lower quality agricultural land have been unreasonably discounted.

Officer observations - *The Highways Authority have been consulted and have not raised any objections. Additionally, a detailed transport assessment will be required to accompany any planning application submitted for the extraction of sand and gravel. There are very few sites, if any, of the right size, right location, free from other constraints and having solely Grade 3b or 4 agricultural land.*

Some people have raised concerns about the health implications of sand and gravel extraction even though some recognise that the proposed site is to be located further away from Barford village where there are a number of sensitive receptors.

Officer observations - *The proposed site is located 350m away from Barford Village which will significantly help minimise any potential health impacts. In national planning guidance which is now out of date but referred to by a number of respondents the government said that good practice measures should ensure that the health effects of dust are adequately addressed. The guidance recognised that the relationship of the activities within mineral workings to surrounding land uses will vary from site to site. If PM10's were likely to exceed the Air Quality Objective for the site then you need to assess the impact and effectiveness of any mitigation and determine whether any impact was significant. This can only be achieved through the consideration of detailed designs and assessments submitted at the planning*

application stage. A health impact assessment will be required and will form part of the environmental statement.

The Court of Appeal decision in 1992 and the subsequent Secretary of State's reconsideration of the planning appeal relating to a planning application submitted in 1987 to work minerals at Wasperton, is felt by many respondents to be still relevant and sufficient to reject the allocation of Site 4.

Officer observations - *Pioneer Aggregates submitted a planning application (Ref: W825/871438) for the extraction and processing of sand and gravel on 90.5 ha of land at Wasperton Hill Farm, Wasperton near Barford on 11 December 1987. The planning application was refused by the County Council on 8th April 1988.*

*Pioneer appealed against the County Council's decision and the Secretary of State following receipt of a report of his inspector allowed the appeal subject to conditions on 13th November 1989. The tenant farmer applied to the High Court to have the decision quashed but they dismissed the application. The tenant then applied to the Court of Appeal and in a judgement dated 16th October 1992 the Court of Appeal allowed the appeal and quashed the decision on the basis that the decision was not within the powers of the Act and was not based on adequate reasoning. It did not say that mineral extraction could not take place at Wasperton at that time or even in the future. Following the Court of Appeal decision the Secretary of State re-determined the appeal and dismissed it in a letter dated 21st December 1993. The re-determined appeal (1987 scheme) was found to be not acceptable in terms of the development standards and policies being applied **at that time** and because real supply exceeded real need.*

Those responding are clearly not convinced that the site can be restored back to the site levels and agricultural land quality which exists today and the County Council's attention has been drawn to the failure to properly restore a similar site south of Wasperton village in the 1980's.

Officer observations - *The developer proposes to restore most of the area back to agriculture including all the BMV land with suitable inert material. The water table is not a limitation on restoration. The site is unlikely to be water logged. The developer believes the volumes of inert wastes needed are relatively modest and should be available over the period of the development. The land is unlikely to be lowered. A good restoration scheme supported by planning conditions and regular monitoring by the planning authority and the landowners should ensure that the site is properly restored avoiding the past problems on other sites. The landowners have indicated that they intend to appoint specialist consultants to ensure that the site is properly restored to high quality agriculture. However, there are recent examples where restoration has been carried out to a very good standard this includes an extension to Bubbenhall Quarry (now handed over to Warwickshire Wildlife Trust).*

The County Council is criticised for not seeking in depth and informed independent assessments of all aspects of the proposals to work minerals at the site. For most

respondents the lack of detailed proposals with associated evidence and assessments should be sufficient to discount the site from allocation even at this local plan stage.

Officer observations - *The County Council understands the concerns of local residents but the level of information required at the local plan stage is very different to that expected when planning applications are submitted. Developers did submit further information in support of their sites after the last consultation to address the many issues raised by local communities. But, the view of your officers is that consideration of how mineral extraction might affect certain elements alongside possible harm from other factors which are capable of mitigation is best dealt with when a planning application is submitted. The site has been the subject of several assessments and reassessments in the light of comments made during the plan process.*

There are a number of references to the failure to consider the adopted Barford Neighbourhood Development Plan and its planning policy protecting future development of agricultural land from irreversible loss.

Officer observations - *The designated neighbourhood plan area for Barford does not include Site 4 Wasperton. The northern boundary of the proposed allocation lies 350m to the south of the village.*

Policy S5 Glebe Farm, Wasperton

Many respondents have repeated concerns expressed relating to working sand and gravel at Site 4, for Site 5. The comment in the plan that the site cannot be developed as a standalone site, would suggest that it should not be considered as an allocation in association with Site 4.

Officer observations - *This site is now recommended in the revised Publication Plan 2018 for deletion.*

For those with particular concerns about Site 5 past issues about viability and deliverability remain. They dispute the promoter's claims that the site can release 300,000 tonnes due to the need to provide separation distances from properties and access road and that the site can be worked without significant adverse impacts.

The role of the County Council as promoter as well as plan-maker is felt to be in conflict and driven by vested financial interests rather than the proper planning of the area.

Officer observations – *This site is now recommended in the revised Publication Plan 2018 for deletion.*

Policy S6 Allocation at Site 6 Coney Grey Farm, Ryton

As noted in the previous consultation, there are concerns relating to traffic and that it should be routed via the A45.

Officer observations – *The site will be accessed from the existing roundabout on Oxford Road (A423). The route between the site and existing quarries is largely on "A" class roads*

which are suitable to take large vehicles (HGVs). There are no objections from the Highways Authority. A safe and suitable access can be achieved and the road network has the capacity to take the increase in HGV traffic.

Consideration should be given to great crested newts in the area as well as the fauna and flora.

Officer observations - *Protected species surveys and the provision of suitable measures to protect and where appropriate enhance the special features of Brandon Marsh SSSI and Ryton Woods SSSI and the River Avon LWS and Siskin Drive Bird Sanctuary LWS will be required. These will form part of the Environmental Statement to accompany the planning application required to implement this allocation.*

The site is within flood zone 3.

Officer observations - *There is no objection from the Environment Agency to the inclusion of this site. Any planning application for mineral extraction would require a Flood Risk Assessment to address any potential flood impacts and potential mitigation measures.*

Policy S7 Allocation at Site 7 Lower Farm, Salford Priors

A number of responses have referred to a detailed report (an environmental report covering several subject areas) produced by "Salford Priors Against Gravel Extraction" (SPAGE). It is stated that this report has not been acknowledged, considered or responded to by WCC.

Officer observations - *This site is now recommended in the revised Publication Plan 2018 for deletion.*

Respondents have raised concerns relating to the potential impacts of quarrying in particular fine silicate dust will be a human health hazard.

Officer observations - *This site is now recommended in the revised Publication Plan 2018 for deletion.*

Impact on ecology has been mentioned several times however, specific reference is also made to turtle dove.

Officer observations - *This site is now recommended in the revised Publication Plan 2018 for deletion.*

Information was requested from WCC, however, this was not provided on the basis that WCC considered the information as commercially sensitive at the time.

Officer observations - *This site is now recommended in the revised Publication Plan 2018 for deletion.*

Comments have been received to site arrangements, in particular, the site will have two access points and material will be transported from the southern site to the northern site for

processing. Respondents dispute the amount of material that will be transported for processing and that this would affect the highway (B4088) and that it would be more sustainable to either have a conveyor belt linking the northern and southern site or a controlled crossing. Representations have also included the suggestion to seek agreement with the Marsh Farm landowner to use their access.

Officer observations - *This site is now recommended in the revised Publication Plan 2018 for deletion.*

There has been no timescale for the second phase for extraction - this could become open ended and not possible to judge the effectiveness of the plan. This would compromise the soundness of the Plan.

Officer observations - *This site is now recommended in the revised Publication Plan 2018 for deletion.*

There is concern about Severn Trent works near to the site adjacent to residential properties.

Officer observations - *This site is now recommended in the revised Publication Plan 2018 for deletion.*

Representation claims that informing communities via public notice is insufficient and accessibility to information limited to libraries to those that do not have access to a computer. Furthermore, electric formation was difficult and off-putting.

Officer observations - *This site is now recommended in the revised Publication Plan 2018 for deletion.*

Respondents felt that the Plan is 'unsound' as it is not justified in terms of sustainability or its effectiveness in delivery.

Officer observations - *This site is now recommended in the revised Publication Plan 2018 for deletion.*

The consultation process has been reported as being superficial and a box-ticking exercise.

Officer observations - *This site is now recommended in the revised Publication Plan 2018 for deletion.*

A representation has been made referring to the Salford Priors Neighbourhood Plan, in particular, that WCC has commenced work on the Minerals Plan independently and without consultation or recognition of the Neighbourhood Plan. Therefore, conflicts with national planning policy and undermines the Neighbourhood Plan.

Officer observations - *This site is now recommended in the revised Publication Plan 2018 for deletion.*

Respondents felt that Plan may be legally compliant, however, they felt that comments from previous consultations had been dismissed as irrelevant. Additionally, others felt that their comments had not been acknowledged and/or adequately taken into account in the consultation report that was presented to Cabinet (October 2016) in relation to the previous consultation. Set out below are the representations that featured in the previous consultation:

- Site location not environmentally acceptable - more sustainable alternatives
- Site covers both Warwickshire and Worcestershire markets - only Stratford would benefit within Warwickshire
- Site is not close to any main settlement
- A 100 metre stand off from properties would reduce the overall tonnage of sand and gravel, therefore, affecting the viability of the site for extraction
- Land is in agricultural use
- There is an overhead electric line that runs diagonally across the northern site
- There is an understanding of the need for raw construction materials were recycled material is either insufficient or not available
- Marsh Farm quarry, near to Salford Priors has impacted in relation to vehicle movements, highway safety, noise and dust pollution
- Devalue of properties and blight
- Activities would result in distress to village life - not justified
- Conflict of interest - WCC is the landowner and would financially gain from extraction
- Mud on the road
- HGVs travelling along School Road near to the school - school threat of closure as a result of quarry
- Proximity to Park Hall Complex and properties on the boundary - impact on residents in terms of noise and particulate pollution
- Contradicts parts of the Minerals Local Plan, including the Sustainable Community Strategy and Vision and Objectives
- Retain existing hedgerows
- Sustainability not based on sound evidence and contains contradictions
- Flooding - it is felt that extraction of sand and gravel would remove the 'sponge effect' during heavy rainfall - there is also a technical report provided. Nearby properties would be affected by this and that WCC has not sufficiently considered effects of this
- Risk Assessment - injuries relating to quarry activities
- Quality of life/wellbeing as a result of quarry activity
- Visual and wildlife
- Impact on the local economy includes a bed and breakfast that forms part of a home and public house
- Dissatisfaction with WCC officers at community meeting

Officer observations – *This site is now recommended for deletion in the revised Publication Plan 2018.*

Policy S9 Allocation at Site 9 Hams Lane, Lea Marston

One of the key points made by those responding to Site 9 is that it could be replaced by the combination of Sites 10, 11 and 12 and surrounding land as these sites will be directly affected by works to construct HS2 and the Kingsbury Road Railhead and that they allegedly contain the same mineral resource.

Officer observations - *Sites 10 and 11 were rejected because they were directly affected by HS2, too small, the potential impacts on adjacent properties and land uses, landscape and visual impact and viable resources were not confirmed. Site 12 was rejected because it is directly affected by HS2, impact on heritage assets, visual impacts and viable resources were not confirmed.*

There are particular concerns that the current extent of the HS2 and Railhead works have not been factored into the decision to allocate the site into a locality where substantial development and associated impacts are to take place for the next decade. One respondent has suggested that working the site should be deferred until after HS2 is constructed to reduce the impact on the locality. HS2 may also require land where materials will need to be worked (borrow pit) if there is a material requirement shortfall in the project even though none have been requested by the developer of HS2 so far.

Officer observations - *This site is required to supply materials to the general construction market in the general area and beyond. Detailed concerns about the impact of working this site and the HS2 project will be considered at the detailed planning application stage or by the HS2 project. Reference has been made to HS2 in the document. The site could be worked out during the plan period and therefore within the lifetime of the construction works for HS2.*

The ability to separately access the site and accommodate vehicle movements on the local highway network when local roads will be expected to take a substantial increase in construction traffic arising from HS2 is also questioned although another respondent suggests flexibility be inserted into the site allocation policy to allow access to surrounding A roads.

Officer observations - *there will be some cumulative effects of working the site with the HS2 project but they will be temporary. However, there may be opportunities to improve the restoration of the site. By using an overland conveyor and working the site back to Dunton Quarry some effects can be minimised. Phased working and restoration will help minimise any potential adverse impacts.*

There is a call for more emphasis to be placed on restoring the site to biodiversity and another to provide more flexibility in the final restoration options.

Officer observations - *Whilst the County Council recognises that the site occupies a location which could provide opportunities for increased biodiversity and ecological linkages the level of prescribed provision for biodiversity must be balanced against the policy objective (NPPF paragraph 143 eighth bullet point) of safeguarding the long term potential of best and most versatile agricultural land. The wording in the plan strikes the right balance. The issue can of course be revisited at the planning application stage when all the*

information and evidence in support of the proposals will be available. Proposals to change the use of the site after restoration should be pursued through the borough council's local plan.

Specific core strategy and development management policies

This part of the section provides a summary of representations received relating to specific core strategy and development management policies:

MCS 1 Supply of Minerals and Materials

Some respondents are seeking the inclusion of a quantified provision including an appropriate figure or target figure as a minimum for alternative aggregates in the policy and for alternative materials to be given first priority in terms of future supply and in calculating the local plan requirements and determining future planning applications. Others require the policy to be worded in strict compliance with the wording in the NPPF and for it to be less restrictive about non allocated sites.

Officer observations - *This is dealt with in more detail in a separate Topic Paper. While the County Council understands that such information might be helpful in providing clarity and certainty in terms of amounts of provision for secondary and recycled aggregates to be made, the demand, market, type and quantity of feedstock, limited product range and calculation methodology must all be capable of rigorous assessment and scrutiny and agreement between the relevant parties. In the opinion of the County Council such a situation in Warwickshire is plainly not evident at this time. There is no agreement on what the "amounts" relates to. Do they relate to permitted capacity, production or sales? .*

MCS2 Sand and Gravel

It is felt that the approach taken is erroneous in that the wrong figures have been used, no account appears to have been taken of current permitted reserves and the recent approval at Brinklow Quarry, and provision has been made beyond the end of the plan leading to an overprovision which is not justified. The figures in the policy do not match those in the latest local aggregate assessment. The policy is also felt not to be sufficiently flexible to respond to changing circumstances. Other respondents require the policy to be worded in strict compliance with the wording in the NPPF and be less restrictive about non allocated sites.

Concern raised that the Plan is based on an average of 10 years sales data as referred to in the LAA (October 2016) and that it should be more based on 3 years sales data to show a general trend of demand. The 3 year average is lower than the 10 year average and that the Plan is unsound as it over estimates the demand for sand and gravel.

Officer Observations - *This matter is dealt with in more detail in a separate Topic Paper. In view of the need to take account of any reassessment of reserves at sites, the required 7 + year landbank to be provided throughout the plan period and any contingency for the fragility of the current productive capacity in the county, the likely impact of future processing plant closures, the expiration of planning consents for mineral infrastructure, the lack of investment in new or replacement sites, the apparent reshaping of the local minerals industry in response to the recession, the very low number of continuing operational sites, the possible geographical disparity between future growth and existing quarries and the*

need to minimise reliance on imports there is clear justification for providing the provision set out in the plan.

MCS 3 Crushed Rock

Respondents require the policy to be worded in strict compliance with the wording in the NPPF and also for it to be less restrictive about sustainable extensions to existing sites.

Officer Observations - *The policy reflects the known position on crushed rock resources in the county and the impact of possible constraints, the limitations on further development at Mancetter Quarry, the potential for other sites to be reactivated as demand increases, and the level of imports into the county.*

MCS 4 Secondary and Recycled Aggregates

This policy is supported by one respondent but another wishes it to be strengthened as regards to Dunton Quarry.

Officer Observations - *The importance of Dunton Quarry is mentioned in the reasoned justification and that can be used when planning applications are submitted in the future to make the site permanent.*

MCS 5 Safeguarding of Minerals and Minerals Infrastructure

Some respondents believe that the wording does not deliver an effective mineral safeguarding policy with its reliance on small scale geological resource mapping. The inclusion of specific Mineral Consultation Areas is seen as a possible solution to the problem providing more accurate large scale mapping. The absence of specifically defined separation distances around all key minerals infrastructure in the county is felt to be unsound. Others require clarification on mapped areas when resources are exhausted. There is also support for the policy wording. Concern has been expressed that the policy should not prejudice or impede development in the Rugby area.

Officer Observations – *This policy has been reviewed and re drafted.*

MCS 6 Brick Clay

The policy is felt not to be worded in strict compliance with the wording in the NPPF. Elsewhere the need to recognise a specific supply arrangement for clay to a neighbouring area has been flagged up.

Officer Observations - *The supply arrangement has been acknowledged. .*

MCS 7 Building Stone

One respondent feels that the policy should omit implications that dimension stone production needs to be controlled or curtailed. Another is concerned that the policy restriction in the Cotswold AONB will increase pressure to work materials elsewhere which is unlikely to be sustainable.

Officer Observations - *The policy has been reviewed and re-drafted.*

MCS 8 Coal Mining

This policy is supported by one respondent but one respondent requires the policy to be replaced by a single policy with a presumption against fossil fuel extraction.

Officer Observations - *A single policy with a presumption against fossil fuel extraction would not be consistent with national policy set out in paragraphs 147 and 149 in the NPPF and therefore is unsound.*

MCS 9 Conventional and unconventional Hydrocarbons

This policy is supported by one respondent but one respondent requires the policy to be replaced by a single policy with a presumption against fossil fuel extraction.

Officer Observations - *A single policy with a presumption against fossil fuel extraction would not be consistent with national policy set out in paragraphs 147 and 149 in the NPPF and therefore is unsound.*

MCS 10 Underground Coal Gasification

This policy is supported by one respondent but one respondent requires the policy to be replaced by a single policy with a presumption against fossil fuel extraction.

Officer Observations - *A single policy with a presumption against fossil fuel extraction would not be consistent with national policy set out in paragraphs 147 and 149 in the NPPF and therefore is unsound.*

DM1 Protection and enhancement of environmental assets and landscapes

There is some concern that the policy does not reflect the latest emerging national and local policy on the protection of ancient woodland. Others are concerned that the supporting text could place overly onerous burdens upon developments in terms of biodiversity offsetting and biodiversity impact assessments.

Officer Observations - *The policy is reasonable but changes have been made to the wording in the reasoned justification to clarify matters.*

DM2 Warwickshire's Historic Environment & Heritage Assets

A statutory consultee requires a further amendment to the wording of the policy to bring it in line with the NPPF and NPPG.

Officer Observations - *The policy change is acceptable . . .*

DM3 Green Infrastructure

A clarification is required in the supporting text concerning minerals development in the Green Belt.

Officer Observations - *A change to the wording has been made..*

DM4 Health, Economy and Amenity - Minimising the Impacts of Mineral Development

An update to the supporting text has been requested by one statutory consultee.

Officer Observations - the update is acceptable.

DM5 Sustainable Transport

The policy requires transportation distances to be minimised but one respondent believes that to be overly onerous to developers and therefore the relevant references should be deleted. A hyperlink mentioned in the supporting text needs to be changed.

Officer Observations - the policy is reasonable and needs no change.

DM6 Rights of Way and Recreational Highways

No comments received.

DM7 Flood Risk and Water Quality

There is concern from one respondent that the policy does not allow ancillary activities within the functional floodplain and this is said to be inconsistent with the national policy. The EA supports the policy but the supporting text needs to refer to a geomorphology assessment where a site borders a watercourse.

Officer Observations - The policy is consistent with national planning policy and requires no further changes..

DM8 Aviation Safeguarding

The policy is felt to be too widely drawn and therefore not effective. It should be rewritten.

Officer Observations - The policy is consistent with national planning policy but the reasoned justification has been amended.

DM9 Reinstatement, reclamation, restoration and aftercare

No comments received

DM10 Mineral Safeguarding

The reference to “overriding need” needs to be clarified. One respondent requires the policy to provide a stronger and clearer method for screening development in mineral safeguarding areas. The policy should not apply to proposed site allocations in district/borough local plans. There needs to be greater flexibility to allow for prior extraction of minerals.

Officer Observations – The policy has been revised and updated

DM11 ‘Whole Life’ Carbon and Resource Efficiency

The policy is felt to be incapable of enforcement, is overly onerous and not justified and therefore should be deleted.

Officer Observations - The policy wording and supporting text have been revised. .

DM 12 Overall Assessment of Proposals

This policy does not take into account the individual circumstances/merits of each individual planning application nor the requirements for mitigation. It is also felt to be overly onerous to developers and therefore should be deleted.

Officer Observations - the policy is reasonable and has not been changed

Other sections of the plan

Representations have included sections of the Plan, a summary of relevant planning matters are set out below:

Some respondents have requested changes to the introductory text as a result of other representations they have made, the wording of some of the key issues, and a change to the wording of the spatial vision.

A change to the key diagram is requested to include reference to crushed rock and a change to some of the terms in the Glossary and the appendices. A number of respondents have requested sites and areas to be excluded from the mineral safeguarding maps to reflect planning permissions granted, their assessment that mineral working is unlikely to take place under existing development and to reflect proposals in local plans to allocate sites for future development.

Summary officer observations - Where change has been justified then it has been made

Section 4: Comments on how the plan could be changed

Introduction

Section 2 and 3 has shown that a significant amount of representations specifically relate to site based allocation policies. This section will provide a summary of changes that have been put forward by respondents based on Question 6 of the questionnaire:

- *Question 6 - Please set out any change(s) that you consider necessary to make the Minerals Local Plan legally compliant or 'sound', having regard to the test you have identified at Question 4 above where this relates to 'soundness'.*

Feedback is provided in the form of a summary on how the Plan could be changed to make it legally compliant or 'sound'. Officer comments are also provided (in *italics*).

Suggestions made on the Plan

A summary of these proposed changes are set out below:

Install adequate flood alleviation scheme to direct excess water as a result of extraction away from the village of Draycote and tributaries feeding the river Leam.

Officer observations - *this can be addressed by a Flood Risk Assessment submitted at the planning application stage for the allocation at Site 1 Bourton*

Based on the Cabinet meeting (6th October 2016), it was unclear as to whether removing a site would be considered as minor amendments to the Plan.

Officer observations - *The removal of a site is not considered to be a minor amendment and therefore the Plan would be required to repeat the Publication consultation (as set out in Regulation 19 and 35 of the Town and Country Planning (Local Planning) (England) Act 2012).*

Reference has been made to the existing planning conditions relating to Wolston Fields Farm and this should also be applied to Site 6 (Coney Grey Farm).

Officer observations - *the imposition of detailed planning conditions will be dealt with at planning application stage - it is envisaged that a consistent approach to managing conditions is applied throughout Warwickshire minerals developments.*

Stand-off between individual properties must be 200m not 100m. In some cases, this is suggested as 350m.

Officer observations - *100m is considered adequate at the local plan stage. The exact stand-off will be determined at planning application stage when all the information is available.*

Better noise and dust prevention measures.

Officer observations - the 100m stand-off should help minimise the impact of noise and dust, however, the detailed mitigation measures will be determined at planning application stage and on a site by site basis.

Better enforcement is required relating to mud on the highway from vehicles using the site.

Officer observations - it is acknowledged that mud on the highway is one of the common concerns and can pose a highway safety issue if not adequately addressed at the site level. WCC planning officers and enforcement officer work closely with operators to ensure that no problems arise and when they do they are addressed at the earliest opportunity. Planning conditions imposed based on site operations and working closely with operators is the best way to manage mud on the road.

Move the proposal somewhere else / better sites elsewhere.

Officer observations - A call for sites was undertaken to identify appropriate sites and a clear spatial strategy selected to reflect geographical, resource and market considerations. These sites have been assessed using a robust methodology and a Sustainability Appraisal.

Undertake a study on dust emissions to ensure compliance with appropriate environmental standards.

Officer observations - studies will be undertaken at planning application in relation to any impacts to health (including dust) and this will determine the appropriate mitigation to reduce or eliminate any unacceptable adverse impacts in relation to dust.

Charlecote Park needs protection from any adverse impact to the character of the area and the setting of the historic park.

Officer observations - Site selection has included a robust process as set out in the Site Assessment Methodology for Allocating Sand and Gravel Sites (October 2016). Further assessments will be carried out at the planning application stage where more details would be provided by the applicant to objectively assess the environmental impacts of the development and set out the mitigation measures required to minimise any potential impacts as a result of the development.

The Council should actively look at alternative forms of materials supply whether recycling, importing, etc.

Officer observations – A separate Topic Paper has addressed comments relating to plan requirements.

Reference made to the form used for the consultation and how difficult it was to use.

Officer observations - the questions contained within the questionnaire are based on a guidance set by the Planning Inspectorate and are widely used by other planning authorities. These questions are pertinent to assist the inspector with his/ her assessment of the Plan.

Section 5: The Duty to Cooperate

Introduction

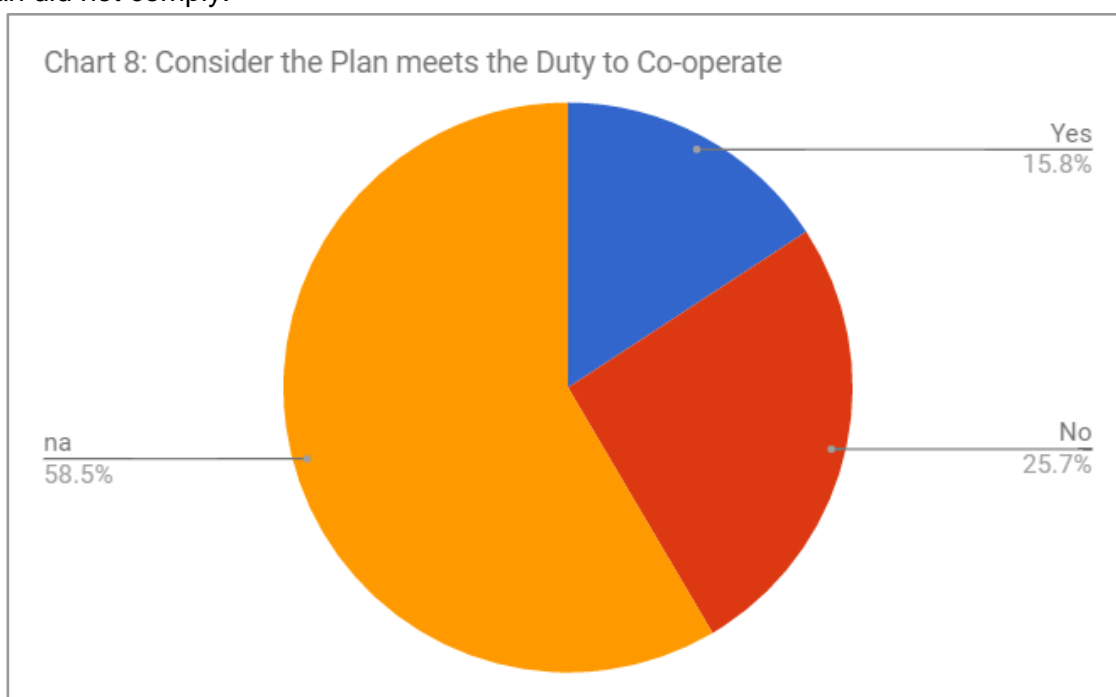
The Duty to Co-operate is a legal test that requires cooperation between local planning authorities and other public bodies to maximise the effectiveness of policies for strategic matters in Local Plans. Respondents were asked if the Plan complies with the Duty to Co-operate and to provide reasoning to their response:

- Question 7: Do you consider the Minerals Local Plan complies with the Duty to Co-operate?
- Second part of Question 7 (as to why the Duty to Co-operate comply or fails)

This section identifies the amount of respondents that felt the Plan does or does not comply with the Duty to Co-operate followed by examples of the reasons given even though they are more related to the soundness of the plan.

Compliance with the Duty to Co-operate

Chart 8 shows that 58.5% did not respond or chose to answer 'not applicable' as to whether the Plan complies with the Duty to Co-operate. 15.8% felt that it did and 25.7% felt that the Plan did not comply.



Responses included:

- Danger to the river and human health
- Impact on the Neighbourhood Plan
- No integrated communication with Barford village and Neighbourhood Plan
- No evidence to minimising impacts (safety, economy, national planning guidance, land classification, traffic, noise, blight, flooding, dust emissions, biodiversity, cultural heritage, landscape, archaeology or health issues)

Officer observations - *The above examples show that the majority of comments do not directly relate to the cooperation between local planning authorities and other public bodies.*

There was a misunderstanding as to what the 'Duty to Cooperate' means. It is not whether the county council has adequately consulted with consultees on the plan it is a legal test to ensure that Local Authorities and other Public Sector Bodies have cooperated with each other.

Section 6: Attendance at examination

Introduction

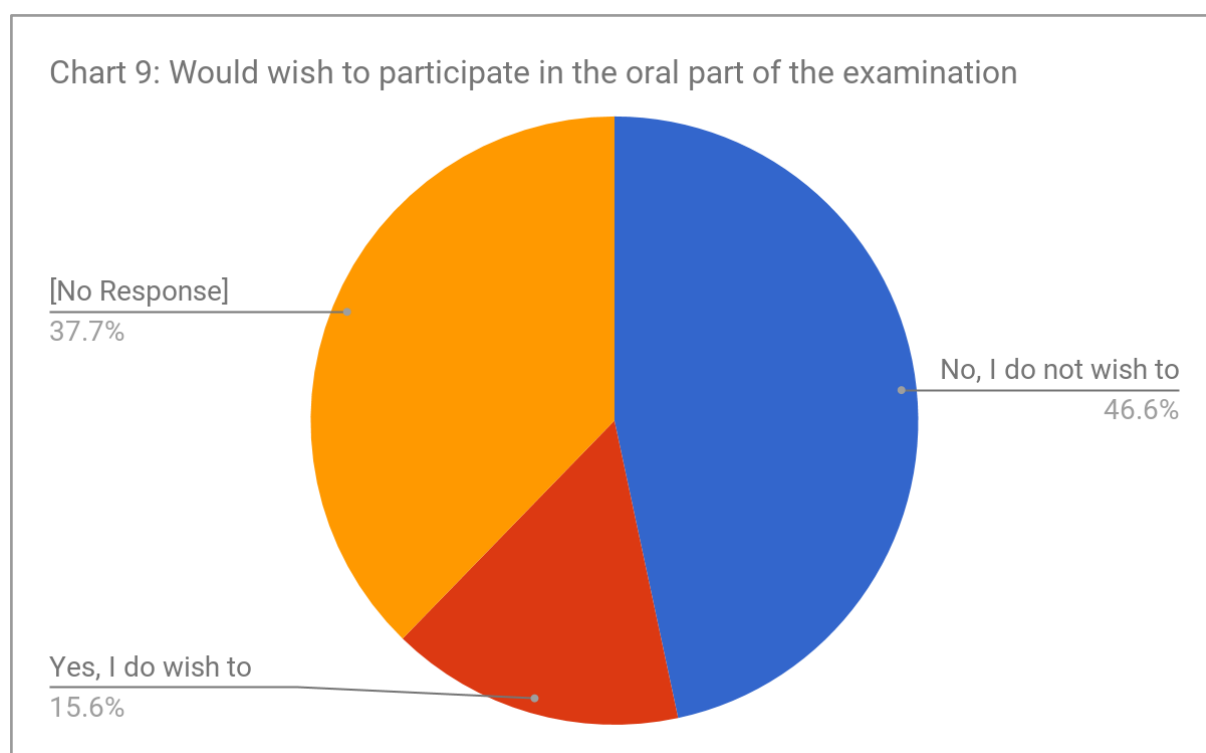
This section reports on those that showed an interest in attending the oral sessions of the examination. It also sets out the reasons as to why respondents have requested attendance:

- *Question 9 - If you wish to participate at the oral part of the examination, please outline why you consider this to be necessary.*

The Planning Inspector will review comments submitted and reasons as to why respondents wish to participate in the oral part of the examination and call those that s/he wishes to speak / participate to the hearing.

Attendance at the oral part of the examination

Chart 9 shows that only 15.6% would wish to participate at the oral examination, 46.6% said no and 37.7% did not respond to this question.



Reason for attendance at hearing

Only 15.6% of respondents wish to participate in the oral part of the examination and below is a summary of the reasons given:

- Consider that the location is inappropriate for extraction (listing a number of reasons)
- The Dunton site is considered critical part of the overall provision of aggregates in the county
- Bourton & Draycote Parish Council represent local residents that will be directly affected by policies and would like to ensure views are taken into account

- The Plan fails to consider the cumulative effects, therefore, not fairly assessed the impacts of Site 9
- Representations as County Councillor
- Traffic issues at Princethorpe are complex - want to ensure issues are properly considered
- Site allocation of Site 4 and 5 are contrary to national planning policy
- An opportunity to explain why site should not be allocated in the Plan
- Consider this as the last opportunity to raise comments
- Interested in observing the examination process
- Process has been unfair and not meaningful
- Wish to participate should it be necessary
- Salford Priors Parish Council consider it their duty to present their parishioners
- Assist WCC and the Inspector when considering the representation and any further investigation required
- Opportunity to expand on objections made
- WCC as landowner and promoter of three of the allocated sites would like to contribute to the soundness and success of the Plan
- As district councillor for Barford/Wasperton, attendance to hearing would be an opportunity to present residents of the villages
- Several properties in close proximity to Site 4 and 5 will be detrimentally affected by the proposal for extraction
- Not sure points raised have been passed onto WCC
- Do not feel that WCC will represent their views appropriately
- Plan is 'unsound'
- Joint Parish Council is willing to participate if required by the Inspector
- To further articulate the interrelationship between mineral safeguarding policies and the delivery of non-minerals development
- Would participate in oral examination if no one else challenges Site 5

Summary officer observations - *As previously mentioned, the Planning Inspector will be forwarded a set of all comments made during the consultation and any invite to participate at the oral part of the examination will be at his / her discretion.*

Section 7: Conclusion

A summary of the key issues raised during the Publication consultation has been presented highlighting key planning matters. The majority of representations refer to comments that have previously been made. These include policies relating to site allocation and the amount of sand and gravel required throughout the Plan period.

The Publication stage is a technical part of the plan making process and is primarily focussed on legal compliance, the Duty to Cooperate and the test of 'soundness'. When the Plan is submitted to the Inspector for examination, all comments made during the Publication consultation stage will be forward to the Inspector. However, comments have also been helpful to understand concerns raised by local communities and how these can be addressed going forward.

The Topic Paper that accompanied the Cabinet Report (October 2017Cabinet) addressed those issues relating to recycled aggregates and the plan requirements for sand and gravel. Additionally, the 2017 Local Aggregates Assessment identified a potential overprovision of sand and gravel and as a consequence requested the sites be reviewed. The number of sites required to meet the plan requirements has reduced requiring that sites have been removed from the Plan: consequently the deletion of Site 5 (Glebe Farm, Wasperton) and Site 7 (Salford Priors) has been recommended.

Appendix 1: Glossary

Term of reference	Definition
Aftercare	The management and treatment of land for a set period of time immediately following the completed restoration of a mineral workings to ensure the land is returned to the required environmental standard.
Aggregates	Sand, gravel crushed rock and other bulk materials used by the construction industry.
Apportionment	The proportional split of the regional guidelines for the supply of aggregates for the West Midlands which is shared between the Mineral Planning Authorities.
Area of Outstanding Natural Beauty (AONB)	These are statutory designations under the National Parks and Access to the Countryside Act 1949. The primary objective is the conservation of the natural beauty of the landscape.
Biodiversity	There are three distinct levels to biodiversity: The variety of ecosystems and habitats (woodland, grasslands and wetlands), The number of different species and The genetic variation within individual species. Some examples of biodiversity include; meadows full of wild flowers, hedgerows full of blossom, and woods filled with birdsong.
Borrow Pit	A temporary and usually small scale mineral extraction operation specifically to supply mineral to a major construction project nearby.
Carboniferous	A division of geological time from around 360-290 million years ago.
Clay	A very fine-grained mineral with particles measuring less than 0.002mm. It has high plasticity when wet and considerable strength when air-dry. It is a very useful engineering material.
Coal	Combustible mineral formed from organic matter (mostly plant material). A fossil fuel most commonly used in energy production.
Crushed rock	Naturally occurring rock which is crushed into a series of required sizes to produce an aggregate.
Development Control Policies	A set of criteria-based policies required to ensure that all development within the area meets the vision and strategy set out in the plan.
Environment Agency (EA)	The principal environmental regulatory body in England and Wales. Responsible for promoting improvements in waste management, permitting waste management facilities including landfills and ensuring consistency in regulation across England and Wales.

Flood Zones	These are areas that could be affected due to flooding from rivers. Flood zone 3 indicates the extent of a flood (1 in 100) chance of happening in any year. Flood zone 2 indicates the extent of an extreme flood with a 0.1 per cent (1 in 1000) chance of happening in any year. Flood zones are defined in planning policy for England and are produced ignoring the presence of existing flood defences, since defences can be 'overtopped' if a flood occurs which is higher than the defences are designed to withstand. Defences can even fail in extreme events.
Green Belt	Areas of land defined in Structure Plans and district wide Local Plans that are rural in character and adjacent to urban areas, where permanent and strict planning controls apply in order to check surrounding countryside from further encroachment; prevent neighbouring towns from merging into one another; preserve the special character of historic towns and assist urban regeneration.
Green Infrastructure	Green Infrastructure is a network of high quality green spaces and other environmental features. It is a resource capable of delivering a wide range of environmental and quality of life benefits for local communities. Included in Green Infrastructure are parks, open spaces, playing fields, woodlands, allotments and private gardens. Key considerations for green infrastructure are the functions or ecosystem services it provides. It should be considered at a broader scale than is necessarily the case for individual areas.
Jurassic	A division of geological time from around 200-135 million years ago.
Landbank	Landbanks of aggregate mineral reserves, or aggregate landbanks, are principally a monitoring tool to provide a mineral planning authority with early warning of possible disruption to the provision of an adequate and steady supply of land-won aggregates in their particular area. Aggregate landbanks should be used principally as a trigger for a mineral planning authority to review the current provision of aggregates in its area and consider whether to conduct a review of the allocation of sites in the plan. In doing so, it may take into account the remaining planned provision in the minerals local plan. A landbank is also a set of sites with planning permission to work minerals.
Local Development Scheme (LDS)	Sets out the programme for the preparation of the Local Development Documents.
Mineral Consultation Areas (MCAs)	MCAs define broad areas in which the presence of minerals resources has been identified but not assessed in detail. Currently Warwickshire County Council's MCA's define areas where there is a presence of aggregate resources. This has been supplied to all five District Councils within the County. As Mineral Planning Authority Warwickshire requires to be consulted on all planning applications falling within the Mineral Consultation Areas with the following exceptions. Development in accordance with the allocations of an adopted or deposited local plan, Householder applications such as extensions to houses, Reserved Matter

	applications unless the Mineral Planning Authorities specifically requested consultation at the outline stage, Minor developments, such as fences, walls, bus shelters, Applications for listed buildings unless specifically requested, Advertisement applications, Extensions or alterations to an existing use/building which do not fundamentally change the scale and character of the use/building, but sub-division of a dwelling will require consultation.
Mineral Development	An activity related to the exploration for the extraction and working of minerals, including tipping of soil and ancillary operations such as the construction and use of processing plant.
Mineral Reserves	Mineral deposits which have been investigated and are proven to be of economic importance due to the quality, quantity and nature of the deposit and benefit from an existing planning permission.
Mineral Resource	A potential source of mineral where the deposits nature, quality and quantity has yet to be assessed or is not yet economic.
Mineral Safeguard Areas	Since minerals are a non-renewable resource, minerals safeguarding is the process of ensuring that non-minerals development does not needlessly prevent the future extraction of mineral resources, of local and national importance.
Minerals Plan Document	A document which sets out the long term vision, objectives and strategy for mineral development across Warwickshire up to 2032 and provides the framework for mineral development control.
National Planning Policy Framework (NPPF)	Sets out the government's planning policies for England.
Permitted Reserves	Mineral deposits with the benefit of planning permission for extraction.
Planning Inspectorate (PINS)	The Government agency responsible for scheduling independent examinations. PINS employ planning inspectors who sit on independent examinations.
Primary Aggregates	Material extracted or produced from natural occurring mineral deposits used as an aggregate.
Public Consultation	A process through which the public is informed about proposals by the planning authority or developer and invited to submit comments.
Quarry	A type of open pit mine from which rock or minerals are extracted. They are often shallower than other types of open pit mine.
Reclamation	The process of returning an area to an acceptable environmental state, whether for the resumption of the former land use or for a new use. It includes restoration, aftercare, soil handling, filling and

	contouring operations.
Recycled Aggregates	Aggregates produced from recycled construction waste such as crushed concrete, road planing's etc.
Recycling	Involves the reprocessing of waste materials, either into the same product or a different one.
Restoration	Once mineral developments have ceased sites are required to be returned to an acceptable environmental state whether this be a continuation of the existing land use or the creation of a new one.
Re-use	The reuse of materials in their original form, without any processing other than cleaning. This can be practised by the commercial sector with the use of products cleaned.
Sand and Gravel	A finely divided rock, comprising of particles or granules that range in size from 0.063 to 2mm for sand, and up to 64mm for gravel. It is used as an important aggregate mineral.
Scheduled Ancient Monuments	Sites and remains designated under the Ancient Monument and Archaeological Areas Act 1979 to ensure protection from development.
Secondary Aggregates	These are materials that originate as waste products from quarrying and mining activities or as a by-product from an industrial process which can be processed and used as an aggregate in the construction industry.
Statement of Community Involvement (SCI)	A document which outlines the standards and approach that the County will undertake in engaging with stakeholders and the local community in producing its Minerals and Waste plans.
Sterilisation	This occurs when developments such as housing, roads or industrial parks, pipelines, pylons, wind farms, railways and canals etc are built over potential mineral resources/reserves. Sometimes access restrictions may sterilise minerals resources/reserves.
Sustainability Appraisal (SA)	Local Planning Authorities are bound by legislation to appraise the degree to which their plans and policies contribute to the achievement of sustainable development. The process of Sustainability Appraisal is similar to Strategic Environmental Assessment but is broader in context, examining the effects of the plans and policies on a range of social, economic and environmental factors. To comply with Government Policy, Warwickshire County Council produces a Sustainability Appraisal that incorporates a Strategic Environmental Assessment of its Minerals and Waste Local Development Documents.
Sustainable Development	Development which seeks to meet the needs of the present without compromising the ability of future generations to meet their own needs.

Appendix 2: The Questionnaire Form

Warwickshire County Council	
<h3>Minerals Plan Publication Form 2016</h3>	

Minerals Plan Publication Form 2016

Part A - Your personal details

All respondents must provide their personal details including a full postal address and postcode. Please ensure your details are complete and correct in the 'My Account' section of the website before submitting your comment. It is not possible to accept anonymous representations.

Regulation 22 of the Town and Country Planning (Local Planning) (England) Regulations 2012, requires all representations received to be submitted to the Secretary of State. By completing this form and submitting it to the Council you are giving your consent to the processing of personal data by Warwickshire County Council and that any information received by the Council, including personal data, may be put into the public domain.

Please indicate your interest in the Minerals Local Plan

(please select all that apply)

- Developer/Promoter
- Landowner
- Agent
- Borough/District resident
- Interest group
- Other
- Parish or Town Council
- Neighbourhood Planning group

Future stages

Do you wish to be notified of future stages in the Minerals Local Plan, including Submission, Examination and Adoption?

(please select one answer)

- Yes No

Part B - Your representations

The Publication Draft Minerals Local Plan consultation seeks the views of local residents, key stakeholders and other interested parties as to whether the Minerals Local Plan is 'sound' and legally compliant.

Soundness

Paragraph 182 of the National Planning Policy Framework sets out the considerations in relation to a plan being considered 'sound'.

- Positively prepared - the plan should be prepared based on a strategy which seeks to meet objectively assessed development and infrastructure requirements, including unmet requirements from neighbouring authorities where it is reasonable to do so and consistent with achieving sustainable development;
- Justified - the plan should be the most appropriate strategy, when considered against the reasonable alternatives, based on proportionate evidence;
- Effective - the plan should be deliverable over its period and based on effective joint working on cross-boundary strategic priorities;
- Consistent with national policy - the plan should enable the delivery of sustainable development in accordance with the policies in the NPPF.

Legal Compliance

For the Minerals Local Plan to be considered legally compliant, the following needs to be determined:

Minerals Plan Publication Form 2016

- Whether the Minerals Local Plan is detailed in the current Local Development Scheme (LDS) and that the key stages have been followed.
- That community involvement has been carried out in accordance with the current Statement of Community Involvement (SCI).
- Whether the Minerals Local Plan makes satisfactory regard to the Sustainable Community Strategy (SCS).
- That the Minerals Local Plan complies with the Planning and Compulsory Purchase Act 2004 (as amended).
- That the Minerals Local Plan complies with the Town and Country Planning (Local Planning) (England) Regulations 2012.
- That a Sustainability Appraisal Report (SA) is published to accompany the Minerals Local Plan and is adequate.
- That the Habitats Regulations Assessment (HRA) is carried out in accordance with the Conservation of Habitats and Species Regulations (The Habitats Regulations) 2010.
- That the Minerals Local Plan has regard to national planning policy.
- That Section 110 of the Localism Act 2011 (Duty to Co-operate) has been complied with.

The Statement of Community Involvement, Local Development Scheme, Sustainable Community Strategy, Sustainability Appraisal and Habitats Regulations Assessment are available via the Council's website (www.warwickshire.gov.uk/mdf).

Representations received at this stage may not result in changes to the document but will be recorded and considered alongside the Minerals Local Plan at Examination by the appointed Inspector.

Representations must primarily be on the basis of the 'soundness' of the Minerals Local Plan or its legal compliance. If you wish to make a representation with a view to making a change to the Minerals Local Plan you should make it clear exactly what you want to be changed and the reason(s) for this change. Your representation should include information and supporting evidence justifying the suggested change.

1. To which part of the Minerals Local Plan does this representation relate?

Please submit a separate comment for each representation.

Paragraph:

Policy number:

Policies map element:

Minerals Plan Publication Form 2016

2. Do you consider the Minerals Local Plan to be legally compliant?

(please select one answer)

Yes No

3. Do you consider the Publication Minerals Local Plan to be 'sound'? If No, please continue to Question 4, otherwise please continue to Question 5.

(please select one answer)

Yes No

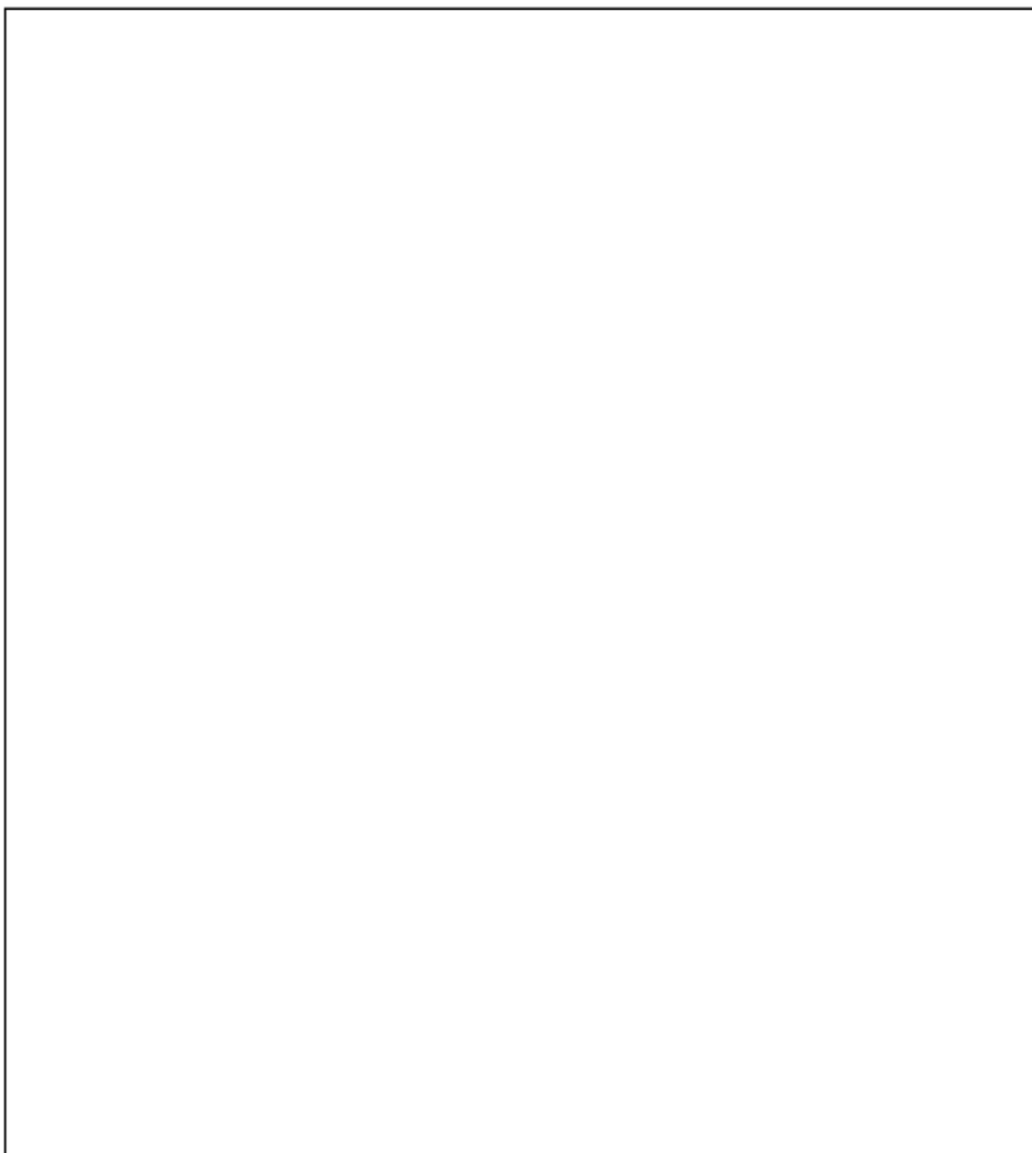
4. Do you consider the Minerals Local Plan is 'unsound' because it is not:

(please select all that apply)

1. Positively prepared
2. Justified
3. Effective
4. Consistent with national planning policy

Minerals Plan Publication Form 2016

5. If you consider that the Minerals Local Plan is not legally compliant or is unsound please give details as to why you consider this to be so. Please ensure you are as precise as possible. If you wish to support the legal compliance or 'soundness' of the Minerals Local Plan, please also use this box to provide your comments.

A large, empty rectangular box with a thin black border, intended for the user to provide detailed comments regarding the Minerals Local Plan's legal compliance or soundness.

Minerals Plan Publication Form 2016

6. Please set out any change(s) that you consider necessary to make the Minerals Local Plan legally compliant or 'sound', having regard to the test you have identified at Question 4 above where this relates to 'soundness'. You will need to say why this change will make the Minerals Local Plan legally compliant or 'sound'. Where relevant, please include proposed revised wording of any policy or text.

Minerals Plan Publication Form 2016

7. Duty to Co-operate

The duty to cooperate was created in the Localism Act 2011, and amends the Planning and Compulsory Purchase Act 2004. It places a legal duty on local planning authorities, county councils in England and public bodies to engage constructively, actively and on an ongoing basis to maximise the effectiveness of Local and Marine Plan preparation in the context of strategic cross boundary matters.

The duty to cooperate is not a duty to agree. But local planning authorities should make every effort to secure the necessary cooperation on strategic cross boundary matters before they submit their Local Plans for examination.

Local planning authorities must demonstrate how they have complied with the duty at the independent examination of their Local Plans. If a local planning authority cannot demonstrate that it has complied with the duty then the Local Plan will not be able to proceed further in examination.

Local planning authorities will need to satisfy themselves about whether they have complied with the duty. As part of their consideration, local planning authorities will need to bear in mind that the cooperation should produce effective and deliverable policies on strategic cross boundary matters (Planning Policy Guidance).

Please note that any non compliance with duty to co-operate is incapable of modification at examination.

7. Do you consider the Minerals Local Plan complies with the Duty to Co-operate?

(please select one answer)

Yes No

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Duty to Co-Operate Comply

Please be as precise as possible.

Please give details of why you consider the Minerals Local Plan complies with the duty to co-operate.

Minerals Plan Publication Form 2016

Duty to Co-Operate Fail

Please be as precise as possible.

Please give details of why you consider the Minerals Local Plan fails to comply with the duty to co-operate.

Please note: Your representation should cover succinctly all the information, evidence and supporting information necessary to support and justify the representation and the suggested change. There will not normally be a subsequent opportunity to make further representations.

After this stage, further representations will only be at the request of the appointed Inspector, based on matters and issues he/she identifies for examination.

Minerals Plan Publication Form 2016

8. If your representation is seeking to make a change to the Minerals Local Plan, do you consider it necessary to participate in the oral part of the examination?

(please select all that apply)

No, I do not wish to participate at the oral examination *Yes, I do wish to participate at the oral examination*

9. If you do wish to participate at the oral part of the examination, please outline why you consider this to be necessary.

Please note the appointed Inspector will determine the most appropriate procedure to adopt to hear those who have indicated that they wish to participate at the oral part of the examination.

Revised Minerals and Waste Development Scheme 24.07.18

Warwickshire Minerals Plan

Publication Plan Consultation	September/October 2018
Closure of Consultation	October/November 2018
Submission of Plan	Spring 2019
Examination in Public	Summer 2019
Inspectors Report	Autumn/Winter 2019
Plan Adopted	Spring 2020

Warwickshire Waste Plan

Preparatory work to commence in later 2018 on the review of the Waste Core Strategy.

Council

26 July 2018

Warwickshire Youth Justice Service Strategic Plan 2018/19

Recommendation from Cabinet

That the Warwickshire Youth Justice Service Strategic Plan 2018/19 be adopted by Warwickshire County Council.

1. Introduction

- 1.1 The annual Youth Justice Strategic Plan and its submission to the Youth Justice Board for England and Wales (YJB) is a statutory requirement under the Crime and Disorder Act 1998. Funding from the YJB to youth offending teams is reliant on this submission and the current format was introduced in 2009.
- 1.2 This plan reflects on the work of the Warwickshire Youth Justice Service (WYJS) throughout last year and performance against the 2017/18 national indicators.
- 1.3 The Plan outlines the governance and funding arrangements for WYJS and highlights the social return on investment of £12.85 for every £1 spent, as a result of WYJS service delivery.
- 1.4 The plan introduces the national objectives and local priorities for WYJS for 2018/19. The key strategic priorities are to improve outcomes for:
 - Children and young people supervised by the service,
 - Victims of offences committed by children in Warwickshire,
 - Parents and families of young people who have offended,
 - Warwickshire local communities.

2. Proposal

- 2.1 The Plan will be implemented throughout 2018/19.
- 2.2 Cabinet on 24 July is being asked to endorse the Warwickshire Youth Justice Service Strategic Plan 2018/19 for adoption by Warwickshire County Council.

3. Timescales associated with the decision/Next steps

The objectives within the plan will be reviewed by the WYJS throughout the year on a quarterly basis and performance shared with WYJS Chief Officers' Board, the Warwickshire Safer Partnership Board and the Health & Wellbeing Board.

Background Papers

None

	Name	Contact Information
Report Author	Lesley Tregear	01926 682661 Email: lesleytregear@warwickshire.gov.uk
Head of Service	Phil Evans	01926 412811 Email: philevans@warwickshire.gov.uk
Joint Managing Director	Monica Fogarty	01926 412514 monicafogarty@warwickshire.gov.uk
Portfolio Holder	Councillor Crump	andycrump@warwickshire.gov.uk

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

Communities Overview and Scrutiny Chair and Group Spokespersons:

Councillors Boad, Cockburn, Singh Birdi, Crump, Shilton, Timms, Fradgley, O'Rourke, Dirveiks.

Working in partnership to support children, families and victims; to prevent offending and reduce re-offending, to build a safer and stronger community.

Warwickshire Youth Justice Service



Warwickshire Youth Justice Service Strategic Plan

April 2018 to March 2019



Securing better outcomes for children and young people with special education needs in the youth justice system



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1. THE NATIONAL AND LOCAL CONTEXT OF YOUTH JUSTICE

(i) GOVERNANCE

Warwickshire Youth Justice Service (WYJS) delivers services to children aged 10 -17 years (and in some cases beyond) involved in the youth criminal justice system. It also provides services to the families of these children and the victims of the crimes committed. It is a statutory multi-agency youth offending team (YOT) as directed by section 39(1) of the Crime & Disorder Act 1998 and is responsible for supervising all court orders imposed on children, whether served in the community or in custody, and out of court disposals imposed by the police.

The engagement of all statutory partners ensures that YOTs are locally designed and deliver a youth justice provision which meets the needs of the local community. The statutory WYJS Chief Officers are:

- Joint Managing Director of the local authority and Strategic Director for the Communities Group,
- Director of Public Health,
- Chief Constable of Warwickshire Police,
- Head of National Probation Service (NPS) Midlands Division Coventry Solihull and Warwickshire Cluster.

The Youth Justice Board for England & Wales (YJB) guidance 'Sustaining the Success' issued in 2004 restated the governance arrangements for YOTs and reinforced the fact that additional partners could be recruited to the "joint strategic effort " of youth justice provision.

YOT Management Boards are required to provide strategic direction to the YOT Manager and monitor the work of the YOT to ensure it meets its statutory aim of preventing offending by children. In Warwickshire this board is named the WYJS Chief Officers' Board and consists of:

- Joint Managing Director of the local authority and Strategic Director for the Communities Group,
- Deputy Director of Public Health,
- Assistant Chief Constable of Warwickshire Police,
- Head of Service, National Probation Service (NPS) Midlands Division; Coventry, Solihull and Warwickshire Cluster.
- Strategic Director for People Group, as the Director of Children's Services,
- Deputy Police & Crime Commissioner
- Designated representative of the three Clinical Commissioning Groups in Warwickshire.

The Board is currently chaired by the Deputy Director of Public Health and the Head of the Midland Business Area for the Youth Justice Board for England attends, providing a national perspective for chief officers to consider.

The current WYJS Manager is retiring on 31st July, 2018 and the service has successfully appointed a successor who commences on 6th August.

WYJS is hosted by the local authority which provides infrastructure support such as finance and IT&C: it is located within the Communities Group of the authority. Scrutiny of the service is achieved through regular reporting by the WYJS Manager to elected members, Overview & Scrutiny Committees for Children & Young People and Communities. The WYJS Manager is a full and active member of the Warwickshire Safeguarding Children Board, the Warwickshire Safer Partnership Board and the MAPPAs Strategic Management Board, ensuring the WYJS is held to account for its' work in safeguarding children and protecting the public.

Human resources are managed by the WYJS Manager in partnership with the relevant employing body. A number of key posts within the service, including the WYJS Manager, are funded by the partnership to support effective multi-agency collaboration and oversight. In addition to this the YJB grant supports the employment of posts required to support effective practice, such as the information officers and educational psychologists.

YOTs are unique in their positioning between justice and welfare services and are key in terms of reminding partners that children who offend should be viewed as children first and offender second. As chair of the Local Criminal Justice Board (LCJB) and the Warwickshire Justice Strategic Board (which manages the multi-agency Justice Centres), the WYJS Manager is able to restate this principle influencing local policies with partners such as the courts and the Crown Prosecution Service.

WYJS ensures that partners include the aims and objectives of WYJS in their strategic planning and managers within the service engage partners to consider areas of commonality in order to agree shared objectives. WYJS is actively engaged in the plans of:

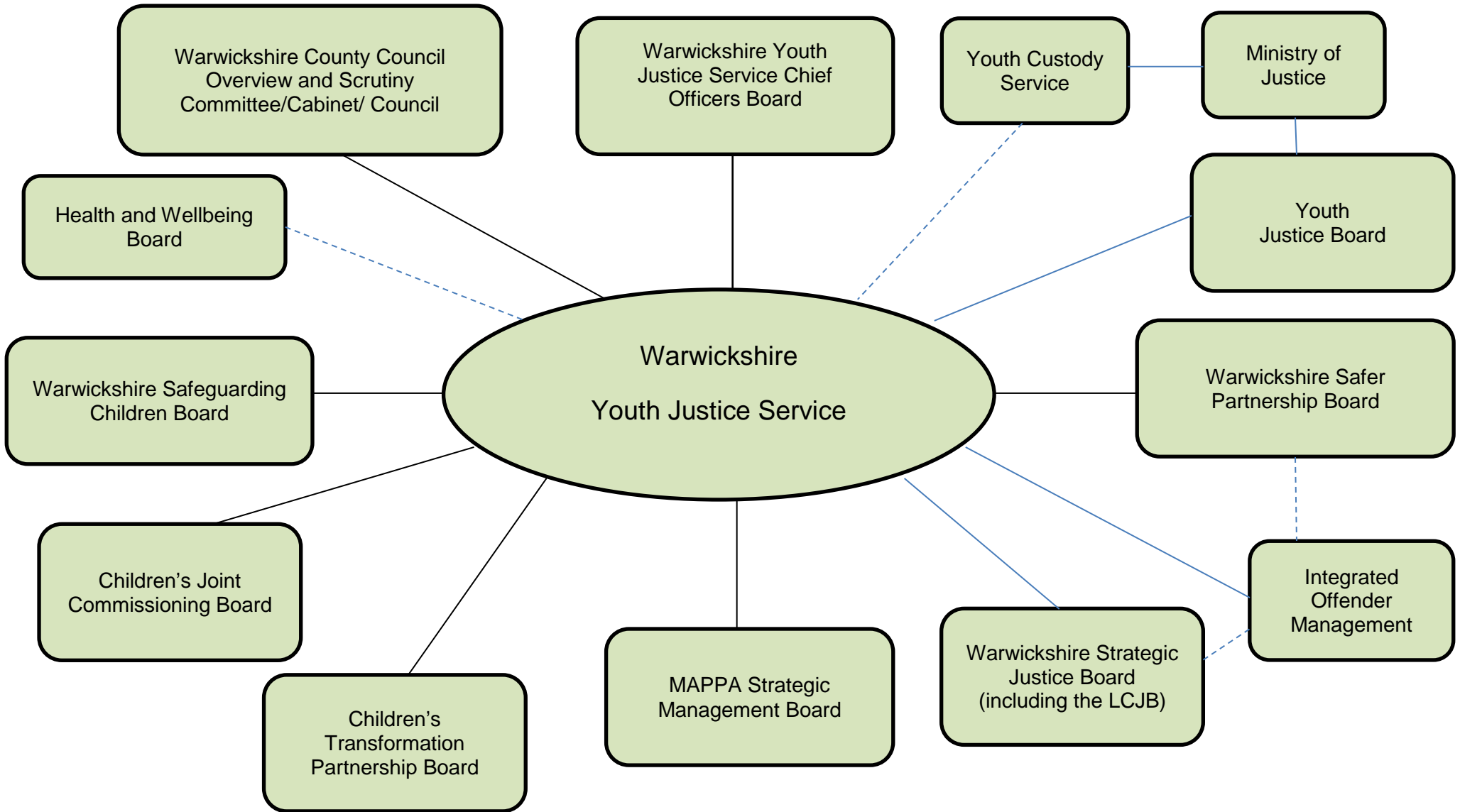
- Warwickshire Health & Wellbeing Board
- Warwickshire Justice Strategic Board (including the LCJB)
- Warwickshire County Council's One Organisational Plan and Children's Transformation Board
- Warwickshire's Joint Strategic Commissioning Board
- Warwickshire Safeguarding Children Board
- Warwickshire's Police & Crime Commissioner.

The work of WYJS also contributes to:

- Joint Strategic Needs Assessment (JSNA),
- Warwickshire Community Safety Agreement,
- MAPPAs Strategy,

Nationally the WYJS is well respected and the WYJS manager has continued as Chair of the Association of YOT Managers (AYM) during 2017/18. The AYM represents almost all YOTs in England and following the publication of the report 'Review of the Youth Justice System' undertaken by Charlie Taylor, now Chair of the YJB, and the government response to this review, the WYJS Manager has led on work with the YJB, Ministry of Justice (MoJ) and the new Youth Custody Service, ensuring the Policy Unit leading on the MoJ transformation programme understand the diversity of local provision and the reasons why this should be maintained in order to ensure YOTs are effective in delivering against their stated aims. Leading on such national developments has meant that Warwickshire has continued to be recognized as best practice.

The following chart shows the governance of the WYJS and its relationship with partners.



(ii) FINANCIAL RESOURCES – WYJS Budgetary Sources 2018/19

Agency	Staffing Costs	Other Delegated Funds	Total (£000)
Police	170	0	170
Local Authority	1,047	496	1,543
Public Health	98	5	103
Warwickshire Police & Crime Commissioner (PCC)	28	12	40
National Probation Service (NPS)	67.5	7.5	75
Youth Justice Board (YJB)	351	76	427
OTHER – European Social Fund	20	0	20
TOTAL	1,781.5	596.5	2,378

Public Health funding is also committed at the same level as previous years; however the contribution of £98,000 for staffing of health posts in WYJS is now an in-kind contribution where Public Health pay the amount directly into the new children and young people's emotional well-being and mental health contract 'Rise'. There is a £5k cash contribution from Public Health to WYJS.

In 2018/19 the WYJS Manager has been successful in achieving grants once again from the PCC for substance misuse interventions, and from the European Social Fund (ESF) for enabling children to access education and employment.

WYJS undertakes such a calculation each year and can demonstrate a saving to society of £12.85 for every £1 spent on delivering the service, using Ministry of Justice and Home Office methodologies for measuring the social return on investment. This measurement takes into account the cost of crime to victims, and communities.

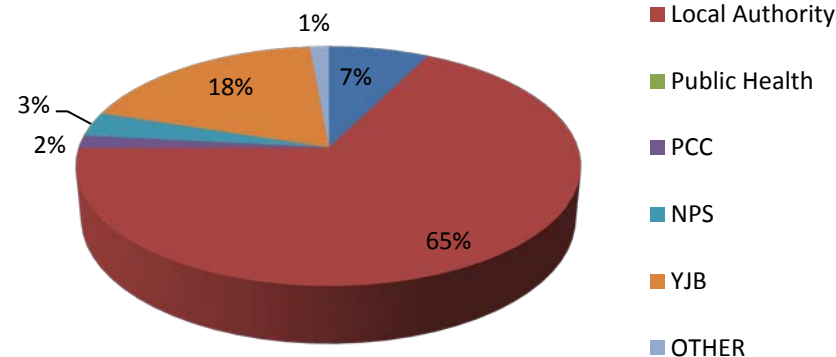
Changes in Partnership Funding:

The local authority has retained funding at the same level as 2017/18, with inflation of 2% added to inflationary elements. As the only agency increasing funds for inflation the local authority is gradually increasing its proportional funding to WYJS.

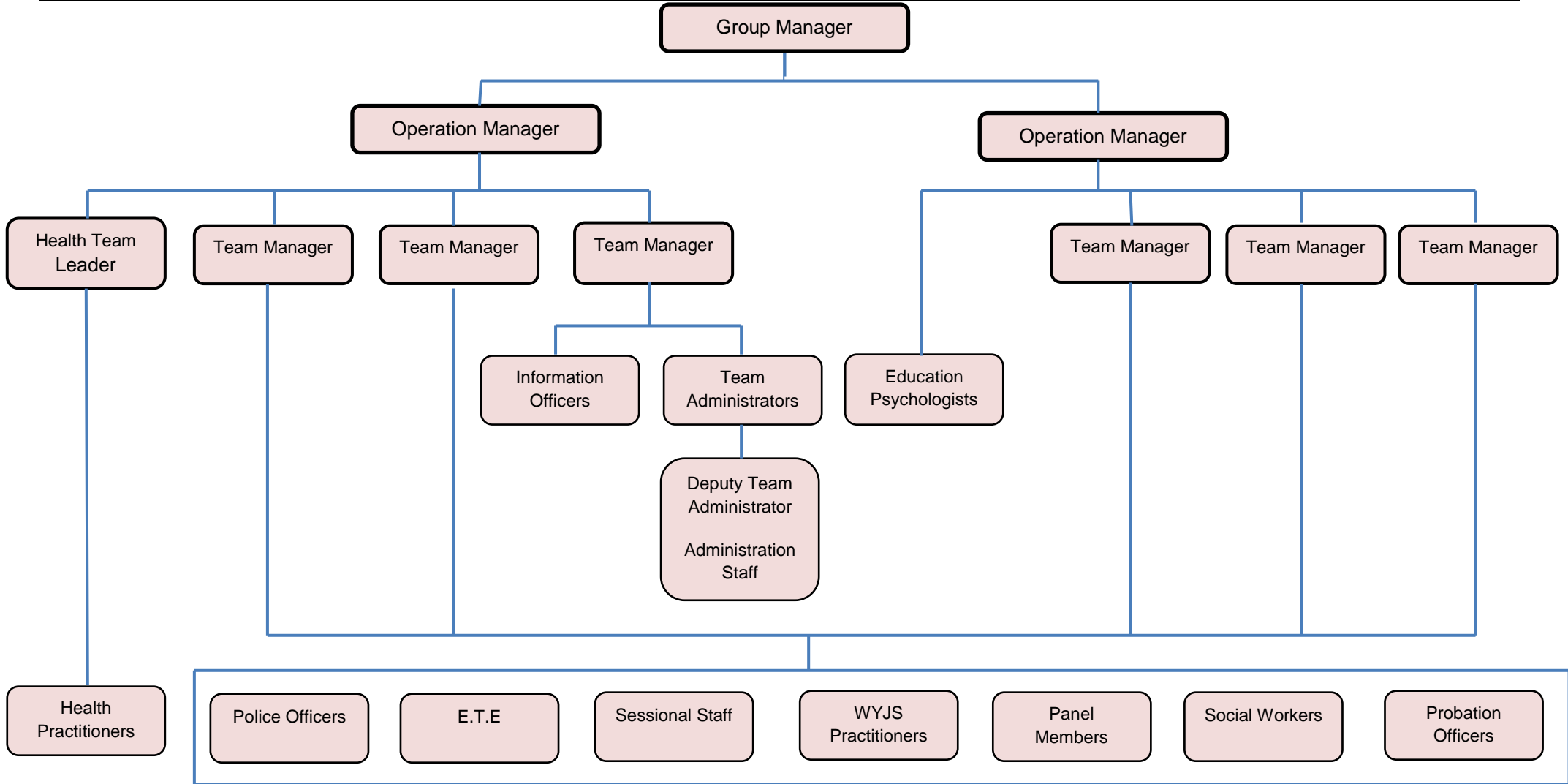
NPS has reviewed workload in WYJS and increased its contribution to the service by 0.5 FTE probation officer and the related cash element (£2.5k), this however remains a reduction on the previous contribution prior to the Ministry of Justice Transforming Rehabilitation Strategy.

The Police and YJB have committed funds at the same level as previous years, amounting to a gap in funding associated with inflationary costs to the service.

Funding provision to WYJS (%)



(iii) ORGANISATIONAL STRUCTURE & STAFFING



(iii) ORGANISATIONAL STRUCTURE & STAFFING

Chart 1 WYJS Structure by Role

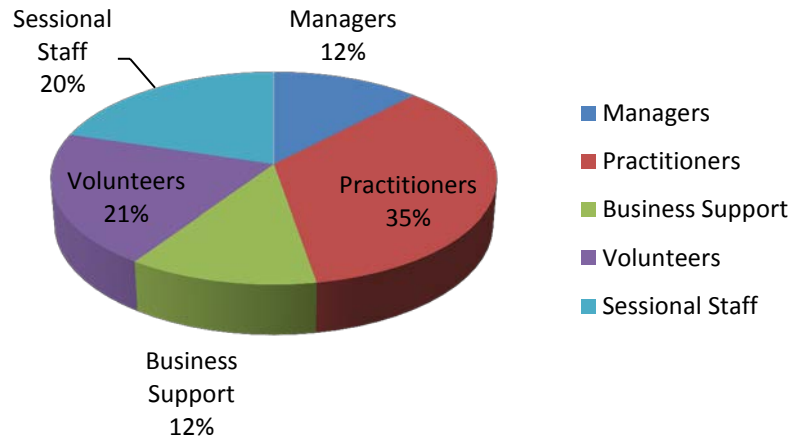
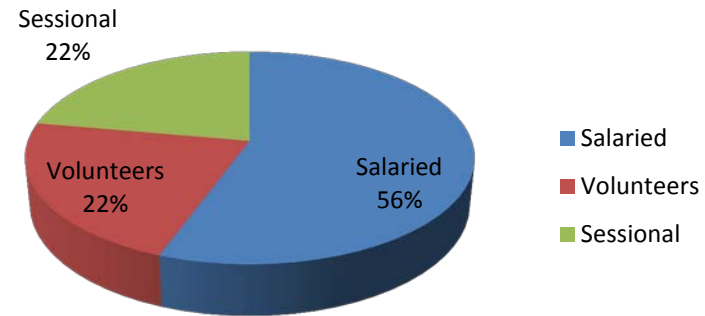


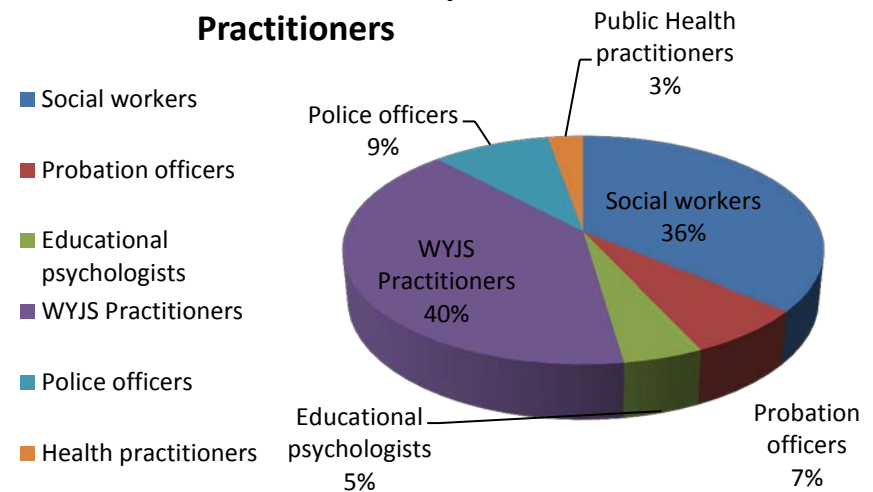
Chart 2 Staffing Type



"You can't underestimate the benefits of working in a multi-agency team – we can do so much more for a young person".

WYJS Practitioner

Chart 3 Professional Discipline of Practitioners



(iv) PERFORMANCE OVERVIEW – 2017/18

WYJS continues to be a high performing youth offending service delivering high quality and effective practice to children who offend; their parents and victims of youth crime. During 2017/18 the WYJS has once again be subject to external review and has been nationally recognised for this best practice.



Securing better outcomes for children and young people with special education needs in the youth justice system

A significant number of children who offend have special educational needs and disabilities (SEND). In 2017/18 Achievement for All, the Association of YOT Managers and Metropolitan University of Manchester 'SEND Project' (funded by the Department of Education) benchmarked professional practice against quality standards in 50 area partnerships spanning 56 Local Authorities; WYJS was able to evidence best practice and received the Quality Mark for SEND and the highest award for 'practice within and beyond the service', the Quality Lead.

Already a nationally accredited service for restorative justice practice, two practitioners within WYJS achieved the Accredited Practitioner Qualification from the National Restorative Justice Council.

Due to the expertise within WYJS a team manager was seconded to Warwickshire Police to the position of Restorative Justice (RJ) Coordinator and received a commendation for work with victims; helping train over 80 police officers and developing the Warwickshire Police offer of restorative justice to victims of crime at all stages of the criminal justice process.



Performance against national objectives:

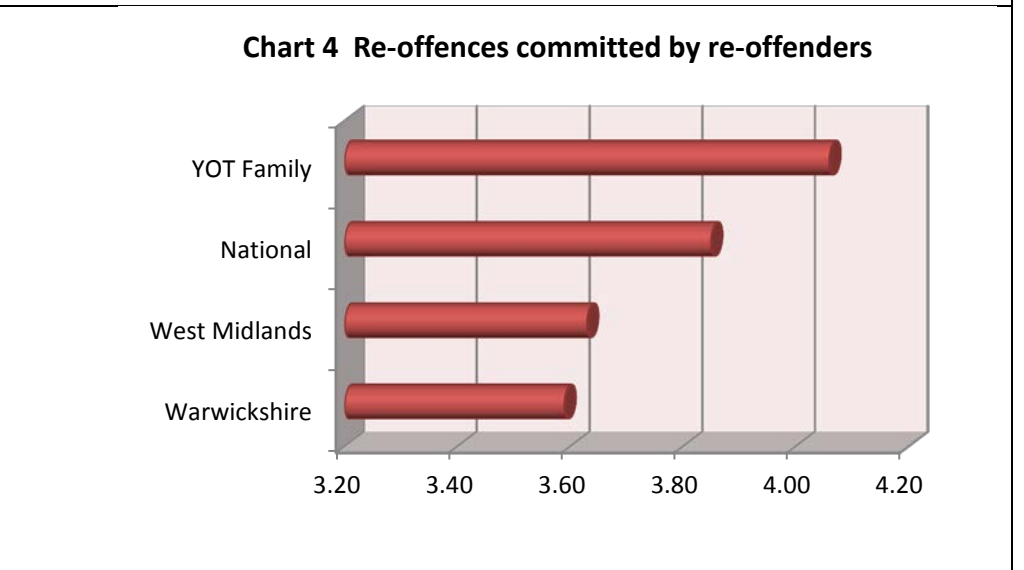
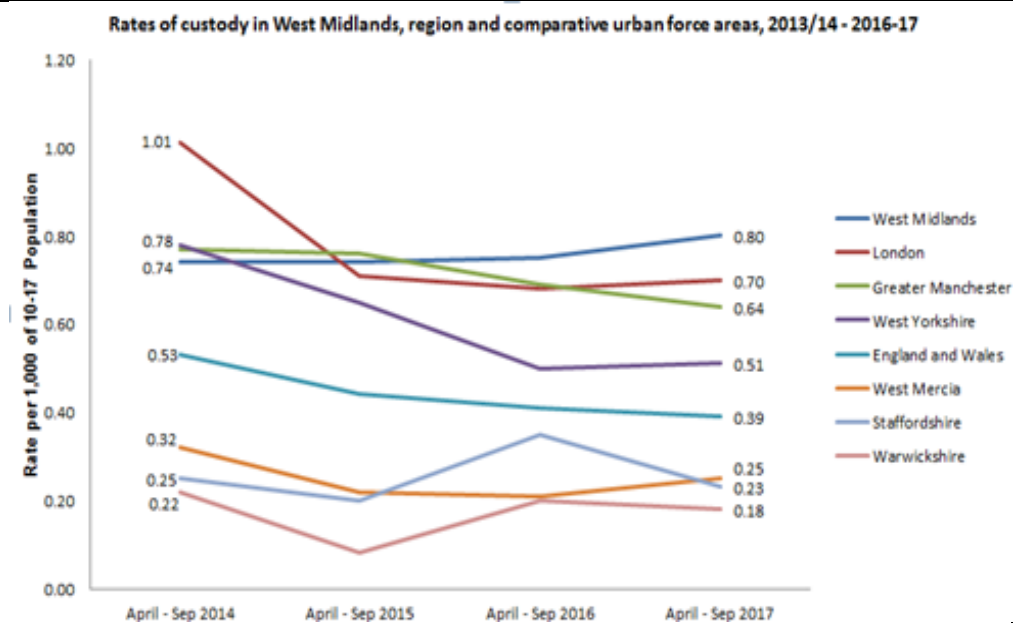
In 2017/18 WYJS continued to perform excellently against national performance indicators, reducing:

- the rate per 100,000 of 10–17 population of 'first time entrants' to the criminal justice system (FTEs) from 180 in 2016/17 to 125,
- the need for custodial sentences for children who offend, reducing from 9 in 2016/17 to 7,
- the rate of re-offending reduced from 35.76% in 2016/17 to 33.23%.

Compared to other YOTs WYJS continues to perform well, particularly with regard to reducing custody. This is a particularly important achievement in light of failings in the secure estate in terms of safeguarding and support of children in their care. In her role as Chair of the AYM the WYJS Manager has been working with the new Youth Custody Service in helping it achieve positive steps in its reform programme with regard to these issues.

Reductions in FTEs since 2007/8 was initially greater in Warwickshire than other areas, due to the effectiveness of WYJS partnership working. As a result the rate of decline is now greater in other YOTs where initial progress was not made. In November 2017 an arrest diversion scheme was introduced by WYJS in partnership with Warwickshire Police to support FTE reduction, diverting all minor first time offenders into a programme of intervention to help them avoid continued offending. In April 2017 the offence of sexual communication with a child came into force and children were at risk of criminalisation due to sexting (texting sexual images of themselves to peers). WYJS has worked with the police and children's services to ensure these children do not enter the criminal justice system, offering them education instead regarding their behaviour.

WYJS outperforms the West Midlands region, the YOT Family and the national average in the number of children who re-offend. However, these children commit a greater number of re-offences. This persistency was predicted, due to the fact that only children with complex and entrenched needs are now entering the criminal justice system in Warwickshire. Their supervision within the community, rather than spending considerable periods in custody provides real opportunities for the practitioners within the service to address those identified needs; far better than secure establishments are able to. Nevertheless, where public protection is required custodial sentences are imposed and supported by WYJS supervision in custody and on licence in the community.



Performance against local objectives:

In addition to the achievements against the national objectives WYJS has been successful in delivering against the local objectives for 2017/18, to improve outcomes for children who offend, their families and the victims of youth crime are evidenced in the improved outcomes for each of these groups, this despite the ongoing closure of youth courts in the purpose built Justice Centres in Warwickshire with youth hearings taking place in Coventry.

Improving the lives of children who offend was achieved through comprehensive assessments and targeted interventions that address the issues which contribute to offending (desistance factors). These include lack of appropriate education, training, employment and accommodation, substance misuse, health difficulties and social factors such as peer influence.

147 children received support for substance misuse, 28 of these were referred to the specialist substance misuse service Compass, for more intensive support; 7 were supported by WYJS through Drug Treatment and Testing requirements attached to their court order. 82.8% of children provided with a substance misuse intervention by WYJS completed their orders successfully.

96 children received support from WYJS health practitioners for mental and emotional health difficulties. The severity of these difficulties is assessed and in 2017/18 showed once again that children who offend are suffering from mental health issues more complex than those found in the general child and adolescent mental health services.

Improving outcomes for parents and families of offenders was achieved through the provision of individual support programmes for parents and through the delivery of programmes such as systemic training for effective parenting (STEPS). All parents are assessed for the level and type of support they require.

"I needed advice because I was struggling for money and my YOT worker took me to talk to someone"

72% of children aged 10-16 years who offended were assisted by WYJS in receiving 25 hours or more education per week. Of those aged 16 years and above, 61% received 16 hours or more education, training or employment.

"They helped me to find somewhere to live"
97.2% of children supervised by WYJS were found suitable accommodation, no child was homeless.

"Thank you all for your help, I don't know and don't really want to know where I would've been if you guys didn't help me!"

Improving outcomes for victims of youth crime has been achieved in 2017/18 through the further development of restorative justice practice within the service. As a result of this 2 WYJS practitioners have received the Accredited Practice Qualification from the National Restorative Justice Council. 72% of victims were provided with an opportunity to participate in a restorative intervention; all victims reported satisfaction with the service offered.



Improving outcomes for the community - WYJS works to support the community, providing opportunities through engagement of members of the community as panel member volunteers who help determine the intervention plan for children subject to referral orders.

Victims are also invited to these panels where they can discuss the offence with the child and their family and agree an activity that enable the child to repair some of the harm experienced by the victim.

“In his final panel he presented as a completely different child. He is now working full time – very happily, he is much more communicative, confident. in a mature adult way”

On the right is a picture of a bird house being built by a young boy who later provided this to a vulnerable person within the local community.

“I really enjoyed the allotment. I felt good about myself helping the elderly gentleman and it makes you sympathise for him and think again about breaking into an allotment”

In addition community projects are undertaken where members of the community are either offended against or wish to provide opportunities to children who have offended to repair harm.



2. STRATEGIC AIMS AND PRIORITIES 2018-19

WYJS will deliver against the national objectives for youth offending teams, set by the Youth Justice Board for England and Wales - Reducing the number of first time entrants to the youth criminal justice system, reducing re-offending by children supervised by WYJS and reducing the use of custody where a community sentence is appropriate.

WYJS will also deliver against identified local objectives based on analysis of offending patterns of children in Warwickshire, to improve outcomes for:

Children supervised by WYJS, through the provision of:

- Interventions, based on comprehensive assessments, that safeguard children, support them within their family and enable participation in education and employment,
- Credible community programmes that reduce the likelihood of reoffending and the need for custodial remands and sentences,
- Robust public protection, and safeguarding arrangements, including interventions to prevent offending, radicalisation and extremist behaviours,

Victims by:

- Ensuring restorative justice is available throughout the duration of the child's statutory order,
- Providing all victims with equal access to restorative justice if they request it.

Parents and families, through the provision of :

- Interventions based on assessments that take account of the needs of the whole family
- Support to improve their parenting and life skills

The community by:

- Providing opportunities for unpaid work projects and reparation activity that improves the local environment
- Enabling children supervised by WYJS to become better engaged within their community.

To support these strategic priorities we will:

- Ensure that the best interests of the community and victims are central to the work delivered with children and their families,
- Develop the skills of our workforce through training, supervision, appraisal and effective performance management,
- Ensure that the voice of the children who offend, their families and victims help inform our evaluation of interventions delivered,
- Ensure effective partnership working with partners in the criminal justice system and wider children's services.

(i) IMPROVE OUTCOMES FOR CHILDREN

Interventions based on comprehensive assessments

In order to achieve this WYJS ensure children who offend, their parents and, where willing, the victims of the crimes committed are actively engaged in the assessment enabling an intervention to be provided that meet the needs of the child whilst providing support to enable them to avoid future offending. This approach is used to support interventions to both divert children from the criminal justice system and to support them whilst on police or court disposals. In order to achieve this WYJS will actively engage the child and parent, and where compliance is problematic identify potential barriers and adopt proactive solutions to overcome them. WYJS will ensure all contact with a victim complies with the Victim's Code.

Credible community programmes will be delivered to reduce the likelihood of re-offending and custodial remands or sentences:

A wide range of group work and one to one programmes are utilised within WYJS to support children to cease offending, these include:

- Step-Up, an accredited 8 week programme that challenges unhealthy views of masculinity and relationships with the aim of reducing violence
- AIM assessment and interventions to address harmful sexual behaviour,
- IMPACT and Streetwise resource programmes that support improvements in thinking and behaviour and challenge attitudes to offending,
- Fatal Four, a powerful road safety campaign aimed at children, delivered in partnership with Warwickshire Police and Warwickshire Fire and Rescue Service
- Giving Back Project, WYJS has supported the 'NHS Ex-Armed Forces Project' and the 'Bendrigg Trust' in developing a residential activity for disadvantaged children. Children supervised by WYJS can access this activity to improve confidence; communication; and help children manage anxiety and anger.

In order to enable a child to reduce the likelihood of them re-offending WYJS practitioners support them in developing positive improvements in factors which contribute to committing offences (desistance factors):

- Education, training or employment (ETE) In 2018/19 15-17 year olds will be supported by a WYJS practitioner part funded by the European Social Fund in order to achieve ETE. Due to the significant number of children in the criminal justice system with SEND WYJS will continue to purchase educational psychology sessions from the county council to support these children with engaging in ETE.
- Substance Misuse WYJS practitioners assess the level of misuse by children and provide Tier 1 and 2 interventions to help them reduce this misuse. Where relevant referrals are made to 'Compass' a service which provides targeted and specialist interventions for children aged up to 18 years who are affected by their own, or another's substance misuse. WYJS hosts staff from Compass in both Warwickshire Justice Centres in order to support Compass practitioners contact with the children who are often difficult to engage.
- Health WYJS health practitioners, seconded from Rise (a partnership between Coventry and Warwickshire Mind and Coventry and Warwickshire NHS Partnership Trust providing emotional well-being and mental health services for children in Coventry and Warwickshire) work with children supervised by WYJS to identify and address any health concerns, enabling the child to then address other factors that lead to them offending.

Where the potential for a custodial remand or sentence is identified, WYJS provides packages of support to maintain the child in the community. The provision of the Bail, Remand and Intensive Care and Support Service, commissioned by WYJS from Barnardo's, provides intensive fostering and support to children at risk of custodial remand or sentence. These carers also provide support for children posing a significant risk of re-offending, as part of a residential requirement for those on youth rehabilitation orders and post custodial supervision. In some cases courts determine that a child poses a significant risk to others and a remand to youth detention accommodation is made, in these cases WYJS assesses the most appropriate type of placement in the secure estate and advises the Youth Custody Service (YCS) of this, in most cases this assessment is supported and a placement agreed, with the most vulnerable of children placed in either a local authority secure children's home (LASCH) or a secure training centre (STC), as opposed to a young offender institution (YOI). The cost of this accommodation is met by WYJS and the cost is both significant and unpredictable, dependant on the seriousness of the offence committed and number of children involved in the offence.

Enriched case management (ECM) of cases was introduced in 2017/18 following action learning research undertaken by WYJS and Dr. Alex Chard, the findings of the research demonstrated a high level of adverse childhood experiences children and resultant trauma evident in children supervised by WYJS and ECM provides a responsive approach to management of children presenting with such difficulties.

Robust public protection, and safeguarding arrangements, including interventions to prevent offending, radicalisation and extremist behaviours, will be delivered through a range of WYJS interventions and through multi-agency partnership arrangements, such as integrated offender management, the Channel Panel programme and multi-agency arrangements for public protection and domestic abuse (MAPPA and MARAC). Located within the two Justice Centres in Warwickshire, WYJS is well placed to respond quickly to the needs of children who offend and victims, and to support criminal justice partners with whom the service is co-located.

WYJS engagement in partnership working is comprehensive; arrangements with the local authority, district councils and the police will continue to be developed to ensure that civil injunctions and criminal behaviour orders are pursued where such disposals are required.

Safeguarding of children supervised by the service is managed through a variety of means, not least the enriched case management approach which enables WYJS practitioners to address the child's offending whilst taking account of the deep-rooted causes for their behaviour, working at the child's pace as they commence their journey to overcome the adversities they have experienced. WYJS will work with partners involved in the child's care to understand and engage in this approach in order to ensure all parties work in the most effective way and achieve the desired improvements for and by the child.

WYJS continues to work with partners in the police and the county council to ensure that no child is detained in police custody where a transfer to the community or in the case of serious offending, secure accommodation is required. WYJS has encouraged the Warwickshire County Council to become signatories, alongside Warwickshire Police, to the Concordat on Children In Custody which supports such practice.

In 2018/19 WYJS will continue to work with children's homes in Warwickshire, together with Warwickshire Police to ensure that children looked after by the local authority are not unnecessarily criminalised for behaviour within the home. Restorative justice training is offered to staff within these children's homes to support this, all of which supports the recommendations in the report from the Independent Review chaired by Lord Laming 'In Care, Out of Trouble' (2016).

In order to ensure that WYJS is alert to factors that can contribute to offending by children and trends in patterns of offending by children, WYJS undertakes quarterly review of performance, considering all offending in Warwickshire and WYJS response and effectiveness in reducing re-offending. In addition to this work with children in police custody enables practitioners to 'uncover' influences on a child that have resulted in them being arrested. Through this active reflection and engagement with children some emerging themes have been identified by WYJS where other agencies have not:

Modern slavery – like other areas of the country children in Warwickshire are being exploited sexually and for criminal purposes. WYJS continues to be actively engaged with the child sexual exploitation team which was developed as a result of WYJS surfacing this exploitation in Warwickshire. In a similar manner WYJS is now ensuring that children exploited for criminal purposes are being identified as victims of exploitation who need to be safeguarded rather than punished.

County lines – is criminal exploitation and a police term for urban gangs supplying drugs to rural areas. This particular type of exploitation is proving problematic for children from other local authority areas who have crossed the borders into Warwickshire and are arrested. Having identified a child as being exploited in this way WYJS works with the police and the home YOT and safeguarding services to ensure these 'visiting' children are afforded the same safeguards that WYJS would ensure for a Warwickshire child. The WYJS Manager will develop a protocol in 2018/19 for reciprocal management of such cases across the West Midlands YOT region which includes Warwickshire, West Mercia, West Midlands and Staffordshire Police Force Areas.

WYJS risk panels are in place to help identify victims of modern slavery and referrals to the National Referral Mechanism (NRM), a process by which people who may be victims of modern slavery are identified and supported by the UK government. Such children are deemed vulnerable and should be considered for priority re-housing when assessed by the local authority.

Objectives	Enablers & Resources
Children do not enter the criminal justice system for first time minor offences	Arrest diversion scheme Early identification of children as victims of exploitation
Children are safeguarded and risks posed by them managed effectively throughout their supervision by WYJS.	Comprehensive assessments using AssetPlus and WYJS Health and education assessments Enriched case management approach Safeguarding training of staff Multi-agency arrangements for risk management, safeguarding and identification of child exploitation
Reduction in re-offending	Comprehensive assessments using AssetPlus and WYJS Health and education assessments Effective and targeted interventions which address desistance factors ESF funded ETE provision in WYJS Multi-agency nature of service

(ii) IMPROVE OUTCOMES FOR VICTIMS

WYJS has a statutory duty to work with victims of youth crime, contacting all victims of offences committed by children who receive a criminal conviction or a youth conditional caution, and providing an opportunity to discuss the impact of the offence on themselves and others and the opportunity to participate in RJ. WYJS also ensures victims are signposted to partners where further support and advice is required.

WYJS aspires to be fully compliant with the 'Victims Code of Practice'. The service conducted a review of its practice and compliance against the Code in 2017 has established a new performance framework.

WYJS is a partner agency in the Warwickshire & West Mercia Restorative Justice Service which was recently awarded its Restorative Service Quality Mark (RSQM) and is active in supporting partners to ensure RJ is delivered to victims at all stages of the criminal justice system. Victims are not denied the opportunity to consider RJ options on the basis of the offence committed against them or because the offender is in prison or living outside of the local area.

The Local Criminal Justice Board maintains oversight of RJ in Warwickshire and sub-groups of this such as the Victim and Witness Forum ensure practice is quality assured.

WYJS has staff trained to offer restorative support to victims of harmful sexual behaviour and domestic abuse and other complex and sensitive cases including between family members.

Objectives	Enablers & Resources
Victims are updated throughout the criminal justice process to ensure that they can make informed decisions and their voice is heard.	WYJS practitioners
Increase awareness of RJ and its effectiveness in reducing re-offending to the retail establishment.	Good news stories Positive feedback from victims
The public is protected through effective management of risk.	Comprehensive assessments and risk management arrangements

(iii) IMPROVE OUTCOMES FOR PARENTS AND FAMILIES

WYJS undertakes assessments of all parents of children who are subject to a court or police disposal managed by WYJS, in order to determine the level of support they require from the service to help their child to cease offending. Plans resulting from these assessments take account of the diversity and wider familial and social context of the child and family

Meaningful engagement of parents with their child's order is necessary to support the work of WYJS practitioners,. Where an assessment determines parents need support they are offered support and guidance and if necessary parenting programmes to teach them more appropriate and effective parenting techniques.

Parenting orders are not commonly used however, where a parent's behaviour is detrimental to enabling the child to cease offending, WYJS will apply to the court for such an order to be imposed in order for the child to be properly supported in a family environment, reinforcing the parental responsibilities in caring for their child.

In 2017/18, research undertaken within WYJS to further understand the reasons for the complexity of needs in children who offend has led to the development of parenting interventions that utilise the theory of trauma recovery, supporting parents in helping their child to desist from offending whilst keeping them safe. This approach utilises a team around the child approach in delivering enriched case management and offers an opportunity to build stronger relationships between the parent and child.

During 2018/19 WYJS will continue to develop the enriched case management approach to work with children who offend. The views of parents/carers will be sought to aid the review of this methodology and its effectiveness, alongside other performance monitoring methods.

Objectives	Enablers & Resources
Parents are fully engaged in the WYJS intervention plan for their child.	WYJS practitioners Enriched case management approach
Where a child has experienced adverse childhood experiences, parents will be included in the assessment for Enriched Case Management of their child's supervision.	WYJS practitioners Enriched case management approach
The effect of adoption of the Enriched Case Management approach with children who offend will take account of parents and families views.	WYJS practitioners WYJS team manager (Practice and Performance Improvement) WYJS operations manager

(iv) IMPROVE OUTCOMES FOR COMMUNITIES IN WARWICKSHIRE

WYJS actively participates in the four community safety partnerships (CSPs) of Warwickshire. These partnerships work together to protect the local communities from crime and to help people living within them feel safer. The CSPs identify issues within the communities and decide how best to address those issues, such as anti-social behaviour, drug or alcohol misuse and re-offending. At a county level, community safety is overseen by the Safer Warwickshire Partnership Board of which the CSPs and the WYJS manager are attendees. This Board formulates and oversees the community safety agreement, setting priorities and plans for partners to work together to deliver against the priorities.

Supporting children to become better engaged within their local communities is achieved by engaging children within their own local communities. Children are supported to access local apprenticeships and employment, providing them with opportunities to appreciate being part of a community. Community panel members are members of the community that work with WYJS supporting the planning and oversight of referral orders. This is a unique opportunity for the community to influence work with children who offend, holding them to account for their actions and requiring them to repair the harm they have caused.

Opportunities for unpaid work and reparation activities all help children who have offended to improve their local environment. Reparation to the community is undertaken by children on court orders and the WYJS website www.warwickshire.gov.uk/youthjustice offers an opportunity for members of the public to suggest reparation projects. Community panel members also provide suggestions for reparation that support the communities in which they live.

WYJS also provides opportunities for communities to benefit from unpaid work in the community as a result of requirements attached to the court orders of 16 and 17 year olds. In 2017/18 these reparation and unpaid work projects included work with:

- Warwick and Leamington Beekeepers Association,
- George Eliot Hospital,
- Lost the Plot Project in Rugby.

Objectives	Enablers & Resources
Improve local community	Unpaid work projects Reparation activities
Enabling children to gain training and employment opportunities within their local community	ESF grant funding WYJS practitioners Partnership working

3. WORKFORCE DEVELOPMENT

Effective practice is achieved when practitioners are equipped with the necessary skills to undertake comprehensive assessments and deliver a range of interventions required to support the diverse needs of the children supervised by the service, parents requiring support and guidance and victims of youth crime. During the past 2 years WYJS has been developing an Enriched Case Management approach to work with children supervised by practitioners as a result of Action Learning Research undertaken on children supported by the service. This research found children supervised by WYJS had suffered significant adverse childhood experiences (ACE) compared to children outside the criminal justice system; many had received services from a number of agencies throughout their childhood, none of which had addressed the trauma resulting from these ACEs. In 2018/19 WYJS will be further embedding this approach into the work of practitioners.

In addition to this a training needs assessment was conducted at the end of 2017/18 to identify further training needs of practitioners with regard to SEND practice, supporting further the work

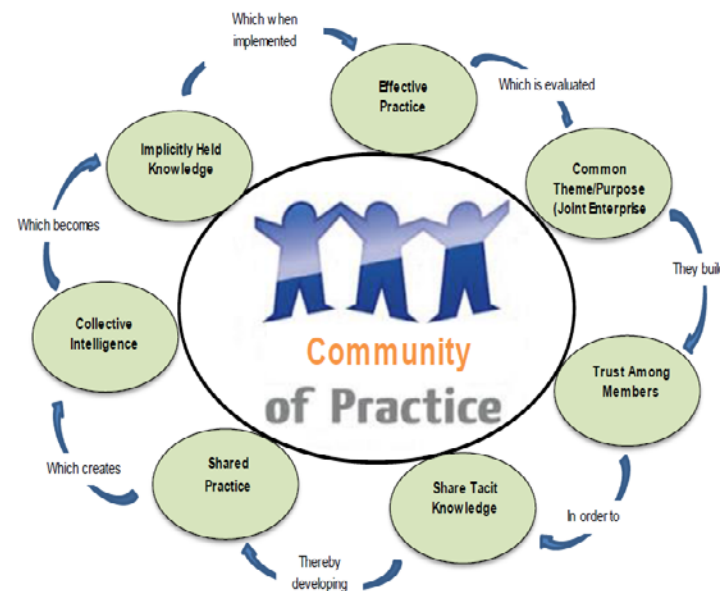
As a result of this educational psychologists within the service will develop further understanding of communication and language disorders, dyslexia and dyspraxia and cognitive and learning impairments, considering working memory and processing speed and its effect on a child's development and behaviour.

In order to enable continuous development of staff WYJS has adopted a 'community of practice' approach to enable practitioners to benefit from reflective practice and shared knowledge.

WYJS has used this approach for other WYJS key areas of practice, such as Harmful Sexual Behaviour work. Children's services have been invited to join the WYJS HSB Community of Practice in order to develop their own emerging HSB interventions. This method of working is now being developed to include other agencies involved in the child's life and will also be used to enhance the approach to parenting work within WYJS.

Management oversight is particularly important in ensuring practice is safe and effective and all managers within WYJS are required to achieve management qualifications. Operations managers within WYJS are trained peer reviewers enabling them to participate as reviewers of other YOTs which expose them to the work of other YOTs and enabling them to identify elements of best practice that can be applied in WYJS.

Team managers are encouraged to train as local assessors for HMI Probation YOT inspections, again exposing them to learning from the inspectorate and from YOTs being inspected.



4 TECHNOLOGY

WYJS is heavily reliant on technology to assist in:

- the assessment of children and the management of their orders,
- performance reporting and identification or service improvement and development,
- analysis of trends in youth crime in Warwickshire,
- personnel management,
- staff learning and development, and
- financial management within the service.

As with other organisations WYJS is working toward being 'leaner', whilst at the same time maintaining efficiency in the work undertaken. The service relies on a number of IT solutions due to the multi-agency nature of the service, with police officers, probation officers and health practitioners in the service accessing their own agency systems to enable them to carry out their professional functions to assist in the management of cases within WYJS.

WYJS has however embarked on system integration, where information sharing is permitted, and has used 'hub technology' to assist in this. To date the WYJS case management system is able to access relevant education data required to support case managers in assessment and supervision of children and exploration has commenced for a similar approach to be taken for children's social care and police systems.

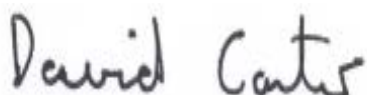



WYJS is the first service to effectively manage such interoperability between systems and in achieving this the participating agencies can demonstrate savings resulting from this technology.



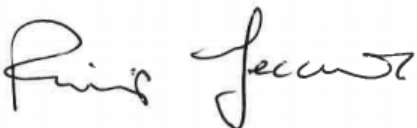

5. RISK ASSESSMENT

Risks associated with achieving the strategic aims within this plan are identified below with mitigating actions and intended success criteria outlined. The number and type of risks are varied and many are outside the control of the WYJS and its manager.

Risk	Action	Success Criteria
Children <ul style="list-style-type: none"> Changes in policing increases FTEs and recidivism rates Employment opportunities decrease for children in Warwickshire. 	<p>Performance data is used to advise the LCJB with recommendations to the police and CPS to remove this risk</p> <p>WYJS will continue to use the ESF funded post to support children into employment and training, ensuring they are skilled in interviews to support this.</p>	<p>FTE and recidivism rates do not increase.</p> <p>Children supervised by WYJS are able to access employment or training opportunities.</p>
Victims <ul style="list-style-type: none"> Victims choose not to engage with WYJS RJ interventions. 	<p>Publicity to provide the public with positive RJ interventions.</p> <p>Victim volunteers are engaged to support victims who are considering, but concerned about engaging in RJ.</p>	<p>Victims are less fearful.</p> <p>Victims are not re-victimised.</p>
Parents and families <ul style="list-style-type: none"> Parents of children supervised by WYJS require long term support to enable them to better support their child/ren. 	<p>Parents will be referred to Warwickshire's Priority Families for ongoing support. Referrals will be monitored and where they are not accepted this will be reported to chief officers.</p>	<p>Parents and families receive the services they require to support improvement in their ability to support and safeguard their child/ren.</p>
Communities <ul style="list-style-type: none"> Fear of youth crime leads to children becoming inappropriately criminalised. 	<p>WYJS will provide positive news stories to localities .</p> <p>WYJS staff will re-frame communications with members of the public and other agencies to reduce the negative stereotyping of children who offend.</p>	<p>Improved engagement of children in their local community</p> <p>Increased engagement of communities with WYJS for:</p> <ul style="list-style-type: none"> Unpaid work activities Reparation activities.
WYJS <ul style="list-style-type: none"> Remands to youth detention accommodation increase placing the budget in jeopardy Changes in partner agency practice impacts on WYJS ability to deliver services within budget. 	<p>The WYJS manager monitors this and will report likely overspend to chief officers in order to determine how the shortfall will be met.</p> <p>The WYJS manager will advise the chief officers of the risks posed where no local resolution is possible.</p>	<p>WYJS budget is sufficient to maintain required service provision.</p> <p>Chief officers will negotiate with agencies to remove the risk, or determine how to resource required services delivery.</p>

6 REVIEW AND APPROVAL**Signatories :**

Name	Job Title	Date
David Carter	Joint Managing Director of Warwickshire County Council	
		28.06.18
Monica Fogarty	Joint Managing Director of Warwickshire County Council	
		28.06.18
Martin Jelley	Chief Constable Warwickshire Police	
		25.06.18
Helen King (Chair of the Chief Officers' Board)	Deputy Director of Public Health	
		25.06.18

Name	John Linnane	Job Title	Director of Public Health	Date	
					29.06.18
Name	Nigel Minns	Job Title	Strategic Director of People Group: Director of Children's Services	Date	
					28.06.18
Name	Philip Seccombe	Job Title	Police & Crime Commissioner	Date	
					28.06.18
Name	Andy Wade	Job Title	Head of NPS Midlands Division Coventry Solihull and Warwickshire Cluster	Date	
					25.06.18

7. GLOSSARY

This is not a definitive or official glossary used by the WYJS; the table is intended for use only in relation to the tables above where, due to the amount of information displayed, some abbreviations have been necessary.

AIM & AIM2	'Assessment, Intervention and Moving on': a programme for children who commit sexually harmful offences
AssetPlus	'AssetPlus' is the assessment framework used with children at all stages of the youth justice system.
AYM	Association of YOT Managers
ESF	European Structural and Fund
ETE	Education, training and employment
FTE	First time entrant (to the youth criminal justice system)
LCJB	Local criminal justice board
MAPPA	Multi-agency public protection arrangements
MARAC	Multi-agency risk assessment conferences
NPS	National Probation Service
PCC	Police & Crime Commissioner
RJ	Restorative justice
WYJS	Warwickshire Youth Justice Service
YJB	Youth Justice Board for England & Wales

Council

26 July 2018

Education Strategy: Consultation Findings and Proposed Strategy Documents

Recommendations from Cabinet:

That Council notes the outcomes of the consultation process and, in line with the recommendation from the Cabinet meeting of 14th June 2018:

- a) That the Education Strategy in Appendices 1-6 be approved
- b) That Cabinet approves an annual update on the implementation of the Education Strategy, with the delivery plan and contextual documents being dynamic documents which are updated on an ongoing basis throughout the year.

1.0 Key Issues/Summary

- 1.1 It is time to update Warwickshire County Council's Education Strategy so that it reflects current challenges. The new Education Strategy will replace the current Document 'Education Strategy' – Championing the Learner – Vision, Values and Priorities, 2014. An overarching vision for education in Warwickshire is needed so that one agreed strategy can guide the work of The Council and partners.
It will have one uniting and overarching purpose: to improve educational outcomes, and thus the life chances, of learners of all ages in Warwickshire. The purpose of this Education Strategy is to set out clearly our aspirations and priorities for education in Warwickshire, and to summarise how Council teams will be working with partners to achieve them.
- 1.2 This report provides details of the key findings and outcomes of the consultation process which have informed the proposed Education Strategy (see Annexes 8 and 9). It also includes recommendations regarding the set of six short Strategy documents. The first document is known as 'Warwickshire Education (WE) Strategy'. The second document is the delivery plan and the remaining documents provide contextual detail and 'sign up'.

2.0 Consultation Process

- 2.1 A 5 week consultation process was undertaken from 5 March – 2 April 2018. The aim of this consultation activity was to effectively engage with a wide range of education stakeholders to 'co-produce' the new Strategy.
- 2.2 The consultation process was framed around co-production i.e. a bottom-up generation of a shared vision and Strategy. A draft one page Vision, 12 page

Strategy and separate pack of Annexes were provided to promote discussion and provide context. Four priorities (WE1,2,3 and 4) were proposed:

- WE1: Promoting the best possible start in life through early education
- WE2: Unlocking talent, building resilience, and fulfilling the potential of our vulnerable learners
- WE3: Supporting successful system leadership, empowering education communities
- WE4: Promoting employability; offering the best possible opportunities for all learners

2.3 A range of engagement methods were employed to maximise opportunities for stakeholders to put forward their views, these included:

- An online survey
- Focus groups with school staff, parents, children and young people
- An Early Years Visioning event on 28 February 2018
- A headteacher co-production session on 14 March 2018
- Engaging stakeholders at existing boards, committees and forums, for example The Children's Overview and Scrutiny Committee, The Challenge Board and Schools Forum.

3.0 Consultation findings

3.1 There was an overwhelmingly positive response to the consultation which generated wide ranging views from a cross section of stakeholders. Themes have emerged that have support from across the education sector. These now form the main content of the Strategy.

3.2 In total there were over 431 participants in the consultation exercise, online and face to face.

The table below illustrates a breakdown of response rates through the various face to face consultation activities, in addition to the 176 online respondents:

<i>Participants & engagement method</i>	<i>Numbers of attendees</i>
Headteacher briefing: 93 primary schools, 9 secondary schools, 6 special schools, 1 all through school, stakeholders included: Gateway Alliance and the Coventry Diocesan Board of Education	106
1 school focus group: parents (primary)	10
School focus groups: staff (primary, secondary, special)	21
School focus groups: children and young people (primary, secondary, special)	31
Governor focus group (governors and clerks)	12
Schools Forum; 13 school members (7 secondary schools) plus 2 non-school (union and Diocese)	15
Challenge Board 3 secondary heads, 1 primary and 1 special in addition to attendees of briefing above, plus MAT	6 additional

CEO	
Children's Overview and Scrutiny Committee; 10 councillors, 2 portfolio holders plus 2 (unions and parent governor)	14
Early Years Visioning event	40
22 recorded meetings; attendance not counted	
Total	255

- 3.3 Overall, well over 255 participants were involved in face to face engagement through focus groups and meetings. These provided opportunities to listen to a wide range of participants in education in the county. The Head of Education and Learning led the school-based focus groups. In addition the proposals were outlined at many meetings, and leaflets were given out. For example 90 leaflets were taken away from an attendance of 140 people at the Warwickshire Skills Conference.
- 3.4 It is really encouraging to note that of the 176 online responses, 88 were from parents / carers. This is particularly welcome as most of the face to face opportunities involved education professionals.
- 3.5 The majority of respondents to the online survey were female (73%), of White British ethnicity (84%) and aged between 30-59 years (80%). The north of the county is under-represented in the sample. However, three focus groups were conducted in the north. There were no online responses from secondary headteachers although 20 secondary headteachers participated in face to face consultation opportunities.
- 3.6 All proposed priorities 1,2,3,4 were considered relevant and were supported with over 90% of online responses supporting WE1,2 and 4, and 83% supporting WE3. Through analysing both the questionnaire responses and the feedback received through face to face engagement, there were a number of common overarching themes. These are captured in Annex 8 'You said, we did' and in Table 12 Annex 9.

Themes include:

- At consultation events it was clear that most participants preferred a **short, succinct document**.
- **Participants were adamant that they wanted a clear action plan which could be monitored and would succeed.** They did not want a long document with laudable words that led to no change.
- **Many people referred to stretched resources and increased demand for services.**
- There was an overwhelmingly strong view from children and young people, parents and carers and professionals that a **broad and practical curriculum that fosters resilience and a positive attitude to learning** is

more important for life skills than league tables and academic success measures.

- Clarity was wanted on the part that WE1 in this Strategy will play in the Transformation agenda for **children's centres, and the SmartStart programme.**
- Many respondents emphasized how WE2 should start with **all learners**, not only vulnerable learners.
- **Transition** into, from and between schools and settings is a time of vulnerability was said to need more focus, particularly from Year 6 to 7.
- There was a high level of concern about **exclusions and schools taking students** off their roll, with a commitment to work together to find solutions.

3.7 Following collation and analysis of all coproduction and consultation material, the emerging key themes have been considered, and the proposed new Education Strategy has been drafted. A reference group of headteachers from the Challenge Board has met twice to proof-read the Strategy. This led to fine-tuning of the wording.

4.0 Proposed Education Strategy

4.1 The new proposed pack of six short strategy documents being presented today should satisfy requests for short, simple and clear documentation. They will be available on a dedicated webpage:

- 1) The Strategy (one tri-folded sheet of paper)
- 2) A Delivery Plan
- 3) A simple Performance Monitoring framework
- 4) Contextual data
- 5) 'Sign up' by champions and partners (to be completed once the Strategy is 'live')
- 6) The role of the Council in Education including hyperlinks to related strategies and plans

4.2 The proposed four 'challenges' (priorities) following the consultation are;

- **WE1:** Our challenge is to foster children's love of learning from birth through early childhood and into Year 1 so that all young children achieve their potential.
- **WE2:** Our challenge is to promote a broad, empowering and creative curriculum, focusing on times of transition, and prioritising vulnerable groups.
- **WE3:** Our challenge is for all learners to enjoy a high quality learning experience.
- **WE4:** Our challenge is to champion employability by promoting the best opportunities for all learners.

These are very different to those proposed in the consultation and are the result of a comprehensive co-production process. The strapline has been changed to include quotations from responses to the consultation. It started as; 'Working in partnership so that a good education is available to everyone' and is now 'Working in partnership, celebrating success, aiming for excellence'.

- 4.3 The Education Strategy has been co-constructed to address the current challenging financial position. Difficult decisions can now be made together, with transparency, through the new and refreshed Boards. Partners (schools, settings, colleges, employers, providers...) will all be able to contribute to improving outcomes. There is still room to reduce duplications and to add value, and the Strategy has pinpointed some of these. More will emerge as the Strategy is implemented.
- 4.4 WE1; there were many responses asking how this Strategy 'fits' with the Transformation agenda for children's centres. After much consideration and discussions with key stakeholders the decision has been made to focus the Education Strategy on what can be achieved from an education perspective. The vision that was co-constructed at the Early Years Visioning event works well under the statutory framework of the Early Years Foundation Stage. This will strengthen the contribution that education professionals make to parallel work led by colleagues in Public Health and Children's Social Care.
- 4.5 WE2: there is now an overarching focus on empowering all children, based upon children's contribution to the consultation, and responses in the survey. A powerful theme emerging from the consultation was that the current narrowing of the curriculum can further disadvantage vulnerable learners. Warwickshire's data tells us that our vulnerable learners of all ages do not achieve as well as vulnerable learners nationally we have therefore continued to focus this priority on those groups.
- 4.6 WE3: the Council's statutory role to anticipate growth in demand for places, to maximise use of capital in local areas, to efficiently administer school admissions and to continue to support governors in their vital role, have all been added. The role of the Challenge Board in leading school improvement has been stated more clearly. A significant commitment has been added to WE3: A new 'App' will be developed to celebrate the success of Warwickshire schools in relation to WE1,2,3 and 4. This will provide a new and alternative 'standard' to sit alongside Ofsted and Government assessments and could, in time, be helpful to parents in choosing schools for their children.
- 4.7 WE4: the new Employability and Skills Board has been added, as have T levels and apprenticeships.
- 4.8 The Head of Education and Learning presented the draft Education Strategy to the Warwickshire Youth Parliament on 8 May 2018. Following discussion, the Youth Parliament fully endorses this Education Strategy and looks forward to engagement in delivery.

5.0 Equality Impact Assessment

5.1 Following the consultation process, the Equality Impact Assessment has been reviewed and updated to reflect the consultation findings and profile of respondents. (Annex 7).

6.0 Timescales associated with the decision and next steps

6.1 Please see extract from timeline below:

Milestones	Deadline
Council meeting	26 July 2018
New Education Strategy starts	1 September 2018

6.2 Providing feedback to respondents is a vital element of the consultation process and this will be undertaken by ensuring the final consultation report is made publicly available on 'Ask Warwickshire' and widely shared with all partners and stakeholders. Links to final strategy documents will be provided, as well as an update on the dedicated Ask Warwickshire 'You Said, We Did' section.

Background papers n/a

Annexes provided separately:

1. Education Strategy
2. Delivery Plan
3. Performance monitoring framework
4. Contextual data and information
5. 'Sign Up' document
6. The role of the Council, and statutory responsibilities for Education and Learning
7. Equality Impact Assessment
8. You Said, We Did
9. Consultation findings report

	Name	Contact Information
Report Author	Chris Malone	chrismalone@warwickshire.gov.uk
Head of Service	Chris Malone	chrismalone@warwickshire.gov.uk
Strategic Director	Monica Fogarty	monicafogarty@warwickshire.gov.uk
Portfolio Holder	Cllr Colin Hayfield	colinhayfield@warwickshire.gov.uk

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

Local Member(s): none

Other members: none

WE3

Our challenge is for all learners to enjoy a high quality learning experience.

We will celebrate **Warwickshire's Family of Schools**: teaching schools, school companies, academies, community, Diocesan, maintained, multi-academy trusts, nursery, primary, secondary, special schools and school governors.

WCC will, on an annual basis:

- Anticipate growth in demand for places, maximising use of capital funding in local areas
- Efficiently administer school admissions.
- Continue to support governors in their vital role.

The Warwickshire Challenge Board will continue to lead and coordinate school improvement and will organise support for schools facing difficulties. Teaching schools and multi-academy trusts will be invited to contribute to the school-led system. In 2019 a new 'App' will be developed to promote the success of Warwickshire schools in relation to WE 1, 2, 3 and 4.



WE4

Our challenge is to champion **employability** by promoting the best opportunities for all learners so that:

- The local economy can grow
- Young people can take on the responsibilities of adult life and wider participation in higher education
- Adult learners contribute to the local economy
- Young people make informed choices
- Young people move successfully into sustainable employment

We will develop and implement a county careers strategy, including apprenticeships, introduction of T-levels, monitoring numbers not in education, employment or training and liaison with the widening participation strategy.



WE1
Early
Years



WE2
An
Empowering
curriculum



WE3
Family of
Schools



WE4
Employability

Warwickshire Education (WE) Strategy 2018-2023

'Working in partnership, celebrating success, aiming for excellence'

Safeguarding and promoting the welfare and well-being of learners is paramount In all areas of work.



WE will:

WE1

Our challenge is to foster children's love of learning from birth through early childhood and into Year 1 so that all young children achieve their potential.

Together, we will champion the **Early Years Foundation Stage (EYFS)**. In 2018/19 we will:

- co-ordinate high quality training
- help parents to provide language-rich learning at home
- secure sufficient childcare
- check that safeguarding arrangements are robust.



WE2

Our challenge is to promote a broad, empowering and creative curriculum, focusing on times of transition, and prioritising vulnerable groups:

WE2 (a) The wellbeing of **Learners currently missing education** will improve as will their educational outcomes.

By September 2019, all children and young people of school-age will have a suitable educational placement, and will be enjoying their learning. We will support children and young people who find conventional schooling difficult so that they can still achieve their potential.

If you require a different format please contact Marketing and Communications Tel. 01926 413727

WE2 (b) The gaps between the achievements of learners eligible for **Pupil Premium**: and those of their peers, will narrow, particularly at age 11 and 16.

We will celebrate the achievement of pupils eligible for pupil premium funding and we will give those who need it, extra support to catch up. We will check on this every November from 2019 to 2023.

WE2 (c) Children who are **Looked After** will be supported to reach their potential.

We will provide a wide range of opportunities such as leisure activities and apprenticeships. We will remove barriers and raise educational aspirations for Children who are Looked After and Care Leavers.

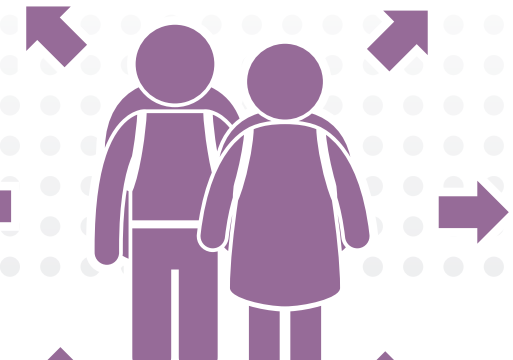
WE2 (d) Learners with **Special Educational Needs and Disabilities (SEND)** will be able to succeed in schools and settings close to home, and they will be supported towards becoming independent and employable.

We will continue to increase the number of high quality places in Warwickshire special and mainstream schools and settings. We will ensure that legal requirements for SEND assessments are met.

WE2 (e) As a result of nurturing support from local communities, professionals, parents and learners with **social, emotional and mental health needs** will grow in confidence.

We will help learners to bounce back when things get tough by developing expertise in colleges, classes, schools and settings to support resilience and emotional wellbeing. We will provide clear routes to access local support services.

We will implement a Warwickshire Workload Charter to help school leaders demonstrate that staff workload is reducing.



Warwickshire Education Strategy Summary Delivery Plan 2018/19



*see document 3 Education Strategy Dataset

	WE outcome	Actions	Responsible	Timescale	Success in August 2019*	Measuring success in 2023*	RAG / Notes
1	<p>Our challenge is to foster children's love of learning from birth through early childhood and into Year 1 so that all young children achieve their potential.</p> <p>Together, we will champion the Early Years Foundation Stage (EYFS).</p>	<p>Establish Early Years Board</p> <p>WCC commission Aspiration Network</p> <p>New Aspiration Network deliver to specification:</p> <p>co-ordinate high quality training</p> <p>and help parents to provide language-rich learning at home</p> <p>secure sufficient childcare, checking that safeguarding arrangements are robust.</p>	<p>New Early Years Board</p> <p>WCC</p> <p>Nursery School Teaching School</p> <p>WCC</p>	<p>September 2018 – July 2019 followed by a review before the second year commences</p>	<p>The achievements of disadvantaged learners at age five in July 2019 will show gaps continuing to close in Warwickshire.</p> <p>The percentage of good and outstanding early years providers in Warwickshire will exceed the national figure and that there will be sufficient good quality places for two, three and four year-olds.</p>	<p>Good Level of Development at age five for disadvantaged learners compared with non-disadvantaged</p> <p>Percentage of early years providers that are judged by Ofsted as good / outstanding</p> <p>Percentage of 2 year olds benefitting from funded early education places</p> <p>Percentage of 2 year olds children benefitting from funded early education in Ofsted judged good / outstanding providers</p>	

2	Our challenge is to promote a broad, empowering and creative curriculum, focusing on times of transition, and prioritising vulnerable groups:						
2(a)	<p>Learners missing education:</p> <p>The wellbeing of Learners currently missing education will improve as will their educational outcomes. By September 2019, all children and young people of school-age will have an appropriate school place, and will be enjoying their learning. We will support children and young people who find conventional schooling difficult so that they can still achieve their potential.</p>	WCC officers will work with the Area Behaviour Partnerships, headteachers and partner organisations to develop, implement and monitor a plan to achieve this objective. The plan will include a focus on curriculum and on transition.	New Children Missing their Education Entitlement Team	September 2018 – July 2019 followed by a review before the second year commences	We will work with partners to better understand the escalating number of permanent exclusions in Warwickshire so that by July 2019 there are no excluded children without a school place in the county. We will continue to support home educating families within the regulations so that the take-up of home visits for newly registered children increases from 57% to 65%.	<p>Number of children of statutory school-age not on a school roll due to exclusion / ill health</p> <p>School leaders in Warwickshire will be taking full responsibility for ensuring that all children have a school place, especially vulnerable learners and Children Looked After. This will mean that learners finding it difficult to participate fully in school will all be on the roll of a school where they are nurtured. They will experience an appropriate education that meets their needs and allows them to achieve.</p>	
2(b)	<p>Pupil Premium:</p> <p>The gaps between the achievement of learners eligible for Pupil Premium: and those of their peers, will narrow, particularly at age 11 and 16.</p> <p>We will celebrate the achievement of pupils eligible for pupil premium funding and we will give those who need it, extra support to catch up. We will check on this every November from 2019 to 2023.</p>	A new Closing the Gap plan will be developed, implemented and monitored. It will include a focus on curriculum and on transition.	Refreshed Closing the Gap Board	September 2018 – July 2019 followed by a review before the second year commences	Disadvantaged learners in all formally assessed Key Stages (at the end of: Reception, Years 2, 6, 11 and 13) will be reaching at least the levels of the equivalent cohort nationally.	Disadvantaged learners in all formally assessed Key Stages (at the end of: Reception, Years 2, 6 and 11) will be reaching at least the levels of the equivalent cohort nationally.	

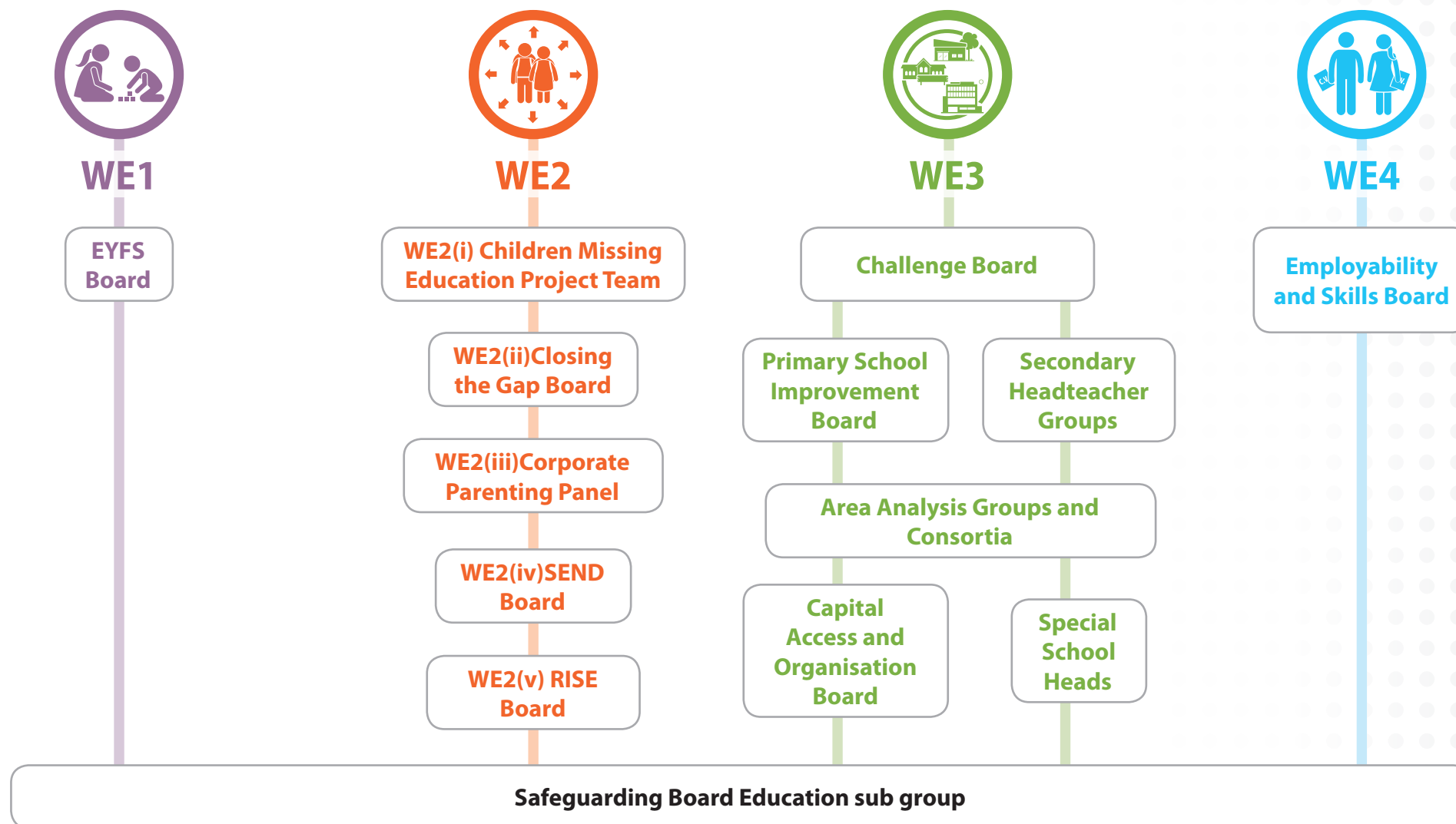
<p>2(c)</p>	<p>Children who are Looked After and Care Leavers;</p> <p>Children who are looked after will be supported to reach their potential.</p> <p>We will provide a wide range of opportunities such as leisure activities and apprenticeships. We will remove barriers and raise educational aspirations for Children who are Looked After and Care Leavers.</p>	<p>The peer review of the Virtual School will lead to an action plan which will be implemented and monitored. The plan will include a focus on curriculum and transition.</p>	<p>Corporate Parenting Panel</p>	<p>September 2018 – July 2019 followed by a review before the second year commences</p>	<p>The profile of the Council as corporate parent will be raised so that all elected Members and Council staff prioritise Children who are Looked After. A dataset will be agreed for reporting to Corporate Parenting Panel</p>	<p>The number of young people in care/care leavers aged 16 yrs. – 19 yrs. who are not in education, employment or training (NEET); Attainment at key stage 2 (primary) - the gap between the achievement of looked after pupils and those not in care; Attainment at key stage 4 (secondary) – the gap between the achievement of looked after pupils and those not in care</p>	
<p>2(d)</p>	<p>Learners with Special Educational Needs and Disabilities (SEND);</p> <p>will be able to succeed in schools and settings close to home, and they will be supported towards becoming independent and employable. We will continue to increase the number of high quality places in Warwickshire special and mainstream schools and settings. We will ensure that legal requirements for SEND assessments are met.</p>	<p>The SEND Reform implementation in Warwickshire will be fully evaluated before a new change plan is implemented and monitored. The plan will include a focus on curriculum and on transition.</p>	<p>New SEND Board</p>	<p>September 2018 – July 2019 followed by a review before the second year commences</p>	<p>All Statements will have been converted to Education, Health and Care Plans (EHCPs) by the end of the Summer Term 2018.</p> <p>All EHCPs will be finalised as soon as practicable, and within 20 weeks of receiving the request for a needs assessment.</p>	<p>Percentage of Education Health and Care Plans completed within 20 weeks. Sufficient places to meet the full range of SEND needs in Warwickshire with more good quality resource provision in local areas</p> <p>Good and outstanding special schools will be working effectively with mainstream education providers promoting effective inclusion, and there will be an increased focus on effective transitions into and between education providers. educational outcomes for children with SEND in Warwickshire at age five, seven, eleven and sixteen will at least match the national figure for SEND. A wide range of options will be in place for post-16 learners so that they can be supported to develop resilience and employability. As a result there will be an increase in the number of young people with learning disabilities moving into paid employment.</p>	

<p>2(e)</p>	<p>Learners with social, emotional and mental health needs;</p> <p>As a result of nurturing support from local communities, professionals and learners with social, emotional and mental health needs will grow in confidence.</p> <p>We will help learners to bounce back when things get tough by developing expertise in colleges, classes, schools and settings to support resilience and emotional wellbeing. We will provide clear routes to access local support services.</p> <p>We will implement a Warwickshire Workload Charter to help school leaders demonstrate that staff workload is reducing.</p>	<p>We will provide clear routes to local support services particularly at times of transition.</p> <p>We will implement the Warwickshire Workload Charter</p>	<p>RISE Board</p> <p>Workload Charter steering group</p>	<p>September 2018 – July 2019 followed by a review before the second year commences</p>	<p>Every school and college will be encouraged to appoint a designated lead for mental health</p> <p>12 schools will have achieved the Warwickshire Workload Charter by July 2019.</p>	<p>By 2020, named leads will be in place in all schools. Every school and college will have a designated lead in mental health, who works closely with the School Nurse and other relevant professionals.</p> <p>The Warwickshire Workload Charter will be embedded throughout the county and workload for education staff will be reasonable.</p>	
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<p>3</p>	<p>Our challenge is for all learners to enjoy a high quality learning experience.</p> <p>We will celebrate Warwickshire's Family of Schools: teaching schools, school companies, academies, community, Diocesan, maintained, multi-academy trusts, nursery, primary, secondary, special schools and school governors.</p>	<p>Lead and coordinate school improvement organising support for schools facing difficulties. Teaching schools and multi-academy trusts will be invited to contribute to the school-led system.</p> <p>Anticipate growth in demand for places, maximising use of capital funding in local areas</p> <p>Efficiently administer school admissions.</p> <p>Continue to support governors in their vital role.</p> <p>Develop new 'App' will be developed to promote the success of Warwickshire schools in relation to WE 1, 2, 3 and 4.</p>	<p>Challenge Board, Area Analysis Groups, Consortia</p> <p>WCC</p> <p>WCC</p> <p>WCC</p> <p>WCC leading co-production</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Review and then ongoing</p> <p>Ongoing</p> <p>September to December 2018</p>	<p>Number of Teaching Schools and NLEs will increase</p> <p>More successful bids to the Strategic School Improvement Fund (SSIF).</p> <p>All schools (maintained and academy) judged as less than good should, as a result, be re-inspected to achieve a good outcome and outcomes for vulnerable learners should improve in targeted schools</p> <p>Focus on Nuneaton and Bedworth where nearly 20% of schools require improvement, supporting maintained schools and academies in to be judged by Ofsted as good or outstanding so that the quality of education in the more economically disadvantaged areas of Warwickshire is the best it can be.</p> <p>We will anticipate with accuracy the growth in demand for school places in Warwickshire. We will update the Sufficiency Strategy, maximising use of capital and growth funding to meet need in local areas.</p>	<p>Educational outcomes in Warwickshire for children at age five, seven, eleven, sixteen and eighteen will be well above the national figure. All schools and settings in the more economically disadvantaged areas of Warwickshire will all be judged as good and outstanding.</p> <p>All schools (maintained and academy) judged as less than good should, when re-inspected achieve a good outcome, with a specific focus on Nuneaton and Bedworth (N&B)</p> <p>Outcomes for vulnerable learners improve in schools targeted in Strategic School Improvement Fund (SSIF) bids</p> <p>There will be sufficient school places to meet demand in Warwickshire, including for learners with SEND.</p>	
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<p>4</p>	<p>Our challenge is to champion employability by promoting the best opportunities for all learners so that:</p> <ul style="list-style-type: none"> • The local economy can grow • Young people can take on the responsibilities of adult life and wider participation in higher education • Adult learners contribute to the local economy • Young people make informed choices • Young people move successfully into sustainable employment 	<p>Develop and implement a Warwickshire careers strategy</p> <p>Plan and roll out a campaign to promote apprenticeships, and the introduction of T-levels</p> <p>Continue with NEET reduction plan</p> <p>Promote the widening participation strategy</p>	<p>New Infrastructure and Skills Board</p> <p>Warwick University</p>	<p>September 2018 – July 2019 followed by a review before the second year commences</p>	<p>A Warwickshire careers strategy will be in place for 2019 with sign up from all secondary schools</p> <p>further reduction in the number of young people not in education, employment or training</p> <p>Secondary schools report increased capacity to deliver careers advice for young people least likely to enter the job market or further / higher education.</p> <p>There is an increase in the number of pupil premium students entering higher education</p> <p>The Employability and Skills Board will develop measures to assess business engagement with schools/colleges and businesses facing skills shortages</p>	<p>Percentage of 16 and 17 year olds Not in Education, Employment or Training (NEET)</p> <p>Student Destinations – Percentage in sustained education or employment / training destinations (<i>for at least two terms after leaving KS4 or KS5 study</i>)</p> <p>Building on the successful Skills for Employment programme, Warwickshire's young people will experience a wide range of career opportunities through further and higher education and apprenticeships. All secondary schools, including special schools, will build on their current relationships with Warwickshire businesses. Post-16 education will focus on ensuring choice into apprenticeships and technical or academic pathways. The Adult and Community Learning Service will be targeting areas of the county where there is most need so that we maximise the opportunities for adult learners to return to the workforce or change direction in their career.</p>	
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Responsibility for delivery of the priorities in the Education Strategy



Education Strategy Dataset 2018

WE	Measure	Monitoring frequency	Data source	Data owner	Warwickshire Data (National data in brackets)	RAG
1	Good Level of Development at age five for disadvantaged learners compared with non-disadvantaged	annual	Early Years Foundation Stage Profile (EYFSP)	DfE / WCC Insight Team	2017 Disadvantaged = 58% Non Disadvantaged = 74% All = 73%	
1	Percentage of early years providers that are judged by Ofsted as good / outstanding	termly	Inspection outcomes for childcare on non-domestic premises	Ofsted / WCC Insight Team	31/12/2017 = 95% (94%)	
1	Percentage of 2 year olds benefitting from funded early education places	annual	Education provision: children under 5 years of age	DfE / WCC Insight Team	2015 = 68% (58%) 2016 = 74% (68%) 2017 = 81% (71%)	
1	Percentage of 2 year olds children benefitting from funded early education in Ofsted judged good / outstanding providers	annual	Education provision: children under 5 years of age	DfE / WCC Insight Team	2017 = 95% (97%)	
2 a	Number of children of statutory school-age not on a school roll due to exclusion / ill health	monthly	WCC Project Team	WCC Project Team		
2 b	Disadvantaged learners in all formally assessed Key Stages (at the end of: Reception, Years 2, 6 and 11) will be reaching at least the levels of the equivalent cohort nationally.	annual	EYFSP, Phonics assessment, Key Stage 1 and 2 Reading, Writing and Maths at expected level Attainment 8	DfE / WCC Insight Team	<p>EYFSP – GLD Disadvantaged = 58% (56%) Non Disadvantaged = 74% (73%) All = 73% (71%)</p> <p>Phonics – Working at required level Disadvantaged = 69% (68%) Non Disadvantaged = 84% (83%) All = 82% (81%)</p> <p>KS1 – RWM Expected+ Disadvantaged = 46% (49%) Non Disadvantaged = 69% (68%) All = 66% (64%)</p> <p>KS2 – RWM Expected+ Disadvantaged = 42% (48%) Non Disadvantaged = 68% (68%) All = 62% (62%)</p> <p>KS4 – A8 Disadvantaged = 36.7 (37.1) Non Disadvantaged = 51.8 (49.9) All = 49.0 (46.4)</p>	

2 c	The number of young people in care/care leavers aged 16 yrs. – 19 yrs. who are not in education, employment or training (NEET) Attainment at key stage 2 (primary) - the gap between the achievement of looked after pupils and those not in care Attainment at key stage 4 (secondary) – the gap between the achievement of looked after pupils and those not in care	Quarterly annual	NEET Key Stage 2 Reading, Writing and Maths at expected standard and above Attainment 8	WCC WCC Insight Team	2017 KS2 – % RWM Expected Standard+: CLA = 43% (32%) Non-CLA = 62% (61%) GAP = -19% (-29%) KS4 – Attainment 8 CLA = 22.4 (19.3) Non-CLA = 46.4 (44.5) GAP = -24.0 (-25.2)	
2 e	Percentage of Education Health and Care Plans completed within 20 weeks	monthly	WCC internal data	WCC SENDAR Team		
3	All schools (maintained and academy) judged as less than good should, when re-inspected achieve a good outcome, with a specific focus on Nuneaton and Bedworth (N&B)	quarterly	Inspection outcomes; schools	Ofsted / WCC Insight Team	28/02/2018 24 schools less than good of which 14 (58%) also previously judged less than good 7 schools less than good in N&B of which 4 (57%) also previously judged less than good	
3	Outcomes for vulnerable learners improve in schools targeted in Strategic School Improvement Fund (SSIF) bids	annual	EYFSP, Phonics assessment, Key Stage 1 and 2 Reading, Writing and Maths at expected level, Attainment 8	DfE / WCC Insight Team		
4	Percentage of 16 and 17 year olds Not in Education, Employment or Training (NEET)	monthly	National Client Caseload Information System (NCCIS) portal (LA Tables)	WCC / Prospects	28/02/2018 = 1.9% (2.8%)	
4	Student Destinations – Percentage in sustained education or employment / training destinations (<i>for at least two terms after leaving KS4 or KS5 study</i>)	annual	Destinations after key stage 4 and 5	DfE / WCC Insight Team	2015/16 destinations for the 2014/15 cohort After completing KS4 (GCSEs): 95% (94%) After completing KS5 (A Levels): 92% (89%)	

Education Strategy Soft Measures 2018-19

WE	Evidence	Monitoring frequency	Owner	Summary of information	RAG
2v	List of mental health leads in schools	quarterly	WCC Public Health		
2v	List of schools adopting Warwickshire Workload Charter	quarterly	WCC Schools HR		
4	Warwickshire Careers Strategy in place	annual	WCC Skills for Employment		

Warwickshire Education Strategy

Contextual Data



Warwickshire is entering a period of significant growth over the next 15 years, with large scale housing development proposed across the county requiring education provision for over 30,000 additional Warwickshire children. First, we look at expanding existing schools, and then we will look to build new schools. During this fifteen year period we expect to plan for / build up to 28 new schools. Rugby is the fastest growing area in the county.

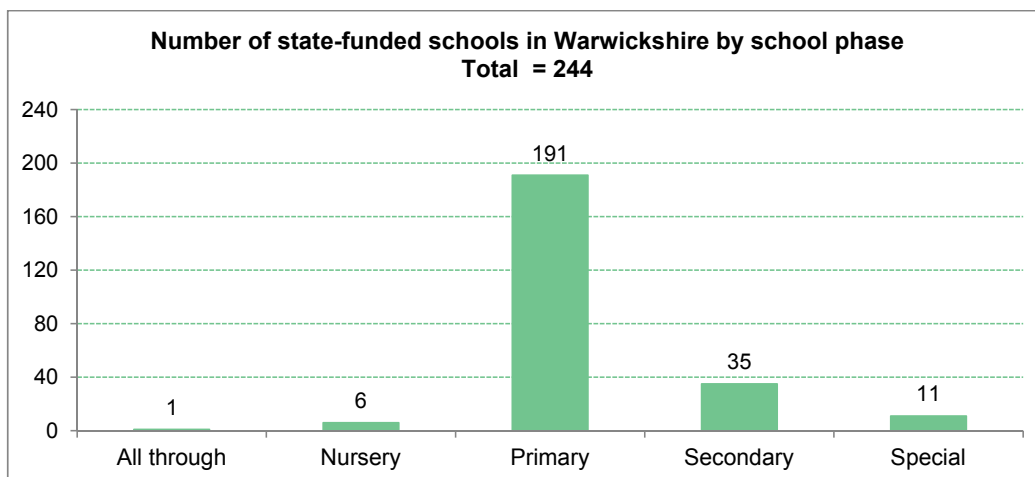
There are approximately 119,536 children and young people aged 0-18 living in Warwickshire, this represents just over 1 in five residents (21.5%), slightly lower than the England (22.5%) figure. There are just over 87,000 children being educated in 244 state-funded and 27 independent schools in Warwickshire.

Local Provision

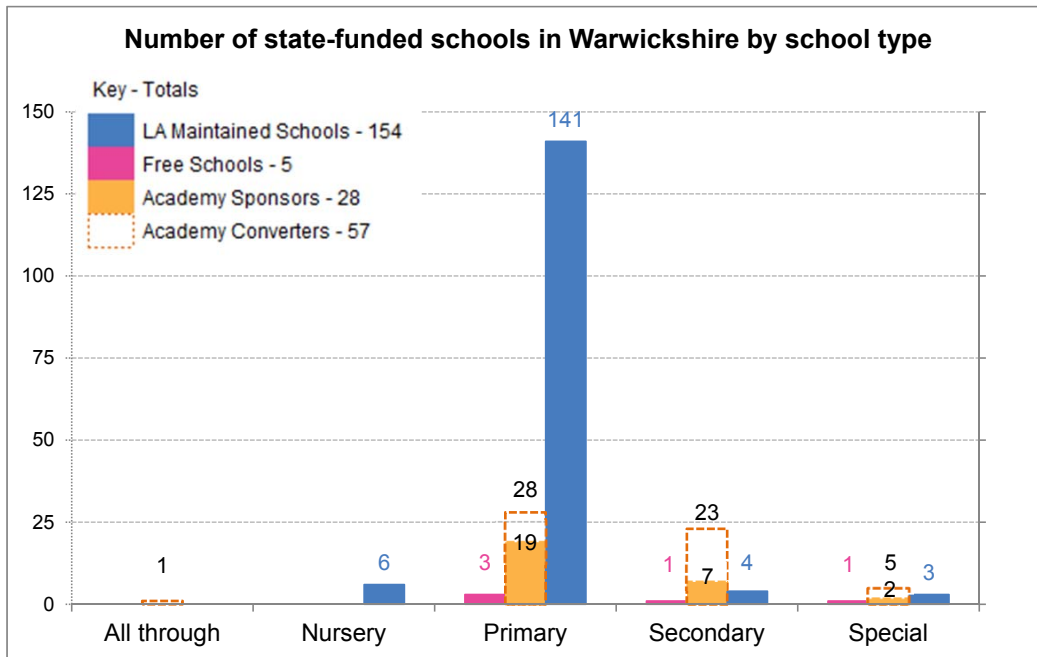
In Warwickshire there are 826 Early Years providers (private / voluntary / independent nurseries and pre-schools), 423 childminders and 121 Out of School Clubs (holiday playschemes and after school / breakfast clubs registered with Ofsted ie not managed directly by a school).

There are 244 state-funded schools in Warwickshire of which:

(correct as at 30th May 2018 Source - DfE's Get Information About Schools website)

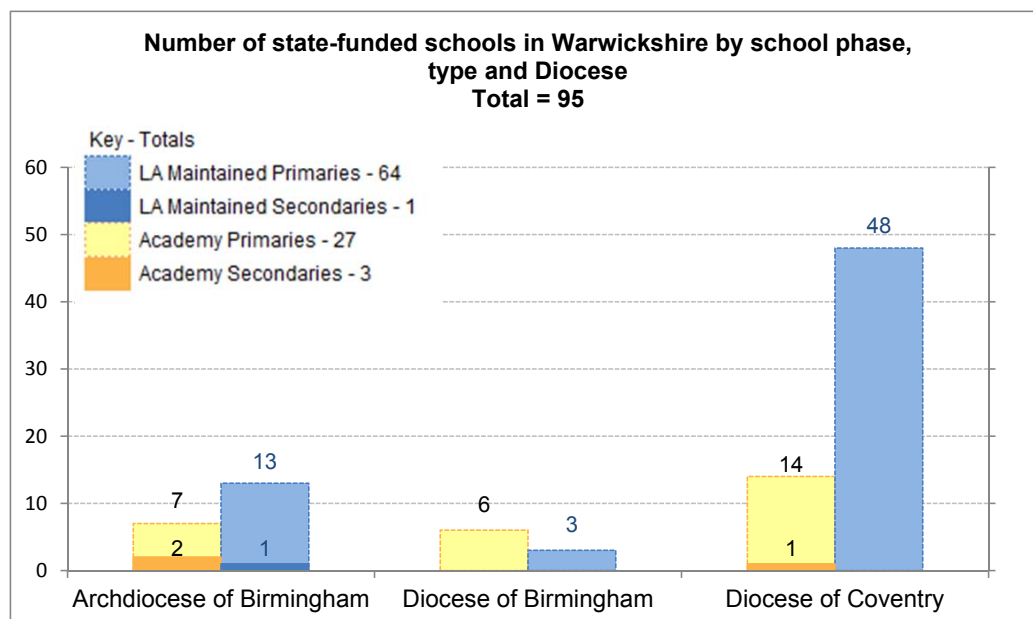


School Phase	Number
All through	1
Nursery	6
Primary	191
Secondary	35
Special	11
Total	244



School Phase	Total	LA maintained schools	Academies	Free Schools	Academy converter	Academy sponsor
All through	1		1		1	
Nursery	6	6				
Primary	191	141	47	3	28	19
Secondary	35	4	30	1	23	7
Special	11	3	7	1	5	2
Total	244	154	85	5	57	28

There are 95 state-funded schools within the following Diocese:



School Phase	School Type	Archdiocese of Birmingham	Diocese of Birmingham	Diocese of Coventry	Total
Primary	Academies	7	6	14	27
	LA Maintained	13	3	48	64
Secondary	Academies	2		1	3
	LA Maintained	1			1
Total		23	9	63	95

A number of Warwickshire's state-funded academies are part of Multi Academy Trusts (MATs). There are seven MATs with a single Warwickshire academy within their remit. There are also 19 academies that are supported by a single-academy trust.

In the county there is also one Sixth Form College, four Further Education Colleges operating from several sites, plus several independent providers of further education and Alternative Provision, and two universities. In 2016/17 there were 2,463 learners attending Adult and Community Learning classes.

The current picture indicates that 91% of schools in Warwickshire have been judged to be good or outstanding. This compares favourably to the national average of 89% meaning that 69,039 pupils in Warwickshire (89%) are being educated in a good or outstanding school. This compares to 88% of pupils nationally. The percentage of good and outstanding schools in Nuneaton and Bedworth is lower than local and national figures. The percentage of early years and childcare providers in Warwickshire that are judged good and outstanding by Ofsted matches the national figure at 94%. The Warwickshire Adult and Community Learning Service is graded good by Ofsted.

SEN headline data

There are currently **11,571** pupils with Special Educational Needs being educated in a state-funded school in Warwickshire equating to 14% of the total school population.

9188 pupils fall within the SEN Support category requiring lower levels of support and 2383 pupils have an Education, Health and Care Plan (or statement of need) and have more complex SEN needs.

Education Outcomes 2017

Across all of the headline Key Stage measures, Warwickshire's pupils have performed above the national average. This is particularly notable at Key Stage 4. This is against a back drop of changes across the entire national curriculum that resulted in more challenging tests and assessments from 2016 onwards.





	Early Years Foundation Stage Profile	Phonics (Y1)	Key Stage 1	Key Stage 2	Key Stage 4			Post 16 A-Level	
	% of pupils achieving a Good Level of Development	% of pupils working at the required level	% of pupils achieving the Expected Standard in RWM	% of pupils achieving the Expected Standard in RWM	% of pupils achieving a Strong Pass in E&M	Average Attainment 8 Score per pupil	Average Progress 8 Score	APS per entry as a grade	% achieving AAB or higher in at least 2 facilitating subjects
England	71%	81%	64%	62%	42%	46.1	-0.03	C (30.9)	13.9
Statistical Neighbours	73%	82%	n/a	63%	43%	46.2	-0.09	C (30.3)	11.80%
Warwickshire	73%	82%	66%	62%	48%	48.6	0.05	C+ (32.1)	16.20%
North Warwickshire	72%	84%	65%	55%	31%	43.4	-0.11	C (28.5)	6.70%
Nuneaton & Bedworth	68%	80%	57%	59%	37%	43.7	-0.23	C- -27.5	4.20%
Rugby	72%	83%	67%	63%	53%	50.4	0.09	C+ -34.8	21.30%
Stratford-on-Avon	77%	83%	69%	64%	59%	53.6	0.24	B-(36.2)	24.40%
Warwick	75%	84%	70%	66%	50%	49.5	0.19	C+ (34.0)	15.70%

KS1 and KS2: RWM = Reading, Writing and Maths, KS4: E&M = English and Maths GCSEs, Post 16: APS = Average Point Score Statistical Neighbours are those local authorities deemed to have similar characteristics to Warwickshire and are used for benchmarking purposes. Warwickshire's 10 statistical neighbours are Cheshire West and Chester; Worcestershire; Central Bedfordshire; Leicestershire; Staffordshire; Warrington; Cheshire East; Essex; Hampshire; North Somerset.

However, this positive picture changes when reviewing the success of some of the more vulnerable groups of children in the county. The gaps between educational outcomes for disadvantaged cohorts and their peers in Warwickshire are larger than national, and outcomes are lower than national for these groups. Gaps are narrowing year on year for five-year olds, and in the Year 1 Phonics assessment, but not at the end of Key Stages 1, 2 and 4 (formal assessment of children aged 7, 11 and 16).

Home Education

Warwickshire has seen a steep rise in parents electing to home educate: from 285 in 2012/13 to 422 in 2016/17. Between September 2017 and January 31 2018, 77 children became newly registered as home educated, showing a picture similar to the national trend.

Exclusions

Exclusions from school are increasing in Warwickshire. There were 64 permanent exclusions from Warwickshire schools in 2015/16. This increased to 76 in 2016/17. In the Autumn Term of 2017 there had already been 45 (compared with a 2016 figure for the same period of 24), so the predicted end of year figure in July 2018 is nearly double that of the previous year. Additionally, the systems in Warwickshire intended to ensure that no excluded child is without a school place are not working well. There is a growing list of over 50 secondary pupils and 12 primary pupils who have been denied a school place by Warwickshire schools. As soon as pupils are placed, more join the list.

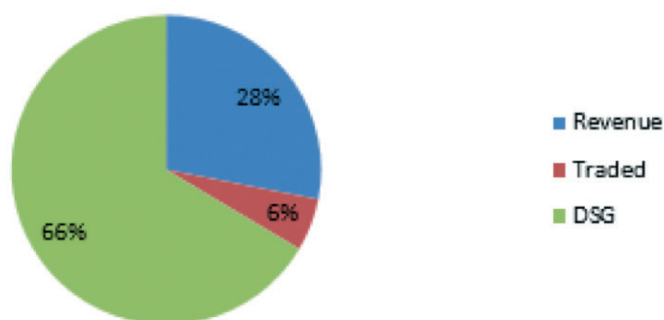
Resources to achieve our aims

From the Warwickshire One Organisation Plan (OOP): Like all local authorities Warwickshire County Council faces continuing financial pressures and we are faced with finding further savings of £67 million by 2020

Funding that supports Education services includes:

- Council funding
- Grants from the Government, Dedicated Schools Grant (DSG) being the largest
- Income from services that are traded

Education & Learning Gross Expenditure 2017/18



OOP Savings have already been made in Education services as follows:

£690,000 school improvement, further £110,000 in 2018/19

£312,000 WCC projects, further savings of £110,000 in 2018/19

£100,000 Early Years Improvement

£67,000 achieved in Attendance; £206,000 further savings in 2018/19 offset by trading income

Home to School Transport savings have not been met due to increased demand

Remaining budgets are under pressure in two main areas;

- Home to School Transport (Revenue funding)
- SEND Services (especially demand-led services including top ups; High Needs Block DSG).

The Council has agreed additional funding in both these areas in 2018/19 but increased statutory demands are meaning that there is a predicted in-year shortfall in 2018/19 of between £4 and £5 million. This is being offset by savings across Education services and by revenue from trading through Warwickshire Education Services (WES).

Warwickshire Music and Marle Hall cover their revenue costs entirely through trading with schools.

The Education Capital Programme reports regularly to both the County Council Cabinet and Council meetings. The most recent report is [here](#).

Schools Forum meetings are an opportunity for scrutiny of the Dedicated Schools Grant. Papers are in the public domain [here](#). A Review of the DSG is being conducted in the Summer Term 2018 and will report to Schools Forum in the autumn.



Warwickshire Education Strategy

'Sign Up'

Warwickshire's Education Strategy is driven by the County Council's [One Organisational Plan 2020](#). Consultation has told us that there is a shared moral imperative for us to do the best we can for all learners in Warwickshire.

The purpose of the Strategy is to:

- summarise our aspirations and priorities for education in Warwickshire
- explain how the Council will work with partners to achieve these
- bring together the work of different teams with partners so that services are more joined-up
- continue to improve education quality and learner outcomes at a time of financial challenge
- support innovation through creative and inspiring partnership working.

The following partners have signed up to the Strategy, which comprises a:

1. One page Strategy document
2. Delivery Plan and diagram of Boards responsible for implementation
3. Performance monitoring framework
4. Contextual data and information
5. The role of the Council, and statutory responsibilities for Education and Learning

Add partners



Jeremy Dibb, Director of Warwickshire Music says; 'Warwickshire Music is delighted to support the four key priorities in the Education Strategy. Our Early Years and Special Education Needs provision is second to none and we are determined to support a broad and balanced curriculum in all our Warwickshire schools.'



Chris Malone, Head of Education and Learning in Warwickshire County Council says 'Warwickshire's Education Strategy is ground-breaking. Following extensive consultation and co-production we have developed a Strategy generated from the views of children, young people, parents, staff, leaders and education professionals. I am confident that together we have identified the right priorities to change lives.'





Peter Kent, Headteacher at Lawrence Sheriff School and Chair of Warwickshire's Education Challenge Board says; 'I welcome the way in which education leaders have been placed at the heart of developing a school-led improvement system. It is exciting to see the way in which this document commits everyone in Warwickshire to work together to achieve an ambitious set of goals. Through the work of the Education Challenge Board schools have the opportunity to play a leading role in both shaping and delivering this strategy on behalf of the pupils that we serve.'



Councillor Colin Hayfield, County Council Portfolio Holder for Education and Learning, says; 'We recognise that the world of education has changed in recent years and we believe that we are unique in co-producing this Education Strategy. We have heard from many parents, children and young people, education professionals and partner organisations. As a result we have completely redrafted the original Strategy. We now look forward to working alongside you to improve learner outcomes, life chances and employability.'



Monica Fogarty, Joint Managing Director, says; 'We must celebrate Warwickshire's many educational successes, which are a result of the dedication and energy of our front-line professionals. These contribute to the flourishing local economy. Education is essential to Warwickshire's continued economic growth and to sustaining our vibrant communities. We know, from our data and from listening to you, that there is more to do to. I am confident that, following your valuable input through the consultation, the final version of the Strategy identifies the right priorities and as we implement the Strategy, together we will make a positive difference to the lives of learners in Warwickshire.'





Simon Lomax, The Nuneaton Academy Principal, "The Warwickshire Education Strategy clearly sets out the importance of securing the very best for all young people in Warwickshire, recognising the challenges that young people face, and the importance of us all working together to remove these barriers to ensure successful futures for learners and our community. The strategy prioritises getting things right from the start, and then using the expertise we have in Warwickshire to learn from the best and prepare learners for employability. A clear, well thought out strategy, taking into account the views of our community; putting learners at the heart of all we do."



Warwickshire Education (WE) Strategy 2018-2023

Directory of Statutory Education Services

Warwickshire County Council has an overarching statutory responsibility for the provision of education which underpins the council's obligations to the Warwickshire family of schools. It is a duty to:

- promote high standards
- ensure fair access to opportunity for education and training; and
- promote the fulfilment of learning potential.

The above duties apply to the provision of education to all children who are resident in Warwickshire in all types of schools.

Councils also continue to hold a wide range of statutory responsibilities for Education and can choose to exercise statutory powers. Some of the responsibilities apply to children no matter how they are educated, some apply to all schools, and some apply to maintained schools only

Plans accompanying this Strategy pack include: – [Hyperlinks to be added after strategy agreed at Council](#).

Education Sufficiency Strategy including Childcare Sufficiency Strategy
School Improvement Plan
SEND and Inclusion Plan

Plans on a page (internal WCC plans):

Education and Learning
Education Sufficiency and Access
Learning and Performance
SEND and Inclusion
Virtual School
Adult and Community Learning
Warwickshire Music
Marle Hall

Statutory education services that Councils must commission or provide

Education Sufficiency and Access

The Council has a statutory responsibility to hold the strategic overview of planning for educational places. This includes ensuring sufficiency both of early years places, and of quality places for all learners of statutory school age in state funded schools. It involves the expansion of existing schools and the commissioning of new schools as appropriate. It also includes co-ordinating school admissions and ensuring that a suitable education is available to meet the needs of all children within Warwickshire, including those who are out of schooling for any reason, such as those who are permanently excluded from school. The County Council also has a statutory responsibility to make home to school transport arrangements for eligible children and young people, processing all applications, checking eligibility and where required processing payments. The team is also responsible for policies on provision of home-to-education transport for Post 16 and Post 19 young





people, as well as non-statutory transport for those of compulsory school age.

The Education Sufficiency and Access Team is responsible for a real time online system for Free School Meals eligibility is provided for schools to maximise Pupil Premium payments.

The team also undertakes the statutory responsibility for regulating children who undertake part time work, to ensure that they are not being employed unlawfully or that their health, welfare or ability to take advantage of their education is not suffering or likely to suffer as a result of being employed.



Special Educational Needs & Inclusion

SEND and Inclusion teams offer a mix of traded capacity building services and statutory work related to SEN provision, in particular EHC Needs Assessments and the preparation, maintenance and review of Education Health and Care (EHC) Plans, as well as duties relating to school exclusions and school attendance.



The Council has a wide range of statutory responsibilities to deliver and provide information on SEND services for children and young people up to the age of 25, for example duties to publish information through a 'Local Offer', to identify children with needs and to facilitate support for them.

The Special Educational Needs and Disability Assessment and Review (SENDAR) team is the operational service for assessing, issuing and reviewing EHC Plans. This team meets the obligations set out in the Children and Families Act 2014 and the SEND Code of Practice.

Educational Psychologists assess children's learning, social and emotional needs, providing training and development work, including bespoke training packages to meet individual needs, and promoting inclusive practice. This is a combination of statutory and traded work.

The Flexible learning Team provides support to schools for pupils who are unable to attend school for periods of time as a result of ill health, in line with statutory requirements.

The Integrated Disability Service is a shared team including professionals from the NHS providing co-ordinated, multi-agency assessment, advice and training for schools. The service includes support for children with physical disabilities, complex needs, visual and hearing impairment.

The Attendance Team (ACE) offers traded work to schools for improving whole-school attendance as well as a statutory service undertaking prosecutions of parents for non-school attendance on behalf of the Council.



The Virtual School

The Virtual School is responsible for meeting the statutory duty to promote the education of children looked after (CLA) by the local authority or those who have left our care to become adopted or subject to a special guardianship order or child arrangement order. This involves maintaining a "roll" of CLA and monitoring their attainment and progress. All CLA 3-18 must have a termly Personal Education Plan. The Tiffin Club is a registered charity offering enrichment to CLA.

Learning and Performance Services

This service works with schools and headteachers to develop system leadership via school-to-school support, growing the number of Teaching Schools in Warwickshire and enabling schools to work effectively in local, county wide and sub-regional networks. Through this method, the aim is that every child in Warwickshire has the opportunity to attend a good or outstanding school. This involves risk assessing all schools ensuring that



appropriate support and intervention is in place in order to address identified needs and, where appropriate, statutory powers are used to intervene in maintained schools causing concern.

This team fulfils statutory duties in relation to promoting post-16 participation in education, employment and training.

Complaints submitted to Ofsted and the Council which identify a safeguarding risk are investigated in conjunction with the Schools' Safeguarding Manager.

Statutory assessment and moderation for all three primary phases (The Early Years Foundation Stage and Key Stages 1 and 2) is coordinated by Council officers and leading teachers are commissioned to deliver moderation in schools.

A range of other statutory responsibilities are managed by this service, such as support for recruitment of headteachers in maintained schools, induction processes for newly qualified teachers and the Standing Advisory Council for Religious Education.

Data services are provided, for example through Area Analysis Groups.



Governor Services

This team supports responsibilities for maintained schools and trades with maintained and academy schools, supporting effective governance through training, support, guidance and a clerking service.

Access to Education

A small team works to ensure children and young people receive their full educational entitlement fulfilling the Council's statutory duties for children missing education, including the identification of children who are not being suitably educated. The team is also involved in supporting parents who choose to electively home educate, and supports the work of the Area Behaviour Partnerships (ABP) for children excluded from school or at risk of permanent exclusion. This team also works in partnership with the Multi Agency Safeguarding Hub (MASH).

The Education Safeguarding Service supports schools to comply with safeguarding requirements. Children's Social Care and Early Help services work closely with education partners, schools and settings.

Public Health provides a range of services for schools and settings including the innovative Smartstart programme.

Non-Statutory Services managed by the Council that cover their costs through grants and traded income

Adult & Community Learning

The Adult and Community Learning service (ACL) provides both accredited and non-accredited learning opportunities for adults aged 19+. Provision includes Essential Skills (English, Maths and ESOL); programmes for adults with learning difficulties and/or disabilities; ICT; Family Learning; Community Learning programmes including Art, Craft, Languages and other subjects; and vocational programmes to support those not yet in employment into work. Programmes take place in community venues across the county. ACL works in partnership with many organisations and can develop bespoke programmes to meet needs identified by organisations as well as offering universal access programmes across the county.



Marle Hall Outdoor Centre

Marle Hall is a residential outdoor centre in North Wales sleeping 100+ and providing learning outside the classroom opportunities for Warwickshire schools and other groups, using adventurous outdoor activities and environmental studies. Emphasises personal and social education to help build resilience and independence in young people, or directly supports the curriculum e.g. GCSE, A Level geography.



Warwickshire Music

The Warwickshire Music service provides support and advice on all aspects of music education to Warwickshire schools and settings. It is the lead organisation for the Warwickshire Music Hub and responsible for funding administered by Arts Council England, providing instrumental and vocal lessons; music centre groups; instrumental hire to parents and schools; events, workshops and concerts through a staff team of over 100.



Heritage Education Services (LACE) offer a range of workshops in the centre of Warwick or in schools.

Non-Statutory Services managed by the Council that are working towards covering their costs through traded income

The **Ethnic Minority and Traveller Achievement Service** (EMTAS) works in partnership, with schools, parents and other agencies to improve the achievements and engagement of pupils from the Gypsy, Roma and Traveller (GRT) community and pupils with English as an Additional Language (EAL), largely on a traded basis.

The **Specialist Teaching Service** supports schools to raise standards and improve outcomes for pupils with SEND on a traded basis. Support for pupils who are at risk of permanent exclusion can also be accessed through the Primary Memorandum of Understanding.

Warwickshire Education Services (WES)

Schools also have the opportunity to purchase the following Council services: Communications and Media, Construction, Corporate Facilities, County Fleet Maintenance, Finance, HR (Advisory & Recruitment), ICT Development, Legal, Payroll, Property Risk Management, Safety and Premises, Schools Absence Insurance, Schools Insurance, the apprenticeship programme, and the Schools Library Service.

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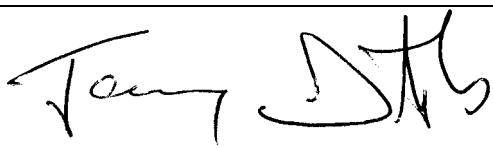
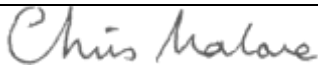
Communications

In addition the Council produces a **'Heads Up' monthly e-newsletter**, works with partners to deliver termly **head teacher briefings**, and works with the Warwickshire Teaching School Alliance to provide **manager meetings for early years and childcare providers**.

EQUALITY IMPACT ASSESSMENT/ ANALYSIS (EqIA)

Education Strategy 2018 - 2023

Equality Impact Assessment/ Analysis (EqIA)

Group	Communities
Business Units/Service Area	Education and Learning
Plan/ Strategy/ Policy/ Service being assessed	Education and Learning Strategy 2018 - 2023
Is this is a new or existing policy/service? If existing policy/service please state date of last assessment	New Equality Impact Assessment
EqIA Review team – List of members	Chris Malone Head of E & L Jeremy Dibb Director Warwickshire Music
Date of this assessment	January 29 th 2018 revised May 2018
Signature of completing officer (to be signed after the EqIA has been completed)	
Are any of the outcomes from this assessment likely to result in complaints from existing services users and/ or members of the public? If yes please flag this with your Head of Service and the Customer Relations Team as soon as possible.	NO
Name and signature of Head of Service (to be signed after the EqIA has been completed)	 Chris Malone
Signature of GLT Equalities Champion (to be signed after the EqIA is completed and signed by the completing officer)	Phil Evans PA Sam Ayton-Hill

A copy of this form including relevant data and information to be forwarded to the Group Equalities Champion and the Corporate Equalities & Diversity Team



Working for Warwickshire

Form A1

INITIAL SCREENING FOR STRATEGIES/POLICIES/FUNCTIONS FOR EQUALITIES RELEVANCE TO ELIMINATE DISCRIMINATION, PROMOTE EQUALITY AND FOSTER GOOD RELATIONS



High relevance/priority



Medium relevance/priority



Low or no relevance/ priority

Note:

1. Tick coloured boxes appropriately, and depending on degree of relevance to each of the equality strands
2. Summaries of the legislation/guidance should be used to assist this screening process

Business Unit/Services:	Relevance/Risk to Equalities																										
State the Function/Policy /Service/Strategy being assessed:	Gender			Race			Disability			Sexual Orientation			Religion/Belief			Age			Gender Reassignment			Pregnancy/ Maternity			Marriage/ Civil Partnership (only for staff)		
Education and Learning Strategy 2018 - 2023			✓			✓			✓			✓			✓			✓			✓			✓			✓
Are your proposals likely to impact on social inequalities e.g. child poverty for example or our most geographically disadvantaged communities? If yes please explain how. The new Strategy is intended to improve the equality of education within Warwickshire. This improvement should impact on social mobility and therefore impact positively on social inequalities																									YES		
Are your proposals likely to impact on a carer who looks after older people or people with disabilities? If yes please explain how.																									NO		

Form A2 – Details of Plan/ Strategy/ Service/ Policy

Stage 1 – Scoping and Defining

(1) What are the aims and objectives of Plan/Strategy/Service/Policy?

It is time to update the Warwickshire County Council Education and Learning Strategy so that it reflects current challenges. An overarching vision for education in Warwickshire is needed so that one agreed strategy can guide the work of council and partners.

It has one uniting and overarching purpose: to improve educational outcomes, and thus the life chances, of learners in Warwickshire.

The purpose of this Education Strategy is to set out clearly our aspirations and priorities for education in Warwickshire, and to summarise how Council teams will be working with partners to achieve them.

This Strategy brings together the work of different teams in the Education and Learning Business Unit. As a result we hope that services will be more joined-up and, despite financial challenges, the quality of services, and the impact on learner incomes, will continue to improve.

We are going to ensure that Council plans 'join up'. All plans in the Education and Learning Business Unit, and all staff objectives, will explicitly support this Strategy. Meetings and Boards led by Education and Learning staff will all be driven by this Strategy. Following consultation we can see that partners and education professionals sign up to the Strategy and are committed to using it to enhance the effectiveness of their work.

Our aim is for a shared vision to give clarity, transparency and relative simplicity within the complex education environment of 2018.

<p>(2) How does it fit with Warwickshire County Council's wider objectives?</p>	<p>All children deserve the best possible start in life and this means making sure we get early education right.</p> <p>Warwickshire County Council has a statutory responsibility to support all vulnerable learners.</p> <p>The Warwickshire County Council One Operational Plan (OOP) outlines the need for communities to work together to support each other. The community of schools is no different and system leadership means helping schools to support each other.</p> <p>We need to help all our people to find meaningful employment or further education post 16 – to enable them to take a full and active role as young adults.</p>
<p>(3) What are the expected outcomes?</p>	<p>We are going to ensure that Council plans 'join up'. All plans in the Education and Learning Business Unit, and all staff objectives, will explicitly support this Strategy. Meetings and Boards led by Education and Learning staff will all be driven by this Strategy. Following consultation, it is clear that partners and education professionals are signed up to the Strategy and have committed to using it to enhance the effectiveness of their work.</p> <p>Our aim is for a shared vision to give clarity, transparency and relative simplicity within the complex education environment of 2018.</p>
<p>(4) Which of the groups with protected characteristics is this intended to benefit? (see form A1 for list of protected groups)</p>	<p>The following protected groups should benefit from the strategy particularly through WE2 which identifies learners vulnerable to under-achievement: race, disability, gender (eg under-achieving boys).</p> <p>The Strategy focuses on learners of all ages.</p>
<p><u>Stage 2 - Information Gathering</u></p>	

<p>(1) What type and range of evidence or information have you used to help you make a judgement about the plan/ strategy/ service/ policy?</p>	<p>The public consultation ran from March 5th - April 2nd and an online questionnaire was the main form of response. The questionnaire was anonymous and did not ask for any personal information.</p> <p>Paper copies or alternative formats were available.</p> <p>An Education and Learning Strategy leaflet was widely circulated to all educational settings and they were encouraged to make this leaflet available to parents and students. This leaflet and all other supporting documents were available online.</p> <p>Schools and other educational settings were widely consulted through informal and formal meetings, conferences and events.</p> <p>Stakeholders were able to respond to this consultation online, in writing and there were face to face opportunities.</p>
<p>(2) Have you consulted on the plan/ strategy/ service/policy and if so with whom?</p>	<p>The consultation period is March 5th – April 2nd 2018</p>
<p>(3) Which of the groups with protected characteristics have you consulted with?</p>	<p>Page 21 of the Consultation findings report lists the online respondent profile and evidences respondents with the six most relevant protected characteristics who responded to the online survey.</p> <p>For example, relating to age:</p> <p>Under 18; 4 18-29; 9 30-44; 73 45-59; 65 60-74; 14 75+; 0</p>
<p><u>Stage 3 – Analysis of impact</u></p>	

<p>(1) From your data and consultations is there any adverse or negative impact identified for any particular group which could amount to discrimination?</p> <p>If yes, identify the groups and how they are affected.</p>	<p>RACE no</p>	<p>DISABILITY no</p>	<p>GENDER no</p>
	<p>MARRIAGE/CIVIL PARTNERSHIP N/A</p>	<p>AGE no</p>	<p>GENDER REASSIGNMENT N/A</p>
	<p>RELIGION/BELIEF N/A</p>	<p>PREGNANCY MATERNITY N/A</p>	<p>SEXUAL ORIENTATION N/A</p>
<p>(2) If there is an adverse impact, can this be justified?</p>	<p>No adverse impacts were identified</p>		
<p>(3) What actions are going to be taken to reduce or eliminate negative or adverse impact? (this should form part of your action plan under Stage 4.)</p>	<p>N/A</p>		

(4) How does the plan/strategy/service/policy contribute to promotion of equality? If not what can be done?

Warwickshire County Council will work effectively with colleagues in schools, and settings, with partners and professionals, so that simple, consistent services enable all Warwickshire's learners to learn in safe and enabling environments.

Our proposed priorities for Education and Learning are:

1:

Our challenge is to foster children's love of learning from birth through early childhood and into Year 1 so that all young children achieve their potential.

2:

Our challenge is to promote a broad, empowering and creative curriculum, focusing on times of transition, and prioritising vulnerable groups:

- (i) Learners missing education
- (ii) Pupil Premium
- (iii) Children who are Looked After
- (iv) Special educational needs and disabilities (SEND)
- (v) Supporting resilience and emotional wellbeing

3:

Our challenge is for all learners to enjoy a high quality learning experience. We will celebrate **Warwickshire's Family of Schools**: teaching schools, school companies, academies, community, Diocesan, maintained, multi-academy trusts, nursery, primary, secondary, special schools and school governors.

4:

Our challenge is to champion **employability** by promoting the best opportunities for all learners so that:

- The local economy can grow
- Young people can take on the responsibilities of adult life and wider participation in higher education
- Adult learners contribute to the local economy
- Young people make informed choices

Young people move successfully into sustainable employment
constructively, where we can make a positive difference to learner outcomes

(5) How does the plan/strategy/service/policy promote good relations between groups? If not what can be done?	<ul style="list-style-type: none"> • Young people can take on the responsibilities of adult life and wider participation in higher education • Adult learners contribute to the local economy • Young people make informed choices • Young people move successfully into sustainable employment
(6) Are there any obvious barriers to accessing the service? If yes how can they be overcome?	N/A
(7) What are the likely positive and negative consequences for health and wellbeing as a result of this plan/strategy/service/policy?	See WE2 (v) for positive impact on people with social, emotional and/or mental health needs
(8) What actions are going to be taken to reduce or eliminate negative or adverse impact on population health? (This should form part of your action plan under Stage 4.)	N/A
(9) Will the plan/strategy/service/policy increase the number of people needing to access health services? If so, what steps can be put in place to mitigate this?	no
(10) Will the plan/strategy/service/policy reduce health inequalities? If so, how, what is the evidence?	Not directly

<u>Stage 4 – Action Planning, Review & Monitoring</u>	
If No Further Action is required then go to – Review & Monitoring (1) Action Planning – Specify any changes or improvements which can be made to the service or policy to mitigate or eradicate negative or adverse impact on specific groups, including resource implications.	
(2) Review and Monitoring State how and when you will monitor policy and Action Plan	Equality Assessment has been reviewed (18.4.18 and 30.05.18)

Please annotate your policy with the following statement:

‘An Equality Impact Assessment/ Analysis on this policy was undertaken on (date of assessment) and will be reviewed on (date three years from the date it was assessed).

CONSULTATION TIMETABLE

This timetable should include all key dates and actions for this consultation
Key milestones have been auto-added but you may need to include additional actions specific to your consultation.

<u>Action</u>	<u>Date</u>	<u>Responsible Officer</u>
Sign off of consultation brief	February 1st	

Log portfolio decision as agenda item on CMIS Forward Plan <i>(Log 6 weeks /31 days before decision date)</i>	February 1st	
Sign off on consultation documents		
Portfolio decision date <i>(Allow for call-in before starting consultation)</i>	February 23rd	
Start of consultation	March 5th	
Mid point review	March 19 th ?	
Close of consultation	April 2nd	
Allowance for receipt / input of postal and paper responses	If applicable. Assess at mid point review	
Log O&S and Cabinet reports on CMIS Forward Plan <i>(Log 6 weeks /31 days before decision date)</i>	May 18 th April 27 th for for O&S, April 30 th for Cabinet	
Analysis of results and Consultation report <i>(Minimum 2 weeks)</i>	April 3 rd – 10 th (subject to numbers)	Insights Service (Jemma Bull)
Draft Cabinet report completed <i>(Allow sufficient time for due consideration)</i>		
Informal consultation / report sign off		

Corporate board meeting (if required)	April 24 th (May 9 th)	
Upload draft O&S and Cabinet reports on CMIS. <i>(3 weeks (16 w days) before decision date.)</i>	May 18 th for O&S, May 22 nd for Cabinet	
Overview and scrutiny meeting	June 12 th	
Log Council report on CMIS Forward Plan <i>(Log 6 weeks /31 days before decision date)</i>	June 13 th	
Cabinet meeting (Decision) <i>(Allow for call-in before implementation, final feedback)</i>	June 14 th	
Upload draft Council report on CMIS. <i>(3 weeks (16 w days) before decision date.)</i>	July 4 th	
Council meeting (Endorsement)	July 26 th	
Feedback to the public		
Implementation Date	September 1 st	

Education Strategy 2018-2023 Annex 8 'You Said – We Did'

	You Said	We Did
1	All WEs 1,2,3,4 were considered relevant and were supported with over 90% of online responses supporting WE1,2 and 4, and 83% supporting WE3.	Kept WE1,2,3,4.
2	It looks more like a vision than a strategy. Aspirations of the strategy are to be commended but there is little explanation of how it will be implemented.	Reworked WE 1,2,3,4 into a Delivery Plan to include who would be responsible for actions, and how we will know that we are succeeding.
3	The Best possible start in life is too general and means that the strategy might make no tangible difference. You want a professionally trained early years workforce. You think that we should focus more on early language development, and on supporting parents to provide a language-rich home learning environment (Early Years Visioning Event, headteacher event plus online responses). A headteacher said: 'parents sometimes don't know how to support their children; things have changed since they were at school'. A parent said 'my child loves coming to school in reception. As they get older the fun is taken out of it'.	Rewrote WE1 being more specific: We changed 'Best possible start in life' to 'Champion the Early Years Foundation Stage (EYFS)'. This roots the strategy in education. We can then add value to the wider work on 'best possible start in life' by: <ul style="list-style-type: none"> • Co-ordinating high quality EYFS training • Helping parents to provide a language rich home learning environment for their young children. See 6. below
4	Primary school staff told us that 'the expectations of secondary schools for Year 7 are lower than our expectations for Year 6; 'there is a huge difference'.	Added 'focusing on times of transition' to WE2.
5	Secondary heads told us that one of their main concerns at the moment is children who are challenging, exclusions and off-rolling students.	Strengthened WE2 (i)
6	Many responses echoed the following views: 'league tables and targets create so much stress', 'students start to give up as they cannot meet expectations', 'we are producing students who are unable to communicate. We want whole, rounded students, thinking creatively and problem solving'.	Added 'promote a broad, empowering and creative curriculum in WE2. Strengthened WE4.

	<p>Parents told us that 'there is too much emphasis on English and maths when children should be learning through more active, practical experiences'. 'Not all children are academic; we want hands on children'. One parent said; 'we love maths on the move' 'we don't want our children sitting at desks all the time'</p> <p>A young person told us that 'students who constantly feel stupid will give up'. Another said 'education is there to make us ready for the outside world – over emphasis on the academic is stopping this'.</p>	<p>Committed to develop a new 'App' to promote the success of Warwickshire schools in WE1,2,3 and 4. The App can then sit alongside League Tables as an alternative measure that celebrates the qualities that you have told us you value so much, and that are reflected in the Education Strategy.</p>
7	<p>Say things plainly: in WE3, for example in WE3 call it "School Improvement". You said that there is no clear plan in the draft Strategy as to how this priority will be achieved and confusion as to what "successful system leadership" actually means.</p>	<p>Added 'The Warwickshire Challenge Board will lead and coordinate school improvement'. References to systems leadership have been removed from the Strategy so that they can be clearly explained in more detail in the School Improvement Plan.</p>
8	<p>WE3 should refer explicitly to the role of governors in the strategy</p>	<p>Of course, added to WE3.</p>
9	<p>Some feedback included a concern regarding lack of long term modelling for school places</p>	<p>Added WCC will anticipate growth in demand for places to WE3.</p>
10	<p>We were clearly told by primary children; 'call us children not pupils, pupils is weird'.</p> <p>You also told us about Fridays when you love to 'celebrate achievements in and out of school during the week'.</p>	<p>There is no reference to 'pupils' in documentation – we used 'children'</p> <p>We have increased the focus on celebrating our successes in the strapline.</p>
11	<p>Many respondents emphasized how WE2 should start with all learners, not only vulnerable learners; whilst there was often broad agreement that unlocking talent, building resilience, and fulfilling the potential of vulnerable learners is important, this should apply to <i>all</i> children, not just those classed as vulnerable.</p>	<p>WE2 has been changed and starts with a focus on 'all learners'.</p>

	You want to be empowered: children told us 'teachers really give you a boost in your work – they come over and make sure you understand – they give a thumbs up when you do it on your own'.	Added ' <i>empowering curriculum</i> '.
12	<p>You agreed that we must focus on social, emotional and mental health needs, saying 'happy teachers make for happy classes means that children learn'.</p> <p>Several responses drew our attention to the importance of building resilience across children, young people, parents and professionals.</p>	<p>We have placed the implementation of Warwickshire's workload charter in a more prominent place in WE2 (v).</p> <p>Updated WE2 (v) to reflect this and to link WE2 (v) across all the WEs, 1,2,3 and 4.</p>
13	Several people Challenged the use of Ofsted judgement words. One person said 'why do we live by Ofsted?'	Removed 'good' 'outstanding etc from the text and replaced with the strapline 'aiming for excellence'.
14	Although there was a high level of agreement with the priorities, you were less sure that the Strategy presented the Council's role with clarity.	We have clarified this further in document 6; local authority role and responsibilities.
15	Some of you read the longer document in detail but many of you used the more concise leaflet to find out about the proposals.	The 12 page document has been replaced by an Education Strategy 'pack'. This is a set of six short documents. The Strategy is now on one sheet of paper. We have presented the new text in a more visual way, focusing on our aspirations, actions and how we will know we are succeeding.



EDUCATION STRATEGY 2018-2023

CONSULTATION RESULTS

Date published: April 2018

Report produced by the Insight Service, Performance Business Unit

Background

The consultation for the Warwickshire County Council Education and Learning Strategy 2018-2023 took place between 5th March and 2nd April 2018. The new Education and Learning Strategy will replace the current document 'Education Strategy' – Championing the Learner – Vision, Values and Priorities 2014.

The recent DfE publication 'Unlocking Talent, Fulfilling Potential, December 2017' outlines how the Government intends to improve social mobility through education. The four national ambitions outlined in the DfE publication are;

- (i) Close the 'word gap' in early years
- (ii) Close the attainment gap in school, continuing to raise standards for all
- (iii) High quality post-16 education choices for all young people
- (iv) Everyone achieving their potential in rewarding careers

The results presented in this document are based on an online questionnaire survey. Feedback from the Head Teachers' Conference in March 2018 via a Facilitated Group Survey has also been included. It should be made clear that this is part of a much wider consultation that involved face-to-face and focus group consultation events.

The online questionnaire survey received 176 responses. Respondents were provided with background information about the consultation on the Citizen Space 'Ask Warwickshire' webpage, here respondents were provided with an overview of the Education and Learning Strategy, the reasons why Warwickshire County Council was consulting and information for why the policy was being updated. The key elements of the policy were outlined and further information regarding the consultation was provided, including FAQs and the Equality Impact Assessment.

Respondents were asked for their level of agreement for each of the four priorities for education and whether they felt that the draft Education Strategy achieves clarity on the Council's role. Respondents were also asked if they would like to provide any further comments and suggestions related to the draft strategy in question.

METHODOLOGY

An online survey software tool, Citizen Space, was used to carry out the survey. All questions were loaded into this tool and the link to the online survey was shared via the Citizen Space webpage. The data was then downloaded and analysed in Microsoft Excel utilising pivot tables and graphs. The qualitative elements of the survey (open ended questions) were analysed by Osiris (an external resource). The online survey received 176 responses.

Feedback from the Head Teachers' Conference in March 2018 was included via the Facilitated Group Survey to provide an overview of educational staff responses to the draft Educational Strategy.

KEY MESSAGES

- The majority of respondents (92%) support Priority 1 regarding promoting the best possible start in life through early education.
- Almost two-thirds (65) of respondents chose to leave a comment or suggestion regarding Priority 1. A consistent message from the comments provided was that, whilst there was often broad agreement that promoting the best possible start in life through early education is crucial, there was uncertainty as to how this would be achieved in an environment of funding cuts and service closures.
- The majority of respondents (93%) support Priority 2 regarding unlocking talent, building resilience, and fulfilling the potential of our vulnerable learners.
- A total of 71 respondents chose to leave a comment or suggestion regarding Priority 2. A consistent message from the comments provided was that, whilst there was often broad agreement that unlocking talent, building resilience, and fulfilling the potential of vulnerable learners is important, this should apply to *all* children, not just those classed as vulnerable. Another key theme raised by respondents is the importance of mental health support and channels of communication to enable vulnerable learners to fulfil their potential.
- The majority of respondents (82%) support Priority 3 regarding supporting successful system leadership although there is less support for this in comparison to Priorities 1, 2 and 4.
- A total of 52 respondents chose to leave a comment or suggestion regarding Priority 3. A consistent message from the comments provided was that there is no clear plan in the draft Education and Learning Strategy as to how this Priority will be achieved and confusion as to what “successful system leadership” actually means.
- The majority of respondents (91%) support Priority 4 regarding promoting employability.
- A total of 51 respondents chose to leave a comment or suggestion regarding Priority 4. A consistent message from the comments provided was that promoting academic achievements should not be to the detriment of employability. Life skills, not just academic skills, are also crucial.
- Forty-one percent of respondents state that the draft Education and Learning Strategy achieves clarity on the Council's role whilst 15% believe it does not. However, 43% of respondents are unsure as to whether the draft Strategy achieves clarity on the Council's role.
- A total of 37 respondents chose to leave a comment or suggestion regarding the draft Strategy achieving clarity on the Council's role. A consistent message from the

comments provided was that no specific details or practical action points as to how these proposals/targets will be met have been provided.

- The key issues raised in the open text question regarding any comments or suggestions on what respondents would like to see in the Education Strategy are: a more inclusive Education Strategy required, a focus on life/employability skills and not just educational achievement, more support for vulnerable children, support for teacher/staff/school training and development, more funding is required to achieve the Priorities, and a clear action plan needs to be put in place in order to achieve these goals.
- Feedback from the Head Teachers’ Conference in March 2018 (via the Facilitated Group Survey) shows that there is support from Head Teachers for the Priorities. In particular, the recurring themes from the comments provided were that more funding, training and support, as well as ‘joined up thinking’ (connecting schools, other local services and parents) is required in order for the Priorities to be successful.

RESULTS - CONSULTATION ANALYSIS

About respondents

Respondents were asked to identify which category best described their interest in the survey. Table 1 gives a breakdown of survey respondents.

Table 1. Breakdown of survey respondents

Type of respondent	Total
Parent, guardian or carer	88
Other	16
General public	13
Primary education staff	12
Primary Head Teacher	9
Other specialist staff	9
Early years staff or provider	6
Secondary education staff	5
College / Further education staff	5
Other group or organisation	5
Pupil / student	4
Special school staff	3
Nursery school staff	1
Total	176

Area Respondent Lives / Works	Total
Warwick District	71
Stratford on Avon District	38
Nuneaton & Bedworth Borough	23
Rugby Borough	23
Live outside of Warwickshire	9
Countywide	6
North Warwickshire Borough	4
Other	1
Prefer not to answer	1
Total	176

Over half of respondents (57%/101) were made up of either parents/guardians/carers or general public. Those in the 'other' categories also included 11 governors, 5 speech and language therapists, as well as a number of those who considered themselves to be working in an education capacity/environment *and* a parent.

The majority of respondents to the survey were female (73%), of White British ethnicity (84%) and aged between 30-59 years (80%). When comparing the respondent profile with the proportion of residents living or working in each district and borough in Warwickshire overall, it becomes evident that the north of the county is under-represented in the sample. For example, 11.4% of the Warwickshire population reside in the North Warwickshire Borough, however in the sample just 2% of respondents are living or working in North Warwickshire. Nuneaton and Bedworth Borough is also under-represented, with only 13% of respondents living or working in this borough, compared with 22.8% of the Warwickshire population.

Survey Responses

Respondents were asked whether they agreed or disagreed with the following statements regarding the education strategy:

- *To what extent do you agree or disagree with Priority 1 Agreement 'Early Years'?*
- *To what extent do you agree or disagree with Priority 2 Agreement 'Vulnerable Learners'?*
- *To what extent do you agree or disagree with Priority 3 Agreement 'System Leadership'?*
- *To what extent do you agree or disagree with Priority 4 Agreement 'Employability'?*

Figure 1. Proportion of all respondents answering 'Strongly agree', 'Agree', 'Neither agree nor disagree', 'Disagree', 'Strongly disagree' and no answer to survey statements on education Priority Agreements

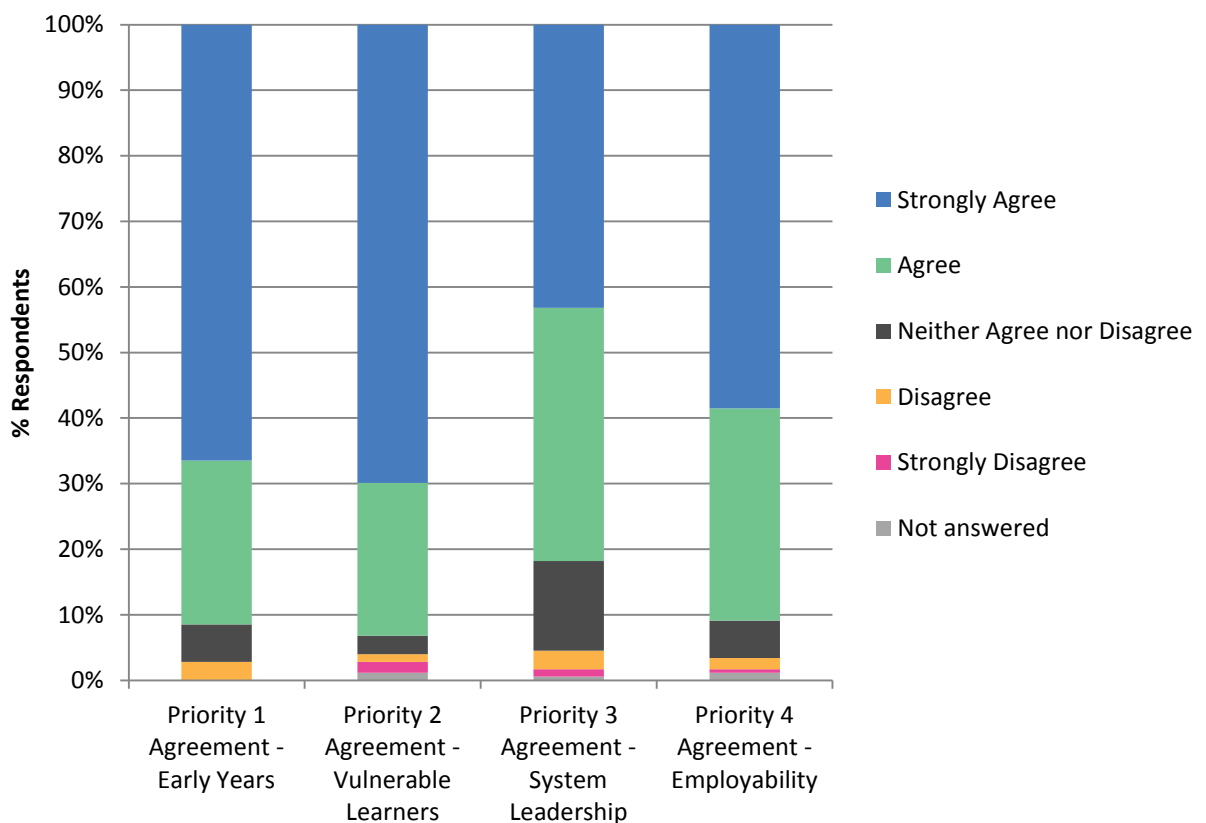


Figure 1 highlights the proportion of all respondents who agreed or disagreed with regard to the education Priorities listed. In general, agreement with all statements was relatively high; over half of respondents either strongly agreed or agreed with each Priority. For Priorities 1, 2 and 4, over 90% of respondents were in favour ('strongly agree' combined with 'agree') of these Education Priorities. There was slightly less agreement for Priority 3 where 14% 'neither agree nor disagree' with this Priority and 4% oppose it ('disagree' combined with 'strongly disagree'). Tables 2, 4, 6 and 8 highlight differences in responses between respondent categories.

Priority 1 – Promoting the best possible start in life through early education

Respondents were asked to what extent they agreed or disagreed with Priority 1 Agreement 'Early Years' – promoting the best possible start in life through early education.

Table 2. Priority 1 Agreement 'Early Years'

Type of respondent	To what extent do you agree or disagree with Priority 1?					
	Strongly Agree	Agree	Neither agree nor disagree	Disagree	Strongly Disagree	Not Answered
Parent, guardian or carer	49	29	7	3	0	0
Other	14	2	0	0	0	0
General public	8	4	1	0	0	0
Primary education staff	10	2	0	0	0	0
Primary Head Teacher	9	0	0	0	0	0
Other specialist staff	7	1	1	0	0	0

Early years staff or provider	6	0	0	0	0	0
Secondary education staff	3	1	0	1	0	0
College / Further education staff	3	2	0	0	0	0
Other group or organisation	3	1	1	0	0	0
Pupil / student	2	1	0	1	0	0
Special school staff	2	1	0	0	0	0
Nursery school staff	1	0	0	0	0	0
Total	117	44	10	5	0	0

The figures in Table 2 indicate that the majority of respondents (66%/117) 'strongly agree' with Priority 1 whilst a further 25% (44) agree. Only 5 respondents (3%) disagree with Priority 1.

Support for Priority 1 (respondents who 'strongly agree' and 'agree' combined) was lower for Pupils / Students (75%) than Parents / Guardians / Carers (89%) and the General Public (92%). Indeed, 98% (40 respondents) across all those respondents who work in an education capacity/environment 'strongly agree' or 'agree' with Priority 1 and promoting the best possible start in life through early education.

Support for Priority 1 was most pronounced in Rugby Borough where 70% of respondents strongly agreed with this Priority. Conversely, opposition to Priority 1 was most strongly felt in Stratford-on-Avon District (8% 'disagree').

Additional comments related to Priority

A total of 65 respondents chose to leave a comment or suggestion regarding Priority 1. A consistent message from the comments provided was that, whilst there was often broad agreement that promoting the best possible start in life through early education is crucial, there was uncertainty as to how this would be achieved in an environment of funding cuts and service closures.

Table 3. Qualitative themes relating to Priority 1 Agreement – online survey only

Theme	Examples for illustration	Count (base = 65)
Promoting the best possible start through early education is crucial	<p><i>"I think a good start in education sets the mindset for education later in life. If children do not enjoy schooling in early years, I think this sets the mindset of not enjoying, and not succeeding in education in later years"</i></p> <p><i>"Early help helps children begin education with a strong foundation. Without this a child can be left disadvantaged"</i></p> <p><i>"It has been proven through robust research that investment in early years education and care pays dividends for the child, society and the economy in later years"</i></p> <p><i>"A focus on the Early Years is of the utmost importance in achieving good outcomes for children. A 'bottom up' approach is far more successful in supporting this than intervening later in a 'catch up', 'reactive' way. Putting the resources into the Early Years means children have a better chance of bringing positive contributions to society as adults, as they have good foundations set for learning and life-skills development that</i></p>	35

	<p><i>follows”</i></p> <p><i>“To focus on early years education enables a twofold benefit. Firstly to give children the best possible start in life, and secondly to enthuse them to learn more. This would, I feel, reduce inequality of opportunity in later life as well as improving outcomes at key stages”</i></p>	
<p>Funding cuts and service closures (eg. closure of Children’s Centres) will hinder the success of Priority 1</p>	<p><i>“Early years education requires adequate levels of funding to provide staff who are experienced and skilled in the identification of needs and the development of individual programmes and support to ensure progress and achievement at all stages in the future”</i></p> <p><i>“Unless it is adequately funded and there is a far, far greater understanding of its importance across the breadth of Schools, the Local Authority and multi-agency partners, then it will be difficult to achieve”</i></p> <p><i>“This will only be possible if the Early Years settings are given the support that is needed. Due to the constant funding cuts all Early Years settings are facing a battle on a daily basis. Lack of support, having to buy in training, the lack of qualified level 3 staff, poor pay, Early years staff not being valued by other professionals, referral waiting lists for children to be seen by health professionals will all hinder this”</i></p> <p><i>“Why are Children’s Centres being closed? They support disadvantaged children and their parents with informal and some formal early years education”</i></p> <p><i>“[Priority 1] seems to be at odds with the reduction in Children’s Centres that will be happening. Life certainly would have been much harder for me without the excellent care and support received through the children’s centres in Kenilworth”</i></p> <p><i>“This must include the new children’s centres and private nurseries. Unless resources and suitable partnerships are enabled then Priority 1 will fail”</i></p>	<p>24</p>
<p>There should be a focus on quality early education that engages and encourages</p>	<p><i>“I don’t think it’s enough to just say we want early education - we should be aiming for the best by stating we will promote the best possible start in life through high quality early education. All young children should have the opportunity to attend Good or Outstanding early years provision. Outcomes for early years children should exceed national levels”</i></p> <p><i>“This must not be achieved by teaching to the lowest common denominator as this is closing the gap by disadvantaging other learners. Enabling all pupils to reach their potential is paramount”</i></p> <p><i>“If children do not enjoy schooling in early years, I think this sets the mindset of not enjoying, and not succeeding in education in later years”</i></p> <p><i>“Although I do strongly agree with the importance of high quality early years provision, the way the outcome is monitored at age 5 will be important. At this age they are so little and need to love learning. It is important that the outcomes focus on social and emotional wellbeing and developing this love of learning. If the outcomes become a tick box</i></p>	<p>21</p>

	<i>exercise that in any way steers away from these important goals it could be counter-productive"</i>	
No 'one-size-fits-all' approach – identification of individual needs and support	<p><i>"There needs to be enough support in place for those who aren't ready for formal learning and flexibility around learning to allow for different paced learners. One size in reality fits hardly anyone"</i></p> <p><i>"I do not necessarily agree that education in this context means 'measured or quantified' performance"</i></p> <p><i>"Other services need to be involved with disadvantaged learners to support all areas of their lives and development. Also any educational reforms need to take into account best practice and methods based on early years development across all areas of learning"</i></p> <p><i>"The gap between education and social care is too great. Joined up thinking is required"</i></p>	17

Priority 2 – Unlocking talent, building resilience, and fulfilling the potential of our vulnerable learners

Respondents were asked to what extent they agreed or disagreed with Priority 2 'Vulnerable Learners' – Unlocking talent, building resilience, and fulfilling the potential of our vulnerable learners.

Table 4. Priority 2 Agreement 'Vulnerable Learners'

Type of respondent	To what extent do you agree or disagree with Priority 2?					
	Strongly Agree	Agree	Neither agree nor disagree	Disagree	Strongly Disagree	Not Answered
Parent, guardian or carer	60	21	3	1	2	1
Other	15	1	0	0	0	0
General public	7	3	1	1	1	0
Primary education staff	8	4	0	0	0	0
Primary Head Teacher	6	3	0	0	0	0
Other specialist staff	7	1	1	0	0	0
Early years staff or provider	6	0	0	0	0	0
Secondary education staff	2	3	0	0	0	0
College / Further education staff	3	1	0	0	0	1
Other group or organisation	4	1	0	0	0	0
Pupil / student	1	3	0	0	0	0
Special school staff	3	0	0	0	0	0
Nursery school staff	1	0	0	0	0	0
Total	123	41	5	2	3	2

The figures in Table 4 indicate that the majority of respondents (70%/123) strongly agree with Priority 2, whilst a further 23% (41) agree. Only 3 respondents (2%) strongly disagree with Priority 2.

Support for Priority 2 (respondents who ‘strongly agree’ or ‘agree’ combined) was lower for the General Public (77%) than Parents / Guardians / Carers (92%) and Pupils / Students (100%). Indeed, 98% (40 respondents) across all those respondents who work in an education capacity/environment ‘strongly agree’ or ‘agree’ with Priority 2 unlocking talent, building resilience, and fulfilling the potential of our vulnerable learners.

Support for Priority 2 was least pronounced in Warwick District with (90%) of respondents who ‘strongly agree’ or ‘agree’ combined) compared to those living or working in the other boroughs and districts in Warwickshire. Indeed, 4% of respondents living or working in Warwick District were opposed to Priority 2 (stating they ‘strongly disagree’ or ‘disagree’).

Additional comments related to Priority 2

A total of 71 respondents chose to leave a comment or suggestion regarding Priority 2. A consistent message from the comments provided was that, whilst there was often broad agreement that unlocking talent, building resilience, and fulfilling the potential of vulnerable learners is important, this should apply to *all* children, not just those classed as vulnerable. Another key theme raised by respondents is the importance of mental health support and channels of communication to enable vulnerable learners to fulfil their potential.

Table 5. Qualitative themes relating to Priority 2 Agreement – online survey only

Theme	Examples for illustration	Count (base = 71)
Current difficulties in accessing support for vulnerable learners (eg. specialist mental health support / training)	<p><i>“SEND awareness, understanding and action needs huge improvement. So many children are excluded and their needs unmet”</i></p> <p><i>“Additional/specially trained staff for SEND pupils, for example, is required”</i></p> <p><i>“From personal experience the woeful lack of knowledge and support of children affected by mental health issues is very apparent”</i></p> <p><i>“I think the provision of a mental health nurse or practitioner in schools should be an absolute priority”</i></p>	34
Funding cuts will hinder the success of Priority 2	<p><i>“Investment is needed in special schools”</i></p> <p><i>“Again, funding appears to be an issue. I know lots of people that have experienced difficulty in getting their child assessed let alone provided with support”</i></p>	15
A more inclusive Education Strategy required	<p><i>“This should be for every child. Not just vulnerable ones”</i></p> <p><i>“This area needs a huge improvement as children who come under this umbrella have been overlooked for too long and have been let-down by the systems in place at the moment”</i></p>	13

No 'one-size-fits-all' approach	<p><i>"Unlocking talent isn't just about the amount of GCSEs a child gets, its having social skills and the opportunity to experience vocation skills as well as academic subjects. Educate for life rather than just for OFSTED results. One size does not fit all, tailored education to suit the variety of kids abilities"</i></p> <p><i>"This is extremely important, especially for people with social, emotional and mental health needs. I feel a lot more partnership work can be done with third sector support agencies to help meet the needs of these young people"</i></p>	11
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Priority 3 – Supporting successful system leadership

Respondents were asked to what extent they agreed or disagreed with Priority 3 'System Leadership' – supporting successful system leadership, empowering communities, so that the Warwickshire Family of Schools can thrive, and no school is left behind.

Table 6. Priority 3 Agreement 'System Leadership'

Type of respondent	To what extent do you agree or disagree with Priority 3?					
	Strongly Agree	Agree	Neither agree nor disagree	Disagree	Strongly Disagree	Not Answered
Parent, guardian or carer	40	31	13	4	0	0
Other	11	5	0	0	0	0
General public	2	8	2	0	2	1
Primary education staff	5	5	0	1	1	0
Primary Head Teacher	5	3	1	0	0	0
Other specialist staff	1	5	3	0	0	0
Early years staff or provider	3	3	0	0	0	0
Secondary education staff	1	2	1	0	1	0
College / Further education staff	1	3	1	0	0	0
Other group or organisation	4	1	0	0	0	0
Pupil / student	1	1	2	0	0	0
Special school staff	1	1	1	0	0	0
Nursery school staff	1	0	0	0	0	0
Total	76	68	24	5	2	1

The figures in Table 6 indicate that the majority of respondents (81%/144) either strongly agree or agree with the Priority 3 Agreement. Only 2 respondents (1%) strongly disagree with Priority 3.

Support for Priority 3 (respondents who 'strongly agree' or 'agree' combined) was highest amongst all those respondents who work in an education capacity/environment (83%). The strongest opposition to Priority 3 came from Parents / Guardians / Carers where (5%) disagree with this.

Support for Priority 3 was least pronounced for respondents living or working in Nuneaton & Bedworth Borough (70% of respondents who 'strongly agree' or 'agree' combined) compared to those living or working in the other boroughs and districts in Warwickshire. Indeed, 87% in Stratford-

on-Avon District and 86% in Warwick District support Priority 3 (stating they ‘strongly agree’ or ‘agree’) with successful system leadership.

Additional comments related to Priority 3

A total of 52 respondents chose to leave a comment or suggestion regarding Priority 3. A consistent message from the comments provided was that there is no clear plan in the draft Education and Learning Strategy as to how this Priority will be achieved and confusion as to what “successful system leadership” actually means.

Table 7. Qualitative themes relating to Priority 3 Agreement – online survey only

Theme	Examples for illustration	Count (base = 52)
Support for teachers / staff	<p><i>“Teachers these days have to manage budgets, staff, premises etc. - they need business management skills, and most simply haven't got those. You are failing those teachers by not providing adequate support and budget”</i></p> <p><i>“I am concerned that more admin and bureaucracy will actually reduce the effectiveness of some schools. They are already under a great weight of administration that takes the teachers out of the classroom and the head teachers away from supporting their stretched and stressed staff members”</i></p> <p><i>“There are too many leaders and not enough basic support staff and teachers</i> <i>Class sizes are being pushed up to gain more revenue which only means vulnerable children receive less attention”</i></p> <p><i>“As a school leader, I know that it is becoming increasingly challenging to ensure provision which is at least good or outstanding for all pupils. Schools have to work closely together to share the resources that they have particularly the development of staff who are the most valuable of all resources”</i></p>	23
Pressures on schools / teachers / children to achieve high standards and targets (eg. OFSTED)	<p><i>“Whilst I agree with the principle, it seems that schools are completely driven by an Ofsted need to provide data for measurement. I would love to see an approach that judges success in other ways too - the happiness of the children for example, the values of the school, the SEND provision etc.”</i></p> <p><i>“However the OFSTED system is demanding and can be damning. Don't set unrealistic targets”</i></p> <p><i>“Too many variants. It's not just about high ratings on OFSTED. And looking good on paper. You have to have a strong infrastructure, starting with strong teachers. When a child is falling behind or struggling, they aren't to be discredited and left, similar the over achiever is to be encouraged and not left to 'get on with it' they need to be supported to show their true potential. You can't have all the resource of teaching going into under achievers just so the school gets a higher OFSTED score”</i></p>	14

	<i>"It should be noted that the pressure on academic achievement at the expense of social and emotional literacy is damaging our young people. A good or outstanding school needs to be as good at social and emotional literacy as it is at academic achievement. Without this, I do not see that the school can be measured as good or outstanding"</i>	
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Priority 4 – Promoting employability

Respondents were asked to what extent they agreed or disagreed with Priority 4 ‘Promoting employability’; offering the best possible opportunities for all learners so that the local economy can grow, and young people can take on the responsibilities of adult life.

Table 8. Priority 4 Agreement ‘Promoting employability’

Type of respondent	To what extent do you agree or disagree with Priority 3?					
	Strongly Agree	Agree	Neither agree nor disagree	Disagree	Strongly Disagree	Not Answered
Parent, guardian or carer	53	27	4	3	1	0
Other	12	4	0	0	0	0
General public	8	5	0	0	0	0
Primary education staff	4	7	1	0	0	0
Primary Head Teacher	6	3	0	0	0	0
Other specialist staff	4	2	2	0	0	0
Early years staff or provider	5	1	0	0	0	0
Secondary education staff	2	2	1	0	0	0
College / Further education staff	3	1	0	0	0	1
Other group or organisation	3	2	0	0	0	0
Pupil / student	1	1	2	0	0	0
Special school staff	1	2	0	0	0	0
Nursery school staff	1	0	0	0	0	0
Total	103	57	10	3	1	2

The figures in Table 8 indicate that the majority of respondents (59%/103) strongly agree with Priority 4, whilst a further 32% (57) agree. Only 1 respondent strongly disagrees with Priority 4.

Support for Priority 4 (respondents who ‘strongly agree’ or ‘agree’ combined) was highest amongst the General Public (100%). The strongest opposition to Priority 4 came from Parents / Guardians / Carers where (5%) disagree with this.

Support for Priority 4 was most pronounced for respondents living or working in Stratford-on-Avon District (95% of respondents who ‘strongly agree’ or ‘agree’ combined) compared to those living or working in the other boroughs and districts in Warwickshire.

Additional comments related to Priority 4

A total of 51 respondents chose to leave a comment or suggestion regarding Priority 4. A consistent message from the comments provided was that promoting academic achievements should not be to the detriment of employability. Life skills, not just academic skills, are also crucial.

Table 9. Qualitative themes relating to Priority 4 Agreement – online survey only

Theme	Examples for illustration	Count (base = 51)
Equal consideration of life/employability skills, not just educational achievement	<p><i>"I feel both primary and high schools focus on educational achievement, rather than life and employability skills at present eg. there is no guidance or learning in terms of personal/household budgeting, interview and CV techniques"</i></p> <p><i>"Promoting employability is a great aim. It would be great for students to be developing the skills they will need in the workplace alongside the traditional curriculum. For example, communication skills, teamwork, leadership, interview techniques etc."</i></p> <p><i>"Skills and exams are important but being a fully rounded person is just as important - able to adapt to situations - a wider curriculum again would help to support this"</i></p>	35
Building links and connections with employers to access jobs and apprenticeship opportunities	<p><i>"How about a central communications hub that enables schools can engage with employers? Schools could click on a button and find out which local employers offer career talks, work experience, business mentoring, site visits"</i></p> <p><i>"Any links that can be built with employers are really beneficial. I know from personal experience that inviting companies in to share what they do can really help teenagers make a much more informed career or further education choice"</i></p> <p><i>"Employability workshops and support should be given just as much importance as higher or further education"</i></p>	25
Funding cuts will hinder the success of Priority 4	<p><i>"Sufficient funding is required to achieve this priority. Schools need to source or employ fully trained careers advisors to deliver careers support and advice for young people. Schools also need to invest in staff specifically employed to target support from local businesses and building relationships to secure apprenticeships and not add this task onto already heavy staff workloads"</i></p>	10

Education Strategy and clarity on the Council's role

Respondents were asked to what extent they agreed or disagreed that the draft Education Strategy achieves clarity on the Council's role (by agreeing, respondents therefore believe that the draft Education Strategy clarifies the Council's role).

Figure 2. Proportion of all respondents answering 'Yes', 'No' and 'Not sure' to whether the Education Strategy achieves clarity on the Council's role

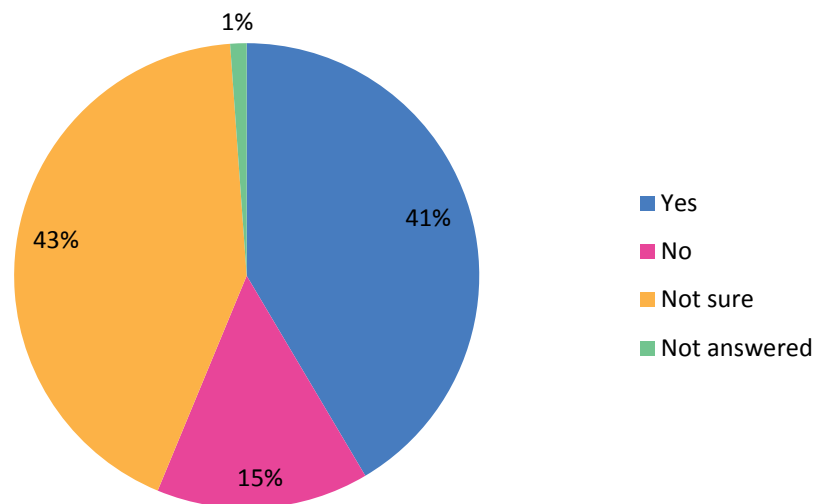


Figure 2 highlights the proportion of all respondents who agreed, disagreed or were not sure whether the draft Education Strategy achieves clarity on the Council's role. Whilst 41% (73 respondents) believe the draft Education Strategy does achieve clarity, 43% (75 respondents) were unsure. Table 10 highlights differences in responses between respondent categories.

Table 10. Does the draft Education Strategy achieve clarity on the Council's role?

Type of respondent	Does the draft Education Strategy achieve clarity on the Council's role?			
	Yes	No	Not sure	Not answered
Parent, guardian or carer	29	13	45	1
Other	9	2	5	0
General public	7	2	4	0
Primary education staff	5	3	4	0
Primary Head Teacher	6	1	2	0
Other specialist staff	4	1	4	0
Early years staff or provider	2	1	3	0
Secondary education staff	3	1	1	0
College / Further education staff	1	1	2	1
Other group or organisation	4	0	1	0
Pupil / student	1	0	3	0
Special school staff	1	1	1	0
Nursery school staff	1	0	0	0
Total	73	26	75	2

Agreement that the draft Education Strategy achieves clarity on the Council's role (respondents who stated 'yes') was highest amongst the General Public (54%). Disagreement (respondents answering 'no') was highest amongst all those respondents who work in an education capacity/environment (20%).

Agreement (respondents stating 'yes') that the draft Education Strategy achieves clarity on the Council's role was most pronounced for respondents living or working in Warwick District (45%) and Rugby Borough (43%), whilst the strongest disagreement was from respondents living or working in Nuneaton & Bedworth Borough (26% stated 'no').

Additional comments related to clarity on the Council’s role

A total of 37 respondents chose to leave a comment or suggestion regarding the draft Education Strategy achieving clarity on the Council’s role. A consistent message from the comments provided was that no specific details or practical action points as to how these proposals/targets will be met have been provided.

Table 11. Qualitative themes relating to clarity on the Council’s role – online survey only

Theme	Examples for illustration	Count (base = 37)
Practical action plan required as to how these proposals/targets will be met	<p><i>“But how will these be achieved? Until that is clear, one can’t wholly agree”</i></p> <p><i>“The language is fairly high level and does not provide detail on how these aims are to be achieved”</i></p> <p><i>“It would be helpful to have some case studies of how this would be achieved, and how this would be different from what we have currently”</i></p> <p><i>“It is a very broad statement and how is the effectiveness going to be measured?”</i></p>	28
A more inclusive Education Strategy required	<p><i>“It must maintain a broad understanding and expression of ‘education’ if the strategy is to work for all young people”</i></p> <p><i>“What I have read so far does not apply to all learners; it only appears to focus on vulnerable or disadvantaged learners. It is not clear what the council will do to support children who are not categorised as vulnerable or gifted”</i></p>	7

Additional information

Respondents were asked at the close of the survey if they had any further comments or suggestions in relation to what they would like to see in the Education Strategy. These included general comments and suggestions in relation to the draft Education Strategy with many returning to issues raised earlier in the survey.

Table 12 Key themes from ‘any other comments or suggestions in relation to what you would like to see in our Education Strategy?’ open text question

Key theme	Example for illustration	Count (base = 70)
Funding is required to achieve Priorities	<i>“Schools are having to pick up from lack of social services funding and are creaking at the seams as a result. Budgets are squeezed and the pressure and demands on schools is increasing. Moral is low. The housing being built in the area is excessive and I worry we just don’t have the education provision to match the additional population, especially with regards to</i>	34

	<i>secondary education”</i>	
A clear action plan required to achieve goals	<i>“I would like to see how the council plan to achieve their goals - not just say that they will. How will they support teachers and schools? How will they provide support for disadvantaged students?”</i>	20
Support for vulnerable children	<i>“Within the priority to ensure schools are provided with right tools and skills to recognise and flag the right support needed for vulnerable children or children who have faces early childhood trauma”</i>	16
A more inclusive Education Strategy	<i>“Whilst there was often broad agreement that unlocking talent, building resilience, and fulfilling the potential of vulnerable learners is important, this should apply to all children, not just those classed as vulnerable”</i>	10
Support for training / development	<i>“For staff working in both early years and in schools to be given more training to support them to identify and support children who are not meeting age related expectations in speech, language and communication as this has a huge impact on children's learning and outcomes in later life”</i>	9
Focus on life / employability skills, not just educational achievement	<i>“There is too much focus on academia. Not everyone is a boffin, so tailor it accordingly so those less academic don't leave school with a chip in their shoulder or feeling inferior”</i> <i>“Support should be shared equally between all levels of ability in education. Children that aren't academic should have other skills taught and encouraged”</i>	7

HEAD TEACHERS' CONFERENCE MARCH 2018

Feedback from the Head Teachers' Conference in March 2018 (comprising 130 Head Teachers of Primary, Secondary and Special Schools from across the county of Warwickshire) was included via the Facilitated Group Survey. The findings from Facilitated Group Survey show that there is support from Head Teachers for the Priorities, but a number of further thoughts are provided in the following Tables (13, 14, 15, 16 and 17) to provide an overview of educational staff responses to the draft Education Strategy. In particular, the recurring themes from the comments provided were that more funding, training and support, as well as 'joined up thinking' (connecting schools, other local services and parents) is required in order for the Priorities to be successful.

Table 13. Comments on Priority 1

Description/theme	Count (base=60)
'Joined up thinking' – connecting schools with other local services such as social care, healthcare etc.	15
Better / quicker identification of additional needs before entering school system (eg. SEND or EAL needs)	13

More funding required	10
Standardised training and testing of all nurseries (especially private) via Ofsted or other bodies to make nurseries more accountable	7
More involvement from all parties regarding school readiness and smoother transitions	6
To hold parents more accountable for their children and their behaviour	5
Update to admissions and attendance procedures to give schools more autonomy so that the child gets the 'right' place first time	4

Priority 1 examples for illustration:

"If you get WE1 right, the rest will work"

"What does 'school ready' mean? Are schools 'children ready'?"

"'Corporate' approach to transition programmes for children going from Nursery to Reception, Reception to Year 1, Year 6 to Year 7"

"Raise the profile of Early Years so that parents are more accountable to their child's learning"

Table 14. Comments on Priority 2

Description/theme	Count (base=83)
'Joined up thinking' – agencies working together to support the child – not only the responsibility of the schools	17
Regarding admissions and where children are educated. Emphasis on more special places/schools. Some contradictions on having more/less children in flex/home school learning	10
More training for staff and school support	10
Earlier identifying and referring of vulnerable learners and the pace of referrals to be picked up	9
More parental accountability, training and support	9
More scope and training for developing individuals rather than treating all children in the same way	8
More funding required	7
More mental health training and support (for teachers as well) not only vulnerable learners	7
Updating targets and school readiness to be more supportive/flexible for vulnerable children	3
More cohesion and communication between mainstream and SEND/special learning	3

Priority 2 examples for illustration: *"The strategy is wrong. Our aim should not be to force students into a school place where they are destined to fail/struggle. Other options are required."*

"We need adapted curriculum provision for 'challenging' pupils"

"Where is building resilience in this section?"

"Development of other life skills rather than just Maths/English skills"

"Every school needs a counsellor to support mental health needs. And consider the impact of a lack of resources on teachers' mental health"

Table 15. Comments on Priority 3

Description/theme	Count (base=38)
Admissions sufficiency and OFSTED ranking – make all schools better and use networking/support systems/LA to have good schools support and mentor struggling schools	12
More funding required	8
Funding and support requests for Head Teachers	7
‘Joined Up Thinking’ and extra-curricular support	5
Concerns over narrowing of curriculum	2
More training	2
More mental health training and support including for teachers	2

Priority 3 examples for illustration:

“Admissions information to parents being totally transparent and correct”

“Greater emphasis on dialogue/context in making school judgements”

“Support for ‘A’ and ‘B’ schools so that they don’t slip into ‘C’ and ‘D’

“More recognition for senior leaders working in disadvantaged schools”

“Please continue with consortiums”

“Just call it ‘Empowering Education Communities’”

“Allow schools to give pupils wider curriculum/opportunities so that they enjoy school – and leave school both academically and socially ready”

“Relieve the pressure on schools to focus heavily on teaching/tests thus narrowing the curriculum”

“Mental health around staff is an issue with workload and demanding pupils”

Table 16. Comments on Priority 4

Description/theme	Count (base=51)
Developing local business links and increasing their involvement in school and projects	16
Exam and curriculum alterations, especially including employability/skills earlier in the curriculum and feeding back information to primary how secondary children have progressed	13
Interschool support for local projects/enterprises/networks	6
More funding required	5
More apprenticeships	2
Special Schools partnerships/internships with local businesses and enterprises	2
Questions as to where adult learning fits in a school environment	2
More parent involvement and accountability	2
Issues begin with admissions	2
Change the wording to simply ‘Promoting Employability’	1

Priority 4 examples for illustration:

“Employability curriculum starting at EYFS”

“Curriculum needs to fully prepare children for the world they will be adults in – jobs that robots won’t do!”

“Shared resources across our schools: supported internship model, curriculum design, business links”

“Continuity of funding is needed rather than SFE seemingly being diverted into a series of 1 year hits

“Special schools supporting mainstream partner schools to share supported internship opportunities”

Table 17. Comments and suggestions for the Education Strategy

Description/theme
Does strategy have enough emphasis on wider community in supporting schools?
Visit each school to discuss individual needs, take ideas to senior level, little LA presence in schools
'Stretch' not 'achieve' potential
Will the LA promote itself as more than a service provider?
Why are the schools and colleges not explicit in the diagram when Children Centres and Early Year Providers are?

PUBLICISING OF EDUCATION STRATEGY 2018-2023 CONSULTATION

Publicising channel	Detail
External publication	
Ask Warwickshire	Dedicated consultation webpage (providing full information, copies of survey and policy documents and link to online survey)
Email (outbound)	Email distribution list: SEND and Inclusion; Adult and Community learning; Learning and Performance; Education Sufficiency and Access; Governors; Virtual School; Members; 250 Schools, Health and Wellbeing Board (HWBB); 250 PVI's, colleges and educational settings; Parent Carer Forum; District and Borough councillors; 500 childminders (where known); University of Warwick, ABP Co-ordinators; Prospect Services; Children and Families Partnership board; Safer Warwickshire Partnership board
Email (inbound)	Dedicated email address set up to provide an opportunity for people to respond via email
Media relations	News release sent to all local media; Presence on WCC news page; Liaison with Observer series re. consultation; interview request from Free Radio
Social media	Warwickshire County Council Facebook; Warwickshire County Council Twitter (10.5k followers, as well as retweets from other WCC accounts); WarksDemocracy Twitter (723 followers); WarksCoPro (200 Facebook followers and 400+ Twitter followers); Public Health; WCC Early Years; FIS; Libraries; Fostering; Warwickshire Parent Carer Forum (680+ Facebook followers)
Face-to-face	Face-to-face opportunities accessing various stakeholders through public consultation events. See 'Key Activities' table below for the Warwickshire Education Strategy Consultation Log list of meetings where the strategy was discussed
Newsletters	WCC channels; Heads Up, Warwickshire Weekly news release
Post (covering letter and leaflet)	1,500 to parents (via schools); 250 to schools; 1,500 to PVI's, colleges and educational settings; 500 to childminders (where known); 1,200 to E & L distribution; 40 at EY Visioning event (February 2018); Warwickshire Skills Conference with 140 delegates (heads, college leaders, university careers staff, WCC Economy staff, business leaders), Children's O & S Committee; WES focus group of MAT leaders; 300 to People Group and other internal leafletting
Paper surveys	On request
Internal publication	
Email (outbound)	See above
Email (inbound)	Dedicated email address set up to provide an opportunity for people to respond via email
Newsletters	WCC channels: Remember – 57 elected members

WARWICKSHIRE EDUCATION STRATEGY CONSULTATION LOG

Meeting consulted	Attendees and involvement
February Challenge Board 20 heads	20 heads
Early Years Visioning event	40 attendees – wide range of stakeholders
Closing The Gap Board	10 WCC attendees plus 6 heads / colleagues WE2 (ii) - Closing the Gap Board to Lead
Primary SENCos	February meeting
Secondary SENCos	February meeting
Southern Area Analysis Group	February meeting
Safer Education Board	30x leaflets distributed to meeting attendees
Primary School focus groups	12 parents, 10 pupils, 10 staff
Fair Workload Charter Group	10 leaflets
Primary Team Meeting	20 LIOs and members of the Learning Performance Team
Headteachers' Meeting	107 delegates. 105 schools represented. Coventry DBE and Midlands Academy Trust also represented. Leaflets given out in delegate packs. Strategy and four priorities introduced. Discussion on tables - summary of feedback shared and all feedback on post-it notes collected at the end of the meeting to be collated and fed into consultation
Education Challenge Board	20 heads plus colleagues and representative of Coventry Diocese and Regional Schools Commissioner
Warwickshire Skills Conference today	140 delegates (heads, college leaders, university careers staff, WCC Economy staff, and business leaders) 90 leaflets taken
Warwickshire MPs	All Warwickshire MPs sent notification of Consultation Period along with links and contact details. Inviting them to pass on to their constituents
High School	20 leaflets
Education strategy email	3 emails received, read and included, responded
	20 leaflets given out at Children's O&S Committee plus a lengthy agenda item on the consultation.
Schools forum	30 leaflets, and lengthy discussion – see minutes
Northern, Nuneaton and Bedworth Area Analysis Group	minutes
Eastern Area Analysis Group	minutes
Central Area Analysis Group	minutes
Norther, Nuneaton and Bedworth Area Analysis Group	minutes
WES focus group	20 Ed Strategy leaflets to the WES focus group of MAT leaders and heads
Schools of Concern	
Secondary Team Learning Improvement Officers	
Primary School Improvement Board	
Primary Team Learning Improvement Officers	
SEND Programme Board	
Special School Heads	
Primary Special Education Mental Health	
Governor Focus Groups	Present: 12 governors and clerks

Primary school focus groups	8 staff, 10 parents, 10 children
Special school focus groups	4 staff, 8 students
Secondary school focus groups	9 staff, 13 students
Parish Council response (in post)	

EQUALITY AND DIVERSITY ANALYSIS

The online survey asked respondents to complete information regarding equality and diversity. The results are set out in Table 18 below.

Table 18. Online respondent profile

Gender	Male (including trans man)	34
	Female (including trans woman)	129
	Other including non-binary	0
	Prefer not to answer	8
	Not answered	5
Age in years	Under 18	4
	18-29	9
	30-44	73
	45-59	65
	60-74	14
	75+	0
	Prefer not to answer	8
Long standing illness or disability	Yes	9
	No	156
	Prefer not to answer	7
	Not answered	4
Ethnicity	White- English/Welsh/Scottish/Northern Irish/ British	148
	White - Irish	2
	White - Gypsy or Irish Traveller	0
	White - Any other background please specify	3
	Mixed - White and Black Caribbean	1
	Mixed - White and Black African	0
	Mixed - White and Asian	0
	Mixed - Any other background please specify	2
	Arabic	0
	Asian or Asian British - Pakistani	0
	Asian or Asian British - Bangladeshi	0
	Asian or Asian British - Chinese	0
	Asian or Asian British - Indian	3
	Asian or Asian British - Any other background	0
	Black or Black British - African	0
	Black or Black British - Caribbean	0
	Black or Black British – Any other background	0
	Any other Ethnic group - Please specify	2

	Prefer not to answer	12
	Not answered	3
Religion	Buddhist	0
	Christian	91
	Jewish	0
	Muslim	0
	Hindu	0
	Sikh	2
	Other – Please specify	4
	None	57
	Not answered	3
Sexuality	Heterosexual or straight	150
	Gay or lesbian	1
	Bisexual	3
	Other	2
	Prefer not to answer	17
	Not answered	3

Council

26 July 2018

Education Sufficiency Strategy 2018 – 2023

Recommendation:

That Council approves the Education Sufficiency Strategy for the academic years 2018-2023.

1.0 Background

- 1.1 Warwickshire County Council has a statutory responsibility to secure sufficient school, early years and childcare places to meet the needs of all Warwickshire children.
- 1.2 Warwickshire's Education Strategy 2018 – 2023, has been revised outlining the priorities for the next five years. The Education Sufficiency Strategy has been revised to align with these priorities.
- 1.3 The Education Sufficiency Strategy, attached as appendix A, will cover the academic years 2018 to 2023 and make provision to ensure ongoing sufficiency for both in year pressures and those expected for the start of the academic years covered.
- 1.4 All proposals for capital works and improvements are subject to scrutiny via a three stage process. The first being capital working group, second capital board and the last being presentation for approval by Cabinet.
- 1.5 Any specific school expansions or school organisation changes will be subject to further reports.

2.0 Proposed sufficiency strategy

- 2.1 The sufficiency strategy sets out the principles underpinning school place planning; the ways in which places will be delivered, the information which will be used and the way we work with providers, schools, academy trusts, and partner agencies to deliver high quality, accessible school and early years places for all learners.
- 2.2 School and planning area level pupil number forecasts are an essential tool for monitoring, assessing and planning for school places. The strategy

outlines the steps that will be taken to ensure the inputs and outputs of the forecasting model are as robust and accurate as possible.

2.3 When planning for school places, the level of surplus capacity available will also be considered. The target for Warwickshire is, where possible, for the supply of places to exceed demand by approximately 4% in any planning area.

2.4 In the delivery of new schools, Warwickshire County Council will continue to work in partnership with academy trusts already operating in the county to support their free school applications. This support will take the form of providing demographic information to strengthen the trust's application, liaising with the Education and Skills Funding Agency regarding the need for the free school in question and also assisting those external providers in finding sites for their proposed schools.

2.5 The strategy outlines the following key strategic priorities that Warwickshire are keen to address where the scope of expansion works and the funds available allow and that underpin the decisions made when a capital solution is required to expand any school to meet the expected need for places:

- **Local places for local children**

We are committed to providing school places for children in their local community whenever possible.

- **Removal of half forms of entry**

In order to provide schools with stability when organising classes we will look to remove half forms of entry.

- **Increase 1 form of entry (FE) to 2 forms of entry (FE)**

Where it is possible and appropriate we will look to expand schools to 2FE to provide better financial stability.

- **Amalgamate infant and junior schools**

We will support and expect infant and junior schools to amalgamate where appropriate, particularly when both schools are located on a shared site or when one head teacher leaves.

- **Address safeguarding issues relating to buildings and grounds**

We are committed to addressing any safeguarding within schools relating to the school building or grounds and will address any issues identified in a timely manner to ensure the safety of children in Warwickshire schools

- **Address buildings defects and Equality Act noncompliance**

Where funds allow we will address any identified defects. All school buildings in Warwickshire should be accessible to all and up to an equal standard.

- **Incorporate SEND facilities within mainstream schools**

To make best use of education facilities, and increase inclusion for pupils with Special Educational Needs and Disabilities, we are developing schemes to include SEND facilities within mainstream schools and expand capacity.

3.0 Information and engagement

- 3.1 Information and engagement events on the sufficiency strategy and subsequent delivery of school places across Warwickshire were held for early years settings, head teachers and school governors. 3 events were held and were well attended by approximately 30-40 persons per meeting with attendance from private, voluntary and independent settings within the early years sector and representatives from primary and secondary schools from across the county.
- 3.2 In addition a briefing session for members was held in January, which focused on school place planning and the sufficiency strategy and was well attended.
- 3.3 Following the information and engagement events a series of follow up meetings have also been held, and will continue to be held on an ongoing basis, with individual schools, early years settings, and consortium of schools within specific areas to discuss on a local level and ensure all stakeholders are kept informed.

4.0 Financial implications

- 4.1 It is expected new school places will be funded via grant funding from the Department for Education and/or funding contributions from developers where a need is related to housing development.
- 4.2 All future additions to the capital programme will be subject to further cabinet reports identifying specific funding streams.
- 4.3 When a school expands or a new school opens there is a potential time-lag between the schools admitting the additional pupils and the Education and Skills Funding Agency allocating revenue funding to the school. In order to support schools in this situation Warwickshire Education and Learning will provide growth funding for the additional class.

- 4.4 The total budget for the growth fund in any given financial year is based on the difference between the Dedicated Schools Grant allocation for the schools block, and the sum of the allocations to schools' budgets.
- 4.5 The growth fund for 2018/19 is estimated at £1.1million. Funding available to support those schools that are currently in the process of expansion or are expected to admit additional children for 2018/19 is therefore capped at this level.

5.0 Next steps

- 5.1 Following ratification by full council the strategy will be published on Warwickshire County Council webpages.

Background papers

Annual Education Sufficiency Update 2018
Early Years and Childcare Sufficiency Assessment 2018

Appendices

Appendix A – Draft Education Sufficiency Strategy 2018-2023

Appendix B - EQIA

	Name	Contact Information
Report Authors	Bern Timings Emma Basden-Smith	berntimings@warwickshire.gov.uk 01926 74 2073 emmabasdensmith@warwickshire.gov.uk 01926 74 2058
Head of Service	Chris Malone	chrismalone@warwickshire.gov.uk 01926 74 2588
Strategic Director	Monica Fogarty	monicafogarty@warwickshire.gov.uk
Portfolio Holder	Cllr Colin Hayfield	cllrhayfield@warwickshire.gov.uk

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

Cabinet Portfolio Holders: Councillors Colin Hayfield and Jeff Morgan
Children and Young People Overview and Scrutiny Committee - Chair and Group Spokespersons: Councillors Yousef Dahmash, Chris Williams, Corinne Davies and Jerry Roodhouse



Education and Learning

Education Sufficiency Strategy 2018 – 2023

DRAFT

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- 8. Viability and sustainability of schools**

DRAFT

1. Introduction and Warwickshire's Education Vision

Warwickshire's Education Strategy 2018 - 2023 outlines the County Council's strategic vision for Education and Learning over the next five years.

The key elements of the Education Strategy are:

'Working in partnership, celebrating success, aiming for excellence'

WE1: Our challenge is to foster children's love of learning from birth through early childhood and into Year 1 so that all young children achieve their potential.

WE2: Our challenge is to promote a broad, empowering and creative curriculum, focusing on times of transition, and prioritising vulnerable groups.

WE3: Our challenge is for all learners to enjoy a high quality learning experience.

WE4: Our challenge is to champion employability by promoting the best opportunities for all learners.

In this context, the Sufficiency Strategy will help schools, parents, council officers, local partners and stakeholders understand how Warwickshire County Council plans for and anticipates the growth in demand for places and looks to maximise the use of funding in local area, ensuring that all children and young people thrive in sustainably good or outstanding schools and settings throughout their education, wherever they live in Warwickshire.

It sets out the principles underpinning school place planning; the ways in which places will be delivered, the information which will be used and the way we work with Warwickshire's family of schools, and partner agencies to deliver high quality, accessible school and early years places for all learners.

Warwickshire is entering a period of significant growth, with large scale housing development proposed across the county over the next 15 years and beyond. It is expected this will require education provision for over 30,000 additional Warwickshire children. As development progresses across the county there will be the need for the delivery of new provision during the next 5 years and effective planning for further new provision beyond that period.

From publication in July 2018 this Sufficiency Strategy will cover the academic years 2018 to 2023 and makes provision to ensure ongoing sufficiency for both in year pressures and those expected for the start of the academic years covered.

The strategy is effective for the period of five years. In addition an annual sufficiency update will be published outlining up to date pupil number forecasts, an overview of the forthcoming pressures expected, and details of how those pressures will be met, including current planned capital schemes.

Annual Sufficiency Update ([LINK to be inserted in final published version](#))

2. Statutory Context

Warwickshire County Council has a legal duty to:

- secure sufficient early years and childcare places;
- ensure sufficient school places exist to meet local demand;
- ensure sufficient post 16 provision;
- ensure sufficient suitable special educational provision exists to meet the needs for Warwickshire children with special educational needs and disabilities;
- promote high education standards;
- ensure fair access to educational opportunity;
- promote the fulfilment of every child's education potential;
- promote diversity and parental choice.

These responsibilities still remain despite the government policy giving schools more autonomy. As a result, all schools in the Warwickshire 'family of schools', including academies and free schools, are considered equally in the County Council's planning of school places.

It is the Council's role to plan, commission and organise education places in a way that promotes improved standards, manages supply and demand and creates a diverse infrastructure.

This strategy provides for the longest possible planning horizon to ensure that need is anticipated and met in a transparent, objective, cost effective and sustainable way.

3. Co-ordinated strategic approach

The strategy supports the co-ordinated approach to Warwickshire County Council's estates and assets, set out in the Council's property strategy. The Council is committed to providing accommodation, whether permanent or temporary, that is high quality, fit for purpose, provides value for money and ensures flexibility to respond to changes in need and curriculum.

The focus of this strategy is the provision of places for age 0-19; this strategy also links with a number of other key Council strategies:

- [WCC One Organisational Plan for 2020](#)
- Education Strategy 2018-2023 (LINK to be inserted in final published version)
- [Early Years and Childcare Sufficiency Assessment](#)
- SEND & Inclusion Strategy (LINK to be inserted in final published version)
- [Post 16 – Raising the Participation Age Strategy](#)

4. Pupil Forecast Methodology and Planning Considerations

Pupil Forecasts

School-level forecasts of future pupil numbers are produced each year on the receipt of the latest population data from the health authorities and the latest data on parental preferences and housing development numbers. The following process outlines the steps taken and considerations included in producing pupil number forecasts.

Reception Intakes

Data is provided at postcode level from health authorities on all Warwickshire resident children aged 0-4; this is then aggregated to primary planning areas. This data is provided annually and allows identification of trends in families moving in and out of each area with pre-school aged children. Once these have been taken into account, it is possible to compare recent numbers of pre-school children with the number that then arrived in Warwickshire schools Reception classes. A percentage is generated for each planning area to reflect how many children in that area are likely to attend a Warwickshire school (e.g. 95% of the number of children resident in Bedworth will enter a Reception class at a Warwickshire school) These percentages are then applied to the most recent health data to give a forecast on the number of pupils living in each planning area likely to start in Reception in a Warwickshire

school over the next few years. Once this has been established the Reception class numbers in each planning area are distributed across the County's schools in line with recent trends in parental preference (e.g. 15% of pupils living in Warwick go to Westgate Primary school). Where schools are popular with children residing outside of Warwickshire the expected numbers are then increased in line with the average number of these 'out of county' children, this is particularly prevalent for school near the county borders where the number of Warwickshire children may be significantly lower than the school admission number.

Year 7 Intakes

The process is identical to the one explained above for Reception intakes except that the expected number of Year 7 pupils living in each planning area is arrived at by comparing the size of recent Year 7 cohorts with the size of that cohort when they were in Year 6. This generates a percentage for each planning area and these are applied to all younger year groups to generate Year 7 numbers for future years in each planning area.

In-year Movement

An in year transfer rate is applied to each forecast year group as it moves through the school, this is again based on trends in recent years. Any irregular points of transfer, such as with the county's remaining infant and junior schools, are also approached in a similar way to the reception and Year 7 transfers but on a smaller scale.

Housing development

The pupil forecasting model includes a database of housing developments with the expected housing delivery trajectories and the estimated associated pupil yields. These pupil yields are sensitive to each district/ borough and are based on previous development experienced in that area and census information. The additional children expected as a result of ongoing development in any given area are then included in the forecast numbers where appropriate –with assumptions made as to the number of children per each year group generated by new houses that are occupied in a given year and the rate the houses will be built and occupied if trajectory information is not available.

Maintaining Available Capacity

The target for Warwickshire is for the supply of places to exceed demand by approximately 4% in any planning area. The level of surplus capacity available in Warwickshire schools varies from area to area, with extremely low levels of surplus capacity available in urban areas, particularly across the primary phase of education. In contrast to this, higher levels of surplus capacity are recorded in the county's rural

areas. There is a need to maintain a certain amount of capacity within a given area to allow for flexibility to enable in-year movement of pupils, to meet parental preference as much as possible, and allow families moving to an area to be able to secure a place at a local school or for each of their children at the same school.

We recognise that where there are single school planning areas, 4% capacity may be unattainable or lead to issues with financial viability for the school. In these situations we will work with and support schools to allow for flexibility to admit pupils over the admission number as exceptions if no reasonable alternative school is available.

This need to maintain available capacity is been factored in all of the planning and analysis undertaken to ensure sufficiency of places. Current and forecast capacity across Warwickshire planning areas will be published in the accompanying annual sufficiency update.

Quality of Provision

Consideration for the quality of the education provision available in any area must be included when planning for sufficient places. Ofsted reports and School Improvement analysis will be reviewed to ensure the places provided are of a high quality and schools have the capacity to take on additional children while maintaining standards of education. We will also look to support those schools aspiring to achieve and raise education standards, ensuring all schools are part of the solution to ensure sufficient capacity moving forward.

School Admissions

All aspects of school admissions are based on the School Admissions Code. It governs the way all schools set their admissions oversubscription criteria, ensures compliance with local co-ordinated schemes, makes offers of places and allows for school admissions appeals. It also places the local authority as a regulator for all other admission authorities within its boundaries, with the expectation of the local authority reporting those admission authorities whose admission arrangements are not in line with the School Admissions Code to the schools adjudicator.

The School Admissions Code places a requirement on all local authorities to publish a 'co-ordinated scheme' and manage the admissions process for; entry into Reception, the transfer from Infant to Junior school (Years 2 to 3) and the transfer from primary to secondary school (Years 6 to 7).

[Warwickshire Admission Arrangements](#)

In this context all approaches to ensuring sufficiency of school places must be clearly aligned to the admissions code and take into account of the practicalities of how school places are allocated, factoring in distance to the school, priority areas, and over subscription criteria. This ensures that when planning for sufficient school places the children they are intended for will be able to access those places and will be allocated under the coordinated scheme.

Admission to specialist provision (e.g. special school) at Reception year is determined via a County panel taking into account the needs of the child and whether these can best be met in mainstream or specialist provision. The expectation remains that the vast majority of children with special educational needs and disability can be supported in their local mainstream school. After Reception year, admission is agreed via the Warwickshire Specialist Provision Admissions Panel. Further guidance on admission to specialist provision is available on the SEND Local Offer.

[Warwickshire SEND Local Offer](#)

Home to School transport

WCC provides home to school transport to pupils in accordance with national legislation. In instances where a place at a school named as a parental preference, cannot be offered to a pupil and the alternative place offered is above the distance criteria set out below (or use of a walking route that is deemed 'unsafe' is required), WCC will provide transport to the alternative school.

Pupils under the age of 8: 2 miles

Pupils aged 8 and over: 3 miles

[Warwickshire Home to School transport Policy](#)

It is the intention of WCC to provide 'local places for local children', reducing the need for pupils to access home to school transport services.

5. Key strategic priorities

Where possible, we will consult with all schools in the area and decide upon the most cost effective way forward.

We are committed to ensuring all schools are kept informed with regards to long term school planning. We will, where possible, design buildings which enable schools to be flexible in the longer term regarding use of buildings and grounds.

Each year we will communicate with all schools regarding our proposals for new schools, expansions and the long term demand by area in the annual sufficiency update. Schools will be invited to comment and declare an interest in expansion where relevant.

We are committed, where the scope of expansion works and available funds allow, to addressing the following areas:

- **Local places for local children**

We are committed to providing school places for children in their local community whenever possible.

- **Removal of half forms of entry**

In order to provide schools with stability when organising classes we will look to remove half forms of entry.

- **Increase 1 form of entry (FE) to 2 forms of entry (FE)**

Where it is possible and appropriate we will look to expand schools to 2 (FE) to provide better financial stability.

- **Amalgamate Infant and Junior schools**

We will support and expect Infant and Junior schools to amalgamate where appropriate, particularly when both schools are located on a shared site or when one of the Head teachers leaves.

- **Address safeguarding issues relating to buildings and grounds**

We are committed to addressing any safeguarding within schools relating to the school building or grounds and will address any issues identified in a timely manner to ensure the safety of children in Warwickshire schools

- **Address buildings defects and Equality Act noncompliance**

Where funds allow we will address any identified defects. All school buildings in Warwickshire should be accessible to all and up to an equal standard.

- **Incorporate SEND facilities within mainstream schools**

To make best use of education facilities, and increase inclusion for pupils with Special Educational Needs and Disabilities, we are developing schemes to include SEND facilities within mainstream schools and expand capacity.

6. Funding

Basic Need Grant Funding

Capital allocations to meet projected shortfalls in provision are provided by the Education and Skills Funding Agency (ESFA) to all local authorities based on the data provided in the annual School Capacity return (SCAP). This return informs the ESFA of the expected change in pupil numbers over the next few years, the current capacity of schools to meet those numbers and the planned changes to that capacity. There is pressure on capital budgets for new school places across the country and it is likely that allocations will continue to be limited for the foreseeable future. It is important, therefore, to consider value for money in the process of commissioning school places.

The SCAP return asks local authorities to provide forecasts of pupil numbers that exclude pupils brought to the area by new housing development; there is an expectation that provision for these pupils will be funded through contributions provided by the developers.

It is vital that all Net Capacity assessments are completed and maintained in order to inform the SCAP return. We will liaise with schools to ensure all plans and Net Capacity assessments are accurate.

[Breakdown of funding received](#)

Developer contributions

Warwickshire County Council is committed to ensuring we secure the best solution regarding the provision of additional school capacity. When this additional capacity is required as a result of housing development and when planning with the District and Borough councils we are mindful of their need to meet the housing demand, versus our need to provide the associated education infrastructure.

Warwickshire County Council's Education and Learning business unit is responsible for assessing the estimated additional demand for early years, primary and secondary school, post 16 and special educational needs places generated by development in any given area, against the current available and forecast capacity within the relevant planning areas.

Where new housing development creates a demand for school places in excess of those available, the County Council will work with District/Borough Councils and developers to ensure that the appropriate contributions for the provision of additional

school places are given. We will seek the maximum contribution from developers to support the provision of additional places that we believe is proportionate to the impact of the development ensuring all requests for contributions are compliant with the relevant legislation.

The County Council will seek to secure financial contributions and / or the provision of land from developers towards providing additional education provision, either through the expansion of existing schools or the opening of new schools, when the predicted impact of a new housing development creates a shortfall. It is critical that developers make a contribution to school places as, without it, the Local Authority will be unable to deliver the required provision. Further information on Warwickshire County Councils approach to developer contributions is available from the Infrastructure Delivery team.

Other capital funding

Other funding streams that may be available to ensure sufficient education provision include:

- Centrally funded new schools via the Government's Free School programme.
- Capital Receipts – proceeds from the sale of former education settings deemed surplus to requirements.
- Capital contributions from individual school budgets and/or bids by Academies for 'Capital Infrastructure Funding' (CIF).
- Capital funding allocations for 'Voluntary Aided' schools (LCVAP funding).
- Capital funding via the Government's the Special Provision fund

Pupil increase revenue funding

Warwickshire's Schools Forum has agreed to retain centrally a level of revenue funding for schools that have been asked to expand. This growth fund is to support those schools that the local authority has specifically asked to take on additional pupils and the exact criteria for allocation will be decided by Schools Forum as part of agreeing the Dedicated Schools Grant (DSG) budget for the relevant forthcoming year.

At time of publication in July 2018 the usual payment is £32,930 to support the initial cost of employing staff and purchasing resources. Growth funding will also be available to fund bulge classes and expanding schools across Key Stage 1.

The amount agreed is based on 7/12 of the cost of a main scale teacher and a teaching assistant (estimated total £27,500), with an additional sum of £5,000 to fund additional costs such as resources.

In line with the regulations above, this figure is increased proportionately for academies which are funded on an academic year and thus have a 12 month 'lagged' period.

7. New schools and expansion of existing provision

School expansions

Where a predicted shortfall of places has been identified, the most common solution is to expand an existing school. Where possible, we will consult with all schools in the area and decide upon the most effective way forward after considering expansion opportunities available within various school sites and the resulting benefits from financial input.

There are a number of factors taken into consideration when looking at expansion as set out below:

Criteria		How is this Measured
1	Access – Serving Area of Need	Pupil number forecasts.
		Locality of schools in relation to demand.
		Long term planning applications in the adjoining area.
		Proposed admission arrangements.
2	Suitability of site and buildings for expansion	Existing Net capacity of schools.
		Size of site.
		Capacity of existing M&E to accommodate expansion requirements.
		Possible planning issues, including highways and transport impact.
		Barriers to expansion including listed buildings, grant funding conditions, third-party impact.
3	Leadership capacity & Quality of provision	Demonstrable commitment to making maximum use of the existing school buildings.
		OFSTED reports.
		School position in terms of pupil attainment.
4	Consequential	Capacity to maintain standards and manage change during build programme.
		Impact on pupil numbers at other local provision.

impact of project	Potential for expansion project to improve condition need of existing buildings within funding envelope.
	Current number of forms of entry/ class organisation.
	Infant/junior split and location of sites to each other
	Early Years provision.

New schools

The need for new schools often arises when there are no opportunities to expand existing local schools or where new housing developments are expected to bring large numbers of new families to an area. It is the responsibility of the local authority to seek sponsors for these new schools and the County Council will be looking to engage with potential suitable organisations over the next few years including existing high-quality providers within Warwickshire.

When the need to establish a new school arises, there is a presumption in law that these schools will be Free Schools. The role of the local authority is to identify a site for the school and to seek applications to run the new school from potential sponsors. The final decision on who should sponsor a new school is taken by the Regional Schools Commissioner (RSC) and is outside of Local Authority control.

At the time of publication there are currently five Free Schools operating in Warwickshire; The Priors School, Rugby Free Primary School, Rugby Free Secondary School, Quest Academy, and Heathcote Primary School. There is a further Free School planned to open in 2018, St Gabriel's C of E Academy, and currently two further Free Schools proposed to open in 2019/2020.

Warwickshire County Council has worked in partnership with Academy Trusts already operating within the county to support their Free School applications. This support has taken the form of providing demographic information to strengthen the Trust's application, liaising with the ESFA regarding the need for the free school in question and also assisting the external providers in finding sites for their proposed schools.

The council intends to work collaboratively with the Education and Skills Funding Agency, office of the Regional Schools Commissioner, and other external providers to open a number of new free schools to meet expected demand across Warwickshire over the lifespan of this Sufficiency Strategy and beyond.

Warwickshire County Council will also seek to encourage 'good' and 'outstanding' education providers from other areas of the country to begin operating within Warwickshire. This will not only help ensure that the WCC continues to fulfil its statutory obligation of providing sufficient school places within the County over the

coming years but also provide increased choice and diversity of education provision for parents.

When there is a requirement is for new primary school provision we will ensure all new build primary schools include facilities on site for Early Years/ Pre School provision, in order to secure sufficient early years places where existing provision in the local area is at capacity.

Additional capacity will also be built into new schools, Primary and Secondary, to support the Local Authority's commitment to increasing access to mainstream provision for SEND learners across the County wherever possible and appropriate.

Early Years

The Gaps Analysis within the annual Childcare Sufficiency Assessment identifies areas of need for specific types of early years and childcare provision across the county.

In Warwickshire, the Council has not been the direct provider of early years' places in the majority of cases in recent years. There are 6 Maintained Nursery Schools and 52 maintained nursery classes, with the remainder of the provision delivered by the private, voluntary and independent (PVI) sector through nurseries, pre-schools and childminders (currently 443 in total).

The Council values the contributions made to the sufficiency of places by all types of early years' providers, and recognises that this diversity allows parents to choose the provision (or combination) that is most suitable for their family needs.

In order to address gaps in sufficiency, the Early Years Sufficiency and Business Support team works with schools and PVI providers to offer advice and support around market management, business expansion and meeting local demand. The team also works closely with the School Organisation and Planning Managers to ensure that data on housing development is shared, and proposals for new schools and school expansions include plans to secure early years' places where relevant.

Special school provision

It is recognised that the scale of the increasing demand for specialist provision cannot be addressed solely through expansion of Warwickshire's existing special schools. The Council is working in partnership with the County's existing providers

in order to pursue development of new Special Free Schools to meet longer term pressures.

Warwickshire's remains committed to its principle that the needs of vulnerable learners will be met in their local education setting of choice wherever possible, but one of the factors driving the exponential growth of demand for special schools is the fact that mainstream settings are under a combination of pressures that can weigh against inclusion.

New models of provision will need to be developed to ensure that learners with SEND in every part of the County have access to the same level of high quality educational practice, whether that be in their local mainstream school or in specialist provision. The Council, with its partners, is looking for innovative solutions including co-location of special schools or satellites with mainstream schools, and 'hub-and-spoke' models where specialist providers operate across a number of sites. It is via this approach we will be reviewing options for the inclusion of SEND provision on site at all new mainstream schools.

Secondary and Primary SEN Resourced Provision

In addition to the development of new special free schools over the past two years Warwickshire has developed 7 SEN Resourced Provision bases offering 60 places across the county. These bases have proved themselves both in terms of improving access to education and financial impact. Resourced Provision allows learners to continue in a mainstream environment, whilst providing some targeted support in groups of 6-8.

Plans and funding are already in place to develop 3-4 new bases during the next 5 years, providing 24-32 additional places. However, it is recognised that Warwickshire still lags behind national and statistical neighbour averages for the amount of this type of provision available, we will work to continue with the current programme of development to introduce an additional 60 places in a further 7 bases.

Alternative Provision

Alternative Provision for primary age pupils in Warwickshire is currently provided by the Specialist Teaching Service (STS) operating from Links bases on two primary school sites to cater for excluded primary age pupils. A memorandum of understanding exists between the primary schools and STS which outlines clear criteria to schools on the universal and targeted provision which is expected to be in place for children at risk of exclusion before enhanced support from STS. Once a primary age child is permanently excluded educational provision is provided by STS from the sixth school day following the exclusion.

Currently two Links bases are in operation at schools in the Nuneaton and Bedworth area, based at Wheelwright Lane Primary School and Stockingford Primary School. These provide enhanced targeted intervention for children at risk of permanent exclusion to maintain their mainstream school placement. It is recognised that there is a continued need for this provision and a third Links base is planned at Paddox Primary School in Rugby.

Following the closure of Warwickshire's Pupil Referral Unit (PRU) in 2012, four Area Behaviour Partnerships (ABPs) were set up to enable secondary schools to work collaboratively to support the education of young people permanently excluded from school or at risk of permanent exclusion from school.

Alternative Provision for secondary age pupils in Warwickshire is currently provided through a range of full and part time, short term and longer term placements. Approximately 24 providers currently work with Warwickshire secondary schools and the four ABPs to offer packages of support for pupils who have been permanently excluded from school or who are at risk of permanent exclusion from school.

We will review the current system of Alternative Provision in Warwickshire with a view to re-introduce an Alternative Provision framework contract from autumn 2018, which will provide a list of approved providers that schools, ABPs, and WCC can commission.

It is recognised that the need exists within Warwickshire to support the opening of a new Alternative Provision Free School. We will explore the options available to deliver new provision, including the submission of an application to the DfE as part of the Free School wave in summer 2018. If successful the expectation is that this new AP Free School would open in 2020/2021.

8. Organisation, Viability and Sustainability of schools

Partnership working

When planning for sufficient education places in Warwickshire we are committed to working in partnership with Warwickshire's family of schools to ensure the most effective solutions are found for meeting the expected need for places.

There is an expectation that small schools or schools with known budget pressures will work in partnership or collaborate with suitable partner schools whenever possible, to achieve economies of scale, for example: through federation and shared staffing/resources. This may help those schools to maintain financial viability and remain sustainable longer term.

Further to this governing bodies are expected to consider forming / joining a Multi-Academy Trust as part of plans to provide a strong and sustainable infrastructure.

Size

The minimum size for a primary school will vary across the County; however, it is an important consideration when looking to ensure the long-term viability of schools. In the County's urban centres particularly, primary schools smaller than one form of entry (FE) (i.e. one class of 30 children per year group) are likely to struggle financially. When looking at expanding primary school provision, the local authority will look to expand primary schools from 1FE to 2FE where possible to help with the financial viability of those schools. Where new schools are required, the preferred model will be for 2FE primaries, although specific context may require smaller or larger schools to be provided. The largest primary school in Warwickshire is 4FE.

Similarly, the appropriate size for a secondary school will vary depending on where it is in the county; smaller secondary schools may be appropriate in more rural areas but may not be viable financially. It is unlikely that any new secondary school would be built at less than 6 forms of entry (180 places per year group).

Organisation

Warwickshire has a number of separate infant and junior schools but is committed to creating all-through primary schools where the opportunities allow; as this is considered a more effective and efficient way to organise provision. There is no overall requirement for Infant and Junior schools to amalgamate but we will expect and support Infant and Junior schools to amalgamate where and when appropriate; for example where both schools are located on a shared site or when a natural opportunity due to change in leadership arises.

A number of schools in the county are operating with half forms of entry (e.g. admit 45 or 15 pupils per year group) this often requires the school to organise into mixed age classes in order to provide financial viability towards covering the cost of a full time teacher. Whilst it is possible to operate in this manner, it is more challenging for teachers and can be unpopular with parents. The local authority will look to remove half forms of entry where possible, particularly through expansion programmes.

A small number of primary schools are based on split sites that are a significant distance from each other, this ultimately results in duplication of costs relating to administration, staffing etc. The County Council will look to address this through expansion and/or relocation where possible and appropriate.

Warwickshire currently has one mainstream all-through school from age 4 to age 18 following the expansion of an existing secondary school. This model is seen as an effective way of creating new primary age places in areas of high demand. Where new housing developments justify a new primary and secondary school, the LA will look to open all-through schools to attain economies of scale.

Rural schools

Warwickshire has a number of schools serving predominantly rural areas; many of these schools operate with small admission numbers and/or small numbers on roll. Due to the rural nature of much of the county it is often the case that the next nearest alternative school is a significant distance away. We recognise that it is important to support these schools in ensuring they remain viable as they fill a particular need within the rural parts of the county in providing local school places. We aim to ensure children are able to gain a place at their local school; this may not always be the priority school where the family reside and could be the closest school by distance.

Schools on county borders

It is essential that all factors are considered when planning for schools on the county borders with other local authorities, and not only the numbers on roll from out of county or numbers from within Warwickshire.

As planning takes account of pupil preference, and there is a need to ensure support for rural and border schools, it is essential that when growth in a particular area is forecast or taking place a school is not penalised in terms of budget pressures whilst growing to accommodate forecast need.

EQUALITY IMPACT ASSESSMENT/ ANALYSIS (EqIA)

Education and Learning Schools Sufficiency Strategy

Warwickshire County Council

Equality Impact Assessment/ Analysis (EqIA)

Group	Communities
Business Units/Service Area	Education and Learning
Plan/ Strategy/ Policy/ Service being assessed	Education Sufficiency Strategy
Is this is a new or existing policy/service?	It is an existing policy / service which is subject to review.
If existing policy/service please state date of last assessment	July 2017
EqIA Review team – List of members	Bern Timings Emma Basden-Smith
Date of this assessment	22/05/2018
Signature of completing officer (to be signed after the EqIA has been completed)	B.Timings
Are any of the outcomes from this assessment likely to result in complaints from existing services users and/ or members of the public? If yes please flag this with your Head of Service and the Customer Relations Team as soon as possible.	<u>NO</u>
Name and signature of Head of Service (to be signed after the EqIA has been completed)	Chris Malone
Signature of GLT Equalities Champion (to be signed after the EqIA is completed and signed by the completing officer)	Phil Evans

A copy of this form including relevant data and information to be forwarded to the Group Equalities Champion and the Corporate Equalities & Diversity Team

Form A1

INITIAL SCREENING FOR STRATEGIES/POLICIES/FUNCTIONS FOR EQUALITIES RELEVANCE TO ELIMINATE DISCRIMINATION, PROMOTE EQUALITY AND FOSTER GOOD RELATIONS



High relevance/priority



Medium relevance/priority



Low or no relevance/ priority

Note:

1. Tick coloured boxes appropriately, and depending on degree of relevance to each of the equality strands
2. Summaries of the legislation/guidance should be used to assist this screening process

Business Unit/Services:	Relevance/Risk to Equalities																										
State the Function/Policy /Service/Strategy being assessed:	Gender			Race			Disability			Sexual Orientation			Religion/Belief			Age			Gender Reassignment			Pregnancy/ Maternity			Marriage/ Civil Partnership (only for staff)		
	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓						
Sufficiency Strategy			✓			✓			✓			✓			✓			✓			✓						
Are your proposals likely to impact on social inequalities e.g. child poverty for example or our most geographically disadvantaged communities? If yes please explain how. N/A																								YES/ NO			
Are your proposals likely to impact on a carer who looks after older people or people with disabilities? If yes please explain how.																								YES/ NO			

Form A2 – Details of Plan/ Strategy/ Service/ Policy**Stage 1 – Scoping and Defining**

(1) What are the aims and objectives of Plan/Strategy/Service/Policy?

The Sufficiency Strategy will help schools, parents, council staff, local partners and stakeholders understand how Warwickshire County Council plans and provides school places to ensure that all children and young people thrive in sustainably good or outstanding schools and settings throughout their education, wherever they live.

It sets out the principles underpinning school place planning; the ways in which places will be delivered, the information which will be used and the way we work with people to deliver high quality, accessible schools and early years places for all learners.

Warwickshire County Council has a legal duty to:

- ensure sufficient schools and places in a locality;
- secure sufficient early years & childcare places;
- ensure sufficient post 16 provision;
- provide appropriate education provision for children with special educational needs and disabilities;
- promote high education standards;
- ensure fair access to educational opportunity;
- promote the fulfilment of every child's education potential;
- promote diversity and parental choice.

	<p>It is the Council's role to plan, commission and organise school places in a way that raises standards, manages supply and demand and creates a diverse infrastructure. This strategy provides for the longest possible planning horizon to ensure that need is anticipated and met in a transparent, objective, cost effective and sustainable way.</p>
(2) How does it fit with Warwickshire County Council's wider objectives?	<p>By ensuring children are able to continue to access education it fits in with the objectives of Learning and Achievement to:</p> <ul style="list-style-type: none"> ● Ensure every child and young person has access to a place in high quality early years settings, or schools, or learning providers, and providing learning opportunities for adults; ● Ensure [access to] provision for children and young people with special educational needs, and vulnerable groups; and to ● Support young people in the transition to adulthood and employment, especially the most vulnerable.
(3) What are the expected outcomes?	To ensure sufficient and appropriate education and early years provision throughout Warwickshire.
(4) Which of the groups with protected characteristics is this intended to benefit? (see form A1 for list of protected groups)	The sufficiency strategy is in place ensure all children have access to the most appropriate education provision. This could benefit any of the above groups with protected interests.
<u>Stage 2 - Information Gathering</u>	
(1) What type and range of evidence or	Forecasting information incorporating; local plans, housing developments, birth data, early

<p>information have you used to help you make a judgement about the plan/ strategy/ service/ policy?</p>	<p>years data and school admissions data, patterns of movement.</p>		
<p>(2) Have you consulted on the plan/ strategy/ service/policy and if so with whom?</p>	<p>Information and Engagement events on the sufficiency strategy and subsequent delivery of school places across Warwickshire were held for Early Years settings, Head Teachers and school Governors</p>		
<p>(3) Which of the groups with protected characteristics have you consulted with?</p>	<p>All schools and Early Years settings within Warwickshire have been informed of the Strategy and were invited to attend the Information and Engagement events.</p>		
<p>Stage 3 – Analysis of impact</p>			
<p>(1) From your data and consultations is there any adverse or negative impact identified for any particular group which could amount to discrimination?</p> <p>If yes, identify the groups and how they are affected.</p>	<p>RACE</p>	<p>DISABILITY</p>	<p>GENDER</p>
	<p>MARRIAGE/CIVIL PARTNERSHIP</p>	<p>AGE</p>	<p>GENDER REASSIGNMENT</p>

	RELIGION/BELIEF	PREGNANCY MATERNITY	SEXUAL ORIENTATION
(2) If there is an adverse impact, can this be justified?	N/A		
(3) What actions are going to be taken to reduce or eliminate negative or adverse impact? (this should form part of your action plan under Stage 4.)	N/A		
(4) How does the plan/strategy/service/policy contribute to promotion of equality? If not what can be done?	The strategy does not distinguish between any groups with protected characteristics as it is in place to ensure sufficient and appropriate education for all pupils within Warwickshire.		
(5) How does the plan/strategy/service/policy promote good relations between groups? If not what can be done?			
(6) Are there any obvious barriers to accessing the service? If yes how can they be overcome?	N/A		

(7) What are the likely positive and negative consequences for health and wellbeing as a result of this plan/strategy/service/policy?	It is not anticipated that the proposed changes will have a negative impact on health and wellbeing. The positive impact will be children quickly provided with education provision within their priority area.
(8) What actions are going to be taken to reduce or eliminate negative or adverse impact on population health? (This should form part of your action plan under Stage 4.)	It is not anticipated that the proposed changes will have a negative or adverse impact on population health.
(9) Will the plan/strategy/service/policy increase the number of people needing to access health services? If so, what steps can be put in place to mitigate this?	No.
(10) Will the plan/strategy/service/policy reduce health inequalities? If so, how, what is the evidence?	No.

<u>Stage 4 – Action Planning, Review & Monitoring</u>	
If No Further Action is required then go to – Review & Monitoring	EqIA Action Plan

(1) Action Planning – Specify any changes or improvements which can be made to the service or policy to mitigate or eradicate negative or adverse impact on specific groups, including resource implications.	Action	Lead Officer	Date for completion	Resource requirements	Comments
	To review / revise the document following consideration by Corporate Board / O&S.				
	To review / revise the document following consultation exercise				
	To review / revise the document following implementation.				
(2) Review and Monitoring State how and when you will monitor policy and Action Plan	The policy will be regularly reviewed as the proposals move through the democratic services / consultation process.				

Please annotate your policy with the following statement:

Council 26 July 2018

Item 7 Appendix B

'An Equality Impact Assessment/ Analysis on this policy was undertaken on 24/01/2017 and will be reviewed on an annual basis.

Council

26 July 2018

Bermuda Connectivity

Recommendations from Cabinet

(subject to Cabinet approving the Bermuda Connectivity Scheme at its meeting on 24 July 2018)

- (1) That Council approves the addition of £1 million of further expenditure to the Capital Programme, to be fully funded by a capital grant contribution from the Coventry and Warwickshire Local Enterprise Partnership, and the addition of to the Programme of £4.198million from the Capital Investment Fund to deliver Bermuda Connectivity at a cost of £8.900million with the commitment that any further alternative sources of funding secured for the scheme result in a £ for £ reduction in the Capital Investment Fund's contribution and that any further scheme cost increases are met from the Transport and Economy Business Unit's existing revenue resources;

- (3) That, subject to approval of (1) above, Council authorises:
 - (i) The Joint Managing Director (Communities) to finalise the design of the Scheme (including making minor modifications to the scheme as described in this report), and procure contractors for delivery, on terms and conditions acceptable to the Joint Managing Director (Resources), and to take all steps required to implement the scheme including the submission of applications for planning permission and any other consents and approvals;

 - (ii) The Joint Managing Director (Resources) to acquire by agreement the land required for the implementation of the scheme; and

 - (iii) The Joint Managing Directors to determine jointly whether the compulsory acquisition of interests in any such land that cannot be acquired by agreement is justified pursuant to sections 239, 240, 246 and 250 of the Highways Act 1980 and Section 2 of the Acquisition of Land Act 1981 and, if they so determine, to make any compulsory purchase order(s) for the purpose of acquiring such interests in exercise of that power and to take any steps required to secure the confirmation of such order(s) and acquire such interests (whether by agreement or in exercise of such order(s)) including the determination of compensation and agreement of terms for the withdrawal of objections (including where appropriate the exclusion of land or new rights from the order(s)) and any other incidental or consequential arrangements.

1.0 Details of the Bermuda Connectivity Scheme

This report is being considered by Cabinet on 24 July 2018. The appendices referred to throughout are available on the website but are not being printed for this Council meeting.

- 1.1 Bermuda Connectivity delivers additional capacity and improved connectivity in Nuneaton by creating a new 1.3 mile link between West Nuneaton and Griff Roundabout via the existing Bermuda Bridge over the A444. The Scheme is expected to deliver the following range of benefits:-
 - Reduced journey times for local residents on a number of routes in the West Nuneaton area;
 - Reduced congestion in parts of the town centre, thus improving links onto the A444 in Nuneaton in other parts of the town;
 - Enhanced accessibility to local businesses, amenities and residential areas, particularly in Bermuda and adjoining areas;
 - Improved connectivity to Bermuda Park rail station, which will soon be served by more frequent trains to Coventry;
 - An improved environment for cyclists and pedestrians; and
 - Support further economic growth in Nuneaton by enhancing access to employment sites and residential areas.

- 1.2 The Scheme was awarded £3.202million from the WCC Growth Fund in October 2014, alongside a grant secured in December 2014 by Nuneaton and Bedworth Borough Council (NBBC) from the CWLEP of £0.500million. These met the estimated £3.702million original cost of the Scheme, which had a Benefit Cost Ratio (BCR) of 5.9 based solely on a WebTAG transport scheme appraisal (travel time savings) endorsed by the Department for Transport (DfT). Preliminary design proposals were produced in collaboration with local WCC Members, which included additional components aimed at reducing the potential negative impacts of the Scheme. The preliminary design proposals were subject to a consultation and the responses were considered by WCC Cabinet who endorsed the progression of the Scheme onto detailed design stage in November 2015. In acknowledgement of the additional components and potential further revisions as an outcome of the consultation, WCC Cabinet was informed that the updated Scheme would cost £5.939million and have a reduced BCR of 5.0 based solely on a WebTAG appraisal.

- 1.3 The detailed design process identified that the Scheme conflicted with existing infrastructure and hazardous contaminated land. Initially, detailed design was carried out in accordance to Design Manual for Roads and Bridges (DMRB) highway standards, which is deemed more applicable to higher speed roads rather than the 30mph roads forming the Bermuda Connectivity link. However, adhering to DMRB design standards yielded additional pressure on the budget by further increasing land uptake and construction costs. The cost estimate after the initial completion of detailed design of the Scheme presented to Cabinet in 2015 increased to £14.608 million, which exceeded budget tolerance and was not deemed acceptable.

- 1.4 Subsequently, a Value Engineering Assessment (VEA) was carried out in order to ensure Best Value in regard to use of the public purse to fund the Scheme. The objective of the assessment was to ascertain the feasibility and cost of delivering a revised Scheme. The emphasis of the revision was to ascertain the practicalities, costs and risks associated with delivering a Scheme which would enable the opening of the Bermuda link route without the full range of additional components proposed in 2015. The VEA identified that if revisions were made to the Scheme, the cost estimate would reduce from £14.683million to £8.900million. This represented an approximate 40% reduction in cost.
- 1.5 WCC Members were involved in updating the Scheme which can be viewed in the aesthetic layout drawings accompanying this report as a Background Paper (copies of all the Background Papers are published digitally with the agenda for the Cabinet meeting and paper copies are available in Members' rooms). The table below details the cost estimate for the updated Scheme:

Element	Projected Cost £m
Development of Design and Other Support Costs	1.800
Preliminaries	0.500
Service Diversions	1.000
Earthworks	1.000
Pavement Reconstruction	0.700
Land (including Acquisition, Stamp Duty and other Associated Charges)	0.100
Other Costs (including Traffic Signal Improvements, Drainage and Fencing)	1.400
Specific Contingency	1.700
External Support for Procurement and Management of the Construction Contract	0.200
General Contingency	0.500
Total	8.900

- 1.6 The updated Scheme was presented to the local community in the form of a consultation in order to receive feedback and consider possible amendments. Details of how the consultation was promoted in order to raise awareness and engagement are detailed in Table 1 at Appendix A of this report.

2.0 The Consultation Process

- 2.1 The consultation was held during a 5 week period (Tuesday 15 May 2018 – Monday 18 June 2018) seeking to engage with local residents in and around West Nuneaton, who were given an opportunity to participate in the consultation through the measures detailed at Appendix B in this report. The consultation allowed local residents to express their views and concerns.
- 2.2 In line with the County Council's transformation journey, the content of the consultation adopted a Digital First approach, and therefore, was primarily

available online via the “Ask Warwickshire” consultation and the Scheme web pages. The digital approach was supported by the distribution of a consultation pamphlet to approximately 30,000 properties in the west Nuneaton area. The pamphlet directed people to the online “Ask Warwickshire” consultation website to complete and submit a survey form. All online material including the survey form could be printed off for anyone who still required a paper copy of the information. A telephone number and e-mail address were printed on the distributed consultation pamphlet and the two respective web pages, for respondents to direct further queries and also request paper copies of the survey form.

- 2.3 NBBC officers were briefed in preparation for start of the consultation. Posters promoting the consultation and relevant material were displayed at both Nuneaton and Bedworth Libraries. The poster also promoted the use of the telephone number and e-mail address to request paper copies of the survey form. In total, four requests for paper copies of the survey form were received during the consultation. While not many, this number is in line with other recent consultations carried out by the County Council where the demand for paper copies has been low.
- 2.4 Requests for additional information to be made available as part of the consultation, and also the submission of Information Requests under the Environmental Information Regulations (EIR) arose during the consultation. In response, further information was made available on the “Ask Warwickshire” consultation website and the Scheme web page. Requests for further information which were not met only where they concerned information classified as currently incomplete, confidential or commercially sensitive.
- 2.5 In respect to the survey forms, the survey software tracked Internet Protocol (IP) addresses. There are many good reasons why multiple survey responses may be submitted under the same IP address. For example responses submitted by multiple users on library computers or two people living in a household who each wish to take part in the consultation. Responses using the same IP address were not automatically discounted. However, checks were carried out on all survey responses to ensure no deliberate duplication. No responses were deleted.

3.0 Key Outcomes of the Consultation

- 3.1 The following items were submitted during the consultation:-
 - 333 survey forms all submitted online;
 - 29 e-mails regarding the Scheme;
 - 2 written letters of objection; and
 - 15 Information Requests regarding the Scheme.
- 3.2 A total of 75% of the respondents stated that they live in the area where the Scheme is located. Further analysis identified that 39% of the respondents live in the Bermuda residential area and 29% live in the Stockingford residential area. This represents a combined total of 68% of the overall respondents as demonstrated in Chart 1 at Appendix C of this report.

- 3.3 The key outcomes of the consultation are as follows:
- 65% of the respondents either completely agreed or partly agreed that traffic congestion in West Nuneaton cause problems in their day to day activities as demonstrated in Chart 2 at Appendix C of this report; however
 - 64% of the respondents do not support the proposed new highway link via Bermuda Bridge, as demonstrated in Chart 3 at Appendix C of this report.
- 3.4 The outcome of the consultation reinforces the strong level of opposition towards the Scheme from local residents, who primarily live in the area where the Scheme is situated. This is a similar outcome to the original consultation carried out during the preliminary design stage in 2015.
- 3.5 The key themes expressed within the feedback provided by respondents during the consultation can be seen at Table 2 Appendix D of this report.

4.0 Proposed Revisions to Scheme Following Consultation

4.1 In response to the feedback received during the consultation a number of key areas of concern have been recorded. County Council officers have considered these concerns which are summarised in the table below:

Key Area of Concern	County Council Officer Response
Safety, including traffic calming and crossings	The detailed design of the revised Scheme has been subject to a Road Safety Audit (Stage 2) which carefully considered all safety issues including the removal of mitigation. Notwithstanding this, in response to the feedback received a revision to the scheme is proposed as detailed in paragraph 4.2.
Congestion / Rat Runs	If the Scheme is delivered the predicted volume of traffic flow would increase noticeably on the link route via Bermuda Bridge. There may also be minor increases on some adjoining local roads. However, it is not predicted that the minor traffic flow increase on adjoining roads would have a severe impact on local residents. Further details on the projected traffic impacts of the Scheme are provided in section 6.
Environmental Impacts	It is anticipated that the Scheme is unlikely to have any significant impacts on the local environment or nearby properties, with the exception of noise impacts. Further details of the projected environmental impacts of the Scheme are provided in section 6 and Appendix G.
Parking, including Tenlons Rd and businesses	The Scheme would involve the displacement of on-street parking along the link route. Parking surveys have been carried out to identify whether or not this

	can be absorbed by available capacity on nearby streets. In response to the feedback received a revision to the scheme is proposed as detailed in paragraph 4.2.
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- 4.2 The proposed changes to the revised Scheme in response to feedback provided during the consultation are detailed in the table below. The cost of delivering the changes is estimated at £0.070million and would be absorbed within the existing budget under the General Contingency element (£0.500million). The cost of the Scheme would remain at £8.900million:

Proposed Revisions to the Scheme as an Outcome of the Consultation	
Proposal	Purpose
Relax the permanent double yellow parking restrictions along entire route, e.g. alter to no parking between (0600 – 2000)	Enable on-street parking at certain times, e.g. evenings
Provision of bollards on the southern foot way where Bermuda Road meets The Bridleway (adjacent to No. 117 Bermuda Road)	Provide protective barrier between carriageway and residential properties
Vehicle restraint measures at the Heath End Road / Bermuda Road junction, e.g. barriers on foot way	Measure to deter large vehicles from encroaching onto the footway when carrying out turning manoeuvres
Examine the feasibility of providing additional traffic calming islands on Bermuda Road, and implement if deliverable	Measure(s) to contribute towards controlling reduce vehicle speed and providing additional pedestrian / cycle crossing points

- 4.3 Officers will closely monitor the impacts of the Scheme in order to identify and consider any potential issues that may arise.

5.0 Benefits of the Scheme (Independent Evaluation)

- 5.1 The DfT's WebTAG transport scheme appraisal concluded that the updated Scheme has a purely transport related BCR of 3.9 which still represents good value for money according to the DfT's WebTAG appraisal model. Details of this BCR calculation are provided at Appendix E of this report.
- 5.2 Furthermore, the wider economic benefits the Scheme would support include unlocking potential underdeveloped and/or underutilised employment sites, with agglomeration impacts on local economies and labour market effects. The outcome of an independent study carried out to estimate these effects increased the total BCR to 7.0. A detail of the wider economic benefits summary is provided at Appendix F of this report.

6.0 Projected Impacts of the Scheme

6.1 The Scheme has been tested in the 2017 Nuneaton and Bedworth Borough Wide Area Traffic Model that includes the latest validated NBBC Borough Plan scenarios. The updated traffic model findings (opening year 2022) demonstrate that the Scheme would have the following key impacts:

- The Traffic Model forecasts that on average 4,103 vehicle journeys will cross Bermuda Bridge per day (including weekends);
- Local traffic originating from the Bermuda residential area will be primary users of the link route over Bermuda Bridge, i.e. have a journey origin and destination along/off Bermuda Road. This explains why the projected increase in traffic flow on Bermuda Road / The Bridleway does not resonate into a similar level of increased traffic flows in neighbouring areas, e.g. Stockingford;
- This localised usage will have a positive impact on journey times on other radial routes in Nuneaton, e.g. A444 between town centre and Griff Roundabout, Heath End Road between Bermuda Road - Bull Ring and Queens Road by freeing up capacity as an outcome of the additional Bermuda Bridge highway link;
- Journey times between the residential areas in the west of Nuneaton (e.g. Stockingford, Heath End and Galley Common) and the Town Centre (in both directions) also reduce significantly following the inclusion of the Bermuda Bridge highway link; and
- Analysis of the impact of HGVs in the local area highlight no increase in the number of HGVs using the northern section of Bermuda Road, and therefore, no increase in HGVs passing the residential properties in this area.

6.2 The Traffic Model estimates that if the Scheme is implemented more traffic will use Bermuda Road, Tenlons Road, Shillingstone Drive and St George's Way. In contrast, Heath End Road to the east of Bermuda Road and A444 to the north of Griff Roundabout experience reductions in traffic during both the morning and evening peak hour. The reduction in vehicles is most prominent in the evening peak hour. On the more local roads, including The Raywoods and Radley Drive, there are some minor increases in traffic flows during the morning and evening peak hour; however, it is not considered that these increases would result in a severe impact on local residents.

6.3 The key environmental considerations are air quality and noise impacts. The environmental impact review of the Scheme found that it would not have a significant adverse effect on air quality even on the roads experiencing an increase in traffic, but it is projected that residential properties at certain locations will be adversely impacted by increased noise levels. An overall environmental summary of the Scheme is provided in Table 3 at Appendix G of this report.

6.4 Appendix K summarises the changes between the 2015 scheme approved by Cabinet and the current scheme following the VEA. In broad terms, the environmental and transportation benefits of the original scheme for the wider

network are maintained but there is a reduction in the ameliorations and enhancements provided for local residents, pedestrians and cyclists and, whilst the impact on air quality remains similar and not significant, the impacts of noise will be greater for some residents.

- 6.5 The scheme has been the subject of an Equalities Impact Assessment (EqIA), a Health Impact Assessment (HIA) and a Stage 2 Road Safety Audit (RSA2). The EqIA does not identify any differential impacts on groups with protected characteristics but, together with the HIA, identifies the potential for improvements in health and well-being in areas suffering from relative social and health disadvantages (particularly the Wembrook ward) which will benefit from reductions in traffic and congestion. The HIA does, however, recommend that noise levels are monitored on the parts of the route which will experience an increase in traffic and noise and that mitigation measures (such as triple glazing) be considered. Provision has been made in the project budget for mitigation and a mitigation scheme will be prepared for submission with the planning application which will be guided by the aims of the Noise Policy Statement for England to avoid significant adverse impacts on health and quality of life and to mitigate and minimise lesser adverse impacts. Other recommendations in the HIA relating to monitoring air quality, the quality of pedestrian and cycle facilities, traffic calming and lighting have been or will be incorporated into the scheme. The RSA2 addresses design issues that could affect people with mobility problems. These three documents are available as Background Papers.

7.0 The Proposed Arbury Estate Link Road (A444 – Walsingham Drive - Heath End Road)

- 7.1 Officers are aware of the local aspiration for the development of an Arbury Estate Link Road, which was also raised by a number of respondents during the consultation. However, taking all matters into consideration there is an extremely strong case for supporting the merits of delivering the Bermuda Connectivity Scheme at this time. The potential Arbury Estate Link Road is classified as highway mitigation that will not come into fruition in the short or medium term. The Strategic Transport Assessment (STA) for the NBBC Borough Plan is clear that Bermuda Connectivity is viewed as highway mitigation required in the early years of the Borough Plan.
- 7.2 Bermuda Connectivity is a multi-faceted Scheme which would provide a number of directly attributable strategic benefits over and above reducing journey times and addressing congestion on the A444 corridor. These include enhancing access to the Bermuda residential area and a wide range of local businesses, supporting further development in the Bermuda area, providing improved connectivity to Bermuda Park rail station and improved local pedestrian and cycling infrastructure.

8.0 The Evidence Base

- 8.1 The traffic, environmental and economic impacts of the Scheme have been vigorously evaluated using industry standard methodologies. This includes the 2017 Nuneaton and Bedworth Borough Wide Area Traffic Model, supported by on-site surveys and assessments carried with appropriate levels of diligence and checking. An independent evaluation of the wider economic benefits derived by the Scheme has also been undertaken. These provide a reliable and consistent evidence base enabling WCC Members and senior officers to make balanced and informed decisions on the future of the Scheme.
- 8.2 Whilst not yet finalised, the following studies have progressed to the point where a high degree of confidence can be placed on their conclusions:
- Noise Assessment (forms part of the Environmental Assessment Review);
 - Environmental Assessment Review (which includes the Noise Assessment) to be included in the planning application;
 - Transport Assessment (to be included in the planning application);
 - Traffic Modelling Data used to test the impacts of the scheme; and
 - Updated Health Impact Assessment (to be included in the planning application).

These studies will be finalised for submission with the planning application.

9. Capital Investment Fund - Evaluation by the CIF Panel

- 9.1 A total of £3.702million was originally secured for the Scheme. However, the projected cost of the Scheme stands at £8.900million. A bid has been made to the Capital Investment Fund (CIF) to request a further £4.198million to make up the funding, alongside a further £1.000million grant from the Coventry and Warwickshire Local Economic Partnership (CWLEP) awarded to the County Council. The grant is conditional upon match funding being secured from WCC by the end of July 2018.
- 9.2 As part of the 2018/19 budget, Council approved the roll forward of the unspent budget for the Capital Investment Fund (CIF) as well as a further allocation of £58.252million remains to be allocated over the next two years. Of this, £26.567million is notionally held for seven priority schemes. One of those priority schemes is Bermuda Connectivity, and this report makes recommendations to support the usage of £4.198million of this total on this Scheme.
- 9.3 The CIF panel considered the bid in late 2017. This was before the consultation in spring 2018. However, the proposed revisions have no material impact on the scheme as originally was submitted to the panel. The panel scored Bermuda Connectivity at 70.3 out of 100. Therefore, after considering the updated Scheme and responses to the consultation, if Cabinet

is minded to support progression of the Scheme, Corporate Board recommends that Members approve the allocation of the requested funding. The scores awarded in each section were as follows:

- Alignment with the organisation's strategic objectives (15% weighting): 4 out of 5;
- Financial viability (30% weighting): 3.5 out of 5;
- Strategic investment/Economic growth (as a scheme planned to deliver these specific objectives, 45% weighting): 3.3 out of 5; and
- Political social and environmental impact (10% weighting): 3.8 out of 5.

9.4 In reaching its conclusions, the Panel made a number of points, which are summarised in Appendix H of this report. For clarity, these have not been edited to take account of the consultation; the final point has however been acted upon by carrying out the consultation as described in section 2.

10. The Next Steps to Progress the Scheme

10.1 If WCC Cabinet and full Council decide to authorise the allocation of the funding, the key milestones will be as follows:

- Submission of the planning application to the County Council covering the elements of the Scheme which require consent – August 2018;
- Complete land acquisition with the aim of reaching voluntary agreement with each landowner – October 2018;
- NBBC to claim the £0.500million contribution from the CWLEP and transfer the grant to the County Council – December 2018;
- Finalise procurement of the construction works and award contract – January 2019; and
- Commencement of construction works – March 2019.

11. Land Acquisition

11.1 Small sections of third party land will be required in order to deliver elements of the Scheme. Voluntary negotiations with the landowners have been undertaken and it is hoped that all sections of land can be acquired on this basis. Details of the land requirement are provided in Table 4 at Appendix I of this report. However, it is possible that voluntary acquisition will not prove possible and in this case it will be necessary to consider compulsory purchase.

11.2 There are 12 parcels of third party land currently identified as required for the scheme. None of these parcels comprise residential premises and it is not considered that any of the acquisitions would prejudice the viability of the business currently occupying the land. However, the compulsory acquisition of land is not to be undertaken lightly. Careful consideration would have to be given on a case by case basis in the circumstances prevailing at the time as to whether such an interference could be justified. In view of this, it is recommended that authority be delegated to the Joint Managing Directors to decide whether powers of compulsory acquisition should be exercised and, if so, to decide how and to make the necessary order or orders and do everything

necessary to acquire the relevant land in a timely manner. This would include conducting any proceedings in case they were required because of objections to the orders or to resolve valuation disputes and making any compromise agreements required to bring such proceedings to a satisfactory conclusion.

11.3 Plans detailing the extent of the small sections of land required for the Scheme are provided at Appendix J of this report.

12. Financial Risks and Mitigation

12.1 If the Scheme does not proceed to implementation stage, the actual scheme development costs incurred to date total £1.429million. This cost would be deemed abortive and need to be funded from the revenue budget of the sponsoring Business Unit, in this case Transport and Economy.

12.2 An agreement between CWLEP and NBBC is in place regarding the £0.500million contribution to the Scheme. The funding will be transferred to the County Council under a separate agreement between NBBC and WCC. If the Scheme is not progressed onto implementation stage, the Borough Council will be asked to arrange the termination of its agreements with CWLEP and the County Council.

12.3 If the Scheme is not progressed onto implementation stage, officers will make formal arrangements with the CWLEP to return the £1.000million grant contribution.

12.4 If the Scheme is progressed onto implementation stage, the Transport Development Fund revenue budget will be used to cover the cost of commissioning surveys and assessments monitoring the impact of the Scheme after opening. It is estimated that this work would cost in the region of £0.060 million over a 12 month period after Scheme opening.

Background papers

1. Aesthetic Layout Details of the Updated Bermuda Connectivity Scheme:
 - Drawing No.514769-ATK-BCP-DR-D-121; and
 - Drawing No.514769-ATK-BCP-DR-D-122.
2. Consultation Report produced by SYSTRA (June 2018)
3. Equalities Impact Assessment / Analysis (Bermuda Connection) – July 2018
4. Health Impact Assessment (Bermuda Connection) – July 2018
5. Road Safety Audit Stage 2 (including Designers Responses) - Dec 2017

	Name	Contact Information
Report Author	Nigel Whyte	nigelwhyte@warwickshire.gov.uk Tel: 01926 412179
Head of Service	Mark Ryder	markryder@warwickshire.gov.uk Tel: 01926 412811
Strategic Director	Monica Fogarty	monicafogarty@warwickshire.gov.uk Tel: 01926 412514
Portfolio Holder for Transport & Environment	Cllr Jeff Clarke	cllrclarke@warwickshire.gov.uk Tel: 02475 012731

The report was circulated to the following members prior to publication of this report for the Cabinet meeting on 24 July 2018:

Local Member(s): Cllr Clare Golby (Arbury)
Other Members: Cllr Bill Olnor (Nuneaton Abbey)
Cllr Caroline Phillips (Stockingford)

Item 8 Appendix A

Table 1: Measures Promoting the Consultation (Bermuda Connectivity)	
<u>Channel</u>	<u>Detail</u>
Ask Warwickshire	→ Dedicated consultation webpage (providing full information, survey link and link to previous consultation)
https://www.warwickshire.gov.uk/bermudaconnection	→ Dedicated Scheme webpage
Information Leaflet	<ul style="list-style-type: none"> → Circulation to circa 30,000 properties in West Nuneaton area → Made available at Nuneaton Town Hall following a request from NBBC Customer Services Team
Email (outbound)	<ul style="list-style-type: none"> → Town and Parish Council database contacts in and around Nuneaton and North Warwickshire → Local Businesses via Warwickshire Means Business webpage via WCC Economy and Skills Team → Consultation E-Alert sent to 390 Gov.Delivery subscribers
Email (inbound)	→ Dedicated email address set up to provide an opportunity for people to respond via email
Paper Surveys	<ul style="list-style-type: none"> → Copies of surveys made available on request via WCC Customer Services. → Copies of surveys made available at Nuneaton Town Hall
Social Media	<ul style="list-style-type: none"> → <u>Warwickshire County Council Facebook</u> → <u>Warwickshire County Council Twitter (12,500 followers)</u> → Twitter activity on the consultation created 1,139 impressions with 1.1% level of engagement and 10 clicks through to the consultation via the link. → Tweets / Direct messages sent to Coventry City Council Twitter and Nuneaton Memories Twitter. → Retweet Requests - Coventry and Warwickshire Chamber of Commerce → WCC Localities & Partnerships (Northern Area) Team asked to engage with Local Community Groups
Face to face	<ul style="list-style-type: none"> → Meetings with WCC Members - Briefing Meeting with Cabinet Portfolio Holder and Local County Councillor → Meetings with District / Borough Members - Promoted in a Presentation to NBBC Members on the NBBC Borough Plan and Supporting Highway Mitigation

Newsletters	<ul style="list-style-type: none"> → Re: Member (59 - Warwickshire County Council Members) → Your Warwickshire (Local MPs) → Warwickshire Weekly News (Public) May 17
Media relations	<ul style="list-style-type: none"> → Initial News release plus follow up(s): Nuneaton News, Coventry Evening Telegraph, Tamworth Herald and local radio stations (BBC Coventry and Warwickshire,) → Presence on WCC news page
Verbal briefings	<ul style="list-style-type: none"> → Briefing meetings with relevant WCC County Councillors. → Engagement with NBBC officers in regard to environmental issues covered in the consultation material
Other channels to target audiences	<ul style="list-style-type: none"> → Briefing note about the consultation circulated to local businesses and stakeholders → Briefing to Customer Services (including Face to Face contact (libraries / One Stop shops) → Briefing to Community Development Team (North) → Posters and relevant documents were made available at both Nuneaton and Bedworth Libraries.

Details of the Consultation Measures

Post

A consultation pamphlet was distributed to approximately 30,000 properties in the West Nuneaton area, similar to what took place during the initial consultation carried out in 2015.

The consultation pamphlet did not contain a Response Form, but directed recipients to the online “Ask Warwickshire” consultation website to complete their response. This is in line with the identified trend and preference for respondents to complete and submit WCC consultation response forms online. An email address and telephone number were provided for people to access further information and assistance.

Online “Ask Warwickshire” Consultation Website

This contained a high level of detail regarding the updated Scheme and also a survey form for respondents to complete and submit.

Online Scheme Web Page

Information in the consultation pamphlet was also presented on Scheme web page plus additional information. A link to the “Ask Warwickshire” Consultation website was in place allowing participants to complete and submit a survey form. Standard wording directing people to contact the WCC Customer Services telephone number was also in place enabling people to request to be sent paper copies of the survey form.

Analysis of Consultation Responses

Chart 1: Analysis of Survey Forms:

Total Number of Responses to Question 3
In which residential area do you live?

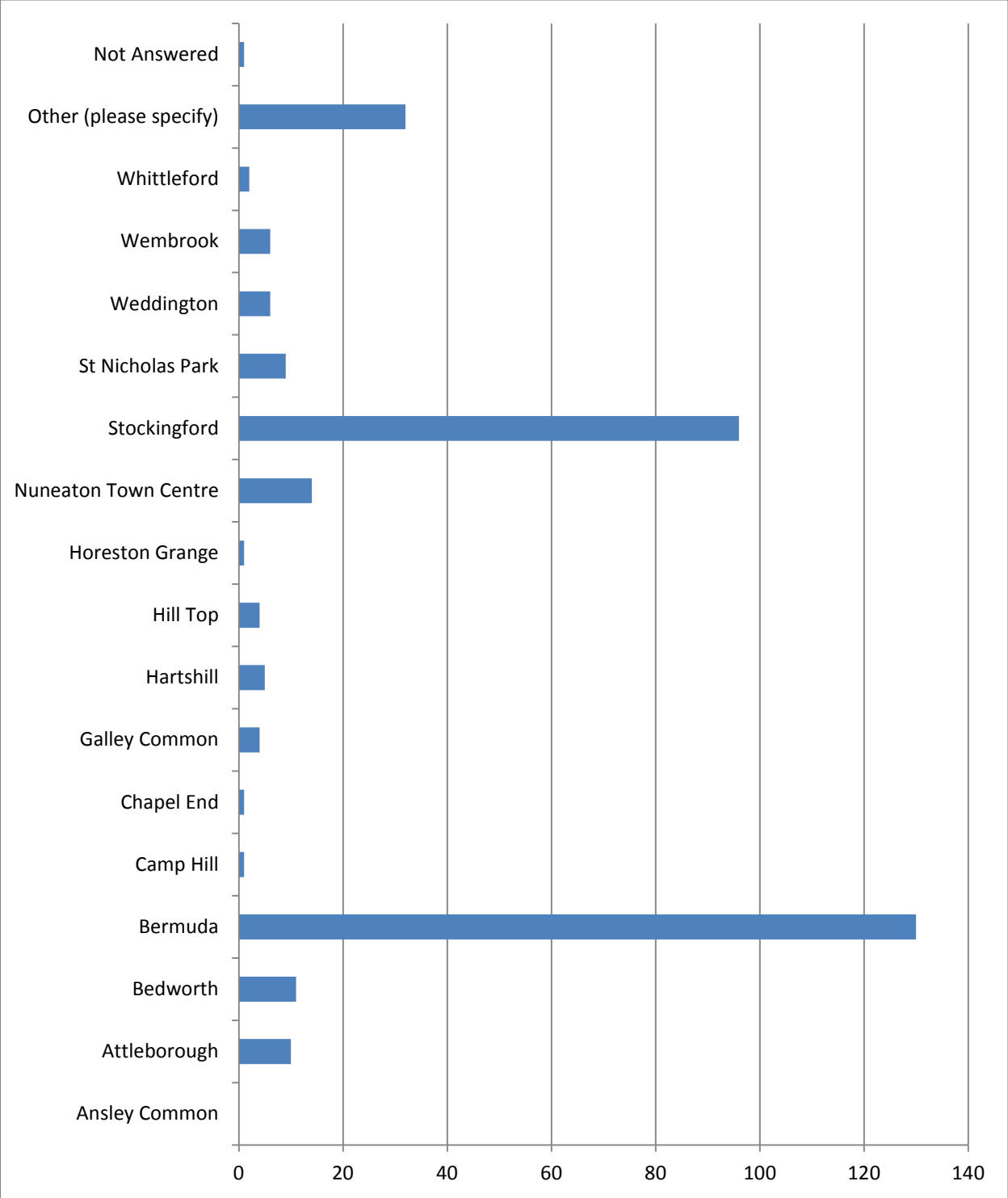


Chart 2: Analysis of Survey Forms:

Total Number of Responses to Question 4

To what extent do you agree or disagree that traffic congestion in West Nuneaton causes problems in your day to day activities?

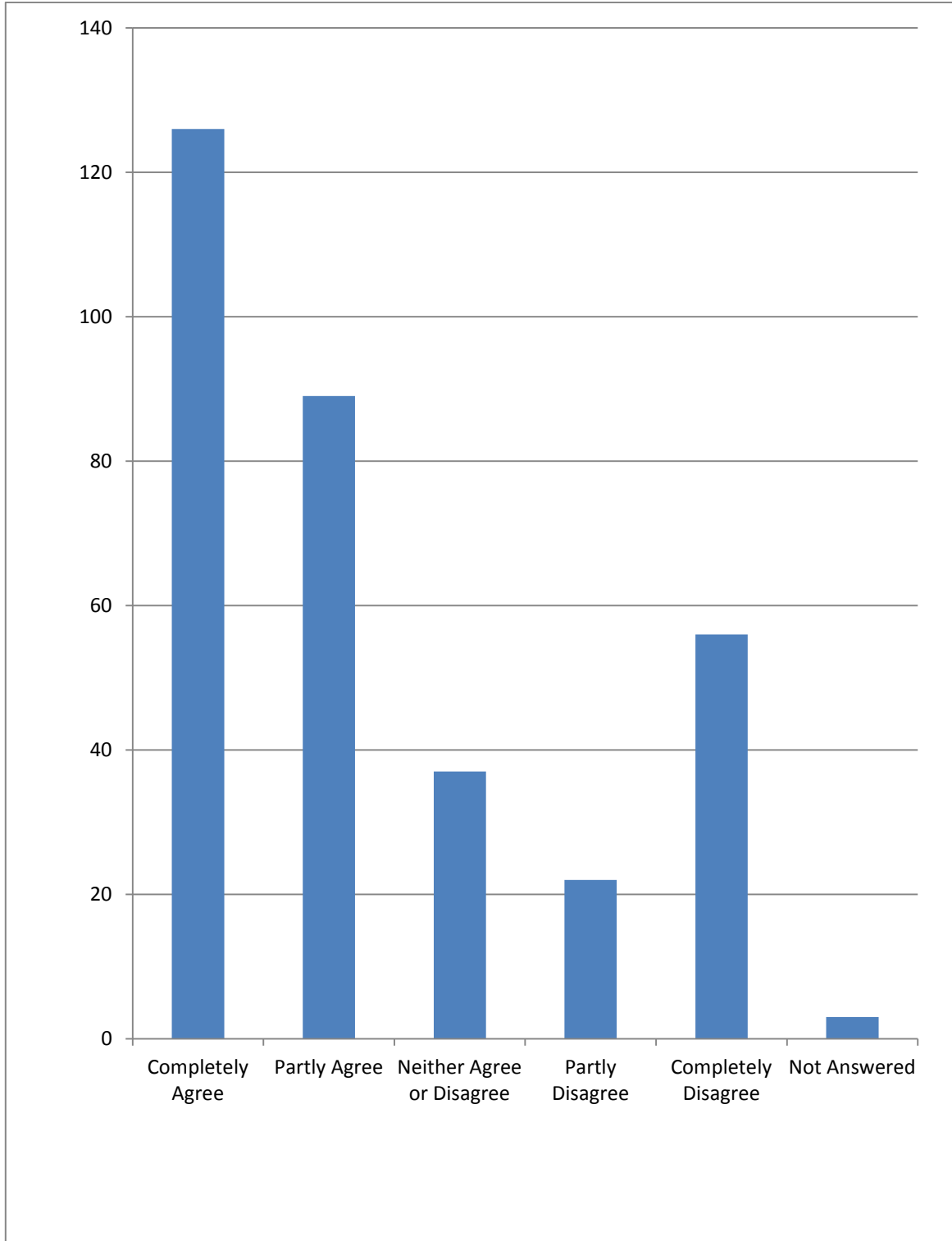
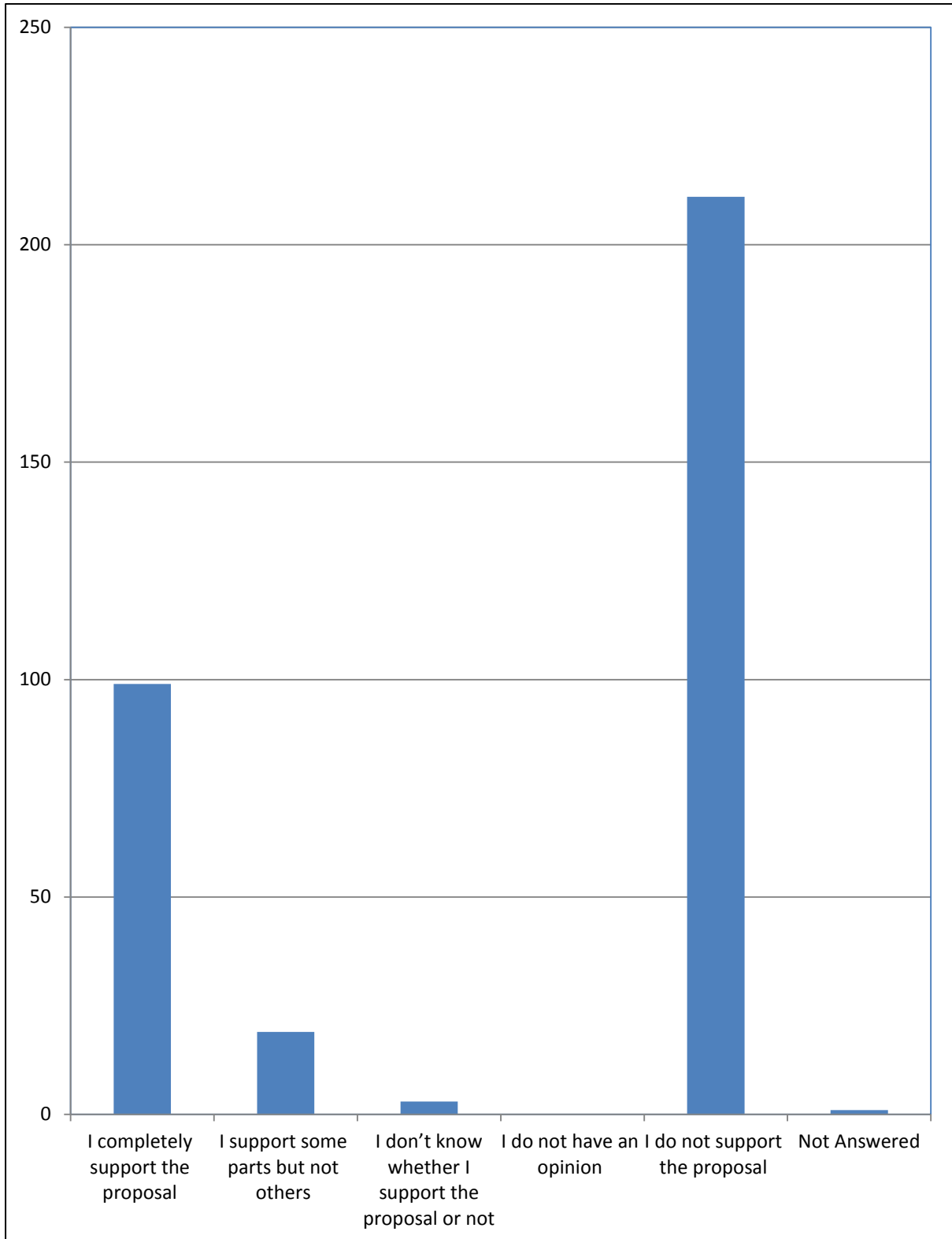


Chart 3: Analysis of Survey Forms:

Total Number of Responses to Question 5

Please select the statement below which best suits how you feel about the proposed new highway link.



Appendix D

General Consultation Responses

Table 2: Common Themes Expressed by Respondents during the Consultation	
Theme	Comments
Key themes relating to impacts on residents	<ul style="list-style-type: none"> • Plan is unfair on local residents who will suffer increased disruption, traffic noise, damage, pollution and decreased house values / quiet residential neighbourhood; • Consider the adverse impact - noise, vibration, air quality, health impact on local residents; • Parking issues will be created for residents and their visitors in Bermuda Street and other local residential streets, includes comments made about current parking on Tenlons Rd; and • May result in 'rat run' roads being created in residential streets for road users trying to dodge the traffic (specific issue for Shillingstone Drive, Tenlons Road, The Raywoods, Radley Drive, Cornish Crescent and Orkney Close).
Key themes relating to impacts on the local area	<ul style="list-style-type: none"> • Concerns that parking restrictions proposed will lead to hospital staff and visitors parking in residential streets; • Scheme needs to / does not take into account the additional impact of new housing developments - increase in population; • Concern over speeding / traffic increases in the residential areas which will increase with removal of on street parking and risk to children living/playing in the area; and • The scheme splits the community from community assets (park, community centre etc.) and does not provide sufficient safety features / crossings - will impact on users being able to access services; • General negative impact upon a residential neighbourhood - suitability of high volumes of traffic on residential street and quality of life; • Limitation of the rail station offer will limit benefits claimed - lack of parking, no park and ride, limited train frequency with delays in plans to improve, low footfall and question whether people will use the rail station; and • Direct impact on businesses - access for staff and customers, parking issues, health and safety issues relating to the premises and access.
Key themes relating to the	<ul style="list-style-type: none"> • Concerns about safety in general (lack of safe crossings, removal of traffic lights, dangerous 90

<p>design proposals</p>	<p>degree turn, concern about safety in relation to increased traffic in area used by chemical distribution vehicles, narrowing of footpaths, - speeding vehicles);</p> <ul style="list-style-type: none"> • Safety / crossings are compromised along a school route / routes heavily used by children and other pedestrians - there is a lack of traffic calming and safe crossing opportunities/measures in the proposal; • Respondents are unhappy with and concerned about the removal of safety features which had been in the original proposal; • HGV movements that will be created raise safety concerns and will negatively impact on residents and other road users; • Specific comments raised about junctions; • Comments in relation to speeding and traffic calming measures; • Specific comments raised about areas of congestion which will be created; • Comments on impact of proposal on cyclists and pedestrians; • Residential streets cannot cope - narrow roads, difficulty of access, parking/delivery blockages, need to reverse. Redesign of roads needed/widening/lines of sight; • Queries and comments relating to the bridge suitability for what is proposed; • Queries raised regarding the modelling / projections used to develop the scheme, including comments that there are things missing / inaccuracies in the plans and documentation; and • Comments on (objections to) the design standards used - not appropriate standard.
<p>Key themes relating to the overall scheme</p>	<ul style="list-style-type: none"> • Suggestions to compliment / extend the scheme to generate further benefit; • The proposed scheme is not value for money - will cost too much / waste money / doing things on the cheap; • Views that the proposed scheme is not a 'strategic' solution. Need longer term sustainable traffic management plans; • Other, better options are available - range of specific comments made (e.g. look at alternative traffic flows / road layouts); • Scheme is merely a cut down version of the original proposals which were rejected; • Supportive comments - including that the proposal is needed to relieve gridlocked town / roads and reduce journey times; • Views that this will shift the problem not solve it; and

	<ul style="list-style-type: none"> • Objections in principal to diverting heavy traffic through a residential area.
Comments on the consultation process	<ul style="list-style-type: none"> • Concerns over consultation being primarily online; • Not clear on distributed leaflet that paper copies were available; • Issue with documents only being available online; • Specific comments on documentation / information made available not being sufficient (e.g. comments that documents are not clear enough / text is too small / ineffective assessment report); and • Lack of engagement / public meetings / publicity.

Technical note

Project:	Bermuda Connectivity Project	To:	Warwickshire County Council
Subject:	Economic Appraisal Update	From:	Atkins
Date:	6 Dec 2017	cc:	

Introduction

This technical note has been prepared following a request by Warwickshire County Council to update the economic appraisal of journey time benefits for the Bermuda Connectivity Project. The economic appraisal was previously undertaken in 2014 and the results were reported in the *Bermuda Connectivity Project Capital Growth Fund Business Case, Warwickshire County Council, September 2014*.

Since 2014 there has been some changes that necessitate an update of the economic appraisal. The main changes affecting the appraisal are summarised below:

- The scheme costs have changed following a value engineering exercise which de-scoped the scheme resulting in a reduction in scheme costs by 30% to 35%.
- The Paramics Microsimulation model has been updated, with new survey data. It now takes account of the latest Local Plan committed and highly likely developments or Local Plan aspirations.
- WebTAG values of time and fuel have been updated.

The purpose of this technical note is to outline the process undertaken to update the economic appraisal, detail the assumptions used, followed by reporting of the appraisal results.

Methodology and Assumptions

The economic appraisal was calculated using a spreadsheet model that uses forecast changes in journey times in different time periods to produce an economic benefit. Outputs from the Paramics traffic model of Nuneaton were input into the spreadsheet model to generate a monetary impact over the 60 years life of the scheme. These were then compared against the construction costs and maintenance costs on a consistent basis to generate a BCR (benefit to cost ratio) for the scheme.

The main limitation of the appraisal is that the only benefits which have been monetised are those arising from journey time savings. Other potential benefit streams have not been included (e.g. safety, vehicle operating costs, journey time reliability, air quality, noise, greenhouse gases).

A summary of the method used and the underlying assumptions for each stage of the appraisal is shown in Table 1.

Table 1. Summary of Method and Assumptions

Appraisal Element		Method / Assumptions
Input	Traffic Modelling	<p>Vectos provided the following information from the Paramics model:</p> <ul style="list-style-type: none"> • Network wide Car, LGV and HGV vehicle hour changes for the with and without scheme situation. • This was provided for the AM (0700-1000) and PM (1600-1900) peak periods a 2022 and 2031 modelled year. <ul style="list-style-type: none"> • The 2022 modelled year is from the 'Reference Case' model • The 2031 modelled year is from the 'Local Plan' model which includes development associated with the Local Plan (in both the 'with' and 'without' Bermuda model runs.
	Scheme Costs	<ul style="list-style-type: none"> • These were provided by F&G in September 2017.

Technical note

Appraisal Element		Method / Assumptions
		<ul style="list-style-type: none"> WebTAG states that sunk costs should be excluded from the economic appraisal. The following line items were therefore removed from the costs included in the economic appraisal: <ul style="list-style-type: none"> WCC internal charges as notified on 23rd August 2017 Capital costs incurred thus far (up to 16th August 2017). Future design commitments (inc. Atkins, SLC Rail and Business Case Refresh). Future Compensation Claims Assessment Report Updated Scheme Costs (as of 11th October 2016) Japanese Knotweed screening measures (as of 11th October 2016) Note that the contingency figure of £500,000 has been included in the economic appraisal. The spend profile has been assumed to be as follows: <ul style="list-style-type: none"> 2017 – 20% 2018 – 40% 2019 – 40% Optimism bias of 3% has been applied to the scheme costs. This is consistent with WebTAG guidance¹ for a local authority scheme at 'Stage 3 – Full Business Case'
	Maintenance Costs	<ul style="list-style-type: none"> Assumed to be the same as the 2014 economic appraisal (£37,500 per annum over 60 years). Construction inflation has been applied to the maintenance costs over the period 2017 to 2022 using the BCIS (Building Costing Information Service) rates with the GDP Deflator applied for the remainder of the appraisal period.
Process	Opening Year	<ul style="list-style-type: none"> An opening year of 2019 has been assumed.
	Economic Parameters	<ul style="list-style-type: none"> Economic Parameters have been taken from the WebTAG Data Book dated October 2017 Released v1.8.2
	Appraisal Period	<ul style="list-style-type: none"> A 60-year appraisal has been undertaken in line with WebTAG guidance.
Outputs	Presentation of results	<ul style="list-style-type: none"> The results have been presented in 2010 market prices discounted to 2010 (in line with WebTAG guidance).

¹ WebTAG Unit A1.2: Scheme Costs, July 2017.

Technical note

Appraisal Results

The economic appraisal results are detailed in Table 2.

Table 2. Bermuda Economic Appraisal Results

Bermuda Connection Economic Appraisal		2010 market prices discounted to 2010
Present Value of Costs (PVC)	Construction Costs	£6.864m
	Maintenance Costs	£1.320m
	Total PVC	£8,185m
Present Value of Benefits (PVB)	AM Peak Journey Time Benefits	£19,514m
	PM Peak Journey Time Benefits	£12,594m
	Total Journey Time PVB	£32,468m
Net Present Value (NPV)		£24,283m
Benefit to Cost Ratio (BCR)		3.9

The journey time benefits are mainly generated by savings made in the AM peak period. No account was taken of any changes outside of these time periods, but in reality it is likely that there will be additional benefits during these non-peak times of the day.

Based on DfT Value for Money guidance² a BCR of 3.9 represents 'High Value for Money'.

² https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/630704/value-for-money-framework.pdf

1. Assessing Wider Economic Benefits

Getting West Nuneaton Moving: Bermuda Connection

1.1 As part of developing an updated economic case for WCC, Regeneris Consulting have reviewed the role the Bermuda Connection project could play in facilitating the development of sites in the Nuneaton area.

Analysis of Sites

1.2 We have reviewed the development capacity of those current and future employment areas in the immediate vicinity of the scheme and in areas where congestion will be improved by the scheme. These areas include a proposed employment site from the Emerging Borough Plan (EMP1)¹ and a number of existing employment areas with vacant plots. The following table outlines these sites.

Site	Total Plot Size (sqm)
Empty plot in existing North Caldwell employment site	6,300
Site in the north end of the Bermuda Industrial Estate	8,100
Largely empty plot on the East side of Hazell Way industrial site	8,400
Bermuda 208 currently being marketed within Bermuda Park	43,800
Proposed Local Plan site EMP 1 (Faultlands site)	260,000

Source: Regeneris Consulting; Consultations with WCC

1.3 An assumed split of 50% Industrial (B2/B1(c)) and 50% Storage & Distribution (B8) uses has been applied to all sites (with the exception of Bermuda 208 which is assumed to be 75% Storage & Distribution and 25% Office as this is the split that is currently being marketed for the site). The 50/50 split is based on a review of current occupier activity at the Bermuda Industrial Park.²

1.4 To convert plot sizes into the appropriate floorspace measure we have applied the following assumptions:

- a plot ratio of 35% to convert employment sites to gross external area based on Regeneris' s analysis of suitable benchmarks
- a ratio of 95% to convert external areas to internal areas based on the latest HCA Employment Densities Guidance
- a ratio of 85% to convert gross areas to net internal areas based on the latest HCA Employment Densities Guidance.

¹ Planning Application Reference - 034901 (Planning)

² Based on visual observation during a site visit as we do not have definitive data on all occupiers

Gross Potential Impacts

- 1.5 To convert floorspace into Full Time Equivalent (FTE) Jobs we have used average floorspace per employee by use class from the latest HCA Employment Densities Guide (2015). This provides the estimate of gross jobs on site once fully developed.
- 1.6 GVA impact is estimated using estimates of GVA per employee (ie full and part time) from the Coventry and Warwickshire LEP Business Case Guidance. These have then been converted to GVA per FTE using data from the ONS Business Register and Employment Survey (BRES). The GVA per FTE assumed for each use class is as follows³:
 - Industrial - £65,100 (Manufacturing)
 - Storage & Distribution - £42,800 (Distribution, Transport, Accommodation and Food)
- 1.7 Each site is allocated a likely start date and an estimated build out period based on consultations with Warwickshire County Council and other stakeholders (landowners/agents) which allows us to stagger the impacts. The following assumptions have been applied to account for the timing of impacts:
 - a one year delay from development to impacts
 - GVA benefits are discounted at a rate of 3.5% in line with HM Treasury Green Book guidance
 - a persistence of 5 years for the GVA impact associated with jobs, in line with guidance on transport schemes (note: this is a conservative assumption and the actual persistence of benefits could be significantly longer).

Net Impacts

- 1.8 To account for any displacement at the LEP level of other business activity we have applied a rate of displacement based on additionality guidance from the Department of Business Innovation & Skills that was used in the previous work for the C&WLEP in assessing the potential role of transport schemes in supporting the Strategic Economic Plan (in 2014). The displacement factors assumed are as follows:
 - Storage and Distribution - 60%
 - Industrial - 40%
- 1.9 To account for multiplier effects we have assumed a multiplier of 1.25 which is also based on the previous Regeneris work done to support the 2014 C&WLEP SEP.

Net Attributable Impacts

- 1.10 The hardest factor to assess is the contributory role of the proposed transport scheme to the development of additional employment activity around the scheme

³ This is the lowest available breakdown of these industries at LEP level, using SIC07 sector groups C and GHI

(ie the sites in Table 1.1). There are various factors to take into consideration:

- 1) There is evidence of reasonably robust demand for sites in the area, demonstrated by relatively high levels of occupancy.
- 2) Work for WCC in 2015 in reviewing the proposed major site allocations in the emerging Borough Plan identified the need for a package of mitigation measures to ensure unacceptable levels of congestion did not arise in the future. These schemes can be thought of as a necessary package to support the increased population and employment in the Borough⁴.

1.11 The employment and GVA impacts from the development of the identified sites are not directly contingent on the Bermuda Connection scheme, given the overall package of A444 corridor improvements are a key part of the wider plans to support Nuneaton's growth. Warwickshire County Council has modelled the impacts of planned growth on congestion in the Borough.⁵ The assessment makes clear that although all projects within the planned A444 corridor improvements are not specifically necessary for development, some form of improvements will need to come forward to enable the wider plans for growth.

1.12 To allow for the fact that the Bermuda Connection project can only be considered as having a share of the overall transport supporting impact on the identified employment sites, we have taken the updated capital costs of the project as a proportion of the updated total cost of all transport improvements identified in the strategic transport assessment.⁶

1.13 This leads to a suggested attribution factor of around 10%. In other words, the Bermuda Connection scheme is assumed to account for 10% of the overall role that transport improvements in the A444 Corridor make in allowing for the future development of the sites in Table 1.1. This is not a perfect measure of attribution as ideally this would be based on the relative share of contribution to reducing/avoiding congestion. However, in the absence of more detailed information, we consider that cost is a reasonable proxy for the share of this scheme in the overall package.

1.14 This approach also assumes that it is necessary to see transport improvement to allow economic growth to take place. Again, this is not clear cut. It is quite possible that at least some of the development takes place without any highways or other transport improvements. In this case the modelling suggests that there would be an unacceptable increase in congestion in Nuneaton. We do not know for certain but this is likely to have an adverse impact on business performance and location decisions of businesses, offsetting the positive contribution from new site development. However, it is possible that WCC could make completion of the package of improvements a necessary precondition before the approval is

⁴ Vectos, Nuneaton & Bedworth Borough Council Strategic Transport Assessment Modelling Report, 2015

⁵ *ibid*

⁶ The scheme costs identified in the August 2015 Vectos Assessment have been updated by WCC officers.

given for sites that would contribute to congestion in and around the A444 Corridor.

Housing

- 1.15 In addition to the jobs and GVA generated by the project, there is also a housing site, HSG3 (575 dwellings) that has been identified in the emerging local plan process, adjacent to the EMP 1 employment site.⁷ Given the housing site is adjacent to EMP 1, we have used the same method to calculate the impact that is attributable to the project. We estimate that the scheme could enable around 58 housing starts.

Summary of Impacts

- 1.16 Below is a summary of impacts:

Table 1.2 Impact Summary of Potential Impacts from the Bermuda Connection project (Rounded)			
Effect	Jobs	GVA Total Present Value	Housing Starts
Gross development potential	2,440	£510m	575
Net of displacement	1,300	£280m	–
Net attributable to the transport scheme	130	£28m	58
Net attributable - after multiplier effects	160	£35m	–

Source: Regeneris Consulting Calculations

⁷ Planning Application Reference - 035037 (Planning)

Item 8 Appendix G

Table 3: Bermuda Connectivity – Summary of Environmental Effects	
Subject	Summary
Air Quality	<p>An air quality assessment has been undertaken to consider the potential effects resulting from changes to air quality during the construction and operational phases, including considering the impact (of changes in vehicles /numbers) on nitrogen oxide (NO₂) and particulate matter (PM₁₀) levels. A series of sites have been selected as ‘representative’ of the places where human health might be affected, these ‘receptors’ are within 200m of affected roads. They include 20 residential properties, a school and a children’s centre. During construction of the Scheme there is the potential for dust emissions to be caused. These could have a short term adverse impact at nearby receptors if no mitigation is put in place. However, the Scheme will include ‘control measures’ and these will be set out in a ‘Construction Environmental Management Plan’ (CEMP). With these control measures in place the construction works should not have a significant effect on human health.</p> <p>Once the Scheme is constructed and operational, the impact on NO₂ concentrations at the human health receptors is expected to be ‘negligible to slight’. The impact on concentrations (very small particulates) is expected to be ‘negligible’ in all cases. These concentration levels of both NO₂ and PM₁₀ would mean that the local air would continue to satisfy statutory ‘quality’ limits. Therefore, it predicted that the Scheme would not have a significant effect on air quality.</p>
Noise and Vibration	<p>A baseline survey and assessment has established the existing ambient noise levels. The anticipated vehicle movements have been used to model the likely changes in the day time and night time noise levels at a number of noise sensitive receptor locations (homes along and adjacent to the route).</p> <p>The construction phase of the scheme has the potential to generate noise which may have a short term adverse impact at nearby sensitive receptors, particularly if there is no appropriate mitigation. However, the scheme will include mitigation measures to minimise noise and vibration. As a consequence the construction works should not have a significant effect on residents living along the route.</p> <p>Once constructed it is predicted that the reopening of the road and the bridge will result in an increase in the noise experienced in both the properties and gardens of a number of properties. The nature of the impact has been modelled using predicted traffic levels and this indicates those properties which may experience an increase in noise and the level of that increase over a 15 year period following the opening of the scheme. This assessment indicates that 266</p>

	<p>properties may experience increases in noise between 'minor adverse' and 'major adverse' if no mitigation takes place. The assessment indicates that the scale of the increase is likely to be as follows: Minor adverse (3dB-5dB increase) impacts at 126 properties, moderate adverse (5dB-10dB increase) impacts at 51 properties and major adverse (more than 10dB increase) impacts at 79 properties. Without mitigation, noise increases are capable of having impacts on health and quality of life. Whether they do depends on existing levels of environmental noise and whether the increase takes a property above relevant thresholds or affects a property which already experiences environmental noise above a relevant threshold. In the event that no mitigation took place, it is possible that residents of 105 properties could experience 'adverse' impacts and residents at 6 properties could experience 'significant adverse' impacts. Work has, therefore, been commissioned to prepare a mitigation scheme for submission with the planning application which will set out the approach to mitigation, which will be guided by the aims of the DEFRA Noise Policy Statement for England 2010 to avoid significant adverse impacts on health and quality of life and to mitigate and minimise lesser adverse impacts.</p>
Cultural Heritage	<p>A desk based assessment has concluded that given the majority of highway works proposed will take place on land which has previously been developed, disturbed or used (including the area previously used for landfill), it is anticipated that disturbance of any buried remains are likely to have already occurred. Any archaeological remains which might be encountered, are therefore, likely to be incidental and of only local interest. The potential effects of the Scheme on cultural heritage are anticipated to be minimal.</p>
Arboriculture	<p>All trees which have potential to be affected by the Scheme have been surveyed. No protected trees are proposed to be removed as consequence of the Scheme. A small number of trees and scrub are expected to be lost as a consequence of the Scheme, including areas parallel to the railway line. The proposed Scheme includes mitigation planting.</p>
Ecology	<p>An Extended Phase 1 Habitat Survey was undertaken for the Site. This was supplemented with further surveys of specific species, including bats. The surveys have confirmed that no protected species or designated sites will be adversely impacted by the Scheme.</p>
Landscape and Visual Amenity	<p>Desk based studies and site survey work has shown that the visibility of the site is limited in extent due to the very flat topography, built up nature of the industrial areas and intervening mature vegetation. The majority of the locations where views of the site are available are restricted to short range views, thereby limiting the overall number of potential receptors. Medium range views are very limited in number due to the amount of intervening element such as road embankments and vegetation, generally occurring only where the viewpoint is elevated due to the topography and with limited intervening vegetation. Long range views of the site are only available from the higher areas to the</p>

	<p>west of the site.</p> <p>The assessment has concluded that the changes to the landscape will be modest as the road largely already exists. The impact for most residents is negligible but for those closest to the Scheme (e.g. Tenlons Road and The Bridleway) which face onto the road, the impact will be 'minor adverse' when the Scheme is first implemented. However this would be mitigated in part as vegetation becomes established.</p>
Ground Conditions	<p>Site investigations and desk study information has confirmed that some of the land adjacent to the Scheme is former landfill which may contain hazardous materials. The design of the Scheme is such that the impact on this land is minimal and will be required for construction purposes only. It is therefore anticipated that any risks to human health and water resources can be controlled and managed. This will be through the implementation of a CEMP.</p>
Water Environment	<p>The Flood Risk Assessment has concluded that the construction of the Scheme will not increase the risk of flooding to residential or other properties. Small areas of the Scheme are already at risk from certain forms of flooding and so the Scheme has been designed to ensure this risk is not increased. The Hydrological Assessment has concluded that the Scheme can be constructed in ways that will protect and safeguard the underground groundwater resources and functioning of existing surface drainage features (e.g. drains and ponds).</p>
Transport Assessment	<p>The Transport Assessment for the Scheme demonstrates that overall the Scheme results in an improvement to the local network in terms of reducing congestion and journey times. The Transport Assessment for the Scheme also demonstrates that the Scheme provides improvements to sustainable transport infrastructure and enhanced connectivity with public transport. Furthermore, a Road Safety Audit has informed the design of the Scheme and in so doing will ensure that the risk of accidents is minimised.</p>

Capital Infrastructure Fund Panel Evaluation

1. Evaluation by the Panel

- 1.1. The Panel has scored the scheme at 70.3/100 and so are recommending to Corporate Board that they support the allocation of the requested funding. The scores awarded in each section are:
- Alignment with the organisation's strategic objectives (15% weighting): 4/5;
 - Financial viability (30% weighting): 3.5/5;
 - Strategic investment/Economic growth (as a scheme planned to deliver these specific objectives, 45% weighting): 3.3/5; and
 - Political social and environmental impact (10% weighting): 3.8/5.
- 1.2. In reaching its conclusions, the Panel made the following points:
- The bid has been presented, and assessed, as a new scheme in totality so that the benefits from the scheme are those to be gained from the entire capital cost rather than just the additional funding now requested. Costs incurred to date on the scheme are of the order of £1.400million. If the further funding were not now agreed this cost would largely need to revert to revenue budgets. This is however approximately balanced by the ongoing revenue maintenance cost of the completed works if the scheme progresses;
 - The scheme fits well with the Council's economic growth priority and with detailed elements of the Local Transport Plan. As part of the Nuneaton programme of schemes it fits well with the stated priorities of relevant partners such as Nuneaton and Bedworth Borough Council and the Coventry and Warwickshire LEP, and the support of the latter body is reflected in the awarding of CWLEP grant to the scheme. The Panel would have preferred however that the bid included a fuller description of how this scheme fits into the overall programme in Nuneaton to better assess its dependencies and context;
 - Whilst the scheme costs have increased significantly since the allocation of the Growth Fund budget, the figures have been subject to a reasonable degree of scrutiny and rigour. However, the risk of overspend remains and there is only a relatively small general contingency of £0.5million within the total cost estimate;
 - The bid is well supported by external analysis covering the potential outcomes in terms of reduced traffic times and wider economic benefits relating to development of employment areas in the vicinity of the scheme. These indicate significant potential benefit-to-cost ratios (3.9 for travel time; 7.0 with wider economic impacts) though the report does not comment on how actual achievement of these benefits will be measured after the construction scheme completes. There is also no discussion of what steps, if any, the wider Council or its partners will take to support the realisation of these benefits beyond the construction work. A significant portion of the benefits will only be realised if other

parties, including landowners and businesses, engage with the opportunities the scheme will create;

- The Panel had concerns that potential downsides of the project may be underplayed; there is no apparent cost evaluated for the disruption caused by the works, and it was not clear how the findings of the Equality Impact Assessment relating to increased traffic volume, noise and disruption had been considered or represented;
- The Panel felt that the bid's risk identification was reasonably complete but noted that few or no attempts were made to quantify impact or likelihood of those risks materialising. There were also relatively few risk mitigation suggestions made;
- When approved in October 2014, the scheme included a car park for the Bermuda Park rail station and a resulting revenue income of £80,000 p.a. to the Council. However, the scheme's redesign now excludes the car park, with the bid noting that an alternative proposal will be progressed and funded separately. This loss of income figure is (reasonably) not included in the revenue costs of the scheme; and
- The bid makes mention of "strong local opposition". Whilst the scheme has been substantially redesigned it is not clear whether any consultation has been carried out which could inform Members and officers of the likely reaction of the community to the latest plans. Furthermore, no detail is provided of future steps of this nature, which may be considered prudent to mitigate the risk of delays and extra costs caused by possible opposition.

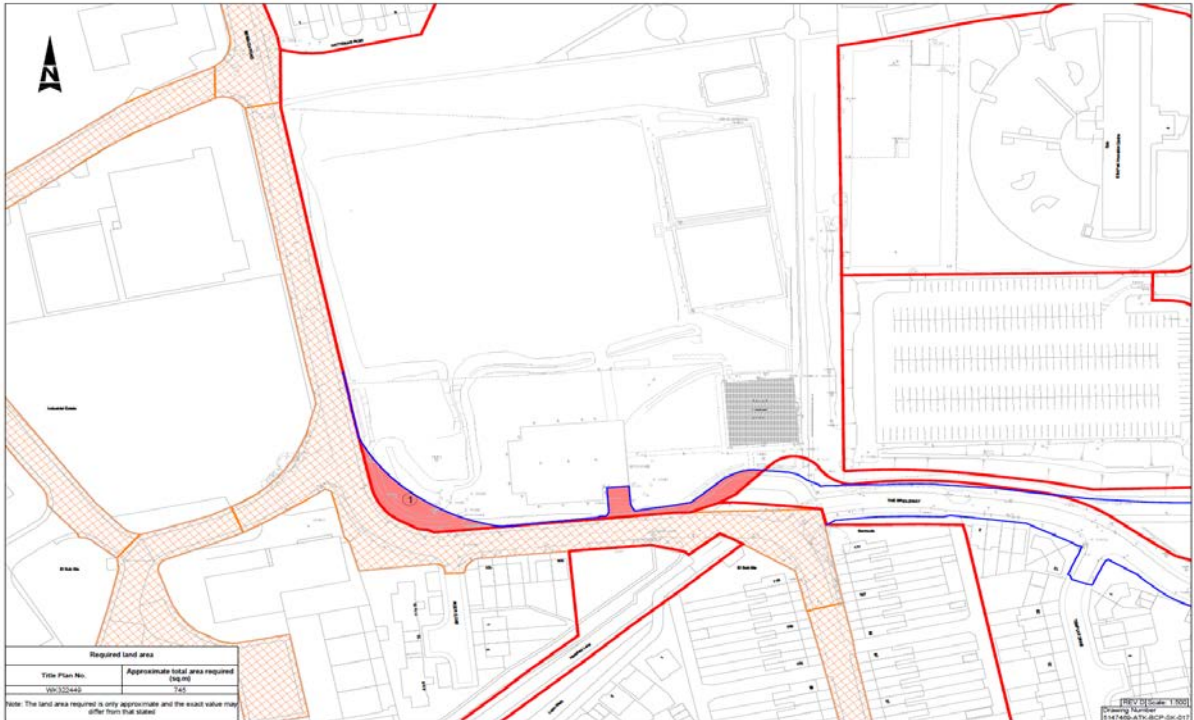
Item 8 Appendix I

Table 4: Getting West Nuneaton Moving: Bermuda Connection Sections of Land Required to Deliver the Scheme		
Plot No.	Section of Land	Land Registry No
1	Land within the site of the Bermuda Phoenix Centre	WK322449
2	Land to the front of the Bermuda Phoenix Centre	Unregistered Land 1
3	Land forming part of The Bridleway and Templar Drive	WK322449
4	Land between Knights Road and Bermuda Bridge Embankment, Part of Elliot Park	WK465081
5	Land to the front of Samuel Ryder House	WK483538
6	Embankment Land on Western Side of Bermuda Bridge	WK322449
7	Land adjoining St Georges Way and A444, Nuneaton (Embankment Land on Eastern Side of Bermuda Bridge)	
8	Land on St Georges Way (Adjacent to Embankment on Eastern Side of Bermuda Bridge)	WK258979
9	Land to the North of the Embankment Land on the Eastern Side of Bermuda Bridge	
10	Land to the South of the Embankment Land on the Eastern Side of Bermuda Bridge	
11	Land to the South of the Embankment Land on the Eastern Side of Bermuda Bridge	
12	Land on St Georges Way to the East of Bermuda Bridge, adjacent to Univar	

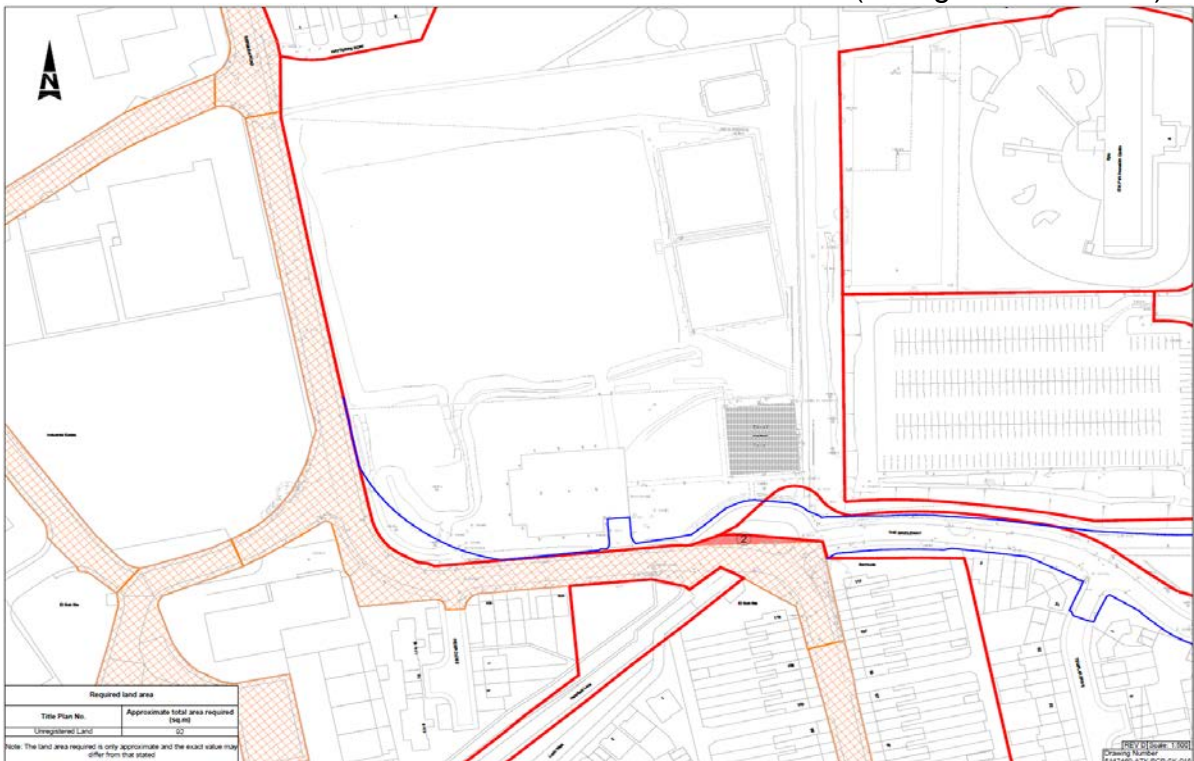
Item 8 Appendix J

Bermuda Connectivity Plans - Sections of Land Required to Deliver Scheme

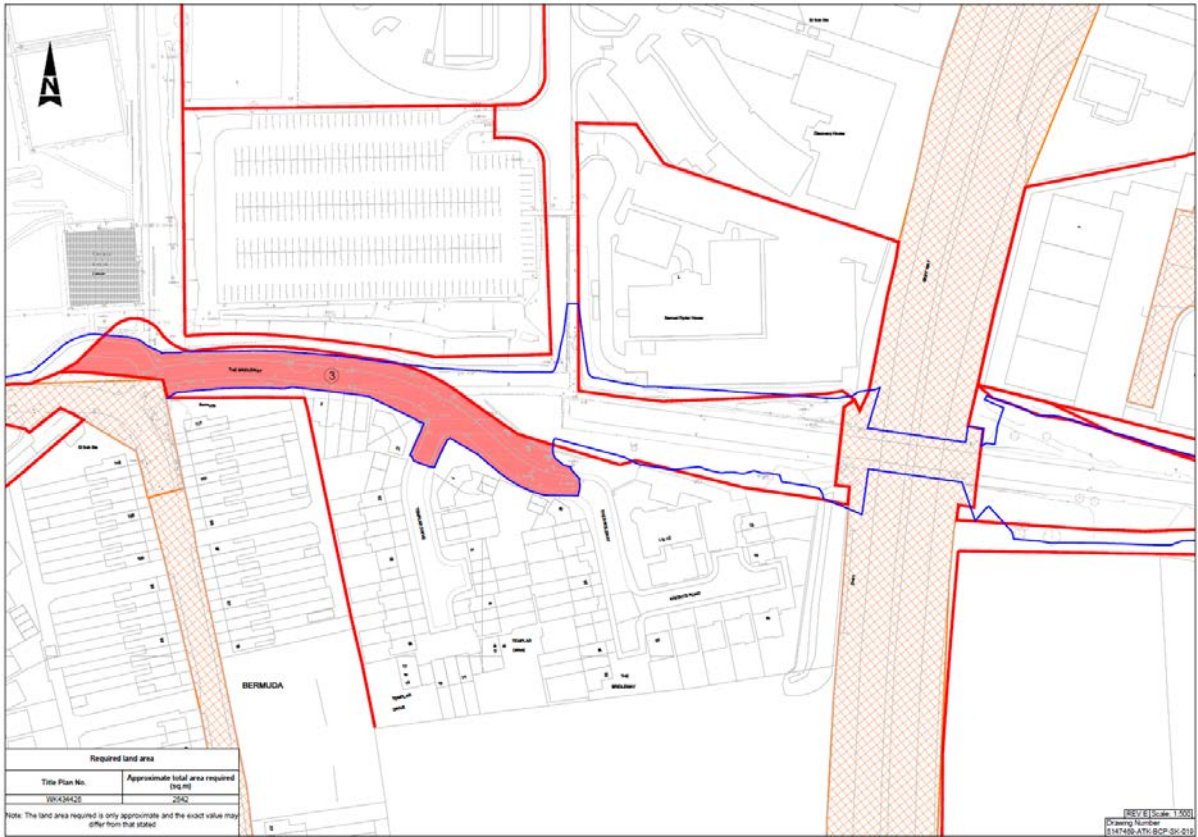
Plot 1 - Land within the site of the Bermuda Phoenix Centre (WK322449)



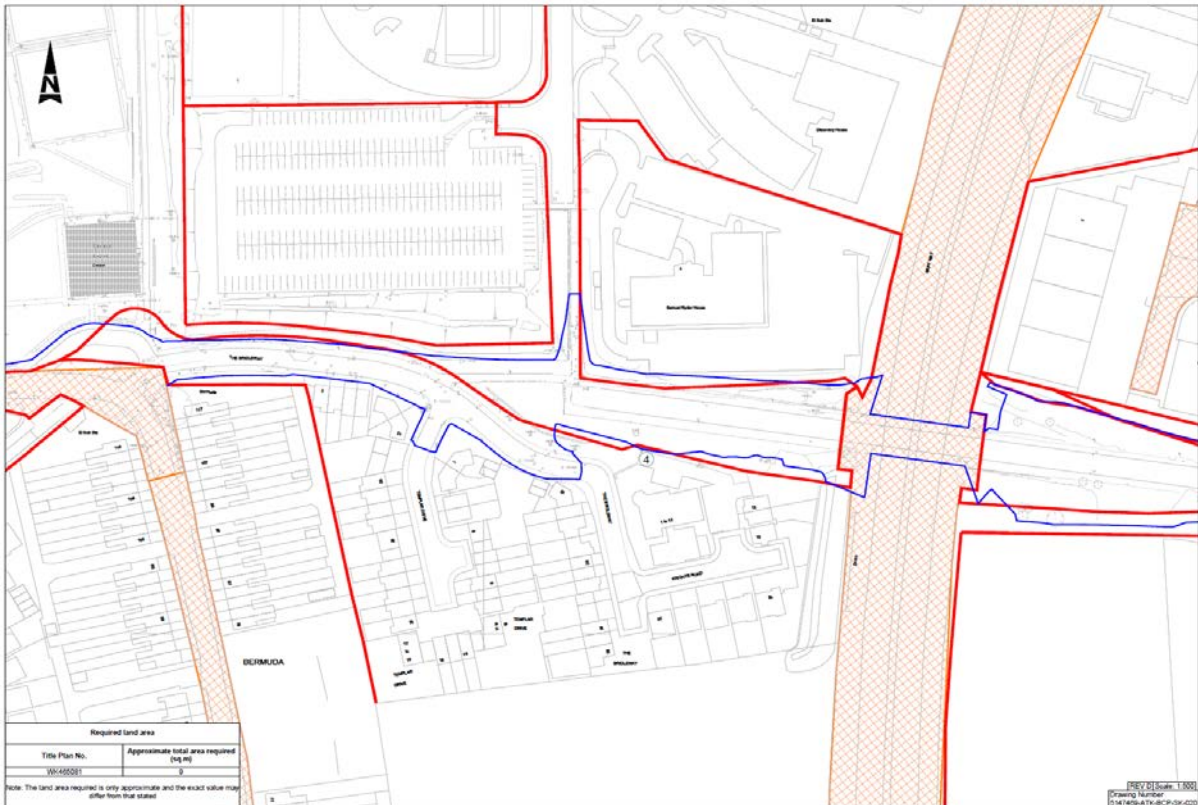
Plot 2 - Land to the front of the Bermuda Phoenix Centre (Unregistered Land 1)



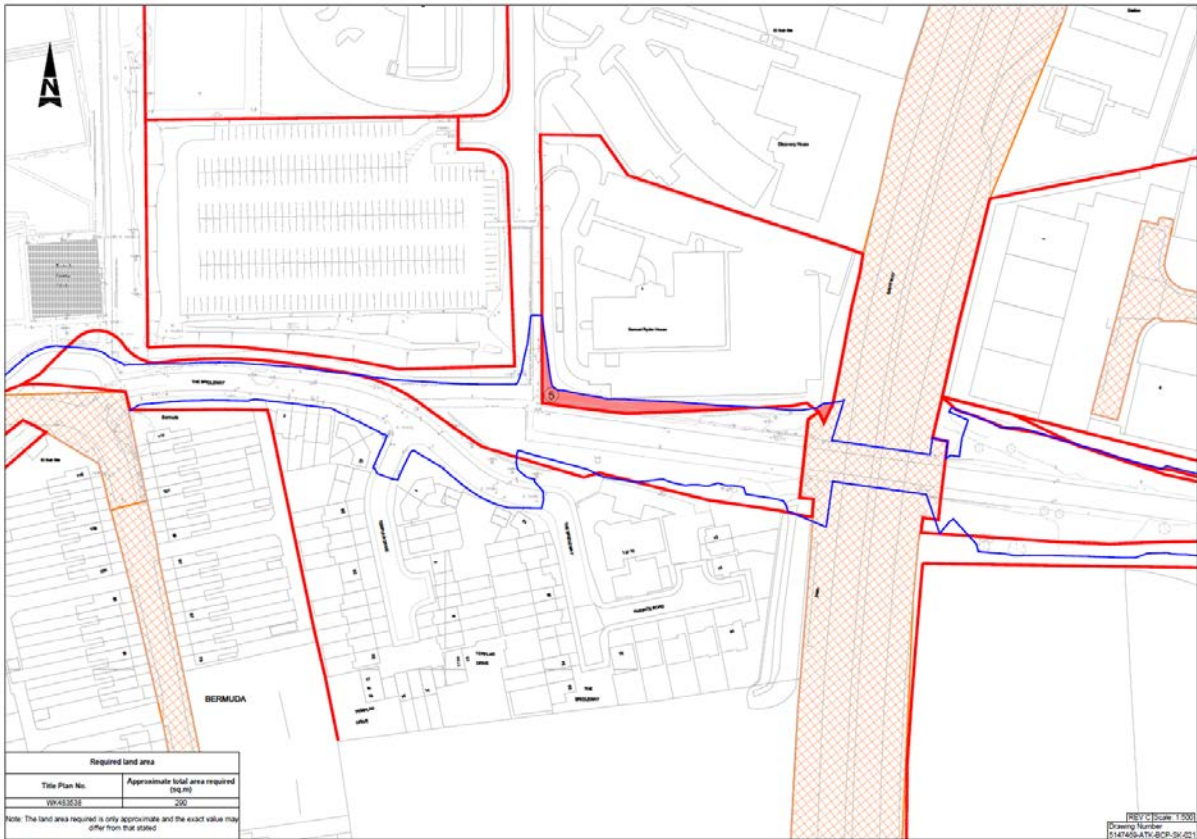
Plot 3 - Land forming part of The Bridleway and Templar Drive (WK322449)



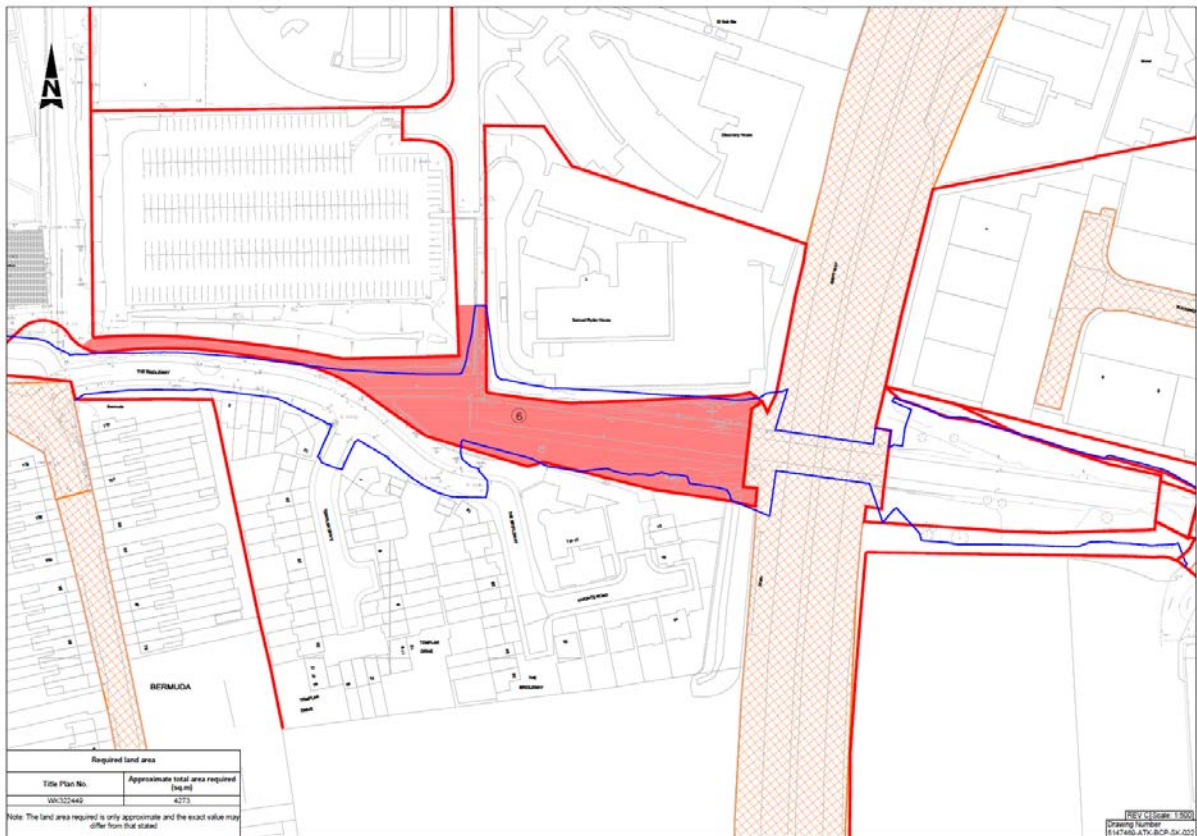
Plot 4 - Land between Knights Road and Bermuda Bridge Embankment, Part of Elliot Park (WK465081)



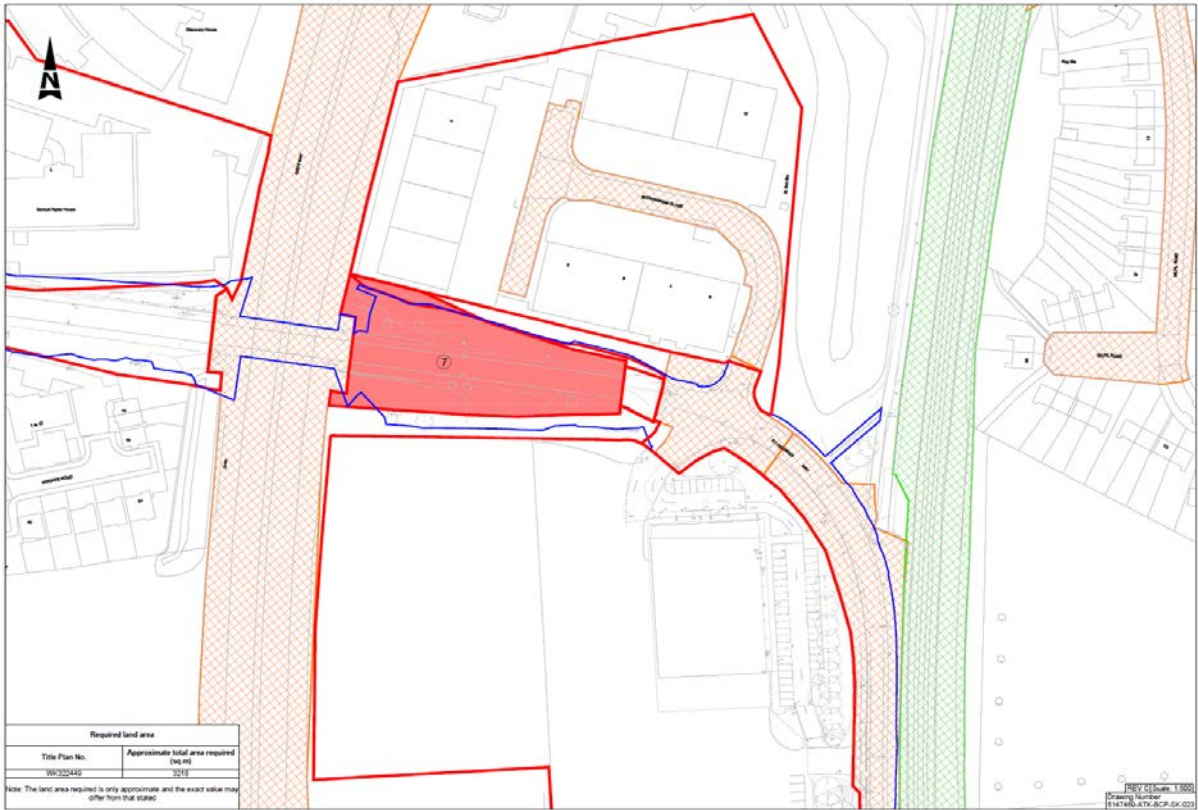
Plot 5 - Land to the front of Samuel Ryder House (WK483538)



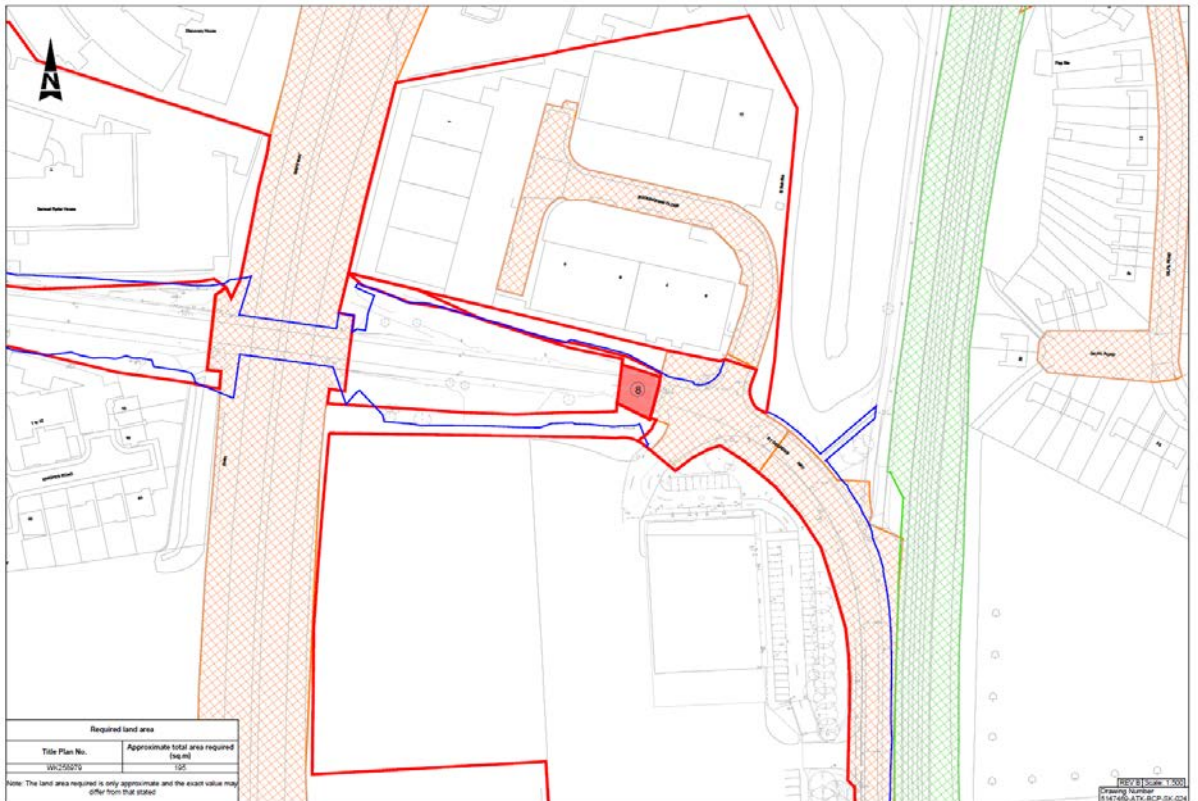
Plot 6 - Embankment Land on Western Side of Bermuda Bridge (WK322449)



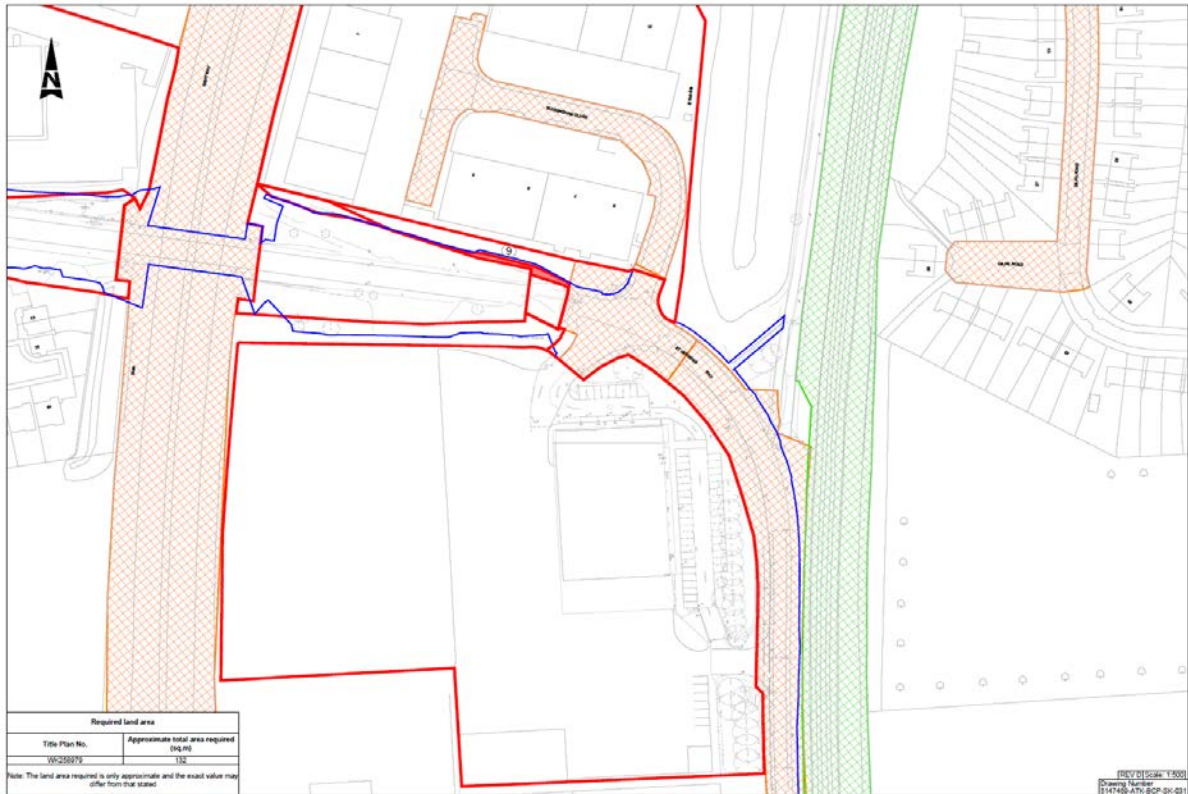
Plot 7 - Land adjoining St Georges Way and A444, Nuneaton (Embankment Land on Eastern Side of Bermuda Bridge) (WK322449)



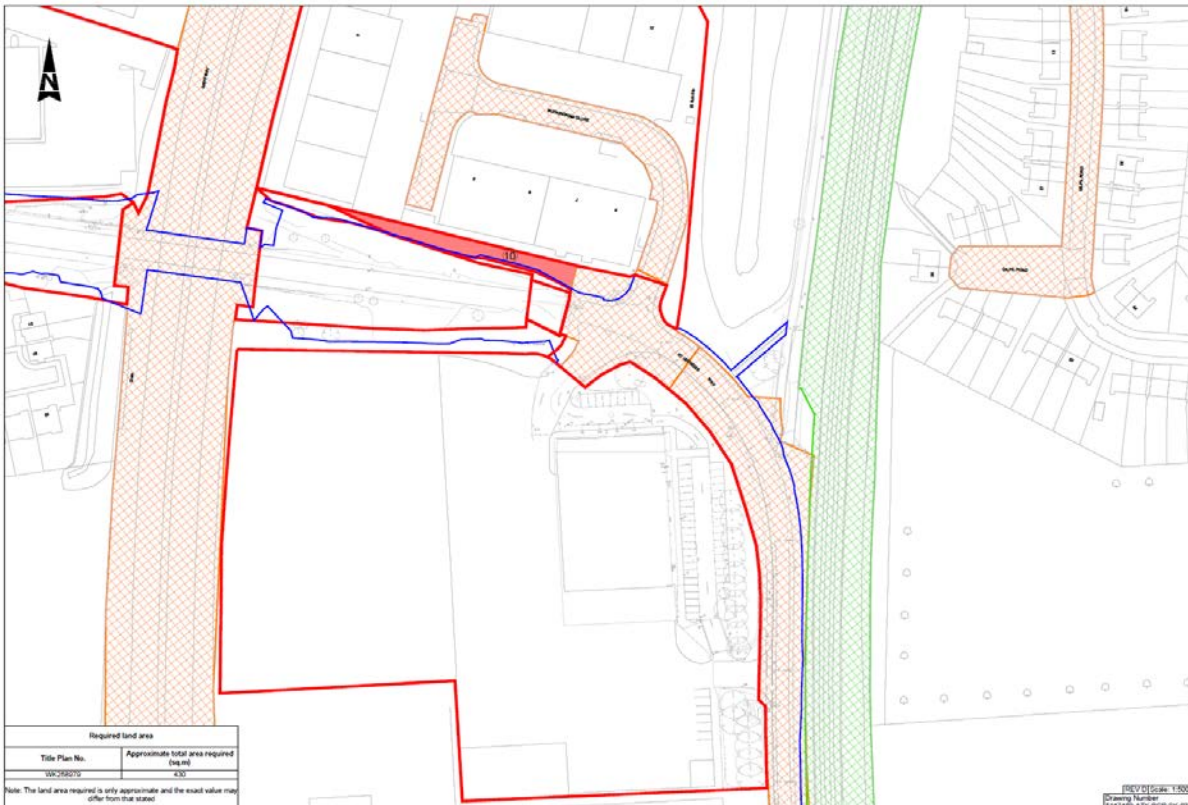
Plot 8 - Land on St Georges Way (Adjacent to Embankment on Eastern Side of Bermuda Bridge) (WK258979)



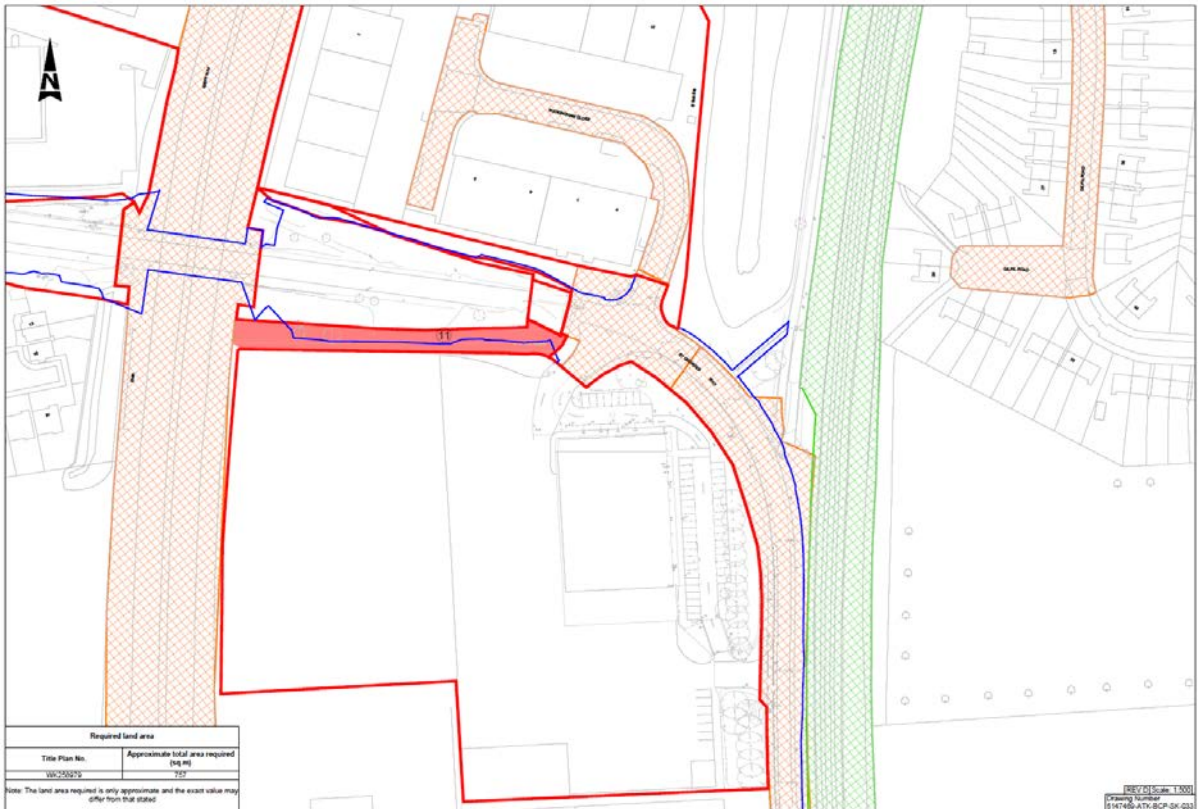
Plot 9 - Land to the North of the Embankment Land on the Eastern Side of Bermuda Bridge (WK258979)



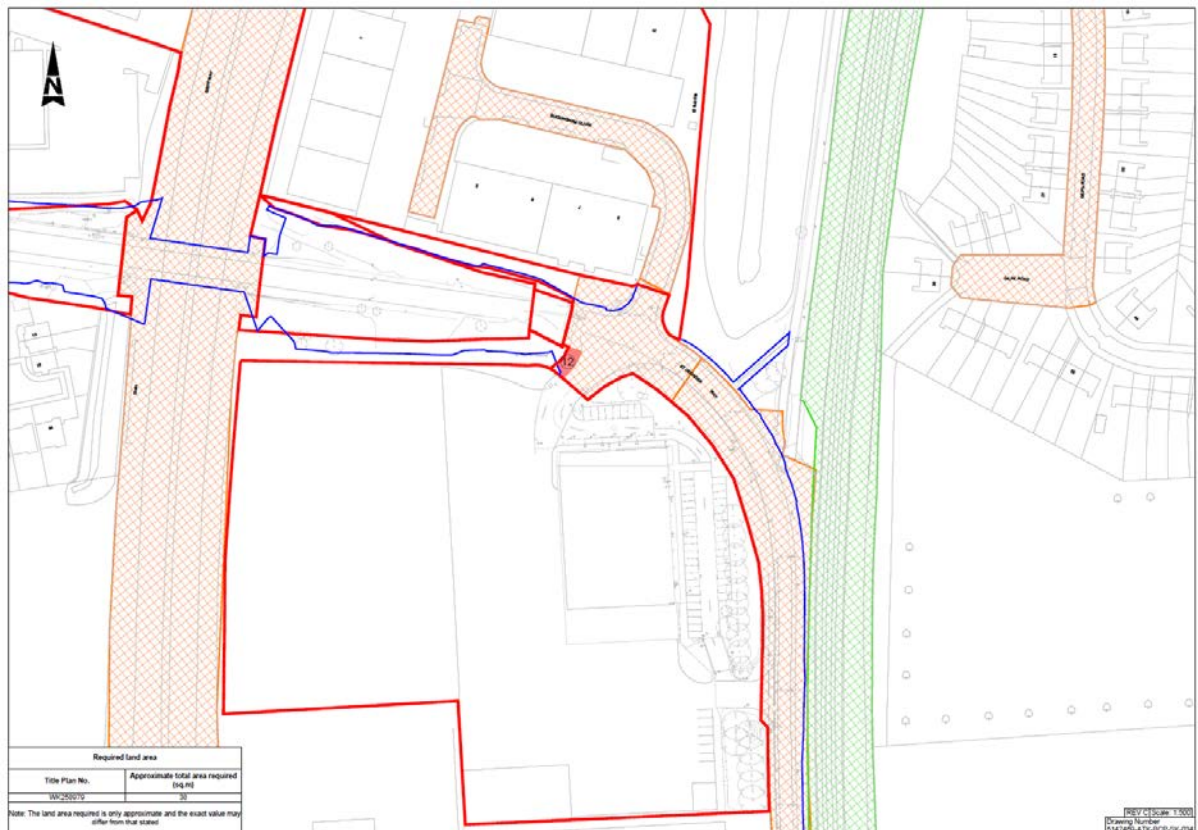
Plot 10 - Land to the North of the Embankment Land on the Eastern Side of Bermuda Bridge (WK258979)



Plot 11 - Land to the South of the Embankment Land on the Eastern Side of Bermuda Bridge (WK258979)



Plot 12 - Land on St Georges Way to the East of Bermuda Bridge, adjacent to Univar (WK258979)



Item 8 Appendix K

Table 1: Bermuda Connectivity – Summary of Revisions to the Scheme	
Preliminary Design and Consultation Scheme (2015)	Revised Scheme 2018 (post Detailed Design)
Improvement of the existing Bermuda Bridge, connection to the local highway network and opening to all traffic and road users	No change
Enhancements to the Heath End Road / Bermuda Road / Hare and Hounds Lane Junction Improvements (signalisation)	These enhancements have been removed from Scheme
Provision of a Shared Use Pedestrian / Cycleway off St Georges Way running along Bermuda Bridge – The Bridleway – Bermuda Road ending at the Junction with Sargasso Lane	Provision of an Shortened Shared Pedestrian / Cycle off St Georges Way running between St George’s Way – Bermuda Bridge – The Bridleway only
Enhancements to the Shared Use Cycle / Pedestrian Link between Bermuda Bridge / The Bridleway to Barling Way for access to George Eliot Hospital	This component has received Section 106 developer contribution funding and will be delivered separately
Provision of a Car Parking for Bermuda Park Rail Station	This component has received Section 106 developer contribution funding and will be delivered separately
Enhancement of the signalised Heath End Road / Tenlons Road Junction	No change
<p>Realigning Sections of Bermuda Road and The Bridleway:</p> <ul style="list-style-type: none"> • Realigning a large section of the southern part of the highway on Bermuda Road further away from residential properties in order to reduce the impact of the scheme; • Extent of new highway has increased from approximately 30m to 250m; and • An existing attenuation pond off Bermuda Road to be relocated. 	Minor improvements to the bend on the southern section of Bermuda Road
Reconfiguration of the existing bus turning area on The Bridleway	Removal of the bus turning area on The Bridleway
Enhancements to the Heath End Road / The Raywoods Junction (signalisation)	This enhancement has been removed from the Scheme
<p>St Georges Way:</p> <p>Provision of a new Toucan crossing on St Georges Way to enhance pedestrian connectivity between the proposed off-</p>	This enhancement has been removed from the Scheme

street car park and Bermuda Park Rail Station	
Shared Pedestrian and Cycle Crossings: Additional uncontrolled crossings provided on Bermuda Road, The Bridleway and St Georges Way	Series of traffic calming islands located at southern end of Bermuda Road, The Bridleway and St Georges Way on approach to Bermuda Bridge
Bermuda Road Improvements: <ul style="list-style-type: none"> • Provision of a mini-roundabout at the junction with Tenlons Road; and • Provision of a series of off-road parking bays and a single elongated off-road parking bay for local residents / visitors. 	Bermuda Road Improvements: <ul style="list-style-type: none"> • Provision of a speed hump (traffic calming) on the approach to the bend on the southern section Bermuda Road; and • Provision of a raised table / uncontrolled crossing on Bermuda Road.
Tenlons Road Improvements: Provision of 5 car parking bays for commercial properties	This enhancement has been removed from the Scheme
Double Yellow Line Parking Restrictions along entire route	No change
Street Lighting Improvements: Complete renewal of street lighting across the site including Bermuda Bridge (82 no. lighting columns in total)	Street Lighting Improvements: <ul style="list-style-type: none"> • Complete renewal of street lighting on Bermuda Bridge only; and • New street lighting on Bermuda Road adjacent to the raised table / uncontrolled crossing only.

Council

26 July 2018

Audit & Standards Committee Annual Report 2017/18

Recommendation

That Council approves the Audit and Standards Annual Report 2017/18.

1.0 Background

- 1.1 The Audit and Standards Committee has agreed that at the end of each municipal year an annual report is to be produced to highlight the activity undertaken by the Committee during the course of the year.
- 1.2 The Annual Report 2017/18 (Appendix) includes the details of the work undertaken by the Committee during 2017/18 in order to provide assurance that the Council has in place robust systems of internal control and to ensure that high standards of conduct are promoted in the way that the business of the Council is conducted.
- 1.3 Following the County Council elections that took place in May 2017, the Audit and Standards Committee membership during 2017/18 is as follows:
 - John Bridgeman CBE (Independent member and Chair)
 - Bob Meacham OBE (Independent member and Vice-Chair)
 - Councillor Parminder Singh Birdi (Conservative)
 - Councillor Mark Cargill (Conservative)
 - Councillor Andy Crump (Conservative)
 - Councillor Bill Gifford (Liberal Democrat)
 - Councillor John Holland (Labour)
 - Councillor Jill Simpson-Vince (Conservative)

2.0 Timescales associated with the decision and next steps

Cabinet will be considering this report on 24 July and the Audit and Standards Committee will be considering it on 25 July. Any proposed amendments will be reported to Council..

Background papers

None

	Name	Contact Information
Report Author	Ben Patel-Sadler	benpatelsadler@warwickshire.gov.uk Tel: 01926 736 118
Head of Service	Sarah Duxbury	sarahduxbury@warwickshire.gov.uk
Strategic Director	David Carter	davidcarter@warwickshire.gov.uk
Portfolio Holder	Cllr Kam Kaur	cllrkaur@warwickshire.gov.uk

Warwickshire County Council Audit & Standards Committee Annual Report 2017-18



This annual report summarises the work undertaken by the Audit and Standards Committee during the financial year 2017/18. It is intended to highlight the role that the Committee plays in promoting good governance across the organisation and to provide assurance that there is a mechanism in place to review the Council's internal controls and systems on an ongoing basis.

Contents

Audit & Standards Committee Background - Page 1

Audit & Standards Committee Activity 2017/18 - Page 2

Looking Forward - Page 5

What does the Committee do?

The Committee plays a vital role overseeing the Council's governance framework to ensure residents are getting good quality services and value for money. It provides independent assurance on the adequacy of the risk management framework, the internal control environment and the integrity of the Council's financial reporting and governance processes.

Meetings of the Committee are open to the public. Details of future meetings can be found on the Council's website.

Who is on the Committee?

The membership during the municipal year 2017/18 was:

John Bridgeman CBE - (Independent member and Chair)

Bob Meacham OBE - (Independent member and Vice-Chair)

Councillor Parminder Singh Birdi - (Conservative)

Councillor Mark Cargill - (Conservative)

Councillor Andy Crump - (Conservative)

Councillor Bill Gifford - (Liberal Democrat)

Councillor John Holland - (Labour)

Councillor Jill Simpson-Vince - (Conservative)

The Chair of the Committee would wish to place on record his thanks to all the members, past and present, who have served on the Committee and have contributed to the important work undertaken by the Committee.

The Internal Audit and Insurance Manager, Chief Finance Officer and the Monitoring Officer attend Committee meetings to provide information and ongoing assurance in relation to the Council's internal controls and systems. Representatives from Grant Thornton, the Council's external auditors also attend meetings to report on the Council's financial statements and value for money arrangements.

What did the Committee do during 2017/18?

The Committee met four times during 2017/18 to consider a wide variety of reports about different aspects of the Council's governance framework. Overall the Committee has been successful in:

- Maintaining a comprehensive overview of internal control and governance
- Focusing attention on services or areas where there are internal control or performance issues
- Maintaining an overview of the Council's anti-fraud arrangements
- Updating and simplifying the Council's policies on Whistleblowing and Anti-Fraud

The highlights from the various areas of activity over the year are described in the following paragraphs.

Good Governance

This annual report summarises the work undertaken by the Audit and Standards Committee during the financial year 2017/18. It is intended to highlight the role that the Committee plays in promoting good governance across the organisation and to provide assurance that there is a mechanism in place to review the Council's internal controls and systems on an ongoing basis.

- ➔ The Internal Audit and Insurance Manager gave his opinion for 2017/18 that the Council's control environment provides substantial assurance and that the significant risks facing the Authority are addressed. This means that overall the Council has robust systems of control and is managing risks effectively.
- ➔ External Auditors gave an unqualified opinion in relation to the Council's accounts and those of the Pension Fund
- ➔ The Committee members were able to draw on their knowledge of how the assurance systems had operated in practice during the course of the year in order to contribute to the 2016/17 Annual Governance Statement, which was subsequently approved by full Council.

➡ The External Auditors confirmed that "the Council has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources". The overall criterion applied is that; "in all significant respects, the audited body had proper arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people". The three sub criteria for assessment to be able to give a conclusion overall are:

- Informed decision making
- Sustainable resource deployment
- Working with partners and other third parties

➡ An independent external quality assessment of the Internal Audit Service was undertaken during the year. The Committee was pleased to be advised that the external assessor considered that the internal service complies with the expectations of the Public Sector Internal Audit Standards and out performs other audit services in local government.

Embedding Ethical Standards

In November 2017 a 'Do the Right Thing' week hosted on the Council's intranet showed that 93% of respondents felt that the Council encourages high standards of conduct. The Committee plays an active and ongoing role in considering a number of probity and standards related policy developments within the Council.

In March 2018, the Committee was asked to consider the consultation on the review of local government ethical standards being undertaken by the Committee of Standards in Public Life. Throughout the ensuing discussions, the Committee highlighted the importance of transparency and upholding the laws of natural justice in order that fair process and protection is available to all parties.

Whistleblowing

The Committee considered an updated Whistleblowing Policy following the introduction of the statutory Duty of Candour which applies to the County Council (as a provider of care services). The revised policy was adopted in June 2017.

Countering Fraud and Corruption

At its September 2017 meeting the Committee commented on an updated Counter Fraud, Bribery and Corruption framework for the Council. The updated policy was approved by Cabinet later in September 2017.

In considering the internal audit progress reports over the course of the year, the Committee confirmed its support for the Council's approach of zero tolerance to fraud.

Internal Audit

Internal audit carries out reviews throughout the year on the effectiveness of the Council's governance and internal control arrangements, including risk management and anti-fraud arrangements. During the year the Committee;

- ➡ approved the Audit Strategy which identified topics to be audited during the year, taking into account the strategic risks facing the Council;
- ➡ received regular Internal Audit Progress reports which enabled the Committee members to have an in depth understanding of the outcomes of the audit work carried out and seek assurance as to the effectiveness of the internal control arrangements. In particular the Committee was able to probe in detail those audits which had resulted in a 'limited' audit opinion;
- ➡ received twice during the year a report summarising the progress being made by the Council on implementing internal audit recommendations. The Committee expressed a particular interest in this area and was pleased to be advised that by the latter part of the year, there had been a significant improvement in the implementation of audit recommendations;
- ➡ approved an updated Audit Charter which sets out the role and responsibilities of internal audit and had been updated to reflect changes in professional standards

External Audit

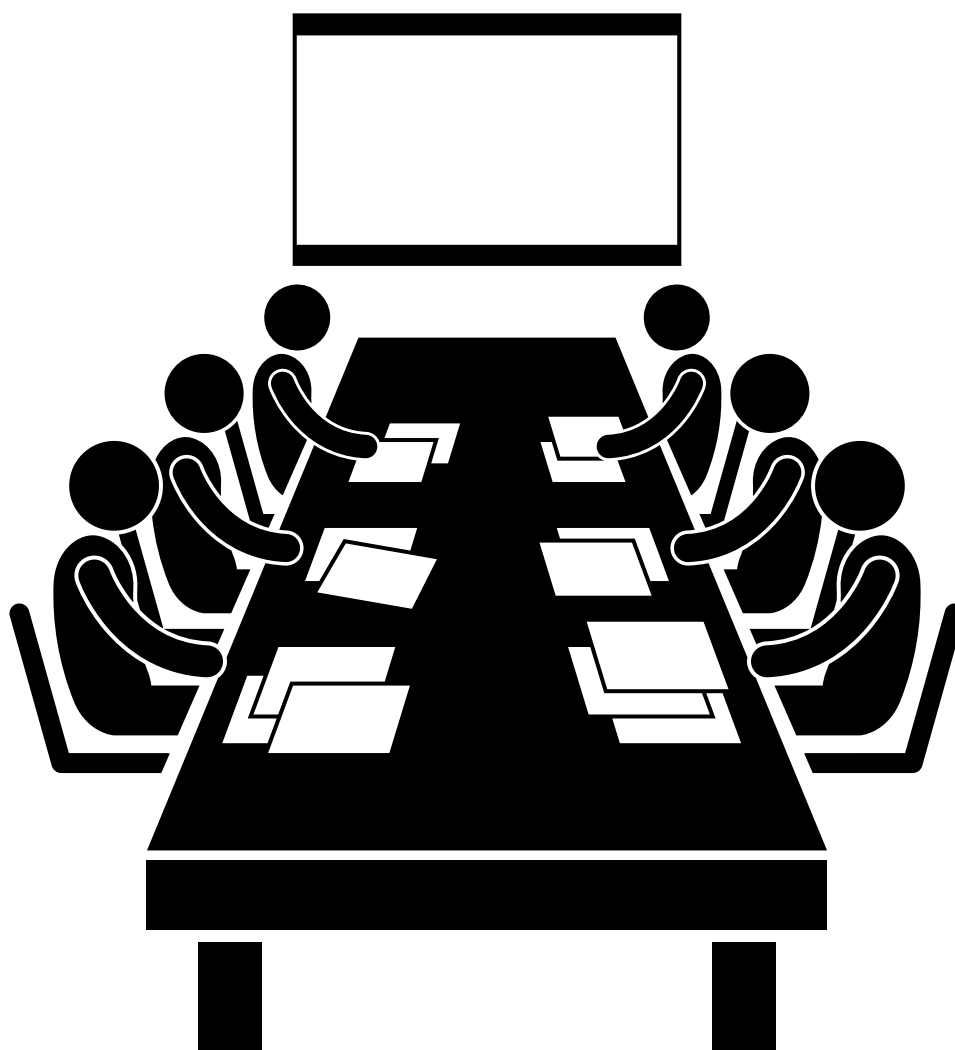
The Committee considers reports on the work of the external auditors on a regular basis, including their proposed Audit Plan. The Committee also receives the External Auditor's independent audit findings for the year. The external auditors attend all Audit and Standards Committee meetings.

Members also regularly consider emerging national issues and developments which are brought to their attention by the external auditors. This is undertaken primarily to seek assurance that the authority is aware of and considering these issues. Issues brought to the attention of members during 2017/18 included business rate retention and health and social care integration.

Looking Forward

The Committee's work programme over the coming year will continue to focus on supporting good governance and strong financial management. The Committee is committed to taking a proactive role in assessing the adequacy of the risk management framework, the internal control environment and the integrity of the Council's systems and processes.

It is hoped that this Annual Report helps to demonstrate to Warwickshire residents and stakeholders the contribution that the Committee makes to the Council's overall governance and provides assurance in relation to the Council's systems of control.



Council

26 July 2018

Annual Governance Statement 2017/2018

Recommendation

That Council approve the Annual Governance Statement for 2017/18.

1.0 Key Issues

- 1.1 This report presents the Annual Governance Statement for 2017/18 for approval.
- 1.2 The Accounts and Audit Regulations 2015 require the Authority to conduct a review, at least once a year, of the effectiveness of internal control and publish the findings, in the form of an Annual Governance Statement (AGS), alongside the authority's financial statements. The Statement covers the key controls in operation in the authority to ensure that the Council's objectives and main statutory obligations are met.
- 1.3 A review has been carried out in accordance with this requirement. A draft AGS has been considered by the Audit and Standards Committee (24 May June and 25 July) and Cabinet (24 July). Any changes suggested at the July meetings will be reported verbally to Council. A copy of the proposed AGS is attached (**Appendix 1**).

Background papers

None

	Name	Contact Information
Report Author	Garry Rollason Internal Audit and Insurance Manager	garryrollason@warwickshire.gov.uk Tel: 01926 412679
Head of Service	Sarah Duxbury	01926 412090
Strategic Director	David Carter	01926 412564
Portfolio Holder	Cllr Kam Kaur	01926 632679

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

Local Member(s): Not applicable

Other members: None

Annual Governance Statement

Year ended 31 March 2018

DRAFT



*Working for
Warwickshire*

Annual Governance Statement 2017/18

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1. What are we responsible for?

We are responsible for carrying out our business in line with the law and proper accounting standards, and for using public money economically, efficiently and effectively, and accounting for it properly. We also have a duty under the Local Government Act 1999 to continually review and improve the way we work, while at the same time offering value for money and an efficient and effective service.

To meet our responsibility, we have put in place proper governance arrangements for overseeing what we do. These arrangements are intended to make sure that we do the right things, in the right way, for the right people, in a timely, open and accountable manner. These arrangements consist of all the systems, processes, culture and values which direct and control the way in which we work and through which we account to, engage with and lead our communities.

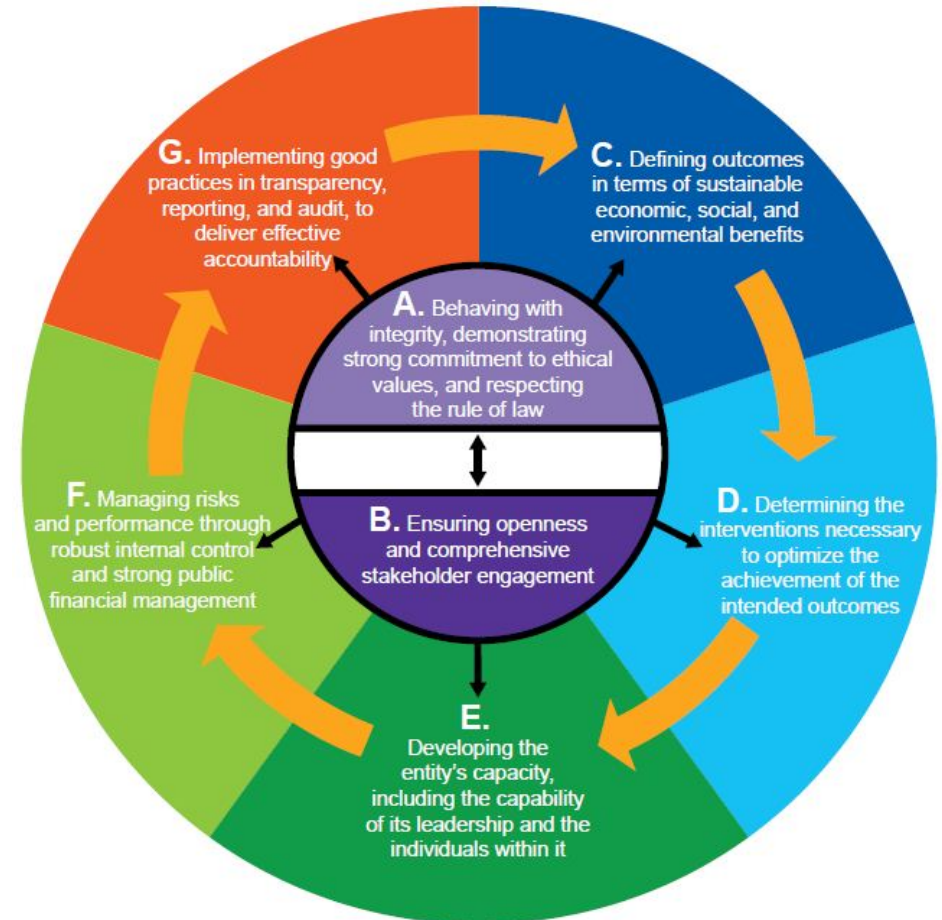
We have approved and adopted a Code of Corporate Governance, which is consistent with the principles of the CIPFA/SOLACE Framework *Delivering Good Governance in Local Government (2016)*. Further information is on our website:
<http://www.warwickshire.gov.uk/corporategovernance>

This statement explains how the Council has complied with its Code of Corporate Governance and also meets the requirements of the Accounts and Audit Regulations 2015. It also covers the governance control and risk management arrangements of the Warwickshire Local Government Pension Scheme and Firefighters' Pension Scheme.

2. The aim of the governance framework

The framework allows us to monitor how we are achieving our strategic aims and ambitions, and to consider whether they have helped us deliver appropriate services that demonstrate value for money.

The system of internal control is an important part of the framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failing to achieve our policies, aims and objectives, so it can only



offer reasonable assurance and not absolute assurance of effectiveness.

Figure 1 CIPFA's Principles of Good Governance

The system of internal control is based on continuing processes designed to:

- identify and prioritise the risks that could prevent us from achieving our policies, aims and objectives;
- assess how likely it is that the identified risks will happen, and what will be the result if they did; and
- manage the risks efficiently, effectively and economically.

The governance framework has been in place at the Council for the year ended 31 March 2018 and up to the date of approval of the Annual Governance Statement and Statement of Accounts.

3 The Governance framework

Our code is aligned to the CIPFA/SOLACE Framework Delivering Good Governance in Local Government (2016). A description of the arrangements which we have put in place to secure robust corporate governance are summarised below. The full detail of these arrangements can be found in the Code of Corporate Governance.

Core Principle A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

As part of our governance framework we apply six key behaviours which provide a clear framework on the behaviours we should be demonstrating on a day to day basis to support the cultural change and transformation of the organisation. The behaviours are integral to 1:1s and appraisal conversations as well as key to the way we recruit and develop our colleagues. <http://www.warwickshire.gov.uk/ourbehaviours>

We have arrangements in place to provide assurance that our behaviours are being upheld and that members and officers demonstrate high standards of conduct. These include:

- codes of conduct for officers and members (including gifts and hospitality, registering interests, anti-fraud and whistleblowing); and

Our Behaviours



Figure 2 Warwickshire's Six Key Behaviours

- inclusion of ethical values in policies and procedures for all areas including procurement and partnership working.

<http://www.warwickshire.gov.uk/conduct>

Complaints and compliments help us improve the services we provide to all customers. We have a corporate complaints and feedback procedure to ensure that all complaints are investigated properly and are responded to as quickly as possible.

<http://www.warwickshire.gov.uk/complaints>

We appreciate the diversity of our customers, workforce and the wider Warwickshire community and are committed to Equality and Diversity. This is integral to everything we do including policy development, service delivery and partnership working to ensure we meet the Public Sector Duty as set out in the Equality Act 2010 and that we do not unlawfully discriminate with services we deliver or

commission <http://www.warwickshire.gov.uk/equality>

Our Constitution sets out the conditions to ensure that all officers, key post holders and Members are able to fulfil their responsibilities in accordance with legislative requirements so that we are efficient, transparent, accountable to our citizens and compliant with the law. Roles and responsibilities for individual Members, the Council, Cabinet and senior officers, along with the delegation of statutory powers and executive functions, and protocols on member / officer relations are documented. <http://www.warwickshire.gov.uk/constitution>

Core Principle B. Ensuring openness and comprehensive stakeholder engagement

We have a Consultation and Engagement Framework in place, owned by a lead officer, which provides staff with up to date guidance and tools for planning and conducting consultation activities.

As part of our approach to consultation the Ask Warwickshire website is a portal for consultation exercises taking place within Warwickshire. We use a variety of methods to undertake consultation.

www.warwickshire.gov.uk/ask

We value the contribution from our employees and have an Employee Engagement Strategy in place which sets out how we ensure employees have a voice, managers and leaders are focusing, coaching and developing their people and there is clear communication about where our authority is going. This is supported by bi-annual staff surveys and pulse surveys which measure employee engagement and our direction of travel against a number of staff related measures.

<https://www.warwickshire.gov.uk/employeeengagement>

We actively contribute to and collaborate with partners to promote good governance and achieve the delivery of outcomes through increased joint working and economies of scale. We are members of a number of sub-regional partnerships and groups which have member and / or officer representation. Each partnership has its own governance arrangements in place. <http://www.warwickshire.gov.uk/partnerships>

We are registered as a data controller under the Data Protection Act as we collect and process personal information. We have a named Data Protection officer and have procedures in place that explain how we use and share information and arrangements for members of the public to access information. We have also adopted the model publication scheme produced by the Information Commissioner's Office (ICO), in accordance with the Freedom of Information Act 2000.

<http://www.warwickshire.gov.uk/lists-data-and-information>

Core Principle C. Defining outcomes in terms of sustainable economic, social, and environmental benefits

A Corporate Plan and Medium Term Financial Plan covering the period 2017 – 2020 has been approved in response to the Local Government Finance Settlement and the longer term implications for the authority.

The One Organisational Plan (OOP 2020), approved at Full Council on 2nd February 2017, focuses on the redesign of the organisation and the role of local government and public services going forward. It sets out our vision for Warwickshire and the journey the authority will take to deliver this vision and outcomes over the life of the plan.

<http://oop.warwickshire.gov.uk/>

Our core purpose: **'We want to make Warwickshire the best it can be'**

This is supported by two outcomes which will form the focus of our work moving forward:



Warwickshire's Communities and Individuals are supported to be safe, healthy and independent



Warwickshire's economy is vibrant and supported by the right jobs, training, skills and infrastructure

Figure 3 WCC's Core Purpose and Key Outcomes (OOP-2020)

The development of OOP-2020 was informed by an extensive programme of public consultation which included press, radio and online advertising to increase public awareness and engagement. Let's Talk Roadshows at venues across the county and a web based budget simulator were used to engage with citizens and seek views on what service priorities are. <http://warwickshire.gov.uk/letstalk>

Our business planning is supported by the Insight Service which provides a comprehensive assessment of a range of indicators and trends in local conditions experienced by the residents and communities of Warwickshire. The results of analysis undertaken by the Insight Service and key messages identified contribute to the evidence base supporting our decision making, policy development, creation of OOP-2020, medium term financial plan and detailed business plans. <http://www.warwickshireobservatory.org>

All Business Units have plans in place which correlate with the budget approved by the Council and the key outcomes contained in the One Organisational Plan. Each service plan has Key Performance Indicators which are monitored and included in quarterly performance reports to

Service Management Teams, Overview and Scrutiny committees and Cabinet.

Core Principle D. Determining the interventions necessary to optimise the achievement of the intended outcomes

The One Organisational Plan and the Council's Medium Term Financial Plan are aligned to ensure a joined up approach to delivering the organisational plan outcomes and agreed savings plans. This provides the necessary framework to deliver change management and transformation and to ensure clear line of sight in the delivery of WCC's Core Purpose and Outcomes at strategic, group and business unit levels so that Members and Officers have a clear picture of how well the Organisation is progressing against the delivery of the outcomes set out in the One Organisational Plan. Our outcomes framework includes the following mechanisms:

- Progress against the One Organisational Plan and the delivery of savings is reported to Overview & Scrutiny and Cabinet on a quarterly basis. This information is also available electronically via a Member Dashboard.
- A management information dashboard is in place which provides HR, finance and performance data to Strategic Directors, Heads of Service and third tier managers for their areas of responsibility. This enables managers to interrogate information quickly and efficiently, making key indicators easier to monitor.
- Arrangements are in place to report critical management information on the key aspects of the delivery of the OOP 2020 including finance, projects and performance to Corporate Board on a monthly basis.
- Each Group has arrangements in place for reporting performance to its Group Leadership Team (GLT).
- The Project Hub, an on-line system for monitoring and reporting progress with projects and programmes has been rolled out which improves the delivery and performance of projects and programmes delivered across the Council against corporate objectives.

Core Principle E. Developing the entity's capacity, including the capability of its leadership and the individuals within it

Our Workforce Strategy 2014-18 outlines the current needs of our workforce, setting out aspirations for our workforce and how we will lead, support and develop the people within our business. The Strategy sets the overarching principles which are embedded in detailed Workforce Plans developed at Group and business unit level. This ensures that we have a fit for purpose workforce and that staff resources are deployed most effectively in the delivery of the aims and ambitions as set out in the One Organisational Plan. The strategy is currently being refreshed and a new People Plan is being developed to ensure our workforce meets the needs of the organisation beyond 2018.

To enable our employees to be the best they can be we have a corporate process for annual appraisals, supported by regular 1:1 conversations. This provides the necessary clarity on expectations and behaviour, direction, support and opportunities for growth and development and allows employees and managers to have constructive discussions on performance, progress against outcomes, wellbeing and development. Since April 2017 our corporate appraisal process has been aligned to the Behaviours Framework.

<http://www.warwickshire.gov.uk/gatewaytolearning>

Our Senior Leadership Forums and planned events and workshops aim to share our Transformation plans more widely and build the skills and capabilities needed to successfully deliver those plans.

At the beginning of their term of office, all elected members undertake an induction programme which includes corporate governance training. A member development programme is agreed each year to ensure core development needs of members aligned to their respective roles are met and to take account of new and emerging issues.

Core Principle F. Managing risks and performance through robust internal control and strong public financial management

The One Organisational Plan provides the necessary framework to deliver change management and transformation and to ensure clear line of sight in the delivery of WCC's Core Purpose and Outcomes. The outcomes framework ensures that Members and Officers have a clear picture of how well the Organisation is progressing against the outcomes set out in the Plan as well as the key business outcomes that support and underpin it. These processes are continuing for the delivery of OOP-2020.

We have started work on reviewing how we will operate beyond 2020 to ensure we have strong arrangements in place to deliver future strategic plans and savings, as the authority's financial envelope continues to be constrained and demand for services increases.

Risk management is an integral part of good management and corporate governance and is therefore at the heart of what we do. It is essential to our ability to deliver public services and as a custodian of public funds. Our approach to managing risk is explained in the Risk Management Strategy. <http://www.warwickshire.gov.uk/riskmanagementstrategy>.

Financial Regulations set out our financial management framework for ensuring we make the best use of the money we have available to spend. They outline the financial roles and responsibilities for staff and Members and provide a framework for financial decision-making. Where there are specific statutory powers and duties the Financial Regulations seek to ensure these are complied with, as well as reflecting best professional practice and decision-making.

<https://www.warwickshire.gov.uk/standingorders>

We have adopted the CIPFA Code of Practice for Managing the Risk of fraud and corruption and this has been reflected in our updated anti-fraud policy. <http://www.warwickshire.gov.uk/antifraud>

Core Principle G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability

We endeavour to always be open and transparent. We have a forward plan which provides information about all of the decisions that the Council has scheduled. Formal agendas, reports and minutes for all committee meetings are published on our website which ensures that people know what decisions the Council is planning to take, and the decisions taken. <http://www.warwickshire.gov.uk/democracy>

Overview and Scrutiny Committees act as a critical friend and hold Cabinet to account for its decisions. The terms of reference for all O&S Committees are defined in the Constitution.

<http://www.warwickshire.gov.uk/scrutiny>

The Audit and Standards Committee has oversight of internal and external audit matters, the council's arrangements for corporate governance and risk management and any other arrangements for the maintenance of probity.

Each year we publish information on our website outlining how we spend Council Tax income.

<http://www.warwickshire.gov.uk/counciltaxspending>

Arrangements are in place to ensure that we fully comply with the requirements of the Public Sector Internal Audit Standards and CIPFA Statement on the Role of the Head of Internal Audit. The Internal Audit and Insurance Manager is designated as the Head of Internal Audit and has regular formal meetings with the Joint Managing Director (Resources), Head of Finance and Head of Law and Governance and does not take any part in any audit of risk management or insurance. Following last year's self-assessment against the Public Sector Internal Audit Standards (PSIAS), an External Quality Assessment of the Internal Audit shared service was completed in February 2018 resulting in positive feedback on the quality of internal audit provided to its clients. <http://www.warwickshire.gov.uk/audit>

4. Review of effectiveness

We have responsibility for conducting, at least annually, a review of the effectiveness of our governance framework including the system of internal control. The review of effectiveness is informed by the work of managers within the Authority who have responsibility for the development and maintenance of the governance environment, the Head of Internal Audit's annual report, and also by comments made by external auditors and other review agencies and inspectorates.

The review of effectiveness was co-ordinated by an evaluation panel consisting of representatives from each group, Internal Audit and chaired by the Internal Audit and Insurance Manager. In carrying out their review, the evaluation panel:

- considered the approach of the Authority to establishing its principal statutory obligations and organisational objectives;
- considered the approach of the Authority to identifying principal risks to the achievement of those obligations and objectives;
- identified the key control frameworks that the Authority has in place to manage its principal risks;
- obtained assurance from managers on the operation of key control frameworks and on the results of relevant external or internal inspection; and
- evaluated the assurances provided and identified gaps.

The evaluation panel took into account the strategic risk register prepared by executive managers and approved by Corporate Board. In addition Heads of Service have confirmed that they have complied with the risk management framework throughout the year. Consideration was also given to the results of reviews carried out by external agencies during the year including the external audit of the accounts. The work of the evaluation panel was scrutinised by the Head of Law and Governance (Monitoring Officer) and the Head of Finance (Section 151 Officer) before being submitted to the Audit and Standards Committee for further scrutiny and reported to Cabinet and Council.

The Authority's governance arrangements have been reviewed and improved throughout 2017/18 in a number of ways including:

- Our Whistleblowing Policy and Counter Fraud, Bribery and Corruption Framework were approved in 2017.
- An audit of pensions' investments including the governance implications of moving to Border to Coast Pension Partnership was included in the 2017/18 internal audit plan and resulted in a substantial opinion.
- Council meetings have been web-streamed and a web based election results system introduced, improving transparency of decision making and public accessibility.
- We have responded to Ofsted's inspection of our Children's Services in May 2017, resulting in an overall grade of "requires improvement", with a 12 point action plan owned at senior management level.
- We implemented a new Adult Case File Audit Tool in People Group in July 2017.
- We continued to consult with staff, service users and stakeholders on our Transformation Programme for Adult and Children's Services.
- A new customer centred Quality Assurance Framework for our Commissioned Adult and Children's Services called "See, Hear, Act" was launched in November 2017 with a full week of public events and promotional activity in the community and with providers and service users.
- LGA Early Help Peer Review was undertaken in November 2017, resulting in an Early Help Action Plan setting out a number of key activities to clarify Early Help services so that they are agreed and understood by WCC and its partners and ensure that there are appropriate governance arrangements for partnership engagement.
- In April 2017, we took part in and completed a Self-Assessment of Adult Services as part of the annual sector led improvement programme run by ADASS (Association of directors of adult social services in England).
- We completed a Self-Assessment of Mental Health Services commissioned by West Midlands Regional ADASS Group during the summer of 2017.

The results of Internal Audit work were reported to the Audit and Standards Committee throughout the year and the individual reviews feed into the overall Internal Audit Annual Report. The Committee has also considered in greater detail areas where limited assurance opinions have been provided including Contract Management and Pre-

Employment checks and the wider implications of a fraud case in respect of Direct Payment controls. This report concludes that the Authority's control environment provides substantial assurance that the significant risks facing the Authority are addressed. The internal audit findings, including those with a limited assurance opinion, were duly considered in the preparation of this statement.

5. Governance issues

We have not experienced any significant governance failures during the last year and our arrangements continue to be regarded as fit for purpose in accordance with the governance framework. However, the matters listed below have been identified as major challenges for the Authority. These governance challenges are reflected in the organisation's strategic risk register and have accompanying actions. The risk register highlights the actions taken and successes achieved in addressing the challenges of the past twelve months. A prime purpose of the governance framework is to minimise the occurrence of strategic risks and to ensure that any such risks arising are highlighted so that appropriate mitigating action can be taken. We are satisfied that the challenges identified are addressed by corporate business plans and that the actions identified in those plans will address the issues highlighted in our review of effectiveness. The following paragraphs summarise the risks contained in the strategic risk register.

Government policies, new legislation, austerity measures and demographic pressures present challenges on service delivery.

The outlook for Local Government remains demanding with a number of central government policies combined with the national economic situation presenting significant challenges to us. Statements from the Treasury continue to reiterate that the period of austerity for public services will continue for some years and we need to maintain a watching brief of government statements to identify potential policies which may have a significant impact for local government. Planned changes to arrangements for the retention of business rates are also an area of risk for us as it increases uncertainty about future funding. There

continues to be a large amount of uncertainty arising from the United Kingdom's withdrawal from the European Union. We do not yet have a full understanding of how this will impact on changes to laws, budgets, grants and the devolution agenda.

We have produced a new One Organisational Plan for the period 2017-2020 which identifies savings of £67m during this period. These financial pressures mean that the organisation faces a significant challenge to meet its aims and objectives. The savings and transformation plans that are in place are challenging and will result in a significant impact on services that we provide to the public. The major focus for us in the coming year is to:

- As part of the transformation programme, continue to provide clarity about our priorities based on an analysis of need and budget plans.
- Ensure the effective use of all funds allocated to the Council's Transformation Programme to support delivery of OOP-2020 and help manage the impact of changes to services that we provide to the public and the effect this may have on partners, other authorities and the voluntary sector.
- Continue to monitor the implementation of savings and project plans and ensure that revenue and capital budgets are managed in a clear and prudent manner.
- Continue to ensure that good governance, sound project and partnership management and standards of control are in place and adhered to during the transformation process to ensure that risks are managed and we achieve the best outcomes.
- Participate in national and sub-regional working groups to support and influence the development of the Business Rates Retention system.
- As administrator of the Warwickshire Pension Fund, continue to work with Border to Coast Pension Partnership on the implementation of the revised asset pooling requirements.
- Continue to explore and engage in the debate around the implication of national policy direction on local public service delivery and what it may mean for Warwickshire.
- Work with our key partners to engage pro-actively with the UK Government as discussions surrounding Brexit continue.

Continuing pressure on Adult Social Services and Health.

There continues to be a number of pressures that have a fundamental impact on the funding and provision of adult social care services in Warwickshire. Inflation and demographic pressures, combined with the impact of the national living wage, means that demand and costs for providing adult social care continue to rise. In addition market pressures on providers increases the risk that they either leave the market or that services provided fail to meet minimum statutory requirements.

We have taken action to address pressures and increasing demand on adult social care services by utilising, for the 2nd year, the 2% Adult Social Care Levy as part of our budget setting. We have also been allocated over £17 million extra for adult social care over 3 years - £8.3m in 2017/18, £6.3m in 2018/19 and £3.1m in 2019/20.

During the next year we will continue to shape and commission our services and will have a focus on the following:

- Stronger integration with our health partners and strengthening the role of the Community and Voluntary sector.
- Shaping the provision and quality of commissioned services for our most vulnerable looked after children and young people.
- Progressing the review and transformation of the "customer journey" for children and adult services with customers and carers at its heart.
- Further evolve our approach to commissioning and delivering high quality services with providers ensuring that we minimise the risk of market failures.

Safeguarding Children and Vulnerable Adults in our community - inability to take action to avoid abuse, injury or death.

In light of high profile safeguarding cases at a national level, we cannot be complacent about protecting children and vulnerable adults from harm.

Responding to ever increasing levels of referrals against the backdrop of financial austerity requires careful judgements to be made both in terms of managing our exposure to risk and the associated increase in costs.

Following the Ofsted Inspection of Children's Services and the Peer Review in 2017 we have an Action Plan in place which will drive forward required improvements in 2018.

We now have an established Multi-Agency Safeguarding Hub (MASH) in partnership with Warwickshire Police, NHS and other key partner agencies. This allows us to work more closely with our partners to provide a more co-ordinated and consistent response to safeguarding concerns about children, young people and adults.

The Warwickshire Safeguarding Adults Board (WSAB) has implemented a programme of regular multi-agency audits.

We continue to develop our safeguarding arrangements and over the next year will maintain a recruitment and retention campaign to increase our Social Work resources. In doing so, we will reduce caseloads, work more effectively with families in the community and reduce the number of looked after children.

Failure to maintain the security of personal or protected data and protect our systems from disruption as result of cybercrime.

Information security is a key issue for all public sector organisations in the light of well publicised data losses and cyber security incidents affecting many public bodies. A robust process for investigating incidents is in place and we continue to protect our systems and data of our staff and customers. We ensure that data is stored securely, legally and in accordance with Council policy. We have reviewed our information security guidance as a method of increasing overall awareness, and signposting staff to our array of more detailed advice and guidance in this arena. To improve awareness, and ensure that all members of staff understand their information security responsibilities, we require staff to undertake e-learning and formally accept their

responsibilities. We have continued to review and improve our information governance processes across the Council and have introduced routine compliance reporting to Corporate Board. We are delivering a corporate cross cutting project to prepare all business areas and third parties for compliance with the General Data Protection Regulation (GDPR) ahead of its introduction in May 2018. Along with all other organisations we have seen an increase in the number of attacks on Warwickshire websites and systems arising from hacking, denial of service, ransomware and phishing. In response, we continue to review and develop our network and information security arrangements and invest in those resources.

The ability to secure economic growth in Warwickshire.

We are a member of The Coventry and Warwickshire Local Enterprise Partnership (CWLEP) which is a key driver for creating a successful, thriving economy within Coventry and Warwickshire. CWLEP has secured funding from the Government's Local Growth Fund for a number of projects and we will continue to undertake work in this area to identify and submit further projects in order to seek future funding and monitor the delivery of existing projects to review the benefits on our local economy. We will continue to:

- Support the CWLEP Growth Hub in assisting SMEs and work to help the Hub become self-financing.
- Contribute to CWLEP sub-group work looking at the impact of Brexit on skills, employment and infrastructure in Coventry and Warwickshire.
- Continue to work with our partners to develop the Skills for Employment programme to improve the employability skills and attributes of young people.
- Apply the National Living Wage and expand our Apprenticeship Scheme, as a leading regional employer.

At a wider, regional level the West Midlands Combined Authority (WMCA) has been established with the challenge to create jobs, enhance skills, develop prosperity and drive economic growth. The

Council has joined WMCA as a non-constituent member and continues to play a full part in the development of the Authority, actively engaging with regards to transport, planning, housing and economic development.

Inability to keep our communities safe from harm.

There are many challenges on the horizon nationally and locally for the services we provide that keep our communities safe. This particularly includes the Fire and Rescue Service, highways maintenance and corporate arrangements for business continuity, and we recognise that we need to become even more flexible if we are to meet our current and emerging challenges. During the course of the next year we will have a focus on the following areas:

- Develop and deliver an annual action plan as part of the Integrated Risk Management Plan (2017 - 2020) for the Fire & Rescue Service
- Continue to review and test our business continuity and emergency plans.
- Moving forward our collaborative arrangements with West Midlands Fire & Rescue Service.

6. Certification

We propose over the coming year to continue to manage the risks detailed above and further enhance our governance arrangements. We are satisfied that the risks we have identified are addressed by the detailed action plans included in corporate business plans and the corporate risk register, and that the actions identified will address the need for improvements that were highlighted in our review of effectiveness. These are monitored and reported to members and Corporate Board as part of the corporate performance management framework. We will monitor their implementation and operation as part of our next annual review.

.....
David Carter
Joint Managing Director
Head of Paid Service

.....
Councillor Izzi Seccombe
Leader of the Council

Council

26 July 2018

Warwickshire Pension Fund Statement of Accounts & Annual Governance Report 2017/18

Recommendation from the Audit and Standards Committee

That Council approves the 2017/18 Pension Fund Statement of Accounts.

1.0 Statement of Accounts

1.1 Appendix A to this report presents the Warwickshire Pension Fund Statement of Accounts for 2017/18. The accounts are comprised of:

- The Pension Fund Account
- Net Assets Statement
- Notes to the Accounts

2.0 Audit of the Accounts

2.1 Our external auditors are required to report to those charged with governance on issues arising from the audit of the financial statements of the Pension Fund before issuing their final opinion. Their report for 2017/18 was reported to the Audit and Standards Committee on the 25th July 2018.

2.2 As part of the audit process the External Auditors require written confirmation about the fairness of various elements of the financial statements. This is known as the Letter of Representation and this was presented to the Audit and Standards Committee on the 25th July 2018.

Background papers

None

	Name	Contact Information
Report Author	Chris Norton	chrisnorton@warwickshire.gov.uk 07767003428
Head of Service	John Betts	johnbetts@warwickshire.gov.uk 01926412441
Strategic Director	David Carter	davidcarter@warwickshire.gov.uk 01926412564
Portfolio Holder	Peter Butlin	peterbutlin@warwickshire.gov.uk

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

Local Member(s): N/A

Other members: N/A

Warwickshire Pension Fund
Statement of Accounts
2017/18



We would welcome any comments or suggestions you have about this publication. Please contact Chris Norton, Strategic Finance Manager, Resources Group, Warwickshire County Council.

- Phone: 01926 582035
- E-mail: chrisnorton@warwickshire.gov.uk

You can also leave your comments on our website at www.warwickshire.gov.uk

If this information is difficult to understand, we can provide it in another format, for example, in Braille, in large print, on audiotape, in another language or by talking with you.

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Note on roundings: individual tables presented within disclosures may not sum due to roundings. This does not reflect any inaccuracy or error.

(Independent auditors report)

Statement of responsibilities for the statement of accounts

This section explains our responsibilities, in line with the Accounts and Audit Regulations 2015, for our financial affairs and how we ensure we carry out these responsibilities properly.

Responsibilities of the Pension Fund

We must do the following:

- Make sure that one of our officers is responsible for managing our financial affairs. In the Pension Fund, Warwickshire County Council's Head of Finance is responsible for doing this.
- Manage our affairs to use our resources efficiently and effectively and to protect our assets.
- Comply with IFRS financial reporting framework
- Approve the statement of accounts.

Responsibilities of the Head of Finance

As the Head of Finance, I am responsible for preparing our statement of accounts. These accounts must present a true and fair view of our financial position, including our income and spending for the year.

In preparing the Pension Fund accounts, I have:

- Selected suitable accounting policies and applied them consistently
- Made reasonable and prudent judgements and estimates
- Followed the Chartered Institute of Public Finance and Accountancy's/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom (the Code).

I have also:

- Kept proper accounting records which are up to date; and
- Taken steps to prevent and detect fraud and other irregularities.

I confirm that the accounts were considered and approved at a meeting of the Council on 26 July 2018.

John Betts
Head of Finance

Date: 26 July 2018

Councillor John Cooke
Chair of the Council

Date: 26 July 2018

Warwickshire Pension Fund Account

2016/2017		2017/2018	
£ m		Notes	£ m
	Dealings with members, employers and others directly involved in the fund		
(71.8)	Contributions	7	(65.8)
(7.4)	Transfers in from other schemes	8	(11.4)
(79.2)			(77.2)
72.2	Benefits payable	9	72.9
5.1	Payments to and on account of leavers	10	8.3
77.3			81.2
(1.9)	Net (additions)/withdrawals from dealing with members		4.0
9.1	Management expenses	11	10.5
7.2	Net (additions)/withdrawals inc fund management expenses		14.5
	Returns on investments		
(26.8)	Investment income	13	(27.4)
0.1	Taxes on income		0.1
(34.2)	Profit and losses on disposal of investments	23	(100.0)
(265.0)	Changes in the market value of investments	23	64.3
(325.9)	Net return on investments		(63.0)
(318.7)	Net (increase)/decrease in the net assets available for benefits during the year		(48.5)
(1,665.1)	Opening net assets of the scheme		(1,983.8)
(1,983.8)	Closing net assets of the scheme		(2,032.3)

Net Assets Statement

2016/2017		2017/2018	
£ m		Notes	£ m
1,992.8	Investment assets	15/16/17	1,963.6
(44.8)	Investment liabilities	15	0.0
30.8	Cash deposits	15/16/17	73.7
1,978.8	Total net investments		2,037.3
8.7	Current assets	29	12.6
(3.7)	Current liabilities	30	(17.6)
1,983.8	Net assets of the fund available to fund benefits at the period end		2,032.3

Notes to the Warwickshire Pension Fund Accounts for the year ended 31 March 2018

Note 1: Description of fund

The Warwickshire Pension Fund ('the fund') is part of the Local Government Pension Scheme and is administered by Warwickshire County Council. The county council is the reporting entity for this pension fund.

The following description of the fund is a summary only. For more detail, reference should be made to the Warwickshire Pension Fund Annual Report 2017/18 and the underlying statutory powers underpinning the scheme, namely the Public Service Pensions Act 2013 and The Local Government Pension Scheme (LGPS) Regulations.

a) General

The scheme is governed by the Public Service Pensions Act 2013. The fund is administered in accordance with the following secondary legislation:

- The Local Government Pension Scheme Regulations 2013 (as amended)
- The Local Government Pension Scheme (Transitional Provisions, Savings and Amendment) Regulations 2014 (as amended)
- The Local Government Pension Scheme (Management and Investment of Funds) Regulations 2016 (as amended).

It is a contributory defined benefit pension scheme administered by Warwickshire County Council to provide pensions and other benefits for pensionable employees of Warwickshire County Council, the district and borough councils in the county of Warwickshire and a range of other scheduled and admitted bodies within the county area. Teachers, police officers and firefighters are not included as they come within other national pension schemes.

The fund is overseen by the Warwickshire Pension Fund Investment Sub-committee, which is a sub-committee of Warwickshire County Council and is made up of five County Councillors. Two independent specialists provide advice and guidance to the sub-committee.

The Public Service Pensions Act 2013 included a requirement to establish a local Pension Board, with responsibility to assist the administering authority:

- To secure compliance with; the LGPS regulations; other legislation relating to the governance and administration of the LGPS, and; the requirements imposed by the Pension Regulator in relation to the LGPS and
- Perform an oversight role to ensure the effective and efficient governance and administration of the LGPS.

A local Pension Board has been in place since February 2015.

b) Membership

Membership of the LGPS is voluntary and employees are free to choose whether to join the scheme, remain in the scheme or make their own personal arrangements outside the scheme.

Organisations participating in the Warwickshire Pension Fund include:

- Scheduled bodies, which are local authorities and similar bodies whose staff are automatically entitled to be members of the fund.
- Admitted bodies, which are other organisations that participate in the fund under an admission agreement between the fund and the relevant organisation. Admitted bodies include voluntary, charitable and similar bodies or private contractors undertaking a local authority function following outsourcing to the private sector.

There are 181 employer organisations with active members within Warwickshire Pension Fund including the county council itself, as detailed below.

Warwickshire Pension Fund	31 March 2017	31 March 2018
Number of employers with active members	160	181
Number of employees in scheme		
County Council	9,106	8,193
Other employers	7,619	8,561
Total	16,725	16,754
Number of pensioners		
County Council	6,195	6,487
Other employers	4,707	5,002
Total	10,902	11,489
Deferred pensioners		
County Council	10,441	10,707
Other employers	6,570	7,098
Total	17,011	17,805
Total	44,638	46,048

c) Funding

Benefits are funded by contributions and investment earnings. Contributions are made by active members of the fund in accordance with The LGPS Regulations 2013 and range from 5.5% to 12.5% of pensionable pay for the financial year ending 31 March 2018. Contributions are also made by employers' which are set based on triennial actuarial funding valuations. The last valuation was at 31 March 2016 and a revised schedule of employer contribution rates became effective for the three years from 1 April 2017.

d) Benefits

Prior to 1 April 2014, pension benefits under the LGPS were based on final pensionable pay and length of pensionable service, summarised in the following table.

	Service pre 1 April 2008	Service post 31 March 2008
Pension	Each year worked is worth 1/80 x final pensionable salary	Each year worked is worth 1/60 x final pensionable salary
Lump Sum	Automatic lump sum of 3 x pension In addition, part of the annual pension can be exchanged for a one-off tax-free cash payment. A lump sum of £12 is paid for each £1 of pension given up.	No automatic lump sum Part of the annual pension can be exchanged for a one-off tax-free cash payment. A lump sum of £12 is paid for each £1 of pension given up.

From 1 April 2014, the scheme became a career average scheme, whereby members accrue benefits based on their pensionable pay in that year at an accrual rate of 1/49th. Accrued pension is uprated annually in line with the Consumer Prices Index. The changes also brought in a 50/50 option allowing members the opportunity to contribute 50% for 50% of the benefit entitlement.

Contributions to the LGPS prior to 1 April 2014 were assessed on full-time equivalent pay and excluded non-contractual elements of pay such as overtime and bonus. However, contributions since 1 April 2014 are assessed on all pensionable pay received including non-contractual elements. In addition, the contribution bandings were extended with many of the higher paid seeing an increase in contributions.

There are a range of other benefits provided under the scheme including early retirement, disability pensions and death benefits.

Note 2: Basis of preparation

The Statement of Accounts summarises the fund's transactions for the 2017/18 financial year and its position at year-end as at 31 March 2018. The accounts have been prepared in accordance with the *Code of Practice on Local Authority Accounting in the United Kingdom 2017/18* which is based upon International Financial Reporting Standards (IFRS), as amended for the UK public sector. They have been prepared on a going concern basis in accordance with IAS1.

The accounts summarise the transactions of the fund and report on the net assets available to pay pension benefits. The accounts do not take account of obligations to pay pensions and benefits which fall due after the end of the financial year. This is addressed by the actuary's triennial valuation.

Note 3: Summary of significant accounting policies

a) Contribution income

Normal contributions, both from the members and from the employer, are accounted for on an accruals basis at the percentage rate recommended by the fund actuary in the period to which they relate.

Employer deficit, augmentation and pension strain contributions are accounted for in the period in which the liability arises. Any amount due in year but unpaid will be classed as a current financial asset.

b) Transfers to and from other schemes

Transfer values represent the amounts received and paid during the year for members who have either joined or left the fund during the financial year and are calculated in accordance with The Local Government Pension Scheme Regulations (see notes 8 and 10). This is normally when the member liability is accepted or discharged.

c) Investment income

i) Interest Income

Interest income is recognised in the fund account as it accrues, using the effective interest rate of the financial instrument as at the date of acquisition or origination. Income includes the amortisation of any discount or premium, transaction costs (where material) or other differences between the initial carrying amount of the instrument and its amount at maturity calculated on an effective interest rate basis.

ii) Dividend income

Dividend income is recognised on the date the shares are quoted ex-dividend. Any amount not received by the end of the reporting period is reflected within investment assets in the Net Assets Statement.

iii) Distributions from managed funds

Distributions from managed funds are recognised at the date of issue. Any amount not received by the end of the reporting period is reflected within investment assets in the Net Assets Statement.

iv) Profit and losses on disposal of investments

Profit and losses on the disposal of investments are recognised as income and comprise all realised profits/losses during the year.

v) Movement in the market value of investments

Changes in the market value of investments are recognised as income and comprise all unrealised profits/losses during the year.

d) Benefits payable

Pensions and lump-sum benefits payable include all amounts known to be due as at the end of the financial year. And amounts due but unpaid are disclosed in the Net Assets Statement as current liabilities.

e) Taxation

The fund is a registered public service scheme under section 1(1) of Schedule 36 of the Finance Act 2004 and as such is exempt from UK income tax on interest received and from capital gains tax on the proceeds of investments sold. Income from overseas investments suffers withholding tax in the country of origin, unless exemption is permitted. Irrecoverable tax is accounted for as a fund expense as it arises.

f) Management expenses

The Code does not require a breakdown of pension fund administration expenses. However, in the interests of greater transparency, the council discloses its pension fund management expenses in accordance with the CIPFA guidance *Accounting for Local Government Pension Scheme Management Costs*.

Administrative expenses

All administrative expenses are accounted for on an accruals basis. All staff costs of the pensions administration team and associated accounting, management, accommodation and other overheads are apportioned and charged as expenses to the fund.

Oversight and governance costs

All oversight and governance expenses are accounted for on an accruals basis. All costs associated with governance and oversight are charged direct to the fund. Associated management, accommodation and other overheads are apportioned to this activity and charged as expenses to the fund.

Investment management expenses

All investment management expenses are accounted for on an accruals basis. Fees of the external investment managers and custodian are agreed in the respective mandates governing their appointments. Broadly, these are based on the market value of the investments under their management and therefore increase or reduce as the value of these investments change. Where these are deducted at source (as opposed to being charged via an invoice) the fee is identified and a journal posted to record the investment management fee and reduce the investment income.

g) Investment assets

Investment assets are included in the Net Assets Statement on a fair value basis as at the reporting date. An investment asset is recognised in the Net Assets Statement on the date the fund becomes party to the contractual acquisition of the asset. From this date any gains or losses arising from changes in the fair value of the asset are recognised in the Fund Account.

The values of investments as shown in the Net Assets Statement have been determined as follows:

i) Market-quoted investments

The value of an investment for which there is a readily available market price is determined by the bid market price on the final day of the accounting period.

ii) Fixed interest securities

Are recorded at net market value based on their current yields.

iii) Unquoted investments

The fair value of investments for which market quotations are not readily available is determined as follows:

- Directly held investments include investments in limited partnerships, shares in unlisted companies, trusts and bonds. Other unquoted securities typically include pooled investments in property, infrastructure, debt securities and private equity. The valuation of these is undertaken by the investment manager or responsible entity and advised as a unit or security price. The valuation standards followed in these valuations adhere to industry guidelines or to standards set by the constituent documents of the pool or to the management agreement.
 - Investments in unquoted property and infrastructure pooled funds are valued at the net asset value or a single price advised by the fund manager.
 - Investments in private equity funds and unquoted listed partnerships are valued based on the fund's share of the net assets in the private equity fund or limited partnership using the latest financial statements published by the respective fund managers in accordance with the *International Private Equity and Venture Capital Valuation Guidelines 2012*.
- iv) Limited partnerships
- Fair value is based on the net asset value ascertained from periodic valuations provided by those controlling the partnership.
- v) Pooled investment vehicles
- Pooled investment vehicles are valued at closing bid price if both bid and offer prices are published; if single priced, at the closing single price.
- In the case of pooled investment vehicles that are accumulation funds, change in market value also includes income which is reinvested in the fund, net of applicable withholding tax.

h) Foreign currency transactions

Dividends, interest and purchases and sales of investments in foreign currencies have been accounted for at the spot market rates at the date of transaction. End-of-year spot market exchange rates are used to value cash balances held in foreign currency bank

accounts, market values of overseas investments and purchases and sales outstanding at the end of the reporting period.

i) Cash and cash equivalents

Cash comprises cash in hand and on demand deposits and includes amounts held by the fund's external managers.

Cash equivalents are short-term, highly liquid investments that are readily convertible to known amounts of cash and that are subject to minimal risk of changes in value.

j) Investment Liabilities

The fund recognises investment liabilities at fair value as at the reporting date. An investment liability is recognised on the date the fund becomes party to the liability and are summarised in Note 13. From this date any gains or losses arising from changes in the fair value of the liability are recognised by the fund.

k) Actuarial present value of promised retirement benefits

The actuarial present value of promised retirement benefits is assessed on a triennial basis by the scheme actuary in accordance with the requirements of IAS19 and relevant actuarial standards.

As permitted under the Code, the fund has opted to disclose the actuarial present value of promised retirement benefits by way of a note to the Net Assets Statement (Note 28).

l) Additional voluntary contributions

Warwickshire Pension Fund provides an additional voluntary contributions (AVC) scheme for its members, the assets of which are invested separately from those of the pension fund. The fund has appointed Equitable Life and Standard Life as its AVC providers. AVCs are paid to the AVC provider by employers and are specifically for providing additional benefits for individual contributors. Each AVC contributor receives an annual statement showing the amount held in their account and movements in the year.

AVCs are not included in the accounts in accordance with section 4(1)(b) of The Local Government Pension Scheme (Management and Investment of Funds) Regulations 2016 but are disclosed as a note only (Note 31).

Note 4: Critical judgements in applying accounting policies

Unquoted private equity investments

It is important to recognise the highly subjective nature of determining the fair value of private equity investments. They are inherently based on forward-looking estimates and judgements involving many factors. Unquoted private equities are valued by the investment managers using the *International Private Equity and Venture Capital Valuation Guidelines 2012*. The value of unquoted private equities and infrastructure as at 31 March 2018 was £110.0m (31 March 2017: £84.9m).

Pension fund liability

The pension fund liability is calculated every three years by the appointed actuary, with annual updates in the intervening years. The methodology used is in line with accepted guidelines and in accordance with IAS 19. Assumptions underpinning the valuations are agreed with the actuary and are summarised in Note 27. This estimate is subject to significant variances based on changes to the underlying assumptions.

Note 5: Assumptions made about the future and other major sources of estimation uncertainty

The preparation of financial statements requires management to make judgements, estimates and assumptions that affect the amounts reported for assets and liabilities at the Balance Sheet date and the amounts reported for the revenues and expenses during the year. Estimates and assumptions are made taking into account historical experience, current trends and other relevant factors. However, the nature of estimation means that the actual outcomes could differ from the assumptions and estimates.

The items in the Net Assets Statement at 31 March 2018 for which there is a significant risk of material adjustment in the forthcoming financial year are as follows:

	Uncertainties	Effect if actual results differ from assumptions
Actuarial present value of promised retirement benefits	<p>Estimation of the net liability to pay pensions depends on a number of complex judgements relating to the discount rate used, the rate at which salaries are projected to increase, changes in retirement ages, mortality rates and expected returns on pension fund assets. A firm of consulting actuaries is engaged to provide the fund with expert advice about the assumptions to be applied.</p>	<p>The effects on the net pension liability of changes in individual assumptions can be measured. For instance:</p> <ul style="list-style-type: none"> - a 0.5% decrease in the discount rate assumption would result in an increase in the pension liability of £294m - a 0.5% increase in assumed earnings inflation would increase the value of liabilities by approximately £43m, and - a one-year increase in assumed life expectancy would increase the liability by approximately 3-5%.
Private equity and infrastructure	<p>Private equity and infrastructure investments are valued at fair value in accordance with <i>International Private Equity and Venture Capital Valuation Guidelines</i> 2012. These investments are not publicly listed and as such there is a degree of estimation involved in the valuation.</p>	<p>The total private equity investments in the financial statements (including infrastructure) are £110m. There is a risk that this investment may be under or overstated in the accounts. The custodian reports a tolerance of +/- 2% around the net asset values on which the valuation is based. This equates to a tolerance of +/- £2.2m.</p>

Note 6: Events after the reporting date

These are events, both favourable and unfavourable, that occur between the end of the reporting period and the date when the financial statements are authorised for issue.

Two types of events can be identified:

- a) Those that provide evidence of conditions that existed at the end of the reporting period (adjusting events after the reporting period), and
- b) Those that are indicative of conditions that arose after the reporting period (non-adjusting events after the reporting period).

There were no adjusting or non-adjusting events. No assets have been transferred to the pool at time of signing.

Note 7: Contributions receivable

By category

2016/2017		2017/2018
£ m		£ m
16.6	Employees' contributions	16.7
	Employer's contributions:	
43.8	Normal contributions	44.7
11.4	Deficit Recovery contributions	4.4
55.2	Total employer's contributions	49.1
71.8		65.8

By authority

2016/2017		2017/2018
£ m		£ m
37.1	Administering authority	35.9
33.4	Scheduled bodies	22.9
1.2	Admitted bodies	6.9
0.1	Bodies no longer contributing	0.1
71.8		65.8

Note 8: Transfers in from other pension funds

2016/2017		2017/2018
£ m		£ m
0.7	Group transfers	0.7
6.7	Individual transfers	10.7
7.4		11.4

Note 9: Benefits payable

By category

2016/2017		2017/2018
£ m		£ m
57.1	Pensions	59.4
13.7	Commutation and lump sum retirement benefits	11.7
1.4	Lump sum death benefits	1.9
72.2		72.9

By authority

2016/2017		2017/2018
£ m		£ m
40.1	Administering authority	38.9
28.1	Scheduled bodies	30.2
3.2	Admitted bodies	3.2
0.8	Bodies no longer contributing	0.7
72.2		72.9

Note 10: Payments to and on account of leavers

2016/2017		2017/2018
£ m		£ m
0.3	Refunds	0.2
0.0	Group transfers	0.0
4.8	Individual transfers	8.0
5.1		8.3

Note 11: Management expenses

2016/2017		2017/2018
£ m		£ m
1.4	Administration costs	1.5
7.4	Investment management expenses	8.7
0.3	Oversight and governance costs	0.3
9.1		10.5

This analysis of the costs of managing the Warwickshire Pension Fund during the period has been prepared in accordance with CIPFA guidance.

Indirect costs are incurred through the bid-offer spread on investment sales and purchases. These are reflected in the cost of investment acquisitions and in the proceeds from the sale of investments (Note 16 and Note 25).

Note 12: Investment management expenses

2016/2017		2017/2018
£'000		£'000
6,600.9	Management fees	7623.0
310.2	Performance related fees	647.0
90.8	Custody fees	76.1
397.7	Transaction costs	386.8
7,399.6		8,732.9

Note 13: Investment income

2016/2017		2017/2018
£ 000		£ 000
16,642.7	Equity dividends	17473.0
9,418.5	Managed funds:	9,259.6
3,726.63	Property	4823.19
1,205.88	Infrastructure	557.17
903.66	Hedge Funds	712.71
2,790.62	Alternative	1713.68
791.67	Private Equity	1452.85
720.7	Interest on cash deposits	616.3
47.0	Stock lending	40.5
26,828.9		27,389.4

Note 14: Other fund account disclosures: external audit costs

The external audit fee for 2017/18 was £25,220 excluding VAT The fee for 2016/17, including fee variation, was £25,220 excluding VAT.

Note 15: Investments

2016/2017		2017/2018
£ m		£ m
	Investment Assets	
683.0	Equities	638.3
1,307.2	Managed funds:	1,314.1
66.2	Private Equity	78.1
192.5	Pooled Property	207.8
945.6	Pooled Investments, Unit Trusts & Other Managed Funds	996.3
18.7	Infrastructure	31.9
84.3	Hedge Funds	0.0
30.8	Cash deposits	73.7
2.6	Investment current assets	11.2
2,023.6	Total Investment Assets	2037.3
	Investment Liabilities	
(44.8)	Investment current liabilities	0.0
	Total Investment Liabilities	
1,978.8	Net Investment Assets	2037.3

A recent change in investment strategy brings exposure to a new asset class for year 18/19 – Private Debt. This asset class provides credit facilities to companies who would normally have approached financial institutions for credit.

The large cash balance held is from the redemption of our Hedge fund allocation which will be used to fund commitments due on Private Equity, Infrastructure and Private Debt parts of portfolio. The amounts 'called' by these funds are variable over a 5-6 year time horizon from the date of the first commitment.

Outstanding capital commitments at 31 March 2018 totalled £226.3m. This includes £100m destined for Private Debt.

Note 16: Reconciliation of movements in investments

	Market value 1 April 2017	Purchases during the year	Sales during the year	Change in market value during the year	Market value 31 March 2018
	£ m	£ m	£ m	£ m	£ m
Investment Assets					
Equities	683.0	99.2	-133.4	-10.5	638.3
Managed funds:	1307.2	216.4	-256.2	46.7	1314.1
Private Equity	66.2	16.4	-12.4	7.9	78.1
Pooled Property	192.5	10.8	-12.8	17.3	207.8
Pooled Investments, Unit Trusts & Other Managed Funds	945.6	176.2	-142.9	17.4	996.3
Infrastructure	18.7	12.9	-0.8	1.1	31.9
Hedge Funds	84.3	0.0	-87.3	3.0	0.0
Other Investment Balances					
Cash deposits	30.8	162.0	-118.8	-0.4	73.7
Net investment current assets	-42.2	53.7	-0.1	-0.3	11.2
Net Investment Assets	1,978.8	531.4	-508.5	35.6	2,037.3

	Market value 1 April 2016	Purchases during the year	Sales during the year	Change in market value during the year	Market value 31 March 2017
	£ m	£ m	£ m	£ m	£ m
Investment Assets					
Index linked bonds	84.3	0.0	-79.8	-4.4	0.0
Equities	544.8	99.0	-86.2	125.4	683.0
Managed funds:	1,013.2	92.4	-55.2	256.7	1307.2
Private Equity	48.2	12.9	-7.2	12.2	66.2
Pooled Property	186.3	12.5	-9.9	3.5	192.5
Pooled Investments, Unit Trusts & Other Managed Funds	679.8	51.7	-19.6	233.7	945.6
Infrastructure	19.9	15.2	-18.5	2.0	18.7
Hedge Funds	79.0	0.0	0.0	5.3	84.3
Other Investment Balances					
Cash deposits	13.5	107.9	-91.2	0.6	30.8
Net investment current assets	2.9	0.4	-45.7	0.2	-42.2
Net Investment Assets	1,658.7	299.8	-358.1	378.5	1,978.8

Note 17: Analysis of investments

31 March 2017		31 March 2018
£ m		£ m
	Equities	
309.7	UK	301.1
373.3	Overseas	337.2
683.0		638.3
	Managed funds	
1,146.5	UK:	1,219.6
191.4	Pooled Property	207.3
945.6	Pooled Investments, Unit Trusts & Other Managed Funds	996.3
9.6	Infrastructure	15.9
160.7	Overseas:	94.5
84.3	Hedge Funds	0.0
66.2	Private Equity	78.1
1.1	Pooled Property	0.5
9.1	Infrastructure	15.9
1,307.2		1,314.1
	Cash deposits	
25.6	UK Sterling	69.5
5.2	Foreign currency	4.2
30.8		73.7
-42.2	Net investment current assets/(liabilities)	11.2
1,978.8	Net Investment Assets	2,037.3

Note 18: Investments analysed by fund manager

Market value 31 March 2017			Market value 31 March 2018	
£ m	%		£ m	%
306.8	15.5%	Columbia Threadneedle Investments (UK Equities)	309.0	15.2%
388.1	19.6%	MFS Investment Management (Global Equities)	345.1	16.9%
496.4	25.1%	Legal and General Investment Management (Index Tracker - Global Equities)	512.6	25.2%
325.9	16.5%	Legal and General Investment Management (Index Tracker - Fixed Income)	319.6	15.7%
104.3	5.3%	Columbia Threadneedle Investments (Property)	115.7	5.7%
90.6	4.6%	Schroder Investment Management (Property)	100.5	4.9%
84.3	4.3%	Blackstone Group International (Hedge Funds)	0.0	0.0%
66.2	3.3%	HarbourVest (Private Equity)	78.1	3.8%
75.9	3.8%	JP Morgan (Strategic Bond)	158.4	7.8%
9.6	0.5%	Standard Life Capital (Infrastructure)	15.9	0.8%
9.1	0.5%	Partners Group (Infrastructure)	15.9	0.8%
21.6	1.1%	BNY Mellon (Global Custodian)	66.3	3.3%
1,978.8	100.0%		2,037.3	100.0%

Note: Residual cash under Blackstone has been allocated to custodian balance.

Note 19: Investments representing more than 5% net assets of the scheme

Security	Market value 31 March 2018	% of total fund as at 31.03.18
	£ m	
L&G Investment Grade Corporate Bond	210.1	10.31%
JPM Strategic Bond Fund	158.4	7.77%
L&G UK Equity Index	130.5	6.41%
L&G Europe (Exc UK) Equity Index	133.5	6.55%
L&G Fundamental Indexation	109.2	5.36%
Columbia ThreadneedleTPN Property A	115.7	5.68%
L&G Index linked Bonds	144.4	7.09%

Security	Market value 31 March 2017	% of total fund as at 31.03.17
	£ m	
L&G Investment Grade Corporate Bond	183.1	9.23%
L&G UK Equity Index	169.2	8.53%
L&G Europe (Exc UK) Equity Index	141.6	7.14%
L&G Fundamental Indexation	104.5	5.27%
Columbia ThreadneedleTPN Property A	104.3	5.26%
L&G Index linked Bonds	100.5	5.07%

Note 20: Stock lending

The fund's Statement of Investment Principles sets the parameters for the fund's stock-lending programme. At the year-end, the value of stock on loan was £35.2m (31 March 2017: £18.2m). The investments continue to be recognised in the fund's financial statements.

Counterparty risk is managed through holding collateral at the fund's custodian bank. At the year-end the fund held collateral (via the custodian) at fair value of £37.2m (31 March 2017: £19.3m). Collateral is obtained at 102% for sterling denominated equities and 105% for all other currency denominations and consists of government debt.

Stock-lending commissions are remitted to the fund via the custodian. During the period the stock is on loan, the voting rights of the loaned stock pass to the borrower.

There are no liabilities associated with the loaned assets.

Note 21: Property holdings

The fund does not hold property directly. Property is held in the form of pooled funds.

Note 22: Classification of financial instruments

Accounting policies describe how different asset classes of financial instruments are measured, and how income and expenses, including fair value gains and losses, are recognised. The following table analyses the carrying amounts of financial assets and liabilities (excluding cash) by category and Net Assets Statement heading. No financial assets were reclassified during the accounting period.

Fair value through profit and loss	Loans and receivables	Financial liabilities		Fair value through profit and loss	Loans and receivables	Financial liabilities
31 March 2017				31 March 2018		
£ m	£ m	£ m		£ m	£ m	£ m
			Investment Assets			
0.0			Index linked bonds	0.0		
683.0			Equities	638.3		
1,307.2			Managed funds:	1,314.1		
66.2			Private Equity	78.1		
192.5			Pooled Property	207.8		
			Pooled Investments, Unit Trusts & Other Managed Funds	996.3		
945.6			Infrastructure	31.9		
18.7			Hedge Funds	0.0		
84.3	30.8		Cash deposits		73.7	
	2.6		Investment current assets		11.2	
	7.9		Debtors		10.2	
	0.9		Cash balances		2.3	
1,990.2	42.1	0.0		1,952.4	97.5	0.0
			Liabilities			
		-44.8	Investment current liabilities			0.0
		-3.7	Creditors			-17.6
0.0	0.0	-48.5		0.0	0.0	-17.6
1,990.2	42.1	-48.5		1,952.4	97.5	-17.6

Note 23: Net gains and losses on financial instruments

31 March 2017		31 March 2018
£ m		£ m
	Financial Assets	
299.2	Fair value through profit and loss	100.0
0.0	Loans and receivables	0.0
	Financial liabilities	
0.0	Fair value through profit and loss	-64.3
0.0	Loans and receivables	0.0
299.2	Total	35.7

The authority has not entered into any financial guarantees that are required to be accounted for as financial instruments.

Note 24: Valuation of financial instruments carried at fair value

The valuation of financial instruments has been classified into three levels, according to the quality and reliability of information used to determine fair values.

Level 1

Financial instruments at level 1 are those where the fair values are derived from unadjusted quoted prices in active markets for identical assets or liabilities. Products classified as level 1 comprise quoted equities, quoted fixed securities, quoted index linked securities and unit trusts.

Listed investments are shown at bid prices. The bid value of the investment is based on the bid market quotation of the relevant stock exchange

Level 2

Financial instruments at level 2 are those where quoted market prices are not available; for example, where an instrument is traded in a market that is not considered to be active, or where valuation techniques are used to determine fair value, these inputs are observable. Products classified as level 2 include unquoted bonds and overseas unit trusts and property funds.

Level 3

Financial instruments at level 3 are those where at least one input that could have a significant effect on the instrument's valuation is not based on observable market data.

Such instruments would include unquoted equity investments and hedge fund of funds, which are valued using various valuation techniques that require significant judgement in determining appropriate assumptions.

The values of the investment in private equity are based on valuations provided by the general partners to the private equity funds in which Warwickshire Pension Fund has invested.

These valuations are prepared in accordance with the International Private Equity and Venture Capital valuation Guidelines, which follow the valuation principles of IFRS and US GAAP. Valuations are undertaken quarterly and an adjustment is made to roll forward the latest available valuation to 31 March as appropriate.

The values of the investment in hedge funds are based on the net asset value provided by the fund manager. Assurances over the valuation are gained from the independent audit of the value.

Description of asset	Basis of valuation	Observable and unobservable inputs	Key sensitivities affecting the valuations provided
Market quoted investments Level 1	Published bid market price ruling on the final day of the accounting period	Not required	Not required
Pooled investments – overseas unit trusts & property funds Level 2	Closing bid price where bid and offer prices are published. Closing single price where single price is published.	NAV-based pricing set on a forward pricing basis	Not required
Private equity and infrastructure Level 3	Private equity and Infrastructure investments are valued at fair value in accordance with International Private Equity and Venture Capital Valuation Guidelines 2012.	NAV-based pricing set on a forward pricing basis	Valuations could be affected by material events occurring between the date of the financial statements provided and the pension funds own reporting date, by changes to expected cashflows, and by any differences between audited and unaudited accounts.
Hedge Funds Level 3	Closing bid price where bid and offer process are published. Closing single price where single price is published.		

The following table provides an analysis of the financial assets and liabilities of the pension fund grouped into Levels 1 to 3, based on the level at which the fair value is observable.

	Quoted market price	Using observable inputs	With significant unobservable inputs	
Valuation at 31 March 2018	Level 1	Level 2	Level 3	Total
	£ m	£ m	£ m	£ m
Financial assets Financial assets at fair value through profit and loss	864.4	978.0	110.0	1,952.4
Financial liabilities Financial liabilities at fair value through profit and loss	0.0	0.0	0.0	0.0
Net financial assets	864.4	978.0	110.0	1,952.4

	Quoted market price	Using observable inputs	With significant unobservable inputs	
Valuation at 31 March 2017	Level 1	Level 2	Level 3	Total
	£ m	£ m	£ m	£ m
Financial assets Financial assets at fair value through profit and loss	786.1	1,034.9	169.2	1,990.2
Financial liabilities Financial liabilities at fair value through profit and loss	0.0	0.0	0.0	0.0
Net financial assets	786.1	1,034.9	169.2	1,990.2

Note 25 Reconciliation of fair value measurements within Level 3

	Market value 31 March 2017	Purchases during the year	Sales during the year	Change in market value during the year	Realised profit or loss (-) during the year	Market value 31 March 2018
	£ m	£ m	£ m	£ m	£ m	£ m
Fund of Hedge Funds	84.3	0.0	-87.3	-10.5	13.5	0.0
Private Equity	66.2	16.4	-12.4	2.3	5.6	78.1
Infrastructure	18.7	12.9	-0.8	0.9	0.2	31.9
	169.2	29.3	-100.5	-7.4	19.3	110.0

Note 26: Nature and extent of risks arising from financial instruments

Risk and risk management

The fund's primary long-term risk is that the fund's assets will fall short of its liabilities (ie promised benefits payable to members). Therefore the aim of investment risk management is to minimise the risk of an overall reduction in the value of the fund and to maximise the opportunity for gains across the whole fund portfolio. The fund achieves this through asset diversification to reduce exposure to market risk (price risk, currency risk and interest rate risk) and credit risk to an acceptable level. In addition, the fund manages its liquidity risk to ensure there is sufficient liquidity to meet the fund's forecast cash flows. The council manages these investment risks as part of its overall pension fund risk management programme.

Responsibility for the fund's risk management strategy rests with the pension fund investment sub-committee. Risk management policies are established to identify and analyse the risks faced by the council's pensions operations. Policies are reviewed regularly to reflect changes in activity and in market conditions.

Market risk

Market risk is the risk of loss from fluctuations in equity and commodity prices, interest and foreign exchange rates and credit spreads. The fund is exposed to market risk from its investment activities, particularly through its equity holdings. The level of risk exposure depends on market conditions, expectations of future price and yield movements and the asset mix.

The objective of the fund's risk management strategy is to identify, manage and control market risk exposure within acceptable parameters, whilst optimising the return on risk.

In general, excessive volatility in market risk is managed through the diversification of the portfolio in terms of geographical and industry sectors and individual securities. To mitigate market risk, the council and its investment advisors undertake appropriate monitoring of market conditions and benchmark analysis.

The fund manages these risks in two ways:

- The exposure of the fund to market risk is monitored through a factor risk analysis, to ensure that risk remains within tolerable levels
- Specific risk exposure is limited by applying risk-weighted maximum exposures to individual investments.

It is possible for over-the-counter equity derivative contracts to be used in exceptional circumstances to manage specific aspects of market risk.

Other price risk

Other price risk represents the risk that the value of a financial instrument will fluctuate as a result of changes in market prices (other than those arising from interest rate risk or foreign exchange risk), whether those changes are caused by factors specific to the individual instrument or its issuer or factors affecting all such instruments in the market.

The fund is exposed to share price risk. This arises from investments held by the fund for which the future price is uncertain. All securities investments present a risk of loss of capital.

The fund's investment managers mitigate this price risk through diversification and the selection of securities and other financial instruments is monitored to ensure it is within limits specified in the fund investment strategy.

Following analysis of historical data and expected investment return movement, the fund has determined that the following movements in market price risk were reasonably possible for the 2017/18 reporting period. This analysis assumes that all other variables, in particular foreign currency exchange rates and interest rates, remain the same.

Asset Type	201718 Potential market movement
	%
UK Equities	17%
Overseas Equities	18%
Total Bonds, Index Linked & Pooled Managed Funds	10%
Cash	1%
Alternatives	10%
Property	14%

The potential price changes disclosed above are broadly consistent with a one year dispersion in the value of the assets and are based on observed historical volatility of the returns of the asset class.

Had the market price of the fund investments increased/decreased in line with the above, the change in the net assets available to pay benefits would have been as follows (the prior year comparator is shown below):

Asset Type	Value as at 31 March 2018	Potential market movement	Value on increase	Value on decrease
	£ m	£ m	£ m	£ m
UK Equities	512.6	87.1	599.8	425.5
Overseas Equities	654.1	117.7	771.8	536.4
Total Bonds, Index Linked & Pooled Managed Funds	319.6	32.0	351.6	287.7
Cash	62	0.6	62.6	61.4
Alternatives	272.2	27.3	300.0	245.4
Property	216.2	30.3	246.5	186.0
Total	2,037.3	295.0	2,332.3	1,742.3

Asset Type	Value as at 31 March 2017	Potential market movement	Value on increase	Value on decrease
	£ m	£ m	£ m	£ m
UK Equities	881.9	149.9	1031.8	732.0
Overseas Equities	347.8	62.6	410.4	285.2
Total Bonds, Index Linked & Pooled Managed Funds	325.5	32.6	358.1	293.0
Cash	-14.0	-0.1	-14.1	-13.8
Alternatives	245.1	24.5	269.6	220.6
Property	192.5	26.9	219.4	165.5
Total	1,978.8	296.4	2,275.2	1,682.4

Interest rate risk

The fund invests in financial assets for the primary purpose of obtaining a return on investments. These investments are subject to interest rate risks, which represent the risk that the fair value or future cash flows of a financial instrument will fluctuate because of changes in market interest rates. The fund's interest rate risk is monitored as part of asset allocation decisions. Changes in interest rates do not impact on the value of cash and cash equivalent balances but they will affect the interest income received on those balances. Changes to both the fair value of assets and the income received from investments impact on the net assets available to pay benefits.

Currency risk

Currency risk represents the risk that the fair value of future cash flows of a financial instrument will fluctuate because of changes in foreign exchange rates. The fund is exposed to currency risk on financial instruments that are denominated in any currency other than the functional currency of the fund (£UK). The fund holds both monetary and non-monetary assets denominated in currencies other than £UK.

Currency	2017/18 Potential market movement
	%
Czech Republic Koruna	10%
Danish Krone	9%
Euro	9%
Japanese Yen	13%
Mexican Peso	13%
Swedish Krona	10%
Swiss Franc	11%
Thai Baht	10%
US Dollar	10%
Hong Kong Dollar	10%

A strengthening/weakening of the pound against the various currencies in which the fund holds investments would increase/decrease the net assets available to pay benefits as follows. This analysis assumes that all other variables, in particular interest rates, remain constant. The prior year comparator is shown below:

Currency	Value as at 31 March 2018	Potential market movement	Value on increase	Value on decrease
	£ m	£ m	£ m	£ m
Czech Republic Koruna	0.0	0.0	0.0	0.0
Danish Krone	2.4	0.2	2.6	2.2
Euro	112.5	10.1	122.6	102.4
Japanese Yen	5.0	0.7	5.7	4.4
Mexican Peso	1.1	0.1	1.2	0.9
Swedish Krona	7.0	0.7	7.7	6.3
Swiss Franc	27.5	3.1	30.5	24.4
Thai Baht	0.8	0.1	0.9	0.7
US Dollar	255.5	25.0	280.5	230.4
Hong Kong Dollar	0.7	0.1	0.8	0.7
Total	412.5	40.1	452.6	372.5

Currency	Value as at 31 March 2017	Potential market movement	Value on increase	Value on decrease
	£ m	£ m	£ m	£ m
Czech Republic Koruna	0.6	0.1	0.7	0.5
Danish Krone	3.1	0.3	3.4	2.8
Euro	104.0	11.4	115.5	92.6
Japanese Yen	4.5	0.8	5.4	3.7
Mexican Peso	1.3	0.2	1.5	1.1
Swedish Krona	8.1	0.9	9.0	7.2
Swiss Franc	34.6	4.1	38.7	30.4
Thai Baht	0.9	0.1	1.0	0.7
US Dollar	271.5	35.3	306.8	236.2
Hong Kong Dollar	0.8	0.1	0.9	0.7
Total	429.4	53.4	482.8	375.9

Credit risk

Credit risk represents the risk that the counterparty to a transaction will fail to discharge an obligation and cause the fund to incur a financial loss. The market values of investments generally reflect an assessment of credit in their pricing and consequently the risk of loss is implicitly provided for in the carrying value of the fund's financial assets and liabilities.

In essence the fund's entire investment portfolio is exposed to some form of credit risk. However, the selection of high quality counterparties and financial institutions minimises credit risk that may occur through the failure to settle a transaction in a timely manner.

The Pension Fund is exposed to credit risk through the stock lending programme. This is managed by the custodian who monitors the counterparty and collateral risk. The level of collateral for stock on loan is assessed daily to ensure it takes account of market movements. To mitigate risk, stock lending is restricted to 25% of the total market value of the stock held, in accordance with investment regulations.

Liquidity risk

Liquidity risk represents the risk that the fund will not be able to meet its financial obligations as they fall due. The Pension Fund therefore takes steps to ensure that it has adequate cash resources to meet its commitments, particularly cash to meet pensioner payroll and other benefit costs, and also cash to meet investment commitments.

The Pension Fund has immediate access to its cash holdings and has had a long term positive cash flow. Cash flow surpluses are invested with fund managers. The Pension Fund is authorised to borrow on a short term basis to fund cash flow deficits.

The actuary to the Pension Fund produces regular cash flow forecasts which are presented to the Investment Sub-Committee.

All financial liabilities as at 31 March 2018 are due within one year.

Note 27: Funding arrangements

In line with The Local Government Pension Scheme Regulations 2013, the fund's actuary undertakes a funding valuation every three years for the purpose of setting employer contribution rates for the forthcoming triennial period. The last such valuation took place as at 31 March 2016 and set contribution rates for the three years commencing 1 April 2017.

The key elements of the funding policy are:

- to ensure the long-term solvency of the fund, i.e. that sufficient funds are available to meet all pension liabilities as they fall due for payment
- to ensure that employer contribution rates are as stable as possible
- to minimise the long-term cost of the scheme by recognising the link between assets and liabilities and adopting an investment strategy that balances risk and return
- to reflect the different characteristics of employing bodies in determining contribution rates where the administering authority considers it reasonable to do so
- to use reasonable measures to reduce the risk to other employers and ultimately to the council tax payer from an employer defaulting on its pension obligations.

The aim is to achieve 100% solvency over a period of 19 years and to provide stability in contribution rates by spreading any increases in rates over a period of time. Normally this is three years but in some cases an extended period can be granted. Solvency is achieved when the funds held, plus future expected investment returns and future contributions are sufficient to meet expected future pension benefits payable. When an employer's funding level falls significantly short of the

100% funding target, then a deficit recovery plan will be put in place requiring additional contributions from the employer to meet the shortfall.

At the 2016 actuarial valuation, the fund was assessed as 82% funded. This corresponded to a deficit of £358m.

Contribution increases were phased in over the three year period ending 31 March 2020. The common contribution rate (ie the rate which all employers in the fund pay) is as follows.

Valuation Date	31-Mar-16
Total contribution rate	
Primary Rate (% of pay)	20%
2017/18 Secondary Rate £000	39.19
2018/19 Secondary Rate £000	61.25
2019/20 Secondary Rate £000	84.4

Individual employer rates will vary from the common contribution rate depending on the demographic and actuarial factors particular to each employer. Full details of the contribution rates payable can be found in the 2016 actuarial valuation report and the funding strategy statement on the fund's website.

The valuation of the fund has been undertaken using the projected unit method under which the salary increase for each member is assumed to increase until they leave active service by death, retirement or withdrawal from service. The principal assumptions are as follows:

Financial assumptions

Financial assumptions	Nominal	Real
	%	%
Post Retirement Discount Rate	3.8%	1.7%
Pre Retirement Discount Rate	3.8%	1.7%
Salary Increases	2.8%	0.7%
Price Inflation/Pension Increases	2.1%	-

Demographic assumptions

Assumed life expectancy from age 65 is as follows.

Demographic assumptions	31 March 2016	
Assumed life expectancy at age 65	Male	Female
Pensioners	22.5	24.7
Non-pensioners	24.3	26.7

Commutation assumptions

It is assumed that future retirees will take 50% of the maximum additional tax-free lump sum up to HMRC limits for pre-April 2008 service and 75% of the maximum for post-April 2008 service.

50:50 Option

2.0% of members (uniformly distributed across the age, service and salary range) will choose the 50:50 option.

Note 28: Actuarial present value of promised retirement benefits

In addition to the triennial funding valuation, the fund's actuary also undertakes a valuation of the pension fund liabilities, on an IAS19 basis, every year using the same base data as the funding valuation rolled forward to the current financial year, taking account of changes in membership numbers and updating assumptions to the current year. This valuation is not carried out on the same basis as that used for setting fund contribution rates and the fund accounts do not take account of liabilities to pay pensions and other benefits in the future.

In order to assess the value of the benefits on this basis, the actuary has updated the actuarial assumptions (set out below) from those used for funding purposes (see Note 24). The following is the full Pension Fund Accounts Reporting Requirement provided by the fund actuary.

Introduction

CIPFA's Code of Practice on Local Authority Accounting 2017/18 requires Administering Authorities of LGPS funds that prepare pension fund accounts to disclose what IAS26 refers to as the actuarial present value of promised retirement benefits. I have been instructed by the Administering Authority to provide the necessary information for the Warwickshire Pension Fund ("the Fund").

The actuarial present value of promised retirement benefits is to be calculated similarly to the Defined Benefit Obligation under IAS19. There are three options for its disclosure in the pension fund accounts:

- showing the figure in the Net Assets Statement, in which case it requires the statement to disclose the resulting surplus or deficit;
- as a note to the accounts; or
- by reference to this information in an accompanying actuarial report.

If an actuarial valuation has not been prepared at the date of the financial statements, IAS26 requires the most recent valuation to be used as a base and the

date of the valuation disclosed. The valuation should be carried out using assumptions in line with IAS19 and not the Fund's funding assumptions.

31 March 2017		31 March 2018
£m		£m
1,205	Active members	1,307
602	Deferred pensioners	597
984	Pensioners	945
2,791	Present value of promised retirement benefits	2,849

The promised retirement benefits at 31 March 2018 have been projected using a roll forward approximation from the latest formal funding valuation as at 31 March 2016. The approximation involved in the roll forward model means that the split of benefits between the three classes of member may not be reliable. However, I am satisfied that the total figure is a reasonable estimate of the actuarial present value of benefit promises.

The above figures include both vested and non-vested benefits, although the latter is assumed to have a negligible value. Further, I have not made any allowance for unfunded benefits.

It should be noted the above figures are appropriate for the Administering Authority only for preparation of the pension fund accounts. They should not be used for any other purpose (i.e. comparing against liability measures on a funding basis or a cessation basis).

Assumptions

The assumptions used are those adopted for the Administering Authority's IAS19 report and are different as at 31 March 2018 and 31 March 2017. I estimate that the impact of the change in financial assumptions to 31 March 2018 is to decrease the actuarial present value by £56m. There is no impact from any change in the demographic and longevity assumptions because they are identical to the previous period.

Financial assumptions

Year ended (% p.a.)	31 March 18	31 March 17
	%	%
Inflation/pensions increase rate	2.4%	2.4%
Salary increase rate	3.0%	3.0%
Discount rate	2.7%	2.6%

Longevity assumptions

Life expectancy is based on the Fund's VitaCurves with improvements in line with the CMI 2013 model, assuming the current rate of improvements has reached a peak and will converge to a long term rate of 1.25% p.a. Based on these assumptions, the average future life expectancies at age 65 are summarised below:

	Males	Females
Current pensioners	22.5 years	24.7 years
Future pensioners (assumed to be aged 45 at the latest formal valuation)	24.3 years	26.7 years

Please note that the longevity assumptions have changed since the previous IAS26 disclosure for the Fund.

Commutation assumptions

An allowance is included for future retirements to elect to take 50% of the maximum additional tax-free cash up to HMRC limits for pre-April 2008 service and 75% of the maximum tax-free cash for post-April 2008 service.

Sensitivity analysis

CIPFA guidance requires the disclosure of the sensitivity of the results to the methods and assumptions used. The sensitivities regarding the principal assumptions used to measure the liabilities are set out below:

Sensitivity to the assumptions for the year ended 31 March 2018	Approximate % increase to liabilities	Approximate monetary amount (£m)
0.5% p.a. increase in the Pension Increase Rate	8%	234
0.5% p.a. increase in the Salary Increase Rate	2%	43
0.5% p.a. decrease in the Real Discount Rate	10%	294

The principal demographic assumption is the longevity assumption. For sensitivity purposes, I estimate that a 1 year increase in life expectancy would approximately increase the liabilities by around 3-5%.

Professional notes

This paper accompanies my covering report titled 'Actuarial Valuation as at 31 March 2018 for accounting purposes'. The covering report identifies the appropriate reliance's and limitations for the use of the figures in this paper, together with further details regarding the professional requirements and assumptions.

Prepared by:-

Richard Warden FFA

26 April 2018

For and on behalf of Hymans Robertson LLP

Note 29: Current assets

31 March 2017		31 March 2018
£m		£m
	Debtors:	
1.3	Contributions due: Employees	1.1
3.2	Contributions due: Employers	7.0
2.7	Invoiced debtors	1.7
0.6	Sundry debtors	0.3
0.9	Cash balances	2.3
8.7	Total	12.6

Note 30: Current liabilities

31 March 2017		31 March 2018
£m		£m
	Liabilities:	
0.9	Owed to administering authority	15.1
2.0	Sundry Creditors	1.8
0.8	Benefits Payable	0.8
3.7	Total	17.6

Note 31: Additional Voluntary Contributions

31 March 2017		31 March 2018
£m		£m
2.7	Standard Life	2.5
0.3	Equitable Life	0.2
3.0	Total	2.9

AVC contributions of £0.3 m were paid directly to Standard Life and £2000 was paid directly to Equitable Life during the year (2016/17: £0.3m to Standard Life and £3000 to Equitable Life).

Note 32: Related Party Transactions

Warwickshire County Council

The Warwickshire Pension Fund is administered by Warwickshire County Council. Consequently there is a strong relationship between the council and the pension fund.

During the reporting period, the council incurred costs of £835,715 (2016/17: £766,000) in relation to the administration of the fund and was subsequently reimbursed by the fund for these expenses. The council is also the single largest employer of members of the pension fund. Employee and employer contributions from the council amounted to £35.9m in 2017/18 (2016/17: £37.1 m).

Border to Coast Pensions Partnership

The Warwickshire Pension Fund, through Warwickshire County as the Administering Authority, is a shareholder in the Border to Coast Pension Partnership Limited. The partnership is a wholly owned private limited company registered in England and Wales founded to carry out pension fund asset pooling obligations set out by the Government. The company provides the facility to pool the pension fund investments of 12 local authorities in order to gain the benefits of economies of scale and the concentration of expertise, improved ability to manage down investment costs, and the benefits of investing on a larger scale. The company was incorporated in 2017/18 and the first transfers of investment assets into the pool are expected to occur in 2018/19. All 12 partners own an equal 1/12th share of the company.

Governance

There are two members of the pension fund investment sub-committee who are in receipt of pension benefits from the Warwickshire Pension Fund

Each member of the pension fund investment sub-committee is required to declare their interests at each meeting.

There are three members of the local pension board who are active members of the Warwickshire Pension Fund.

Key management personnel

Several employees of Warwickshire County Council hold key positions in the financial management of the Warwickshire Pension Fund, alongside responsibilities for Warwickshire County Council directly. These employees and their financial

relationship with the fund (expressed as cash-equivalent transfer values, as an appropriate approximation for an IAS19 exercise) are set out below.

	2017/18	2016/17
	£	£
Head of Finance	749,900	705,730
Strategic Finance Manager	384,576	354,720
Pensions Manager	0	0
Treasury and Pension Fund Manager	187,205	173,926
Principal Accountant	43,346	42,342

Note 33: Accounting standards issued but not yet adopted

The following new standards and amendments to existing standards had been published but not yet adopted by the Code of Practice on Local Authority Accounting in the United Kingdom:

- IFRS 9 Financial Instruments introduces new classifications for financial assets, and requires a different model to be applied for estimating and disclosing impairment allowances in relation to financial assets. The fund does not expect there to be any impact in the measurement of our financial assets neither anticipate any adjustments for impairments.
- IFRS 15 Revenue from Contracts establishes principles for the recognition of revenue and cashflows arising from a contract with a customer. The Fund does not have any revenue streams within the scope of the new standard.

Glossary

A

Actuarial valuation

A review of the assets and *liabilities* of a pension fund to determine the surplus or deficit, and the future rate of contributions required.

Alternative investments

Investments other than the mainstream *asset classes* of *equities* and *bonds*. Alternatives include *hedge funds*, *private equity*, *infrastructure* and *commodities*. Property is also sometimes described as an alternative.

Asset allocation

The apportionment of a fund's assets between different *asset classes*.

B

Benchmark

A yardstick against which the investment policy or performance of a fund manager can be compared.

C

Currency risk

Investing in any securities not denominated in the investor's own base currency introduces currency risk due to the *volatility* of foreign exchange rates.

D

Defined benefit scheme

A type of pension scheme where the pension that will ultimately be paid to the employee is fixed, usually as a percentage of final salary. It is the responsibility of the sponsoring organisation to ensure that sufficient assets are set aside to meet the pension promised. Compare with *defined contribution scheme*.

Diversification

The spreading of investment funds among different types of assets, markets and geographical areas in order to reduce *risk*.

H

Hedge Funds

A hedge fund is a capital pool that has the ability to use *leverage* and to take both *long* and *short* positions with the aim of achieving an *absolute return*. A large variety of hedge fund strategies exists and the level of *risk* taken will vary. Investors looking for a diversified exposure to hedge funds will normally opt for a fund of hedge funds – a fund with underlying investments in several hedge funds covering different strategies and geographical areas.

I

IAS19

An accounting standard which requires organisation's to incorporate their pension funds into their balance sheets and specifically that all pension fund *liabilities* should be valued using an AA corporate bond yield. Any mismatch between assets and liabilities is effectively brought on to the organisation's balance sheet.

P

Private equity

Funds put up by investors to finance new and growing businesses. Also known as venture capital

Private Debt

Private debt comprises mezzanine and other forms of debt financing that comes mainly from institutional investors such as funds and insurance companies – but not from banks.

R

Risk

In its simplest sense, risk is the variability of *returns*. Investments with greater inherent *risk* must promise higher expected returns if investors are to invest in them. Risk management is an important aspect of portfolio management and involves the use of complex statistical models.

S

Statement of Investment Principles (SIP)

Trustees of pension funds are required under the Pensions Act 1995 to prepare and keep up to date this written statement of how their scheme's assets are invested. Essentially, it provides evidence that the trustees have thought through the suitability of their scheme's investment policy and how that policy is implemented.

Stocklending

The lending of a *security* by the registered owner, to an authorised third party, for a fixed or open period of time, for an agreed consideration secured by *collateral*. The demand to borrow *securities* comes mainly from *market makers* to cover *short positions* or take *arbitrage* opportunities.

T

Transaction costs

Those costs associated with trading on a portfolio, notably *stamp duty* and *commissions*.

Council

26 July 2018

Statement of Accounts 2017/18

Recommendation

That Council approve the 2017/18 Statement of Accounts.

1. Purpose of the Report

- 1.1. This report presents the Statement of Accounts for 2017/18.
- 1.2. The Statement of Accounts for Warwickshire County Council comprises of:
 - The statement of responsibilities for the accounts
 - A narrative report by the Head of Finance
 - The core financial statements, comprising:
 - The movement in reserves statement
 - The comprehensive income and expenditure statement
 - The balance sheet as at 31 March 2018
 - The cash flow statement
 - The statement of accounting policies
 - The notes to the core financial statements
 - The Firefighters' Pension Fund statement
- 1.3. Recommendations for approval of the Annual Governance Statement and the Accounts of the Warwickshire Pension Fund, which will both form part of the County Council's 2017/18 Statement of Accounts when they are published, are sought within separate reports on today's agenda.
- 1.4. Elected members are not expected to be financial experts, but they are responsible for approving and issuing the Council's financial statements. In doing this they are playing a key role in ensuring accountability and value for money are demonstrated to the public. However, local authority financial statements are complex and can be difficult to understand: they must comply with CIPFA's Local Authority Code of Practice, which is based on International Financial Reporting Standards (IFRS) and also the accounting and financing regulations of central government.
- 1.5. This covering report explains the key features of the primary statements and notes that make up the 2017/18 Statement of Accounts. The narrative report

provides further information on the key issues for the benefit of readers of the statements.

- 1.6. Council are asked to approve the 2017/18 Statement of Accounts attached at **Appendix A**.

2. Narrative Report

- 2.1. The purpose of the narrative report is to provide commentary on the financial statements. It includes an explanation of key events and their effect on the financial statements. The information in the narrative report is consistent with budget information provided during the year and reconciles to the year-end financial position reported to Cabinet on 14 June 2018.

3. Core Financial Statements

3.1. Movement in reserves statement

Reserves represent the Council's net worth and shows its spending power. Reserves are analysed into two categories: usable and unusable. The level of usable reserves, the Council's spending plans and other sources of funding determine how much council tax needs to be raised. Unusable reserves derive from technical accounting adjustments and cannot be used to support spending. The movement in reserves statement analyses the changes in each of the authority's reserves between 2016/17 and 2017/18.

3.2. Comprehensive income and expenditure statement

The comprehensive income and expenditure statement reports on how the authority performed during the year and whether its operations resulted in a surplus or deficit. It is produced in a standard format and is made up of five broad sections:

- Cost of services: Presented in the management structure of the Council. It includes service specific income and expenditure.
- Other operating income and expenditure: Includes the surplus or deficit from the sale of property, plant and equipment.
- Financing and investment income and expenditure: Includes interest payable and receivable and trading account income and expenditure.
- Taxation and general grant income and expenditure: Includes revenue from council tax, business rates and government revenue and capital grants.
- Other comprehensive income and expenditure: Includes items which are not allowed to be accounted for elsewhere, such as increases in the value of land and buildings and changes in the actuarial assessment of pension assets/liabilities.

3.3. Balance Sheet

The balance sheet is a 'snapshot' of the authority's financial position at a point in time, showing what it owns and owes at 31 March 2018. It is divided into two halves that, as the name suggests, balance. These are assets less liabilities (the top half) and reserves (the bottom half).

3.4. Cash flow statement

The cash flow statement sets out our cash receipts and payments during the year, analysing them into operating, investing and financing activities. Cash-flows are related to income and expenditure but are not equivalent to them. The difference arises from the accruals concept, whereby income and expenditure are recognised in the comprehensive income and expenditure statement when the transactions occurred, not when the cash was paid or received.

4. Accounting Policies and Notes to the Core Financial Statements

- 4.1. The accounting policies set out the accounting rules the authority has followed in compiling the financial statements. They are largely specified by International Financial Reporting Standards and the Local Authority Accounting Code of Practice. We have limited discretion to amend them. There are no changes of accounting policy reflected in the Statement of Accounts this year.
- 4.2. The notes to the financial statements are generally the least read part of any set of accounts. This is because they appear complicated and include a lot of technical terms. However, the additional disclosures include important information and provide the context for the figures in the core financial statements.

5. Firefighters' Pension Fund Statement

- 5.1. It is unusual for an unfunded pension scheme (such as the firefighters' scheme) to have a fund as it holds no assets that need to be ringfenced. We collect in the Fund contributions receivable from Warwickshire County Council (as the employer) and firefighters' (employee) contributions and pay out any benefits due. The Fund is then balanced to nil at the end of each financial year by either paying over or receiving pension fund top-up grant from the government.

6. Audit Status

- 6.1. The attached 2017/18 Statement of Accounts has been audited and the Audit Findings Report from the external auditors, Grant Thornton, was considered by the Audit and Standards Committee at their meeting on 25 July 2018.

There were no issues raised in that report that the Committee wished to bring to the attention of Council.

- 6.2. The audit opinion will be signed by Grant Thornton's Engagement Partner on receipt of our letter of representation signed by the Chair and Head of Finance following approval of the accounts by Council. A letter of representation is provided in connection with the audit of the 2017/18 financial statements for the purpose of expressing our opinion to the best of our knowledge and belief, having made appropriate enquiries, that the financial statements give a true and fair view.
- 6.3. The approved accounts will be published alongside those of the Warwickshire Pension Fund and the authority's Annual Governance Statement (elsewhere on the Agenda) together with the signed audit opinions by 31 July 2018 in line with statutory regulations.

7. Background Papers

- 7.1. None.

	Name	Contact Information
Report Author	Vicki Barnard	vickibarnard@warwickshire.gov.uk Tel: 01926 73 (8816)
Head of Service	John Betts	johnbetts@warwickshire.gov.uk
Strategic Director	David Carter	davidcarter@warwickshire.gov.uk
Portfolio Holder	Peter Butlin	peterbutlin@warwickshire.gov.uk

The following Elected Members have been consulted on this report prior to its publication:

Local Member : N/A
Other Members: N/A

Warwickshire County Council

Statement of Accounts



Introduction

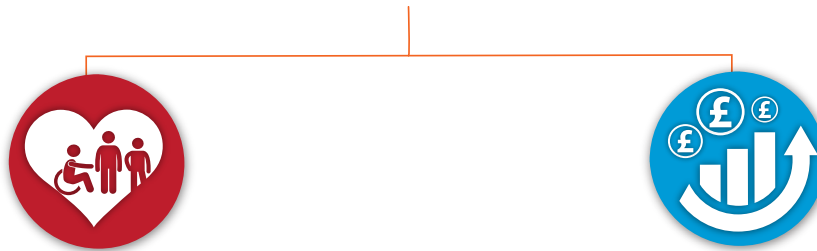
I am pleased to introduce our Financial Accounts for 2017/18. The purpose of these accounts is to present a true and fair view of the financial results of our activities for the year and the value of our assets and liabilities at the end of the financial year. They represent the financial results of the delivery of the first year of our 2017-2020 One Organisational Plan. This narrative report is set out in four parts. The first provides some key information on what the Council does and how it does it. It describes some of the key challenges facing the Council over the next few years and the

changes taking place in the Council to respond to those challenges. The second part provides further detail on how we resource the Council's plans. This section also considers the factors in the external environment that influence our decisions and highlights some of the key risks that we have identified to our priorities. The third part summarises our financial and other performance in 2017/18 and our effectiveness in the use of our resources. The final part provides information on how the Financial Accounts for 2017/18 are prepared and set out.

A. Organisational overview and operational model

In February 2017 our 2017-2020 One Organisation Plan was approved. It is a single, policy-led plan that sets out a clear and compelling vision for Warwickshire, setting out clearly where we need to get to by 2020 and how we are going to get there. The One Organisational Plan provides the necessary framework to deliver change management and transformation and to ensure clear line of sight delivery of the Council's Core Purpose and Outcomes. Our core purpose is that:

We want to make Warwickshire the best it can be.



Warwickshire's Communities and Individuals are supported to be safe, healthy and independent

Warwickshire's economy is vibrant and supported by the right jobs, training and skills and infrastructure

Our communities are independent, resilient and safe

Vulnerable members of our communities are supported to be independent and safe

We support and coordinate other organisations to deliver services

Children and adults have access to quality learning throughout their lives

Young people are supported to access apprenticeships and employment

Warwickshire is an attractive place to do business with a strong local economy and infrastructure

Our communities and businesses are thriving and prosperous

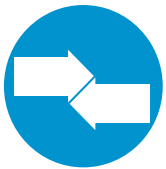
To deliver these outcomes we need to ensure our services are efficient, integrated and exploit technology and innovation, so we also focus on ensuring that the Council makes the best use of its resources. The outcomes framework ensures that Members and Officers have a clear picture of how well the organisation is progressing against the One Organisational Plan as well as the key business outcomes that support and underpin it.

The One Organisational Plan, updated in February 2018, includes making savings of £57 million. This means shaping the future of a very different County Council and different public sector provision in Warwickshire by 2020. The reduction in resources does not diminish our ambition for the County.

We cannot do this alone and we are continuing to look to our residents and partners in the public, private and voluntary communities to open up a new conversation to find solutions and different ways of working. Some of our key initiatives in this area include:



A new conversation around how residents help themselves, access information and advice and receive specialist help



Moving towards an integrated health and care model



Creating a future vision for children and families



Developing community capacity

Politically, Warwickshire County Council has 57 councillors, who are elected every four years. The last elections were held on 4 May 2017. The current political composition of the Council is 36 Conservative members, 10 Labour members, seven Liberal Democrat members, two Green Party members and two Independents. The Council makes its decisions via a Cabinet of nine members including the Leader of the Council, Cllr Izzi Seccombe. Warwickshire's Councillors are responsible for setting the strategic direction of the Council and for scrutinising performance. Further details of the governance arrangements in the Council are included in the Annual Governance Statement, included within this document.

Organisationally, Warwickshire operates through three Groups (referred to as Directorates since 1 April 2018): Communities (including Fire and Rescue), People

and Resources. Each Group is headed by a Director who sits on the Council's Corporate Board. Business Units within each Group have plans in place which correspond to the budget set for them by Council and the key outcomes within the One Organisational Plan. Each service has Key Performance Indicators which are monitored and included in quarterly performance reports to Group Leadership Teams and Members.

At the end of the year we had the equivalent of 4,501 employees and just under half our spending each year is on staffing. This is a decrease of 593 employees from last year. Warwickshire's employees are responsible for translating Councillors' strategic decisions into actions. Our Workforce Strategy 2014-2018 sets out the key principles to ensure we have a workforce that is fit for purpose to deliver the One Organisational Plan.

The Council collaborates with a number of external partner organisations to plan and deliver its intended outcomes. These include the neighbouring councils of Coventry City Council, Solihull Metropolitan Borough Council, and the five Warwickshire District and Borough Councils. We are a non-constituent member of the West Midlands Combined Authority and a member of the Coventry and Warwickshire Local Enterprise Partnership. We work closely with the local NHS organisations and a number of other bodies, including:

- **Central government departments and ministries**
- **National and local charities**
- **Academy schools and academy trusts in Warwickshire**
- **Local universities and other academic organisations**
- **Local industry and businesses**
- **Town and parish councils in Warwickshire**



Further details of the Council's key priorities, plans and outcomes are available in the One Organisational Plan.

B. Resourcing our activities

The medium term financial plan underpins the delivery of the One Organisation Plan and is agreed as part of the budget-setting process which concludes in February each year. Taking a medium-term approach allows for a more coordinated and planned approach to prioritisation, and allows services to focus on delivery knowing the financial limits and constraints within which they are required to operate. Within the budget resolutions, the Council confirms and applies a number of fundamental financial strategies and policies. These include:

Revenue and capital spending

We spend taxpayer resources in two ways, through revenue and capital spending. Broadly, our revenue spending relates to income received in year and spending on items used in the year. Most of our salary costs are included in revenue expenditure. Our capital spending relates to items we have bought, created or improved and which will be used for more than one year. An amount is charged to our revenue accounts each year to reflect a cost equivalent to the economic

use of such assets in that year to reflect the fact that services cannot be provided without spending on assets.

The amount of revenue income we have available to provide services, excluding schools, is forecast to be in the region of £408 million by 2020. A year by year breakdown is presented in more detail below.

Revenue resources	2017/18 £m (actual)	2018/19 £m (forecast)	2019/20 £m (forecast)
Revenue Support Grant	20	10	-
Business Rates	66	63	65
General Government Grants	55	53	55
Adult Social Care Levy	10	15	20
Council Tax	247	260	268
Total Revenue Resources	398	401	408

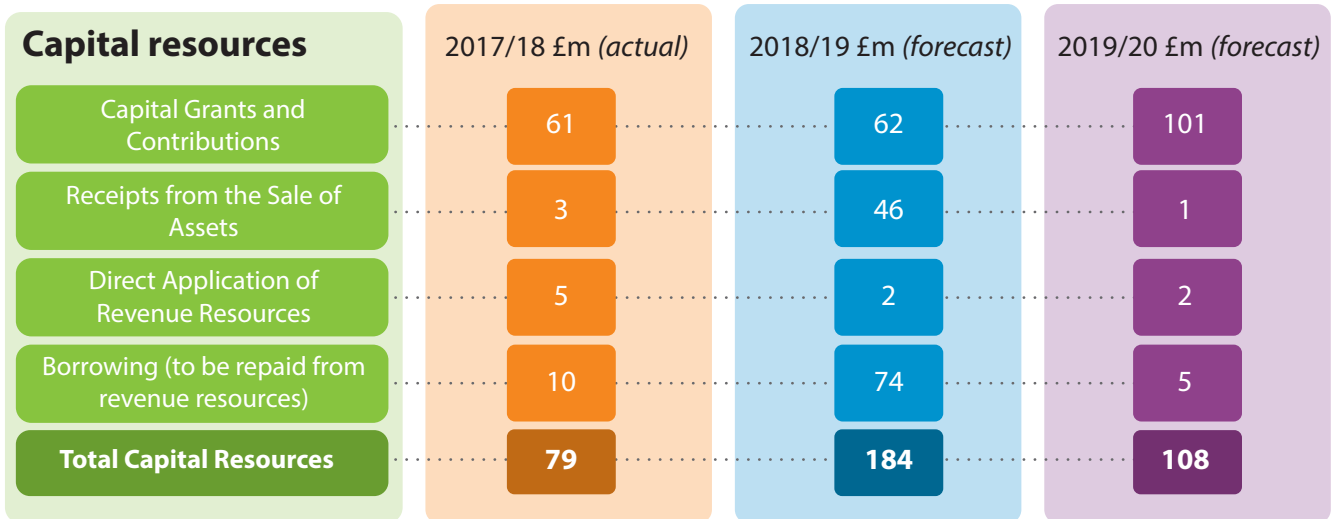
Revenue allocations are made to specific services through a process which balances demand forecasts, inflation and other price increases, commitment to our statutory duties and the investment choices which the Council wishes to make to improve services or reduce costs. By law, we must set a balanced budget which ensures that the Council meets not only its existing financial commitments but also remains on a firm financial footing for the future.

Adult social care is our largest area of revenue spending. In November 2015 the Government announced that local authorities would be able to levy an additional 2% on top of their normal council tax increase each year, with this additional funding to be ring-fenced for use in adult social care. A further announcement in December 2016 allowed councils to levy up to another 6% across 3 years from 2017 to

2020. We plan to take the additional levy for each year in that period and will increase the resources available to deliver adult social care by at least the amount raised this way.

The figures shown above for government grants do not include a number of specific grants which come with conditions that limit our discretion in how they can be used. The largest of these is the Dedicated Schools Grant which we receive from government to meet the cost of funding schools and relevant pupil-related services. We are currently reviewing how we deploy these resources for maximum strategic effectiveness.

The figures also do not include income we receive as a result of charging for our services.



Our capital spending power is determined from a combination of the external income which must be spent on capital (such as specific grants or contributions and the receipts from the sale of our assets) and the extent to which the Council is willing to meet the costs associated with borrowing money from its revenue resources. The Council's current expectations of capital financing are shown on above.

Our capital allocations are made in line with our Capital Strategy, which includes two key elements: capital maintenance works to ensure our assets continue to be fit for purpose and able to support the provision of services; and capital investment to create and develop new assets. Each element has a number of strands that ensure a clear focus on the purpose of capital spending and the prioritisation of proposals, underpinned by specific service asset management strategies.

Allocations included in the maintenance programme meet one of the following three criteria:

- **Structural maintenance cost of maintaining our assets to ensure services can continue to be delivered**

Savings and efficiencies

The resource estimates shown above reflect the impact of both continuing austerity and the broader economic outlook. The figures indicate that, over the three years of the One Organisational Plan, we must

- **Statutory health and safety and other regulatory requirements**
- **Annual cost of equipment and/or vehicle replacement programmes**

Our annual maintenance programme includes allocations from the government grants received for schools and highways maintenance plus revenue funding used for the replacement of vehicles, where this is more cost effective than leasing the vehicle.

Investment schemes are, by their nature, not routine and are only considered if they move the organisation towards the delivery of our outcomes. Where we have discretion in how to apply capital financing, we use a structured evaluation process that assesses:

- **What we are trying to achieve for the Warwickshire residents, businesses and visitors by investing in particular assets**
- **The contribution of the new assets to the delivery of the corporate outcomes**
- **The financial costs and benefits over the short, medium and long term, and**
- **The risks inherent in the delivery of the scheme itself and the expected benefits, with a focus on better up-front planning and timetabling.**

deliver savings of £57.0 million. The savings have been identified from all areas of activity and will be delivered in a phased manner over the three years.

Reserves

Reserves are resources we have accumulated over time and set aside for a particular purpose as part of an integrated approach to the successful financial management of the authority over the short, medium and long term. We hold reserves to:

- **Ensure future events outside of our control do not undermine the authority's overall financial position or impact on service delivery**
- **Plan for the effective use of resources over time for a specific purpose**
- **Ensure we meet funding conditions (set either by an external funding body or a specific decision of Members) in our use of any available resources**
- **Retain any other accumulated underspends prior to decisions on their use**

Our budget is set to include anticipated levels of reserve added or drawn down in the year; these plans may change as the year progresses to react to emerging pressures or other events and are approved in our quarterly monitoring process. Some reserves are held at a corporate level to support overarching risks and strategies.

The level of general reserves is consistent with the overall financial environment and the key financial risks faced by the Council. These risks are assessed at least annually and take account of circumstances at the time of assessment as well as trends into the future.

Borrowing and investments

We undertake treasury management activities in a prudent and flexible manner so as to ensure we retain sufficient liquid funds to provide for day-to-day cashflow requirements whilst funding our capital spend at the lowest cost. These activities are managed within an overall framework determined by the annual

Treasury Management Strategy which is updated and approved by Members annually. Interest income and expenditure as a result of investments or borrowing is reflected in our revenue budgets.

Pensions

The majority of the Council's employees are members of the Warwickshire Local Government Pension Scheme, and the Council administers the fund that supports the Scheme. As a defined benefit scheme, the Scheme is shown as a long-term liability in our accounts. However, statutory arrangements for funding this deficit are in place, including increased contributions over the working life of employees, and means that our financial position remains healthy.

Both the accounts for the County Council and the Pension Fund are included in this document, though they are operated as independent entities. The County Council's accounts reflect the pension disclosures relating only to its own employees. This includes disclosures for those staff with alternative pension schemes, such as Teachers and Firefighters.

Management of Risk

The successful delivery of the One Organisational Plan and our sustainability into the future are dependent on our ability to manage and respond to the risks we face. The items in our strategic risk register are:

- **Government policies, new legislation, austerity measures and demographic pressures present challenges to service delivery**
- **Continuing pressure on adult social services and health**
- **Safeguarding children and vulnerable adults in our community and our ability to take action to avoid abuse, injury or death**
- **The ability to maintain the security of personal or protected data held by the Council and**

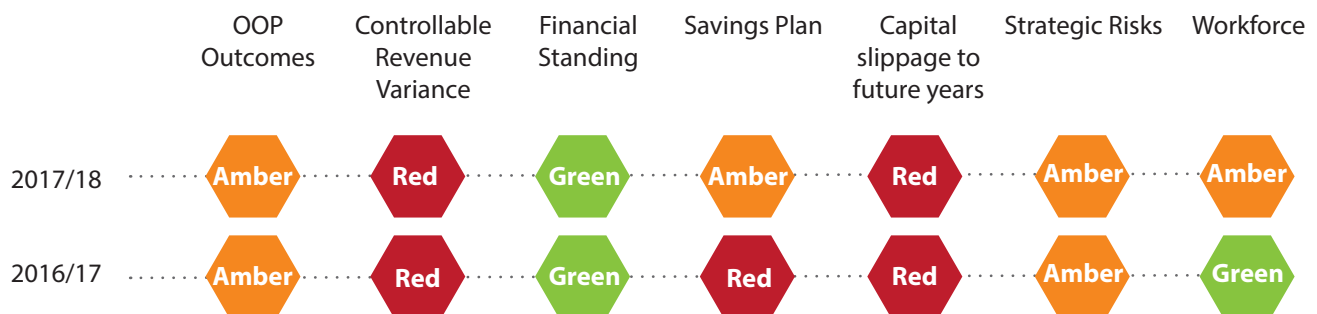
protect our systems from disruption as a result of cybercrime

- **The ability to secure economic growth in Warwickshire, and**
- **The ability to keep our communities safe from harm.**

Due to their nature these risks will always remain; this does not indicate that our performance is poor in these areas. We actively manage these risks through specific mitigating actions. Further information can be found in the Annual Governance Statement, included within this document.

C. Our performance in 2017/18

Delivery of the One Organisational Plan is assessed through seven key components, each of which has a year-end rating. The chart below shows the delivery status of these seven components at the end of 2017/18 and is compared to the 2016/17 year-end position (derived from performance reports relating to the 2014-2017 One Organisational Plan):



Note: in both years, our controllable revenue variance was greater than a 2% underspend, and so is shown here as red, despite allowing the Council to make a net contribution to reserves.

Based on the assessment of our Key Business Measures (KBM) the delivery of our two OOP 2020 Outcomes has a rating of 'Amber'. This is primarily due to the effect of pressures on key services in Outcome 1 "Warwickshire's communities and individuals are supported to be safe, healthy & independent". Much of this is a result of demand exceeding forecasts in areas such as looked after children, permanent admissions to social care and fire incidents. These are statutory services that the authority continues to provide even when demand is increasing and against a backdrop of reducing resources and a planned savings

programme. There is also strong performance in our economic and education KBMs under Outcome 2 "Warwickshire's economy is vibrant and supported by the right jobs, training, skills and infrastructure". Despite the overall rating, there is considerable positive achievement across the seven policy areas.

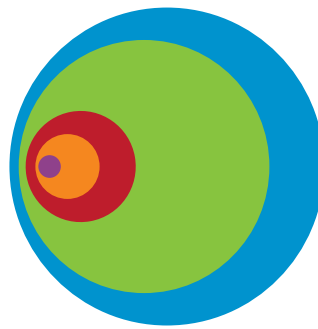
Further information on our overall organisational performance can be found in the One Organisational Plan Year End Progress Report 2017/18 on our website www.warwickshire.gov.uk.

Financial Performance

Revenue income and expenditure

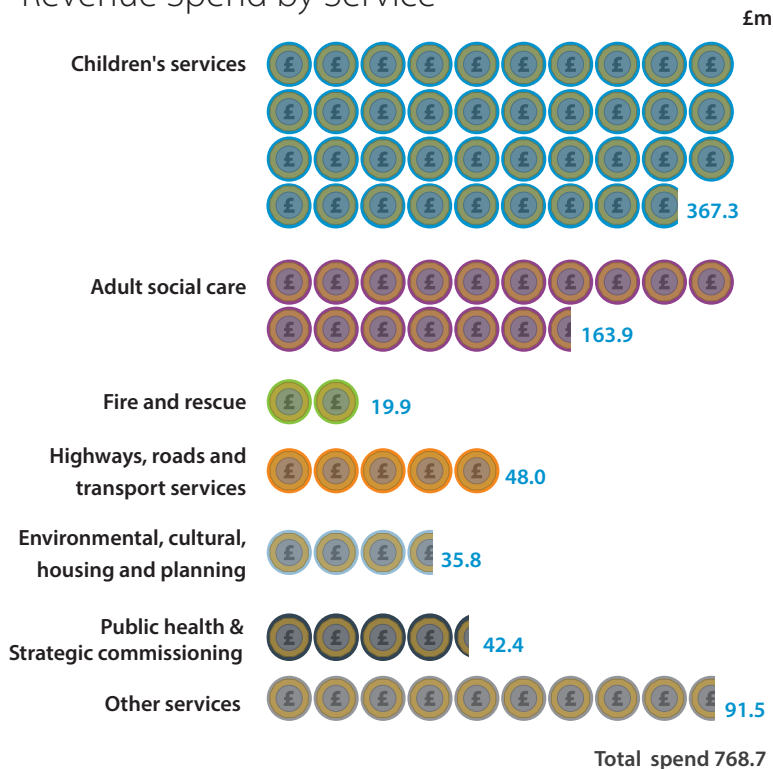
Our total revenue income in 2017/18 was £782.1 million. The main sources of revenue income received in 2017/18 to support the revenue budget of our services are shown in the chart on the right.

Revenue Income



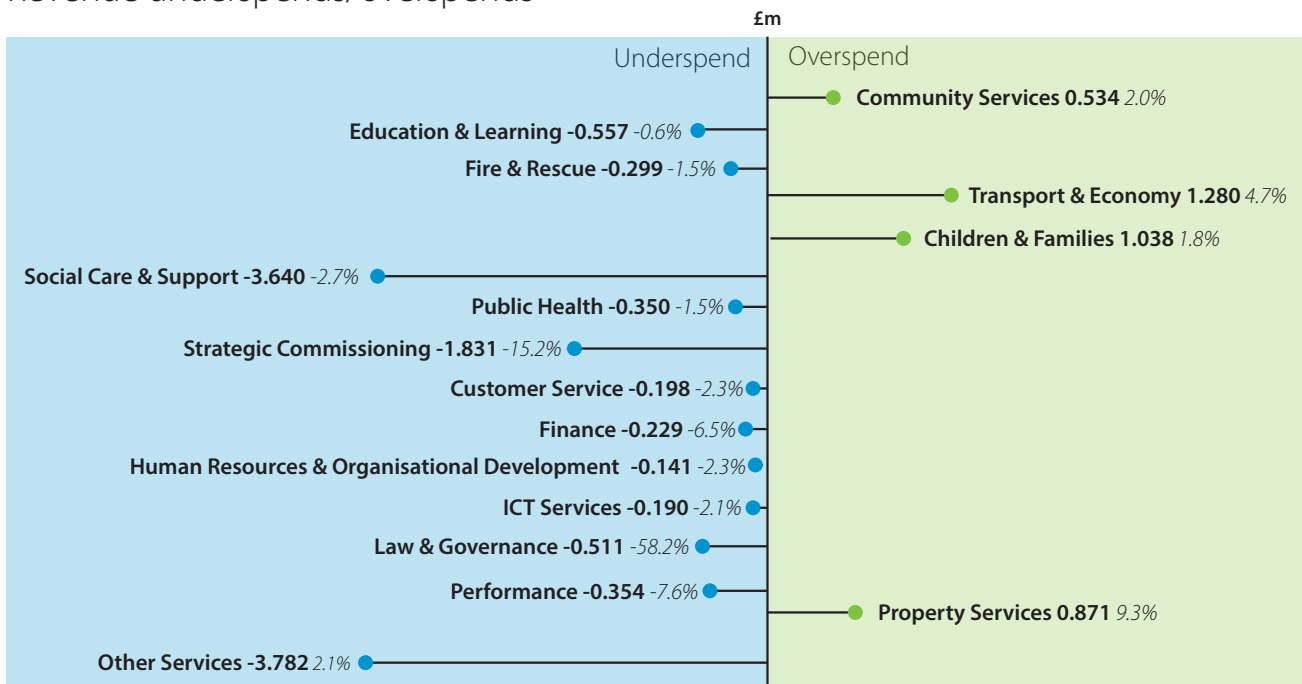
	£m	
Customer and client receipts	112.9	14.6%
Grants	324.6	41.9%
Council tax (inc. Adult Social Care levy)	257.9	33.3%
Revenue support grant	20.4	2.6%
Business rates	66.3	8.6%

Revenue Spend by Service

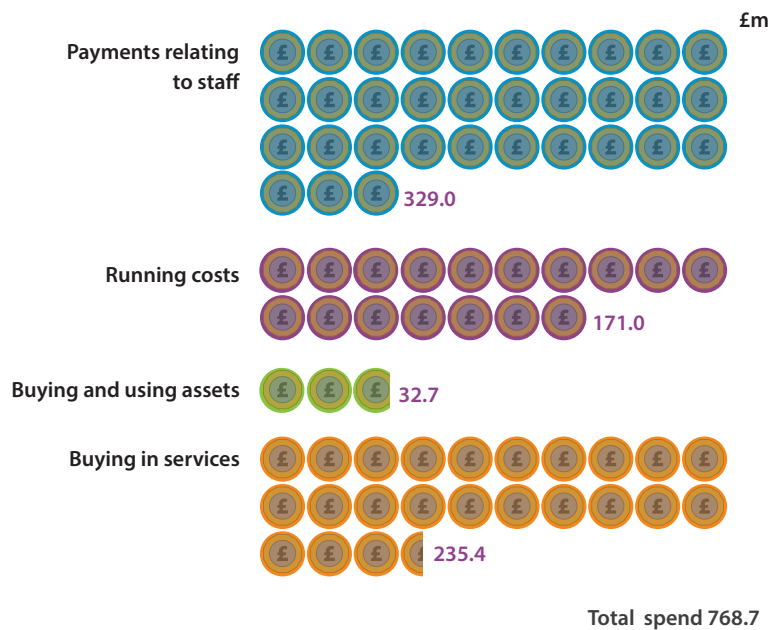


We have spent £532.6 million of this revenue income to finance the various services we provide (excluding schools), as illustrated in the charts to the left. The £532.6 million, schools spending (£236.0 million) and net technical adjustments that are not part of our management accounts of £119.5 million make up the gross cost of services.

Revenue underspends/overspends



Revenue Spend by Type

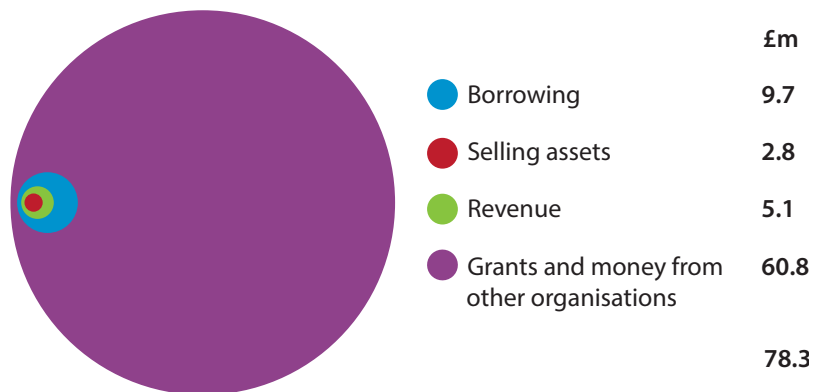


We planned to use £10.6 million of our reserves to support the delivery of services in 2017/18. However services, spent £14.6 million less than their cash-limited budget (including a schools overspend of £2.2 million); when combined with the £9.4 million additional government grant received during the year, the outcome was that our usable revenue reserves increased overall by £13.4 million.

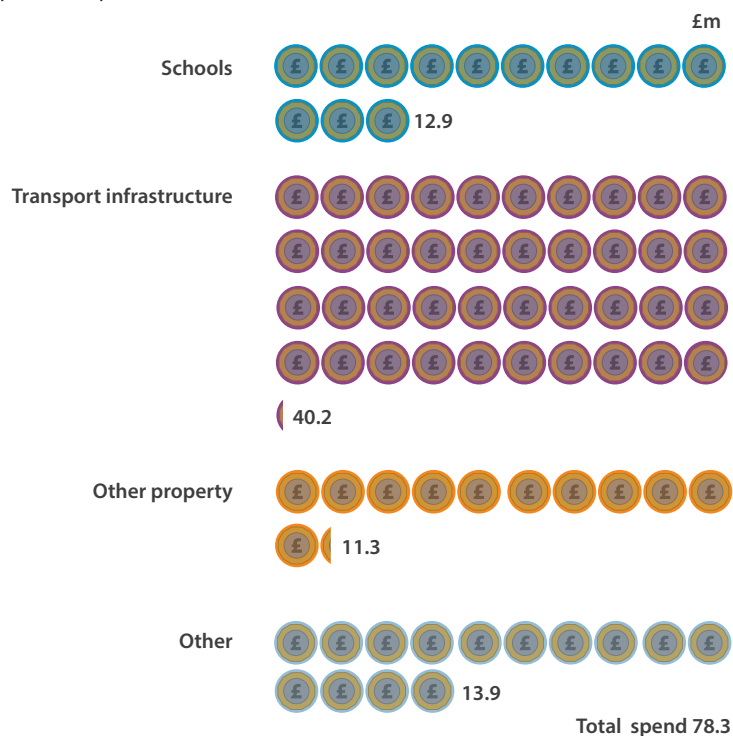
Capital spending and the value of our assets

We spent £78.3 million on the purchase and creation of assets in 2017/18, including £14.9 million on assets owned by other parties. Our initial estimate was £121.8 million and a further £22.2 million of expenditure was approved during the year. Our capital spending was therefore £65.6 million less than our final budget of £143.9 million. This underspend was due to delays on individual projects. Most of this spending now is expected to be incurred in 2018/19. Further details on the sources of finance and the areas of spending are provided in the charts to the right and on the next page.

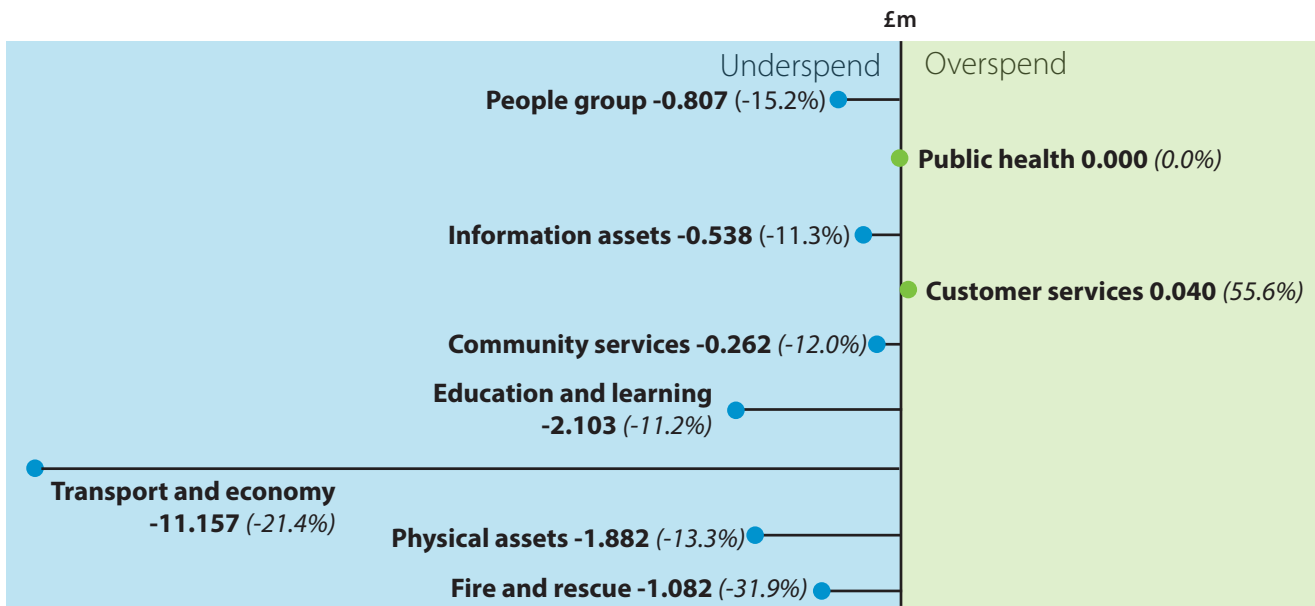
Capital Financing



Capital Spend



Capital underspends/overspends



The value of our fixed assets has decreased from £1,301 million to £1,192 million in 2017/18. The main reasons for this decrease are:

- Schools valued at £74.0 million transferred to academy status;
- A further £1.2 million of assets disposed, primarily through our Property Rationalisation Programme;
- A spend of £63.4 million to invest in our assets;
- A write-down of £43.4 million from the value of our assets during the year to reflect their usage by services; and
- A net decrease in the value of our assets of £53.2 million as a result of updated valuations to reflect market movements and usage changes.

Savings and efficiencies

2017/18 was the first year of the One Organisational Plan. Implementation of this plan (as updated in February 2018) requires savings of £57.0 million to be delivered, of which £29.2 million had been delivered by the end of 2017/18. These savings were spread across a number of areas. Some of the larger items were:

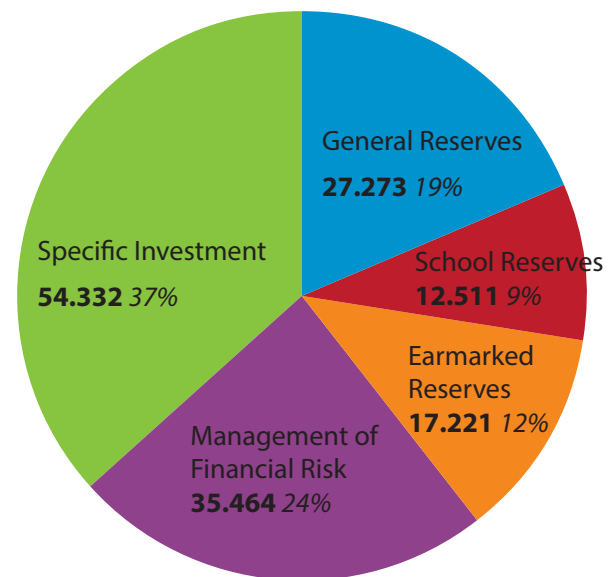
- £3.0 million reduced capital financing costs as a result of the review of our prudent Minimum Revenue Provision approach;
- £1.0 million saving through a revised commissioning approach in adult social care;
- £0.9 million net reduction in demand for traditional homecare provision through improved occupational therapy;
- £1.2 million saving as a result of redesigned ways of working and arrangements for external contracts in public health;
- £0.7 million saving arising from the school-led improvement approach;
- £1.9 million saving from a review of contracts in the Supporting People programme;
- £0.4 million reduction in waste management costs; and
- £0.4 million decreased property running costs as a result of the Property Rationalisation Programme.

Reserves

At 31 March 2018 our usable revenue reserves are £146.8 million. £13.9 million of this is held by schools; a breakdown of the remainder is shown in the chart on the right. We consider this to be a robust figure which gives us the capacity to withstand financial shock as well to invest in change to improve our efficiency and effectiveness. We will continue to apply our Reserves Strategy which describes how and when these reserves should be used or added to.

Reserves Position

£m



Borrowing and Investments

Whilst the average rate that financial institutions lend money to each other was 0.21% during 2017/18, our treasury management activity generated a better average interest on investments of 0.84%. We have managed the Council's money prudently, with investments made to the UK Debt Management Office and to other local authorities in line with our Treasury Management Strategy. Our long-term debt outstanding is £352 million at 31 March 2018, the same as a year previously, and at 31 March 2018 we are holding £190.3 million of cash or cash equivalents, an increase of £27.5 million from the previous year

Pensions

At 31 March 2017 our total pensions liability was £787.0 million, a decrease of £14.8 million over the year. This remains within the expected range and we are confident that this liability is well-managed within the statutory arrangements.

D. Outlook

We have started work on reviewing how we will move beyond 2020 to ensure we have strong arrangements in place to deliver future strategic plans and savings, as the authority's financial envelope continues to reduce. We recognise that beyond 2019/20 the changes to the system of local government finance as a result of the increasing moves towards self-sufficiency and the increased localisation of business rates means our financial planning processes will need to change as the level of income from local taxation will become increasingly variable and unpredictable. We also need to closely monitor factors in the wider regional and national environment that can have a substantial impact, both financial (such as inflation and interest rates) and non-financial (such as demographic and political change).

There are a number of areas where we expect to develop more detailed plans in time for our 2019/20 full refresh of the Medium Term Financial Plan. These include:

- **A long term solution to balance the Dedicated Schools Grant.**
- **A review of the Fire and Rescue Service.**
- **A more commercial approach to the use of the Council's property and land assets.**
- **A digital transformation pathway that contributes to the delivery of savings beyond 2020.**
- **An end-to-end service redesign of the collection and disposal of waste across Warwickshire.**

E. Basis of preparation and presentation

In considering this report, you should note that the comparison of spend against service budgets which we use internally to assess our financial performance is not directly comparable to the cost of services disclosed in the Statement of Accounts. This is mainly due to the accounting adjustments required to comply with reporting requirements, which do not impact on the amount of our spending to be met by local taxpayers, which is central to our in-year monitoring of our financial performance. The key

differences relate to the way in which we account for items such as depreciation, impairment, reserves, provisions and carry-forwards. Each of these items is explained further in our accounting policies or the glossary.

Core Financial Statements

These comprise the four key pieces of information in the Statement of Accounts:

Comprehensive Income and Expenditure Statement	Balance Sheet
An accounting deficit of £162.0 million for 2017/18 has been reported; the outturn position is an £8.4 million surplus after budget movements approved by Members during the year.	A decrease of £76.0 million in County Council's net assets as at 31 March 2018.
This statement shows the accounting cost in the year of providing services rather than the amount to be funded from taxation. The main factors in the move from surplus to deficit are capital depreciation, revaluation and pensions charges.	The balance sheet shows the value of the assets and liabilities recognised by the County Council. At 31 March 2018 the County Council's net worth was £243.2 million.
Cash Flow Statement	Movement in Reserves Statement
A net cash outflow of £27.6 million in 2017/18 in cash or cash equivalents.	An increase of £12.2 million in the County Council's usable reserves, made up of an increase of £13.4 million in revenue reserves and a decrease of £1.2 million in capital reserves.
This statement summarises the cash that has been paid to us and which we have paid to other organisations and individuals.	This statement shows the movement in year on the different reserves held by the Council, analysed into usable reserves (i.e. those that can be used to fund spending or reduce taxation) and other reserves.

Statement of accounting policies

This summarises the accounting rules and conventions we have used in preparing these financial statements. It reflects a change of accounting policy in relation to the fair value of financial assets and liabilities under the IFRS 13 accounting standard.

Notes to the core financial statements

The notes include more detail to support the information contained in the core financial statements as well as information on critical judgements and assumptions applied in the production of the accounts.

F. Other sections of the document

As well as the Statement of Accounts for the County Council, this document includes separate sections for the Annual Governance Statement and the Statement of Accounts for the Warwickshire Pension Fund.

The Annual Governance Statement describes the Council's Governance Framework and system of internal control. It includes a review of the effectiveness of this system in the past year and identifies key risks for the Council to manage in the

future. The Annual Governance Statement also covers the Warwickshire Pension Fund.

The Warwickshire Pension Fund's Statement of Accounts describes the Fund's financial position and performance in 2017/18. While the County Council administers the Fund, the Fund's accounts represent its activities on behalf of all its member organisations. Further information about the Fund can be found in Note 1 of that section.

John Betts
Head of Finance

Warwickshire County Council

Statement of Accounts

2017/18



*Working for
Warwickshire*

We would welcome any comments or suggestions you have about this publication. Please contact Vicki Barnard, Corporate Finance and Advice, Resources Group, Warwickshire County Council.

- Phone: 01926 738816
- E-mail: vickibarnard@warwickshire.gov.uk

You can also leave your comments on our website at <https://www.warwickshire.gov.uk>

If this information is difficult to understand, we can provide it in another format, for example, in Braille, in large print, on audiotape, in another language or by talking with you. Please contact Navdip Sodhi on 01926 418174.

This document forms part of the Warwickshire County Council's 2017/18 Statement of Accounts which also includes the Annual Governance Statement and the accounts for Warwickshire Pension Fund. The accounts for the Pension Fund are available at <https://www.warwickshire.gov.uk>.

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**INDEPENDENT AUDITOR'S REPORT TO THE MEMBERS OF
WARWICKSHIRE COUNTY COUNCIL**

(to be completed)

Statement of responsibilities for the statement of accounts

This section explains our responsibilities for our financial affairs and how we make sure we carry out these responsibilities properly, in line with the Accounts and Audit Regulations 2015.

Responsibilities of the Council

We do the following:

- Make sure that one of our officers is responsible for managing our financial affairs. In this council, the Head of Finance is responsible for this.
- Manage our affairs to make sure we use our resources efficiently and effectively and protect our assets.
- Approve the statement of accounts.

Responsibilities of the Head of Finance

As the Head of Finance, I am responsible for preparing our statement of accounts. These accounts must present a true and fair view of our financial position, including our income and spending for the year.

In preparing our statement of accounts, I have:

- Selected suitable accounting policies and applied them consistently;
- Made reasonable and prudent judgements and estimates; and
- Followed the Chartered Institute of Public Finance and Accountancy/LASAAC Code of Practice on Local Authority Accounting in the United Kingdom.

I have also:

- Kept proper accounting records which are up to date; and
- Taken steps to prevent and detect fraud and other irregularities.

I certify that the Statement of Accounts presents a true and fair view of the financial position of Warwickshire County Council at 31 March 2018 and the income and expenditure for the year ended 31 March 2018. The unaudited draft accounts were authorised for issue on 31 May 2018. These were audited and were considered and approved at a meeting of the Council on 26 July 2018. The approved accounts were authorised for issue on that date.

John Betts
Head of Finance

Date: 26 July 2018

Councillor John Cooke
Chair of the Council

Date: 26 July 2018

Comprehensive Income and Expenditure Statement

This section summarises our spending on services and where we got the money from.						
2016/17			Summary of revenue spending	2017/18		
Gross expenditure £m	Gross income £m	Net expenditure £m		Gross expenditure £m	Gross income £m	Net expenditure £m
			Money spent on services			
234.4	-37.7	196.7	~ Communities Group	328.0	-39.5	288.5
23.0	-0.2	22.8	~ Fire Service	27.2	-0.4	26.8
238.2	-42.1	196.1	~ People Group	258.3	-50.3	208.0
59.3	-10.0	49.3	~ Resources Group	61.4	-7.1	54.3
237.3	-279.0	-41.7	~ Schools	219.8	-271.8	-52.0
3.5	-37.0	-33.5	~ Other Services	5.3	-36.9	-31.6
1.6	0.0	1.6	~ Non-distributed costs	-11.8	0.0	-11.8
797.3	-406.0	391.3	Net cost of services	888.1	-406.0	482.1
41.5	0.0	41.5	~ Other operating expenditure (note 4)	70.2	0.0	70.2
56.1	-18.1	38.0	~ Financing and investment income and expenditure (note 5)	52.3	-17.7	34.6
0.0	-413.5	-413.5	~ Taxation and non-specific grant income and expenditure (note 6)	0.0	-424.9	-424.9
894.9	-837.6	57.3	Surplus (-) or deficit on the provision of services	1,010.6	-848.6	162.0
			Items that will not be reclassified to the surplus (-) /deficit on the provision of services			
		-25.0	~ Surplus (-) or deficit on revaluation of property, plant and equipment			-40.3
		-3.0	~ Surplus or deficit on revaluation of available for sale financial assets			0.6
		94.3	~ Remeasurements of the net defined benefit liability/(asset)			-46.3
		66.3	Other comprehensive income and expenditure			-86.0
		123.6	Total comprehensive income and expenditure			76.0

To arrive at the figures for each group in the table above we adjust the income and expenditure figures used internally to report our financial performance as required by the Code and regulations. A reconciliation of these adjustments and more details as to what each adjustment relates to are shown in the Expenditure and Funding Analysis (Note 1) and the Adjustments between accounting basis and funding basis under regulations (Note 2) in conjunction with the Movement in Reserves Statement.

Movement in Reserves Statement

Movement in Reserves Statement - 2017/18	General Fund (Unearmarked Funds)	General Fund Earmarked Reserves	General Fund Capital Fund	Total General Fund Reserves	Capital Grants Unapplied	Total Usable Reserves	Unusable Reserves	Total Authority Reserves
	£ m	£ m	£ m	£ m	£ m	£ m	£ m	£ m
Balance at 31 March 2017	25.1	107.3	1.0	133.4	2.6	136.0	183.2	319.2
Movement in Reserves during 2017/18								
Total Comprehensive Income and Expenditure	-162.0	0.0	0.0	-162.0	0.0	-162.0	86.0	-76.0
Adjustments between accounting basis and funding basis under regulations (note 2)	175.4	0.0	0.0	175.4	-1.2	174.2	-174.2	0.0
Net Increase / Decrease (-) before Transfers to Earmarked Reserves	13.4	0.0	0.0	13.4	-1.2	12.3	-88.2	-76.0
Transfers to / from (-) Earmarked Reserves (note 7)	-9.3	9.1	0.2	0.0	0.0	0.0	0.0	0.0
Increase / Decrease (-) in Year	4.1	9.1	0.2	13.4	-1.2	12.3	-88.2	-76.0
Balance at 31 March 2018	29.3	116.4	1.2	146.8	1.4	148.2	95.0	243.2

Movement in Reserves Statement - 2016/17	General Fund (Unearmarked Funds)	General Fund Earmarked Reserves	General Fund Capital Fund	Total General Fund Reserves	Capital Grants Unapplied	Total Usable Reserves	Unusable Reserves	Total Authority Reserves
	£ m	£ m	£ m	£ m	£ m	£ m	£ m	£ m
Balance at 31 March 2016	21.4	112.4	0.8	134.6	1.2	135.8	307.0	442.8
Movement in Reserves during 2016/17								
Total Comprehensive Income and Expenditure	-57.3	0.0	0.0	-57.3	0.0	-57.3	-66.3	-123.6
Adjustments between accounting basis and funding basis under regulations (note 2)	56.1	0.0	0.0	56.1	1.4	57.5	-57.5	0.0
Net Increase / Decrease (-) before Transfers to Earmarked Reserves	-1.2	0.0	0.0	-1.2	1.4	0.2	-123.8	-123.6
Transfers to / from (-) Earmarked Reserves (note 7)	4.9	-5.1	0.2	0.0	0.0	0.0	0.0	0.0
Increase / Decrease (-) in Year	3.7	-5.1	0.2	-1.2	1.4	0.2	-123.8	-123.6
Balance at 31 March 2017	25.1	107.3	1.0	133.4	2.6	136.0	183.2	319.2

Balance Sheet as at 31 March 2018

2017 £ m	Balance Sheet as at 31 March	2018 £ m	Notes
1,236.5	Property, plant and equipment	1,124.8	8
58.8	Investment property	58.9	11
4.2	Heritage assets	4.3	10
1.2	Intangible assets	4.3	12
1,300.7	Total fixed assets	1,192.3	
2.2	Long-term investments	2.0	
0.0	Long-term debtors	0.5	
1,302.9	Total long-term assets	1,194.8	
	Current assets		
74.0	Short-term investments	93.8	13
0.8	Inventories	0.3	
56.8	Short-term debtors	64.0	14
162.7	Cash and cash equivalents	190.3	15
0.3	Assets held for sale	0.0	16
294.6	Total current assets	348.4	
	Current liabilities		
-4.9	Short-term provisions	-5.7	18
-1.1	Short-term borrowing	-9.7	36
-92.8	Short-term creditors	-106.8	17
-0.2	Short-term grants received in advance	-0.5	24
-99.0	Total current liabilities	-122.7	
195.6	Current assets less current liabilities	225.7	
-2.3	Long-term provisions	-2.3	18
-352.3	Long-term borrowing	-352.3	36
-22.9	Long-term grants received in advance	-35.7	24
-801.8	Liability related to defined benefit pension scheme	-787.0	20
-1,179.3	Long-term liabilities	-1,177.3	
319.2	Net assets	243.2	
136.0	Usable reserves	148.2	19
183.2	Unusable reserves	95.0	20
319.2	Total reserves	243.2	

John Betts
Head of Finance
26 July 2018

Cash Flow Statement

Year ended 31 March 2017 £ m	Cash Flow Statement	Year ended 31 March 2018 £ m
28.8	Operating activities (note 21)	44.2
-10.3	Investing activities (note 22)	-16.1
-25.0	Financing activities (note 23)	-0.5
-6.5	Net increase or decrease in cash and cash equivalents	27.6

Year ended 31 March 2017 £ m	Reconciliation to movement in cash and cash equivalents	Year ended 31 March 2018 £ m
169.2	Cash and cash equivalents at the beginning of the reporting period	162.7
162.7	Cash and cash equivalents at the end of the reporting period	190.3
-6.5	Movement in cash and cash equivalents	27.6

Statement of accounting policies

This section summarises the accounting rules and conventions we have used in preparing these financial statements.

General

The content, layout and general rules we used to prepare these accounts comply with the Code of Practice on Local Authority Accounting 2017/18 ('the Code') issued by the Chartered Institute of Public Finance and Accountancy (CIPFA) in accordance with International Financial Reporting Standards (IFRSs).

Accruals of income and expenditure

Activity is accounted for in the year that it takes place. This means that income from the sale of goods or the provision of services is recorded in our accounts when we are owed it rather than when we receive it. Expenditure is recorded in our accounts when services are provided, rather than when we actually make a payment and supplies are recorded as expenditure when we use them. Where income and expenditure have been recognised but cash has not been received/paid, a debtor or creditor for the relevant amount is recorded in the Balance Sheet, subject to a de minimis level for non-system generated accruals of £50,000. We do not expect the effect to be material to the overall position.

Assets held for sale

Where we have made a decision to sell an asset and the asset is being actively marketed with a sale expected within 12 months of making that decision, it is categorised as a current asset held for sale. We value these at the lower of carrying amount and fair value less disposal costs. Those assets that we do not expect to sell within 12 months are not classed as assets held for sale and instead are valued at their previous use.

Apprenticeship Levy

In 2017/18 we started to make payments to Her Majesty's Revenue and Customs (HMRC) in relation to the Apprenticeship Levy. The full cost of the Levy will be recognised as a direct cost of employment in the Comprehensive Income and Expenditure Statement ('CIES') when it is paid to HMRC. When funds are transferred from the Government's Digital Apprenticeship Account to an approved training provider a training expense up to the value of the training provided, with a corresponding entry for a government grant, will be recognised in the CIES against the service benefiting from the training.

Cash and cash equivalents

Cash is money held in current bank accounts and overdrafts that are repayable on demand and are integral to daily cash flow management. Money held in call accounts and short term funds invested for a term of three months or less are classified as cash equivalents because they are readily available to be converted into cash.

Contingent assets

We identify contingent assets where an event has taken place that gives the authority a possible asset whose existence will only be confirmed by the occurrence or non-occurrence of some uncertain future event not wholly within our control. Our contingent assets disclosure is shown in note 33. These are not included in our Balance Sheet.

Contingent liabilities

We identify contingent liabilities where either:

- A possible obligation has arisen from past events and whose existence will be confirmed by the occurrence or non-occurrence of some uncertain future event not wholly within our control or,

- A present obligation may arise from past event but is not recognised because either it is not probable that an outflow of resources will be required or the amount of the obligation cannot be measured reliably.

Our contingent liabilities disclosure is shown in note 34. These are not included in our Balance Sheet.

Employee benefits

Benefits payable during employment

The accounts reflect entitlements that have been earned by employees, such as salaries and wages, as a consequence of the service completed by them as at 31 March each year even if we would never normally make payments for them, such as annual leave and time-off in lieu not yet taken. These are accrued for in the cost of services in the CIES.

Termination benefits

Termination benefits are amounts payable as a result of a decision to terminate an officer's employment before normal retirement age or an officer's decision to accept voluntary redundancy. Termination benefits are recognised immediately as an expense to the service in the CIES at the earlier of when the authority can no longer withdraw the offer or when we recognise costs of a restructuring.

Post-employment benefits

As part of the terms and conditions of employment we offer retirement benefits. Although these benefits will not actually be payable until the employee retires we account for post-employment benefits in the CIES at the time that employees earn their future entitlement.

Our employees are members of four different pension schemes and we participate in one compensation scheme:

- The Local Government Pension Scheme
- The Teachers' Pension Scheme
- The Firefighters' Pension Scheme and the Firefighters' Injury Awards Scheme
- The National Health Service Pension Scheme

All four pension schemes provide members with pensions and other benefits related to their pay and length of service. Details of these schemes, our accounting policies in relation to them and their impact on the financial statements are shown in note 38.

Events after the Balance Sheet date

We consider any material events that occur between the date of the Balance Sheet and the date the accounts are authorised for issue by the Head of Finance.

Exceptional items, prior period adjustments and changes to accounting policies

Exceptional items are material items of income or expenditure that are disclosed separately in the CIES to aid understanding of our financial performance.

Prior period adjustments are made where there are material adjustments applicable to prior years arising from changes in accounting policies or to correct a material error. Where a change to accounting policies is made it is applied retrospectively (unless stated otherwise) by adjusting opening balances and comparative amounts for earlier years as if the policy had always applied.

Fair value

We value our assets at fair value. We define this as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. In 2017/18 fair value applies to non-operational property, plant and equipment classified as surplus assets, investment properties, assets held for sale and financial instruments.

We use appropriate valuation techniques, maximising the use of relevant known data and thereby minimising the use of estimates or subjective valuations. We assess the level of uncertainty in our valuations by assigning our assets into three categories:-

- ~ Level 1 – quoted prices of identical assets or liabilities;
- ~ Level 2 – inputs other than quoted prices that are observable, either directly or indirectly;
- ~ Level 3 – unobservable inputs.

Further detail is shown in notes 11 and 16.

Financial assets

Financial assets are classified into loans and receivables and available-for-sale assets.

Loans and receivables

Loans and receivables are recognised on the Balance Sheet when we become party to the contractual provisions of a financial instrument and are initially measured at fair value. They are subsequently carried at their amortised cost. Annual credits to the CIES for interest receivable are based on the carrying amount of the asset multiplied by the effective rate of interest for the instrument in the year it was due or earned. For the loans we have made, this means that the amount presented in the Balance Sheet is the outstanding principal receivable (plus accrued interest) and interest credited to the CIES is the amount receivable for the year in the loan agreement.

Investments are recorded in the accounts at the price we bought them. Interest we earned on our investments is shown in the accounts in the year it was due or earned. We hold a number of investments which are classed as loans and receivables.

Trade debtors are due within one year and carrying value is deemed to equate to fair value.

Where assets are identified as impaired because of the likelihood arising from a past event that payments due under the contract will not be made, the assets are written down and a charge made to the CIES.

Any gains or losses that arise on derecognition of an asset are credited/debited to the CIES.

Available-for-sale assets

Available-for-sale assets are recognised on the Balance Sheet when we become party to the contractual provisions of a financial instrument and are initially measured and carried at fair value. Changes in fair value are balanced by an entry in the Available for Sale Reserve and recognised in the Movement in Reserves Statement (MIRS). Where impairments are recognised or assets derecognised charges are made to the CIES along with any accumulated gains or losses in the reserve previously recognised in the MIRS.

Financial liabilities

Financial liabilities are recognised on the Balance Sheet when we become party to the contractual provisions of a financial instrument and are initially measured at fair value. They are subsequently carried at their amortised cost. Annual charges to the CIES for interest payable are based on the carrying amount of the liability, multiplied by the effective rate of interest for the instrument in the year it was due. For our borrowings, this means that the amount presented in the Balance Sheet is the outstanding principal repayable (plus accrued interest) and interest charged to the CIES is the amount payable for the year in the loan agreement.

Trade creditors are due within one year and carrying value is deemed to equate to fair value.

Going Concern

Local authorities cannot be created or dissolved without statutory prescription. The provisions of the Code on going concern reflect the economic and statutory environment in which local authorities operate and hence these accounts are prepared on the basis that the functions of the authority will continue in operational existence for the foreseeable future.

Grants

Grants are shown in the accounts in the year that they relate to rather than when we actually receive them. They are only shown in the accounts if we are certain that we will receive them. General grants we receive, such as Revenue Support Grant, are shown as Taxation and non-specific grant income in the CIES. Revenue grants we receive to pay for spending on specific service activities are shown as income for the relevant service area when we are confident that any grant conditions have been met. Where revenue grants have conditions outstanding the grant is held as a receipt in advance; if the conditions are met but the grant remains unspent it is held in an earmarked reserve.

Capital grants are also credited to the CIES when any relevant conditions governing their use have been met. This income is then reversed out and charged to the Capital Adjustment Account upon use so the level of council tax is not affected. Unused non-conditional capital grants are held in the Capital Grants Unapplied Reserve. Before the conditions are met, capital grants are also held on the Balance Sheet as a receipt in advance..

Group Accounts

We have assessed a number of entities, including our wholly owned subsidiaries, in line with the Code and accounting standards. Having due regard to materiality of effects on the financial statements and other qualitative considerations that may affect the understanding by the readers of the accounts, we have not established a requirement to produce group accounts. Further details of all our associated companies, subsidiary company holdings and other related party details are outlined in Note 41. In addition we have accounted for schools' income and expenditure, assets and liabilities in the single entity financial statements rather than produce group accounts, in accordance with the Code.

Heritage assets

Our heritage assets are held for their cultural, environmental or historic associations, making their preservation for future generations important. We value our museum collections and valuables at the Courts, Judges House and Shire Hall at their insurance valuations. The Golden Tower of Leaves and our Waller of Woodcote archive collection of family and estate letters and deeds at County Records are valued at cost. It would not be cost effective to undertake revaluations for all other County Record documents and any valuations would not have a material impact on the accounts. Operational heritage assets used in the provision of services or for other activities are accounted for under other asset classes elsewhere in the Balance Sheet. Heritage assets classified as community or other assets are valued at insurance cost unless our valuer believes conventional methods relevant to their classification are more appropriate. Any gains on reclassification are taken to the Revaluation Reserve. More detailed information on the heritage assets we hold is available on our website <https://www.warwickshire.gov.uk>.

Income from selling non-current assets

We use the income from selling non-current assets (buildings, vehicles and land) to meet part of the cost of new capital spending or to repay borrowing. We show the gain or loss on the sale of assets in the CIES. This is the difference between the sale proceeds and the carrying value of an asset after allowing for costs relating to the sale of the asset. We take all costs of disposal incurred in a year to the CIES, regardless of whether all the proceeds of the related sale have been received. We use up to 4% of a capital receipt to meet these disposal costs.

The carrying value of the asset (the net book value after depreciation) and the sale proceeds are also reversed in the MIRS and transferred to the Capital Adjustment Account so the level of council tax is not affected.

Where we have the right to capital receipts but have not yet received the cash payment, the transactions in the CIES are unaffected. However, instead of recognising the sales proceeds we instead recognise a Deferred Capital Receipt, which cannot be used to pay for our capital expenditure until the cash is received.

Intangible assets

Intangible assets are non-financial non-current assets that do not have physical substance and are controlled by the authority through custody or legal rights (such as software licences). We treat intangible assets in the same way as other non-current assets. We gradually reduce the value of intangible assets on a straight-line basis over their useful life (up to 10 years) to reflect the consumption of the economic or service benefit and charge this to the CIES. Intangible assets are valued at amortised historic cost.

Inventories

Inventories are materials or supplies that will be consumed in producing goods or providing services. The highways, roads and transport services stocks are valued at the cost of replacing them. Other stocks are valued at the cost we paid for them. These methods of valuing stocks are different from the methods set out by the Code. This does not have a material effect on the financial statements.

Investment property

Investment property assets are those held for rental purposes or capital value appreciation or both. They are not used for the delivery of services. Such assets are initially measured at cost. Investment property is not depreciated but is revalued at fair value every year. Gains and losses on revaluation, as well as disposal and/or rental income, are shown in the Financing and investment income and expenditure line in the CIES.

Leases

Leases can be designated as either finance leases or operating leases. Finance leases are those where substantially all the risks and rewards relating to the leased asset transfer to the lessee. All other leases are operating leases.

Finance leases

We deal with finance leases where we are the lessee in the same way as other capital spending. We include these as assets in the Balance Sheet and charge depreciation on them. Rentals are apportioned between a charge for the acquisition of the asset (recognised as a liability in the Balance Sheet at the start of the lease and written down annually as rent becomes payable) and a finance charge made each year to the CIES.

We do not have material finance leases where we are the lessor.

Operating leases

The vast majority of our lease rental payments (as lessee) are assessed to be operating leases and are charged evenly to the CIES over the life of the lease.

Where we grant an operating lease over a property or item of plant or equipment, the asset is retained on the Balance Sheet and the rental income is credited to the CIES as it is due.

We do not disclose contingent rents as they are not material to the financial statements.

Minimum Revenue Provision

We are required to make an annual contribution from revenue for the repayment of our debt as approved in our Treasury Management Policy. This is known as the Minimum Revenue Provision (MRP). We calculate MRP on a straight line basis using the average remaining useful life of our asset portfolio over the two asset categories of:

- Land, buildings and infrastructure
- Vehicles, plant and equipment

Overheads and support service costs

In accordance with the CIPFA Service Reporting Code of Practice 2017/18 all support service costs are apportioned fully to services on a relevant basis. These include employee numbers, IT network access users and gross spend. The two categories of cost that are not charged out to services are corporate and democratic core costs (shown as Other services in the CIES) and non-distributed costs.

Property, plant and equipment

Assets that have a physical substance, are held for use in the production or supply of services and that are expected to be used during more than one financial year are classified as property, plant and equipment (PPE).

Recognition

Our spending on buying, creating or improving PPE is classed as capital spending provided that it is probable that the future economic benefits or service associated with the item will flow to us and the cost of the item can be measured reliably. Spending that does not provide a significant benefit in terms of value, asset life, or service performance or which falls below our de minimis level of £6,000 is charged to our revenue account in full in the year it occurs.

Measurement

Assets are initially measured at cost, comprising the purchase price and any costs attributable to bringing the asset to the location and condition necessary for it to be capable of operating in the manner intended. Assets are valued on the basis set out by CIPFA and in line with the Statements of Asset Valuation Practice and Guidance Notes issued by the Royal Institute of Chartered Surveyors. Our valuation process is led by the Council's Strategic Asset Management team, who commission external valuers as needed.

The closing balances on 31 March 2018 were determined in the following ways:

- Operational land and buildings are included in the Balance Sheet at their current value based on their existing use less an annual charge for depreciation. However, where there is insufficient market valuation evidence assets, for example schools, are included in the Balance Sheet at a depreciated replacement cost.
- Surplus assets are those which we do not use in our day-to-day work and which are not likely to be disposed of in the next twelve months. We include these assets in the Balance Sheet at fair value, based on highest and best use. These assets are revalued every year and so are not subject to depreciation.

- We include infrastructure assets, such as roads and bridges and community assets, vehicles and equipment in the Balance Sheet at the amount they cost when brought into use less an annual charge for depreciation. These assets are valued in this way because there is no meaningful market data available to calculate an existing use value.
- Assets under construction are held in the Balance Sheet at the cost incurred on their production to date. When the asset is deemed operationally complete the balance is transferred to the appropriate asset class shown above and depreciation begins.

We revalue operational PPE assets held at a value other than depreciated historic cost at least once every five years. We also adjust for any changes to the value of assets more frequently as required to ensure their carrying amount is not materially different from their current value at year end. In particular, we review the need to revalue any asset where there has been more than £0.250 million spend each year.

When asset values rise above the amount we paid for them we add the difference to the Revaluation Reserve. When asset values go down, the reduction is charged to any available Revaluation Reserve balance held for that asset, with the remainder being charged to the relevant service line in the CIES. This charge is then reversed out in the MIRS so that there is no impact on council tax.

Impairment

Assets are assessed at each year-end to identify whether there is any indication that an asset may be impaired. Where indications exist and any possible differences are estimated to be material, the recoverable amount of the asset is estimated and, where this is less than the carrying amount of the asset, an impairment loss is recognised for the shortfall. The accounting treatment of impairment losses is the same as that for revaluation losses shown above.

Depreciation

Depreciation is an accounting estimate used to spread the cost of an asset over its useful economic life. We charge depreciation on buildings over our valuer's estimate of their useful economic life (between 5 and 58 years), on roads and bridges over 30 years, and on vehicles and equipment over their own useful lives (between 3 and 20 years for vehicles and between 3 and 30 years for equipment).

The cost of depreciation is calculated by the following methodology:

- Our new assets are depreciated from the start of the financial year after they become operationally complete.
- Depreciation is calculated on a straight-line basis meaning that an asset's value falls equally each year throughout its life. If the gross value or remaining life of the asset changes due to expenditure, impairment or revaluation, the depreciation charge will change in the following year.
- We generally charge depreciation on buildings as a single asset. However, if we determine that the value of major components within an asset are material with respect to the overall value of that asset, and that the lifetime of these components is significantly shorter than the remaining useful economic life of the asset, the major component is depreciated separately.

We do not charge depreciation on land we own, as it does not have a limited useful life, nor on investment properties or assets held for sale. Similarly, heritage assets are generally assessed to have infinite lives and so are not depreciated.

The estimated useful economic lives of our land and buildings are assessed by our valuers as part of the revaluation of these assets.

Provisions

We put amounts of money aside to meet future specific service payments. For future events to be reflected in provisions, they need to meet three tests:

- They must be the result of a past event.
- A reliable estimate can be made.
- There must be a clear responsibility for the Council to make a future payment because of the past event.

Provisions are charged to the appropriate service line in the CIES when we become aware that it is probable a payment will be required. The provision is based on the best estimate of the likely settlement. When payments are made they are charged to the provision already set up in the Balance Sheet.

Reserves

We keep reserves to pay for spending on projects we will carry out in future years, to protect us against unexpected events and to manage the financial risk of the uncertainty we face. Reserves include 'earmarked reserves' which we set aside for certain policy purposes and other 'general reserves' which represent resources set aside for purposes such as general events and managing our cash flow. By law, schools are entitled to keep any of their budgets they have not spent. These amounts are shown separately from other reserves.

Reserves are created by appropriating amounts from the council's General Fund in the MIRS. When expenditure is financed from a reserve, the expenditure itself is charged to the appropriate service line in the CIES. The reserve is then appropriated back via the MIRS so that there is no net charge against council tax. Some reserves hold unspent funding which can only be applied in specific ways, such as the Capital Grants Unapplied and Capital Receipts Reserve.

Other 'unusable reserves' are kept to manage the accounting processes for non-current assets, financial instruments, and retirement and employee benefits:

- The capital accounting system requires us to maintain a Revaluation Reserve to reflect unrealised gains on non-current assets, and a Capital Adjustment Account to manage timing differences between their usage and financing.
- We maintain a Collection Fund Adjustment Account which holds the difference between the amount required to be shown in the CIES for council tax and business rates and that required by legislation to be taken against the General Fund.
- We maintain a Compensated Absences Reserve to hold the amount we have to accrue for post-employment benefits such as annual leave earned but untaken at the year-end so as not to affect the level of Council Tax.
- We maintain a Pensions Reserve to hold the difference between any increase in the accounting cost of pensions in the year and the statutory figure chargeable in any year, which is the contribution made by the authority.

Revenue expenditure funded from capital under statute

We undertake some capital spending during the year that does not result in the creation of an asset we own. Any money we spend this way must be charged to the CIES but is funded from capital resources rather than council tax. To make sure that the council tax is not affected, we make an adjustment in the MIRS equal to the expenditure to reverse this to the Capital Adjustment Account.

Schools and schools assets

The balance of control for local authority maintained schools, foundation, voluntary aided and voluntary controlled schools are all deemed to lie with the local authority. We therefore recognise schools' assets, liabilities, reserves and cash flows in our financial statements as if they were transactions, cash flow and balances of the authority. Any asset provided by a third party and consumed in the provision of an education service with schools or donated to the school

will be treated as a donated asset. School assets are derecognised in full on the date that a school transfers to academy status.

VAT

VAT payable is included as an expense only to the extent that it is not recoverable from HMRC. VAT receivable is excluded from income. We are subject to Partial Exemption: as long as the VAT we claim on purchases used to generate exempt income is less than 5% of all VAT claimed on purchases in the year, we can claim all our VAT back in full.

Note on roundings: individual tables presented within disclosures may not sum due to roundings. This does not reflect any inaccuracy or error.

Notes to the Core Financial Statements

Note 1: Expenditure and Funding Analysis and associated notes

The purpose of the Expenditure and Funding Analysis is to demonstrate to council tax payers how the funding available to the authority (i.e. grants, council tax and business rates) for the year has been used in providing services in comparison with those resources consumed and earned by the authority in accordance with generally accepted accounting practices. Income and expenditure accounted for under generally accepted accounting practices is presented more fully in the Comprehensive Income and Expenditure Statement.

2016/17				2017/18		
Net Expenditure Chargeable to the General Fund £m	Adjustments Between the Funding and Accounting Basis £m	Net expenditure in the Comprehensive Income and Expenditure Statement £m	Summary of revenue spending	Net Expenditure Chargeable to the General Fund £m	Adjustments Between the Funding and Accounting Basis £m	Net expenditure in the Comprehensive Income and Expenditure Statement £m
			Money spent on services			
171.9	24.8	196.7	~ Communities Group	171.2	117.3	288.5
17.9	4.9	22.8	~ Fire Service	19.3	7.4	26.8
192.3	3.8	196.1	~ People Group	198.3	9.6	208.0
40.5	8.8	49.3	~ Resources Group	41.4	12.9	54.3
-65.5	23.8	-41.7	~ Schools	-75.0	23.0	-52.0
-112.0	78.5	-33.5	~ Other Services	-110.7	79.1	-31.6
0.0	1.6	1.6	~ Non distributed costs	0.0	-11.8	-11.8
245.1	146.2	391.3	Net cost of services	244.5	237.6	482.1
-243.9	-90.1	-334.0	~ Other income and expenditure	-257.9	-62.2	-320.1
1.2	56.1	57.3	Surplus (-) or deficit on the provision of services	-13.4	175.4	162.0
134.6			Opening General Fund Balances	133.4		
-1.2			Less/Plus Surplus or (Deficit) on General Fund Balance in Year	13.4		
133.4			Closing General Fund Balance	146.8		

The above table shows the Fire Service as a separate service as this was its position when the 2017/18 budgets were approved and for all in-year monitoring reports. It is now included in the Communities Group. The General Fund balances above include a significant proportion of earmarked reserves including those held by schools. For more details and information see the Movement in Reserves Statement and Note 2 to the accounts.

Notes to the Expenditure and Funding Analysis

The table below provides a reconciliation of the main adjustments to the net expenditure chargeable to the General Fund Balances to arrive at amounts in the Comprehensive Income and Expenditure Statement. The relevant transfers between reserves are explained in the Movement in Reserves Statements.

Adjustments from General Fund to arrive at at the Comprehensive Income and Expenditure Statement Amounts	2017/18			
	Adjustments for Capital Purposes (a) £m	Net change for Pensions Adjustments (b) £m	Other Differences (c) £m	Total Adjustments £m
~ Communities Group	111.1	4.2	2.0	117.3
~ Fire Service	3.6	3.7	0.2	7.4
~ People Group	-0.4	6.9	3.1	9.6
~ Resources Group	7.6	4.8	0.5	12.9
~ Schools	17.2	5.3	0.5	23.0
~ Other Services	-12.8	0.1	91.7	79.1
~ Non distributed costs	0.0	-11.8	0.0	-11.8
Net cost of services	126.4	13.3	98.0	237.6
~ Other income and expenditure from the Expenditure and Funding Analysis	18.3	18.2	-98.7	-62.2
Difference between General Fund surplus or deficit and Comprehensive Income and Expenditure Statement surplus or deficit on the Provision of Services	144.7	31.5	-0.8	175.4

Adjustments from General Fund to arrive at at the Comprehensive Income and Expenditure Statement Amounts	2016/17			
	Adjustments for Capital Purposes (a) £m	Net change for Pensions Adjustments (b) £m	Other Differences (c) £m	Total Adjustments £m
~ Communities Group	23.2	1.1	0.5	24.8
~ Fire Service	1.7	2.9	0.3	4.9
~ People Group	0.5	1.5	1.8	3.8
~ Resources Group	6.1	1.1	1.6	8.8
~ Schools	19.6	-1.1	5.3	23.8
~ Other Services	-17.9	0.1	96.3	78.5
~ Non distributed costs	0.0	1.6	0.0	1.6
Net cost of services	33.2	7.2	105.8	146.2
~ Other income and expenditure from the Expenditure and Funding Analysis	-6.4	18.9	-102.6	-90.1
Difference between General Fund surplus or deficit and Comprehensive Income and Expenditure Statement surplus or deficit on the Provision of Services	26.8	26.1	3.2	56.1

a) Adjustments for capital purposes – this column adds in depreciation, impairment and revaluation gains and losses as well as Revenue expenditure funded by capital under statute and capital grants used to fund that expenditure to the service lines within the Comprehensive Income and Expenditure Account. It also includes:

- **Other operating expenditure** – income received on disposal of assets and the amounts written off on those assets are added.
- **Financing and investment income and expenditure** – statutory charges for capital financing ie Minimum Revenue Provision and other revenue contributions are deducted.
- **Taxation and non-specific grant income and expenditure** – credits for capital grants receivable in the year without conditions or for which conditions were satisfied in the year are added.

b) Net change for the Pensions adjustments – this column adds the net change for the removal of pensions contributions and the addition of employee pension-related expenditure and income.

- **For services** – this represents the removal of the employer pension contributions made by the authority as allowed by statute and the replacement of current service costs and past service costs as a result of employee service.
- **For Financing and investment income and expenditure** – the net interest on the defined benefit liability is added as a cost.

c) Other differences – this column adds other differences between the amounts debited/credited to the Comprehensive Income and Expenditure Statement and amounts payable/receivable to be recognised under statute. These include:

- Taxation and non-specific grant income and expenditure – the difference between what is chargeable under statutory regulations for Council Tax and Business Rates and the income recognised under generally accepted accounting practices. This is a timing difference as any difference will be brought forward in future Surpluses or Deficits on the Collection Fund. Revenue grants that are receivable without conditions or service-specific stipulation are required to be shown within this line rather than within the Net Cost of Services.

Expenditure and Income Analysed by Nature

Expenditure/Income	2016/17 £m	2017/18 £m
Expenditure:		
~ Employee expenses	352.4	344.6
~ Other services expenses	425.3	440.5
~ Support service recharges	0.0	0.0
~ Depreciation and amortisation	46.2	43.5
~ Impairment and revaluation losses (including reductions in fair value of investment property)	11.5	94.7
~ Interest payments	18.0	17.2
~ Precepts and Levies	0.2	0.2
~ Loss on the disposal of assets	41.3	70.0
Total Expenditure	894.9	1,010.6
Income:		
~ Fees, charges and other service income	-104.1	-110.4
~ Interest and investment income (including increases in fair value of investment property)	-3.7	-3.8
~ Income from council tax	-243.1	-258.6
~ Grants	-486.7	-475.9
Total Income	-837.6	-848.6
Surplus or Deficit on the Provision of Services	57.3	162.0

Note 2: Adjustments between accounting basis and funding basis under regulations

Adjustments between accounting basis and funding basis under regulations - 2017/18	General Fund Balance	Capital Receipts Reserve	Capital Grants Unapplied	Movement in Unusable Reserves net spending
	£ m	£ m	£ m	£ m
Adjustments primarily involving the Capital Adjustment Account				
Reversal of items debited or credited to the Comprehensive Income and Expenditure Statement (CIES):				
~ Charges for depreciation of non-current assets	42.9			-42.9
~ Revaluation losses on property, plant and equipment assets	94.7			-94.7
~ Gain on held for sale assets	0.0			0.0
~ Movements in the market value of investment properties	-1.2			1.2
~ Amortisation of intangible assets	0.5			-0.5
~ Capital grants and contributions applied	-60.8			60.8
~ Revenue expenditure funded from capital under statute	14.9			-14.9
~ Amounts of non-current assets written off on disposal to the CIES	75.4			-75.4
~ Non-current assets - disposal proceeds not yet received	-2.7			2.7
Insertion of items not debited or credited to the CIES				
~ Minimum Revenue Provision	-12.5			12.5
~ Capital expenditure charged to the General Fund Balance	-5.1			5.1
Adjustments primarily involving the Capital Grants Unapplied Account				
~ Capital Grants and contributions unapplied credited to the CIES	2.5		-2.5	0.0
~ Application of Capital Grants to the Capital Adjustment Account	-1.3		1.3	0.0
Adjustments primarily involving the Capital Receipts Reserve				
~ Transfer of cash sale proceeds credited as part of the gain/loss on disposal to the CIES	-2.8	2.8	0.0	0.0
~ Use of Capital Receipts Reserve to finance new capital expenditure		-2.8		2.8
Adjustments primarily involving the Financial Instruments Adjustment Account				
~ Proportion of discounts received in previous years to be credited to the General Fund Balance in accordance with statutory requirements	0.0			0.0
Adjustments primarily involving the Pensions Reserve				
~ Grant funding of fire fighters' pension liabilities	-4.6			4.6
~ Reversal of net charges made for retirement benefits in accordance with IAS19	75.4			-75.4
~ Employer's pensions contributions and direct payments to pensioners payable in the year	-39.3			39.3
Adjustments primarily involving the Collection Fund Adjustment Account				
~ Amount by which council tax income credited to the CIES is different from council tax income calculated for the year in accordance with statutory requirements	-0.7			0.7
~ Amount by which business rates income credited to the CIES is different from business rates income calculated for the year in accordance with statutory requirements	-0.4			0.4
Adjustment primarily involving the Accumulated Absences Account				
~ Amount by which officer remuneration charged to the CIES on an accruals basis is different from remuneration chargeable in the year in accordance with statutory requirements	0.3			-0.3
Total adjustments	175.4	0.0	-1.2	-174.2

Adjustments between accounting basis and funding basis under regulations - 2016/17	General Fund Balance	Capital Receipts Reserve	Capital Grants Unapplied	Movement in Unusable Reserves net spending
	£ m	£ m	£ m	£ m
Adjustments primarily involving the Capital Adjustment Account				
Reversal of items debited or credited to the Comprehensive Income and Expenditure Statement (CIES):				
~ Charges for depreciation of non-current assets	45.7			-45.7
~ Revaluation losses on property, plant and equipment assets	10.5			-10.5
~ Gain on held for sale assets	0.0			0.0
~ Movements in the market value of investment properties	1.0			-1.0
~ Amortisation of intangible assets	0.5			-0.5
~ Capital grants and contributions applied	-56.4			56.4
~ Revenue expenditure funded from capital under statute	12.6			-12.6
~ Amounts of non-current assets written off on disposal to the CIES	44.1			-44.1
Insertion of items not debited or credited to the CIES				
~ Minimum Revenue Provision	-15.7			15.7
~ Capital expenditure charged to the General Fund Balance	-11.3			11.3
Adjustments primarily involving the Capital Grants Unapplied Account				
~ Capital Grants and contributions unapplied credited to the CIES	1.1		-1.1	0.0
~ Application of Capital Grants to the Capital Adjustment Account	-2.5		2.5	0.0
Adjustments primarily involving the Capital Receipts Reserve				
~ Transfer of cash sale proceeds credited as part of the gain/loss on disposal to the CIES	-2.8	2.8	0.0	0.0
~ Use of Capital Receipts Reserve to finance new capital expenditure		-2.8		2.8
Adjustments primarily involving the Financial Instruments Adjustment Account				
~ Proportion of discounts received in previous years to be credited to the General Fund Balance in accordance with statutory requirements	0.1			-0.1
Adjustments primarily involving the Pensions Reserve				
~ Grant funding of fire fighters' pension liabilities	-5.6			5.6
~ Reversal of net charges made for retirement benefits in accordance with IAS 19	72.4			-72.4
~ Employer's pensions contributions and direct payments to pensioners payable in the year	-40.8			40.8
Adjustments primarily involving the Collection Fund Adjustment Account				
~ Amount by which council tax income credited to the CIES is different from council tax income calculated for the year in accordance with statutory requirements	0.8			-0.8
~ Amount by which business rates income credited to the CIES is different from business rates income calculated for the year in accordance with statutory requirements	-2.5			2.5
Adjustment primarily involving the Accumulated Absences Account				
~ Amount by which officer remuneration charged to the CIES on an accruals basis is different from remuneration chargeable in the year in accordance with statutory requirements	4.9			-4.9
Total adjustments	56.1	0.0	1.4	-57.5

Note 3: Significant items of income and expenditure and restatements of prior year figures

The Comprehensive Income and Expenditure Statement in 2017/18 is showing a deficit of £162.0 million compared to a deficit of £123.6 million in 2016/17. The main reasons for this are a higher number of transfer of schools transferring to Academy status and hence a higher loss on transfer as shown in note 4 below, and a higher revaluation loss on property, plant and equipment assets as a result of revaluing a greater number of assets, as shown in note 8.

There has been no significant restatement of prior year figures.

Note 4: Other operating expenditure

2016/17 £ m	Other operating expenditure	2017/18 £ m
0.2	Environment Agency Levy	0.2
41.3	Losses on disposal/transfer of non-current assets	70.0
41.5		70.2

Note 5: Financing and investment income and expenditure

2016/17 £ m	Financing and investment income and expenditure	2017/18 £ m
18.0	Interest payable and similar charges	17.2
23.8	Net interest on the net defined benefit liability	20.9
-3.1	Interest receivable and similar income	-2.5
-0.6	Gains realised on available for sale assets	0.0
-13.7	Trading account income	-13.0
12.9	Trading account expenditure	13.8
1.0	Income and expenditure on investment properties and changes in their fair value	-1.2
0.4	Other investment expenditure	0.4
-0.7	Other investment income	-1.0
38.0		34.6

Note 6: Taxation and non-specific grant income and expenditure

2016/17 £ m	Taxation and Non Specific Grant income and expenditure	2017/18 £ m
-243.1	Council tax income	-258.6
	Business rates income and expenditure	
-35.5	~ Retained business rates	-37.9
-25.3	~ Business rates top up	-24.1
-0.5	Business rates pool growth (WCC share)	-1.0
-0.6	Business rates pool surplus	-1.2
-37.5	Revenue Support Grant	-20.4
	Other non-ringfenced Government grants	
-5.6	~ Fire Pensions Fund Grant	-4.6
-16.9	~ Revenue grants	-26.8
-48.5	~ Capital grants and contributions	-50.3
-413.5		-424.9

Note 7: Transfers to/from earmarked reserves

Movement in earmarked reserves	Balance at 31 March 2016 (Restated)	Transfers		Balance at 31 March 2017	Transfers		Balance at 31 March 2018
		Out	In		Out	In	
	£ m	£ m	£ m	£ m	£ m	£ m	£ m
Schools Balances (under a scheme of delegation)	17.6	-2.9	0.0	14.7	-2.2	0.0	12.5
Insurance Fund	8.5	-0.1	0.0	8.4	0.0	0.5	8.9
Dedicated Schools Grant	0.0	0.0	0.0	0.0	0.0	1.0	1.0
Business Rates Appeals Reserve	1.0	0.0	0.0	1.0	1.6	0.0	2.6
Business Rates Pool Reserve	0.3	0.0	0.6	0.9	0.0	1.3	2.2
Redundancy Fund	12.7	-0.3	0.0	12.4	-0.5	0.0	11.9
Capacity Building Fund	1.4	0.0	0.8	2.2	2.0	0.0	4.2
Elections Reserve	0.5	0.0	0.3	0.8	-0.6	0.0	0.2
Medium Term Contingency	17.3	-1.4	0.0	15.9	-0.7	0.0	15.2
Adult Social Care (Better Care Fund) Reserve	0.0	0.0	1.2	1.2	0.0	2.0	3.2
Schools In Financial Difficulty	0.0	0.0	0.0	0.0	0.0	2.2	2.2
Corporate Systems Replacement Fund	0.0	0.0	0.0	0.0	0.0	2.7	2.7
Social Care Support Savings	9.6	-3.1	0.0	6.5	0.0	5.5	12.0
Strategic Commissioning Savings	5.8	-1.1	0.0	4.7	0.0	1.4	6.1
Other Business Unit savings and earmarked reserves (net movement)	37.7	-8.3	9.2	38.6	-16.2	9.1	31.5
Total	112.4	-17.2	12.1	107.3	-16.6	25.7	116.4

The money that Business Units set aside is held to make sure that they can meet future known budget commitments, and that services will have the resources to react to any unexpected events. Details of reserves allocated to the Council's business units can be found in the One Organisational Plan Progress Report, available at <https://www.warwickshire.gov.uk>.

Note 8: Property, plant and equipment

Property, plant and equipment	Land and buildings	Surplus assets	Vehicles, machinery, furniture and equipment	Roads and bridges	Country parks and open spaces	Assets under construction	Total
	£ m	£ m	£ m	£ m	£ m	£ m	£ m
Gross book value at 1 April 2017	830.6	2.9	56.8	563.0	3.2	35.5	1,492.0
Depreciation balance at 1 April 2017 (Restated)	-45.8	0.0	-44.3	-165.0	-0.3	0.0	-255.4
Net book value at 1 April 2017	784.8	2.9	12.5	397.9	3.0	35.4	1,236.5
Changes in the year							
~ opening balance adjustment	-0.1	0.0	0.0	0.0	0.0	0.0	-0.1
~ reclassifications	3.0	-1.7	0.0	0.0	0.0	0.0	1.3
~ spending on assets	19.5	0.0	2.1	21.1	0.2	18.7	61.7
~ transfer of assets under construction to operational assets on project completion	12.4	0.0	0.0	4.6	0.2	-19.3	-2.1
~ value of assets we have sold/transferred	-78.2	0.0	-2.3	0.0	0.0	-0.1	-80.6
~ changes in the value of assets: revaluation	-102.9	-1.1	0.0	0.0	-0.8	0.0	-104.8
~ reversal of prior year impairments and revaluation losses	12.8	0.0	0.0	0.0	0.0	0.0	12.8
Depreciation							
~ opening balance adjustment	0.0	0.0	0.0	0.0	0.0	0.0	0.0
~ depreciation written off on revaluation	37.1	0.0	0.0	0.0	0.3	0.0	37.4
~ depreciation written off on disposal	3.7	0.0	2.0	0.0	0.0	0.0	5.7
~ depreciation	-20.5	0.0	-3.6	-18.8	-0.1	0.0	-43.0
Net book value at 31 March 2018	671.6	0.2	10.7	404.8	2.8	34.7	1,124.8
Gross book value at 31 March 2018	697.1	0.2	56.6	588.7	2.8	34.8	1,380.1
Depreciation balance at 31 March 2018	-25.5	0.0	-45.9	-183.8	-0.1	0.0	-255.3
Net book value at 31 March 2018	671.6	0.2	10.8	404.8	2.8	34.7	1,124.8

Property, plant and equipment	Land and buildings	Surplus assets	Vehicles, machinery, furniture and equipment	Roads and bridges	Country parks and open spaces	Assets under construction	Total
	£ m	£ m	£ m	£ m	£ m	£ m	£ m
Gross book value at 1 April 2016	856.6	2.8	55.7	510.8	3.4	52.4	1,481.7
Depreciation balance at 1 April 2016	-32.7	0.0	-40.6	-148.0	-0.2	0.0	-221.5
Net book value at 1 April 2016	823.9	2.8	15.1	362.8	3.2	52.4	1,260.2
Changes in the year							
~ opening balance adjustment	-0.4	0.0	0.3	0.0	0.0	-0.6	-0.7
~ reclassifications	-20.4	0.3	0.0	0.0	-0.6	-0.4	-21.0
~ spending on assets	17.6	0.0	2.0	23.5	0.3	27.4	70.8
~ transfer of assets under construction to operational assets on project completion	11.7	0.0	0.0	28.7	0.1	-40.7	-0.2
~ value of assets we have sold/transferred	-41.9	0.0	-1.2	0.0	0.0	-2.6	-45.7
~ changes in the value of assets: revaluation	7.4	-0.2	0.0	0.0	0.0	0.0	7.2
~ reversal of prior year impairments and revaluation losses	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Depreciation							
~ opening balance adjustment	0.1	0.0	0.0	0.0	0.0	0.0	0.1
~ depreciation written off on revaluation	7.3	0.1	0.0	0.0	0.0	0.0	7.4
~ depreciation written off on disposal	3.3	0.0	1.0	0.0	0.0	0.0	4.3
~ depreciation	-23.8	0.0	-4.8	-17.0	-0.1	0.0	-45.7
Net book value at 31 March 2017	784.8	2.9	12.5	397.9	3.0	35.4	1,236.5
Gross book value at 31 March 2017	830.6	2.9	56.8	563.0	3.2	35.5	1,492.0
Depreciation balance at 31 March 2017	-45.8	0.1	-44.4	-165.0	-0.3	0.0	-255.4
Net book value at 31 March 2017	784.8	2.9	12.5	397.9	3.0	35.4	1,236.5

Our land and building assets includes schools, fire stations, libraries, waste disposal sites and other buildings. Assets we have sold or transferred mainly relate to schools that have transferred to Academy status during the year.

Depreciation

We charge depreciation on buildings over our valuer's estimate of their useful economic life (between 5 and 58 years), on roads and bridges over 30 years, and on vehicles and equipment over their own useful lives (between 3 and 20 years for vehicles and between 3 and 30 years for equipment).

Capital commitments

At 31 March 2018, the authority had entered into a number of contracts for the construction or enhancement of property, plant and equipment in 2017/18 and future years. The total of those payments we were still due to make on capital schemes that were not yet finished, or which we had not finished paying for is £36.7 million. Similar commitments at 31 March 2017 were £22.9 million.

The three largest outstanding commitments are as follows:

1. Rural Broadband Project Contract 3 - £13.0 million
2. Balfour Beatty Highways Maintenance Contract - £12.9 million.
3. Rural Broadband Project Contract 2 - £6.8 million

Effects of changes in estimates

There have been no material changes to our accounting estimates for property, plant and equipment in 2017/18.

Revaluations

We carry out a programme of revaluations that ensures all property, plant and equipment required to be measured at fair value for the asset type is revalued at least every five years. The table below shows the date at which our property, plant and equipment assets were last valued.

Revaluations	Land and buildings £ m	Surplus Assets £ m	Vehicles, machinery, furniture and equipment £ m	Roands and bridges £ m	Country parks and open spaces £ m	Assets under construction £ m	Total £ m
Carried at historical cost	0.0	0.0	10.7	404.8	2.8	34.7	453.0
Valued at current value as at:							
31st March 2018	571.4	0.2	0.0	0.0	0.0	0.0	571.6
31st March 2017	4.2	0.0	0.0	0.0	0.0	0.0	4.2
31st March 2016	3.0	0.0	0.0	0.0	0.0	0.0	3.0
31st March 2015	5.7	0.0	0.0	0.0	0.0	0.0	5.7
31st March 2014	87.3	0.0	0.0	0.0	0.0	0.0	87.3
Total cost or valuation	671.6	0.2	10.7	404.8	2.8	34.7	1,124.8

Valuation of land and buildings were carried out in accordance with the methodologies and basis for estimation set out in the professional standards of the Royal Institution of Chartered Surveyors.

All our Surplus Assets fall within the Level 2 Fair value category, valued using Observable Inputs. There has been no change in these categorisations during the year

Note 9: School property, plant and equipment

The value of our school property, plant and equipment is £539.7 million (2016/17 - £652.6 million). The table below shows a breakdown across the various types of school.

School Property, plant and equipment At 31 March 2018	Land £ m	Buildings £ m	Other Assets £ m	Total £ m	Number of Schools
Community Schools	144.7	129.1	2.6	276.5	85
Voluntary Aided Schools	55.2	43.0	0.0	98.2	31
Voluntary Controlled Schools	61.0	42.1	0.0	103.1	40
Foundation Schools	28.9	33.0	0.0	62.0	8
Net book value at 31 March 2018	289.8	247.3	2.6	539.7	164

School Property, plant and equipment At 31 March 2017	Land £ m	Buildings £ m	Other Assets £ m	Total £ m	Number of Schools
Community Schools	169.3	164.1	3.5	336.9	91
Voluntary Aided Schools	75.6	66.4	0.0	142.0	36
Voluntary Controlled Schools	68.8	62.6	0.0	131.4	42
Foundation Schools	24.7	17.6	0.0	42.3	9
Net book value at 31 March 2017	338.4	310.7	3.5	652.6	178

The number of schools has reduced by fourteen. There were two schools which both consisted of two sites; these sites were reported as separate schools in 2016/17, but were merged in 2017/18. Twelve schools chose to take up academy status in 2017/18.

Whilst we recognise the assets of voluntary aided, voluntary controlled and foundation schools in our accounts we do not have the right to access or dispose of these assets to settle any liabilities. We have no donated school assets.

Note 10: Heritage assets

The net book value of the heritage assets we hold is £4.3 million (£4.2m in 2016/17). There have been no significant acquisitions during 2017/18 and there have not been any significant disposals of heritage assets. More detailed information about the specific heritage assets we hold is on our website <https://www.warwickshire.gov.uk>.

Note 11: Investment properties

We have classified a number of properties as investment properties, most of which are leased out to third parties under operating leases.

The following items of income and expense have been accounted for in the Financing and investment income and expenditure line in the Comprehensive Income and Expenditure Statement:

31 March 2017 £ m	Investment properties	31 March 2018 £ m
0.4	Direct net operating expense arising from investment property	0.1
0.4	Net gain/loss (-)	0.1

The table below summarises the movement in the fair value of investment properties over the year.

31 March 2017 £ m	Investment properties	31 March 2018 £ m
40.4	Balance at the start of the year	58.8
-0.9	Opening balance adjustment	0.0
20.7	Reclassifications	-1.3
0.1	Additions	0.2
-0.5	Disposals	0.0
-1.0	Net gains/losses (-) from fair value adjustments	1.2
58.8	Balance at the end of the year	58.9

The table below shows the fair value of these classes of assets.

Investment Properties - Fair value	Quoted Market Price - Level 1 £ m	Using Observable Inputs - Level 2 £ m	Unobservable Inputs - Level 3 £ m	Total £ m
31st March 2017	35.4	23.3	0.1	58.8
31st March 2018	23.6	35.3	0.0	58.9

Note 12: Intangible Assets

We account for our software as intangible assets, to the extent that the software is not an integral part of a particular IT system accounted for as a hardware item of property, plant and equipment. Our intangible assets include both purchased licences and internally generated software.

All software is valued at historic cost. We own a number of software licences across the authority which are written off to revenue over their expected useful lives (between 3 and 10 years). The carrying amount of intangible assets is amortised on a straight line basis. The amortisation of £0.5 million (£0.5 million in 2016/17) charged to revenue in 2017/18 was charged to a number of services, some of which was absorbed as an overhead and charged across all service headings in the Net Expenditure of Services. It is not possible to quantify exactly how much of the amortisation is attributable to each service heading.

The movement on intangible asset balances during the year is as follows:

Software licences we have bought 2016/17 £ m	Intangible assets	Software licences we have bought 2017/18 £ m
3.9	Gross book Value at 1 April	4.2
-2.5	Amortisation balance at 1 April	-3.0
1.4	Net book value at 1 April	1.2
	Changes in the year	
0.1	~ Opening Balance Adjustment	0.0
0.0	~ Spending on assets	1.5
0.2	~ Transfer from work in progress to complete	2.1
	Amortisation	
-0.5	~ Amortisation	-0.5
1.2	Net book value at 31 March	4.3
4.2	Gross book Value at 31 March	7.8
-3.0	Amortisation balance at 31 March	-3.5
1.2	Net book value at 31 March	4.3

Note 13: Financial instruments

The borrowings and investments disclosed in the Balance Sheet are made up of the following categories of financial instruments:

Financial Assets and liabilities	31 March 2017 (restated)			31 March 2018		
	Current £m	Long-term £m	Total £m	Current £m	Long-term £m	Total £m
Financial Assets						
Investments:						
~ Loans and receivables	30.2	0.0	30.2	50.4	0.0	50.4
~ Available-for-sale financial assets	43.8	2.2	46.0	43.4	2.0	45.4
Total investments	74.0	2.2	76.2	93.8	2.0	95.8
Debtors:						
~ Loans and receivables	0.0	0.0	0.0	0.0	0.5	0.5
~ Financial assets carried at contract amounts	36.7	0.0	36.7	42.6	0.0	42.6
Total Debtors	36.7	0.0	36.7	42.6	0.5	43.1
Cash:						
~ Loans and receivables (cash and cash equivalents)	162.7	0.0	162.7	190.3	0.0	190.3
Total Cash	162.7	0.0	162.7	190.3	0.0	190.3
Total Financial assets	273.4	2.2	275.6	326.7	2.5	329.2

The figures presented for 2016/17 in the above table have been adjusted to correct a presentation error made in last year's Statement of Accounts. In that document, we included £43.8 million of investments in the "Financial assets as fair value through profit and loss" category. These assets are actually investments in bond funds, which were (correctly) treated elsewhere in our accounts as "Available-for-sale financial assets". The only incorrect presentation was in this note, and so we have agreed with our auditors to restate the prior year figures in this note.

Financial Assets and liabilities	31 March 2017			31 March 2018		
	Current £m	Long-term £m	Total £m	Current £m	Long-term £m	Total £m
Financial Liabilities						
Borrowings:						
~ Financial liabilities at amortised cost	1.1	352.3	353.4	9.7	352.3	362.0
Total Borrowings	1.1	352.3	353.4	9.7	352.3	362.0
Creditors:						
~ Financial liabilities at contractual amounts	67.3	0.0	67.3	73.2	0.0	73.2
Other short term liabilities:						
Total	67.3	0.0	67.3	73.2	0.0	73.2
Total Financial Liabilities	68.4	352.3	420.7	82.9	352.3	435.2

Reconciliation to Balance Sheet carrying amounts	2016/17 £m	2017/18 £m
Debtors that are financial instruments	36.7	42.6
Debtors that are not financial instruments	20.1	21.4
Total Debtors	56.8	64.0
Creditors that are financial instruments	67.3	73.2
Creditors that are not financial instruments	25.5	33.6
Total Creditors	92.8	106.8

Comparison with Fair Values	2016/17 £m	2017/18 £m
Financial Assets at carrying amount	275.6	329.2
Financial Assets at fair value	275.6	329.2
Effects of fair value	0.0	0.0
Financial Liabilities at carrying amount	420.7	435.2
Financial Liabilities at fair value	609.5	617.1
Effects of fair value	188.8	181.9

Financial liabilities and financial assets represented by loans and receivables are carried in the balance sheet at amortised cost. Their fair value has been assessed by calculating the present value of the cash flows that will take place over the remaining term of the instruments.

The difference between the long term borrowing nominal amounts carried in the Balance Sheet and their fair value is based on a calculation that uses new loan rates to estimate what it would cost to borrow a similar portfolio of loans at the Balance Sheet date.

We use an external expert to provide the fair values for our borrowings and any financial assets and liabilities that are not deemed to be held at fair value.

Available-for-sale financial assets are valued internally using the earnings multiple valuation method based on the latest available accounts for the companies in which we hold shares. Where that data is not available they are valued at cost. The total value of these holdings is £2.0 million at 31 March 2018.

In assessing fair value we have made the following assumptions:

- No early repayment or impairment is recognised;
- Where an instrument will mature in the next 12 months, carrying amount is assumed to approximate to fair value; and
- The fair value of trade and other receivables is taken to be the invoiced or billed amount.

There have been no transfers between input levels in 2017/18 and no changes in the valuation techniques for financial instruments during the year.

The valuation of financial instruments has been classified into the three levels required in the Code according to the quality and reliability of the information and techniques used to value them at fair value.

Financial Instruments - Fair value 31 March 2018	Quoted Market Price - Level 1 £ m	Using Observable Inputs - Level 2 £ m	Unobservable Inputs - Level 3 £ m	Total £ m
Financial Assets:-				
~ Investments - Loans and receivables (carried at cost plus accrued interest)	0.0	50.4	0.0	50.4
~ Available-for-sale financial assets	0.0	43.4	2.0	45.4
Debtors				0.0
- Financial assets carried at contractual amounts (deemed to be fair value)	43.1	0.0	0.0	43.1
Cash:-				
- Loans and receivables (cash and cash equivalents) - deemed to be fair value	190.3	0.0	0.0	190.3
Total Financial Assets	233.4	93.8	2.0	329.2
Financial Liabilities:-				
Borrowings:-				
- Financial liabilities carried at amortised cost	0.0	543.9	0.0	543.9
Creditors:-				
- Financial liabilities carried at contractual amounts (deemed to be fair value)	73.2	0.0	0.0	73.2
Total Financial Liabilities	73.2	543.9	0.0	617.1

Financial Instruments - Fair value 31 March 2017 (Restated)	Quoted Market Price - Level 1 £ m	Using Observable Inputs - Level 2 £ m	Unobservable Inputs - Level 3 £ m	Total £ m
Financial Assets:-				
~ Investments - Loans and receivables (carried at cost plus accrued interest)	0.0	30.2	0.0	30.2
~ Available-for-sale financial assets	0.0	43.8	2.2	46.0
Debtors				
- Financial assets carried at contractual amounts (deemed to be fair value)	36.7	0.0	0.0	36.7
Cash:-				
- Loans and receivables (cash and cash equivalents) - deemed to be fair value	162.7	0.0	0.0	162.7
Total Financial Assets	199.4	74.0	2.2	275.6
Financial Liabilities:-				
Borrowings:-				
- Financial liabilities carried at amortised cost	0.0	542.2	0.0	542.2
Creditors:-				
- Financial liabilities carried at contractual amounts (deemed to be fair value)	67.3	0.0	0.0	67.3
Total Financial Liabilities	67.3	542.2	0.0	609.5

	Interest expense in (Surplus)/Deficit on the Provision of Services		Investment income in (Surplus)/Deficit on the Provision of Services		Gain or (loss) on revaluation of financial assets in Other Comprehensive Income and Expenditure	
	2016/17 £m	2017/18 £m	2016/17 £m	2017/18 £m	2016/17 (restated) £m	2017/18 £m
Interest paid and investment income received						
~ Financial liabilities at amortised cost	-18.0	-17.2	0.0	0.0	0.0	0.0
~ Financial assets (loans and receivables)	0.0	0.0	3.1	2.5	0.0	0.0
~ Financial assets (available-for-sale)	0.0	0.0	0.6	0.0	3.0	-0.6

Note 14: Debtors

31 March 2017 (Restated) £ m	Short-term debtors	31 March 2018 £ m
11.1	Central Government bodies	8.4
6.9	Local authorities	9.7
2.4	Health Service bodies	4.8
0.0	Public Corporations	0.0
36.4	Other entities and individuals	41.1
56.8	Balance at the end of the year	64.0

Note 15: Cash and cash equivalents

31 March 2017 £ m	Cash and cash equivalents	31 March 2018 £ m
12.7	Cash held by the authority (including schools and imprest accounts)	18.8
150.0	Bank current accounts (call accounts and instant access deposit accounts)	171.5
0.0	Short-term deposits with building societies and other institutions less than 3 months maturity	0.0
162.7	Total cash and cash equivalents	190.3

Note 16: Assets held for sale

31 March 2017 £ m	Current assets held for sale	31 March 2018 £ m
0.8	Balance outstanding at start of year	0.3
0.3	Assets newly classified as held for sale	0.0
-0.8	Assets sold	-0.3
0.3	Balance outstanding at year end	0.0

All our Assets held for Sale fall within the Level 1 Fair value category, valued from Quoted Market Prices. No categorisation changes occurred during the year.

Note 17: Creditors

31 March 2017 (Restated) £ m	Creditors	31 March 2018 £ m
8.2	Central Government bodies	7.4
6.4	Local authorities	5.9
2.4	Health Service bodies	1.9
0.0	Public corporations and trading funds	0.0
75.8	Other entities and individuals	91.7
92.8	Balance at the end of the year	106.8

Note 18: Provisions

Our provisions total £8.0 million (£7.2 million 2016/17).

Our former liability insurers, Municipal Mutual Insurance (MMI) went into run-off (ceased to write new business) on 30 September 1992, following which a contingent Scheme of Arrangement became effective on January 1994 to ensure a smooth run-off should MMI subsequently be declared insolvent. In the event of the Scheme being triggered, claims paid by MMI after 30 September 1992 will be liable to claw back, at a percentage to be determined by the administrators, with subsequent claims to be paid in part at the same percentage. A Supreme Court judgement relating to establishment of liability arising from mesothelioma claims under employers' liability policies has resulted in the increased possibility of the Scheme being triggered. We have set aside £2.0 million to cover the claw back and the outstanding claims.

We have to account for our share of non domestic rating appeals that are still to be resolved by the Valuation Office Agency for the District and Borough Councils in Warwickshire. We cannot predict when these appeals may be raised or settled, so we have assumed that these settlements will be made within 1 year for the purposes of these accounts. The amount we have provided is £3.6 million.

We have reassessed the balance of liabilities between the county council and the Firefighters' Pension Fund. Some of the final costs are still uncertain and so a provision of £0.6 million has been included.

We have had to plan to reduce our staff numbers to deliver our savings programme over the next four years. We have accounted for these employment costs but only where the decisions taken are irreversible. This and all other provisions, totalling £1.8 million, are individually insignificant.

Note 19: Usable Reserves

Movements in our usable reserves are detailed in the Movement in Reserves Statement and in notes 1 and 2. A summary of revenue and capital usable reserves is shown below:

31 March 2017 £ m	Usable reserves	31 March 2018 £ m
25.1	General Fund	29.2
107.3	Earmarked Reserves	116.4
1.0	Capital Fund	1.2
2.6	Capital Grants Unapplied	1.4
136.0	Total usable reserves	148.2

Note 20: Unusable Reserves

31 March 2017 £ m	Unusable reserves	31 March 2018 £ m
144.2	Revaluation Reserve	174.6
840.1	Capital Adjustment Account	706.5
0.0	Financial Instruments Adjustment Account	0.0
5.1	Available for Sale Financial Instruments Reserve	4.5
-7.0	Accumulated Absences Reserve	-7.3
2.6	Collection Fund Adjustment Account	3.7
-801.8	Pensions Reserve	-787.0
183.2	Total unusable reserves	95.0

Revaluation Reserve

The Revaluation Reserve contains the gains we have made arising from increases in the value of our property, plant and equipment and intangible assets. The balance is reduced when assets with accumulated gains are:

- Revalued downwards or impaired and the gains are lost;
- Used in the provision of services and the gains are consumed through depreciation, or
- Disposed of and the gains are realised.

The Reserve contains only revaluation gains accumulated since 1 April 2007, the date the Reserve was created. Accumulated gains arising before that date are consolidated into the balance on the Capital Adjustment Account.

2016/17 £ m	Movement in the capital reserves and accounts - Revaluation Reserve	2017/18 £ m
152.9	Balance on 1 April	144.2
-5.0	Opening balance adjustments	-0.1
25.0	Revaluation increases	57.5
0.0	Revaluation decreases	-17.2
-6.0	Depreciation adjustment to Capital Adjustment Account	-4.1
-22.7	Revaluation written off on disposal	-5.7
144.2	Balance on 31 March	174.6

Capital Adjustment Account

The Capital Adjustment Account absorbs the timing differences arising from the different arrangements for accounting for the consumption of non-current assets and for the financing of the acquisition, construction or enhancement of those assets under statutory provisions:

- The Account is debited with the cost of acquisition, construction and enhancement as depreciation, impairment and revaluation losses and amortisations are charged to the Comprehensive Income and Expenditure Statement (with reconciling postings from the Revaluation Reserve to convert fair value figures to a historical cost basis). The Account is credited with the amounts we set aside as finance for the costs of acquisition, construction and enhancement.
- The Account contains the accumulated gains and losses on investment properties and gains recognised on donated assets that we have yet to consume.
- The Account also contains revaluation gains accumulated on property, plant and equipment before 1 April 2007, the date that the Revaluation Reserve was created to hold such gains. Note 2 provides details of the source of all the transactions posted to the Account, apart from those involving the Revaluation Reserve.

2016/17 (Restated) £ m	Movement in the capital reserves and accounts - Capital Adjustment Account	2017/18 £ m
834.5	Balance on 1 April	840.1
3.7	Opening balance adjustments	0.0
-11.5	Revaluation decrease	-107.5
0.0	Revaluation increase	14.0
6.0	Depreciation adjustment to Revaluation Reserve	4.1
22.7	Revaluation written off on disposal	5.7
-39.9	Value of asset disposals	-75.3
-12.6	Transfer of spending on assets we do not own	-14.9
-19.2	Transfers to and from the revenue account	-31.0
56.4	Money used to buy assets	68.6
0.0	Disposal proceeds not yet received	2.7
840.1	Balance on 31 March	706.5

Financial Instruments Adjustment Account

The Financial Instruments Adjustment Account absorbs the timing differences arising from the different arrangements for accounting for the income and expenses relating to certain financial instruments and for bearing losses or benefiting from gains per statutory provisions. We use the Account to manage the discounts received on the early redemption of debt.

We have not received any discounts or paid any premiums in 2017/18.

31 March 2017 £ m	Financial Instruments Adjustment Account	31 March 2018 £ m
0.1	Balance on 1 April	0.0
-0.1	Proportion of discounts received in previous years to be credited to the General Fund Balance in accordance with statutory requirements	0.0
0.0	Balance on 31 March	0.0

Available for Sale Financial Instruments Reserve

The Available for Sale Financial Instruments Reserve contains the gains we have made arising from increases in the value of our investments that have quoted market prices or otherwise do not have fixed or determinable payments. The balance is reduced when investments with accumulated gains are:

- revalued downwards or impaired and the gains are lost; or
- disposed of and the gains are realised.

31 March 2017 £ m	Available for Sale Financial Instruments Reserve	31 March 2018 £ m
2.1	Balance on 1 April	5.1
1.2	Unrealised gains/losses on financial assets not charged to the surplus/deficit on the provision of services	-0.3
1.8	Movement in valuation of investments not charged to Surplus/Deficit on the provision of services	-0.2
5.1	Balance on 31 March	4.5

Accumulated Absences Account

The Accumulated Absences Account absorbs the amounts that would otherwise affect the General Fund from accruing for compensated absences earned but not taken in the year, e.g. annual leave entitlement carried forward at 31 March. Statutory arrangements require that the impact on the General Fund is neutralised by transfers to or from the Account.

31 March 2017 £ m		Movement in Accumulated Absences Account	31 March 2018 £ m	
	-2.1	Balance at 1 April		-7.0
2.1		Settlement or cancellation of accrual made at the end of the preceding year	7.0	
-7.0		Amounts accrued at the end of the current year	-7.3	
	-4.9	Amount by which officer remuneration charged to the Comprehensive Income and Expenditure Statement on an accruals basis is different from remuneration chargeable in the year in accordance with statutory requirements		-0.3
	-7.0	Balance at 31 March		-7.3

Collection Fund Adjustment Account

The Collection Fund Adjustment Account manages the differences arising from the recognition of council tax and business rates income in the Comprehensive Income and Expenditure Statement as it falls due compared with the statutory arrangements for paying across amounts due to the General Fund.

31 March 2017 £ m		Movement in Collection Fund Adjustment Account	31 March 2018 £ m	
0.9		Balance at start of year		2.6
-0.8		Amount by which council tax income credited to the Comprehensive Income and Expenditure Statement is different from council tax income calculated for the year in accordance with statutory requirements		0.7
2.5		Amount by which non domestic rates income credited to the Comprehensive Income and Expenditure Statement is different from non domestic rate income calculated for the year in accordance with statutory requirements		0.4
	2.6	Balance at end of year		3.7

Pensions Reserve

The Pensions Reserve absorbs the timing differences arising from the different arrangements for accounting for post-employment benefits and for funding benefits in accordance with statutory provisions. We account for post-employment benefits in the Comprehensive Income and Expenditure Statement as the benefits are earned by employees accruing years of service, updating the liabilities to reflect inflation, changing assumptions and investment returns on any resources set aside to meet costs. However, statutory arrangements require benefits earned to be financed, as we make employer's contributions to pension funds or eventually pay any pensions for which we are directly responsible. The debit balance on the Pensions Reserve therefore shows a substantial shortfall in the benefits earned by past and current employees and the resources we have set aside to meet them. The statutory arrangements will ensure that funding will have been set aside by the time that the benefits come to be paid.

On 31 March 2017 £ m	Pensions Reserve - All Schemes	On 31 March 2018 £ m
-681.4	Balance as 1 April	-801.8
-94.3	Remeasurements of net defined (liability)/asset	46.3
-72.4	Reversal of net charges made for retirement benefits	-75.4
40.8	Employer's pension contributions and direct payments to pensioners payable in the year	39.3
5.6	Grant funding of firefighters' pensions liabilities	4.6
-801.8	Balance at 31 March	-787.0

Note 21: Cash Flow Statement – operating activities

31 March 2017 £ m	Cash flows from operating activities	31 March 2018 £ m
	Cash Inflows from operating activities:-	
243.9	~ Council tax receipts	257.9
58.5	~ Business rates receipts	62.0
37.5	~ Revenue Support Grant	20.4
331.3	~ other Government grants (Note 24)	337.3
106.1	~ cash received for goods and services	114.8
2.9	~ interest received (cash received)	2.5
	Cash Outflows from operating activities:-	
-352.4	~ cash paid to and on behalf of employees	-344.6
-381.0	~ other operating cash payments	-397.5
-18.0	~ interest paid	-8.6
28.8	Total net cash flows from operating activities	44.2

Note 22: Cash Flow Statement – investing activities

31 March 2017 £ m	Cash flows from investing activities	31 March 2018 £ m
-71.6	Purchase of property, plant and equipment, investment property and intangible assets	-62.9
9.8	Proceeds or purchase (-) of short-term and long-term investments	-20.2
0.7	Other receipts or payments (-) for investing activities	1.0
2.9	Proceeds from the sale of property, plant and equipment, investment property and intangible assets	2.8
47.9	Other receipts from investing activities - capital grants	63.2
-10.3	Net cash flows from investing activities	-16.1

Note 23: Cash Flow Statement – financing activities

31 March 2017 £ m	Cash flows from financing activities	31 March 2018 £ m
0.0	Cash payments in respect of short-term and long-term borrowing	-0.5
-25.0	Repayments of short and long term borrowing	0.0
0.0	Cash payments for the reduction of outstanding liabilities in relation to finance leases	0.0
-25.0	Net cash flows from financing activities	-0.5

Note 24: Grant Income

We credited the following grants to the Comprehensive Income and Expenditure Statement in 2017/18:

Actual income 2016/17 (Restated) £ m	Grant income	Actual income 2017/18 £ m
	Revenue grants credited to Services:	
239.6	Dedicated Schools Grant	233.9
10.5	Pupil Premium Grant	10.1
5.9	Sixth Form Funding	3.8
2.4	Other Schools Grants	2.8
2.6	Asylum seekers	2.6
24.2	Public Health Grant	23.6
5.1	Universal Infant Free School Meals	5.3
12.3	Better Care Fund	12.5
3.9	Other revenue grants	5.8
306.5	Total revenue grants	300.4
	Capital grants and contributions credited to services:	
3.5	Disabled Facilities Grant	3.8
1.7	Environment Agency	0.5
0.1	Private developer funding	2.9
3.9	Other grants/contributions	2.1
9.2	Total capital grants and contributions	9.3
315.7	Total	309.7

Actual income 2016/17 £ m	Grant income	Actual income 2017/18 £ m
	Credited to Taxation and Non Specific Grant Income:	
1.5	Business Rates Retention/Compensation Scheme	1.9
3.0	Transition Grant	3.0
3.6	Education Services Grant	2.4
0.0	Better Care Fund	10.5
3.0	New Homes Bonus	2.8
1.9	Independent Living Fund Grant	1.9
1.1	Tackling Troubled Families	1.3
0.0	Childrens Social Innovation Programme	1.3
1.5	Other Grants	2.4
15.6	Total revenue grants	27.6
	Capital grants and contributions:	
2.5	Devolved Formula Capital	1.3
12.8	Schools Maintenance and Basic Need	11.1
0.8	Network Rail	1.2
1.1	Fire Capital Grant	0.0
16.6	Local Transport Plan & other transport grants	19.9
2.6	Contribution from other local authorities	1.3
12.0	Private developer funding	15.3
0.1	Other grants/contributions	0.1
48.5	Total capital grants	50.3
64.1	Total	77.9

We have received a number of grants, contributions and donations that have yet to be recognised as income as they have conditions attached to them that will require the monies or property to be returned to the giver.

The balances at year end are as follows:

31 March 2017 £ m	Grant receipts in advance	31 March 2018 £ m
	Short-term grant receipts in advance - revenue	
0.2	Other grants	0.5
0.2	Total revenue grants	0.5
	Long-term grant receipts in advance - capital	
1.5	Devolved Formula Capital	1.6
19.9	Private developer funding and capital receipt deposits	32.9
1.5	Other grants/contributions	1.2
22.9	Total capital grants	35.8
23.1	Total	36.3

Note 25: Accounting standards issued that have not yet been adopted

The following accounting standards have been issued but not yet adopted:

- IFRS 9 Financial Instruments
- IFRS 15 Revenue from Contracts with Customers including Amendments to IFRS 15 and Clarifications to IFRS 15 Revenue from Contracts with Customers
- Amendments to IAS 12 Income Taxes: Recognition of Deferred Tax Assets for Unrealised Losses
- Amendments to IAS 7 Statement of Cash Flows: Disclosure Initiative.

These standards all apply to local authority accounts in 2018/19.

IFRS 9 Financial Instruments introduces new classifications for financial assets, and requires a different model to be applied for estimating and disclosing impairment allowances in relation to financial assets. This change will be presented as an opening adjustment in Warwickshire's 2018/19 accounts.

We have considered the impacts upon our financial assets and, while some of our investments will change classification, we anticipate that there will be no change to the balance sheet values presented within the 2017/18 accounts. We have also determined that there is no need to recognise any impairment allowances for our financial assets as the only items in the relevant class have very low credit risk and very low expected credit losses.

IFRS 15 Revenue from Contracts with Customers (including the Amendments and Clarification) applies to contracts under which the council receives income from service recipients. The standard requires local authorities to recognise income from such contracts when the individual performance obligation(s) within a contract are met. We have considered the contractual income received by the council and determined that there will be no material change required upon transition.

IAS 12 Income Taxes is not relevant to a local authority's single entity accounts as local authorities are not subject to corporation tax. Furthermore, Warwickshire does not consolidate any entities which are subject to corporation tax into group accounts, and so the changes to this standard are not expected to have any impact.

The amendments to IAS 7 Statement of Cash Flows relate to requirements for specific disclosures. These are covered by the Warwickshire's existing disclosures and as such there is expected to be no impact on our 2018/19 accounts.

Note 26: Assumptions made about the future and other major sources of estimation uncertainty

The Statement of Accounts contains estimated figures that are based on assumptions we have made about the future or that are otherwise uncertain. Estimates are made taking into account historical experience, current trends and other relevant factors. However, because balances cannot be determined with certainty, actual results could be materially different from the assumptions and estimates.

The items in our Balance Sheet at 31 March 2018 for which there is a significant risk of material adjustment in the forthcoming financial year are as follows:

Item	Uncertainties	Effect if actual results differ from assumptions
Property, plant and equipment	Assets are depreciated over useful lives that are dependent on assumptions about the level of repairs and maintenance in relation to individual assets. In the current economic climate the authority cannot be certain about its ability to sustain the current level of spending on repairs and maintenance bringing into doubt the useful lives of the assets.	<p>If a reduction of asset life occurs, the depreciation and carrying amount of the asset falls.</p> <p>It is estimated that the annual depreciation charge for property, plant and equipment would increase by £3.4 million for every year that useful lives are reduced.</p>
Pensions liability	Estimation of the net liability to pay pensions depends on a number of complex judgements relating to the discount rate at which salaries are projected to increase, changes in retirement ages, mortality rates and expected returns on pension fund assets. A firm of consulting actuaries is engaged to provide the authority with expert advice about the assumptions to be applied.	<p>The effects on the net pension liability of changes in individual assumptions can be measured. For instance, a 0.5% decrease in the discount rate, in isolation, would result in an increase in the pension liability of £152.1 million. See note 38 for further examples.</p> <p>During 2017/18, our actuaries advised that the net pensions' liability has decreased by £14.8 million mainly as a result of an actuarial gain.</p>
Fair Value	<p>It is not always possible for the fair values of investment properties, surplus assets and assets held for sale to be measured based on quoted prices in active markets (i.e. Level 1 inputs).</p> <p>For Level 2 inputs we use quoted prices for similar assets or liabilities in active markets at the balance sheet date and for level 3 inputs we use the most recent valuations.</p> <p>Where possible the inputs to these valuation techniques are based on observable data, but where this is not possible, judgement is required in establishing fair values.</p> <p>Where Level 1 inputs are not available, we use valuers to identify the most appropriate valuation techniques to determine fair value.</p>	<p>We use a combination of indexation techniques, beacon valuations and discounted cash flow models to measure the value of our investment properties, surplus assets and assets held for sale.</p> <p>The unobservable inputs used in the fair value measurement include assumptions regarding rent growth and occupancy levels.</p> <p>Significant changes in any of the unobservable inputs would result in a significantly lower or higher fair value measurement for these assets.</p>

Note 27: Capital expenditure and capital financing

The total amount of capital expenditure incurred in the year is shown in the table below, together with the resources that have been used to finance it. Where capital expenditure is to be financed from borrowing (resulting in future revenue charges), the expenditure results in an increase in the Capital Financing Requirement (CFR), a measure of the capital expenditure incurred historically yet to be financed. The CFR is analysed in the second part of this note.

2016/17 £ m	Capital financing requirement (IFRS)	2017/18 £ m
319.4	Opening requirement	316.7
	Capital investment:	
70.8	- Property, plant & equipment	61.7
0.1	- Heritage assets	0.0
0.0	- Intangible assets	1.5
0.1	- Investment property	0.2
12.6	- Revenue spending from capital under statute	14.9
83.6	Total capital investment	78.3
	Sources of finance:	
-2.8	- Capital receipts	-2.8
-56.4	- Government grants and other contributions	-60.8
	- Sums set aside from revenue:	
-11.3	- Direct revenue contributions	-5.1
-15.7	- MRP	-12.5
-86.3	Total sources of income	-81.1
316.7	Closing capital financing requirement	314.0

2016/17 £ m	Explanation of movements in the year	2017/18 £ m
-2.7	Change in underlying need to borrow	-2.7
-2.7	Increase/decrease(-) in Capital Financing Requirement	-2.7

Note 28: Critical judgements in applying accounting policies

In applying our accounting policies as set out at the start of this document, we have had to make certain judgements about complex transactions or those involving uncertainty about future events. The critical judgements made in the Statement of Accounts are:

- There is a high degree of uncertainty about future levels of funding for local government. However, we have determined that this uncertainty is not yet sufficient to provide an indication that our assets might be impaired as a result of a need to close facilities and reduce levels of service provision.
- We consider voluntary controlled, voluntary aided and foundation schools contribute alongside maintained schools, to meeting our service objectives both now and in the future and that therefore their expenditure, income and the assets they use in the provision of services should form part of our accounts. In accordance with the Code we include them in our single entity accounts and we do not have to prepare separate group accounts. Details of the value and number of each type of school included in our accounts is shown at note 9.
- When a school that is held on our Balance Sheet transfers to academy status we account for this as a disposal for nil consideration on the date that the school converts to academy status rather than as an impairment on the date that approval to transfer to Academy status is agreed.
- Details of our relationships with other companies and investments in companies are detailed in note 41. These are not material and we have not prepared group accounts on this basis.

Note 29: Dedicated Schools' Grant

Our spending on schools is funded primarily by a grant provided by the Education and Skills Funding Agency, the Dedicated Schools Grant (DSG). DSG is ring fenced and only be applied to meet expenditure properly included in the Schools Budget as defined in the School Finance and Early Years (England) Regulations 2017. The Schools Budget includes elements for a range of educational services provided on an authority-wide basis and for the Individual Schools Budget, which is divided into a budget share for each maintained school.

Central spending includes other funding allocated as school specific contingencies and nominally held funds and allocations by the School Forum. The DSG figure is as confirmed by the Department for Education in March 2018. The 2017/18 early years adjustment has yet to be announced.

We confirm that the Dedicated Schools' Grant received in 2017/18 was £233.9 million (made under section 14 of the Education Act 2002). It has been fully distributed to support schools' budgets, as set out in the regulations made under sections 45A, 45AA, 47, 47ZA, 47A, 48, 49 and 138(7) of, and paragraph 2(B) of schedule 14 to, the Schools Standards and Framework Act 1998 and section 24(3) of the Education Act 2002.

Details of the deployment of DSG receivable for 2017/2018 are shown below.

2016/17 Total £ m		2017/18		
		Central Spending £ m	Individual schools budget (ISB) £ m	Total £ m
380.4	Final DSG for the year before Academy recoupment	76.1	315.6	391.7
-140.9	Less Academy recouped for the year	0.0	-157.8	-157.8
239.5	Total DSG after Academy recoupment for the year and agreed initial budget distribution in the year.	76.1	157.8	233.9
0.0	Plus DSG brought forward from the previous year	0.0	0.0	0.0
0.0	Less DSG Carry forward to next year agreed in advance	0.0	0.0	0.0
239.5	Agreed initial budgeted distribution in the year	76.1	157.8	233.9
0.1	In year Adjustments	0.0	0.0	0.0
239.6	Final budgeted DSG distribution for the year	76.1	157.8	233.9
-68.9	Actual central spending for the year	-75.1	0.0	-75.1
-171.6	Actual ISB deployed to schools	0.0	-157.9	-157.9
0.9	Our contribution in the year	0.0	0.0	0.0
0.0	Under spend for the year (carried forward)	1.0	-0.1	0.9

Note 30: Events after the Balance Sheet date

As a result of the Government's white paper 'The Importance of Teaching', which allows Schools to opt out of local government control by becoming academies, twelve Warwickshire schools chose to take up the new academy status in 2017/18 and a further eighteen Warwickshire schools are anticipated to also convert to academy status in 2018/19 and beyond. Eleven community schools, five voluntary controlled or voluntary aided schools and two foundation schools have applied to the Department for Education to convert to academy status after 1 April 2018. The significance of the conversion of these schools to academy is that the value of the land, buildings and any vehicles, plant and equipment will be removed from our Balance Sheet at the date of conversion. The value of the derecognition of the current schools looking to convert to academy status after 31 March 2018 will be in the region of £108 million.

Note 31: External audit costs

We have incurred costs of £0.1 million (£0.1 million in 2016/17) for the year in relation to the audit of the Statement of Accounts and certification of grant claims provided by our external auditors.

Note 32: Leases**Authority as lessee**

- Finance leases
We have acquired some equipment under finance leases. The assets acquired under these leases are carried as property, plant and equipment in the Balance Sheet. These amounts are not material to the financial statements.
- Operating leases
We have acquired a number of buildings, vehicles and items of equipment by entering into operating leases. These amounts are not material to the financial statements.

Authority as lessor

- Finance leases
We do not have any finance leases as lessor.
- Operating leases
We lease out property under operating leases for the following purposes:
 - For the provision of community services, such as community centres, homes for the elderly and disabled nurseries;
 - For economic development purposes to provide accommodation for local businesses;
 - For the support of rural businesses to support smallholdings and farming; and
 - To individuals for personal and business use.

The future minimum lease payments receivable under non-cancellable leases in future years are:

31 March 2017 £ m	Operating lease period	31 March 2018 £ m
1.5	Not later than 1 year	1.5
4.1	Later than 1 year and not later than 5 years	4.2
9.3	Later than 5 years	9.6
14.9	Total	15.2

The minimum lease payments receivable do not include rents that are contingent on events taking place after the lease was entered into, such as adjustments following rent reviews. The contingent rent is not material to the financial statements.

Note 33: Contingent assets

We currently have no contingent assets.

Note 34: Contingent liabilities

We have an ongoing dispute with a civil engineering contractor.

Note 35: Members' allowances

Elected members were paid a total of £0.779 million (£0.838 million in 2016/17) in allowances and expenses. In addition we paid independent and co-opted members allowances and expenses of £0.021 million (£0.021 million in 2016/17). No single member was paid more than £50,000 during the year. Further details of allowances and expenses payments made to Elected Members in 2017/18 are available on our website <https://www.warwickshire.gov.uk>. Payments to elected Members include expenses for the Police and Crime Panel which are reimbursed by the Home Office.

Note 36: Nature and extent of risk arising from financial instruments

Our activities expose us to a variety of financial risks:

- Credit risk – the possibility that other parties might fail to pay amounts due to us;
- Liquidity risk – the possibility that we might not have funds available to meet our commitments to make payments; and
- Market risk – the possibility that financial loss might arise as a result of changes in such measures as interest rates and stock market movements.

Our overall financial risk management programme focuses on the unpredictability of financial markets and seeks to minimise potential adverse effects on the resources available to fund services. Financial risk management is carried out by a central treasury management team, under policies approved by the Council annually in the Treasury Management Strategy, available via <https://www.warwickshire.gov.uk>. We provide written policies covering specific areas, such as interest rate risk, credit risk and the investment of surplus cash.

Credit risk

Credit risk arises from deposits with banks and financial institutions, as well as credit exposures to our customers. Deposits are not made with banks and financial institutions unless they are rated independently with a minimum score as laid out in the Treasury Management Strategy.

Many of the invoices we raise are the result of statutory obligations. However, where we are providing non statutory goods or services to customers, we consider their ability to pay. A number of checks are available to managers as outlined in our Debt Recovery Best Practice Guide.

We have assessed our potential maximum exposure to credit risk, based on experience of default and uncollectability over the last five financial years. This has been adjusted to reflect current market conditions. However, there is no effect as there is no instance of institutions that meet our credit ratings defaulting in the last five years.

Liquidity risk

As we have ready access to borrowings from the Public Works Loan Board, there is no significant risk that we will be unable to raise finance to meet our future commitments under financial instruments. Instead the risk is that we will be

bound to replenish a significant proportion of our borrowings at a time of unfavourable interest rates. To mitigate this, our strategy is to ensure that not more than 20% of loans are due to mature within any rolling three year period. The maturity analysis of financial liabilities is as follows:

2016/17 £ m	Loans we have not yet repaid	2017/18 £ m
	We owe money to:	
353.4	~ Public Works Loans Board	353.4
0.0	~ Public Works Loans Board - Accrued Interest	8.6
353.4	Total	362.0
	When we will pay the money back:	
1.1	Less than 1 year	9.7
0.0	Between 1 and 2 years	0.0
30.0	Between 2 and 5 years	30.0
0.0	Between 5 and 10 years	0.0
322.3	More than 10 years	322.3
353.4	Total	362.0

Our level of borrowing is due to paying for capital spending in previous years. We have not borrowed any money from external sources in 2017/18 to pay for new capital spending.

We use cash reserves which we have set aside to support future years' revenue budgets to invest in the short term. We have included these as short-term investments on the Balance Sheet.

All trade and other payables are due to be paid in less than one year.

Market risk

Interest Rate Risk

We are exposed to significant risk in terms of our exposure to interest rate movements on our borrowings and investments. Movements in interest rates have a complex impact. For instance, a rise in interest rates would have the following effects:

- Borrowings at variable rates – the interest expense charged to the Comprehensive Income and Expenditure Statement will rise;
- Borrowings at fixed rates – the fair value of the borrowings will fall;
- Investments at variable rates – the interest income credited to the Comprehensive Income and Expenditure Statement will rise; and
- Investments at fixed rates – the fair value of the assets will fall.

As part of our strategy for managing interest rate risk we aim to keep a maximum of 25% of our borrowing in variable rate loans.

We have an active strategy for assessing interest rates exposure that allows for any adverse changes to be incorporated into the budget on a quarterly basis. According to this assessment strategy, at 31 March 2018, if interest rates had been 1% higher with all other variables held constant, the financial effect would be:

- A decrease in the fair value of fixed rate investment assets of £0 million (£0 million in 2016/17)
- A decrease in fair value of fixed borrowing of £85.9 million (£89.3 million in 2016/17).

Changes in interest payable and receivable on variable rate borrowings and investments will be posted to the Comprehensive Income and Expenditure Statement and affect the General Fund. Movements in the fair value of fixed rate investments will be reflected in the Comprehensive Income and Expenditure Statement.

Price risk

We have some shareholdings in specific interests and we are not in a position to diversify our portfolio. The current value of the shareholding is £2.0 million. This is classified as “available for sale” meaning that all movements in price will impact on gains and losses recognised in the Comprehensive Income and Expenditure Statement. In 2017/18 this amounted to a loss of £0.2 million. We also have a number of investment holdings where any movements in their values are not realised until they are disposed of. We have not disposed of any of these holdings this year. At 31 March each year we account for the current increase or decrease in its value by recognising this change as an unrealised gain or loss. At 31 March 2018 we recognised a total unrealised loss of £0.4 million in the Comprehensive Income and Expenditure Account. Both these losses are reversed through the Movement in Reserves Statement to create no net impact on the General Fund.

Treasury management

We take into account CIPFA's Treasury Management in Public Services Code of Practice and Cross Sectional Guidance Notes and the Ministry for Housing, Communities and Local Government guidance on local government investments issued in March 2004. An updated version of the latter was released in February 2018 to apply to accounting periods from 1st April 2018 onwards.

We aim to achieve the optimum return on our investments commensurate with proper levels of security and liquidity. The borrowing of monies purely to invest and make a return is unlawful and we do not engage in such activity. Our external fund managers comply with the Annual Investment Strategy. The agreement between us and the fund managers additionally stipulates additional guidelines and limits in order to manage risk.

Note 37: Officers remuneration and termination benefits

We are required to show the number of our staff who are paid more than £50,000 a year. This is shown in the table below. Pay includes salary, redundancy, travel and other costs. These figures do not include employer's pension contribution and exclude remuneration for senior staff who are shown separately.

2016/17		Remuneration	2017/18					
Staff (revised total)			Staff		Staff Left in the Year		Revised Total	
Schools	Other		Schools	Other	Schools	Other	Schools	Other
77	63	£50,000 - £54,999	61	67	0	0	61	67
53	40	£55,000 - £59,999	57	20	1	0	56	20
30	15	£60,000 - £64,999	37	29	1	2	36	27
20	10	£65,000 - £69,999	17	19	0	0	17	19
14	6	£70,000 - £74,999	12	6	0	0	12	6
6	16	£75,000 - £79,999	5	14	0	0	5	14
3	2	£80,000 - £84,999	3	1	0	0	3	1
3	1	£85,000 - £89,999	3	1	0	0	3	1
0	5	£90,000 - £94,999	0	4	0	0	0	4
0	3	£95,000 - £99,999	0	3	0	0	0	3
0	2	£100,000 - £104,999	0	2	0	0	0	2
0	0	£105,000 - £109,999	0	1	0	0	0	1
1	1	£110,000 - £114,999	0	0	0	0	0	0
0	0	£115,000 - £119,999	0	0	0	0	0	0
0	0	£120,000 - £124,999	0	0	0	0	0	0
0	0	£125,000 - £129,999	0	0	0	0	0	0
1	0	£130,000 - £134,999	0	0	0	0	0	0
208	164		195	167	2	2	193	165

A number of employees left during 2017/18, incurring costs of £1.8 million (£2.5 million in 2016/17). None of this relates to senior staff. This cost includes officers who have left as part of on-going savings and efficiency plans. See table below for details.

Exit Package Cost Band (including Special Payments)	Number of compulsory redundancies		Number of other departures agreed		Total Number of packages by cost band		Total cost of packages in each band £ m	
	2016/17	2017/18	2016/17	2017/18	2016/17	2017/18	2016/17	2017/18
£0 - £20,000	11	2	86	95	97	97	0.596	0.571
£20,001 - £40,000	5	0	16	14	21	14	0.587	0.379
£40,001 - £60,000	1	0	12	4	13	4	0.587	0.183
£60,001 - £80,000	0	1	3	2	3	3	0.207	0.202
£80,001 - £100,000	0	0	1	0	1	0	0.082	0.000
£100,001 - £150,000	0	0	2	1	2	1	0.257	0.128
£150,001 - £200,000	0	0	0	0	0	0	0.000	0.000
£200,001 - £250,000	0	0	1	0	1	0	0.207	0.000
£250,001 - £300,000	0		0	1	0	1	0.000	0.291
	17	3	121	117	138	120	2.523	1.754

This is staff that have left the authority in the year. In addition we are required to account for the termination costs for staff that have signed an agreement to leave the authority which cannot be cancelled but who do not leave until after the 31 March, as a provision charged in the Comprehensive Income and Expenditure Account. These will be included in the above note in the year in which they leave the authority.

We are required to disclose the remuneration of senior employees, as defined by regulation, by post for salaries under £150,000 and by name for those whose salary is over £150,000. Remuneration for senior staff includes the employer's contribution to the appropriate pension fund.

Post holder information (post title and name)		Salaries (including fees and Allowances) £	Taxable Expense Allowances £	Compensation for loss of office £	Total excluding pension contributions £	Employer's Pension Contributions £	Total including pension contributions £
Chief Executive - Jim Graham (Note 1)	2016/17	148,171	0	0	148,171	27,041	175,212
	2017/18	n/a	n/a	n/a	n/a	n/a	n/a
Joint Managing Director & Strategic Director, Communities - Monica Fogarty (Note2)	2016/17	141,269	0	0	141,269	25,782	167,051
	2017/18	160,000	0	0	160,000	30,560	190,560
Joint Managing Director & Strategic Director, Resources - David Carter (Note 3)	2016/17	141,269	0	0	141,269	0	141,269
	2017/18	160,000	0	0	160,000	2,579	162,579
Strategic Director, People Group (Note 4) (Note 5)	2016/17	n/a	n/a	n/a	n/a	n/a	n/a
	2017/18	74,031	0	0	74,031	14,140	88,171
Chief Fire Officer	2016/17	122,264	0	0	122,264	26,531	148,795
	2017/18	123,981	0	0	123,981	26,904	150,885
Head of Public Health - Dr John Linnane (Note 6)	2016/17	160,077	797	0	160,874	22,891	183,765
	2017/18	161,103	0	0	161,103	23,167	184,270
Head of Finance (Section 151 Officer)	2016/17	106,427	0	0	106,427	19,423	125,850
	2017/18	107,223	0	0	107,223	20,480	127,703
Head of Education & Learning (Chief Education Officer) (Note 7)	2016/17	89,954	0	0	89,954	16,417	106,371
	2017/18	81,473	0	0	81,473	15,562	97,035
Monitoring Officer (Note 8)	2016/2017	n/a	n/a	n/a	n/a	n/a	n/a
	2017/2018	104,069			104,069	19,877	123,946
Total 2016/2017		909,431	797	0	910,228	138,085	1,048,314
Total 2017/2018		971,880	0	0	971,880	153,269	1,125,149

Note 1: The Chief Executive who was the Head of Paid Service and the Returning Officer left the authority on 3 February 2017. His annualised salary for 2016/17 was £172,866.

Note 2: Strategic Director, Communities took on the role of Joint Managing Director from 4 February 2017.

Note 3: Strategic Director, Resources took on the role of Joint Managing Director from 4 February 2017. This includes the role of Head of Paid Service. They also held the post of Monitoring Officer until 31 March 2017.

Note 4: Payments to the Interim Strategic Director, People Group were via an Agency and for the period 1 April 2016 to 31 August 2017. Payments in 2017/18 were £117,972 (£312,064 in 2016/17). The Strategic Director, People Group holds the posts of Director of Children's Services and Director of Adult Social Services.

Note 5: The new Strategic Director, People Group started on 1 September 2017. The annualised salary for 2017/18 is £126,911.

Note 6: The standard salary for the Head of Public Health is £101,451. Additional payments for Clinical Excellence Award, Additional Programme Activity and the Director of Public Health role result in the total salary shown in the table.

Note 7: The Head of Education and Learning (Chief Education Officer) was seconded to the Department for Education from 1 October 2016. The full salary for the year is shown above as he remained a county council employee although his costs were reimbursed. A new Head of Education and Learning joined the authority on an interim basis from 1 October 2016. Payment via an agency for the period October 2016 to March 2017 was £61,675. A new Head of Education and Learning started on 25 September 2017. The annualised salary for 2017/2018 was £82,390.

Note 8: The Monitoring officer post in 2016/17 was covered by the Strategic Director, Resources. From 1 April 2017 this was covered by the Head of Law and Governance. The table includes the salary for both roles respectively.

Note 38: Pension schemes

As part of the terms and conditions of employment, we offer retirement benefits. Although these benefits will not actually be payable until employees retire, the authority has a commitment to make payments that need to be disclosed at the time that employees earn their future entitlement.

Pension Schemes operated by the Council

Teachers

We operate a pension scheme for our teaching staff, under the Superannuation Act 1972. The scheme provides teachers with a defined benefit when they retire. The Teachers' Pensions Agency manages the scheme under the Teachers' Pensions Regulations 1997, as amended. The Government sets teachers' and employers' contribution rates on the basis of an assumed fund. The scheme has a large number of participating employers and so we are not able to identify our share of the underlying financial position and performance of the scheme with sufficient reliability for accounting purposes. For the purposes of our Statement of Accounts, the scheme is therefore accounted for on the same basis as a defined contribution scheme.

We may be required to make two kinds of contributions to the scheme – 'normal' and 'supplementary'. The normal contribution is the percentage of a newly recruited teacher's salary that is needed to meet the cost of the pension liability. We would pay a supplementary contribution if the Government found that future liabilities would not be met by the normal contributions. A supplementary contribution is not needed at present. Our total employer's contribution cost was £13.1 million in 2017/18 (£14.4 million in 2016/17).

We are also responsible for paying any extra added years of benefits and early retirement costs to pensioners. These extra costs are classed as defined benefits. As a result, in our accounts we show the extra cost of pensions decisions we made in the current year, no matter when we will actually pay these financial costs. There is no fund for these discretionary benefits and so there are no assets. In 2017/18 the payments relating to added pensionable years came to £3.0 million (£2.9 million in 2016/17). We made no payments relating to early retirement in 2017/18 or 2016/17.

Firefighters

There is a defined benefit pension scheme for our firefighters, under the Superannuation Act 1972. The Firefighters' Pension Scheme in England is an unfunded scheme where we promise to provide employees with benefits under the scheme but make no advance funding in the scheme for those benefits. Benefits are paid directly when they become due.

We pay an employer's pension contribution, based on a percentage of pay, into the pension fund. The pension fund will be balanced to nil at the end of the year by either paying over to the government any excess, or by receiving cash in the form of pension top-up grant. This grant is paid to the Firefighters' Pension Fund and not the County Council. The Government sets the employees' and employer's contribution rates by regulation.

In 2017/18, pension payments totalled £6.2 million (£6.0 million in 2016/17). Costs relating to early retirement totalled £0.8 million in 2017/18 (£1.9 million in 2016/17).

The estimated employer's contributions for Fire Fighters pension for the period to 31st March 2019 will be approximately £5.7 million.

Firefighters' Injury Awards Scheme

Firefighters' injury awards are financed from our revenue account. An ongoing liability to pay injury awards is included in our Balance Sheet. This liability is subject to the same actuarial assumptions as the main firefighters' scheme, though it is not a separate pension scheme as there is a benefit paid whether the recipient of the injury award is a member of the scheme or not. However, the liability forms part of our overall pensions' liability.

National Health Service

During 2013/14 some NHS staff transferred to us. These staff have maintained their membership in the NHS Pension Scheme. The scheme provides these staff with specified benefits upon their retirement and we contribute towards the costs by making contributions based on a percentage of members' pensionable salaries.

The scheme is an unfunded defined benefit scheme. However, we are not able to identify our share of the underlying financial position and performance of the Scheme with sufficient reliability for accounting purposes. For the purposes of this Statement of Accounts it is therefore accounted for on the same basis as a defined contribution scheme.

In 2017/18 we paid £0.184 million (£0.248 million in 2016/17) to the NHS Pension Scheme in respect of former NHS staff retirement benefits, including employees' contributions.

Local Government Pension Scheme – all other Council employees

We operate a funded, defined benefit pension scheme for staff, under the Local Government Pensions Scheme Regulations 2013. We manage the scheme for ourselves, the five district councils and a number of other organisations. We prepare the accounts but they are separate from the Council's financial statements. The Council and employees pay contributions into the fund calculated at a level intended to balance pension liabilities with investment assets.

An actuarial valuation is carried out every three years to assess the difference between the fund's projected assets and liabilities and the amount employers will have to contribute for the next three years. The valuation on 31 March 2016 set the rates for 2017/18, 2018/19 and 2019/20.

In the valuation carried out as at 31 March 2016 the funding level increased from 77% to 82%. As a result, the employers' rate is expected to increase by 0.75% per annum until 2019/20. In 2017/18, we made normal employer's contributions totalling £25.4 million (£25.3 million in 2016/17).

We are also responsible for all pension payments relating to benefits we have awarded for added years, together with related increases. In 2017/18, these came to £1.2 million (£1.6 million in 2016/17). The estimated employer's contribution for the period to 31st March 2019 is £26.4 million.

The value of the Council's LGPS assets at 31 March 2018 is based on the market value at 31 December 2017. The actuary has made an assumption about the movement in the investment market to arrive at the valuation at the Balance Sheet date. There were re-measurements as a result of a difference between expected and actual returns on assets which amounted to 0.25% of the value of assets at 31 March 2018.

The movement in the Council's LGPS assets in the year is as shown below:

31 March 2017 £ m	Change in Fair Value of WCC Share of LGPS Assets	31 March 2018 £ m
884.4	Fair value of assets at the beginning of the year	1,040.1
0.0	Effect of settlements	-18.9
30.9	Interest Income on plan assets	26.7
127.3	Remeasurements on assets	1.1
27.7	Employers' contributions (including receipts covering early retirements)	27.5
8.7	Member contributions	8.4
-38.9	Benefits/transfers paid	-37.5
1,040.1	Fair value of assets at the end of the year	1,047.4

A breakdown of the nature of those assets is as follows:

31 March 2017		LGPS Assets	31 March 2018	
Quoted prices in active markets £ m	Quoted prices not in active markets £ m		Quoted prices in active markets £ m	Quoted prices not in active markets £ m
		Equity securities:		
121.0	0.0	Consumer	117.5	0.0
44.2	0.0	Manufacturing	41.7	0.0
19.5	0.0	Energy and utilities	17.4	0.0
55.6	0.0	Financial institutions	56.2	0.0
37.7	0.0	Health and care	31.3	0.0
29.7	0.0	Information technology	29.1	0.0
49.6	0.0	Other	44.1	0.0
		Private equity:		
0.0	36.6	All	0.0	38.1
		Real estate:		
97.5	0.0	UK property	106.8	0.0
0.7	0.0	Overseas property	0.3	0.0
		Investment funds and unit trusts:		
258.0	0.0	Equities	269.2	0.0
176.5	0.0	Bonds	160.7	0.0
0.0	45.4	Hedge funds	44.0	0.0
0.0	12.5	Infrastructure	0.0	15.2
41.4	0.0	Other	62.3	0.0
14.1	0.0	Cash and cash equivalents	13.4	0.0
945.6	94.5	Totals	994.1	53.3

The expected return on scheme assets does not affect the Balance Sheet position as at 31 March 2018, but will affect the reported pension cost for the following year. It is based on market expectations at the beginning of the financial period for returns over the life of the obligation. This requires the consideration of the composition of the Scheme's assets and the potential returns of different asset classes. The assumption used is the average of the assumptions appropriate to the individual asset classes weighted by the proportion of the assets in the particular asset class.

The Impact of Pensions in our Accounts

We show the cost of retirements benefits in 'Money spent on services' in the Comprehensive Income and Expenditure Statement when employees earn them. We have made adjustments in the Movement in Reserves Statement so that the charge made against the council tax reflects the actual cash we have paid relating to the year.

31 March 2017					Pension scheme accounting	31 March 2018				
LGPS £m	Teachers £m	Fire fighters £m	Fire fighter Injury £m	Total £m		LGPS £m	Teachers £m	Fire fighters £m	Fire fighter Injury £m	Total £m
					Spending:					
34.3	n/a	4.1	0.4	38.8	Current service cost	54.3	n/a	4.4	0.5	59.2
1.3	n/a	0.3	n/a	1.6	Past service cost and curtailments	1.3	n/a	0.0	n/a	1.3
0.0	n/a	n/a	n/a	0.0	Effects of Settlement	-32.0	n/a	n/a	n/a	-32.0
44.2	1.6	8.1	0.9	54.8	Interest cost	38.5	1.3	7.2	0.6	47.6
-30.9	n/a	n/a	n/a	-30.9	Interest income on plan assets	-26.7	n/a	n/a	n/a	-26.7
48.9	1.6	12.5	1.3	64.3	Net charge to CIES	35.4	1.3	11.6	1.1	49.4
					Contribution from Pensions Reserve:					
-72.8	-3.8	-45.6	1.8	-120.4	Movement on the Pensions Reserve	2.8	4.2	10.7	-2.9	14.8
51.6	5.3	39.9	-2.5	94.3	Re-measurements recognised in CIES	-29.6	-2.4	-16.6	2.3	-46.3
n/a	n/a	-5.6	n/a	-5.6	Funded by Government top up grant	n/a	n/a	-4.6	n/a	-4.6
-21.2	1.5	-11.3	-0.7	-31.7	Contribution (from) Pensions Reserve	-26.8	1.8	-10.5	-0.6	-36.1
					Actual amount charged against council tax:					
27.8	n/a	1.5	n/a	29.3	Employers contributions & ill-health contributions	27.5	n/a	1.4	n/a	28.9
27.8	n/a	1.5	n/a	29.3	Amount charged against council tax	27.5	0.0	1.4	0.0	28.9
					Amount funded by government top up grant					
n/a	n/a	7.8	n/a	7.8	Retirement benefits paid and due to be paid to pensioners and transfers out	n/a	n/a	6.8	n/a	6.8
n/a	n/a	0.4	n/a	0.4	Retirement Benefits paid directly by Government Top Up Grant	n/a	n/a	0.3	n/a	0.3
n/a	n/a	-1.1	n/a	-1.1	Employee contributions	n/a	n/a	-1.1	n/a	-1.1
n/a	n/a	-1.5	n/a	-1.5	Employer's contributions & ill-health contributions	n/a	n/a	-1.4	n/a	-1.4
n/a	n/a	5.6	n/a	5.6	Government top up grant receivable	0.0	0.0	4.6	0.0	4.6
					Movement in Reserves Statement					
-49.0	-1.6	-20.6	-1.3	-72.4	Reversal of net charges made for retirement benefits	-54.3	-1.3	-18.7	-1.1	-75.4
27.8	n/a	1.5	n/a	29.3	Employer's contributions & ill health contributions	27.5	n/a	1.4	n/a	28.9
n/a	3.1	7.8	0.6	11.5	Retirement benefits paid or due to be paid to pensioners and transfers out	n/a	3.1	6.8	0.5	10.4
-21.2	1.5	-11.3	-0.7	-31.7	Movement in Reserves Statement	-26.8	1.8	-10.5	-0.6	-36.1

The key assumptions used by our actuary to determine valuations are as laid out in the table below:

31 March 2017				Pension scheme assumptions	31 March 2018			
LGPS	Teachers	Firefighters	Firefighter Injury Award		LGPS	Teachers	New Firefighters	Firefighter and Injury Award
				Financial assumptions:				
2.4%	2.4%	2.4%	2.4%	Rate of Inflation CPI	2.4%	2.4%	2.4%	2.4%
3.0%	3.0%	3.4%	3.4%	Salary Increase	3.0%	3.0%	3.4%	3.4%
2.4%	2.4%	2.4%	2.4%	Pensions increases	2.4%	2.4%	2.4%	2.4%
2.6%	2.6%	2.6%	2.6%	Rate of discount	2.7%	2.7%	2.7%	2.7%
				Life expectancy assumptions:				
22.5 (24.7)	22.5 (24.7)	25.2 (26.7)	25.2 (26.7)	A male (female) current pensioner aged 65	22.5 (24.7)	22.5 (24.7)	29.5 (31.5)	29.5 (31.5)
24.3 (26.7)	24.3 (26.7)	26.6 (28.2)	26.6 (28.2)	A male (female) future pensioner aged 65 in 20 years time	24.3 (26.7)	24.3 (26.7)	30.8 (32.8)	30.8 (32.8)
				Commutation of pension for lump sum at retirement:				
75.0%	n/a	90.0%	90.0%	~ Taking maximum cash	75.0%	n/a	90.0%	90.0%
50.0%	n/a	n/a	n/a	~ Taking 3/80th cash	50.0%	n/a	n/a	n/a

The sensitivity regarding the principal assumptions used to measure the scheme liabilities are set out below.

Change in assumptions as at 31 March 2018	Approximate increase to Employer Liability %	Approximate monetary amount £ m
0.5% decrease in real discount rate	10%	152.1
1 year increase in member life expectancy	3%	44.8
0.5% increase in the salary increase rate	1%	21.3
0.5% increase in the pension increase rate	9%	128.9

The liabilities associated with each scheme are as shown in the table below:

31 March 2017				Change in present value of pension scheme liabilities during the year	31 March 2018			
LGPS £million	Teachers £million	Firefighters £million	Firefighter Injury Award £million		LGPS £million	Teachers £million	Firefighters £million	Firefighter Injury Award £million
1,261.4	47.8	232.3	24.3	Benefit obligation at the beginning of the year	1,489.9	51.6	277.9	22.5
34.3	0.0	4.1	0.4	Current service costs	54.3	0.0	4.4	0.5
0.0	0.0	0.0	0.0	Effect of Settlements	-32.0	0.0	0.0	0.0
44.2	1.6	8.1	0.8	Interest on pensions liabilities	38.5	1.3	7.2	0.6
8.7	0.0	1.1	0.0	Member contributions	8.4	0.0	1.1	0.0
1.3	0.0	0.3	0.0	Past service costs (gain)	1.3	0.0	0.0	0.0
-39.0	-3.1	-7.8	-0.6	Benefits/transfers paid	-37.5	-3.1	-6.8	-0.5
179.0	6.4	39.8	-2.4	Remeasurements on liabilities	-28.5	-2.4	-16.6	2.3
0.0	-1.1	0.0	0.0	Changes in assumptions	0.0	0.0	0.0	0.0
1,489.9	51.6	277.9	22.5	Present value of liabilities at the end of the year	1,494.4	47.4	267.2	25.4

This leaves each scheme with a net liability as shown below:

Scheme net liability	31 March 2017	31 March 2018	Increase/decrease (-) in net liability
	£m	£m	£m
LGPS	449.8	447.0	-2.8
Teachers Discretionary	51.6	47.4	-4.2
Firefighters	277.9	267.2	-10.7
Firefighters Injury	22.5	25.4	2.9
All schemes	801.8	787.0	-14.8

The liabilities show the underlying commitments that we have in the long run to pay retirement benefits. However, statutory arrangements for funding the deficit mean that our financial position remains healthy:

- LGPS - the deficit will be recovered by increased contributions over the remaining working life of employees, as assessed by the scheme actuary;
- Firefighters Pension Scheme - the deficit is paid by Central Government;
- Teachers' Pension Scheme finance - finance is provided by the Teachers Pensions Agency;
- Firefighters' Injury Awards – these are financed through revenue budgets.

Note 39: Pooled budgets with health

Section 75 of the National Health Service Act 2006 allowed joint-working arrangements between NHS organisations and local authorities. Pooled funds allow these health organisations and local authorities to work together to tackle specific health issues. An important feature of the pool is that the way resources are used will depend on the needs of the clients who meet the conditions set for the pooled budget, rather than the contributions of the partners.

Warwickshire County Council is the host authority for the Section 75 Pooled budget arrangement via the Better Care Fund. The strategic aims of the programme are:

- People are helped to remain healthy and independent;
- People are empowered to play an active role in managing their own care and the care they receive;
- People get the right service at the right time and in the right place – which means services will envelop individuals close to their home.

Agreements for the financial years starting on 1 April 2015 have been agreed by us and the three Clinical Commissioning Groups (CCGs) in Warwickshire. Annual contributions are agreed by the Better Together Programme Board before the commencement of each financial year thereafter. The agreement sets out the basis of the governance arrangements and reporting requirements to both the Better Together Programme Board and the Health & Wellbeing Board. For 2017-2018 the agreement includes additional aligned funding.

The total pooled budget arrangement for 2017/18 is £50.8 million of which £4.6 million is capital funding for Disabled Facilities. Of the revenue element £24.8 million has been paid to the CCGs for them to commission services and of that £5.1 million has been passed back to the authority as part of a separate S75 Integrated Community Equipment Service agreement. The remaining £21.4 million revenue funding was allocated to the council for commissioning services in accordance with the agreement.

The surplus and deficit at the end of the year on the Integrated Community Equipment Service and Better Care Fund Revenue respectively belong to the CCGs. The surplus at the end of the year on Disabled Facilities belongs to the District and Borough Councils of Warwickshire.

A new S75 agreement for the Commissioning of Mental Health Services has been agreed for 2017/2018. The pooled resources total £3.6 million with any surplus or deficits remaining within the pool, to be allocated by agreement with the Partnership Board.

The table below summarises the financial transactions of the pooled budgets.

2016/17 Surplus(-)/ deficit £ m	Pooled budgets with health	2017/18			
		Our contribution £ m	Total pool £ m	Total spend £ m	Surplus(-)/ Deficit £ m
	Better Care Fund Pooled Budget - S75				
-0.6	~ Integrated community equipment service	1.8	5.1	4.9	-0.2
0.6	~ Better Care Fund - Revenue other	19.0	37.5	37.7	0.2
-0.8	~ Disabled Facilities Capital Grant	0.0	4.6	2.7	-1.9
0.0	Commissioning of Mental Health Services for Children & Young People	0.6	3.6	3.6	0.0
-0.8	Total	21.4	50.8	48.9	-1.9

Note 40: Coventry and Warwickshire Business Rates Pool

The Coventry and Warwickshire Business Rates Pool was created on the 1 April 2013 with seven member authorities: Warwickshire County Council, the five District and Borough Councils within Warwickshire and Coventry City Council. Warwickshire County Council is the lead authority for the pool and there is an agreed memorandum of understanding in place that determines how the Pool's resources are allocated. Under the agreement any surplus generated by the pool, will be shared between pool members. We have accounted for our share of the current surplus in the Comprehensive Income and Expenditure Account and the full pool surplus is held in our reserves until such times as it is distributed (see note 20).

Note 41: Related parties and associated parties

Central Government

Central Government has effective control over our general duties – it is responsible for providing the legal framework within which we work, provides funding in the form of grants and sets the terms of many of the relationships that we have with other organisations. Details of the grants we receive from government departments are set out in note 24. Details of the balances with central government departments are shown in notes 14 and 17. Pooled budget arrangements with the Department of Health via Clinical Commissioning Groups are disclosed in note 39.

Elected Members

Elected Members of the council have direct control over our financial and operating policies. The total of elected members allowances paid in 2017/18 is shown in note 35. During 2017/18 works and services to the value of £23.5 million were paid to companies in which elected members had an interest (this includes £12.6 million paid to District and Borough Councils in Warwickshire where they are also elected members). Contracts were entered into in full compliance with our contract standing orders. The above figure includes any grants paid to voluntary groups in which elected members had positions on the governing body, including any made to organisations whose senior management included close members of the families of elected members. In all instances grants were made with proper consideration of declarations of interest. The relevant members did not take part in any discussions or decisions relating to the grants. Details of all these transactions are recorded in the Register of Members' Interests, open to public inspection at Shire Hall. Details of the Members and the Committees and organisations for which they represent the authority are also available on the authority's web-site www.warwickshire.gov.uk.

Senior Officers

During 2017/18 no payments were made to organisations in which senior officers or members of their families had declared an interest.

A number of senior officers and elected members represent us on the board of related companies (such as Warwick Technology Park Management Limited, Warwick Technology Park Management No 2 Limited, Warwickshire Race Equality Partnership, SCAPE Group Limited, and University of Warwick Science Park

Innovation Centre Limited). In addition a number of officers within the authority have become directors of our 2 new wholly owned Local Authority Trading Companies. You can see registers of members' and officers' interests at Shire Hall, Warwick or at the registered office of the company in question if this is not Shire Hall, Warwick.

Other Public Bodies

At the end of the year we owed £15.1 million to other local authorities, central government and public bodies including £5.0 million to Her Majesty's Revenue and Customs, and they owed us £22.0 million, including £3.7 million from Her Majesty's Revenue and Customs.

We charged the Warwickshire County Council Pension Fund £0.8 million for carrying out the administration work for the fund (not including payroll-processing costs).

Other Entities

We hold shares in the following companies:

Company	WCC Share holding	Directors
Warwickshire Legal Services Trading Ltd	Wholly owned LATC - £1 ordinary share capital	Two officers appointed as directors
Educaters Ltd	Wholly owned LATC - £1 ordinary share capital + working capital loan interest at market rate	Two officers appointed as directors
University of Warwick Science Park Innovation Centre Limited	19.9% of ordinary share capital. 1/6 voting rights £1,502,500 preference share	One of six directors is appointed by us
Warwick Technology Park Management Company Limited	4.8% of called up share capital	One officer and one elected member as directors
Warwick Technology Park Management Company (No 2) Limited	0.2% of called up Share capital	One officer and one elected member as directors.
Eastern Shire Purchasing Organisation (ESPO)		Two elected members from each authority on Management Committee
SCAPE Group Limited	16.7% of the called up share capital	One of the six directors is appointed by us
Coventry and Warwickshire Local Enterprise Partnership Limited	No share capital and liability limited to £1.	Two type 'B' (public sector) directors to be appointed by us
Coventry and Warwickshire Waste Disposal Company	1 ordinary share 1 representative on shareholder panel with 1% voting rights and 24% voting rights for matters relating to WCC SLA agreement	No right to appoint to board of Directors. 1% proxy vote unless WCC SLA related.
UK Municipal Bond Agency Plc	120,000 fully paid B shares of £0.01 each 180,000 ordinary shares of £0.01 each	No Directors appointed by WCC

In 2017-2018 two wholly owned local authority trading companies started trading.

Warwickshire Legal Services Trading Ltd started trading on 1st October 2017. It provides legal services to other entities outside the Council and pays the authority for the services of our staff to carry out that work. It will produce its first accounts for the year to 30 September 2018. No dividends or profit distributions have yet been agreed for the trading period to date.

Educaters Ltd, providing meals services to schools, started trading on 1st September 2017. It will produce its first accounts for the year to 30 August 2018. Most of the company's trading is with maintained schools in Warwickshire so that expenditure is already included in the authority's Comprehensive Income and Expenditure Account. A small number of vehicles and equipment of low value have been transferred to the company. Some staff have also transferred to the new trading company and the authority has given a guarantee to pay any

amount or employers contributions or deficit due to the Warwickshire Pension Fund in respect of their pension liability that remains unpaid only if the company ever becomes insolvent and ceases trading. We have also agreed a working capital loan of up to £1.5 million as required for the three years to 31st August 2020 by which it must be fully repaid. Interest is charged at a market rate of 6% per annum charged periodically with interest changes mirroring that of the Bank of England Base Rate. At 31st March 2018 they owed us £0.5 million including interest not yet paid. No dividends or profit distributions have yet been agreed for the trading period to date.

We have assessed these two new companies, having due regard to the non-material external turnover of both entities, and the potential effect of consolidating them into our financial statements both quantitatively and qualitatively. We have concluded that we should not produce Group Accounts. This treatment has been agreed with our auditors and will be reviewed annually to ensure that assessment remains appropriate.

We are part of a purchasing partnership, Eastern Shires Purchasing Organisation (ESPO), with five other local authorities. Each authority is represented on the board by two elected members. There are controls in place so that none of our elected members are involved in letting our contracts.

We received £0.4 million in dividends from ESPO in 2017/18 (£0.4 million in 2016/17). We also received dividends from SCAPE Group Limited and University of Warwick Science Park companies totalling £0.6 million (£0.3 million in 2016/17). These figures are both shown as investment income in note 5.

We are part of the Coventry and Warwickshire Local Enterprise Partnership Limited (the LEP). This company is limited by guarantee and aims to co-ordinate public and private sector partners to develop the economy and increase prosperity. The LEP's four objectives are:

- To drive economic growth
- To help remove barriers to economic growth
- To help create high value jobs
- To co-ordinate local government co-operation and support

The LEP also has a role in coordinating elements of government funding for growth, for example the Growing Places Fund.

The Gateway Alliance is a strategic partnership of primary schools in Warwickshire. It was created to provide professional development and school to school support following the reduction of Local Authority improvement services in 2011. The company is limited by guarantee and the members have confirmed that the governing documentation of the company contains the necessary provisions which are required pursuant to The School Company Regulations 2002. Under the regulations, all school companies are required to have a local authority as a supervising authority. Warwickshire is the supervising authority for the Gateway Alliance School Company and also processes the payroll for the Company staff, all costs of which are reimbursed in full.

West Midlands Rail Ltd, is a company limited by guarantee with a Board of Directors appointed from each of the constituent member authorities for the purpose of providing local democratic strategic guidance for the specification of the new West Midlands rail franchise being let by the Department of Transport during 2017. The current members are

Full Members	Associate Members
West Midlands Combined Authority	Birmingham City Council
Herefordshire Council	Coventry City Council
Northamptonshire County Council	Dudley Metropolitan Borough Council
Shropshire Council	Sandwell Metropolitan Borough Council
Staffordshire County Council	Solihull Metropolitan Borough Council
Telford and Wrekin Council	Walsall Metropolitan Borough Council
Warwickshire County Council	Wolverhampton City Council
Worcestershire County Council	

We are also a partner in a special company, Pride in Camp Hill Ltd. The company was set up in 2002/3 in partnership with the Homes and Communities Agency and Nuneaton and Bedworth Borough Council to carry out a redevelopment project in Camp Hill. Our initial share was £0.720 million and each partner is committed to

funding the running costs of the company in equal years until it completes its work, which is currently expected to be in 2023.

From 1 February 2018 we entered into the Regional Adoption Agency via a shared service arrangement with Solihull Metropolitan Borough Council, Coventry City Council and Worcestershire County Council. The new Regional Adoption Agency is known as Adoption Central England. We have become the host authority to facilitate the operational delivery of the shared service, however governance arrangements will ensure that all four authorities retain strategic responsibility for performance delivery and outcomes.

For 2017/2018 our contribution was £0.157 million and we received £0.405 million from the other local authorities. The total spend was £0.437 million. The underspend belonging to the Agency for 2017/18 is £0.126 million.

The County Council, as administering authority on behalf of the Warwickshire Pension Fund, has become a shareholder in Borders to Coast Pension Partnership Limited. Borders to Coast is a wholly owned private limited company registered in England and Wales founded to carry out pension fund asset pooling obligations set out by the Government. The company provides the facility to pool the pension fund investments of twelve local authorities in order to gain the benefits of economies of scale and the concentration of expertise, improved ability to manage down investment costs, the concentration of expertise, and the benefits of investing on a larger scale. Each of the twelve local authorities is an equal joint owner of the company through purchase of a £1 class A ordinary share.

Note 42: Trading accounts

Our trading activities are expected to break even after taking account of charges for the assets they use to provide their services. These charges are worked out in line with the accounting rules we use when we prepare our accounts. Any surplus or loss these trading activities make is transferred to, or met from, business unit reserves.

The spending in the table below is included in our main accounts. However, we have adjusted these surpluses to reflect the effects of the required accounting treatment of pension costs (to reflect the actual costs of pensions decisions they have taken in the current year). The total value of this adjustment is £2.0 million (£0.6 million in 2016/17).

2016/17	Memo	Trading activity	2017/18				Memo
(Restated)	Net Expenditure before technical adjustments		Turnover	Spend after internal income	External income	Net expenditure	Net Expenditure before technical adjustments
£ m	£ m		£ m	£ m	£ m	£ m	£ m
0.2	0.0	County caterers	4.3	1.9	-1.4	0.5	0.5
-0.1	-0.1	Schools finance	1.0	0.1	-0.1	0.0	-0.1
0.0	-0.1	Construction services	5.4	1.8	-1.2	0.6	0.5
-0.1	-0.1	County fleet maintenance	3.4	1.0	-0.8	0.2	0.1
-0.1	-0.2	Design services	4.7	-0.3	-0.2	-0.6	-0.8
-0.2	-0.3	Legal services	5.2	1.6	-1.6	0.0	-0.5
0.2	0.1	ICT services	3.3	1.4	-1.0	0.4	0.2
-0.1	-0.1	Warwickshire Music	1.6	0.6	-0.7	-0.1	-0.1
-0.1	-0.1	Schools Technical Service	1.3	0.3	-0.3	0.0	-0.2
-0.4	-0.4	School absence (sickness scheme)	2.1	-0.1	-0.2	-0.3	-0.3
0.0	0.0	Schools Insurance	1.5	-0.1	0.0	-0.1	-0.1
0.0	0.0	Archeology	1.0	1.1	-1.0	0.0	0.0
-0.1	-0.1	Education Psychology Service	1.1	0.4	-0.4	0.0	-0.1
0.0	-0.1	Other trading accounts (turnover of less than £1m each)	6.0	4.1	-3.8	0.3	-0.1
-0.9	-1.5	Total	41.9	13.8	-13.0	0.9	-1.0

Negative figures show we have more income than our spending (surplus).

County Caterers became a wholly owned local authority trading company (LATC), Educaterers Ltd, on 1st September 2017 as outlined in Note 41.

Other trading accounts with a turnover of less than £1 million include Internal Audit and Risk Management, School Governance, County Print Unit, HR support and Payroll, Pension Services, and County Cleaning.

The Firefighters' Pension Fund

2016/17 £m	Fund account	2017/18 £m
	Income to the fund	
	Contributions receivable (funds due to us during the year):	
	- from employer: Warwickshire County Council	
-1.4	- normal contributions in relation to pensionable pay	-1.4
-1.1	- from members (firefighters' contributions)	-1.1
-2.5	Income to the fund	-2.5
	Spending by the fund	
	Benefits payable:	
6.0	- Pension payments	6.2
1.9	- Commutation of pensions and lump-sum retirement benefits	0.8
	Payments to and on account of leavers	
0.0	- Individual transfers out of the scheme to other authorities	0.1
0.2	Payments in respect of contribution holidays (including tax to be repaid)	0.0
8.1	Spending by the fund	7.2
5.6	Net amount payable for the year (before top-up grant receivable from Government)	4.6
-5.6	Top-up grant payable by the Government	-4.6
0.0	Net amount payable or receivable (-) for the year	0.0

31 March 2017 £m	Firefighters' Pension Fund net assets statement	31 March 2018 £m
	Current assets:	
1.8	- Top-up grant receivable from Government	1.1
	Current liabilities:	
-1.8	- other current liabilities (other than liabilities in the future)	-1.1
0.0	Net assets or liabilities (-) at the end of the year	0.0

Notes to the Firefighters' Pension Fund statements

Note 1: Fund operations

The Firefighters' Pension Scheme in England is an unfunded scheme. The employer promises to provide employees with benefits under the scheme but makes no advance funding in the scheme for those benefits. Benefits are paid directly by the employer when they become due. We are required to pay an employer's pension contribution based on a percentage of pay into the pension fund. Each Fire and Rescue authority must run a pension fund and the amounts that must be paid into and out of the pension fund are set by regulation. The legislation that controls its operation is the Firefighters' Pension Scheme (Amendment) (England) Order 2006. The benefits payable are pensions to retired firefighters and/or widows/widowers of retired firefighters. The benefits paid and employee and employers contributions are administered through our human resources management system. The scheme has no investment assets.

The pension fund is balanced to nil at the end of the year by either paying over to the sponsoring government department the amount by which the amount receivable by (due to) the fund is more than the amount payable, or by receiving cash in the form of pension top-up grant from the sponsoring department equal to the amount by which the amount payable from (owed by) the pension fund for the year is more than the amount receivable. An amount of 80% of the estimated grant needed each year is paid to the fund by the Government during the year. The balance is only paid once the Pensions statement has been audited by our external auditors and a claim, certified by the Head of Finance, is submitted to the Government.

Note 2: Accounting policies

The financial statements are accounted for on an accruals basis. We did not use any estimation techniques in preparing the statements.

For assets and liabilities in the net asset statement the fair value is deemed to be the carrying value as they are both due within one year.

Note 3: Liabilities

The statements do not take account of any liabilities to pay pensions and other benefits after the period end i.e. 31 March 2018. Details of the long term pension obligations, employees and employers contribution rates and actuarial assumptions used in the required disclosures in accounts for the Firefighters' Pension Fund are found in note 38 to the accounts.

Note 4: Contribution levels

Employees' and employer's contribution levels are based on percentages of pensionable pay set nationally by the Home Office (previously dealt with by the Department for Communities and Local Government) and are subject to triennial revaluation by the Actuary.

Note 5: AVCs and added years

Additional voluntary contributions are excluded from the accounts of the Pension Fund. However, where members of the scheme have brought added years within the scheme, these will be included in the Fund contributions.

Note 6: Debtors and creditors

The debtors and creditors for both years are amounts due to/from central government (balance of grant due to balance the account to nil). Other debtors and creditors for both years are the amounts due to or from Warwickshire County Council, the administering authority or tax not yet paid to HMRC. This year as we have had less grant on account from the Home Office than we have needed, so they owe us some more money. As the Fire-fighters' Pension Fund does not have its own separate bank account these additional payment has been made by the County fund and is therefore owed to the Warwickshire County Council when this money comes in from the Home Office. All amounts are due within 1 year.

Glossary

This section explains some of the more complicated terms that have been used in this document.

Accruals

Cost of goods and services received in the year but not yet paid for, or income earned but not yet received.

Actuarial gain (loss)

For pension assets, actuarial gains or losses happen when the actual return on investments in the pension fund is different from the expected return. For pension liabilities, actuarial gains and losses happen when the actual liability is different from the expected liability. For assumptions, actuarial gains or losses happen as a result of changes to the population or financial assumptions the actuary uses to work out the liability. Liabilities are valued in terms of 'today's money'.

Amortisation

The drop in value of intangible assets as they are used or become out of date.

Asset

An item which is purchased or created to be used by the Council.

Benefits we have awarded for added years

When a member of staff retires early because they are made redundant, we can give added years of scheme membership. We meet the costs of giving these added years, usually from the savings that will be made.

Budget

A statement of our spending plans for a financial year, which starts on 1 April and ends on 31 March.

Business rates (National Non-Domestic Rates)

Businesses pay these rates, set annually by government, to billing authorities instead of council tax. Business rates are shared between local authorities partly on the basis of need and partly on the basis of increased business rates generated locally. The amount each business is charged is based on multiplying the rateable value of each business property by the national rate in the pound.

Capital Adjustment Account

This account includes the value of capital charges to the Comprehensive Income and Expenditure Statement that do not directly affect the level of council tax.

Capital programme

Our plan of capital projects and future spending on buying land, buildings, vehicles and equipment.

Capital receipts

Income from selling assets that we would consider capital expenditure if we were the purchaser.

Capital spending

Spending on assets that have a lasting value, for example, land, buildings and large items of equipment such as computers or vehicles.

Cashflow statement

Summarises cash paid to and received from other organisations and individuals for capital and revenue purposes.

CIPFA

Chartered Institute of Public Finance and Accountancy

Commutation/commutating

This is where a member of the pension scheme gives up part or their entire pension in return for an immediate lump-sum payment. It is also called a cash option.

Contingent asset

A possible asset which may arise pending decisions that are not under our control.

Contingent liability

A possible liability which may arise when we know the outcome of outstanding claims made against us.

Corporate and democratic core costs

Spending relating to the need to co-ordinate and account for the many services we provide to the public.

Council tax

A tax based on property which is retained by local authorities to fund their expenditure. In Warwickshire, the district or borough councils issue council tax bills and collect the council tax.

Creditors

People or organisations we owe money to for work, goods or services which have not been paid for by the end of the financial year.

Current assets

Short-term assets which constantly change in value such as stocks, debtors and bank balances.

Current liabilities

Short-term liabilities which are due to be paid in less than one year such as bank overdrafts and money owed to suppliers.

Current service cost

Officers employed during the year will have earned a year of pensionable service. The current service cost is the increase in the value of the pension scheme's liabilities arising from the employee service during the period.

Debtors

People who owe us money that is not paid by the end of the financial year.

Depreciation

The drop in the value of assets, for example, through wear and tear, age and becoming out of date.

Disclosure

Information we must show in the accounts under the Code.

Earmarked reserves

Money set aside for a specific purpose.

Fair value

The price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date.

General reserves

Money set aside to be used in the future.

Historic cost

The cost of initial acquisition of an asset.

International Financial Reporting Standard (IFRS)

Standards on the way we need to treat certain items in our accounts.

Liabilities

Money we will have to pay to people or organisations in the future.

Material related-party transactions

Two or more organisations are 'related parties' if, during the year, one of them has some form of control over the other. By 'material' we mean of 'significant value'.

Minimum revenue provision (MRP)

The amount we have to set aside to repay loans.

Net book value

The value of an asset after depreciation.

Non-current asset

An asset which is expected to be used for more than 12 months.

Non-distributed costs

Costs which are not allocated to specific services, according to the Service Expenditure Reporting Code of Practice.

Past service costs

The past service cost is the extra liability that arises when we grant extra retirement benefits that did not exist before, such as when we agree early retirement or extra years of service.

Pensions interest cost and expected return on assets

The pensions interest cost is the increase in the value of the liabilities that arise because those liabilities are one year closer to being paid. The return on assets is the value of the return expected to be achieved on the fund's investments in the long term.

Provisions

Money set aside to meet specific service liabilities, and to meet spending.

Reserves

Savings we have built up from surpluses or by not spending income which has conditions on its use.

Return on assets

The return on assets is the value of the return we expect to achieve on the Pension Fund's investments in the long term.

Revaluation Reserve

This account contains the difference between the amount paid for assets and the amount that they are currently worth.

Revenue spending

Spending on the day-to-day running of services - mainly wages, running expenses of buildings and equipment, and debt charges. These costs are met from council tax, government grants, fees and charges.

Revenue expenditure funded by capital under statute (REFCUS)

Spending on assets that have a lasting value, for example land and buildings, but which we do not own.

Revenue Support Grant

The main government grant to support local authority services.

Settlement costs

Settlement costs arise when we make a lump-sum payment to a scheme member in exchange for their rights to receive certain pension benefits.

Specific grants

Payments from external bodies to cover local authority spending on a particular service or project (for example, schools' grants).

Unrealised

A change in the market value which does not actually take place until an asset is sold.

**Council
26 July 2018**

**S278 Highway Improvement Schemes at C30 Hillmorton
Lane / Link Road to Houlton and The Kent, Rugby**

Recommendation

That Council approves the addition of the following scheme to the 2018/2019 capital programme at a value of £2.9m: C30 Hillmorton Lane / Link Road to Houlton and The Kent, Rugby. Developer – SUE GP LLP.

1.0 Key Issues

- 1.1 On 21 March 2017 Council gave approval to include Section 278 highway improvement schemes associated with the Link Road to Houlton, Rugby, to the 2017/ 2018 capital programme. The estimated cost, including works and fees, was £2.7m.
- 1.2 Three highway improvements were referred to in that report:
 - The alteration to the existing traffic signal controlled junction at Clifton Road / Butlers Leap;
 - New traffic signal controlled junction at Hillmorton Lane / Link Road to Houlton; and
 - New traffic signals at the bridge on The Kent with associated footway improvements.
- 1.3 The S278 works are required as part of the planning consent given by Rugby Borough Council for an urban extension to Rugby (known as Houlton) for up to 6200 dwellings and a mix of retail, commercial, employment and community uses. Planning permission was granted on 21 May 2014 (ref: R11/0699).
- 1.4 Subsequently Warwickshire County Council and the Developer (Urban and Civic, acting on behalf of SUE GP LLP) have progressed on the basis of two packages of work and, consequently, two separate S278 agreements: (1) Clifton Road / Butlers Leap; (2) Hillmorton Lane / Link Road and The Kent.
- 1.5 The Developer requested that Warwickshire County Council enter into contracts with Galliford Try plc (who are on the appropriate lot of the Framework) for the works so that the same contractor could be used for both the S278 and S38 (link road construction) works, giving them value for money and eliminating the risks of interfacing between different contractors on this high value and high profile scheme. An Exemption to the guiding principle in Contract Standing Orders of contracts being let through a competitive process was approved on 27 July 2017.
- 1.6 Galliford Try plc was duly invited to submit their quotations for these two packages of works and they returned their tenders on 06 July 2018. The

combined value of the works is approximately £5.6m and the increase is due to a change in the scope of the works since the scheme was added to the capital programme in March 2017.

- 1.7 The approval of Council is therefore requested to add an additional scheme to the capital programme in respect of the works on Hillmorton Lane and The Kent. Thus the existing (21 March 2017) capital programme entry will be specific to the works at Clifton Road / Butlers Leap only. There is no financial risk to Warwickshire County Council as S278 schemes are fully funded by the Developer's contribution which is ring-fenced for the works specified. For Developer funded schemes, there are no alternative uses for the contribution and it does not affect the overall level of available capital resources.

2.0 Proposal

- 2.1 Approval is requested to add an additional Developer-funded scheme to the 2018/2019 capital programme in respect of the works at Hillmorton Lane / Link Road to Houlton and The Kent with a value of £2.9m.
- 2.2 If the recommendation is not approved, the Developer will be unable to meet its planning obligations.

3.0 Timescales associated with the decision and next steps

- 3.1 If the recommendation is approved, the contract will be awarded to Galliford Try plc at the earliest possible date and works will commence in accordance with the contractor's approved programme.

Background papers

None

	Name	Contact Information
Report Author	Shirley Reynolds	shirleyreynolds@warwickshire.gov.uk Tel: 01926 412110
Head of Service	Mark Ryder	markryder@warwickshire.gov.uk Tel: 01926 412811
Joint Managing Director (Communities)	Monica Fogarty	monicafogarty@warwickshire.gov.uk Tel: 01926 412514
Deputy Leader (Finance and Property)	Cllr Peter Butlin	cllrbutlin@warwickshire.gov.uk Tel: 01788 816488

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

Local Members – Cllr Dahmash (Hillmorton), Cllr Roodhouse (Eastlands), Cllr Warwick (Fosse)