

Cabinet

Date: Thursday, 30 January 2020
Time: 1.45 pm
Venue: Committee Room 2, Shire Hall

Membership

Councillor Izzi Seccombe (Chair)
Councillor Peter Butlin
Councillor Les Caborn
Councillor Colin Hayfield
Councillor Kam Kaur
Councillor Jeff Morgan
Councillor Jeff Clarke
Councillor Andy Crump
Councillor Heather Timms

Items on the agenda: -

1. General

(1) Apologies

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

(3) Minutes of the Previous Meeting

5 - 12

To approve the minutes of the meeting held on 16 December 2019.

(4) Public Speaking

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

2. One Organisational Plan - Quarterly Performance Progress Report - Period under review: April to November 2019

13 - 22

A report updating Cabinet on performance against targets as set out in the current Council Plan.

3. 2019/20 Financial Monitoring as at the end of December 2019 - Capital and Revenue

23 - 94

This report sets out the current position regarding the Council's finances.

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| 4. 2020/21 Budget and 2020-25 Medium Term Financial Strategy - Updated Information | 95 - 124 |
| <p>Ahead of the Council meeting on 18 February this report updates Cabinet on the position regarding the 2020/21 budget and the Medium Term Financial Strategy.</p> | |
| 5. Council Plan 2025 | 125 - 150 |
| <p>This report seeks Cabinet endorsement of the Council Plan prior to its final approval by Council.</p> | |
| 6. Allocation of 2020/21 Dedicated Schools Grant | 151 - 160 |
| <p>Cabinet is requested to note and approve the allocation of the Dedicated Schools Grant.</p> | |
| 7. SEND & Inclusion Strategy Update and Peer Review | 161 - 206 |
| <p>This report asks that Cabinet approves the report, updated self-evaluation and SEND & Inclusion strategy delivery plan in response to the Special Education Needs and Disability (SEND) Peer Review.</p> | |
| 8. Adult Direct Payment to Gross Payment | 207 - 212 |
| <p>This report seeks Cabinet agreement to commence paying Adult Direct Payments as a Gross payment and invoice all customers for their Social Care financial contribution.</p> | |
| 9. Digital and Technology Strategy | 213 - 230 |
| <p>A report that seeks Cabinet approval for the continuation of the Digital and Technology Strategy 2018 to 2021 into its second year of implementation.</p> | |
| 10. Warwickshire Rail Strategy 2019-2034 | 231 - 318 |
| <p>This report asks that Cabinet notes the results of the consultation and the resulting modifications made to the draft Passenger Rail Strategy and recommends that the Council endorse the Warwickshire Rail Strategy 2019-2034 and that the document is added to the Warwickshire Local Transport Plan 2011-2026.</p> | |
| 11. Warwickshire County Record Office Collection Development Policy | 319 - 338 |
| <p>This report seeks Cabinet's feedback and endorsement of a revised County Record Collection Development Policy.</p> | |
| 12. Warwickshire Museum Service Collection Development Policy | 339 - 364 |
| <p>This report seeks Cabinet's feedback and endorsement of a revised WMS Collection Development Policy.</p> | |

- 13. The Report of the Climate Change Mitigation Task and Finish Group** 365 - 408
This report presents the findings of the Climate Change Mitigation Task and Finish Group.
- 14. Any other Business**
- 15. Exclusion of Members of the Public**
To consider passing the following resolution:

'That members of the public be excluded from the meeting for the items mentioned below on the grounds that their presence would involve the disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972'.
- 16. Exempt Minutes from 16 December 2019 Meeting** 409 - 410
To approve the exempt minutes of the meeting held on 16 December 2019.
- 17. Educaterers** 411 - 418
An exempt report concerning Educaterers.
- 18. Land at South West Rugby** 419 - 500
An exempt report concerning the future use of land to the South West of Rugby.

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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

The public reports referred to are available on the Warwickshire Web

<https://democracy.warwickshire.gov.uk/uuCoverPage.aspx?bcr=1>

Public Speaking

Any member of the public who is resident or working in Warwickshire, or who is in receipt of services from the Council, may speak at the meeting for up to three minutes on any matter within the remit of the Committee. This can be in the form of a statement or a question. If you wish to speak please notify Democratic Services 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 are set out in the Council's Standing Orders.

**Minutes of the meeting of the Cabinet
held on 16 December 2019**

Present:**Cabinet Members:**

Councillors

Peter Butlin	Deputy Leader (Finance and Property) (Chair for this meeting)
Les Caborn	Adult Social Care & Health
Jeff Clarke	Transport & Planning
Andy Crump	Fire & Rescue and Community Safety
Colin Hayfield	Education and Learning
Kam Kaur	Customer and Transformation
Jeff Morgan	Children's Services
Heather Timms	Environment and Heritage & Culture

Non-Voting Invitees:

Councillor Jerry Roodhouse Leader of the Liberal Democrat Group

Other Councillors:

Councillors Helen Adkins, Jonathan Chilvers, Jenny Fradgley, John Holland, Bill Olnier and Pam Williams,

Public attendance:

None

1. General**(1) Apologies for absence**

Councillor Richard Chattaway	Leader of the Labour Group
Councillor Izzi Seccombe OBE	Leader of Council and Chair of Cabinet

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

None

(3) Minutes of the meeting held on 14 November 2019 and Matters Arising

The minutes of the meeting held on 14 November 2019 were agreed as an accurate record and signed by the Chair.

(4) Public Speaking

None

Chair's Announcements

Councillor Peter Butlin (Deputy Leader (Finance and Property)) informed the meeting of the completion of the purchase of a property in Bedworth. Known as the Pear's Centre this will form the basis of provision for the care and education of young people with special educational needs. Officers were thanked for their hard work in completing this transaction.

2. 2020/21 Budget and 2020-25 Medium Term Financial Strategy - Background Information and Proposals from Corporate Board

In introducing this report Councillor Peter Butlin explained that a report setting out Corporate Board's budget and service proposal is produced annually. The report to Cabinet is the first public expression of these proposals. That the County Council is in a strong financial position means that there are a number of options available to it in terms of how it moves forward. In response to a question from Councillor Jerry Roodhouse (Leader of the Liberal Democrat Group) it was confirmed that presentations will be made to political groups and that supporting papers will be made available to assist in ensuring a comprehensive understanding of the proposals.

Councillor Butlin explained that the final local government settlement is awaited adding that this should be announced before Christmas. Additional resources have been pledged by government but there remains uncertainty around what form these will take.

Monica Fogarty (Chief Executive) explained that the Corporate Board's proposals as set out in the report are based on the settlement that was announced in September 2019. It is probable that the final settlement will largely reflect the earlier one. It is not possible to provide an indication of the overall percentage increase in funding as much of the additional resource is for one year and is focused on specific services.

In response to a question from Councillor Helen Adkins (Deputy Leader of the Labour Group) Cabinet confirmed that it will continue to lobby government for additional funds.

Regarding the longer-term prospects for local government finance members were informed that this is a cause for concern with a projected national funding gap extending into billions of pounds. Richard Ennis (Interim Head of Finance) informed the meeting that a full spending review is expected and that the next budget will be very significant.

Resolved

That Cabinet:

- 1) Agrees to develop its draft 2020/21 Budget and 2020-25 Medium Term Financial Strategy proposals, taking into account the information presented in the report, the recommended budget strategy from Corporate Board set out in Section 3 and the views of Corporate Board on the information presented.

- 2) Authorises the Chief Executive and Strategic Directors to begin all necessary preparatory work to deliver budget proposals, prior to the final decision on the budget on 18 February 2020.

3. Feedback from Public Engagement – Council Plan 2025

Councillor Kam Kaur (Portfolio Holder for Customer and Transformation) introduced the published report, highlighting a series of key findings and adding that the recent engagement exercise had attracted many more responses than previously. Cabinet was informed that the draft Council Plan will be presented to its meeting on 30 January 2020.

Councillor Les Caborn (Portfolio Holder for Adult Social Care and Health) welcomed that public health and wellbeing had been noted as being high on people's agendas and attributed this, in part, to the success of the Year of Wellbeing.

Councillor Helen Adkins and Councillor Bill Olnier welcomed the support expressed for the provision of services for vulnerable and disadvantaged children. Councillor Jerry Roodhouse observed that the engagement exercise and the analysis of the results demonstrated a more thorough and scientific approach. It will be important, he added, to ensure that the priorities set out in the plan are reflected in the Council's budget.

Councillor Kam Kaur stated that 1102 responses to the questionnaire had been received. She confirmed the Council's commitment to vulnerable children and assured members that the budget and Council Plan will be aligned.

Resolved

That Cabinet:

- 1) Notes the key messages and conclusions from the public engagement programme which will inform the further development of the Council Plan 2025.
- 2) Endorses the next steps for the development of the Council Plan 2025.

4. Customer Experience Strategy 2020-2025

Councillor Kam Kaur explained that the Customer Experience Strategy reflects the move to the delivery of the new operational model. The Strategy, she stated, is the result of extensive engagement with customers and their families. It reflects the need for multiple modes of communication including by digital, telephone and face to face means.

Councillor Jerry Roodhouse welcomed the Strategy but emphasised the need to ensure that customers are supported and trained in the use of new technology ie digital. Concerning the reference to the establishment of a citizen's panel Councillor Roodhouse requested a briefing note on how this would be organised and run. This was agreed.

Councillor Pam Williams expressed the view that it will be important to ensure that the Council can engage with vulnerable people. In addition, Councillor Williams was

keen to see references to advocacy in the document. In response to a question from Councillor Bill Olnier it was confirmed that mobile libraries are equipped with tablets that enable customers of these facilities to access services digitally. Staff are trained to assist when necessary.

Resolved

That Cabinet:

- 1) approves the Customer Experience Strategy for 2020-2025 and,
- 2) authorises the Strategic Director for Resources to develop and implement the strategic delivery plan.

5. High Needs Block (Decision Made under the Council's Urgency Procedure)

Councillor Colin Hayfield (Portfolio Holder for Education and Learning) explained the basis of funding for special education needs and disability (SEND). Cabinet was informed of the proposal to passport 0.5% of the Dedicated Schools Grant to the High Needs Group. For this to happen the approval is required of the Schools Forum. This approval had not yet been given but further consideration was to be given to the matter by the Schools Form on 16 January 2020.

Referencing paragraph 3.4 of the report Councillor Jerry Roodhouse observed that whatever the outcome of the proposed transfer of resources further financial support will be required. He suggested that schools should be required to publish evidence that they have used funds intended to support special education in an appropriate way. Local MPs and central government should be lobbied. This was acknowledged by Cabinet which agreed to add a further element to its resolution to that effect. Finally, Councillor Roodhouse suggested that the Schools Forum and schools should engage more in partnership work to identify ways in which resources can be better utilised.

Councillor Jenny Fradgley noted that more could be done to make better use of Pupil Premiums as many schools are missing out on this source of funds. In order to maintain good working relationships with the Schools Forum and schools Councillor Helen Adkins suggested deferring the action proposed in recommendation 2. In response to this suggestion Councillor Peter Butlin (Deputy Leader (Finance and Property) reminded the meeting that disapplication is a mechanism that can be used if considered appropriate. No decision has been made at this stage to use it.

In summing up Councillor Colin Hayfield agreed that government should be lobbied for additional resources. He also agreed with the observation that schools miss out funding-wise when free school meals are not claimed. He added that he would not willingly use the disapplication process and would not wish to make matters worse for schools. Shire counties are frequently underfunded in terms of education. It was hoped that education funding across the country will be more even in the future.

Resolved

That Cabinet:

- 1) Approves the report and action plan agreed by Schools Forum to ensure efficient use of the High Needs Block (part of Dedicated Schools Grant)
- 2) Agrees that as a precautionary measure that the Council continues at this stage with the disapplication application to move 0.5% of Dedicated Schools Grant from the Schools Block to the High Needs Block until the Leader in consultation with the Portfolio Holder Education makes a final, decision whether to continue or withdraw the disapplication application should anticipated changes in financial regulations still make this relevant.
- 3) Continues to lobby local MPs and government for additional resources to support the delivery of Special Education Needs and Disability services.

6. Warwickshire County Council's Approach to Progressing the Integration of Health and Care

Councillor Les Caborn introduced the report drawing Cabinet's attention to the appendix which set out the actions being taken in Warwickshire.

Resolved

That Cabinet endorse the content of the document Warwickshire County Council's Approach to Progressing the Integration of Health and Care.

7. Report and Recommendations of the Climate Change Adaptation Task and Finish Group

In introducing this report Councillor Heather Timms (Portfolio Holder for Environment and Heritage & Culture) thanked members and officers for their work on the task and finish exercise and for inviting her to input into it. Councillor Jenny Fradgley (Chair of the task and finish group) explained the background to the work beginning with the Council's declaration of a climate emergency in July 2019. Looking to the future Councillor Fradgley anticipated the establishment of a cross-party working group to consider climate change and climate adaptation.

Councillor Timms proposed an amendment to the published recommendations with the removal of points i and ii from number 5. This was agreed.

Resolved

That Cabinet:

- 1) Adopts the Met Office's UK Climate Projections as the basis of Warwickshire County Council's expectation of the climate in 2050 and plans to this effect.
- 2) Provide clear direction through the Council Plan 2020-2025 detailing actions that will be taken to prepare Warwickshire for the change in climate to come.

- 3) Includes the impact of projected climate change in the assessment criteria for prioritising options and schemes that come forward for capital investment, which will prepare Warwickshire for the 2050 projected climate.
- 4) Produces an updated Climate Impact Assessment for Warwickshire assessing the economic and social impact of the expected changes in climate on key areas of the Council's responsibility and quantifying the costs of investment against the costs of inaction.
- 5) Establishes a standing group comprised of members from all political groups and officers, chaired by the Portfolio Holder for Environment and Heritage & Culture to advance work on climate change.

8. Capital Investment Fund 2019/20: Warwick Town Centre Transport Package

Councillor Jeff Clarke (Portfolio Holder for Transport and Planning) explained that the project described in the report had been in planning for five years. When delivered the scheme will bring improvements for pedestrians, cyclists and motorists. Of particular note is the expected improvement in air quality that the expected reduction in congestion will bring. Delivery is expected to be in spring 2021 with much of 2020 devoted to design work.

Councillor John Holland welcomed the report and recommendations adding that the project had received the support of all three County Councillors in Warwick. It was noted that the traffic management schemes were part of a condition imposed by Warwick District Council and that the deadline for them as stated in the conditions had passed. There is, therefore, an imperative to progress them. Councillor Holland concluded by requesting, given the historic nature of the town, that design work take this into account when considering materials etc.

Councillor Pam Williams welcomed the link between this project, the work of the Health and Wellbeing Board and need to address climate change. She added that the improvements should improve access to the town centre by older people.

Councillor Andy Crump (Portfolio Holder for Fire & Rescue and Community Safety) stated that the new traffic management arrangements will improve road safety.

Resolved

That Cabinet:

- 1) Recommend that Council approve the allocation of £4.046 million funding from the Capital Investment Fund (CIF) to deliver a transport package for Warwick town centre (as set out in paragraph 2.1) and add the project to the Capital Programme at a full cost of £4.418 million with the balance of funding coming from the Community Infrastructure Levy.
- 2) Authorise the Strategic Director for Communities to procure and enter any agreements to give effect to the proposals on terms and conditions acceptable to the Strategic Director for Resources, subject to Council agreement.

9. Any Urgent Items

The meeting was informed of a fire at Nuneaton Town Hall. Members commended the Fire and Rescue Service for its action and offered support to Nuneaton and Bedworth Borough Council as required.

10. Reports Containing Confidential or Exempt Information

Resolved

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

EXEMPT ITEMS FOR DISCUSSION IN PRIVATE (PURPLE PAPERS)

11. Land at Europa Way

Following an introduction from Councillor Peter Butlin members discussed proposals for an area of land at Europa Way in Leamington Spa.

Cabinet decided as per the resolution in the exempt minutes.

12. New Rugby Secondary School (Decision made under the Council's Urgency Procedure)

Following an introduction from Councillor Peter Butlin members discussed proposals for a new secondary school in Rugby.

Cabinet decided as per the resolution in the exempt minutes.

The meeting rose at 11.15

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Chair

Action from 16 December 2019 meeting of Cabinet

Action	Responsible Officer/Member
Item 4. Customer Experience Strategy 2020-2025	
Councillor Jerry Roodhouse requested a briefing note on how the new citizen's panel will be organised and run.	Elizabeth Abbott/Kushal Birla

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Cabinet

30 January 2020

One Organisational Plan Quarterly Performance Progress Report Period under review: April to November 2019

Recommendation

That Cabinet is recommended to consider and comment on the progress of the delivery of the One Organisational Plan 2020 for the period as contained in the report.

1. Report Summary

- 1.1. This report outlines the performance of the organisation at the Quarter 3 position, 1st April to 31st November 2019.
- 1.2. Key human resources performance is outlined and high-level risks to the Council are highlighted within the report.

2. Performance Commentary

2.1 The OOP 2020 Plan aims to achieve two high level Outcomes:

- **Warwickshire's communities and individuals are supported to be safe, healthy and independent;** and,
- **Warwickshire's economy is vibrant and supported by the right jobs, training, skills and infrastructure.**

Progress to achieve these outcomes is assessed against 64 Key Business Measures (KBMs).

Outcome	No. of KBMs
Warwickshire's communities and individuals are supported to be safe, healthy and independent	23
Warwickshire's economy is vibrant and supported by the right jobs, training, skills and infrastructure	12

In addition, to demonstrate OOP delivery by ensuring that **WCC makes the best use of its resources** performance is assessed against a total of 29 KBMs.

As the Organisation continues to transform, this is the first quarter that will be reported against in the a new [Commissioning Intentions Performance Framework](#). The new measures included in the Framework provide a sharpened focus on

performance linked to the Organisation's priorities. Detailed performance has been visualised utilising the functionality of the newly implemented Microsoft Power BI system.

- 2.2 At the end of Quarter 3, 48% (31) of KBMs are currently on track and achieving target while the remaining 23% (15) of KBMs are not on track and behind target. 28% KBMs (18) are either annual measures not yet due for reporting, are not targeted or reported in arrears. Chart 1 below summarises KBM performance by outcome.

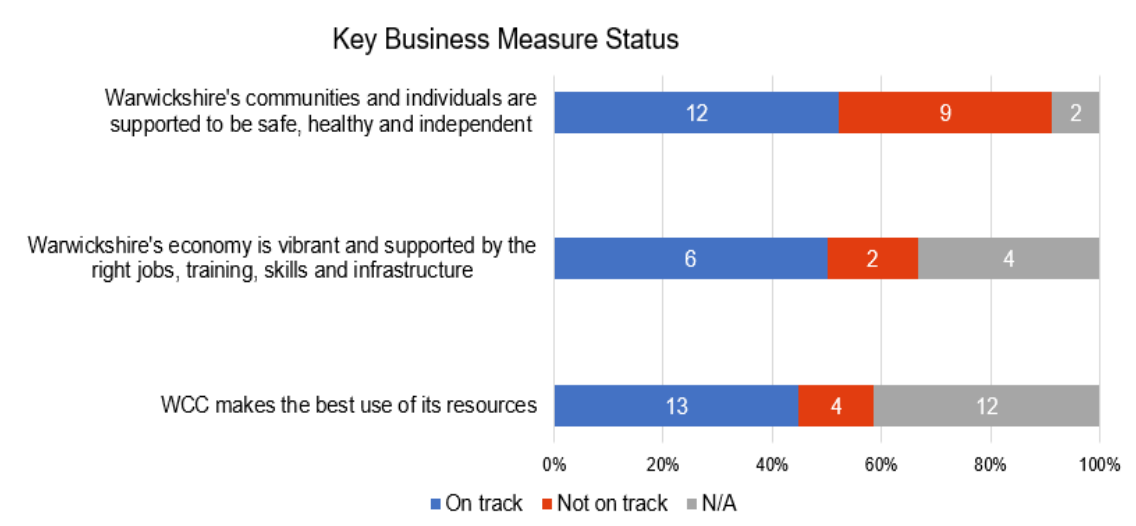


Chart 1

- 2.3 Of the 48% (31) KBMs which are on track and achieving target there are several measures where performance is of particular note, including:

- No. of children open to an early help assessment as the number of cases have increased as improvement recommendations from the Multi- agency Safeguarding Hub (MASH) are coming to fruition;
- No. of permanent admissions to residential or nursing care (under 65) as cumulative year to date target is being met; and,
- Rate of total recorded crime per 1,000 population which is at its lowest point this year and below target.

- 2.4 Chart 2 below illustrates the considered projection of performance over the forthcoming reporting period.

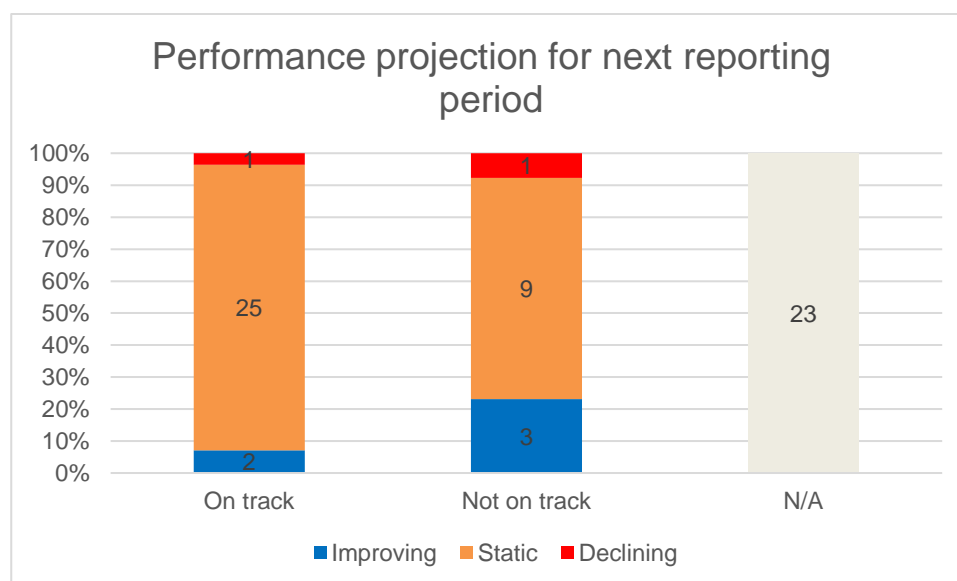


Chart 2

Of the 64 KBMs, 43.75% (28) are projected to remain on target over the next reporting period. Of the 20.30% (13) KBMs that are not on track, performance is projected to improve for the following 3 KBMs:

- % of Capital construction projects which fully deliver defined business case criteria;
- % of care leavers (relevant and former relevant 16-21) who are not in education, employment and training (NEET); and,
- % of placements for adults in provision of good or outstanding quality as rated by Care Quality Commission.

The table below highlights the 7 KBM's, including remedial action being taken, where performance is projected to remain underperforming and static;

Measure	Remedial Action
Warwickshire's communities and individuals are supported to be safe, healthy and independent	
No. of children looked after (CLA) excluding unaccompanied asylum-seeking children (UASC)	Significant measures have been put in place to manage demand, reduce the time children are in care and to increase the number of children and young people leaving care. Some of these processes are well developed, for example, Children's Decision Making Panel, improved Special Guardianship Order (SGO) offer and increased discharge of Care Orders. Other actions, such as the Family Drug and Alcohol Court will not begin until next financial year. These measures have slowed the rise in children in care. The Service still has a Project Board to proactively monitor performance, which is chaired by the Assistant Director.
% of women who smoke at the time of delivery across Warwickshire	There is a strategic review and needs assessment of stop smoking support across the Coventry & Warwickshire Local Maternity System (LMS). The Review and its recommendations will be completed by March 2020.

<p>% of children receiving a 6-8 week health check</p>	<p>Current performance has been discussed with provider at contact management meetings and will require improvement;</p> <ul style="list-style-type: none"> • the Health Visiting Service continue to embed the use of Outcomes Stars (a tool designed to support positive change and wellbeing) at 6-8 reviews; • continued embedding of Electronic Patient Records (introduced end September) which is impacting on staff time and mandated contact; and, • there is a need to prioritise antenatal and new birth mandated contacts.
<p>No. of fire related deaths</p>	<p>The Service fully investigates any fire related deaths in an effort to understand causes and identify any appropriate remedial action. Detailed reports have previously been to OSC and Committee Members have recognised that it is difficult to influence fire death outcomes as a result of suicide or crime, however the Service will endeavour to seek all preventable causal factors to fire deaths.</p>
<p>No. of fire related injuries</p>	<p>The Service closely monitors levels and types of incidents involving fire related injuries to address any emerging issues to inform community prevention activities. Similarly, to the fire related deaths measure, the Service will continue to work with partners to better understand any underlying causal factors (such as mental health issues or alcohol / drug dependencies etc) in the endeavour of preventing similar incidents and injuries in the future. Detailed reports have previously been to OSC and Committee Members have recognised that it is difficult to influence fire death outcomes as a result of suicide or crime, however the Service will endeavour to seek all preventable causal factors to fire injuries.</p>
<p>% times a fire appliance arrives at life risk or property incidents within agreed response standards</p>	<p>The Service deploys staff flexibly across different duty systems to provide optimum operational crewing at any given time, e.g. on-call staff will be utilised to support whole time crewing when needed and vice versa. Recruitment and retention of on-call firefighters is an ongoing challenge, reflecting the national picture, but the Service has seen significant improvements in on-call availability in recent months. Service Control redeploy both staff and vehicles daily to optimise emergency cover, however with the unpredictability and geographical spread of incidents the mitigating effect of this will always be limited. Targeted fire prevention activity is delivered to remote rural areas which the Service knows it will struggle to reach within the 10 minute response time. In the longer term the Service Asset Management Plan sets out the intention to relocate some whole-time response points onto transport nodes across the County with the intention of improving response to emergency incidents outside of the current predicted 10 minute travel time, particularly those on the motorway network.</p>

Warwickshire's economy is vibrant and supported by the right jobs, training, skills and infrastructure	
% of Warwickshire pupils attending schools (including nursery schools) judged Good or Outstanding by Ofsted	Maintained category C and D schools continue to receive support from Learning Improvement Officers and school consortia are being funded for school improvement projects many of which focus on the current Ofsted framework.

The table below highlights action being taken for 2 KBM's which are lagging indicators measured annually and where performance is projected to remain below target until the next annual survey scheduled for Summer 2020.

WCC makes the best use of its resources	
% staff satisfaction with modern working arrangements	<p>In the Your Say Survey Summer 2019, 72% of staff reported satisfaction with working arrangements i.e. being able to work flexibly from alternative locations or make use of a flexible working patterns. Our target satisfaction rate is 75%</p> <p>This is a lagging indicator. Since the survey, we have launched our Flexible Working offer, which significantly extends flexible working, and are supporting teams to develop their own 'Team Principles' and adopt a more flexible approach to work. Managers have been invited to workshops to develop skills in managing remote teams and to embed flexible working. We are also delivering sessions to encourage and enable managers to have good conversations with staff as part of this change process. To support a more flexible approach to work, we have adopted new technology with M365 software and SurfacePro devices. These measures are expected to improve.</p>
% leaders and managers driving a high-performance culture	<p>Based on our annual staff survey for Summer 2019, 68% of managers are currently assessed to be driving forward a culture of high performance. In the context of wide scale service redesign and transformation we believe this a positive result although we have an ambitious target of reaching a 75% rate.</p> <p>Our Performance Framework for tiers 0-3 continues to mature. Lessons learned will inform our future approach to appraisals and performance development plans for tier 4+. Alongside this we continue to roll out Leadership Development activities. This investment in developing a high performance culture through Our People Strategy is expected to improve this KBM.</p>

Finally, performance is projected to decline for 1 KBM which is already underperforming;

- No. of days sick leave per FTE (rolling 12 months) - The average days sickness is currently running at 10.34 days based on a rolling 12 months

and is both above the target of 9.04 days per FTE and the same point last year. This may reflect the impact of ongoing significant structural changes. As part of Our People Plan, there is a pilot approach in Business & Customer Services in Resources Directorate. Also, the steering group works with Public Health, the focus is on proactive interventions, particularly mental health and wellbeing champions. Sickness absence surgeries are in place for managers and bespoke training and support has been provided in targeted areas. Sickness absence levels continue to be reported to managers monthly and the HR Advisory service provides support and guidance to managers to manage long and short-term sickness absence. Meetings have taken place with Resources DLT to review levels of absence and similar meetings are scheduled in January for People and Communities.

23 of the KBMs do not have a projection currently as are either annual measures not yet due for reporting, are not targeted or reported in arrears.

- 2.5 Comprehensive performance reporting is now enabled through the following link to Power BI [Full Cabinet Quarter 3 Performance Report](#).

The Cabinet [Quarter 3 OOP Exception Dashboard](#) contains details of those measures that are of significant note where good performance or areas of concern need to be highlighted.

There are a further 3 dashboards split by Outcome which provide a summary of performance for each KBM;

- [Warwickshire's Communities - Cabinet Dashboard](#);
- [Warwickshire's Economy - Cabinet Dashboard](#); and,
- [Best Use of Resources - Cabinet Dashboard](#).

Management of HR

- 2.6 A summary of the position on HR management is shown below:

- The average days sickness is currently running at 10.34 days based on a rolling 12 months and is both above the target of 9.04 days per FTE and the same point last year. FTE days lost has increased in Resources and Communities and decreased in People Directorate;
- Headcount: Quarter 3 headcount (as at 30th November) is 4496 which is a slight increase of 0.13% since Quarter 2, but an overall reduction of 114 heads since December 2018;
- Age Profile remains stable with an average age of 45.2. Efforts to increase the younger representation of the workforce continues with the Apprenticeship programme; and,
- HR headline figures are available in the Appendix.

Management of Risk

2.7 Significant risks continue to be actively managed by Corporate Board through the Corporate Risk Register and remain unchanged, with the only net red risk being the adequate safeguarding of Children and vulnerable adults which is set permanently at red because of the nature of the risk. The full details can be found in the Appendix.

3.0 Financial Implications

3.1 None specific to this report (but see associated finance performance report).

4.0 Environmental Implications

4.1 None specific to this report.

Background Papers

None

	Contact Information
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Portfolio Holders	Cllr K Kaur, Portfolio Holder for Customer and Transformation; cllrkaur@warwickshire.gov.uk

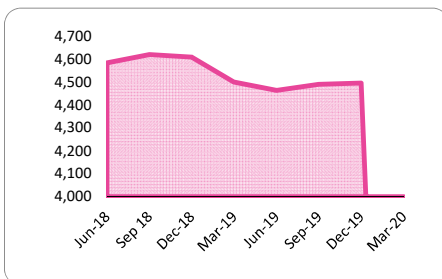
This report was not circulated to members prior to publication.

Appendix

Part 2: Headline HR Information

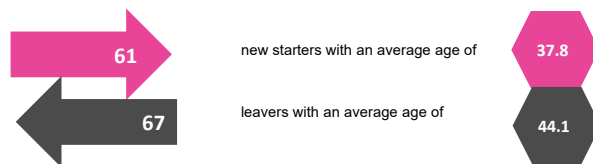
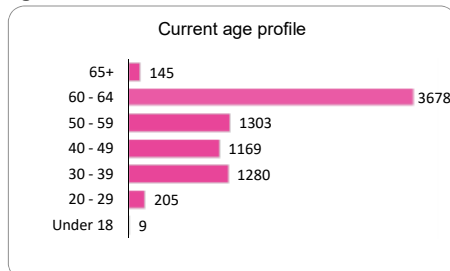
Key statistics on the number of employees, age profile, staff turnover and sickness absence.

Number of Employees

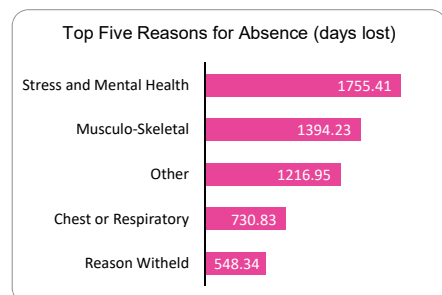


	Q1 18/19	Q2 18/19	Q3 18/19	Year End 18/19	Q1 19/20	Q2 19/20	Q3 19/20	Year End 19/20
Headcount	4,585	4,621	4,610	4,501	4,464	4,490	4,496	
	Q3 as at 30/11/19							
Full-time Equivalents	3,799	3,866	3,859	3,774	3,734	3,756	3,746	
Whole-time Equivalents	3,738	3,785	3,810	3,707	3,703	3,724	3,725	
Number of Posts	5,424	5,450	5,494	5,376	5,354	5,457	5,488	

Age Profile of our Workforce



Sickness Absence Statistics



	Q1 18/19	Q2 18/19	Q3 18/19	Year End 18/19	Q1 19/20	Q2 19/20	Q3 19/20	Year End 19/20
Days lost through sickness	9,466	8,263	6,799	36,213	9,068	9,228	7,408	
	Q3 as at 30/11/19							
... of which short-term	3,061 32.4%	2,646 32.0%	2,624 38.6%	13,511 37.3%	2,962 32.7%	2,806 30.4%	2,802 37.8%	
... of which long-term	6,385 67.6%	5,617 68.0%	4,175 61.4%	22,702 62.7%	6,106 67.3%	6,422 69.6%	4,606 62.2%	

Staff Turnover (1st October 2019-30th November 2019)



	New Starters	Leavers	% Turnover
Headcount	208	184	14.12 (rolling year) 1.49 (30th Nov 2019)
Full-time Equivalents	175.0	147.7	
Posts	212	189	

Commentary:

The average days sickness is currently running at 10.34 days based on a rolling 12 months and is both above the target of 9.04 days per FTE and the same point last year. FTE days lost has increased in Resources and Communities which could be linked to business support moving into Resources and Transformation. Headcount: Q3 headcount is 4496 which is a slight increase of 0.13% since Q2, but an overall reduction of 114 heads since December 2018. Age Profile remains stable with an average age of 45.2. Efforts to increase the younger representation of the workforce continues with the Apprenticeship programme.



Appendix

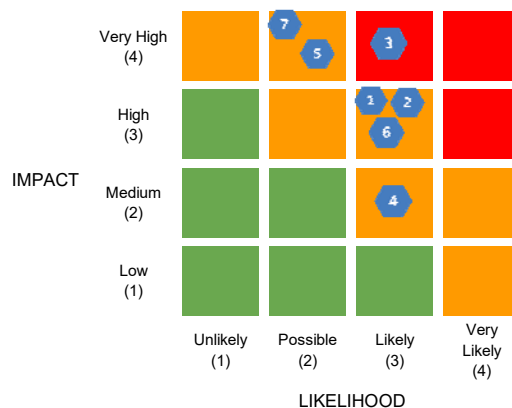
Part 3: Strategic Risk Information

Risk - "an uncertain event that, should it occur, will have an effect on the Council's objectives and/or reputation"

	Risk Description	Gross Risk level	Net Risk Level
1	Government policies, new legislation, austerity measures and demographic pressures present challenges to sustainable service delivery.		
2	Continuing pressure on Adult Social Services, Health and Special Educational Needs & Disability provision.		
3	Failure to adequately safeguard Children and Vulnerable Adults		
4	Failure to maintain the security of our systems and data		
5	Inability to secure economic growth in Warwickshire		
6	Inability to keep our communities safe from harm		
7	The Transformation Programme does not deliver the pace and extent of change required to meet high priority OOPS targets and deliver strategic priorities.		
8	Overall risk assessment		

Commentary – Action to reduce the likelihood and impact of net red risks:

Significant risks continue to be actively managed by Corporate Board through the Corporate Risk Register and remain unchanged, with the only net red risk being the adequate safeguarding of Children and vulnerable adults



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Cabinet**30 January 2020****2019/20 Financial Monitoring as at the end of December
2019 – Capital and Revenue****Recommendations**

Cabinet is recommended to:

- a) Note the forecast underspend of £9.118m for the 2019/20 financial year on the Council's revenue budget.
- b) Note the forecast underspend on the 2019/20 capital programme of £14.580m.
- c) Approve the carry forward of the underspend on the capital programme of (£14.685m) in 2020/21 and future years and the changes totalling £0.105m to the cost and funding of schemes detailed in the report and Annexes A to M.

1. Purpose of the Report

- 1.1. This report outlines forecast financial position of the organisation at the end of 2019/20 based on the information known at the end of the third quarter. The report sets out the position for both revenue and capital and provides an analysis of the variances, both under and over spending.

2. Financial Overview - Revenue

- 2.1. The forecast outturn position is set out in the table below and shows a total forecast underspend of £9.118m, representing 3.0% of the Council's net revenue budget.
- 2.2. We are now three-quarters of the way through the financial year and the key messages are beginning to stabilise. Members need to take any impact in future years into account as part of setting the 2020/21 budget and 2020-25 Medium Term Financial Strategy (MTFS). This is the last report to Members on the current year's financial position until after the end of the financial year.
- 2.3. Whilst the overall position is an underspend, there are some areas that are continuing to forecast an overspend, primarily due to increasing demand for services. These have been reviewed by Corporate Board and continue to be

subject to on-going monitoring to ensure mitigating actions are in place to minimise the likelihood of the position recurring in future years.

Directorate	Approved Budget £m	Forecast Outturn £m	Forecast Over/(Under) Spend £m
Communities	178.274	187.360	9.084
People	237.206	236.046	(1.160)
Resources	49.948	47.241	(2.707)
Corporate Services and Resources	(161.304)	(175.639)	(14.335)
Total	304.124	295.008	(9.118)

- 2.4. Further detail on the cost pressures are set out later in the report. **Annexes A to M** outline the reasons for all material variations between the forecast spending and the budget. These annexes are available electronically.
- 2.5. The forecast underspend reported to Cabinet in November was £1.829m. The position reported here is an increased underspend of £7.289m. During 2019/20 Services have made a concerted effort to ensure forecasts are robust and reflect the likely end-of-year position at the earliest opportunity. This approach will mean Members can take the impact in future years into account as part of budget setting and avoid the significant change between Quarter 3 and the outturn position experienced in previous years.
- 2.6. Progress on moving to a clearer and simpler financial framework and culture of disciplined financial management will continue in 2020/21. This will extend to providing greater visibility as part of continuing the budget right-sizing work.
- 2.7. The reasons for the variation between forecast spend and the budget are detailed in Section 3. The impact of this increased underspend on the budget proposals for 2020/21 is included as part of the budget update report elsewhere on today's agenda.

3. Detailed Analysis - Revenue

3.1. COMMUNITIES DIRECTORATE - Forecast Overspend £9.084m

Service	Approved Budget £m	Forecast Outturn £m	Forecast Over/(Under) Spend £m
Education Services	110.657	119.821	9.162
Environment Services	24.134	23.050	(1.084)
Fire and Rescue	20.323	20.724	0.401
Strategic Commissioner for Communities	23.160	23.765	0.605
Total	178.274	187.360	9.084

- 3.1.1. The Communities Directorate is forecast to overspend by £9.084m. This is an increase of £0.679m in the forecast overspend compared to the position reported at Quarter 2. The reasons for the overspend are as follows:

Education Services (£9.162m overspend)

- 3.1.2 The forecast overspend on Education Services (£9.162m) is as a result of increased demand and costs for high needs placements (£4.714m DSG), children at risk of exclusion (£0.527m DSG), agency placements for children with disabilities (£2.504m), and home to school transport mainstream and SEN (£1.720m), offset by some underspends in other areas.

The increases in demand for Education Services are largely due to the requirement to fund the education needs of young people up to age 25 with special educational needs and disabilities (SEND), increased numbers of children with Education, Health and Care (EHC) plans, and more complex needs of children in agency placements. There has been a recent increase in the costs of emergency specialist social care agency staff employed to support some highly vulnerable and challenging young people as part of agreed and necessary packages.

£5.040m of the Education Service forecast overspend is in relation to services funded from the Dedicated Schools Grant (DSG). The DfE requires all local authorities to complete a recovery plan should the overspend on the DSG exceed 1%. The Council's current forecast for the DSG overall is £5.152m (some DSG is held in Resources) which at 1.21% overspend exceeds the 1% threshold set by the DfE and means the Council would need to submit a recovery plan to the DfE in June 2020.

Both the DSG and the core revenue budget overspends are a continuation of demand increases experienced in 2018/19. The Directorate has insufficient reserves to meet this overspend and therefore corporate funding will be required. The need for corporate funding has been incorporated into the development of the 2020/21 budget proposals.

Environment Services (£1.084m underspend)

3.1.3 Environment Services has a forecast underspend of £1.084m. The main variances leading to this forecast underspend are:

- A forecast overspend of £0.159m as a result of additional staffing capacity in the Gypsy and Traveller service to increase site visits in order to improve conditions;
- A forecast underspend of £0.105m in the Forestry Service. This relates to in-year salary savings and reducing the use of external contractors;
- A forecast overspend of £0.626m in County Fleet Management (CFM) due to reduced income levels and one-off expenditure related to Hawkes Point. Work is being carried to review the long-term plans for CFM and the impact on income in future years;
- Lower than anticipated costs for Concessionary Travel of £0.414m due to lower take up of free/renewal bus passes than expected;
- An underspend of £0.389m due to a delay in commencing new Community Transport schemes as a result of the time taken to decide and agree on the strategic direction of the routes. The pilot schemes began this month; and
- Higher than anticipated income in Network Management of £0.856m.

Strategic Commissioning for Communities (£0.605m overspend)

3.1.4 Strategic Commissioning for Communities has a forecast overspend of £0.605m. This is largely due to the following:

- Parking Management – an under-recovery of income of £0.427m due to the delayed decision on parking charges;
- Strategic Economic Development – An in-year underspend of £0.122m as a result of reprofiling of work. As this involved other partners and businesses the funding will need to be carried forward into the next financial year so that the work can be completed; and
- Business Centres – An overspend of £0.236m as a result of additional maintenance and refurbishment work to improve the Elliot Park Business Centre, as well as slightly lower than anticipated income from business centres.

Fire and Rescue (£0.401m overspend)

3.1.5 The Fire and Rescue Service has a forecast overspend of £0.401m. This is a combination of the planned spend on training (£0.216m) related to firefighter

recruitment and a forecast overspend on staffing (£0.148m) as a result of the additional capacity required in order to maintain crewing levels whilst new recruits are in training, and to ensure business continuity during periods of long-term sickness absence.

3.2. PEOPLE DIRECTORATE - Forecast Underspend £1.160m

Service	Approved Budget £m	Forecast Outturn £m	Forecast Over/(Under) Spend £m
Adult Social Care	148.739	146.975	(1.763)
Children and Families	54.510	55.602	1.092
Strategic Commissioner for People	33.957	33.469	(0.489)
Total	237.206	236.046	(1.160)

3.2.1. The People Directorate is forecast to underspend by £1.160m. This is an increased underspend of £0.616m from the position reported at Quarter 2. The main reasons for the underspend are:

Children and Families (£1.092m overspend)

3.2.2 The forecast overspend of £1.092m is dampened by the impact of one-off funding in the current financial year, as well as some underspends against earmarked funds which will need to be set aside, as part of year end outturn, to complete projects in future years. Without these the service has an underlying overspend of £3.832m.

3.2.3 The main areas of overspending are:

- Children in Care Placements - The forecast overspend has increased to £5.205m and is due to reduced placement costs covering residential placements being more than offset by increased costs for external and internal foster-care placements. The forecast number of placement weeks to be purchased is higher than the actual number purchased in 2018/19 (by 242 weeks) but, more significantly, unit costs are rising as a result of increasing numbers of more costly residential and external foster-care packages; and
- Leaving Care Accommodation packages – a forecast overspend of £0.615m due to 18 new packages as well as the increased cost of packages overall.

3.2.4 The Children and Families overspends are offset by underspends elsewhere within the service:

- Priority Families (£0.110m) due to staff vacancies and additional payments-by-result grant;
- Adoption Central England (ACE) across the Partnership (£0.719m). As this is a pooled funding arrangement the funds will be carried forward to the next financial year; and
- Salary underspends within the Service, mainly due to social worker vacancies and the full year effect of staff budget rationalisation following the Service re-design.

Adult Social Care (£1.763m underspend)

3.2.5 Adult Social Care is forecast to underspend by £1.763m. The main variations are:

- Learning Disability Supported Living is forecasting a £1.8m overspend with Learning Disability Residential forecasting an offsetting £0.8m underspend. This demonstrates that increased placements are being made in Supported Living, which is community-based care, and therefore is in line with national and local strategy;
- Older People Residential and Nursing is forecasting a £2.6m overspend;
- Underspends on Reablement, Hospital Team and Assistive Technology budgets of £1.3m;
- Older People Direct Payments budget is underspending by £0.4m, reflecting a slower uptake than anticipated;
- Mental Health support for people aged over 65 is overspending by £1.8m;
- Over-recovery of client contribution income compared to budgeted: (£0.3m for younger adults and £3.5m for Older people). This reflects income from national charging allowances and adopting a low risk approach to the level of potential income when setting the budget last year; and
- An underspend from delayed and unspent project funds of £1.6m.

Strategic Commissioner for People (£0.489m underspend)

3.2.6 The forecast underspend is the result of Commissioning staff underspends offset by forecasted increased expenditure in Public Health staffing costs and increased spend on the demand driven Drug and Alcohol service. The latter is a result of increasing demand for detox/inpatient and prescribing services. There is also a £0.200m underspend on the continued development of the services ICT systems, as spend is now expected to be incurred in 2020/21.

3.3. RESOURCES DIRECTORATE - Forecast Underspend £2.707m

Service	Approved Budget £m	Forecast Outturn £m	Forecast Over/ (Under) Spend £m
Business and Customer Support	19.047	18.448	(0.599)
Commissioning Support Unit	3.073	2.548	(0.526)
Enabling Services	20.939	19.462	(1.477)
Finance	4.550	4.371	(0.178)
Governance and Policy	2.339	2.413	0.073
Total	49.948	47.241	(2.707)

3.3.1. The Resources Directorate is forecast to underspend by £2.707m. This is an increased underspend of £1.944m from the position reported at Quarter 2. The main variations are as follows:

Business and Customer Services (£0.599m underspend)

3.3.2 The Business and Customer Services underspend consists of a £0.198m forecast underspend in grants to be paid out for Third Sector Support pending the introduction of the Voluntary and Community Sector Strategy 2020-25 approved by Cabinet in September. A further £0.150m relates to funding from the Early Intervention, Prevention and Community Capacity Fund for projects which will continue into 2020/21. The remaining underspend mainly relates to vacancies held pending the implementation of the Business Support operating model.

Commissioning Support Unit (£0.526m underspend)

3.3.3 The forecast underspend of £0.526m is predominantly due to vacancies being held pending the outcome of the service redesign and a reduction in agency spend.

Enabling Services (£1.477m underspend)

3.3.4 The forecast underspend of £1.477m is mainly due to:

- Not fully utilising all of the Services ICT project resources in the current year (£0.692m);
- Vacancies across the service, but primarily within ICT and Facilities Management (£0.435m); and
- Lower than budgeted maintenance and running costs of County buildings (£0.182m).
- Other minor variations (£0.168m)

Finance (£0.178m underspend)

- 3.3.5 The forecast underspend of £0.178m is due to reduced staff costs due to vacancies and an increased recharge for services provided to the Pension Fund.

Governance & Policy (£0.073m overspend)

- 3.3.6 The forecast overspend has reduced since Quarter 2 mainly due to the revenue contribution of £0.997m towards the Montague Road capital project no longer being required. The residual overspend is attributable to the unachieved revenue benefit to the Service planned to be achieved by disposing of buildings, partially offset by increased income expectations for Legal Services.

3.4 CORPORATE SERVICES AND RESOURCES - Forecast Underspend £14.335m

Service	Approved Budget £m	Forecast Outturn £m	Forecast Over/ (Under) Spend £m
Government Grants and Business Rates	(129.000)	(132.371)	(3.371)
Central Block DSG and other grants to support schools and pupils	(81.129)	(81.129)	-
Capital Financing Costs	40.224	29.438	(10.786)
Other corporate costs	8.601	8.423	(0.178)
Total	(161.304)	(175.639)	(14.335)

- 3.4.3 Corporate Services and Resources are forecast to underspend by £14.335m. The forecast underspend has increased by £5.409m from the position reported at Quarter 2. There are three material underspends that are driving this position, these are:

- Additional business rates income and compensatory government grants to offset the impact of changes to exemptions and discounts not known at the time the budget was set (£3.371m);
- Lower capital financing costs than provided for in the budget (£10.786m) as a result of:
 - Slippage in the capital programme and the level of the unallocated Capital Investment Fund requiring no additional borrowing to be taken out (£8.9m);
 - Reduced principal repayments on our debt outstanding (£1.4m);
 - Income earned from investing our cash balances (£0.5m); and
- Lower spend in 2019/20 on children's transformation (2.599m), with the bulk of the programme of activity now planned over the next two years as

the funding is supplemented by additional funding from the Department for Education and additional one-off grant announced as part of the 2020/21 provisional Local Government Settlement.

- 3.4.4 These forecast underspends are partially offset by £0.960m of redundancy and pension strain costs as a result of the restructuring of services and £0.169m of funding for services to work with schools in financial difficulty that were not planned at the start of the year. Both areas of overspend are covered by risk reserves specifically set up to meet these costs.

4 Delivery of the Savings Plan

- 4.1 Planned savings of £14.221m are included within the 2019/20 revenue budget. Five Services are presently forecasting that they will not meet their 2019/20 savings targets, with the overall shortfall expected to be £3.760m. These shortfalls are already reflected in the revenue monitoring position set out in Section 3 and whilst they do not impact further on the monitoring position, it is important that there remains a focus on savings targets and whether these are being achieved or not. A summary, highlighting those Services where the savings plan is currently not forecast to be fully delivered in 2019/20, is set out in the table below.

Service	2019/20 Savings £m	Forecast to be achieved £m	Commentary
Strategic Commissioner for Communities	1.141	0.773	Shortfall of £0.368m relating to the delay in introducing a new charging schedule for parking permits while a public consultation took place.
Children and Families	4.930	2.020	Shortfall £2.910m as follows: <ul style="list-style-type: none"> Boarding services (£0.150m delay); and Placement costs for Children looked After (£2.760m where the number of purchased weeks and cost of these weeks have both risen. This is the most significant element of the service's overall overspend.
Strategic Commissioner for People	2.820	2.625	There is a net shortfall of £0.195m. £0.536m is a shortfall arising from the increase in demand-led prescribing costs for the Drugs and Alcohol Service giving rise to concerns about the feasibility of the savings target. This is presently offset by savings from staffing and overheads which is exceeding its target by £0.341m.
Environment Services	0.605	0.580	Shortfall of £0.025m which relates to the delay in the move to Hawkes Point from Montague Road.
Governance & Policy	0.886	0.624	Shortfall £0.262m caused by the delay in the generating the capital receipt from the sale of Montague Road.
All other services	3.839	3.839	
Total	14.221	10.461	

- 4.2 Where shortfalls in the delivery of savings are being forecast, most are the result of delays in implementation resulting in only a part-year benefit in 2019/20. Most are forecasting to deliver the full saving in 2020/21. The exception to this is the shortfall in Children and Families. This is the most significant element of the Service's overall overspend and the shortfall in the delivery of savings is reflected in the proposed budget allocations included in the 2020/21 Budget report to December's Cabinet. There remains some residual risk in relation to delivering increased income from car parking. The income from car parking will be closely monitored in 2020/21 and alternative proposals brought forward if any forecast shortfall emerges.

5 Reserves

- 5.1 At the end of 2018/19 the Council's reserves were £158.974m. At Quarter 1 Cabinet approved the following transfers:
- Education Services (£0.223m) to support the SEND demand management programme in 2019/20;
 - Business & Customer Support Services (£0.085m) to complete the Warwickshire Bytes project; and
 - Adult Social Care £3.000m transfer into reserves.
- 5.2 As a result of these contributions to and from reserves, the reserves are forecast to increase to £170.784m at the end of the financial year.
- 5.3 One third of reserves are held for specific purposes and cannot be used to support the budget more generally. The remaining reserves are held to manage known financial risks, to cash-flow timing differences between when spend is incurred and savings are delivered or for specific investment in projects. Financially this continues to place us in a healthy position to address the financial challenges facing the authority as a result of the current levels of uncertainty about future local government funding and the demand-led pressures that will need to be managed as part of developing a financially sustainable 2020-25 Council Plan.

6 Capital Programme

- 6.1 The Council's approved capital programme for 2019/20 as a result of the decisions made by Cabinet in September was £158.323m, excluding the Capital Investment Fund (CIF). Since then additional schemes have been added to the capital programme in accordance with the Council's approved capital strategy.

6.2 New schemes added to the capital programme budget this quarter which have previously been approved include:

- Cycle Routes (CIF)
- Average Speed Cameras (CIF)
- Casualty Reduction Schemes (CIF)
- WFRS Emergency Services Network Preparedness (CIF)
- Newdigate Primary School – Expansion
- New School at The Gateway, Rugby

6.3 The net impact of these changes has been to increase the approved capital programme budget for 2019/20 by £0.236m to £158.559m. The rest of the spend on these schemes (£7.652m) will be incurred in future years.

6.4 The overall delivery of the capital programme at Quarter 3 is forecast to be £143.979m which is £14.580m (9%) lower than planned. This is largely as a result of changes to the phasing of projects such that spending will now be incurred in future years. The total net increase in the forecast capital programme is £15.152m, this is largely due to new s.278 developer funded schemes being added to the capital programme in future years. The latest position is summarised by service in the table below:

	2019/20 Approved Budget £m	2019/20 Forecast £m	2019/20 Variance £m	2020/21 to 2023/24 Approved Budget £m	2020/21 to 2023/24 Forecast £m	2020/21 to 2023/24 Variance £m	Total Variance £m
Adult Social Care	2.100	2.100	0.000	1.563	1.563	0.000	0.000
Children and Families	0.547	0.528	-0.019	0.157	0.157	0.000	-0.019
People	5.576	5.356	-0.220	0.603	0.823	0.220	0.000
People	8.223	7.984	-0.239	2.323	2.543	0.220	-0.019
Communities	18.594	16.947	-1.647	23.271	25.595	2.324	0.677
Education Services	34.009	31.674	-2.335	9.407	11.653	2.246	-0.089
Environment Services	68.022	58.794	-9.228	67.170	92.498	25.328	16.100
Fire and Rescue	2.698	2.659	-0.039	5.583	5.622	0.039	0.000
Communities	123.323	110.074	-13.249	105.431	135.368	29.937	16.688
Business and Customer Support	0.115	0.190	0.075	1.942	1.867	-0.075	0
Enabling Services	19.061	19.046	-0.015	9.348	9.339	-0.009	-0.024
Governance & Policy	7.837	6.685	-1.152	2.484	2.143	-0.341	-1.493
Resources	27.013	25.921	-1.092	13.774	13.349	-0.425	-1.517
Total	158.559	143.979	-14.580	121.528	151.260	29.732	15.152

- 6.5 Adjusting for other forecasted increases in spend reported this quarter of £0.105m does not commit the Council to using additional corporate resources. Therefore, the total slippage compared to the approved budget is £14.685m (9.26%). £6.886m of this slippage is attributable to factors outside the Council's control relating to s.278 developer funded schemes. The main reasons for the remaining £7.800m slippage compared to the approved budget are:

Environment Services (£2.765m)

- £0.500m A46 Stanks Island. The scheme currently on site however slippage of approximately 2 months due to uncharted utilities found. The contractor is working to recover the programme.
- £0.220m A444 Corridor Improvements. Following the new scheme layout approval by the Project Board, a revision of the programme and a new cost estimate were carried out. This is reflected in the forecast.
- £1.862m A47 Hinckley Road Corridor. Junction improvements and cycle scheme design is presently under a Road Safety Audit with the expectation that the works will start July 2020.
- £0.183m other variations

Education Services (£2.245m)

- £0.850m Newdigate Primary School Expansion and Internal Refurbishment – Construction works start delayed whilst awaiting approval of additional funding of £475,600, approved by Cabinet in November 2019.
- £0.750m New School at the Gateway, Rugby. Slippage of £750,000 in 2019-20 is due to the delay of land transfer from the Developer.
- £0.442m Welcombe Hills School vehicle access alterations - Project delayed due to previous Sport England objections at pre-planning stage.
- £0.125m Kineton High School – Remaining funds to be re-profiled into 2020/21 pending decision on refurbishment.
- £0.079m other variations

Fire & Rescue (£0.080m)

- £0.080m slippage on equipment for new fire appliances. The delivery of new fire engines which will now take place in 2020/21, therefore there will be a delay in the purchase of the associated equipment.

Strategic Commissioner for Communities (£2.490m)

- £0.287m land at Crick Road, Rugby. Land negotiations are not as advanced as originally programmed. Changes have been made to the planning application which has delayed this aspect of the work.
- £0.88m Kenilworth Station. Adjudication has not crystallised in 2019/20.
- £0.627m Bermuda Connectivity. An extended period of voluntary negotiations has delayed securing the parcels of land required to deliver the Scheme and support construction works. The knock-on effect is that procurement of the construction contract will not get underway until later in 2019-20 upon completion of the land arrangements, and subsequently, construction work will not commence until Spring 2020.
- £0.198m Home to School Transport Routes. Due to the large number of small schemes currently being undertaken in a short space of time to finalise the Home to School/ School Safety Zones schemes, some of the works won't be complete until the new financial year
- £0.170m Barford Safety Junction – Reprofilng of forecast spend into next financial year to align with project timeline, this was delayed due to the requirement for night time road closures.
- £0.327m other variations

Strategic Commissioner for People (£0.220m)

- £0.180m slippage on the improvement work at Valley Road. This is due to evolving plans with the project now being considered as a wider project to address gaps in the market for specialised support. The initial plan to simply re-structure the building is now being developed into a larger project.
- £0.040m Client Information Systems Review, Detailed transformation requirements are subject to further exploratory action leading to the likelihood of investment required in 2020/21.

6.6 As part of developing the Medium Term Financial Strategy and associated capital strategy for Members' consideration, Corporate Board have been focussed on the actions needed to ensure a more timely delivery of the capital programme. Any emerging proposals will be brought forward to Members for consideration.

6.7 As well as approving the revised spending in the capital programme, the County Council must also ensure it has sufficient funding available to meet its capital payments in each financial year. The chart and the table below show how the

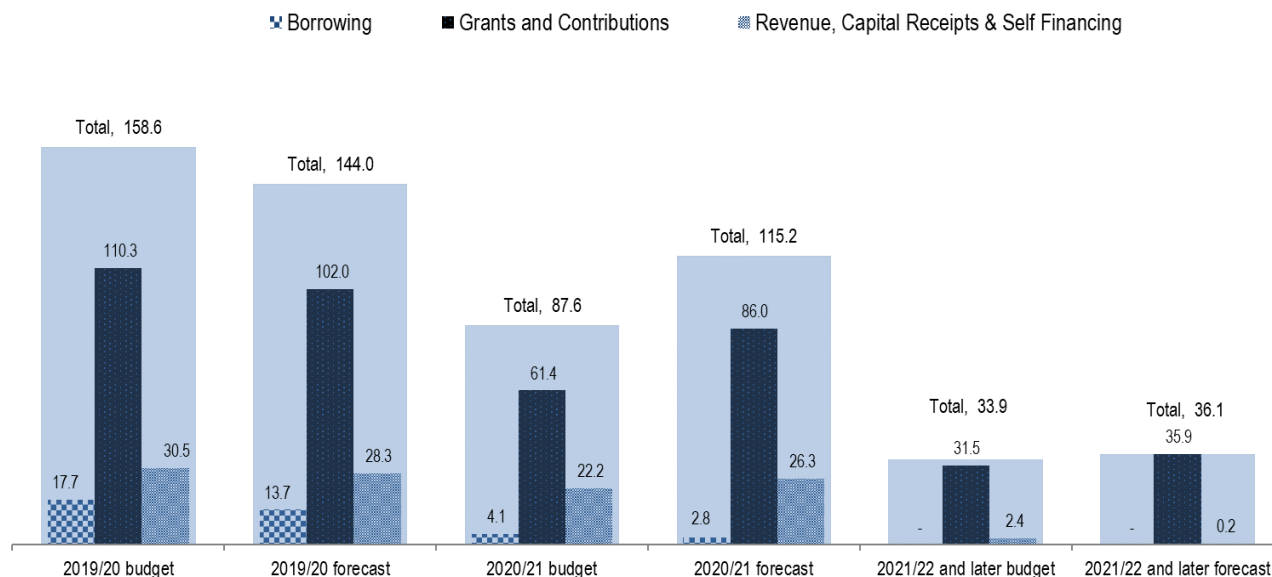
planned and forecast capital expenditure is to be financed. Later years will be updated as part of the development of the Council Plan 2025 and the Medium Term Financial Strategy. These figures exclude the remaining unallocated Capital Investment Fund.

	2019/20 budget £m	2019/20 forecast £m	2020/21 budget £m	2020/21 forecast £m	2021/22 and later budget £m	2021/22 and later forecast £m
Corporate Borrowing	17.733	13.713	4.056	2.835	0	0
Self-financed Borrowing	-1.499	-1.499	0.995	0.995	0	0
Grants and Contributions #	110.339	102.026	61.357	85.967	31.542	35.884
Capital Receipts	28.200	27.168	20.065	24.249	2.183	0
Revenue	3.786	2.571	1.138	1.138	0.192	0.192
Total	158.559	143.979	87.611	115.184	33.917	36.076

Note:

The income from grants and contributions includes grants from Government and contributions from developers and other third parties.

Estimated Financing to 2021/22 & Later Years (£m)



- 6.8 The most significant variable in financing the capital expenditure is forecasting the timing of the delivery of capital receipts. Forecasts are determined by the Council's programme of disposals and subsequent income from capital receipts

is used to avoid the need to incur additional borrowing. £27.1m of capital receipts are currently being forecast to finance the 2019/20 capital programme. To date £18.3m receipts have been delivered with a further £8.9m still outstanding. Any shortfall in the level of expected receipts will require the Authority to borrow sooner than expected.

Variations

- 6.9 The County Council's Financial Regulations require Cabinet to approve changes to schemes where the figures have a variance of more than 5% or are greater than £25,000 on any individual scheme. These schemes are included in all tables and figures within this report and are identified in the background Annexes, with reasons for the variations provided. All these changes are fully funded and do not require the use of any additional borrowing/receipts.

7 Financial Implications

- 7.1 The report outlines the forecast financial performance of the authority for 2019/20. There are no additional financial implications to those detailed in the main body of the report. The key financial issue is the need for the MTFS to reflect the need to:
- Put sustainable solutions in place for those services reporting material demand-led overspends;
 - Ensure the ambitions of the capital strategy are supported by a stronger framework for delivery; and
 - Ensure that any plans developed to balance the budget going forward are robust so any decisions can be taken promptly.

8 Environmental Implications

- 8.1 There are no specific environmental implications as a result of the information and decisions outlined in the report.

9 Background Papers

- 9.1 None

	Contact Information
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Portfolio Holder	Cllr P Butlin, Deputy Leader and Portfolio Holder for Finance and Property; cllrbutlin@warwickshire.gov.uk

No elected members have been consulted in the preparation of this report.

2019/20 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Variation and Management Action
	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Environment Services	291	254	(37)	0	0	0	291	254	(37)	
Trading Standards & Community Safety	2,623	2,681	58	(1,048)	(1,064)	(16)	1,575	1,617	42	Trading Standards cost centres (EC001, EC003, EC039, EC040, EC041) show an underspend of approx £110k, however £48k of this will be accounted for by Redundancy Fund. 43k of underspend is 18-19 year end error. Callibration services forecasting £4k overspend attributed to Business administration charge of 10k that had not been budgeted. Gypsy and Traveller set to overspend by £159k, mainly down to vacant unrentable properties, damage by tenants, legal fees and non-payment of rent. Com Safety underspend forecast due to reduction in staff hours.
County Highways	17,363	17,332	(31)	(4,662)	(5,570)	(908)	12,701	11,762	(939)	Surplus income generation in Network Management (£856k) and a forecast underspend in Forestry (£105k)
Planning Delivery	3,202	3,666	464	(2,824)	(3,223)	(399)	378	443	65	The forecast overspend is made up of £41K under achievement of income in Ecology, Archaeology and Landcaspe and £24K in the Planning team due to unforeseen legal costs.
Transport Delivery	36,737	36,212	(525)	(28,203)	(27,856)	347	8,534	8,356	(178)	Forecast overspend of £626k in CFM based on actuals to end of Nov 18 offset by cost savings in Concessionary Travel (£414k) and delays in commencement of Community Transport schemes (£389k)
Engineering Design Services	6,679	6,719	40	(6,224)	(6,321)	(97)	455	398	(57)	An increase in workload has required additional staff resources to deliver the capital programme. The corresponding increase in chargeable time has resulted in additional income above the original budget and a lower net outturn.
Emergency Management	245	265	20	(46)	(46)	0	199	219	20	
Net Service Spending	67,140	67,129	(11)	(43,007)	(44,080)	(1,073)	24,133	23,049	(1,084)	

Environment Services - Scott Tompkins
 Strategic Director - Mark Ryder
 Portfolio Holders - Jeff Clarke

2019/20 Reserves

Reserve	Approved Opening Balance 01.04.19 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31.03.19 £'000	Transfer Request (To)/From Reserves £'000	Reason for Request
Community Services - Savings	17	(17)	0	0		
Environment Services - Savings	0		1,084	1,084		Network Mgt enforcement income
Domestic Homicide Reviews	100		0	100		
Proceeds of Crime	147		0	147		
S38 Developer Funding	350		0	350		
Flood Management Reserve	693	(235)	0	458		
Total	1,307	(252)	1,084	2,139	0	

Environment Services - Scott Tompkins
 Strategic Director - Mark Ryder
 Portfolio Holders - Jeff Clarke

2019/20 Savings

Savings Proposal Title	2019/20			Reason for financial variation and any associated management action
	Target £'000	Actual to Date £'000	Forecast Outturn £'000	
Increased income as a result of pricing changes in Design Services, bringing our charges in line with the sector norm	50	50	50	
Generate income by an increase in the fees payable for licences and permits, including skips, scaffold, street café licenses and vehicular access requests.	5	5	5	
Increased income from the permit scheme for working on the highway as a result of systems development efficiencies and a more targeted site inspection regime will ensure compliance with permit scheme approvals.	165	165	165	
Energy savings as a result of the capital investment into LED technology within our street lighting stock.	300	300	300	
Increased income and surplus from County Fleet Maintenance following the installation of an MOT test facility at the new Hawkes Point site.	25	0	0	We are unlikely to achieve this in year. In 2020 with the move to Hawkes Point and the completion of the CFM Review we are likely to see this saving figure achieved through additional income generation and efficient working.
Generate new income from the implementation and operation of a highway permit scheme for Solihull MBC. The County Council currently manages a similar permit scheme for Coventry City Council.	25	25	25	This savings proposal has not been implemented but the savings target will be realised through other income streams.
Winter gritting route optimisation as a result of rationalising depots to a single south depot.	25	25	25	
Increase income targets to reflect current activity levels from Section 184 and Minor Works, Section 38 Agreements and pre application advice for highways.	10	10	10	This saving proposal has been implemented by increasing the income target.
Total	605	580	580	
Target		605	605	
Remaining Shortfall/(Over Achievement)		25	25	

Environment Services - Scott Tompkins
Strategic Director - Mark Ryder
Portfolio Holders - Jeff Clarke

2019/20 to 2021/22 Capital Programme

Project	Description	Approved Budget					Forecast					Variation		
		Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Variance in Year £ 000's	Total Variance £ 000's	
Major Transport Projects														
10203000	Rugby Western Relief Road	59,098	148	0	0	59,246	59,098	148	0	0	59,246	0	0	
10421000	Portobello Bridge	524	30	200	1,306	2,060	524	30	200	1,306	2,060	0	0	The project is currently in the process of being reviewed and revived. If it is determined that the project should be delivered, then in order to reduce the effect on the local network, the construction works could take place during the 2021 school summer holidays, this is a realistic target.
11221000	M40 Junction 12	11,856	177	557	0	12,591	11,856	177	57	30	12,121	0	-470	The capital spend on this scheme now complete except for landscaping maintenance and benefits monitoring required by external funding providers. The remaining budget can be returned to Corporate Resources.
11272000	Rugby Gyratory Improvements	1,563	25	0	0	1,588	1,563	0	25	0	1,588	-25	0	Minor works to be carried out in June, 2020
11509000	A444 Coton Arches, Nuneaton	3,474	246	0	0	3,720	3,474	226	0	0	3,700	-20	-20	£20,000 has been returned to the Councillors delegated budget as the kerb realignment at College Street was not carried out as part of the Coton Arches scheme. However the whole junction will be improved as part of the College Street improvement scheme.
11510000	A46 Stanks Island, Warwick	620	2,222	3,748	0	6,590	620	1,722	4,248	0	6,590	-500	0	Scheme currently on site. Slippage of approximately 2 months due to uncharted utilities found. Contractor working to recover programme.
11604000	A444 Corridor Improvements - Phase 2	61	300	2,200	2,038	4,600	61	80	662	3,796	4,600	-220	0	Following the new scheme layout approval by Project Board in Q3, a revision of the programme and a new cost estimate were carried out. This is reflected in this forecast.
11605000	A3400 Bham Road Stratford Corridor Improvements	65	83	3,377	0	3,525	65	66	3,393	0	3,525	-17	0	Project slipping due to higher than expected estimated utility costs. Currently attempting to design out costs.
11649000	A46 Stoneleigh Junction Improvements	2,034	3,116	0	4,881	10,031	2,034	3,116	0	4,881	10,031	0	0	
11669000	Lawford Road / Addison Road Casualty Reduction	16	94	736	0	846	16	94	736	0	846	0	0	
11694000	A47 Hinckley Road Corridor	95	2,390	1,000	0	3,485	95	528	2,862	0	3,485	-1,862	0	Bridge demolition is due to be concluded in Feb/March 2020. Junction improvements and cyscle scheme design is presently under an RSA2 review with the expectation that the works will start July 2020.
Street Lighting														
11279000	Pump Priming allocation for LED street lighting	3,230	1,280	0	0	4,510	3,230	1,410	0	0	4,640	130	130	RCCO £130K From EB031 St Lighting - £183 to code 11220001
11719000	Street Lighting base budget 19-20	0	883	0	0	883	0	883	0	0	883	0	0	
11220000	Street Lighting Column Replacement 2015/2016					0	0	0	0	0	0	0	0	
Structural Bridge Maintenance														
11241000	Minor Bridge Maintenance Schemes 2013/2014	542	2	0	0	544	542	3	0	0	545	1	1	Forecast increased to match expenditure.
11382000	Minor Bridge Maintenance schemes 2015/2016	1,617	28	0	0	1,645	1,617	50	0	0	1,667	22	22	Increased scale of repairs required at Tunnel Canal bridge
11457000	Minor Bridge Maintenance schemes 2016/2017	496	29	0	0	524	496	27	0	0	523	-2	-2	Forecast reduced to reflect actual
11587000	Minor Bridge Maintenance schemes 2017/2018	1,897	384	0	0	2,281	1,897	446	0	0	2,343	62	62	Forecast increase following quotations recieved
11658000	Minor Bridge Maintenance schemes 2018/2019	724	937	400	0	2,061	724	914	400	0	2,038	-23	-23	
11717000	Bridges Base Budget 2019 2020	0	655	0	0	655	0	608	0	0	608	-47	-47	Funding allocated to projects from prior years and block header. Increase in forecast for Curdworth Bridge accident damage.
Structural Maintenance of Roads														
11720000	County Highways Base Budget 19-20	0	18,188	16	0	18,204	0	18,158	16	0	18,174	-29	-29	transfer of budget £19377 to scheme 11688000 + £24,583 transfer of budget to 11361 yr 1 11362 yr 2
11361000	Highways Maintenance 16/17					0	0	8	0	0	8	8	8	
11362000	Highways Maintenance 17/18					0	0	16	0	0	16	16	16	
Traffic Signals														
11381000	Traffic Signals 2015-16	181	13	0	0	194	181	0	13	0	194	-13	0	Do to delays on scheme design related to available staff resources for specialist signals work, we are likely to see some delay in delivery.
11657000	Traffic Signals Base Budget 2018-19	235	63	0	0	298	235	29	35	0	298	-35	0	Do to delays on scheme design related to available staff resources for specialist signals work, we are likely to see some delay in delivery - 2020/21
11718000	Traffic Signals Base Budget 2019-20	0	250	0	0	250	0	198	52	0	250	-52	0	Do to delays on scheme design related to available staff resources for specialist signals work, we are likely to see some delay in delivery.
Flood management														
11427000	Ladbrooke Flood Alleviation	60	4	0	0	63	60	4	0	0	63	0	0	
11550000	Flood modelling	92	11	0	0	103	92	11	0	0	103	0	0	
11574000	Kites Hardwick flood alleviation	76	27	0	0	103	76	27	0	0	103	0	0	
11599000	Cherrington Flood Risk Management Scheme	57	8	0	0	65	57	8	0	0	65	0	0	
11686000	Whiteacre Health Flood Alleviation	36	14	0	0	50	36	20	0	0	56	6	6	Increased RCCO to offset costs
11735000	Grendon Capital Flood Scheme	0	0	0	0	0	0	127	0	0	127	127	127	New scheme allocated Rcco to offset costs
Community Safety														
11712000	Gypsy & Traveller bit of Countryside Maint £20k	0	73	0	0	73	0	73	0	0	73	0	0	
Archaeology & Ecology														
11727000	Ford Ranger 4x4	0	12	0	0	12	0	12	0	0	12	0	0	
Developer Funded Transport - s106 schemes														

Project	Description	Approved Budget					Forecast					Variation		
		Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Variance in Year £ 000's	Total Variance £ 000's	
11054000	Rugby, Hunters Ln - Through Route New Tech Dr To Newbold Rd	62	0	329	0	391	62	0	329	0	391	0	0	Adjacent Avon Mill Improvement Scheme is pending DfT funding approval. These works are not currently part of that scope but are necessary to realise the full Avon Mill Improvement Scheme effects. Constructing these works before the 2023 Avon Mill Improvement Scheme starts is preferential.
11099000	Upgrade traffic signals Blackhorse Road	137	11	0	0	148	137	11	0	0	148	0	0	
11194004	Install CCTV on Emscote Road Warwick (Tesco Stores)	0	9	0	0	9	0	0	9	0	9	-9	0	Unable to book roadspace - Streetworks
11194005	Install MOVA operation on traffic signal junctions Emscote Road Warwick (Tesco Stores)	0	0	75	0	75	0	0	75	0	75	0	0	
11194006	Install Variable Message Signs A444 (Prologis)	0	0	82	0	82	0	0	82	0	82	0	0	
11194007	Install Traffic Signals junction Colliery lane / Back Lane Exhall (David Wilson Homes)	0	0	45	0	45	0	0	45	0	45	0	0	
11194009	Bridleways Improvements Brownsover Rugby	0	6	0	0	6	0	0	6	0	6	-6	0	Scheme to be delivered in 2020/21
11195003	S106 Rights of Way Scheme at Long Shoot Development Nuneaton	0	6	0	0	6	0	0	6	0	6	-6	0	Scheme to be delivered in 2020/21
11195009	40/50MPH SPEED LIMIT AND MINOR KERBING WORKS LONGMARSTON ROAD WELFORD ON AVON.	21	9	0	0	30	21	9	0	0	30	0	0	Scheme Finished
11417000	A426 /A4071 Avon Mill Roundabout Rugby Improvement Scheme	345	240	1,123	0	1,708	345	240	1,123	0	1,708	0	0	Funding decision from Midland Connect & DfT is still pending - decision likely to be in the new year. If successful, detail design and preparation work will commence Q4 2019/20. Forecast costs for 2020/21 have been profiled on the assumption that the funding bid is successful and therefore the 2020/21 expenditure will be higher - approx. £1.8m.
11464000	Clifton on Dunsmore Traffic Calming S106	393	-72	0	0	321	393	79	0	0	472	151	151	Remedial works
Developer Funded Transport - Europa Way														
11580000	A452 Europa Way (Lower Heathcote Farm), Warwick. Developer – Gallagher Estates Ltd.	1,747	1,753	0	0	3,500	1,747	1,562	191	0	3,500	-191	0	Whilst this scheme is complete, there will still be a need to undertake a Road Safety Audit Stage 3/4, which needs to happen 12 months after construction is complete. The RSA will be undertaken in October 2020.
11602000	A452 Europa Way / Olympus Avenue Traffic Signal Controlled Junction S278	1,201	2,000	807	0	4,008	1,201	300	2,507	0	4,008	-1,700	0	This scheme is now not due to recommence on site until January 2020 (due to a slower than anticipated technical approval process), with a completion date of August 2020, therefore the £2,506,963 will be spent in 20/21
11636000	A452 Myton Road And Shire Park Roundabouts	28	100	3,673	0	3,800	28	55	3,718	0	3,800	-45	0	This scheme is at a feasibility stage and work packages from external sources have been slower than anticipated.
11637000	A452 Europa South of Olympus Avenue to Heathcote Lane Roundabout	19	0	0	7,481	7,500	19	0	0	7,481	7,500	0	0	
11638000	A452 M40 spur west of Banbury Road	9	0	0	7,591	7,600	9	0	0	7,591	7,600	0	0	
Developer Funded Transport - s278 schemes														
10010001	Unallocated S278 developer funds	-40	0	1,656	0	1,616	-40	0	1,656	0	1,616	0	0	
11195010	S278 DE33034 Western Rd and Bham Rd Stratford (McDonalds)	307	0	0	0	307	307	0	0	0	307	0	0	
11195011	S278 Crabtree Medical Centre Bidford - Bus Stops	27	0	0	0	27	27	0	0	0	27	0	0	
11195013	S278 Wellesbourne Distribution Park Signs	35	26	0	0	61	35	26	0	0	61	0	0	
11196001	S278 Boughton Road Environmental Weight Limit Signs	77	0	0	0	77	77	0	0	0	77	0	0	
11197000	Ford Foundry	4,697	0	0	0	4,697	4,697	0	0	0	4,697	0	0	
11305000	New Roundabout on the A444 Weddington Road, Nuneaton	628	243	0	0	871	628	243	0	0	871	0	0	
11327000	B4113 Gipsy Lane Junction	5	0	199	0	204	5	0	199	0	204	0	0	
11336000	Ansty Business Park Phase 3	1,452	809	750	0	3,011	1,452	309	1,250	0	3,011	-500	0	
11337000	A426 Leicester Road, Rugby - Toucan Crossing	329	6	0	0	335	329	6	0	0	335	0	0	
11423000	A423 Coventry Road Southam New Priority Junction S278	508	5	0	0	513	508	6	6	0	520	1	7	
11428000	B5000 Grendon Road Polesworth New Roundabout Section 278	868	97	0	0	965	868	91	6	0	965	-6	0	
11429000	A3400 Birmingham Road, Stratford upon Avon, New right turn land S278	247	3	0	0	250	247	3	0	0	250	0	0	
11430000	A428 Rugby Radio Station Mass Site S278 Highways Work	2,639	61	0	0	2,700	2,639	100	100	0	2,839	39	139	Budget increased by £200k to reflect ongoing works.
11436000	B4087 Oakley Wood Road Bishops Tachbrook	364	140	0	0	504	364	110	30	0	504	-30	0	
11460000	C204 Birmingham Road, Alcester - new right turn land outside Alcester Grammar	1	1,200	0	0	1,201	1	300	900	0	1,201	-900	0	
11462000	B4035 Campden Road, Shipston on Stour new right turn lane	335	15	0	0	350	335	15	10	0	360	0	10	
11505000	A422 Alcester Road, Stratford upon Avon	250	3	0	0	253	250	6	6	0	262	3	9	
11507000	A428 Lawford Road, Rugby	291	204	0	0	494	291	154	50	0	494	-50	0	
11508000	B4429 Ashlawn Road, Rugby	58	64	0	0	122	58	54	10	0	122	-10	0	
11511000	A429 Ettington Road, Wellesbourne	1,219	16	0	0	1,235	1,219	20	10	0	1,249	4	14	
11518000	D2206 Siskin Drive Baginton Right Turn Lane S278	67	354	0	0	421	67	233	121	0	421	-121	-0	Changed to reflect construction works on hold due to Statutory Undertakers works.
11528000	A444 Weddington Road, Nuneaton - new Puffin crossing.	218	67	0	0	284	218	47	20	0	284	-20	0	
11529000	B4642 Coventry Road, Cawston - new right turn lane.	1	600	0	0	601	1	100	500	0	601	-500	0	

Project	Description	Approved Budget					Forecast					Variation		
		Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Variance in Year £ 000's	Total Variance £ 000's	
11530000	C33 Stockton Road and A423 Southam Road, Long Itchington - new footway on Stockton Road and upgrade of zebra crossing to Puffin crossing on Southam Road.	275	26	0	0	301	275	76	25	0	376	50	75	Budget increased by £75,000 to reflect
11531000	D1643 Park Road, Bedworth - new car park egress.	140	95	0	0	235	140	151	50	0	341	56	106	Budget increased to reflect scope of works.
11551000	A47 Long Shoot - relocation of a refuge island	13	77	0	0	90	13	61	16	0	90	-16	0	
11576000	A3400 Banbury Road / Tiddington Road, Stratford upon Avon.	0	250	1,750	0	2,000	0	250	1,750	0	2,000	0	0	
11577000	A3400 Bridgefoot / Bridgeway, Stratford upon Avon	1	100	650	0	751	1	100	650	0	751	0	0	
11578000	C98 Loxley Road, Tiddington.	0	1,500	0	0	1,500	0	1,000	500	0	1,500	-500	0	
11581000	Butlers Leap Link Road, Rugby. Developer – Urban and Civic PLC.	1,186	1,514	0	0	2,700	1,186	2,514	300	0	4,000	1,000	1,300	Budget increase due to scope of works.
11582000	Shottery Link Road, Stratford-upon-Avon. Developers – J S Bloor (Tewkesbury) Ltd and Hallam Land Management Ltd.	8	1,492	2,000	0	3,500	8	492	3,000	0	3,500	-1,000	0	Technical review delayed
11595000	A422 Banbury Road Ettington Ghost island	286	12	0	0	298	286	12	10	0	308	0	10	
11597000	B4451 Station Road Bishops Itchington Ghost Island Right Turn Lane S278	134	816	0	0	950	134	801	15	0	950	-15	0	
11603000	B439 Salford Road Bidford - Access And Puffin Crossing	1	150	0	0	151	1	76	75	0	152	-74	1	Forecast changed to reflect expected delivery of works.
11608000	Highway Impt A446 Lichfield Road , Coleshill S278	54	96	0	0	150	54	76	20	0	150	-20	0	
11609000	Highway Impt C104 Milcote Rd Welford On Avon S278	0	350	0	0	350	0	325	25	0	350	-25	0	
11617000	C12 Plough Hill Road , Galley Common - installation of Puffin crossing & associated fway works	111	189	0	0	300	111	189	0	0	300	0	0	
11662000	A3400 London Road, Shipston on Stour (Orbit Homes)	0	450	0	0	450	0	200	250	0	450	-250	0	Forecast changed to reflect expected delivery.
11663000	A425 Daventry Road, Southam (Taylor Wimpey)	413	1,387	0	0	1,800	413	508	800	0	1,721	-879	-79	
11664000	C8 Trinity Road, Kingsbury (St Modwen)	2	1,500	800	0	2,302	2	1,500	800	0	2,302	0	0	
11665000	D538 Station Road, Coleshill (Aldi Stores)	4	146	0	0	150	4	146	0	0	150	0	0	
11666000	CCTV/UTC integration scheme on A3400 Birmingham Road Stratford (Bellway Homes)	0	85	0	0	85	0	0	85	0	85	-85	0	Limited staff resources
11667000	B4642 Coventry Road, Cawston. Developer – Miller Homes. Approximate value £250k	0	750	0	0	750	0	750	0	0	750	0	0	
11671000	B4455 Fosse Way / B4100 Banbury Rd (Jlr) Highway Impt S278	0	600	0	0	600	0	75	525	0	600	-525	0	Changed to reflect expected construction delivery.
11672000	B4455 Fosse Way /A425 Southam Rd Roundabout Impt S278 (CEG)	0	500	0	0	500	0	75	425	0	500	-425	0	To reflect expected construction delivery.
11673000	B4455 Fosse Way /C43 Harbury Lane Impt Crossroads S278 (CEG)	0	1,100	0	0	1,100	0	75	1,025	0	1,100	-1,025	0	To reflect progress of Technical Review.
11674000	B4100 Banbury Rd / Meadow Close Junction Impt S278 (CEG)	0	200	200	0	400	0	200	200	0	400	0	0	
11675000	B4100 Banbury Rd / Kingston Grange Site Access Impt S278 (CEG)	0	900	0	0	900	0	400	500	0	900	-500	0	To reflect construction delivery.
11676000	B4100 Banbury Rd / Site Access Lighthorne Heath Highways Impt S278 (IM Properties)	0	100	650	0	750	0	50	700	0	750	-50	0	To reflect progress of Technical Review.
11684000	S278 Highway Impt C30 Hillmorton Lane To Houlton And The Kent Rugby	2,027	873	0	0	2,900	2,027	1,273	200	0	3,500	400	600	Budget increased on Cabinet Report dated 26 July 2018
11688000	S278 Highway Impts Rugby Free School	114	1,000	0	0	1,114	114	1,019	0	0	1,133	19	19	Transfer of budget from scheme 11720009 (Structural Maintenance budget) County Highways
11695000	A4023 Coventry Highway, Mappleborough Green.	1	1,000	2,499	0	3,500	1	1,000	2,499	0	3,500	0	0	
11696000	A428 Crick Road, Rugby. Developers	11	1,300	0	0	1,311	11	1,300	0	0	1,311	0	0	
11697000	A428 Hillmorton Road / B4429 Ashlawn Road, Rugby. Developers	0	500	700	0	1,200	0	500	700	0	1,200	0	0	
11698000	B4632 Campden Road, Clifford Chambers. Developer	0	600	0	0	600	0	100	500	0	600	-500	0	Forecast changed to reflect expected delivery.
11699000	B5000 Grendon Road, Polesworth. Developer	0	300	0	0	300	0	300	0	0	300	0	0	
11705000	A425 Banbury Road Warwick Highway Improvement S278 work for independent schools	1	449	0	0	450	1	449	0	0	450	0	0	
11706000	A452 Europa Way (North of Gallows Hill) Highway Improvement S278 - Galliford Try	0	450	0	0	450	0	450	0	0	450	0	0	
11707000	A47 Long Shoot Nuneaton Highways Improvement S278 Jelson Ltd	0	400	350	0	750	0	50	700	0	750	-350	0	Forecast changed to reflex expected delivery.
11708000	B4035 Campden Road Shipston Highway Improvement S278 - Taylor Wimpey	0	100	1,150	0	1,250	0	100	1,150	0	1,250	0	0	
11709000	C11 Highham Lane Nuneaton Highway Improvement S278 - Persimmon	0	650	0	0	650	0	650	0	0	650	0	0	
11732000	B4086 Wk Rd Kineton S278 Site Access Morris Homes C9389	0	1,000	0	0	1,000	0	1,000	0	0	1,000	0	0	
11733000	B4089 Arden Rd S278 Site Access Alcester Estates C9558	0	250	0	0	250	0	250	0	0	250	0	0	
11734000	B4100 Temple Herdewyke Highways Impt S278 Dio C9618	0	1,500	0	0	1,500	0	1,500	0	0	1,500	0	0	
11743000	Junction Impt A3400 Shipston Rd SoA C8950 St Mowdens S278	0	250	2,250	0	2,500	0	250	2,250	0	2,500	0	0	

Project	Description	Approved Budget					Forecast					Variation		
		Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Variance in Year £ 000's	Total Variance £ 000's	
11744000	Highways Impt A426 Rugby Rd C9401 David Wilson S278	0	1,500	2,000	0	3,500	0	1,000	2,500	0	3,500	-500	0	Technical review delayed.
11745000	Highways Impt Gallows Hill C9042 Gallagher S278	0	500	3,000	0	3,500	0	500	3,000	0	3,500	0	0	
11747000	C12 Tunnel Rd Highway Impt S278 Countryside Prop (C9836)	0	250	0	0	250	0	200	50	0	250	-50	0	Costs in 2020/21 covers Maintenance Period.
11748000	C88 Alwyn Road Rugby Highway Impt S278 Miller Homes (C9712)	0	250	0	0	250	0	250	0	0	250	0	0	
11749000	C93 Bishopton Lane SOA S278 Miller & T.Wimpey (C9163)	0	300	1,300	0	1,600	0	300	1,300	0	1,600	0	0	
11751000	A428 Coventry Rd Long Lawford Junction IMPT C9593 Bloor	0	100	1,000	0	1,100	0	100	1,000	0	1,100	0	0	
11752000	B4100 Banbury Rd Lighthorne Heath Highway IMPT C9830 Ceg	0	100	1,100	0	1,200	0	100	1,100	0	1,200	0	0	
11753000	B4100 Banbury Rd / Kingsway Rdbt Highway IMPT C9829 Ceg	0	100	1,000	0	1,100	0	100	1,000	0	1,100	0	0	
11754000	C33 Stockton Rd Long Itchington Highway IMPT C9631 Barratt	0	250	0	0	250	0	250	0	0	250	0	0	
11755000	C12 Plough Hill Rd , Nuneaton Highway IMPT C9746 Countryside	0	0	500	0	500	0	50	450	0	500	50	0	At Technical Approval stage.
11767000	A45 Stonebridge Highway / D2201 Rowley Road, Baginton	0	0	0	0	0	0	500	100	0	600	500	600	Added to Capital Programme on 15 Nov 2019.
11768000	B4029 Severn Road, Bulkington	0	0	0	0	0	0	25	475	0	500	25	500	Added to Capital Programme on 15 Nov 2019.
11769000	B4632 Campden Road, Quinton	0	0	0	0	0	0	50	1,450	0	1,500	50	1,500	Added to Capital Programme on 15 Nov 2019.
11770000	C33 Bubbenhall Road, Baginton (Gateway South)	0	0	0	0	0	0	100	500	0	600	100	600	Added to the Capital Programme on 15 Nov 2019.
11771000	D6216 Upper Henley Street, Stratford-upon-Avon	0	0	0	0	0	0	40	10	0	50	40	50	Added to Capital Programme on 15 Nov 2019.
11772000	M6 Junction 1 /A426 Leicester Road , Rugby	0	0	0	0	0	0	75	175	0	250	75	250	Added to Capital Programme on 15 Nov 2019.
11757000	A425 Banbury Road and A452 Europa Way	0	0	0	0	0	0	50	3,450	0	3,500	50	3,500	Added to Capital Programme on 15 October 2019 and 17 October 2019.
11758000	B4632 Campden Road, Long Marston	0	0	0	0	0	0	75	2,425	0	2,500	75	2,500	Added to Capital Programme on 15 October 2019 and 17 October 2019.
11759000	Birmingham Road, A4177 , Hatton.	0	0	0	0	0	0	20	580	0	600	20	600	Added to Capital Programme on 18 October 2019
11760000	SOUTHAM By-pass A423 , Southam.	0	0	0	0	0	0	50	1,750	0	1,800	50	1,800	Added to Capital Programme on 18 October 2019.
11461000	A47 The Long Shoot, Nuneaton , New Traffic Controlled Junction S278	0	0	0	0	0	0	100	20	0	120	100	120	Budget increased to £120k to reflect on-going works.
11463000	B4451 Kineton Road Southam New Roundabout S278	0	0	0	0	0	0	10	10	0	20	10	20	
11467000	C43 Harbury Lane, Warwick – new traffic signal controlled junction.S278	0	0	0	0	0	0	10	10	0	20	10	20	
11506000	A426 Southam Rd Southam access to quarry at Griffins Farm	0	0	0	0	0	0	10	10	0	20	10	20	
11515000	A4254 Eastbro Way Nuneaton Traffic Signals at Junctions with Camborne Drive S278	0	0	0	0	0	0	10	10	0	20	10	20	
11516000	A444 Weddington Road Nuneaton Right Turn Lane to Site Access S278	0	0	0	0	0	0	10	10	0	20	10	20	
11517000	A47 Hinkley Road Nuneaton Puffin Crossing	0	0	0	0	0	0	10	10	0	20	10	20	
11519000	D3108 Back Lane Long Lawford Traffic Signals & Junction Improvements S278	0	0	0	0	0	0	10	10	0	20	10	20	
11527000	A423 Marton Road , Long Itchington - New Footway & Site Access S278	0	0	0	0	0	0	10	10	0	20	10	20	
11579000	D7050 Common Lane Kenilworth Traffic Signal Junction	0	0	0	0	0	0	1,000	500	0	1,500	1,000	1,500	
11598000	A426 Leicester Road Rugby Highway Impt S278	0	0	0	0	0	0	150	50	0	200	150	200	Increase due to scope of works.
11419000	A423 Priority Junction and A425 Banbury Road	0	0	0	0	0	0	6	6	0	12	6	12	
11424000	Snitterfield Emergency Works	0	0	0	0	0	0	0	0	0	0	0	0	
11435000	A3400 Birmingham Rd Stratford - Conversion of Existing Traffic Signal Junction S278	0	0	0	0	0	0	6	6	0	12	6	12	
11437000	B4632 Campden Road /C47 Station Road - New Ghost Island & New Minor Access S278	0	0	0	0	0	0	6	6	0	12	6	12	
11438000	B4642 Coventry Rd, Site Access, Cawston - New Traffic Signal Junction S278	0	0	0	0	0	0	10	10	0	20	10	20	
11439000	B4642 Coventry Rd / Cawston Grange Drive Cawston Construction of 5th Arm at Rdbt S278	0	0	0	0	0	0	10	10	0	20	10	20	
Grand Total		111,976	68,022	43,871	23,299	247,167	111,976	58,794	67,411	25,087	263,267	-9,228	16,100	

Education Services - Ian Budd
Strategic Director - Mark Ryder
Portfolio Holders - Councillor Hayfield (Education & Learning)

2019/20 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Variation and Management Action
	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Education Services Management	3,124	4,528	1,404	(211)	(940)	(729)	2,912	3,588	676	There is a £676k overspend on the High Needs Block due to additional place funding for a growing Special Free School.
Education & Early Years (Commissioning & Strategy)	47,072	47,437	365	(4,214)	(4,180)	34	42,859	43,257	399	There is a forecast overspend on Core funded services in Home to School Transport of £393k, due to increase in demand. On the DSG High Needs there is a forecast overspend on Children at risk of exclusions of £527k, this is due to increase demand in Alternative Provision and a greater lead in time required to achieve DSG savings. The DSG High Needs overspend is being masked by a underspend in the Growth Fund of £348k, and in Admissions £104k.
SEND & Inclusion (Commissioning & Strategy)	66,625	77,157	10,531	(2,995)	(5,336)	(2,340)	63,630	71,821	8,191	There is a forecast overspend on the DSG High Needs block of £4,396k this is largely due to pressures on top up budgets. There is also an overall forecast overspend on Core funded services of £3,796k, this is largely due to demand led pressures on Home to School Transport £1,327m and Children with Disabilities £2,504m. Children with Disabilities have seen an increase in Agency Costs for emergency social care agency staff who are employed to support children in the community as part of agreed and necessary packages. Due to the lack of highly skilled community services the CWD team is employing the services of specialist care agency staff to support some highly vulnerable and challenging young people. They are effectively providing round the clock care for individual young people with high end needs.
Education Service Delivery	8,907	8,942	34	(7,650)	(7,788)	(138)	1,257	1,154	(103)	Services trading with schools are forecasting to exceed their gross surplus targets by £103k. The additional income generation will off set overspends elsewhere in Education.
Net Service Spending	125,728	138,064	12,334	(15,070)	(18,244)	(3,173)	110,658	119,820	9,162	

Education Services - DSG funded	81,521	86,713	5,192	(2,186)	(2,338)	(152)	79,335	84,375	5,040	
Education Services - Core funded	44,207	51,351	7,144	(12,884)	(15,906)	(3,022)	31,323	35,445	4,122	
Net Service Spending	125,728	138,064	12,336	(15,070)	(18,244)	(3,174)	110,658	119,820	9,162	

Education Services - Ian Budd
 Strategic Director - Mark Ryder
 Portfolio Holders - Councillor Hayfield (Education & Learning)

2019/20 Reserves

Reserve	Approved Opening Balance 01 04 19 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31.03.20 £'000	Transfer Request (To)/From Reserves £'000	Reason for Request
Education & Learning - Savings	0		0	0		
SEND Earmarked Reserve	223	(223)	(4,122)	(4,122)		
School Improvement Monitoring & Brokering Reserve	420		0	420		
Education MIS Project	50		0	50		
DSG Reserve	0		(5,040)	(5,040)		
Virtual School for LAC	43		0	43		
Early Years Delivery Support Fund	0		0	0		
Total	736	(223)	(9,162)	(8,649)	0	

Education Services - Ian Budd
 Strategic Director - Mark Ryder
 Portfolio Holders - Councillor Hayfield (Education & Learning)

2019/20 Savings

Savings Proposal Title	2019/20			Reason for financial variation and any associated management action
	Target £'000	Actual to Date £'000	Forecast Outturn £'000	
Access and Organisation; a reduction in planning costs, the removal of funding for vacant sites and removing the provision for the set-up costs of new schools	35	35	35	
Stop funding redundancy costs for schools and only provide for existing commitments	121	121	121	School redundancy payments stopped in 2018/19
Total	156	156	156	
Target		156	156	
Remaining Shortfall/(Over Achievement)		0	0	

2019/20 to 2021/22 Capital Programme

		Approved Budget					Forecast					Variation		Reasons for Variation and Management Action	
Project	Description	Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Variance in Year £ 000's	Total Variance £ 000's		
Learning - Devolved															
10554000	Devolved/School Level Budgets 2010/11 (Self-financed)	9,334	1,520	0	0	10,854	9,334	1,520	0	0	10,854	0	0		
Learning - Non Schools															
11399000	CMS Musical Instruments 2015/16-2017-18	80	22	0	0	102	80	22	0	0	102	0	0		
11556000	Education MIS	426	0	0	0	426	426	0	0	0	426	0	0		
11557000	Early Years Capital Fund / Knightlow Children's Partnership	196	0	0	0	196	196	0	0	0	196	0	0		
11558000	Early Years Capital Fund / Nic Nac Pre-School	174	0	0	0	174	174	0	0	0	174	0	0		
11559000	Early Years Capital Fund / Acorn Wood Day Nursery	195	0	0	0	195	195	0	0	0	195	0	0		
11560000	Early Years Capital Fund / Brooklyn Day Nursery	0	0	0	0	0	0	0	0	0	0	0	0		
11583000	Early Years Capital Fund / Dunchurch Infants	132	54	0	0	186	132	54	0	0	186	0	0		
11715000	Marle Hall refurbishment works	35	0	0	0	35	35	0	0	0	35	0	0		
11750000	Pears Centre	0	10,640	500	0	11,140	0	10,640	500	0	11,140	0	0		
Learning - Other															
11393000	Minor Works Block Header 2015/16	663	0	0	0	663	663	0	0	0	663	0	0		
11476000	Nursery & pre school provision minor works	13	40	0	0	53	13	40	0	0	53	0	0		
11499000	Bidford Primary & Willow Tree Nursery separation works	33	4	0	0	37	33	0	0	0	33	-4	-4		
11571000	Bridges Childcare	58	0	0	0	58	58	0	0	0	58	0	0		
11573000	Planning & Development block header 17/18	24	176	0	0	200	24	176	0	0	200	0	0		
11621000	High Meadow Infant School - New Classrooms, group rooms and Toilets	257	487	1,590	0	2,335	257	487	1,590	0	2,335	0	0		
11630000	Minor Works 18/19	158	130	0	0	288	158	130	0	0	288	0	0		
11633000	Weddington Nursery Provision - demolition and new build	6	0	0	0	6	6	0	0	0	6	0	0		
11678000	Seedlings Nursery HRI Wellesbourne	0	120	0	0	120	0	120	0	0	120	0	0		
11682000	Temporary classroom removal	54	96	0	0	150	54	96	0	0	150	0	0		
11683000	Healthy Pupil Capital Fund	0	0	0	0	0	0	0	0	0	0	0	0		
Primary - expansion															
11073000	All Saints Junior Extension (Pupil Places) Warwick	932	1	0	0	933	932	0	0	0	932	-1	-1	Project complete, underspent	
11102000	Newdigate Primary (Pupil Places) Bedworth	878	0	0	0	878	878	0	0	0	878	0	0		
11255000	Paddox School extension - targeted basic need	2,688	0	0	0	2,688	2,688	0	0	0	2,688	0	0		
11263000	Long Lawford extension (pupil places)	773	0	0	0	773	773	0	0	0	773	0	0		
11351000	Former Bridgeway CSS Centre - New KS2 Annexe For All Saints CE Infant School Bedworth	870	0	0	0	870	870	0	0	0	870	0	0		
11386000	Long Lawford Primary permanent expansion	2,259	882	0	0	3,141	2,259	882	0	0	3,141	0	0		
11389000	All Saints Primary, Nuneaton, replace temporary classrooms with new extension	752	0	0	0	752	752	-59	59	0	752	-59	0		
11401000	Hillmorton Primary Permanent Expansion	3,041	1	0	0	3,042	3,041	0	0	0	3,041	-1	-1		
11468000	Oakfield Primary expansion (Academy)	530	0	0	0	530	530	-79	0	0	451	-79	-79		
11470000	Nathaniel Newton Infants, extension re bulge class	182	4	0	0	186	182	4	0	0	186	0	0		
11471000	The Ferncumbe Primary School	100	20	0	0	120	100	0	20	0	120	-20	0		
11493000	Coleshill Church of England Primary School - contribution to additional classroom for bulge class	271	5	0	0	275	271	5	0	0	275	0	0		
11500000	Northlands Primary School - bulge class additional toilets & security door relocation	73	1	0	0	74	73	0	0	0	73	-1	-1		
11565000	Ettington Primary School	60	0	0	0	60	60	0	0	0	60	0	0		
11566000	The Ferncumbe Primary School	59	470	0	0	530	59	470	0	0	530	0	0		
11568000	Welford on Avon Primary School	193	1,579	0	0	1,772	193	1,659	0	0	1,852	80	80		
11570000	Coten End Kitchen Extension	168	3	0	0	171	168	0	0	0	168	-3	-3	Project complete, underspend budget £3,229	
11497000	Acorns Primary School, Long Compton - new temporary classroom	39	221	0	0	260	39	221	0	0	260	0	0		
11620000	Newdigate Primary School - Expansion and Internal refurb	304	960	475	0	1,739	304	110	1,326	0	1,740	-850	1		
11627000	Wellesbourne Primary School - new small hall and servery to the annex site	131	794	0	0	925	131	794	0	0	925	0	0		
11628000	Michael Drayton Primary - Expansion	1,250	1,235	0	0	2,484	1,250	1,235	0	0	2,484	0	0		
11646000	Barford St Peters Primary	234	17	0	0	252	234	17	0	0	252	0	0		
11647000	Coleshill Primary	291	25	0	0	316	291	25	0	0	316	0	0		
11738000	Harbury Primary, Internal redevelopment and reconfiguration	0	60	0	0	60	0	60	0	0	60	0	0		
11739000	Harbury Pre School, Reconfiguration	0	23	0	0	23	0	23	0	0	23	0	0		
11740000	Bidford Bright Stars Nursery, External Equipment	0	58	0	0	58	0	58	0	0	58	0	0		
Primary - new															

Project	Description	Approved Budget					Forecast					Variation		Reasons for Variation and Management Action
		Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Variance in Year £ 000's	Total Variance £ 000's	
11313000	Aylesford Primary School - new primary provision at Aylesford school	3,006	10	0	0	3,016	3,006	10	0	0	3,016	0	0	
11384000	New School, The Gateway, Rugby	50	1,100	2,000	2,265	5,415	50	350	2,750	2,265	5,416	-750	0	Additional funding of £2,265,433 was approved by Cabinet on 14th November 2019. Slippage of £750,000 in 2019-20 is due to the delay of land transfer from the Developer.
11391000	New school, South Warwick (Heathcote Farm site)	3,569	90	0	0	3,659	3,569	90	0	0	3,659	0	0	
11480000	Water Orton Primary School (re HS2 Conditional)	4,807	1,343	0	0	6,150	4,807	1,343	0	0	6,150	0	0	
Primary - other														
11319000	Eastlands Primary Temporary Classroom	107	35	60	0	202	107	35	60	0	202	0	0	
11321000	Long Lawford Pri temporary classroom	364	6	0	0	371	364	6	0	0	371	0	0	
Schools Access														
11267000	2013-14 Schools Disability Access block header	671	0	0	0	671	671	0	0	0	671	0	0	
11479000	Access works for SEN 16-17	169	0	0	0	169	169	0	0	0	169	0	0	
11629000	DDA Blockheader 18/19	675	8	0	0	683	675	18	0	0	693	10	10	Additional spend of £10,000 is due to extra works required on DAG project. This is to be funded from Project 11728000 .
11728000	DDA Blockheader 19/20	0	400	0	0	400	0	374	0	0	374	-26	-26	Aditonal spend of £26328 due to extra works on DAG to support project: 1162900
Secondary - expansion														
11472000	Kineton High School	3167	125	0	0	3,291	3,167	0	125	0	3,291	-125	0	Forecast for 2020/21 due to project delay, Kineton project 11472000
11619000	Campion Phase 1 (incl Sports Hall Refurb)	572	4,728	2,267	0	7,567	572	4,728	2,267	0	7,567	0	0	
11645000	Coleshill Secondary School	459	2,735	0	0	3,194	459	2,735	0	0	3,194	0	0	
11681000	Polesworth PSBP2	0	200	0	0	200	0	200	0	0	200	0	0	
Secondary - new														
11730000	New School Leamington	0	350	0	0	350	0	350	0	0	350	0	0	
Secondary - other														
11498000	Etone Secondary School grounds resurfacing & expansion enabling works	41	34	0	0	75	41	0	0	0	41	-34	-34	
SEN - other														
11180000	Welcombe Hills vehicle access alterations	8	442	0	0	450	8	0	442	0	450	-442	0	
11406000	SEN Resource base provision - Primary schools	0	0	0	0	0	0	0	0	0	0	0	0	
11408000	Boughton Leigh Junior Specilist Inclusion Support Group	11	0	0	0	11	11	-11	0	0	0	-11	-11	
11495000	Stockingford Primary School new SISG module building	358	7	0	0	365	358	7	0	0	365	0	0	
11569000	Paddox Primary SISG	8	405	0	0	414	8	405	0	0	414	0	0	
11589000	SEND facilities block	48	203	0	0	250	48	203	0	0	250	0	0	
11631000	Specialist Nurture Provision at Special School	0	200	0	0	200	0	200	0	0	200	0	0	
SEN - expansion														
11622000	Oakwood Special School - Conversion of music room to specialist teaching room	26	0	0	0	26	26	0	0	0	26	0	0	
11729000	Oakwood Special School - Conversion of ICT Room	0	85	0	0	85	0	85	0	0	85	0	0	
11623000	Ridgeway School - Reconfiguration of classrooms	0	0	60	0	60	0	0	60	0	60	0	0	
11624000	Round Oak School - Reconfiguration of classrooms	0	0	190	0	190	0	0	190	0	190	0	0	
11641000	Keeping SEND children local	0	190	0	0	190	0	190	0	0	190	0	0	
11680000	Exhall Grange Modular Pod	536	385	0	0	920	536	385	0	0	920	0	0	
SEN - new														
11350000	New AEN School McIntyre Discovery Academy (Former Manor Park)	6,007	40	0	0	6,047	6,007	0	0	0	6,007	-40	-40	
11644000	Water Orton Evergreen Unit	10	640	0	0	650	10	640	0	0	650	0	0	
11741000	The Avon Valley school, Rugby	0	0	0	0	0	0	0	0	0	0	0	0	
11736000	Weddington Primary School - Bulge Class	0	150	0	0	150	0	150	0	0	150	0	0	
11737000	Southam Primary/Pre School, Pre School relocation	0	424	0	0	424	0	424	0	0	424	0	0	
11742000	The Avon Valley School, Alternative Provision Accommodation	0	28	0	0	28	0	28	0	0	28	0	0	
11262000	Cawston Grange extension (pupil places)	0	0	0	0	0	0	12	0	0	12	12	12	
11331000	Newburgh Primary School - New Play Area	0	0	0	0	0	0	7	0	0	7	7	7	
Grand Total		52,588	34,009	7,142	2,265	96,004	52,588	31,674	9,388	2,265	95,915	-2,336	-89	

2019/20 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Variation and Management Action
	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Service Delivery - Operational Response	11,578	11,587	9	(20)	(39)	(19)	11,558	11,548	(10)	Although this service area is presenting a balanced forecast it does not reflect the incresing level of expenditure against the crewing pool required to maintain operational availability. Once the new recruits are allocated to stations this pressure should be reduced. In additon to this the Service are continually taking action to reduce sickness absence.
Service Delivery - Prevention	718	816	98	(253)	(275)	(22)	465	541	76	The Service has filled specialist functions in Prevention to support the work that is being carried out in partnership with Public Health. This is funded from a position being held vacant within the Operational Response service above.
Service Delivery - Planning & Protection	977	973	(4)	(1)	(3)	(2)	976	970	(6)	
Service Delivery - Fire Control	865	864	(1)	(64)	(64)	0	801	800	(1)	
Service Support - Technical Support	2,233	2,385	152	0	0	0	2,233	2,385	152	The Service has a need to maintain capacity within the Technical Support Department to cover long term sickness absence. In addition to this there are a number of small pieces of operational equipment that need maintenance/replacement. The plan is to fund this expenditure from the Service Saving Reserve at year end.
Service Support - Training & Development	1,699	1,958	259	(161)	(142)	19	1,538	1,816	278	The pending implementation of corporate HR Policy in relation to flexible retirement, along with the drive to streamline systems has delayed the achievement of savings within Health & Safety. The Service will continue to monitor progress, and identify any required management action. In addition to this the Service is running two recruitment campaigns during 2019/20. It is anticipated that the additional training cost of the new recruits coupled with the need to outsource breathing apparatus training, as a result of the delay in the completion of WFRS new training facility, will cost approximately £200k. This will be funded from the specific training reserve at year end.
Service Improvement - Business Transformation & Projects	372	425	53	0	(88)	(88)	372	337	(35)	Additional Home Office grant funding will need to be contributed to the ESN reserve at year end to fund project expenditure in 2020-21. This underspend is off-setting expenditure relating to the purchase of a new IT system "Dynamic Cover Tool" used to ensure operational resources are best placed. A request to drawdown funding from the FRS Replacement System Reserve would be expected at year end.
Brigade Management	833	850	17	0	0	0	833	850	17	
Service Support - HR, IT, Finance & Pensions	1,550	1,477	(73)	(3)	0	3	1,547	1,477	(70)	No ill-health retirements are expected during 2019/20.
Net Service Spending	20,825	21,335	510	(502)	(611)	(109)	20,323	20,724	401	

Chief Fire Officer - Kieran Amos
 Strategic Director - Mark Ryder
 Portfolio Holders - Councillor Crump (Fire and Community Safety)

2019/20 Reserves

Reserve	Approved Opening Balance 01.04.19 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31.03.20 £'000	Transfer Request (To)/From Reserves £'000	Reason for Request
Pensions Reserve	268	0	0	268		
Fire Control Project	153	0	0	153		The Service is currently in the process of settling the final stage payments for the Vision Command & Control System.
Service Savings Reserve	525	0	(296)	229		The Service would expect to draw down from this reserve at year end to fund planned expenditure.
Fire Services - ESMCP	583	0	88	671		The Service would expect to transfer this grant funding into reserve at year end to support project expenditure during 2020/21.
Replacement Systems FRS Project	470	0	(1)	469		
Vulnerable People	29	0	3	32		
Operational Training	195	0	(195)	0		The Service would expect to draw down from this reserve at year end to fund planned expenditure.
Fire Protection	0	602		602		As approved at Cabinet 12th September 2019 (from General Reserves)
Total	2,223	602	(401)	2,424	0	

Chief Fire Officer - Kieran Amos
 Strategic Director - Mark Ryder
 Portfolio Holders - Councillor Crump (Fire and Community Safety)

2019/20 Savings

Savings Proposal Title	2019/20			Reason for financial variation and any associated management action
	Target £'000	Actual to Date £'000	Forecast Outturn £'000	
Reduce the budget for pensions and ill-health retirements	100	100	100	
Introduction of a single control room as part of the work on the MoU with West Midlands	300	0	0	A full business case for the provision of a joint control room with West Midlands Fire Service was considered by the Collaborative Programme Board on 16/04/2019, the outcome of this resulted in Warwickshire maintaining its existing single control room function. As a result the savings related to this proposal will not be realised and the Service is seeking to address this through its wider transformation agenda.
Use of reserves (one-off) to provide funding for phasing as it is unlikely the control room savings will materialise in 2019/20	(300)	0	0	
Asset reductions and reconfiguration of fleet maintenance	85	85	85	
Health and Safety services	46	46	46	
Review of whole-time deployment, with a view to reducing the number of whole-time firefighters	138	138	138	
Total	369	369	369	
Target		369	369	
Remaining Shortfall/(Over Achievement)		0	0	

2019/20 to 2021/22 Capital Programme

Project	Description	Approved Budget					Forecast					Variation		Reasons for Variation and Management Action
		Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Variance in Year £ 000's	Total Variance £ 000's	
11660000	Vehicle Replacement Programme 2018/19	55	0	0	0	55	55	0	0	0	55	0	0	
11726000	Vehicle Replacement Programme 2019/20	0	931	0	0	931	0	931	0	0	931	0	0	
Sub Total - F&R Self Financing Projects		55	931	0	0	986	55	931	0	0	986	0	0	
11300000	Equipment for new Fire Appliances 2017/18	139	0	0	0	139	139	0	0	0	139	0	0	
11448000	Equipment for new Fire Appliances 2018/19	31	0	0	0	31	31	0	0	0	31	0	0	
11544000	Equipment for new Fire Appliances 2019/20	0	246	0	0	246	0	166	80	0	246	-80	0	The delivery of new fire engines will now take place in 2020/21, therefore there will be a delay in the purchase of the associated operational equipment.
Sub Total - Projects Funded from Corporate Resources		170	246	0	0	416	170	166	80	0	416	-80	0	
11229000	New Fire & Rescue Centre Leamington Spa	3,141	0	0	0	3,141	3,141	0	0	0	3,141	0	0	
11601000	Fire & Rescue HQ Leamington Spa	15	0	2,278	0	2,293	15	42	2,236	0	2,293	42	0	This project has been placed on hold pending the outcomes from the wider county property rationalisation programme, however initial consultancy fees have already been paid.
Sub Total - F&R Future Estate Project		3,156	0	2,278	0	5,434	3,156	42	2,236	0	5,434	42	0	
11154000	Warwickshire Fire Control Provision - Funded from CLG Fire Control Grant	849	83	0	0	932	849	83	0	0	932	0	0	
Sub Total - Fire Control Project		849	83	0	0	932	849	83	0	0	932	0	0	
11374000	Training Centre - New Build	1,412	0	700	0	2,112	1,412	0	700	0	2,112	0	0	
11600000	WFRS Water Training Facility	0	0	0	0	0	0	0	0	0	0	0	0	
11700000	F&R Training Programme: Radford Road	0	9	1,524	0	1,533	0	9	1,524	0	1,533	0	0	
11701000	F&R Training Programme: Stratford	0	204	0	0	204	0	204	0	0	204	0	0	
11702000	F&R Training Programme: Kingsbury	0	797	150	0	947	0	797	150	0	947	0	0	
11703000	F&R Training Programme: EA Water site	0	226	200	0	426	0	226	200	0	426	0	0	
Sub Total - F&R Training Programme		1,412	1,236	2,574	0	5,222	1,412	1,236	2,574	0	5,222	0	0	
11766000	WFRS Emergency Services Network - Phase 1	0	201	732	0	933	0	201	732	0	933	-0	0	This funding was approved by Cabinet on 14/11/2019 from the Capital Investment Fund. Work will commence in 2019/20 but will not be completed until 2020/21.
Sub Total - F&R Emergency Services Network		0	201	732	0	933	0	201	732	0	933	-0	0	
Grand Total		5,642	2,698	5,583	0	13,923	5,642	2,659	5,622	0	13,923	-39	0	

Strategic Commissioner - Communities - Dave Ayton-Hill

Strategic Director - Mark Ryder

Portfolio Holders - Councillor Clarke (Transport & Environment), Heather Timms, Isobel Seccombe

2019/20 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Variation and Management Action
	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Communities	1,010	1,108	98	(69)	(75)	(6)	941	1,033	92	Unrealised savings target and over budget on legal charges offset by in year salary savings.
Transport & Highways	8,636	8,607	(29)	(8,134)	(7,762)	372	502	845	343	Unrealised savings target in parking management of £0.427m and Road Safety / Speed Awareness forecast underspend of £64k.
Infrastructure & Sustainable Communities	3,060	3,207	147	(1,304)	(1,409)	(105)	1,756	1,798	42	There are unrealised savings targets, and budgetary pressures of £385k across the group which have been mitigated on a one-off basis by additional income generation, salary savings and cost savings.
Waste & Environment	22,256	22,433	177	(3,179)	(3,333)	(154)	19,077	19,100	23	Some variances but overall a balanced position is forecast. There remain risks that could mean the net position changes.
Economy & Skills	3,525	3,447	(78)	(2,641)	(2,458)	183	884	989	105	There is an overspend of £236k across the Business Centres to support Capital improvements which will partially (£150k) be met from reserves. This has been offset by a £122k underspend in Strategic Economic development due to the profiling of the Business Support programmes and grant funding.
Net Service Spending	38,487	38,802	315	(15,327)	(15,037)	290	23,160	23,765	605	

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Portfolio Holders - Councillor Clarke (Transport & Environment), Heather Timms, Isobel Seccombe

2019/20 Reserves

Reserve	Approved Opening Balance 01.04.19 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31.03.20 £'000	Transfer Request (To)/From Reserves £'000	Reason for Request
Waste Management	0			0		
Local Resilience Forum - Brexit Funding	38	(38)		0		
Community Services - Trading	51			51		
Communities - Savings	761		(655)	106		
Business Centres	150			150		
Speed Workshops	813			813		
Kenilworth Station	500			500		
Development Group Realignment Costs	75	(75)		0		
European Match Funding	276	(110)	50	216	50	Business Support projects have been re-profiled and will carry on into 2020/21. We would only usually draw down what was needed but the whole amount was drawn down at the start of the year due to the new reserves policy.
Skills Delivery for Economic Growth	206	(110)		96		
Rural Growth Network	278	(110)		168		
Womens Cycle Race 2016	200	(200)		0		
Total	3,348	(643)	(605)	2,100	50	

Strategic Commissioner - Communities - Dave Ayton-Hill
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 Portfolio Holders - Councillor Clarke (Transport & Environment), Heather Timms, Isobel Seccombe

2019/20 Savings

Savings Proposal Title	2019/20			Reason for financial variation and any associated management action
	Target £'000	Actual to Date £'000	Forecast Outturn £'000	
Waste Management - a reduction in the waste tonnage going to landfill	193	193	193	Moving waste away from landfill is delivering environmental as well as financial savings.
Communities Resources - a reduction in activity and staffing to focus on statutory activity such as freedom of information requests and information governance matters.	21	21	21	
Increased income from the current portfolio of business centres as a result of sustained higher levels of occupancy and through pro-active measures to improve service quality to enable increased rents in line with market conditions.	30	30	30	
Increased income by developing portfolio of business centres, creating new units in areas of demand to support local economic growth and generate a positive financial return to the Council	80	80	80	Whilst there has not been any addition to the portfolio as per the original savings targets, capital development work is being carried out within the existing portfolio to create new revenue income streams for the future. It is hoped that this savings target will therefore be mitigated via this different route and other savings across the portfolio.
Reduction in depot maintenance costs as a result of rationalising depots to a single south depot.	75	75	75	
Increase parking income as a result of re-tendering for the Civil Parking Enforcement operation, increased residential parking permits and onstreet parking charges	44	44	44	
Increased income by the introduction of a new charging schedule for parking permits, including a consideration of a business parking permit scheme.	698	330	330	The new charging scheme has not been implemented, but some of the savings target has been mitigated in year.
Total	1,141	773	773	
Target		1,141	1,141	
Remaining Shortfall/(Over Achievement)		368	368	

Strategic Commissioner - Communities - Dave Ayton-Hill
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Portfolio Holders - Councillor Clarke (Transport & Environment), Heather Timms, Isobel Seccombe

2019/20 to 2021/22 Capital Programme

Project	Description	Approved Budget					Forecast					Variation		Reasons for Variation and Management Action
		Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and £ 000's	Total £ 000's	Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and £ 000's	Total £ 000's	Variance in Year £ 000's	Total Variance £ 000's	
Area Delegated Funded Schemes														
10491000	Hwys Maint/Road Safety 2013/14 Rugby Area Com	559	0	0	0	559	559	0	0	0	559	0	0	
11275000	Nuneaton and Bedworth Area Committee	476	0	0	0	476	476	0	0	0	476	0	0	
11276000	Rugby Area Committee	416	0	36	0	452	416	0	36	0	452	0	0	
11278000	Warwick Area Committee	430	0	0	0	430	430	0	0	0	430	0	0	
11354000	Area Delegated Funding 17-18	29	10	240	0	279	29	10	295	0	335	0	56	schemes transferred to the unallocated budget
11394000	Transport & Roads Area Delegated Funding	516	8	0	0	525	516	8	0	0	525	0	0	
11395000	Street Lights Area Delegated Funding	162	0	0	0	162	162	0	0	0	162	0	0	
11396000	County Highways Area Delegated Funding	275	39	0	0	314	275	39	0	0	314	0	0	
11398000	Design Services Area Delegated Funding	149	11	0	0	160	149	0	11	0	160	-11	0	Scheme to be completed in new year 20/21
11452000	Area Delegated Funding 18-19	0	0	2,981	0	2,981	0	0	2,405	0	2,405	0	-576	new schemes allocated from the unallocated budget
11483000	Delegated Budget 2016-17 Traffic Signals & pedestrian crossings	97	0	0	0	97	97	0	0	0	97	0	0	
11485000	Delegated Budget 2016-17 Road Safety	501	66	0	0	566	501	66	0	0	566	0	0	
11487000	Delegated Budget 2016-17 Transport Planning	112	13	0	0	125	112	13	0	0	125	0	0	
11488000	Delegated Budget 2016-17 Casualty reduction	158	79	0	0	237	158	79	0	0	237	0	0	
11489000	Delegated Budget 2016-17 Street Lighting	17	0	0	0	17	17	0	0	0	17	0	0	
11490000	Delegated Budget 2016-17 Programmes	410	137	0	0	547	410	137	0	0	547	0	0	
11547000	Area Delegated Funding 19-20	0	0	0	0	0	0	0	0	0	0	0	0	
11588000	Delegated Budget For Traffic Signals Gaf Din 2017 /2018	1	5	0	0	6	1	5	0	0	6	0	0	
11590000	Delegated Budget 2017-18 Road Safety	612	167	0	0	779	612	176	0	0	789	9	9	increased costs
11592000	Delegated 17-18 County Highways	516	140	0	0	656	516	69	0	0	585	-71	-71	£68,886 back to the unallocated budget 11354002
11593000	Delegated Budget 2017-18 Transport Planning	41	9	0	0	50	41	9	0	0	50	0	0	
11594000	Delegated Budget 2017-18 Street Lighting	14	2	0	0	16	14	2	0	0	16	0	0	Increased costs budget offset budget to match
11652000	Jo Edwards Delegated Schemes 2018 2019	301	696	0	0	997	301	697	0	0	998	1	1	
11653000	John Grant Delegated Schemes 2018 2019	645	182	0	0	827	645	182	0	0	827	0	0	
11654000	Gaf Din Delegated Schemes 2018 2019	0	0	0	0	0	0	0	0	0	0	0	0	
11655000	Mike Cunningham Delegated Schemes 2018 2019	7	0	0	0	7	7	1	0	0	7	0	0	Increased costs offset budget to match
11656000	Nigel Whyte Delegated Schemes 2018 2019	75	6	0	0	81	75	12	0	0	86	5	5	Increased Scheme Budget - 11656003
11721000	Traffic Signals Delegated Budget 2019 2020	0	0	0	0	0	0	0	0	0	0	0	0	
11722000	St Lighting Delegated Budget 2019 2020	0	6	0	0	6	0	6	0	0	6	0	0	
11723000	County Highways Base Delegated Budget 2019 2020	0	272	0	0	272	0	544	0	0	544	272	272	new schemes allocated
11724000	Traffic Road Safety Delegated Budgets 2019 2020	0	683	0	0	683	0	886	0	0	886	203	203	New schemes allocated
11725000	Bus Shelter Infrastructure 2019 2020 Delegated Budgets	0	91	0	0	91	0	158	0	0	158	67	67	New Scheme Added - 11725010
10661000	HPCF - Healthy Pupils Capital Grant	0	0	0	0	0	0	0	0	0	0	0	0	
Integrated Transport - Cycle Schemes														
10324000	Lawford Road Cycle Route	498	19	0	0	517	498	0	0	0	498	-19	-19	Scheme complete. No further funding required.
10385000	Warwick, Myton Rd Cycle Link (Myton and Warwick School)	151	0	0	0	151	151	0	0	0	151	0	0	
10434000	North West Warwick Cycle Scheme	781	0	0	0	781	781	0	0	0	781	0	0	
11330000	Fillongley Crossroads realigning crossroad junction	232	0	0	0	232	232	0	0	0	232	0	0	
11762000	Nuneaton to Coventry Cycle Route	0	20	300	692	1,012	0	20	300	692	1,012	0	0	Capital invesment funded project - added Cabinet 14/11/2019
11765000	Hinckley to Nuneaton Cycle Route	0	15	260	163	438	0	15	260	163	438	0	0	Capital invesment funded project - added Cabinet 14/11/2019
Integrated Transport - Other Schemes														
11456000	Stratford Park & Ride site alterations	87	12	0	0	99	87	12	0	0	99	0	0	
11650000	Electric Vehicle Charging Points	15	0	0	0	15	15	0	0	0	15	0	0	
11710000	Land at Crick Road Rugby (Rugby Parkway)	0	437	2,200	0	2,637	0	150	2,487	0	2,637	-287	0	Land negotiations are not as advanced as originally programmed. Changes have been made to the planning application which has delayed this aspect of the work.
Integrated Transport - Public Transport														
11325000	Stratford Town Station Upgrade	127	110	0	0	237	127	110	0	0	237	0	0	
Economic Development														
10154000	Centenary Business Centre Phase 3	1,883	7	0	0	1,890	1,883	7	0	0	1,890	0	0	
10258000	Nuneaton and Bedworth Town Centre - Queens Road West Improvements	634	36	50	0	720	634	36	50	0	720	0	0	
11425000	Capital Growth Fund Business Loans and Grants	1,663	224	243	171	2,300	1,663	225	195	617	2,700	2	400	Future forecasts now include capital re-payments on latest WCC loan to delivery partner. Increased spend in later years funded by these capital re-payments and "recycling" of the funding.
11549000	Vicarage Street Site Investigations	30	0	0	0	30	30	0	0	0	30	0	0	
11596000	Eliot Park Innovation Centre - improvements to the car park	462	10	0	0	472	462	0	0	0	462	-10	-10	Project completed no further spend anticipated
11612000	Capital Investment Fund/ Duplex Fund	0	700	992	308	2,000	0	700	992	308	2,000	0	0	
11613000	Capital Investment Fund/ Small Business Grants	169	270	361	200	1,000	169	270	361	200	1,000	0	0	
11668000	Business Centre Strategy	91	59	0	0	150	91	255	0	0	346	196	196	Increased costs of utilities and subsequent development of business club accomodation
11536004	Country Parks Car Parking Area, Ryton	0		0	0	0	0	0	0	0	0	0	0	
Economic Development - Transforming Nuneaton														
11746000	Transforming Nuneaton - Coop Building Purchase	0	1,500	0	0	1,500	0	1,500	0	0	1,500	0	0	
11611000	Transforming Nuneaton	165	4,220	3,170	0	7,555	165	4,220	3,170	0	7,555	0	0	
Major Transport Projects														
10362000	Kenilworth Station	13,003	905	0	0	13,908	13,003	25	880	0	13,908	-880	-0	Adjudication not crystalised in 2019/20
10366000	Stratford-upon-Avon Local Sustainable	5,597	0	0	0	5,597	5,597	0	0	0	5,597	0	0	
10981000	NUCKLE	1,897	0	0	0	1,897	1,897	0	0	0	1,897	0	0	
11339000	Bermuda Connectivity	1,623	1,500	4,078	1,700	8,900	1,623	873	4,705	1,700	8,900	-627	0	An extended period of voluntary negotiations has delayed securing the parcels of land required to deliver the Scheme and support construction works. The knock-on effect is that procurement of the construction contract will not get underway until later in 2019-20 upon completion of the land arrangements, and subsequently, construction work will not commence until Spring 2020. The Q3 Forecast reflects that no transactions regarding the construction contract are expected to be initiated during the remainder of 2019-20 resulting in a considerable level of underspend.
Waste Management														

Project	Description	Approved Budget					Forecast					Variation		Reasons for Variation and Management Action
		Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and £ 000's	Total £ 000's	Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and £ 000's	Total £ 000's	Variance in Year £ 000's	Total Variance £ 000's	
10207000	Waste Strategy - Waste Treatment & Transfer Facility	1,529	34	0	0	1,563	1,529	34	0	0	1,563	0	0	
10454000	Lower House Farm	5,596	0	0	0	5,596	5,596	0	0	0	5,596	0	0	
11303000	HWRC Maintenance 2016/17	46	0	0	0	46	46	0	0	0	46	0	0	
11304000	HWRC Maintenance 2017/18	54	0	0	0	54	54	0	0	0	54	0	0	
11450000	HWRC Maintenance 2018/19	25	0	0	0	25	25	0	0	0	25	0	0	
11535000	HWRC Maintenance 2019/20	0	104	0	0	104	0	80	24	0	104	-24	-0	2019/20 under spend currently projected but this may vary if more much needed capital works can be completed this year.
11714000	Waste Handling and compaction equipment HWRC	0	581	0	0	581	0	581	0	0	581	0	0	Four new compactors have been purchased and delivered. These have been greatly appreciated and are ensuring better more reliable service delivery.
Countryside														
10260000	Leam. To Rugby Disused Railway Line - 2002/03	73	27	0	0	100	73	27	0	0	100	0	0	
11022000	Countryside Maintenance - Base Programme 2012/13	606	0	0	0	606	606	0	0	0	606	0	0	
11218000	Countryside Rural Services Capital Maintenance 2015/16	435	0	0	0	435	435	0	0	0	435	0	0	
11301000	Countryside Rural Services Capital Maintenance 2016/17	362	0	0	0	362	362	0	0	0	362	0	0	
11302000	Countryside Rural Services Capital Maintenance 2017/18	226	0	0	0	226	226	0	0	0	226	0	0	
11449000	Countryside Rural Services Capital Maintenance 2018/19	106	0	0	0	106	106	0	0	0	106	0	0	
11536000	Countryside Rural Services Capital Maintenance 2019/20 £20k to be removed for Env Svcs	0	289	0	0	289	0	155	134	0	289	-134	0	Due to flooding and poor weather conditions further capital projects would not be able to be completed in this financial year due to timescale slippage on some current projects. However next year it is likely we will need to invest heavily in robust path maintenance works esp at Kingsbury so this capital will be important to accomodate those improvements for the public access.
Developer Funded Transport - s106 schemes														
10332000	Rugby, Mill Road	605	0	0	0	605	605	0	0	0	605	0	0	
11194002	New Bus Shelter on Tachbrook Park Drive near Leamington	12	1	0	0	13	12	1	0	0	13	0	0	
11194010	Install bollards & associated traffic management - historic spine Stratford	11	39	0	0	50	11	39	0	0	50	0	0	
11195006	S106 Traffic Calming and Signage Improvements for Bidford-on- Avon	19	26	0	0	45	19	26	0	0	45	0	0	
11196004	Minor wks Coton Park Drive & Stonechat Rd Rbt.	53	0	0	0	53	53	0	0	0	53	0	0	
11418000	A426 Gateway Rugby to Rugby Town Centre Cycle Scheme	23	40	245	0	307	23	20	265	0	307	-20	0	Delivery of first phase of scheme now anticipated in early 2020/21.
11441004	Weddington Road , Nuneaton Implement Toucan Crossing	1	80	101	0	183	1	80	101	0	183	0	0	
11441005	S106 Funded Bus Stop Enhancement Works (Salford Road Bidford)	24	0	0	0	24	24	0	0	0	24	0	0	
11441007	S106 2 Bus shelters at bus stops on Narrow Hall Meadow nr GP Surgery	0	0	20	0	20	0	0	20	0	20	0	0	
11441009	Bus Stop Opposite Land Between 256 and 346 Bham Road Stratford	16	0	0	0	16	16	0	0	0	16	0	0	
11441010	Birmingham Road Cycle Route enhancements	5	11	0	0	16	5	11	0	0	16	0	0	
11441013	Enhance Existing Bus Stops Land Adj to the Gaydon Inn Banbury Road	5	18	0	0	23	5	18	0	0	23	0	0	
11441014	Highways improvements to bus stops at land off the Longshoot S106	8	23	0	0	31	8	23	0	0	31	0	0	
11441015	Relocation of Northbound bus stop on Wellesbourne Rd in Barford	9	0	0	0	9	9	0	0	0	9	0	0	
11552002	Northgate Junction improvements	0	0	0	0	0	0	0	0	0	0	0	0	
11607000	Southbound bus stop on A426 Leicester Road Rugby	15	23	0	41	80	15	23	0	41	80	0	0	
11614000	Bus Stop Enhancement Works In Alderminster	14	7	0	0	21	14	0	0	0	14	-7	-7	Scheme complete leaving an underspend.
11615000	Provision Of Replacement Bus Shelter On Kinwarton Rd,Alcester	10	6	0	0	15	10	0	0	0	10	-6	-6	Scheme complete leaving an underspend.
11640000	Upgrading of existing bus stops infrastructure Alcester Road, Shottery in	14	0	0	0	14	14	0	0	0	14	0	0	
11690000	Provision Of Bus Stops Ettington Road Wellesbourne	3	18	0	0	21	3	18	0	0	21	0	0	
11691000	Provision Of Bus Stops & Upgrade Existing Infra Salford Rd Bidford	4	78	0	0	82	4	78	0	0	82	0	0	
11692000	Upgrade Existing Shared Ped / Cycle Path Bermuda	0	23	0	0	23	0	12	11	0	23	-11	0	Scheme delayed due to extended voluntary land negotiations.
11704000	Barford Safety Junction	8	220	0	0	228	8	50	170	0	228	-170	0	Carrying over into next financial year
TBA	Campden Road (B4035), Shipston-on-Stour NEW BUS STOPS	0	0	0	0	0	0	0	0	0	0	0	0	
TBA	Mancetter Road / Camp Hill Road, Nuneaton BUS STOP	0	0	0	0	0	0	0	0	0	0	0	0	
Warwick Town Centre														
11552000	Warwick Town Centre transport proposals	574	376	0	0	950	574	376	0	0	950	0	0	
Integrated Transport - Safer Routes to Schools														
11281000	Safer routes to schools and 20mph school safety zones 15/16. Renamed	37	0	0	0	37	37	0	0	0	37	0	0	
11282000	Safer routes to schools and 20mph school safety zones 16/17. Renamed	73	8	0	0	81	73	8	0	0	81	0	0	
11635000	Home to School Routes 17-18	46	1,137	689	0	1,873	46	939	792	0	1,777	-198	-96	Due to the large number of small schemes currently being undertaken in a short space of time to
11635049	St Faiths Primary School , Alcester. Safer Routes To School	0	0	0	0	0	0	0	0	0	0	0	0	
11635048	B'ham Road, Stratford (Safer Routes to School)	0	0	0	0	0	0	0	0	0	0	0	0	
Integrated Transport - Safety Camera Schemes														
10192000	Safety Camera Funded Schemes	1,576	20	0	0	1,596	1,576	18	0	0	1,594	-2	-2	Reduced spend in 2019-20
11761000	Average Speed Cameras	0	0	1,764	0	1,764	0	0	1,764	0	1,764	0	0	New Capital Investment Project - addition, Cabinet 14/11/2019
Integrated Transport - School safety zones														
11359000	School Safety Zones 16/17	1,899	73	0	0	1,972	1,899	73	0	0	1,972	0	0	
11564000	School Safety Zones 17/18 A	643	184	0	0	828	643	184	0	0	828	0	0	
11585000	School Safety Zones 18/19	367	282	0	0	649	367	155	127	0	649	-127	0	Large number of traffic signal based schemes currently being delivered – 2 slipped schemes are
11586000	School Safety Zones 19/20	9	253	0	0	263	9	349	0	0	358	96	96	
Integrated Transport - Casualty Reduction Schemes														
11355000	Casualty Reduction Schemes 15/16	487	1,197	0	0	1,684	487	1,304	0	0	1,791	107	107	Portabello Crossroads additional CIF funding - added Cabinet 14/11/2019
11356000	Casualty Reduction Schemes 16/17	231	0	47	0	278	231	0	47	0	278	0	0	
11357000	Casualty Reduction Schemes 17/18	17	0	0	0	17	17	0	0	0	17	0	0	
11453000	Casualty Reduction Schemes 18-19	21	149	219	0	388	21	149	272	0	441	0	53	Scheme 11453004 increased budget of £53000 from Delegated budget Cllr Williams Warwick Area
11546000	Casualty Reduction Schemes 19-20	0	0	0	0	0	0	0	0	0	0	0	0	
11711000	Temple Hill / Lutterworth Road Wolvey Casualty Reduction Scheme	0	601	1,000	0	1,601	0	601	1,000	0	1,601	0	0	
11763000	A439 - Southern reduction Scheme	0	0	500	0	500	0	0	500	0	500	0	0	New Capital Investment Funded project , addition - Cabinet 14/11/19
11764000	Green Man Coleshill Signalised Junction	0	0	500	0	500	0	0	500	0	500	0	0	New Capital Investment Funded project , addition - Cabinet 14/11/19
11635047	Wootton Wawen (Signs & Lining)	0	0	0	0	0	0	0	0	0	0	0	0	
Grand Total		51,526	18,594	19,995	3,276	93,391	51,526	16,947	21,873	3,722	94,069	-1,647	678	

Social Care & Support - Pete Sidgwick
 Strategic Director - Nigel Minns
 Portfolio Holders - Councillor Caborn (Adult Social Care & Health)

2019/20 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Adult Social Care	11,587	10,252	(1,335)	(700)	(678)	22	10,887	9,574	(1,313)	Underspends due to early achievement of savings and ASC Transformation project underspends. Service to plan where/if this should be reinvested in one off schemes.
Disabilities	78,621	79,973	1,352	(8,966)	(9,201)	(235)	69,655	70,772	1,117	Learning Disabilities supported living is a continued pressure and area of £1.4m overspend over the North and South. This is mitigated by the £146k underspend in Physical Disabilities and the contingency budget held within the Service Manager budget.
Mental Health	9,961	11,508	1,547	(523)	(744)	(221)	9,438	10,764	1,326	Overspend on service budgets due to demographic pressures. AMH budget allocation is for 18-65 yrs old
Older People	75,049	76,651	1,602	(27,637)	(31,170)	(3,533)	47,412	45,481	(1,931)	In period movement has been small, close scrutiny of packages in Mosaic has increased confidence in the forecasts and reduced manual adjustments. Underspend has reduced by £127k, at budget setting we need to restate income and expenditure for purchasing to mitigate future variances.
Integrated Care Services	10,079	8,752	(1,327)	(231)	(162)	69	9,848	8,590	(1,258)	Underspend is a combination of reduced staffing costs due to continued vacancies across the service and reduced expenditure for AT equipment.
Development & Assurance	2,668	2,795	127	(1,170)	(1,001)	169	1,498	1,794	296	Transport overspend based on last year charge from Communities. Staffing overspend from extension to E2E project team secondments
Net Service Spending	187,965	189,931	1,966	(39,227)	(42,956)	(3,729)	148,738	146,975	(1,763)	

Social Care & Support - Pete Sidgwick
 Strategic Director - Nigel Minns
 Portfolio Holders - Councillor Caborn (Adult Social Care & Health)

2019/20 Reserves

Reserve	Approved Opening Balance 01.04.19 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31.03.20 £'000	Transfer Request (To)/From Reserves £'000	Reason for Request
Social Care and Support - Savings	13,803	3,000	1,763	18,566		
Total	13,803	3,000	1,763	18,566	0	

Social Care & Support - Pete Sidgwick
 Strategic Director - Nigel Minns
 Portfolio Holders - Councillor Caborn (Adult Social Care & Health)

2019/20 Savings

Savings Proposal Title	2019/20			Reason for financial variation and any associated management action
	Target £'000	Actual to Date £'000	Forecast Outturn £'000	
Service redesign for Social Care and Support teams (except Reablement - separate savings plan), reshaping the workforce to meet the future model of adult social care	550	550	550	
Use alternative 24 hour care options e.g. extra care housing and supported living	625	625	625	
Alternative solutions for low level needs for home care e.g. assistive technology, information, advice and community resources	184	184	184	
Remodel direct payment employment support services	150	150	150	Mitigated through DP underspend
Reshaping the information and advice contract aimed at supporting people to return home safely from hospital	100	100	100	
Reduction of demand through early intervention and prevention, with the demand for social care not increasing as budgeted in 2018/19	631	631	631	
Total	2,240	2,240	2,240	
Target		2,240	2,240	
Remaining Shortfall/(Over Achievement)		0	0	

2019/20 to 2021/22 Capital Programme

Project	Description	Approved Budget					Forecast					Variation		Reasons for Variation and Management Action
		Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	later £ 000's	Total £ 000's	Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	later £ 000's	Total £ 000's	Year £ 000's	Total Variance £ 000's	
10964000	CAF Development Team - Social Care IT 2010/11	0	100	250	0	350	0	100	250	0	350	0	0	
11555000	Extra Care Housing	0	2,000	1,313	0	3,313	0	2,000	1,313	0	3,313	0	0	
Grand Total		0	2,100	1,563	0	3,663	0	2,100	1,563	0	3,663	0	0	

2019/20 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Children & Families	7,207	5,346	(1,861)	(721)	(1,822)	(1,101)	6,486	3,524	(2,962)	Activity on Legal services would indicate that the full year OOP Savings will be achieved and there will be no over-spend on the £2.235m budget. The planned under-spend includes £1.1m contribution from Adult SC and permanent and one off budget being held to cover pressure points elsewhere in the unit and in preparation for the 2020/21 Budget.
Initial Response & Early Support	12,216	11,170	(1,046)	(1,803)	(1,381)	422	10,413	9,789	(624)	There is a mixed picture with overspends in MASH due to agency workers who have been required due to extremely high demand in June/July 19 and residual buildings work on de-commissioning Children Centres. Agency workers within MASH and Initial Response will remain until fixed term staff are recruited to cover their vacancies . This is off-set due to vacancies in teams due to challenges in recruiting/and or having deleted a number of posts have contributed to underspends in some areas. Internal foster-care and external foster-care is £29,000 and £66,000 underspending respectively.
Children's Safeguarding & Support	23,774	29,808	6,034	(1,049)	(1,244)	(195)	22,725	28,564	5,839	Internal foster-care is currently predicting a £777,000 over-spend whilst external foster-care is showing a £1,756,000 over-spend. Residential Placements are forecasting to be heavily over-spent by £3,250,000. Numbers are currently 19. The predicted residential cost is now 300% over budget, with the average weekly unit cost is £4,470 per week which is partly due to greater care needs of individual children. Parent and baby placements forecast for known and expected new placements is predicting an over spend of £166,000. Allowances are in total over-spending by £103,000 with Special Guardianship Orders exceeding budgeted growth built in by £143,000. Salaries are expecting an under-spend of £346,000 which is in the main attributed to Social Workers vacancies which are now being recruited to.
Corporate Parenting	14,919	14,740	(179)	(4,355)	(4,475)	(120)	10,564	10,265	(299)	Internal foster-care is currently predicting a small under-spend of £15,000 whilst external fostercare is forecasting a £272,000 under-spend. Residential Care is currently showing a £362,000 under-spend with low numbers of 5. Current numbers of Asylum children and the rate increase for Unaccompanied Asylum Seeking Children should result in the grant being sufficient to cover both direct and indirect costs for 2019/20. There are though, costs of care being incurred for non-claimable Asylum Seekers (forecast approx £148,000) and as this is unfunded therefore the service will need to cover this cost. There has been an increased predicted purchase of Leaving Care Accommodation packages which has resulted in a predicted over-spend of £615,000. Out of the 41 young people that have a package, 15 are over £1,000 per week.
Youth Justice	2,969	2,976	7	(1,020)	(1,023)	(3)	1,949	1,953	4	
Children's Practice Improvement	2,471	2,324	(147)	(98)	(98)	0	2,373	2,226	(147)	This under-spend relates to the Service redesign, where posts have not yet been filled. Hence this under-spend is one off in 2019/20.
Adoption Central England	5,982	5,146	(836)	(5,982)	(5,865)	117	0	(719)	(719)	The overall funding envelope for Adoption Central England is specific on operational (mostly staffing) budget and the Inter Agency placement of Adoption places. The latter has historically for all 5 partners been erratic between years (partly due to payments / income being statutorily spread over financial years and split). It is this area that is currently forecasting the majority of this under-spend, it is difficult to predict future demands.
Net Service Spending	69,538	71,510	1,972	(15,028)	(15,908)	(880)	54,510	55,602	1,092	

Children & Families - John Coleman
 Strategic Director - Nigel Minns
 Portfolio Holders - Councillor Morgan (Children's Services)

2019/20 Reserves

Reserve	Approved Opening Balance 01.04.19 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31.03.20 £'000	Transfer Request (To)/From Reserves £'000	Reason for Request
Children & Families Non Earmarked	0		(2,732)	(2,732)		
0-5 Strategy for Children	1,417	(601)	700	1,516		
Priority Families Reserve	907	(430)	110	587		
Adoption Central England Partnership (ACE)	472		719	1,191		
Controlling Migration	638	(638)	146	146		
Youth Justice Remand equalisation	542		(20)	522		
House Project	156	(156)	(15)	(15)		
Total	4,132	(1,825)	(1,092)	1,215	0	

Children & Families - John Coleman
 Strategic Director - Nigel Minns
 Portfolio Holders - Councillor Morgan (Children's Services)

2019/20 Savings

Savings Proposal Title	2019/20			Reason for financial variation and any associated management action
	Target £'000	Actual to Date £'000	Forecast Outturn £'000	
Children's Centres - implementation of the service redesign to reflect targeting support on those with greatest need	372	372	372	
Demand Management - through closer performance management, a new model and approach to risk and locality driven support based on intelligence and hot spots resulting in the ability to better target resources	1,000	1,000	1,000	
Reduction in the demand for legal services	150	100	150	
Delivery of a reduction in the need for children to become or remain looked after in Warwickshire	2,760	0	0	As reported in the Revenue tables increased number of purchased weeks as well as significant unit cost increases (due to changes in the mix of placement types) have meant that the service is forecasting an over-all over-spend.
Reduction in staff costs	1,316	1,316	1,316	
Develop the use of independent boarding schools	150	0	0	This is intrinsically linked with the reduction in CLA (see above). Any savings so far are cost avoidance (Children going into Care) rather than reducing children already in care.
Efficiencies in staff and client travel resulting in an overall reduction in costs	150	150	150	
One-off funding to phase the delivery of the new plan	(968)	(968)	(968)	
Total	4,930	1,970	2,020	
Target		4,930	4,930	
Remaining Shortfall/(Over Achievement)		2,960	2,910	

Project	Description	Approved Budget					Forecast					Variation		Reasons for Variation and Management Action
		Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	later £ 000's	Total £ 000's	Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	later £ 000's	Total £ 000's	Year £ 000's	Total Variance £ 000's	
11295000	Children and Families property adaptations, purchases and vehicles	44	205	107	50	406	44	205	107	50	406	0	0	
11693000	Adaptation of Sydenham Children's Centre	81	0	0	0	81	81	0	0	0	81	0	0	
11713000	Adaptation of Children's Centres to Children and Family Centres	0	317	0	0	317	0	299	0	0	299	-18	-18	Reduced Final Estimates on works, reducing additional RCCO contributions.
11756000	Westgate Children & Family Centre/Westgate Primary School Safeguarding Walkway	0	25	0	0	25	0	25	0	0	25	0	0	
Children & Families		125	547	107	50	829	125	529	107	50	811	-18	-18	

People Strategy and Commissioning and Public Health - Becky Hale and Heler
Strategic Director - Nigel Minns
Portfolio Holders - Councillor Caborn (Adult Social Care & Health),

2019/20 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget £'000	Forecast Outturn £'000	Variation Over/ (Under) £'000	Agreed Budget £'000	Forecast Outturn £'000	Variation Over/ (Under) £'000	Agreed Budget £'000	Forecast Outturn £'000	Variation Over/ (Under) £'000	
Assistant Director - People	2,398	2,251	(147)	(280)	(264)	16	2,118	1,987	(131)	Overspend in AD budget due to one off staffing costs for staff that did not get a post in the new structure. Underspend of £200,000 on Mosaic Project Development to be requested to take to reserves for draw down next financial year.
Director of Public Health	2,510	2,807	297	(151)	(160)	(9)	2,359	2,647	288	Overspend on the Public Health Staffing budget of £210,000 □ One off Costs for Salary uplift for two staff, JSNA analyst and salary overlap on the DPH Budget totalling £105,000. □ Overspends for one off project funding: £12,000 Joint healthy funding and £31,000 Heartshield
Health & Well Being	22,837	22,741	(96)	(6,265)	(6,289)	(24)	16,572	16,452	(120)	Underspend of staffing budget due to vacancies in the new structure (in recruitment)
All Age Targeted Support	6,500	6,695	195	(826)	(1,429)	(603)	5,674	5,266	(408)	Underspend of staffing budget due to vacancies in the new structure (in recruitment) □ Underspend on Accommodation based support CYP due to cancelled independence training and planning for perceived savings that are no longer required.
All Age Specialist Provision	14,080	14,147	67	(6,845)	(7,030)	(185)	7,235	7,117	(118)	Overspend on Drugs and Alcohol Budget of £220,000 due to increases in the demand for detox/inpatient services. This has been offset by underspends of staffing budget due to vacancies in the new structure (in recruitment) and underspends on domestic abuse from one off grant funding.
Net Service Spending	48,325	48,641	316	(14,367)	(15,172)	(805)	33,958	33,469	(489)	

Public Health & Strategic Commissioning - Becky Hale
 Strategic Director - Nigel Minns
 Portfolio Holders - Councillor Caborn (Adult Social Care & Health), Jeff Morgan

2019/20 Reserves

Reserve	Approved Opening Balance 01.04.19 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31.03.20 £'000	Transfer Request (To)/From Reserves £'000	Reason for Request
Strategic Commissioning - Savings	3,550	(531)	594	3,613	(200)	Request to transfer £200K funds to reserves to be used for Mosaic project development in 2020/21
Public Health - Savings	2,783	(312)	(105)	2,366		
Total	6,333	(843)	489	5,979	(200)	

Public Health & Strategic Commissioning - Becky Hale
 Strategic Director - Nigel Minns
 Portfolio Holders - Councillor Caborn (Adult Social Care & Health), Jeff Morgan

2019/20 Savings Plan

Savings Proposal Title	2019/20			Reason for financial variation and any associated management action
	Target £'000	Actual to Date £'000	Forecast Outturn £'000	
Drugs and Alcohol - a reduction in costs, prioritised through a redesign and recommissioning process	923	387	387	Note there are cost pressures arising from the increase in prescribing costs (both medications and prescribing) for this demand led service which make the achievement of the total saving challenging. Careful monitoring is ongoing to achieve the most efficient and effective prescribing and management of costs; and consideration needs to be given to reviewing the amount of savings that may feasibly be found in this programme
Healthwatch - re-tendering and redesign of the service to allow greater use of different channels, of volunteers and alignment with other similar agencies	45	45	45	
Reduce staffing and overheads across the Business Unit	200	541	541	Over-achievement of savings by £341,000 to partially cover the shortfall in the D&A savings above.
Smoking Cessation - redesign services to accommodate the changes in how the public are choosing to quit smoking	100	100	100	
Health Visitors and Family Nurse Practitioners - reduction in costs, prioritised through a redesign and recommissioning process	735	735	735	
Advocacy - retendering and redesign of the service, combining the two advocacy approaches into one (see proposed saving from Healthwatch)	85	85	85	
Additional efficiencies across the Business Unit including a review of staff vacancies, efficiencies in the Fitter Futures budget and re-alignment of young carer budget support	200	200	200	
One-off funding to phase the delivery of the new plan	(200)	(200)	(200)	
Reduction in the Housing Related Support Programme through a further redesign of the service to ensure support is provided to the most vulnerable, supporting individuals to become more independent and self-sufficient. Review of contracts with a view to reducing costs/services, including decommissioning some specialist services and re-modelling and recommissioning generic housing related support services.	400	400	400	
Reduce and reshape the staffing structure within the Business Unit and a reduction in programme and management support.	122	122	122	
Integration of existing commissioning functions into a single commissioning service and generation of an income stream through joint commissioning with and on behalf of partner organisations.	25	25	25	

Savings Proposal Title	2019/20			Reason for financial variation and any associated management action
	Target £'000	Actual to Date £'000	Forecast Outturn £'000	
Reduction in historic pension costs that will decline naturally over time.	12	12	12	
Reduction in the contingency and projects budget of the Business Unit and the delivery of a rationalised Head of Service structure once the redesign and transformation work has been delivered.	122	122	122	
Rationalisation of the system supporting the Local Authority Designated Officer function with the main social care ICT systems to enable a saving in licensing costs and reductions in Google licence costs.	20	20	20	
Reduction in business redesign and collaboration functions and funding for service specific learning and development activity.	31	31	31	
Total	2,820	2,625	2,625	
Target		2,820	2,820	
Remaining Shortfall/(Over Achievement)		195	195	

2019/20 to 2021/22 Capital Programme

Project	Description	Approved Budget					Forecast					Variation		Reasons for Variation and Management Action
		Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	later £ 000's	Total £ 000's	Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	later £ 000's	Total £ 000's	Year £ 000's	Total Variance £ 000's	
10608000	Mental Health Grant 2010/11	130	86	0	0	216	130	86	0	0	216	0	0	
11021000	Adult Social Care Modernisation & Capacity 2012-13	194	687	116	0	997	194	507	296	0	997	-180	0	Slippage on the improvement work at Valley Road. This is due to evolving plans with the project now being considered as a wider project to address gaps in the market for specialised support. The initial plan to simply re-structure the building is now being developed into a larger project.
11420000	Disabled Facilities Capital Grant	13,470	4,517	0	0	17,987	13,470	4,517	0	0	17,987	0	0	
11492000	Urban Mile Markers	20	6	0	0	26	20	5	0	0	25	-1	-1	
11310000	Client Information Systems Review	3,324	281	487	0	4,092	3,324	241	527	0	4,092	-40	0	Development priorities have been identified for 2019/20. Detailed transformation requirements are subject to further exploratory action leading to the likelihood of investment required in 2020/21.
Grand Total		17,138	5,576	603	0	23,317	17,138	5,355	823	0	23,316	-221	-1	

Business & Customer Services - Kushal Birla
 Strategic Director - Rob Powell
 Portfolio Holders - Councillor Kaur (Customers & Transformation)

2019/20 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Variation and Management Action
	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Business & Customer Services	580	505	(75)	(68)	(68)	0	512	437	(75)	
Business & Customer Support - People	5,383	5,414	31	(30)	(41)	(11)	5,354	5,373	20	
Business & Customer Support - Resources & Communities	5,303	4,868	(435)	0	(2)	(2)	5,302	4,866	(437)	Underspend includes one-off 2 year early intervention funding which will be requested to be carried forward and early achievement of MTFS savings
Customer Contact - Customer Connect	2,822	2,782	(40)	(213)	(268)	(55)	2,609	2,514	(95)	
Customer Contact - Community Hub	7,657	7,701	44	(2,387)	(2,443)	(56)	5,270	5,258	(12)	
Net Service Spending	21,745	21,270	(475)	(2,698)	(2,822)	(124)	19,047	18,448	(599)	

Business & Customer Services - Kushal Birla
 Strategic Director - Rob Powell
 Portfolio Holders - Councillor Kaur (Customers & Transformation)

2019/20 Reserves

Reserve	Approved Opening Balance 01.04.19 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31.03.20 £'000	Transfer Request (To)/From Reserves £'000	Reason for Request
Museums Development Fund	188			188		
Museum Ethnographic Fund	19			19		
Records Purchase Fund	7			7		
Records Donation Fund	107			107		
Digitisation of County Records	85	(85)		0		
Warwickshire Local Welfare Scheme	448		19	467		
Corporate Customer Journey Programme	210		580	790	150	Funding received from the EIF for Community Capacity Building (£90k) & Time Banking (£60k)
Customer Services Library Bequests	3			3		
Total	1,067	(85)	599	1,581	150	

Business & Customer Services - Kushal Birla
 Strategic Director - Rob Powell
 Portfolio Holders - Councillor Kaur (Customers & Transformation)

2019/20 Savings

Savings Proposal Title	2019/20			Reason for financial variation and any associated management action
	Target £'000	Actual to Date £'000	Forecast Outturn £'000	
Increase income from the Registration Service	35		35	
Reduction in Library and One Stop Shop and Customer Service Centre management and support staff consistent with the restructure and redesign of these services	90		90	
Total	125	0	125	
Target		125	125	
Remaining Shortfall/(Over Achievement)		125	0	

Business & Customer Services - Kushal Birla
Strategic Director - Rob Powell
Portfolio Holders - Councillor Kaur (Customers & Transformation)

2019/20 to 2021/22 Capital Programme

Project	Description	Approved Budget					Forecast					Variation		
		Earlier Years	2019/20	2020/21	2021/22 and later	Total	Earlier Years	2019/20	2020/21	2021/22 and later	Total	Variance in Year	Total Variance	
		£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	
10623000	County Records Office Service - Digital Asset Management	95	0	0	0	95	95	0	0	0	95	0	0	
11415000	Market Hall Museum - "Our Warwickshire"	941	18	0	0	960	941	18	0	0	960	0	0	
11534000	Healey collection	97	0	0	0	97	97	0	0	0	97	0	0	
10155000	Improve Customer Experience in Council Buildings and DDA Works 2009/10	204	0	0	0	204	204	0	0	0	204	0	0	
10645000	One-Stop Shops Expansion Programme 2009/10	70	0	0	0	70	70	0	0	0	70	0	0	
11040000	Improving the Customer Experience/One Front Door Improvements	589	97	168	1,774	2,628	589	172	168	1,699	2,628	75	0	Replacement of 3 delivery vans for the housebound service in the Library Service .
11293000	Community Information Hubs	59	0	0	0	59	59	0	0	0	59	0	0	
11422000	Stratford Library – Registrars Accommodation Works and Library Alterations	373	0	0	0	373	373	0	0	0	373	0	0	
11648000	Customer Services Vehicles & Equipment	16	0	0	0	16	16	0	0	0	16	0	0	
Grand Total		2,444	115	168	1,774	4,501	2,444	190	168	1,699	4,501	75	0	

Commissioning Support Unit - Steve Smith
Strategic Director - Rob Powell
Portfolio Holders - Councillor Kaur (Customers & Transformation)

2019/20 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Variation and Management Action
	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Commissioning Support Unit	298	232	(66)	0	0	0	298	232	(66)	
Business Intelligence	1,732	1,640	(92)	(69)	(60)	9	1,663	1,580	(83)	
Portfolio Management Office	1,371	1,272	(99)	(691)	(712)	(21)	680	560	(120)	
Contract Management & Quality Assurance	617	487	(130)	(588)	(666)	(78)	29	(179)	(208)	
Change Management	250	217	(33)	0	0	0	250	217	(33)	
Transformation	154	197	43	0	(59)	(59)	154	138	(16)	
Net Service Spending	4,422	4,045	(377)	(1,348)	(1,497)	(149)	3,074	2,548	(526)	

Commissioning Support Unit - Steve Smith
 Strategic Director - Rob Powell
 Portfolio Holders - Councillor Kaur (Customers & Transformation)

2019/20 Reserves

Reserve	Approved Opening Balance 01.04.19 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31.03.20 £'000	Transfer Request (To)/From Reserves £'000	Reason for Request
CSU - Savings	357		510	867		
Corporate Transformation Fund			16	16		
Total	357	0	526	883	0	

Commissioning Support Unit - Steve Smith
 Strategic Director - Rob Powell
 Portfolio Holders - Councillor Kaur (Customers & Transformation)

2019-20 Savings Plan

Savings Proposal Title	2019/20			Reason for financial variation and any associated management action
	Target £'000	Actual to Date £'000	Forecast Outturn £'000	
Reduction in management and operational capacity through streamlining processes and redesigning the service.	45	45	45	
Reduction in software tools and procured data sets which are used to provide insight and intelligence in support of transformation and service delivery for the Council.	10	10	10	
Reduction in the contingency & project budget of the Business Unit and the delivery of a rationalised structure.	60	60	60	
Reduction in Business redesign & collaboration functions and funding for service specific learning & development activity	35	35	35	
Total	150	150	150	
Target		150	150	
Remaining Shortfall/(Over Achievement)		0	0	

Enabling Services - Craig Cusack

Strategic Director - Rob Powell

Portfolio Holders - Councillor Kaur (Customers & Transformation), Peter Butlin (Finance and Property)

2019/20 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Variation and Management Action
	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Enabling Services	286	281	(5)	0	0	0	286	281	(5)	
Facilities Management	7,981	8,646	665	(5,220)	(6,110)	(890)	2,761	2,536	(225)	Underspend is predominantly vacancy related (£0.122m). Additional traded income accounts for the remaining balance.(£0.102m). The increase in gross expenditure and gross income can be attributed to the rise in devolved schools works which is recharged directly.
HR Enabling	4,001	3,924	(77)	(1,792)	(1,769)	23	2,209	2,155	(54)	
Digital & ICT	13,875	13,786	(89)	(5,018)	(5,985)	(967)	8,857	7,801	(1,056)	Almost half of this underspend (£0.692m) can be attributed to the uncommitted Corporate ICT Development fund (CIDE) due to there being no foreseen projects in the pipeline. A further (£0.146m) underspend is due to staff vacancies and unspent e-services agency budget. Expenditure on corporate infrastructure hardware and software is also underspent by (£0.211m). This is primarily due to the introduction of Microsoft 365. A small traded surplus has also been realised.
Property, Construction & Engineering	9,651	9,758	107	(2,826)	(3,070)	(244)	6,825	6,688	(137)	There has been a reduction in County buildings operational costs (£0.182m). An overspend on staffing costs (£0.042m) is being supported by the underspend. A small traded surplus has also been realised. The increase in gross expenditure and gross income can be attributed to the rise in devolved non schools works which is recharged directly.
Net Service Spending	35,794	36,395	601	(14,856)	(16,934)	(2,078)	20,938	19,461	(1,477)	

Enabling Services - Craig Cusack

Strategic Director - Rob Powell

Portfolio Holders - Councillor Kaur (Customers & Transformation), Peter Butlin (Finance and Property)

2019/20 Reserves

Reserve	Approved Opening Balance 01.04.19 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31.03.20 £'000	Transfer Request (To)/From Reserves £'000	Reason for Request
HR Service Improvement Projects	60	0	0	60		
Your HR Implementation	77	(77)	87	87		
Going for Growth	0	0	0	0		
Information Assets - Savings	733	(200)	364	897		
Enabling Services - Savings	0	0	0	0		
Catering Equalisation Reserve	0	0	0	0		
Community Energy Scheme	39	(39)	39	39		
Enabling Services General Reserve	0		987	987		
Total	909	(316)	1,477	2,070	0	

Enabling Services - Craig Cusack
 Strategic Director - Rob Powell
 Portfolio Holders - Councillor Kaur (Customers & Transformation), Peter Butlin (Finance and Property)

2019/20 Savings

Savings Proposal Title	2019/20			Reason for financial variation and any associated management action
	Target £'000	Actual to Date £'000	Forecast Outturn £'000	
Implement a new HR and payroll system to replace HRMS and restructure the HR Service Centre. This will include the review of charges for all external customers	229	229	229	
The purchase of the new HR and payroll system will provide an alternative learning management and e-learning option resulting in the decommissioning of WILMA and a reduction in the current licence costs.				
Savings in the costs associated with the management of the Service. It also includes an option to offer staff alternative working arrangements such as reduced hours.	65	65	65	
Reduction in the costs associated with the management and support of the ICT Infrastructure equipment that is used to deliver our ICT systems and related facilities.	100	100	100	
Reduction in the funding associated with the provision of ICT Help Desk and Support Services, and a further reduction in the volume and costs of the personal computing facilities provided to staff and elected members.	140	140	140	
Savings in the staffing budget for the Strategy, Programme and Information Team as Project and Programme management support capacity is reduced as part of the general reduction in size of the Council.	100	100	100	
Rental income from Educaterers	21	21	21	
Review of facilities management budgets, service specifications and IT interfaces	49	49	49	
Total	704	704	704	
Target		704	704	
Remaining Shortfall/(Over Achievement)		0	0	

Enabling Services - Craig Cusack
Strategic Director - Rob Powell
Portfolio Holders - Councillor Kaur (Customers & Transformation), Peter Butlin (Finance and Property)

2019/20 to 2021/22 Capital Programme

Project	Description	Approved Budget					Forecast					Variation		
		Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	£ 000's	£ 000's	
Structural Maintenance														
11037000	Non Schools Planned Capital Building Mech & Elect Maintenance 2013/14	2,618	0	0	0	2,618	2,618	0	0	0	2,618	0	0	
11039000	Schools - Planned Capital Building, Mechanical & Electrical backlog maintenance 2013-14	6,000	0	0	0	6,000	6,000	0	0	0	6,000	0	0	
11142000	Non Schools Asb & Safe Water Remedials 2014/15	213	0	0	0	213	213	0	0	0	213	0	0	
11143000	Schools Asbestos & Safe Water Remedials 2014/15	1,326	0	0	0	1,326	1,326	0	0	0	1,326	0	0	
11144000	Non Sch - Planned Bldg, Mech & Elect Backlog 2014/15	2,737	0	0	0	2,737	2,737	0	0	0	2,737	0	0	
11145000	Schools Planned Bldg, Mech & Elect Backlog 2014/15	5,800	0	0	0	5,800	5,800	0	0	0	5,800	0	0	
11224000	Non-Schools Capital Asbestos And Safe Water Remedial Works 2015/16	376	0	0	0	376	376	0	0	0	376	0	0	
11225000	Schools Asbestos & Safe Water Remedials 2015/16	1,220	0	0	0	1,220	1,220	0	0	0	1,220	0	0	
11226000	Non Sch - Planned Bldg, Mech & Elect Backlog 2015/16	2,621	0	0	0	2,621	2,621	0	0	0	2,621	0	0	
11227000	Schools Planned Bldg, Mech & Elect Backlog 2015/16	5,693	0	0	0	5,693	5,693	0	0	0	5,693	0	0	
11283000	Non Schools Asb & Safe Water Remedials 2016/17	307	0	0	0	307	307	0	0	0	307	0	0	
11284000	Non Schools Asb & Safe Water Remedials 2017/18	293	0	0	0	293	293	0	0	0	293	0	0	
11285000	Non Sch - Planned Bldg, Mech & Elect Backlog 2016/17	1,960	0	0	0	1,960	1,960	0	0	0	1,960	0	0	
11286000	Non Sch - Planned Bldg, Mech & Elect Backlog 2017/18	1,769	14	0	0	1,783	1,769	-28	0	0	1,741	-42	-42	
11287000	Schools Asbestos & Safe Water Remedials 2016/17	1,212	0	0	0	1,212	1,212	0	0	0	1,212	0	0	
11288000	Schools Asbestos & Safe Water Remedials 2017/18	793	9	0	0	802	793	0	0	0	793	-9	-9	
11289000	Schools Planned Bldg, Mech & Elect Backlog 2016/17	5,408	0	0	0	5,408	5,408	1	0	0	5,409	1	1	
11290000	Schools Planned Bldg, Mech & Elect Backlog 2017/18	7,009	0	0	0	7,009	7,009	-3	0	0	7,005	-3	-3	
11442000	Non Schools Asb & Safe Water Remedials 2018/19	282	101	0	0	383	282	51	0	0	334	-50	-50	
11443000	Non Sch - Planned Bldg, Mech & Elect Backlog 2018/19	1,852	357	0	0	2,209	1,852	207	0	0	2,059	-150	-150	
11444000	Schools Asbestos & Safe Water Remedials 2018/19	730	17	0	0	747	730	17	0	0	747	0	0	
11445000	Schools Planned Bldg, Mech & Elect Backlog 2018/19	6,961	305	0	0	7,266	6,961	315	3	0	7,279	10	13	
11538000	Non Schools Asb & Safe Water Remedials 2019/20	0	349	0	0	350	0	399	0	0	399	50	50	
11539000	Non Sch - Planned Bldg, Mech & Elect Backlog 2019/20	0	2,144	0	0	2,144	0	2,335	0	0	2,335	191	191	
11540000	Schools Asbestos & Safe Water Remedials 2019/20	0	753	0	0	753	0	725	0	0	725	-28	-28	
11541000	Schools Planned Bldg, Mech & Elect Backlog 2019/20	2	7,103	0	0	7,105	2	7,122	0	0	7,124	19	19	
11685000	Veteran's Contact Point - Complete replacement of Chrysotile Pitched Roof	53	0	0	0	53	53	0	0	0	53	0	0	
11687000	The Saltway Centre & Stratford Family Centre - Refurbish Family Centre	99	2	0	0	101	99	2	0	0	101	0	0	
Facilities														
10592000	Small Scale Reactive / Minor Improvements County-Wide	587	59	0	0	646	587	59	0	0	646	0	0	Capital Expenditure funded from revenue contribution
11318000	Universal Free School Meals Programme	0	0	0	0	0	0	0	0	0	0	0	0	
Energy														
10400000	Climate Change 2009/10	0	0	0	0	0	0	0	0	0	0	0	0	
11136000	Various Properties - Renewable Energy	240	0	995	0	1,235	240	0	995	0	1,235	0	0	
11561000	Dunsmore Home Farm, Clifton on Dunsmore - Ground Mounted Solar	4	0	0	0	4	4	0	0	0	4	0	0	
Information Assets														
11121000	Development of Rural Broadband	20,447	7,062	5,007	3,253	35,769	20,447	7,062	5,007	3,253	35,769	0	0	
11465000	WCC Information Assets Purchases (multiple years)	1,151	577	93	0	1,821	1,151	588	81	0	1,821	11	-0	
11661000	2018-19 ICT Software Development	178	0	0	0	178	178	0	0	0	178	0	0	
11731000	2019-20 ICT Software Development	0	160	0	0	160	0	144	0	0	144	-16	-16	As a result of focussing on the Microsoft 365 implementation there has been a reduction in capitalisation projects.

Project	Description	Approved Budget					Forecast					Variation		
		Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	Earlier Years £ 000's	2019/20 £ 000's	2020/21 £ 000's	2021/22 and later £ 000's	Total £ 000's	£ 000's	£ 000's	
Strategic Asset management														
11134000	Warwick Shire Hall - Refurb Of Old Shire Hall	1,884	50	0	0	1,933	1,884	63	0	0	1,947	14	14	Accessible ramp to be constructed following demolition of garage. Utilise the remaining budget from underspend on 11532000.
11400000	Globe House Alcester - Remodelling of Globe House	220	0	0	0	220	220	0	0	0	220	0	0	
11532000	Saltway Centre Stratford upon Avon	473	0	0	0	473	473	-14	0	0	460	-14	-14	Project final account was below budget. Transfer remaining budget balance to 11134000.
		82,518	19,061	6,095	3,253	110,927	82,518	19,046	6,086	3,253	110,903	-16	-24	

Finance - Richard Ennis (Interim)

Strategic Director - Rob Powell

Portfolio Holders - Councillor Butlin (Finance & Property), Councillor Kaur (Customers and Transformation)

2019/20 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Variation and Management Action
	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Finance	141	377	236	(2)	(2)	0	139	375	236	Unallocated savings target and additional agency costs
Finance Delivery	2,837	2,738	(99)	(1,021)	(986)	35	1,816	1,752	(64)	Staff vacancies
Treasury Management, Pension Fund, Internal Audit, Risk and Compliance	1,183	1,188	5	(1,288)	(1,422)	(134)	(105)	(234)	(129)	Additonal recharge to pension fund
Commercialism	253	252	(1)	0	0	0	253	252	(1)	
Strategic Finance	831	707	(124)	(76)	(86)	(10)	755	621	(134)	Staff vacancies
Finance Transformation	2,841	2,746	(95)	(1,149)	(1,140)	9	1,692	1,606	(86)	Staff vacancies
Net Service Spending	8,086	8,008	(78)	(3,536)	(3,636)	(100)	4,550	4,372	(178)	

Finance - Richard Ennis (Interim)
 Strategic Director - Rob Powell
 Portfolio Holders - Councillor Butlin (Finance & Property), Councillor Kaur (Customers and Transformation)

2019/20 Reserves

Reserve	Approved Opening Balance 01 04 18 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31 03 19 £'000	Transfer Request (To)/From Reserves £'000	Expected reserve drawdowns not for approval £'000	Reason for Request
Finance - Savings	620		169	789			
Finance - Training	81		9	90			
Finance - Service Improvement Projects	369		0	369			
LA Counter Fraud Fund Grant	16		0	16			
Total	1,086	0	178	1,264	0	0	

Finance - Richard Ennis (Interim)

Strategic Director - Rob Powell

Portfolio Holders - Councillor Butlin (Finance & Property), Councillor Kaur (Customers and Transformation)

2019/20 Savings

Savings Proposal Title	2019/20			Reason for financial variation and any associated management action
	Target £'000	Actual to Date £'000	Forecast Outturn £'000	
Reduction in the support for service managers and Elected Members for budget setting, quarterly financial monitoring and final accounts.	5	5	5	
Reduction in staffing capacity by focussing on greater use of standardised processing of transactions, less manual intervention and exploring the benefits of a broader transactional service across the organisation.	90	90	90	
Total	95	95	95	
Target		95	95	
Remaining Shortfall/(Over Achievement)		0	0	

Governance & Policy - Sarah Duxbury
 Strategic Director - Rob Powell
 Portfolio Holders - Councillor Kaur (Customers & Transformation)

2019/20 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Variation and Management Action
	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	Agreed Budget	Forecast Outturn	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Governance & Policy	197	136	(61)	0	0	0	197	136	(61)	Underspend to offset against budget pressure in Property Management.
Communications	1,081	1,154	73	(687)	(702)	(15)	394	452	58	Additional costs relate to software, advertising and staffing costs within the service.
HROD	2,104	2,197	93	(325)	(520)	(195)	1,779	1,677	(102)	Variation is due to a combination of reduced staff costs and additional income.
Property Management	721	1,153	432	(1,382)	(1,441)	(59)	(661)	(288)	373	Overspend largely as a result of inability to deliver full savings targets in year which has resulted in unbudgeted borrowing costs until disposals are completed and capital receipts achieved.
Legal & Democratic	6,857	6,947	90	(6,227)	(6,512)	(285)	630	435	(195)	Due to increased business within Legal and recruitment lag, i.e. posts not being filled pending structural changes.
Net Service Spending	10,960	11,587	627	(8,621)	(9,175)	(554)	2,339	2,412	73	

Governance & Policy - Sarah Duxbury
 Strategic Director - Rob Powell
 Portfolio Holders - Councillor Kaur (Customers & Transformation)

2019/20 Reserves

Reserve	Approved Opening Balance 01.04.19 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31.03.20 £'000	Transfer Request (To)/From Reserves £'000	Reason for Request
HR&OD - Savings	308	(98)	102	312		
Going for Growth Apprenticeship Scheme	245		0	245		
Savings	799		197	996		
Property - Savings	1,566	(295)	(372)	899		
One Public Estate	168		0	168		
Total	3,086	(393)	(73)	2,620	0	

Governance & Policy - Sarah Duxbury
 Strategic Director - Rob Powell
 Portfolio Holders - Councillor Kaur (Customers & Transformation)

2019/20 Savings

Savings Proposal Title	2019/20			Reason for financial variation and any associated management action
	Target £'000	Actual to Date £'000	Forecast Outturn £'000	
Workforce Strategy and Organisational Development Service - Redesign the service reducing management and team capacity; streamlining learning and development processes with the HR Service Centre and reducing spend on corporately funded learning.	49	49	49	
The purchase of the new HR and payroll system will provide an alternative learning management and e-learning option resulting in the decommissioning of WILMA and a reduction in the current licence costs.	31	31	31	
Increased surplus from external legal work - combination of reducing operating costs, increasing utilisation and delivering more external hours to external customers at increased hourly rates.	34	34	34	Legal Services will exceed this target
Reduction in the Council's borrowing costs as a result of using capital receipts from the sale of land and buildings (both urban sites and smallholdings) to reduce long term debt	955	39	891	This assumes a sale being agreed for a major disposal. Update will be available in January to confirm confidence level
Release of contingency	85	85	85	
Repayment of Hawkes Point self-financed borrowing.	198	0	0	Planning permission for Montague Road not secured by developer. This has impacted on sale of site and timeframes
Reduced maintenance of the smallholdings estate.	7	7	7	
Use of one-off resources to match the timing of when capital receipts from the sale of strategic sites are expected to be received.	(473)	(473)	(473)	
Total	886	(228)	624	
Target		886	886	
Remaining Shortfall/(Over Achievement)		1,114	262	

Governance & Policy - Sarah Duxbury
Strategic Director - Rob Powell
Portfolio Holders - Councillor Kaur (Customers & Transformation)

2019/20 to 2021/22 Capital Programme

Project	Description	Approved Budget					Forecast							Reasons for Variation and Management Action
		Earlier Years	2019/20	2020/21	2021/22 and later	Total	Earlier Years	2019/20	2020/21	2021/22 and later	Total	Variance in Year	Total Variance	
		£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	£ 000's	
10972000	Planning Consent For Europa Way	748	3	0	0	751	748	3	0	0	751	0	0	
11440000	Strategic Site Planning applications	1,978	634	1,300	0	3,912	1,978	634	1,300	0	3,912	0	0	
11503000	Planning Consent re the disposal of Dunchurch depot	63	17	0	0	80	63	17	0	0	80	0	0	
11335000	Rationalisation of County Storage	3,205	6,571	0	0	9,776	3,205	5,574	0	0	8,779	-997	-997	Forecast amended for Forestry to move to Henley Depot rather than Budbrooke saving 997k from previously forecast overspend.
11689000	Maintaining the smallholdings land bank	0	0	844	0	844	0	0	844	0	844	0	0	
11446000	Rural Services Capital Maintenance 2018/19	110	100	0	0	210	110	100	0	0	210	0	0	
11542000	Rural Services Capital Maintenance 2019/20	0	511	341	0	852	0	356	0	0	356	-155	-496	As part of the corporate capital budget rightsizing exercise in 2019/20 the budget has been reduced to 356k (from original of 852k for 2019/20). The forecast has been reduced in line with the actual budget available once the right sizing budget adjustments have been made on Agresso.
Grand Total		6,104	7,837	2,484	0	16,425	6,104	6,685	2,143	0	14,932	-1,152	-1,493	

Other Services - Virginia Rennie
Strategic Director - Rob Powell

2019/20 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Variation and Management Action
	Agreed Budget £'000	Outturn £'000	Variation Over/ (Under) £'000	Agreed Budget £'000	Outturn £'000	Variation Over/ (Under) £'000	Agreed Budget £'000	Outturn £'000	Variation Over/ (Under) £'000	
Government Grants & Business Rates			0	(130,140)	(133,511)	(3,371)	(130,140)	(133,511)	(3,371)	Additional business rates income and compensatory government grants to offset the impact of changes to exemptions and discounts not known at the time the budget was set.
Central Block DSG and other central grants to support schools and pupils			0	(80,942)	(80,942)	0	(80,942)	(80,942)	0	
0-5 Strategy for Children - Children's transformation	2,849	250	(2,599)			0	2,849	250	(2,599)	Lower than anticipated spend on children's transformation with the majority of the programme planned for the next two years and supplemented by additional one-off government grant.
Capital Financing Costs	40,224	32,241	(7,983)		(2,803)	(2,803)	40,224	29,438	(10,786)	Lower than anticipated capital financing costs than provided for in the budget as a result of slippage in the capital programme and the level of unallocated Capital Investment Fund requiring less borrowing to be taken out.
Strategic Management Team	1,202	1,227	25			0	1,202	1,227	25	
County Coroner	531	604	73	(78)	(78)	0	453	526	73	
Environment Agency - Flood Defence Levy	243	245	2			0	243	245	2	
External Audit Fees	141	148	7			0	141	148	7	
Pensions deficit under-recovery	1,641	1,641	0			0	1,641	1,641	0	
County Council Elections	265	265	0			0	265	265	0	
Members Allowances and Expenses	1,070	1,087	17			0	1,070	1,087	17	
Cost of restructure services	(960)		960			0	(960)	0	960	Redundancy and Pension strain costs arising from the restructure of Council services.
Schools in financial difficulty	(169)		169			0	(169)	0	169	Funding to help schools in financial difficulty.
Other Administrative Expenses and Income (Including Insurance)	4,007	4,176	169	(3,362)	(2,368)	994	645	1,808	1,163	Additional income of £498k from Oxygen Finance, £100k schools contingency, offset by £9k of additional costs. In addition to this the timing of technical DSG adjustments of £1,140k and £611k.
Subscriptions	195	195	0			0	195	195	0	
Transformation Fund - Early Intervention, Prevention and Community Capacity Fund	1,500	1,503	3			0	1,500	1,503	3	
Apprenticeship Levy	1,092	1,092	0			0	1,092	1,092	0	
Net Service Spending	53,831	44,674	(9,157)	(214,522)	(219,702)	(5,180)	(160,691)	(175,028)	(14,337)	

Other Services - Virginia Rennie
Strategic Director - Rob Powell

2019/20 Reserves

Reserve	Approved Opening Balance 01.04.19 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31.03.20 £'000	Transfer Request (To)/From Reserves £'000	Reason for Request
Corporate Reserves						
Capital Fund	1,437			1,437		
General Reserves	30,464	(4,036)	(117)	26,311		
Insurance Fund	8,942		(541)	8,401		
Provision for Redundancy Costs	10,579	(517)		10,062		
Medium Term Contingency	6,835			6,835		
Schools	16,253	(475)		15,778		
DSG Reserve	0			0		
Total Corporate Reserves	74,510	(5,028)	(658)	68,824	0	
Other Services Reserves						
Business Rates Pool Risk Reserve	4,027		3,371	7,398		
Quadrennial Elections	422			422		
Corporate Transformation Fund	3,353	(503)		2,850		
WCC Business Rates Appeals Reserve	6,739			6,739		
Corporate Partnership Initiatives	2155			2,155		
Audit Fee Reserve	777		(7)	770		
Interest Rate Volatility Reserve	5,436			5,436		
Adult Social Care Reserve	4,637			4,637		
Pensions Deficit Reserve	466			466		
Corporate Apprenticeship Fund	737			737		
Schools in Financial Difficulty	2,069	(54)		2,015		
Corporate Systems Replacement Reserve	9,153		9,035	18,188		
Local Resilience Forum - Brexit Funding	88			88		
Fire Transformation Fund	972	(37)		935		
Digital Transformation Fund	2,046			2,046		
Early Intervention, Prevention and Community Capacity Fund	0		(3)	(3)		
Financial Instrument (General Fund) - Threadneedle Social Bond Fund	3,077			3,077		
Total Other Services Reserves	46,154	(594)	12,396	57,956	0	
Directorate Reserves						
Resources Transformation Fund	627			627		
Resources Systems Replacement Reserve	919			919		
Resources Traded Services Reserve	225			225		
Resources Service Savings	567			567		
LATC Operational Reserve	248			248		
People Directorate Reserve	7,229		2,599	9,828		
Total Directorate Reserves	9,815	0	2,599	12,414	0	
Total	130,479	(5,622)	14,337	139,194	0	

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Risks Influencing the Level of General Reserves

Risk Area	Level of Risk	Proposed for 2020-21
The potential for "Bellwin" type emergencies . Assuming such costs would attract grants under the Bellwin scheme. This would provide cover for all immediate costs and then 1% of net spend to make good any damage to infrastructure, including up to £40m capital.	Medium	£4.1m
The likelihood of members making additional, in-year budget allocations to Services, or where members agree to write-off or providing funding for services where there are difficulties in delivering savings/efficiencies or arranging for Services to phase the repayment of any overspends over a period of more than one year.	High	£1.8m
The possibility of overspending on the "Other Services" budget due to the bank base rate staying low over the medium term.	Low	£1.0m
The likelihood of unanticipated budget pressures arising within the year, for example the repayment to grant or pressure on the authority's VAT partial exemption status or increases in demand that cannot be accommodated within Service/Directorate reserves.	High	£1.8m
The possibility of significant increases in inflation and/or taxation , after the budget has been set.	High	£2.1m
The possibility of any further costs arising from legal judgements which would fall on the County Council within one year.	Low	£1.0m
Provision for further in-year cuts in government funding. The assumption is that any in-year cuts in government funding will be met, in full, by services. The provision reflects the risk that in all cases existing commitments mean this may not be possible.	Medium	£1.5m
The possibility of planned changes to the national benefits system impacting adversely on the demand for local authority services.	Low	£0.5m
Employment related risks. A possibility that there are further legal judgements related to employment terms and conditions. In addition, the National Living Wage potential changes carry a risk until details are clarified and funding agreed.	Low	£0.5m

Risk Area	Level of Risk	Proposed for 2020-21
Schools and Early Years Funding. The risk to the stability of the schools/education services funded from DSG across schools, early years, high needs and central services blocks where the authority needs to support schools through this process to maintain the sufficiency of provision.	High	£2.9m
Introduction of Academies. The risk that services to schools will not be scaled back quickly enough and/or academies will no longer chose to use the Council's traded services, there will be a loss of economies of scale and estimates of pupil numbers transferring will have been underestimated. Also, there is a risk of residual liabilities remaining with the Council when a maintained school converts to academy status.	High	£1.0m
The possibility of being unable to agree inter-authority/organisation plans.	Medium	£1.0m
Market and/or Social Enterprise Failure. The risk that services provided by the market and/or social enterprises may stop if the provider fails, requiring the local authority to secure alternative provision at short notice.	High	£1.0m
General contingency. This could be supplemented in any one year by a sizeable proportion of earmarked reserves, providing these were replenished as part of the budget process.	Low	£1.0m
Total before 2019/20 overspends		£21.2m
Education Services 2019/20 overspend		£9.2m
Total		£30.4m

Note:

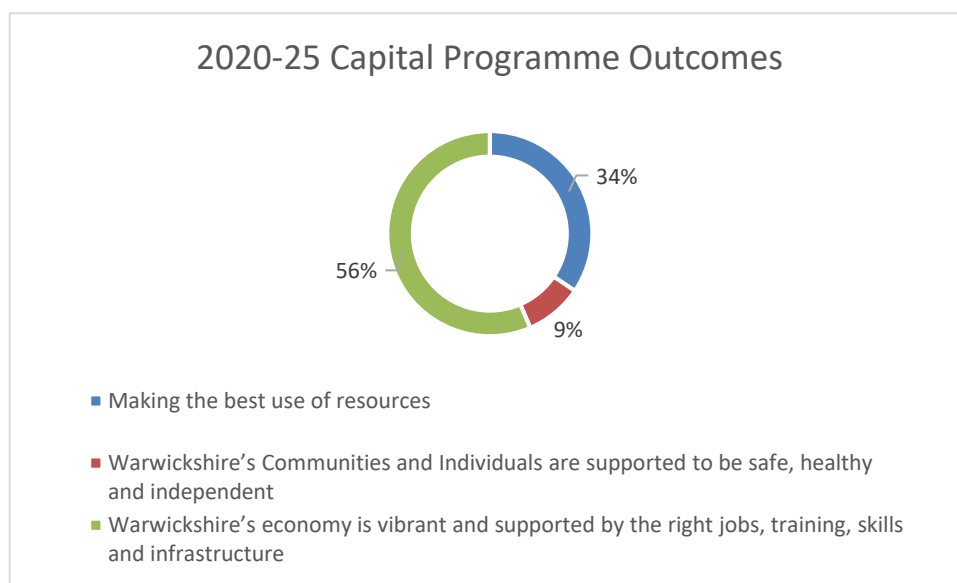
The risk assessment excludes the technical impact of any changes in accounting treatment.

APPENDIX B - Investing in Warwickshire

Capital Strategy 2020-2030 – Technical Appendix

Why do we need a Capital Strategy?

We have over many years invested in assets that have a lasting value, for example land, roads, buildings and large items of equipment and vehicles. Each year we need to spend more money to ensure our assets are still suitable for use in the provision of services and to invest in new assets to meet our changing needs and requirements. Our capital investment is aimed at delivering our priority outcomes for which the current gearing of our capital programme is as follows:



This technical appendix to the Capital Strategy provides the structure of our capital programme, describes how we determine the content of and finance our capital programme and provides an overview of how our capital programme is managed and how we deliver the above outcomes.

What is Capital?

Spending is included within the capital programme where we expect it to result in future economic (asset value) or service (asset performance or life) benefits. This covers both the purchase of new long-term assets and improvements to existing ones and is consistent with the approach required in the CIPFA Code of Practice in Local Authority Accounting.

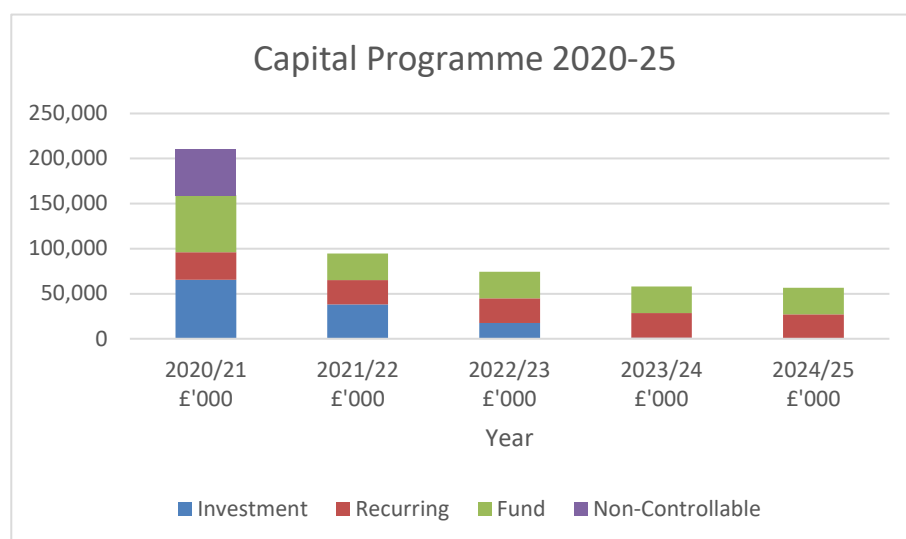
Some of our spending allocations are to either purchase or improve an asset belonging to another organisation or individual; in these circumstances, we include the expenditure in the capital programme for budget setting and monitoring processes, but follow the CIPFA Code requirements for accounting treatment to ensure it does not increase the net worth shown on our Balance Sheet.

We operate a general de minimis of £6,000 on a project-by-project basis (£3,000 where the spend relates to primary schools or nurseries); expenditure below this level is treated as revenue and not part of the capital programme. Further details of our capitalisation policies can be found in the Accounting Policies section of our Statement of Accounts, published on our website.

Our Capital Programme

There are four broad strands to our capital programme, each programme has a number of strands that ensure a clear focus on the purpose of capital spending and the prioritisation of proposals:

- A recurring maintenance programme that ensures our assets continue to be fit for purpose and able to support the delivery of services;
- Non-controllable projects, generally funded from developer contributions and not wholly within the Council's control;
- An investment programme that creates and develops new assets through individual projects, and;
- Corporately held investment funds for allocation as business cases are submitted and approved.



***Future non-controllable spend cannot yet be predicted so 2021/22 is not comparable with 2020/21.**

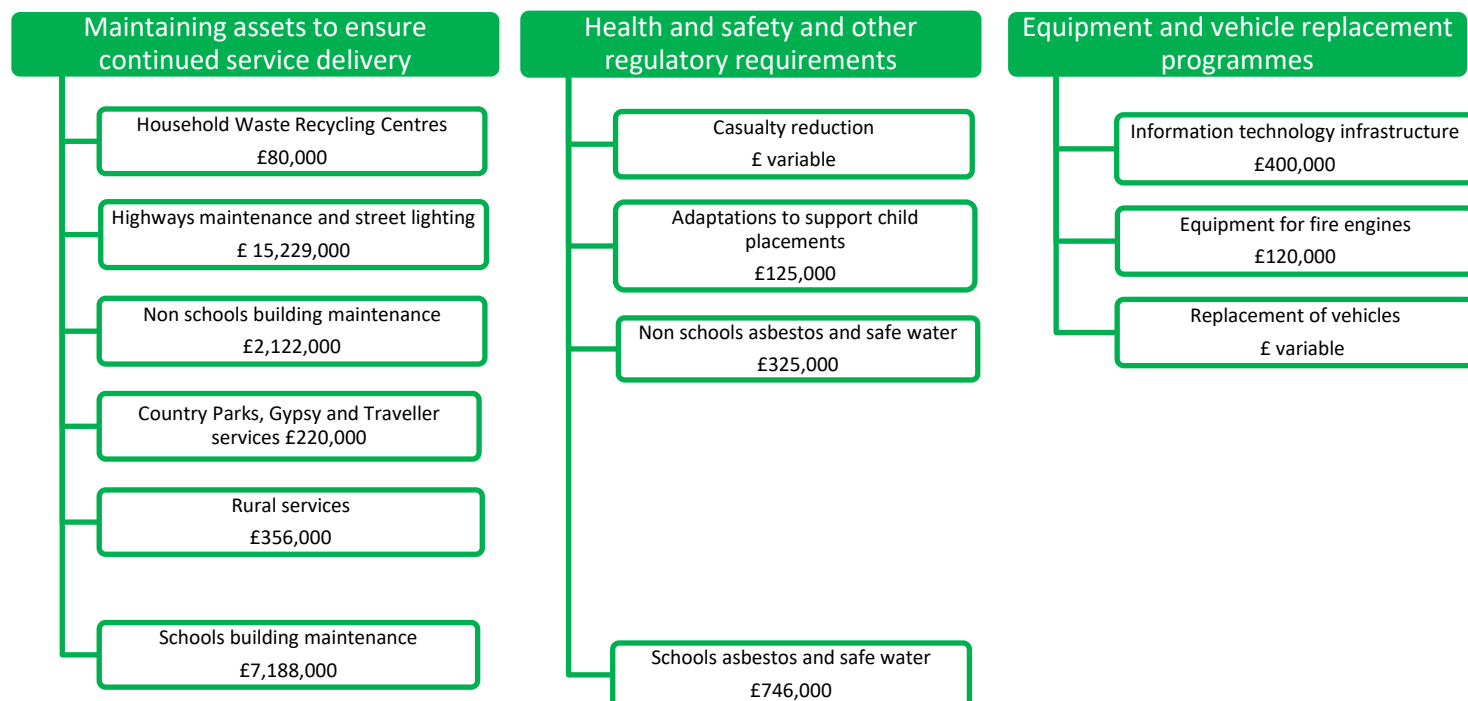
Guiding principles for our Capital Maintenance

Each year the capital programme includes a number of schemes that relate to the routine maintenance of our asset infrastructure. It represents the level of spending which we have no choice but to incur over the medium term. Each element of the maintenance programme has a fixed annual allocation. This approach allows managers to plan their maintenance programme over the medium term in a structured way that reduces bureaucracy, subject to the agreement of a consistent and transparent methodology for the prioritisation of maintenance spending.

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
- Statutory health and safety and other regulatory requirements
- Annual cost of equipment and/or vehicle replacement programmes

Our annual maintenance programme is £10.682 million a year (including a £3.000 million allocation from the Government Grant received for schools) plus the grant received from Government for highways maintenance plus revenue funding used for the replacement of vehicles, where this is more cost effective than leasing the vehicle. The split of this annual maintenance allocation between services, including schools' elements, is shown below.



Annex C summarises the prioritisation methodology that will be used through to 2025 for each of the elements of the rolling maintenance programme.

Guiding principles for our Capital Investments

Capital Investment: Non-Schools

Any capital spending not included in the recurring maintenance programme automatically forms part of our capital investment programme. Investment schemes are, by their nature, not routine and are only considered if they move the organisation towards the delivery of the corporate outcomes.

The capital investment programme contributes to the delivery of these outcomes through invest-to-save projects and projects that enhance and grow the assets of the authority.

We operate a clear and transparent corporate approach to the prioritisation of all capital spending. To ensure widespread support for the investment programme all proposals are subject to an officer scrutiny process prior to being considered by Corporate Board and ultimately by Members. The overarching governance structure is designed to ensure the most effective use of the available resource and organisational capacity required to see capital schemes through to implementation. We operate a two-speed approach for the approval of schemes that enhance assets as a result of additional service delivery need.

We use a fast track approach for schemes costing less than £2 million that are wholly funded from external resources provided for a specific purpose and where there is no, or minimal, discretion over how the funding is used e.g. developer and third party funding. Fast track schemes will be required to provide a brief summary of the infrastructure investment required and how it supports the delivery of the core priorities and outcomes before going to the Leader and/or any such person/body which he/she designates for approval. For vehicles, plant and equipment this approval is delegated to the Assistant Director for Finance. Any scheme costing above £2 million requires the approval of full Council, regardless of funding source or expenditure type.

For all other capital investment schemes, including where we are bidding for external funding, we use a structured evaluation process that assesses:

- What we are trying to achieve for 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.

The results of this evaluation process are reported to Corporate Board quarterly who consider whether to recommend the scheme to Members for approval. If the total cost of the scheme is less than £2 million this approval is by the Leader, Cabinet or a Portfolio Holder to whom powers have been delegated. Schemes over £2 million require the approval of full Council. A summary of the evaluation criteria and their relative weighting is attached at [Annex C](#). In response to the climate change emergency, the evaluation criteria specifically requires that every new investment scheme explains how it will contribute to addressing climate change (where applicable).

[Annex B](#) indicates the connection between the Council's existing investment plans and its objectives. This listing covers the larger investment schemes already approved by Members and the 2020/21 maintenance programme. It also includes a number of "priority" schemes which, whilst not yet formally approved, are expected to come through to the Capital Investment Fund with applications for funding within the next financial year and for which funding has therefore been reserved from application to other schemes.

Currently the Council does not choose to make investments in the commercial property market purely for the purpose of generating a financial return, however with the Council moving towards taking a more commercial approach this could possibly be revised in future as part of the Commercial Strategy approved by Cabinet in October 2019, the capital strategy will be updated to reflect such changes in direction. The Council owns a small number of assets classified as Investment Properties but these are primarily assets whose usage has changed over time and that now fall into this category, income from these assets is immaterial.

[Annex B](#) includes the prioritisation of future investment programmes.

Capital Investment: Schools and Educational Facilities

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. The strategy supports the provision of 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. Whilst the Council is not responsible for Academy schools, our strategy includes them as education providers within the county.

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 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. Consideration for the quality of the education provision available in any area is also included when planning for sufficient places.

Capital allocations to meet projected shortfalls in provision are provided by the Education and Skills Funding Agency to all local authorities. However 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. Where new housing development creates a demand for school places in excess of those available, the County Council will work with District and 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.

Warwickshire is in a period of significant growth, with large scale housing development proposed across the county over the next 10 years and beyond. It is expected this will require additional education provision for Warwickshire children. As development progresses across the county there will be a need for the delivery of new provision during the next 5 years and effective planning for further new provision beyond that period.

Further details on education investment planning can be found in the Education Sufficiency Strategy – see [Annex D](#) for link.

Guiding principles for our Capital Funding

Capital Receipts

Through our approach to asset management planning (see [Annex D](#)), we undertake continuous monitoring and review of the Council's property portfolio seeking to ensure we make best use of the capital value tied up in those assets. When making decisions on the disposal of assets and hence the generation of capital receipts a number of factors are taken into consideration:

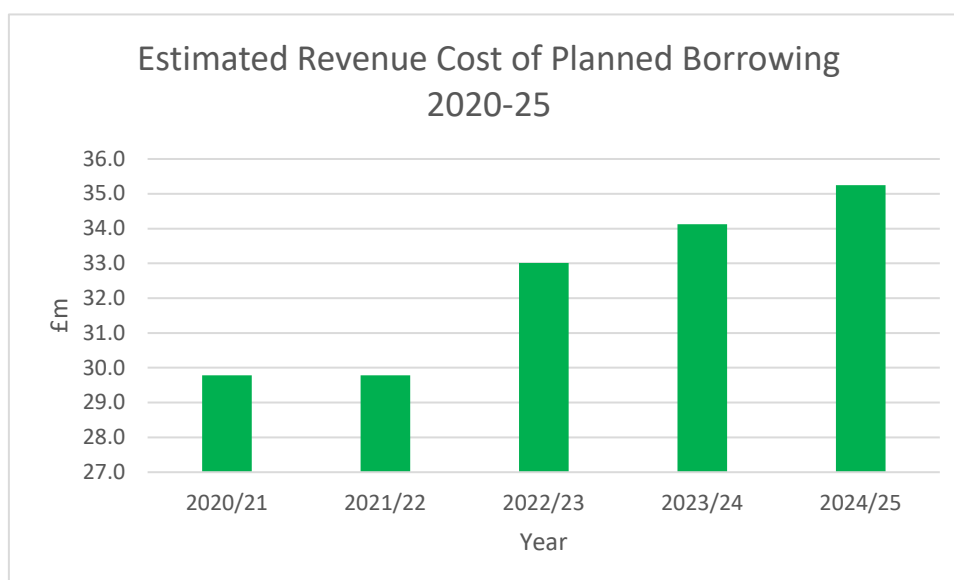
- Whether assets are surplus to requirements in the short, medium and long term;
- Whether assets are achieving their financial or service delivery performance targets;
- The level of any potential financial return;
- Any legal obligations; and
- The impact on corporate policies and the promotion of key strategic policies.

All capital receipts, with the exception of school receipts which are reinvested, are used to repay debt, with a consequent reduction in the Council's borrowing costs. Whilst financially there is no difference in the revenue cost to the authority as to whether capital receipts (providing they are used to repay debt) or borrowing are used to fund the capital programme, capital receipts are inherently volatile and the timing of when the money is received is uncertain and unrelated to the timing of any need to incur capital spend. Our approach to the use of capital receipts enables capital spend to be incurred when it is needed rather than being dependent on when a capital receipt comes in.

Borrowing

We are required, by statute, to base our approach to borrowing money to finance capital investment on a set of guiding principles (the Prudential Framework). The framework includes the principles of affordability, prudent funding, efficiency, forward planning, outcomes, sustainability and investment return. We use the term 'unfinanced expenditure' to delineate expenditure for which we expect to borrow.

Incurring an additional £35.600 million borrowing each year is affordable within the 2020-25 Medium Term Financial Strategy and is deemed to be the minimum level of borrowing needed over the medium term. The revenue cost of borrowing is felt in two ways; firstly in real interest charges incurred on our loans and secondly in the Minimum Revenue Provision, a notional charge to the revenue budget which spreads the cost of acquiring assets across the years in which the benefits of that expenditure are felt. This means that to forecast future years' revenue costs as a result of borrowing, we must consider both historic levels of unfinanced expenditure, the full unfinanced cost of the existing capital programme, and any decisions Members make to take out further borrowing in future years. We estimate that the total revenue cost as a result of past and planned new borrowing from these two charges will be £29.781 million in 2020/21, £29.781 million in 2021/22, £33.014m in 2022/23, £34.123m in 2023/24 and £35.245m in 2024/25.



Provision for these costs is included as part of our 2020/21 budget and medium-term financial strategy. Further details of anticipated borrowing levels, forecast repayment schedules, our detailed approach to the Minimum Revenue Provision and the framework within which we make decisions about debt and investments can be found within the Treasury Management Strategy ([see Annex D](#)). Our modelling of future debt levels, detailed within the Treasury Management Strategy, can be compared to the Council's Operational Boundary and Affordable Limit, two of the key indicators within the Prudential Framework. This shows that our approach of determining borrowing affordability from the position of ongoing revenue resource availability ensures that we will not commit the Council to future costs it cannot afford, committing the Council only to sensible, prudent levels of borrowing.

We recognise that significant drivers of additional capital spend exist both in terms of providing additional school places, growing our business rates taxbase and providing the additional infrastructure needed as a result of housing growth. We therefore use the additional revenue resources from growth in the taxbase above the level assumed in the 2020-25 Medium Term Financial Strategy to operate a Capital Investment Fund. Through this approach we are able to support an expanded capital programme and drive economic growth and activity across the county.

Capital Investment Fund

The creation of a Capital Investment Fund requires revenue funding to be set aside to meet the cost of borrowing prior to knowing how the capital resources generated will be used. This approach has the benefit of retaining the ability to bring projects forward for inclusion in the capital programme as opportunities arise, not just once a year through the budget setting process, through the agreed capital framework. It also provides confidence that developing positive and innovative schemes to support the delivery of the Council's core outcomes are affordable. We are committed to reviewing the level of the Capital Investment Fund on an annual basis to ensure it remains affordable.

Making It Happen

Management of the Capital Programme

The key risks to the delivery of our capital programme are overspending against the approved budget for a scheme, project/programme slippage where the project is not delivered in accordance within the planned timescales, thereby delaying achievement of the expected benefits, and delays in or non-receipt of external contributions towards the cost of the scheme.

A suite of e-learning materials and guidance notes are made available to all project managers and finance staff explaining the rules and principles underpinning capital expenditure and financing. This includes guidance on monitoring and approval processes.

We use the following mechanisms to ensure our capital spending and the delivery of this strategy is effectively managed:

- Officers monitor physical progress regularly, usually monthly, and there is a system of exception reporting to senior managers where problems emerge;
- Financial progress is reported quarterly to Corporate Board and Cabinet, highlighting any key issues for Members to consider, including seeking Cabinet approval to any variations to schemes both in terms of the total cost and the phasing of spend across years and the consequent impact on the overall financing of the programme;
- Projects part or wholly funded by external contributions are separately monitored to ensure compliance with any funding conditions applicable; and
- Post-contract appraisal is carried out to provide feedback on the success, or otherwise, of the design solution, procurement process and customer satisfaction levels to provide the opportunity for positive learning over time.

Capital projects will now be approved through a new capital gateway process and be more closely monitored through the capital framework which will rely on a methodology to classify and define stages/phases of delivery for our capital investments. The framework will have a clear definition and understanding of the quality of Capital Programme delivery to help us learn and drive improvements.

Summary of Capital Investment Fund Scheme Evaluation Criteria

Warwickshire's communities and individuals are supported to be safe, healthy & independent

10% - delivery of the strategic objective

40% - Alignment with the investment criteria of the capital strategy (Supporting People)

40% - achievability, quality of evidence base, rational evaluation and challenge of options, financial viability and risk

10% - Sustainability, climate change and environmental impact

Warwickshire's economy is vibrant and supported by the right jobs, training and skills and infrastructure

10% - delivery of the strategic objective

40% - Alignment with the investment criteria of the capital strategy (Shaping Places)

40% - achievability, quality of evidence base, rational evaluation and challenge of options, financial viability and risk

10% - Sustainability, climate change and environmental impact

Making the best use of available resources: delivery of savings/generation of income

10% - alignment with the organisation's other strategic objectives

40% - Alignment with investment criteria of the capital strategy (Maximising Resources)

40% - achievability, quality of evidence base, duration of required investment, rational evaluation and challenge of options, financial viability and risk

10% - Sustainability, climate change and environmental impact

These high-level criteria are supplemented by more detailed evaluation criteria designed for each strand of the investment programme to ensure a consistent and transparent approach. Once the strategy has been approved these more detailed criteria will be brought forward to Cabinet for approval.

Capital Investment Priority Outcomes

The table below shows the connection between the Council's capital investment plans, the organisation's key objectives and the Capital Strategy's focus for investment. Business cases are still to be completed to confirm final funding allocations and formal addition to the council's capital programme.

Pillars	Capital Investment Priorities
Supporting people	<ul style="list-style-type: none"> - Investment in quality and accessible education spaces for all school children in Warwickshire - Investment in social care services, supported accommodation and accommodation with support - Capital investment to support delivery of Public Health services
Shaping places	<ul style="list-style-type: none"> - Improvements to the Fire & Rescue Service estate - Investments in Place - To invest in ambitious schemes to shape Warwickshire and individual parts of it in line with commercial strategy priorities - Economic Development - Sustainable Transport
Maximising our resources	<ul style="list-style-type: none"> - Investment in better ways of delivering services such as libraries and heritage/culture - Investment in Digital and ICT - Investment to maximise the effectiveness of our property estate
Climate Change	<ul style="list-style-type: none"> - Climate Change Mitigation - Carbon Footprint

*Priorities will be included as part of the 2020/21 Conservative Budget Resolution

Prioritisation of the Annual Maintenance Programme

Given the announcement of a climate change emergency, all annual maintenance programmes are expected to consider how the programme of works can contribute towards addressing climate change.

Household Waste Recycling Centres (HWRC) and Transfer Stations

Prioritisation Methodology

Maintenance will be prioritised as follows:

- a) Health and Safety – for the staff employed to run the site, members of the public using the site and also the District and Borough Councils who use the Transfer stations to facilitate their kerbside collections. Other statutory requirements would also fall under this umbrella.
- b) Efficiency, cost effectiveness, increasing the service offer to the public (new recycling streams etc.)
- c) Effect of maintenance on reputation value of the Council – a clean, tidy site with smart, neat operating staff will encourage higher rates of recycling.

Balance of Planned Maintenance and Emergency Work

The annual plan includes a contingency for emergencies. Regular meetings are held to monitor the plan against actual activity and any move from the plan would be based on the prioritisation criteria above.

Highways Maintenance

Prioritisation Methodology

An asset management approach is used to manage the highway network in order to ensure that the best possible use can be made of the available resources. Central to this is the collection and use of robust network condition data year-on-year, which allows us to model its deteriorating or improving condition. The results allow us to target suitable treatments at the most appropriate locations, maintaining and, where possible, improving the whole network condition. Capital allocations for street lighting are used for the replacement of columns that fail structural testing, installations that need replacing due to untraced third party damage and improvements that fall outside the scope of specific capital allocations made in recent years for a Central Management System and the introduction of LED technology. The allocations for bridge maintenance are used to undertake the minor capital works that are deemed essential. This approach should ensure our bridge stock remains in a safe condition.

External validation of our approach to managing the highway assets is now possible through Department of Transport's 'Incentive Fund' programme, established to promote efficient and effective maintenance practices nationally. Warwickshire is currently assessed as 'Level 3' and, therefore, achieving the highest incentive funding.

Planned Versus Emergency Maintenance

All routine, reactive and emergency works required to the highway network are revenue funded, allowing capital to be used for planned programmes of work designed to maintain and improve the asset condition. Bridge maintenance emergency works are funded from capital and tend to be in the form of vehicular damage, flash flooding or vandalism. At the start of the year a contingency sum from the capital allocation will be reserved to cover emergencies based on experience in previous years. This will be released for planned maintenance at the end of the year if a proportion is unused.

Schools and Non-Schools Building Maintenance

Prioritisation Methodology

Condition survey work is carried out across the property stock and classifies building and engineering maintenance items into 4 categories: D (Bad), C (Poor), B (Satisfactory) and A (Good). The categories are then given priorities highlighting recommended timescales for the work to take place: 1 – Urgent Work, 2 – Work required within 2 years, 3 - Work required within 3 to 5 years, 4 – Work outside the 5 year planning period. The priority listing is then further interrogated and validated by using a surveyor intervention check and a property future review with the Strategic Asset Management team. The budget available for the particular area of work is then allocated to the priority list and this determines that approximate number of projects that can be carried out.

Balance of Planned Maintenance and Emergency Work

Emergency work that arises means the planned maintenance programme developed from the above methodology is revised in some areas throughout the year. Projects are reprioritised and planned maintenance programmes managed to the bottom line budget.

Country Parks and Greenways, Forestry Services and Gypsy and traveller sites

Prioritisation Methodology

Maintenance will be prioritised as follows:

- a) Health and Safety – in particular the duty of care under Occupiers' Liability. This also reduces claims against the Council.
- b) Maintaining the visitor welcome, and in particular parking infrastructure (to maintain income) and replacement play equipment, fishery development, and visitor enhancements (to increase income).
- c) Schemes that lever out match funding

Winter Works programme is developed in early autumn for delivery November - Easter. Resourcing is a blend of Country Park staff, volunteers, partners and contractors in order to maximise what is achieved within the allocation. Certain works are completed outside of that period due to ground conditions, weather etc.

Balance of Planned Maintenance and Emergency Work

Emergency work that arises is funded from revenue where there is capacity to deliver this. However, if the cost cannot be accommodated within a tightly controlled revenue budget the planned maintenance programme developed from the above methodology is revised.

Common emergency works include repairs to paths / roads / furniture / play areas affected by flooding and severe weather events. Timely repair is undertaken by Ranger teams with occasional use of external contractors.

Estate management includes surfaced paths, play areas, bridges, fencing, board walks, bird hides, fishing pegs, shelters, revetments, barriers and payment machines, signage, vehicles, plant and equipment, sculptures and art installations, habitat creation and restoration, and a host of other built and green infrastructure within the parks.

Rural Services

Prioritisation Methodology

All properties are on a rolling five year rotation for condition surveys, asbestos inspections are carried out every 2 years and water hygiene inspections every four years and all properties have Energy Performance Certificate ratings. Work will be prioritised by identifying high category items from the latest surveys/inspections. The level of risk / consequences to the tenant's business (and hence the Council's rental income) is also taken into account as part of the prioritisation process.

- Priority items, identified from condition surveys as D1s (urgent) will be dealt with immediately. Prioritisation is then given to D2s (bad - items identified as needing to be addressed within 2 years) followed by C2s (poor - to be addressed within 2 years) and C3s (poor - to be addressed within 3-5 years).
- Items that have been recommended to be removed due to potential health risks on asbestos reports are programmed as the service becomes aware of them to reduce the Council's liability.
- Properties that do not meet Minimum Energy Efficiency Standards are prioritised based on when they are due to be re-let where they do not score the minimum rating of 'E'. All properties are required to meet minimum standards by 1 April 2023.

Balance of Planned Maintenance and Emergency Work

The first call for emergency maintenance is a revenue maintenance budget of £145,000. Having a capital maintenance budget to address planned maintenance has resulted in not having to put planned maintenance on hold when emergencies arise that cannot be accommodated within the revenue budget.

Assistance towards suitable placements for Children Looked After and those who leave care through adoption and special guardianship

Prioritisation Methodology

Applications are invited from foster carers, prospective adopters, special guardians who are approved or judged to be able to provide the necessary care to the child. Social Workers of children can also apply on behalf of the birth parent following agreement from their manager. The social worker needs to be satisfied and be able to demonstrate that a real need for financial support exists and will either result in long term opportunities for additional placements or is required to ensure stability and permanence of a current placement for a child looked after. In the case of parents it must be shown that capital investment to property for example will support a child to remain at home. There is an application process, endorsed by the relevant operations manager, which is considered by a panel

which is chaired by a Service Manager and include a finance representative. The decision to award the grant is made at Service Manager level within the Business Unit, with reference to and oversight from the Head of Service.

Balance of Planned Maintenance and Emergency Work

All planned Grants will be approved through the panel as described above who meet on a quarterly basis. In emergencies, the panel can convene to assess individual cases, to meet the timescales required.

Schools and Non-schools asbestos and safe water

Prioritisation Methodology

Asbestos

The prioritisation of asbestos remedial work is set out in the HSE Guidance 'The Surveyors Guide – HSG 264'. This document provides a prioritised scoring matrix for each occurrence of asbestos and allocates a condition rating of D (Bad), C (Poor), B (Satisfactory) or A (Good). Each property is resurveyed a minimum of once every 2 years. The asbestos is scored based on the type, condition and quantity; this is called the Material Assessment. The Material Assessment is then further weighted by applying a score to elements such as location, type of location and potential number of people exposed; this is called the Prioritisation Assessment. Following completion of both of these assessments, a score is allocated to each occurrence of asbestos – the higher the score, the higher the risk and therefore the higher the prioritisation.

Water Hygiene

All properties are surveyed every two or four years, dependant on property risk type. The Water Hygiene risk assessments are reported with all remedial works banded into categories indicating, High, Medium or Low risk. This data is then input into a weighting system which allocates a weighting per item, along with a weighting for type of property, occupation density etc. The result of the methodology ranks the properties into order of the highest risk difference score that could be obtained by carrying out the remedial works and all works are carried out in this priority order.

However, emergency work can arise; resulting in a situation where the plan identified in the Asbestos Prioritised Remedial Work Plan and the Water Hygiene Risk Register developed from the above methodologies is revised in some areas throughout the year.

Balance of Planned Maintenance and Emergency Work

Emergencies throughout the year will be dealt with in two ways;

- The budget allocation for works is reduced at year start to leave a small central contingency fund in the budget. This is reallocated at an appropriate time during the year.
- The projects carried out are staggered throughout the year. If an emergency arises, the necessary funds are diverted from a planned scheme and allocated to the emergency. This will result in a planned project potentially being eliminated from the list in year.

ICT Network Infrastructure

Prioritisation Methodology

Investment is prioritised based on the need for additional facilities/capacity and the life expectancy of equipment, in terms of how long it can be used for until an unacceptable failure rate is likely to occur. The level of failure rate accepted will depend on factors such as criticality of the service and resilience and support arrangements in place.

Balance of Planned Maintenance and Emergency Work

The rolling programme of investing in the maintenance of the IT infrastructure will significantly reduce the need for emergency purchases due to the regular monitoring of the equipment. However, in the event that an emergency procurement needs to be made we would adjust the planned programme, looking to extend the life of less critical equipment.

Equipment for Fire Engines

Prioritisation Methodology

Spending is prioritised through an approved fleet replacement programme produced by consultation with manufacturer's recommendations and the Council's fleet management team.

Balance of Planned Maintenance and Emergency Work

The Fire and Rescue Service has stores which hold at least enough equipment to immediately restock a spare fire engine in the event that a front line vehicle should be lost along with its entire inventory. This is our emergency reserve which is maintained as part of the rolling capital replacement programme.

Links to Related Documents

Asset Management Strategies

- The Asset Management Framework and Property Strategy
- The Highways Asset Management Strategy and the Highways Asset Management Policy
- The ICT Devices Strategy
- The Education and Learning Sufficiency Strategy

Treasury Management and Investment Strategies

- The Treasury Management Strategy

Other relevant plans and documents

- 2020-25 Council Plan
- Commercial Strategy
- Risk Management Strategy
- Reserves Strategy

Cabinet

30 January 2020

Council Plan 2025

Recommendation

That Cabinet approve the Council Plan 2025 for onward consideration by Council on 18 February 2020, as attached at the **Appendix**.

1.0 Background

- 1.1 On the 12th September 2019 Cabinet agreed the approach for the development of the Council Plan 2025.
- 1.2 On 16th December 2019, Cabinet also noted the key messages and conclusions from the public engagement programme and endorsed the next steps for the development of the Council Plan 2025.
- 1.3 The following report outlines the content of the Council Plan 2025 and the planned work to ensure its accessibility.

2.0 Context

- 2.1 The Plan is based on the County Council's established two priority outcomes, and the 14 objectives which support them, with some minor drafting amendments. This reflects the long-term nature of the outcomes and objectives, it also supports strategic alignment both with the Council's other supporting strategies, new performance framework, the development of our financial framework and the wider change plan.
- 2.2 The Plan informs, and is integral to, work taking place in parallel to develop a new Medium-Term Financial Strategy (MTFS) which will be prepared on a five-year rolling basis.
- 2.3 The parallel development of both the Council Plan and MTFS have taken place in a rapidly changing national context. Our process has been designed to be flexible and sufficiently agile to respond effectively to changes in the external environment.

3.0 Content of Council Plan 2025

- 3.1 The Council Plan 2025 sets out a vision for Warwickshire and the journey that the authority will take to deliver this vision. The Plan sets out the organisation's Core Purpose and supporting Outcomes, outlining how, as an organisation, the Council seeks to deliver them over the period 2020-2025.

- 3.2 The Core Purpose, as outlined in the plan, articulates that the Council seeks:

“to make Warwickshire the best it can be, sustainable now and for future generations”

Which is supported by the two already established outcomes:

“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”

- 3.3 In doing so we have sought to bring to life what we are trying to achieve in plain English. The Plan contains the following:

- Welcome
- Content
- Looking back – what we have achieved
- Looking forward – what Warwickshire could look like in 2025
- Looking forward – responding to climate change
- Looking forward – transforming the Council
- Funding and investment
- Looking forward – delivering on your feedback
- Our Vision – what we are aiming to achieve

4.0 Financial Implications

- 4.1 The Council Plan and MTFS will set the financial direction for the medium term. The precise impacts of the Spending Round 2020-21 that inform the draft MTFS were presented to Cabinet on 16th December.
- 4.2 The Council Plan is consistent with the MTFS and reflects the budget proposals from the MTFS that will be presented to Council on the 18th February 2020.
- 4.3 The final approved budget resolutions will then be reflected in the final version of the Council Plan 2025.

5.0 Environmental Implications

- 5.1 Following the Council’s declaration of a climate change emergency in July 2019, recommendations of the Climate Change Adaptation Task and Finish Group were presented to and approved by Cabinet on 16 December 2019, amongst which were to “provide clear direction through the Council Plan 2020-2025 detailing actions that will be taken to prepare Warwickshire for the change in climate to come”.

- 5.2 The Climate Change Mitigation Task and Finish Group met on 18 December 2019 to consider draft recommendations and potential targets and actions. The outcome of the meeting was reported to Corporate Board on 19 December 2019, and the work of the Climate Change Mitigation Task and Finish Group is the subject of a separate agenda item of today's meeting of Cabinet. The approved actions will then be included in the final version of the Council Plan 2025.

6.0 Timescales associated with the decision and next steps

- 6.1 The Council Plan 2025 will be considered by Full Council at its meeting on the 18th February 2020 together with the Council's budget setting proposals.

Background papers

None

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Portfolio Holder	Cllr Kam Kaur Cllr Peter Butlin	

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

Cllrs Seccombe, Kaur and Butlin

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Welcome

We all want to make Warwickshire the best it can be - for everyone who lives, works, visits and does business here. We want people to have the best lives and enjoy the best opportunities, and to secure the best, sustainable future for everyone.

Our county, with its vibrant mix of towns and rural areas, heritage and culture, businesses of all sizes and great connectivity, is brimming with opportunities.

But our world is also facing significant challenges. Our economy, now vibrant, must be sustained. Traditional sources of council funding are diminishing. And our environment is under threat. The Council has declared a climate emergency and we will focus on what we can do to meet the goal of carbon neutrality to protect our environment now and for future generations.

We want to make the most of those opportunities and tackle those challenges by working with you, our partners and our communities to build on the strengths we already have. By combining our collective skills, assets and connections we will achieve our ambition to make Warwickshire the best it can be.

Our Council Plan 2020–25 sets out our priority areas for action and how we will achieve them. In short, we want people to stay safe, and be healthy, independent and engaged with their communities. And we want a vibrant economy: an environment where businesses can thrive and everyone has access to jobs and training, and where there is a transport infrastructure that allows everyone to access these opportunities. Underpinning all this we want to address the long-term challenge of climate change.

We know we face pressures arising from meeting increasing demand for services and our resources, particularly in adult and children’s social care, special educational needs and disability, and waste. We will ensure the Council makes the best use of its resources to achieve our ambitions in a way that protects the interests of future generations. We will invest in prevention and support at the right time, to make sure we can manage the increasing pressures on our services. We will also look to reduce the environmental impact of what we do and how we do it.

Our strategic approach and decision making around service design will be based on evidence and data. We will work with partners and the community to ensure we build on strengths and networks that already exist, and our focus will be on prevention and self care.

We will need to work in innovative and radically different ways and to make the best use of opportunities offered by digital solutions and emerging technologies.

We are looking at a number of ways to use commercial investments and skills to enhance our services, and to secure new physical assets in order to improve the county's infrastructure.

We are tackling these challenges from a strong base. We manage our finances responsibly; our staff are engaged, committed and passionate about delivering the best possible outcomes for our communities. We work with partners who share our ambition. We recognise that within our communities there are skills, resources, relationships and networks that we can build on so that we make the most of our strengths and collective assets to make Warwickshire the best it can be, now and for future generations.




Cllr Izzi Seccombe
Leader,
Warwickshire County Council




Monica Fogarty
Chief Executive,
Warwickshire County Council


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What could Warwickshire look like in 2025?
Responding to climate change
Transforming the Council
Funding and investment
Delivering on your feedback



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Delivering our objectives
What this will mean for you

Our Plan – how this works

Our Council Plan 2020–25 sets our ambition for Warwickshire over the next five years.

It reflects on the achievements we have made so far and gives a robust assessment of the challenges and opportunities we face over the next five years as both a county and County Council.

We have listened carefully to your views and shaped a set of outcomes, which we believe respond to the priorities you have set for us as a County Council.

Under each of these outcomes sits a series of objectives, which translate our ambition into practice. These will inform the strategies we set and the way we commission and deliver services on your behalf. The plan sets out a page for each, showing what this will mean for you as customers and residents.

Our performance frameworks will ensure we monitor progress. We will annually review our progress and ensure our direction remains relevant and right.

For staff, our Council Plan will provide a reference point for all our work and a holistic view of our work priorities.

For the public, our Council Plan will set out what you can expect from us and how this will improve the places you live in, your communities and your wellbeing.

Looking back - what we have achieved

Our previous Council Plan covered three years from 2017 to 2020. We accomplished a lot during this time. Here are just a few of our achievements:

Major infrastructure projects delivered, resulting in national recognition



Kenilworth and Bermuda railway stations



M40 junction 12 dual carriageway link

Warwickshire Education Strategy launched

Improving educational outcomes of learners of all ages



Skills for Employment success

Services have helped to equip over **30,000** young people with workplace readiness skills.



Business hubs and small business grants and loans

Have helped **300** Warwickshire businesses to thrive



Recruited more social workers to support children and families

We have increased our number of social workers by 29%, ensuring better outcomes for children and young people



Reablement service continues to help customers to live independently

Service praised for quality of care and improvements it makes to people's lives



Digital improvements



Our new-look website, with updated content and features, offers an improved experience for our customers

Adoption Central England launched



Bringing together local authorities of Coventry, Solihull, Warwickshire, Worcestershire and Herefordshire

Warwickshire Multi-Agency Safeguarding Hub created

Council services, Police, NHS and other key agencies were brought together to safeguard children, young people and adults



4,500 Safe and Well checks delivered annually

By our Fire and Rescue service to protect vulnerable residents



Fitter Futures Warwickshire launched

Supporting people across the county to improve their health



Our Ask Warwickshire website refreshed

The new site has a more user-friendly experience for anyone wanting to take part in consultation and engagement activity



71,000 properties across the region able to connect to fibre network

Thanks to work of the Connecting Solihull and Warwickshire Broadband project



Positive inspection outcomes for our services



Including Warwickshire Fire and Rescue, Youth Justice and Reablement

2019/20 represents the final year of our three year financial plan. This has required us to deliver...

£58.5 million
savings
over the
period.

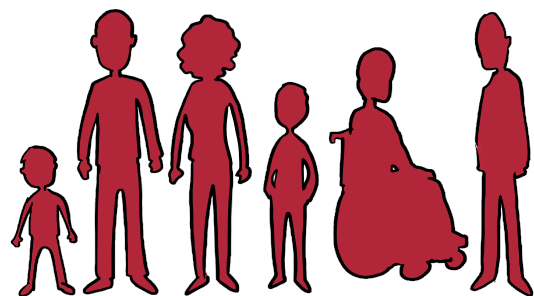
By the end of 2018/19 we delivered:

87%
£37.7 million

of planned savings and continue to deliver high quality services for the people and communities of Warwickshire. We have plans in place to deliver £14.2 million in 2019/20 and a further £1.9 million in 2020/21.

Looking forward - what could Warwickshire look like in 2025?

Our analysis of data suggests the following trends and how these might impact on services.



It is estimated that there will be

579,095

residents in Warwickshire by 2025.

This represents
an increase of
nearly

1.4%

or just over **8,000 people**
compared with 2018.

The **70+** age
group will
increase by around

14%

and the **85+**
population will
grow by around

22%

An increasing
proportion of crime
will continue to be
linked to or
facilitated by
technology, e.g.
cybercrime.



Awareness of crimes such as cybercrime
and those linked with exploitation has
increased, which will increase reporting.

Faster broadband and the pilot of
5G across the West Midlands
region will benefit business, public
services and society.

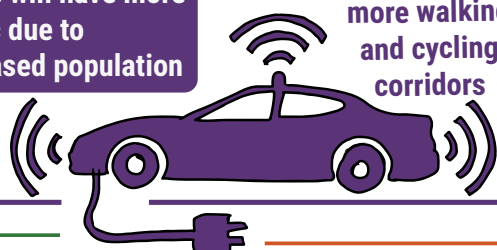
Artificial intelligence,
predictive analytics and
robotics will become
increasingly important
in service delivery and
improvement.



Growth in the use of **self-driving,**
electric and **hybrid vehicles.**

Roads will have more
traffic due to
increased population

There will be
more walking
and cycling
corridors



7,800

more jobs - an
increase of
2.4% by 2025.



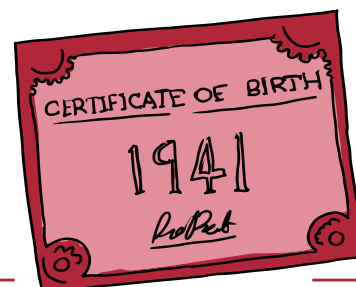
The largest
employment growth
will be in **real estate**
(12.2%), **electronics**
(10.6%), **head offices**
and **management**
consultancy (10.6%)
and **food and beverage**
(10.2%) industries.

Unless addressed the skills
available in the current resident
workforce may not meet the
needs of employers

In 2025 the motor vehicle
manufacturing industry is expected
to be Warwickshire's most
competitive and concentrated
industry. Business administration
and support services, retail,
education, construction and the
logistics sector will employ the
most people.

It is likely that by 2025 life
expectancy will be around

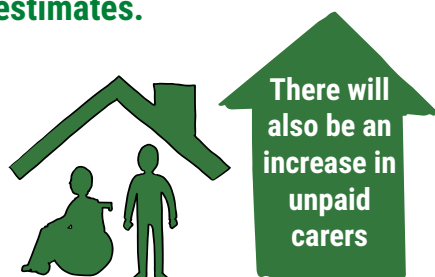
84 years for females and **80 years**
for males.



Approximately

4,300

people aged 65 and over will
be living in a care home (both
Local Authority and non-LA)
with or without nursing - an
increase of 20% from 2019
estimates.



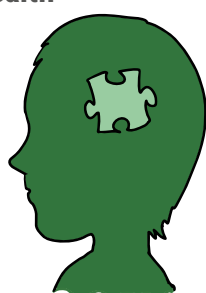
There will
also be an
increase in
unpaid
carers

Dementia represents the
biggest growing cause
of disability and rates
are predicted to
increase by

17%

in people
aged 65
and over.

Warwickshire will also
see an increase in
mental health
issues.



The quantity of waste
being managed will
increase due to housing
and business growth.



However, recent government
strategy aims to minimise
waste and maximise reuse,
recycling and composting.
This could radically change
the way waste is managed
by 2025.

Due to population growth and an
estimated 19,000 new dwellings
across Warwickshire, it is
estimated that by 2025
the school age
population will
increase
by approximately

9%

We will need to provide close to an
additional **6,000** school places.

Looking forward - responding to climate change

Climate change and carbon reduction

We engaged the public directly about climate change in developing this Council Plan, and received a lot of constructive feedback. More than a third of respondents to our survey said increasing re-use, recycling and compost rates and reducing waste are priorities.

The Council has declared a climate emergency and set up a climate change and adaptation task and finish group to address what we can and must do to create a sustainable environment now, and for future generations. The group has based its recommendations on the Met Office's UK climate projections for 2050 and includes the recommendation that this data is used to prioritise options and schemes that come forward for capital investment. A climate impact assessment for Warwickshire will be prepared.

The task and finish group is working up a number of proposals that determine how the Council can work to adapt to changes in the climate. If approved, the proposals will form specific actions that will be articulated in this Council Plan and will be driven forward through the Council's change programme.

Internally the Council has committed to play its part too. Pool cars (which staff use for work related journeys) are now electric, and we have committed to reduce paper and phase out single-use plastics.

As part of our commitment to tackling climate change we will contribute to reforestation with a programme of tree planting.

As part of our response to climate change, we make sure our work is in-line with the UN Sustainable Development Goals



Our progress so far

Through implementation of a Carbon Management Action Plan, the Council has reduced its carbon dioxide emissions from electricity consumption by 43% and gas consumption by 1% in its operational properties between 2015/16 and 2018/19. Without these actions and changes in staff behaviour the Council's emissions would have increased by 0.7% year on year to 2033.

Petrol and diesel carbon dioxide emissions consumed within Warwickshire for council owned vehicles has reduced by 21% between 2013/14 and 2018/19.

Across Warwickshire carbon dioxide emissions from general waste disposal, per head of population, has reduced by 4% from 2013/14 to 2018/19, through householders' efforts to reduce waste and recycle more.

Since 2011/12, a combination of part-night lighting and LED lantern installation saw the Council's carbon dioxide emissions for street lighting reduce by 76%.



Looking forward - transforming the Council through our change programme

The Council performs well in most areas and is financially stable, but demand for our services continues to increase, Warwickshire's population have increased by 5% in the past decade, with a further 5% projected increase over the next. This, combined with changes in how local government is financed, means that we must get fit for the future. We need to transform how we do things in order to deliver great services that are both affordable and sustainable into the future.

We have adopted a commissioning-led approach, meaning that we are reducing the cost of delivering services and designing them specifically to address local need. This will release staff capacity, reduce costs and improve productivity. We will increase our commercial activity to enhance delivery of our outcomes, deliver a positive return and sustain our finances.

The Council has adopted a new operating model in order to deliver its outcomes and objectives successfully as a high performance council. It will focus the whole organisation on a single strategic direction. It will address the projected growth in demand for our services and efficient service delivery based on need.

Our new operating model will increase the proportion of time spent on service delivery

rather than its management. It will support us by removing duplicated and fragmented systems and processes. We will take a clear and consistent approach to data, so that decisions are more robust and based on local need.

We will adopt a new approach to demand for our services and placing digital at the heart of our relationship with our customers. We will reshape the services we provide by having new ways for customers to interact with us and ensure no customers are disadvantaged.

All of this amounts to a major transformation of the Council, which has led us into a programme of continuous change in the way we do things, backed up with a total focus on high performance.

“We have adopted a commissioning led approach meaning that we are reducing the cost to deliver services and designing them to specifically address local need.”

DRAFT

Looking forward - funding and investment

Ensuring a sustainable financial future

Local authorities are required by law to have a balanced budget. For us this means a sustainable balanced budget based on sound assumptions, which shows how income will equal spend over the short and medium term i.e. the five years of the 2020-25 Council Plan.

The Council produces a rolling five-year Medium-Term Financial Strategy. This helps us to plan ahead, so we are able to meet our spending requirements, taking into account both government grants and council tax income. The Financial Strategy helps us do this in a planned and careful way so we are able to provide good quality services for our residents. Where appropriate, we will invest in physical assets to benefit those who live in, work, and visit the county.

Warwickshire County Council is becoming more commercially minded in running its services. This change reflects one of the key drivers of our change programme and will help us make better use of our resources to deliver the outcomes our residents have helped prioritise.

The Medium-Term Financial Strategy will require regular reviews in order to remain dynamic, robust, ambitious, and deliverable, and will be updated at least annually.

We use reserves to manage financial risk and promote financial sustainability. Any reserves not needed to manage financial risk are used for time-limited investment to support the delivery of the Council’s objectives or to deliver savings and reduce demand in future years. This will ensure the Medium-Term Financial Strategy for 2020 to 25 will be fully balanced on an ongoing basis.

	2020-21 total £'000	2021-22 total £'000	2022-23 total £'000	2023-24 total £'000	2024-25 total £'000
Funding					
Government grants	71,729	39,346	39,346	39,346	39,346
Business rates	71,199	95,877	97,795	99,750	101,746
Council tax	313,426	326,084	339,250	352,944	367,193
Total Resources	456,354	461,307	476,391	492,040	508,285
Spending on council services	420,158	439,553	455,997	473,571	490,615
Cost of inflation @2%	8,373	8,570	8,856	9,153	9,461
Spending on new services	40,893	18,751	18,845	15,447	16,307
Less savings from efficiencies and transformation	(13,070)	(5,567)	(7,307)	(6,131)	(8,098)
Total Spending	456,354	461,307	476,391	492,040	508,285

“The Financial Strategy helps us do this in a planned and careful way so we are able to provide good quality services for our residents”

Looking forward - delivering on your feedback

In developing this plan, it was important for us to know what is important to you. In autumn 2019 we ran a series of drop-in roadshows for people across Warwickshire and hosted an online questionnaire to capture your thoughts and priorities.

We asked you what you thought we should focus on as a Council over the coming five years. Based on our engagement with the people of Warwickshire, we are confident that our outcomes and objectives support your priorities.

Over 1,000 people responded. You told us that our key priorities should be to:

- support vulnerable children and adults;
- ensure access to high quality education settings and opportunities;
- make sure we have a good transport network including highways, public transport and active travel (walking and cycling);
- respond to climate change and your environmental concerns including recycling and reducing waste;
- support public health and wellbeing; and
- manage our resources efficiently and sustainably.

Feedback from you has enabled us to ensure that our outcomes meet your priorities. Of the responses received, your top three priorities were:

- support vulnerable children and adults;
- make sure we have a good transport network including highways, public transport and active travel (walking and cycling); and
- respond to climate change and your environmental concerns including recycling and reducing waste.

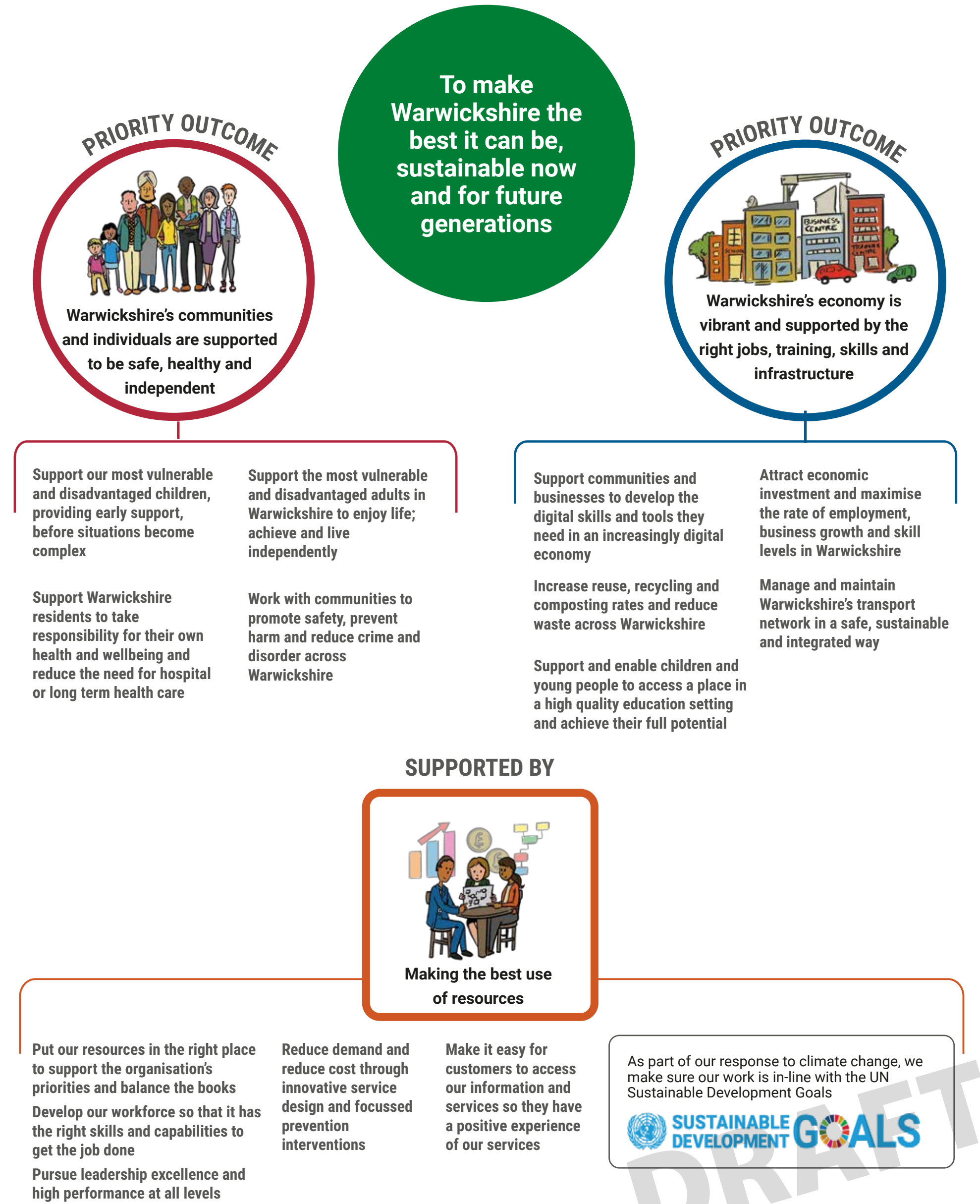
We have recently adopted a commissioning approach to the delivery of our services, which has resulted in a complete review of our Performance Framework. We have identified new performance measures, which provide a sharpened focus on performance, linked to the organisation's priorities.

It is important that we measure and share our performance with you through regular performance updates.

These priorities currently account for 76% of our budget.



Our vision - what we are aiming to achieve



Support our most vulnerable and disadvantaged children, providing early support, before situations become complex

- ➔ We will support families to give children the best start in life and focus on their strengths. We will build trusted and connected relationships with children and families that will lead to better outcomes.
- ➔ We will ensure that families, communities and partner organisations know how to access high quality information and advice.
- ➔ We will build local partnerships around our Children and Family Centres, so that families can drop in, attend courses and access support from the Council and partner organisations. We will ensure that the most vulnerable children and young people are protected from harm and exploitation. It is a shared responsibility of families, communities, the Council and partner organisations to ensure children are protected from abuse and neglect.
- ➔ We will help children to live in safe and supportive families. We will ensure that families receive as much support as possible to achieve this.
- ➔ We will ensure children in care are supported to achieve stability and build positive relationships with their families and carers. Our foster carers are vital and we will work to increase recruitment and provide support for them.
- ➔ We will remain focused on preventing young people from offending and re-offending.
- ➔ We will encourage all children to participate in learning and improve achievements for all.
- ➔ We will help young people to develop life skills and be ready for work.
- ➔ In 2021 we will open a new special educational needs school, based in Exhall, which will provide places for 80 children.

What this will mean for you:

More children will live safely at home with their families.

There will be more safe and fun places to go for family time.

We will have sufficient, high quality foster care and residential placements to meet the needs of our children in care.

Fewer children and young people will enter the criminal justice system.

You will be able to access new technologies in non-educational environments.

Provision of year round access to learning and educational opportunities.

Children and young people will have access to the support they need to maintain their emotional health.



Support the most vulnerable and disadvantaged adults in Warwickshire to enjoy life, achieve and live independently

➔ We will work with our partner organisations to ensure people have access to the support and information they need and, where possible, are able to manage their own support.

➔ People with care and support needs will be treated with respect, dignity and sensitivity to their individual circumstances.

➔ Focusing on strengths and maintaining independence is our goal. People with care and support needs will be able to find employment, maintain a family life, contribute to community life and avoid loneliness or isolation. They will receive the care and support they need in the most appropriate place – often at home.

➔ Communities will know what choices are available to them locally, what they are entitled to and who to contact when they need help.

➔ Carers will be supported to maintain a good quality of life and will be respected as equal partners.

➔ We will work together with partner organisations so that people and their carers are less dependent on intensive services.

What this will mean for you:

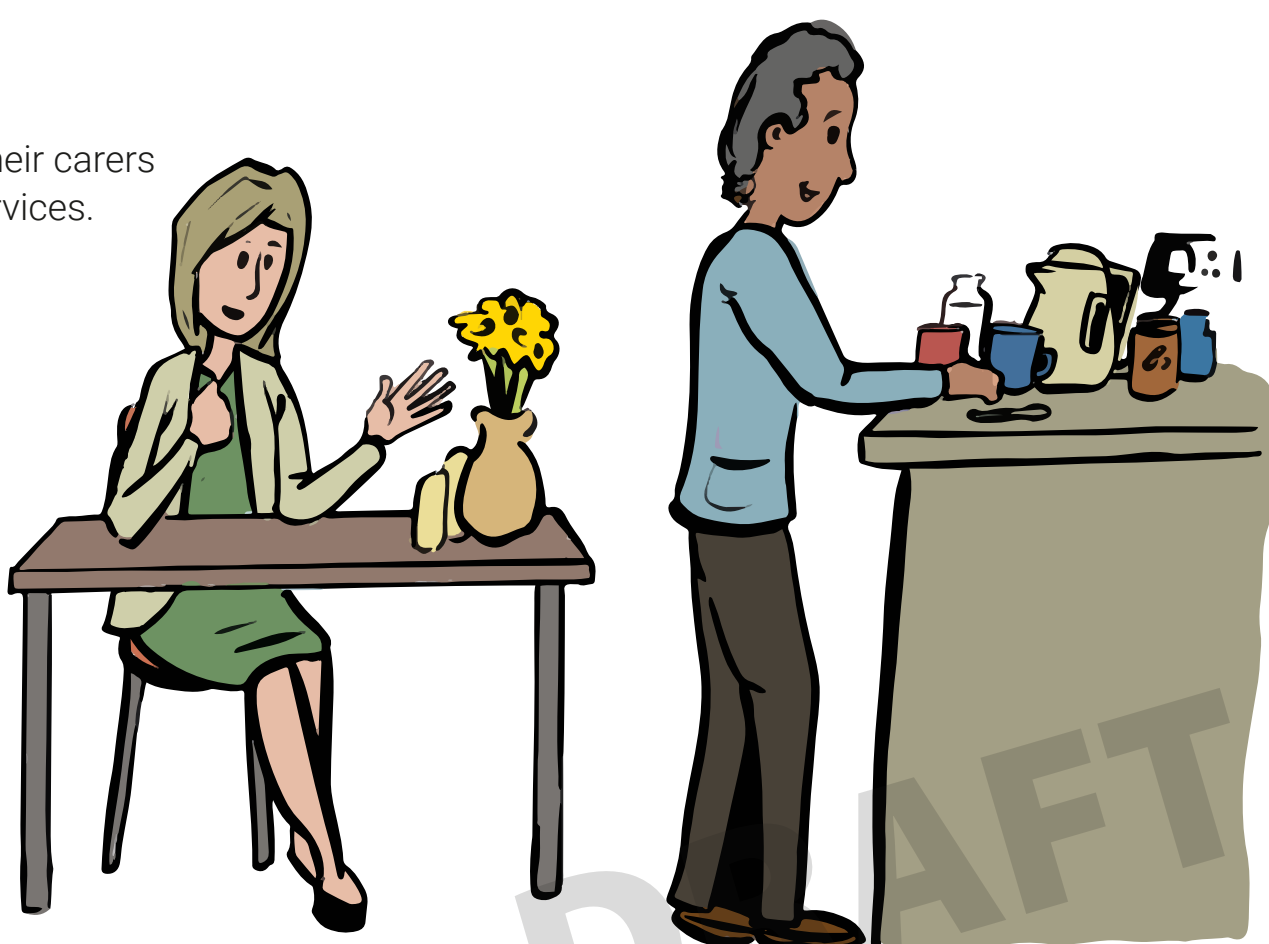
You will have easy access to accurate information to enable them to maintain their independence.

When we talk to you, we will focus on what matters to you, your personal networks, your strengths and the things available to you in your community.

You will be connected to the things available to you in your community, (both formal and informal) through information and advice and social prescribing.

Your needs as a carer will be listened to, as well as the needs of those you care for.

You will see the County Council and NHS working together to help prevent your needs increasing.



Support Warwickshire residents to take responsibility for their own health and wellbeing and reduce the need for hospital or long-term health care

- ➔ We will prioritise promoting healthy lifestyles to improve quality of life, life expectancy and healthy life expectancy.
- ➔ We will tackle the causes of health-related problems to reduce the impact of ill health and inequalities on people's lives, their families and communities.
- ➔ We will focus on the mental health and wellbeing of people of all ages living in Warwickshire, in particular those who are lonely or isolated, have mental illness or dementia.
- ➔ We will support people with long-term health conditions such as diabetes, cancer and heart disease to manage their conditions, maintain quality of life and to receive high quality end of life care where needed.
- ➔ Where people need support in hospital we will help them to return home safely and as quickly as possible with the support they need.
- ➔ We will support people to live in high quality, sustainable environments. Working with partner organisations, we will create healthy and safer places to live by focusing on housing, planning and transport; accident reduction; how we respond to outbreaks and pandemics; and reducing domestic abuse.
- ➔ We will work together with communities and partner organisations to design services that take account of the complexity of people's lives and their overlapping health and social care needs. We will focus on the best way to achieve good outcomes for people.

What this will mean for you:

You will be supported to take responsibility for your own health, and you will see an increase your healthy life expectancy.

You will see evidence that the health inequalities gap is reducing across Warwickshire.

There will be a noticeable improvement in mental health and well-being, and you will be able to access community support if you have mental health issues, dementia or are feeling lonely.

If you are living with long-term conditions, you will be able to self-care and self-manage your conditions, reducing your reliance on secondary care.

You will not have to stay in hospital longer than you need to, because support will be available to you, at home, sooner.

You will live in a safe environment that is connected to your community, with good air quality and opportunities for physical activity.

You will receive seamless health and care support.



Work with communities to promote safety, prevent harm and reduce crime and disorder across Warwickshire



Our priority is to reduce the fear of crime, and support communities and businesses to be safer and more resilient. Our emphasis is on protecting those in our community who most need our support, including vulnerable children and young people, elderly people and victims of domestic violence.



Our Fire and Rescue service will use data and information to understand all risks and how we manage them to deliver fire prevention, protection and response services.



We will develop our use of technology, for example real-time video footage, drones and GPS tracking systems at emergency incidents.



Our Fire and Rescue service will ensure increased efficiency and effectiveness through enhanced building inspections, improved diversity and recruitment, and robust contract management, ensuring best value for money.



Our Trading Standards service will support businesses to achieve compliance and protect consumers. We will take strong action against rogue traders and provide information to help people avoid them.



We will work closely with partner organisations to deliver intelligence-led initiatives such as fire prevention, preventing cyber crime and protecting vulnerable people from hate crime, radicalisation, and organised crime including county lines, exploitation, modern slavery and human trafficking.



Working within the Youth Justice Partnership, we will ensure that young people understand and take responsibility for their behaviour. We will identify and manage risks in the community and ensure the voices of victims are heard and responded to. By improving the quality of young people's lives we will seek to ensure that they are diverted from the criminal justice system.

What this will mean for you:

You will live and work in buildings that are better protected from fire through a well-informed and targeted inspection, prevention and intervention approach.

Your Fire and Rescue service will better reflect the diversity of the community you live in.

Consistent and correct information and advice at the first point of contact (will be available) for people requesting Fire and Rescue Safe and Well checks and other services.

You will be supported in understanding how to keep yourself, your family, your home and workplace safe.

You will see a decrease in youth crime, and young people will have the opportunity to take responsibility for their behaviour whilst being supported into constructive and positive lives.

As a consumer you will be protected and informed by your Trading Standards service.



Support communities and businesses to develop the digital skills and tools they need in an increasingly digital economy



We will invest in and supporting the digital skills of our communities, businesses and young people so that Warwickshire is in a strong position in an increasingly digital economy.



We will continue to support the development of vital computer programming skills in Warwickshire's primary and secondary schools to ensure that our young people have the necessary skills for the future.



We will ensure libraries and our one stop shop staff have knowledge to support customers to access digital resources. Our front-line customer service centre will be able to support customers who choose to interact with us digitally.



By engaging with businesses we will better understand their digital skills needs and can work with training providers to shape future provision. We will also offer or signpost to digital skills guidance.



We will continue to support the roll-out of a faster broadband service and 5G to all communities, which will support residents and businesses in both rural and urban areas.

What this will mean for you:

You will have easy access to computers and new technology within our libraries and one stop shops.

Skilled staff will be available within libraries and one stop shops to support you to get the best out of technology.

Skilled staff will be available within the customer service centre to support you to interact digitally.

Our young people will have improved programming and digital skills and are better prepared for future work.

Businesses and residents have access to training opportunities and guidance around digital skills.

You will be able to access technology and training to support you in gaining the digital skills and tools you need.

You will have access to 5G whether you live in the countryside or town.



Attract economic investment and maximise the rate of employment, business growth and skill levels in Warwickshire



We will encourage, support and help our existing businesses to prosper and grow.



We will attract new businesses to Warwickshire, focusing on those sectors where we have particular strengths, including automotive technology, advanced manufacturing, creative digital (such as gaming), and tourism.



To support this growth we will work with local planning authorities to bring forward a greater and more diverse supply of employment land that meets the needs of our growing economy. With government, we will shape and influence the new funding streams that will replace EU structural funding after EU exit.



We will work with town centre business communities to adapt to changing consumer behaviours. In rural areas, we will support the development of tourism, and the local food and drink sectors.



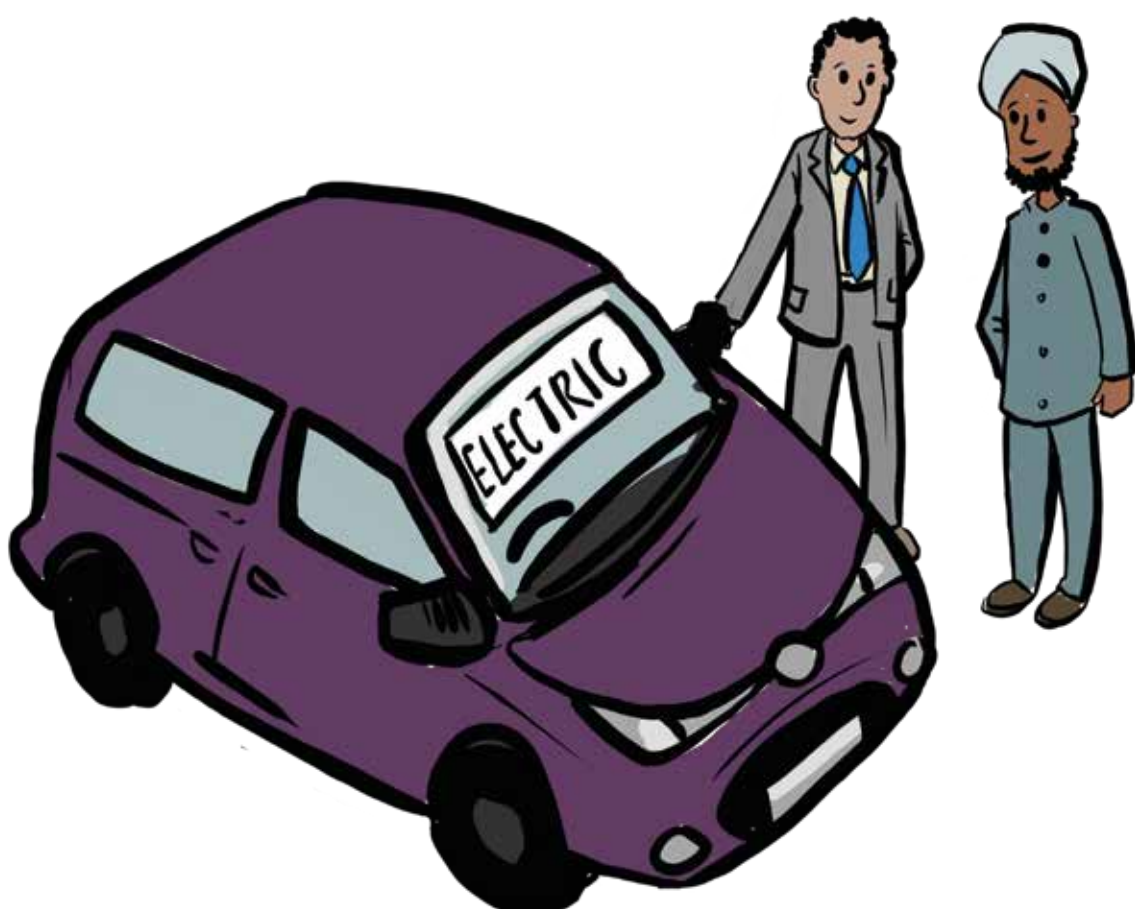
Our Fire and Rescue service will advise business owners on fire safety, and when required ensure that an emergency response is provided to protect life and minimise economic loss.



Through the implementation of our careers strategy and our skills for employment programme we will work with businesses and partners to enable help young people move from education to employment. We will also help adult to gain new and different skills, so that they are able to meet the needs of a changing economy. This will ensure Warwickshire has a suitably equipped workforce.



A new Heritage and Culture Strategy has been developed to ensure that Warwickshire continues to have a vibrant cultural offer. Through this we will enhance Warwickshire's reputation, expanding the county's heritage and culture sector and growing our visitor economy, with a strong focus on improving the health and wellbeing of our people. We also will maximise the benefits to Warwickshire of major events including Coventry City of Culture 2021 and the Commonwealth Games 2022.



What this will mean for you:

There will be more businesses in the county, giving you more employment opportunities.

There will be more high quality jobs paying good salaries.

We will provide the support, space and tools that businesses need to grow and succeed in Warwickshire.

You will have the skills you need to find the work that you want within the county.

You will see a vibrant cultural offer across Warwickshire that is accessible and relevant to everyone. This will attract more visitors to the county, support economic growth and improve health and wellbeing.

Increase reuse, recycling and composting rates and reduce waste across Warwickshire



Through increased home composting we will reduce the amount of waste we generate each year and improved waste collection will create a better environment for our communities across Warwickshire.



We will increase recycling and composting at our household waste recycling centres, and work with our district and borough councils to improve kerbside collections, including for food waste.



We will focus on and influence the new National Waste Strategy to make sure we are in line with the way we deliver, develop and improve our vital waste management services. By doing this we will achieve cost savings and performance improvements.



In order to protect the environment and further reduce costs we will also limit the amount of waste that goes into landfill and maximise energy recovery.

What this will mean for you:

We will reduce the amount of your waste that needs to be disposed of in landfill.

We will increase the reuse, composting and recycling rate by at least 1% each year to achieve an overall rate of 55% of all domestic waste by 2025.

We will provide a waste management service that is efficient and effective, and fully supports the national strategy to reduce waste and improve reuse, composting and recycling.



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Manage and maintain Warwickshire's transport network in a safe, sustainable and integrated way

- ➔ By making sure our transport network is safe and well designed, with infrastructure that works together, we will encourage people to use forms of transport that are good for the environment and limit congestion levels across the county.
- ➔ Our focus will be on improving connectivity, especially for public transport users, cyclists and pedestrians, and on supporting economic growth by linking communities to important employment, leisure, health and education destinations.
- ➔ We will work with partner organisations to tackle climate change and reduce carbon emissions by investing in public transport, walking and cycling infrastructures. We will support the use of electric vehicles and move Warwickshire towards sustainable transport choices.
- ➔ We will also deliver education and communications initiatives with a focus on road safety and reducing carbon emissions.
- ➔ We will improve journey times and the dependability of our highway network.
- ➔ We will develop prevention initiatives, based on evidence, to reduce road casualties in Warwickshire.
- ➔ We will continue to maintain our roads and footways to a good standard. We will use a data-led approach to identify assets in need of preventative maintenance in order to avoid the high costs associated with reactive maintenance.

What this will mean for you:

A transport network that is fit for purpose, in a good condition and safe for users.

It will be easier for you to make more sustainable journeys (cycling, walking, using public transport) by providing a better connected and more efficient transport network and helping to reduce congestion.

An improved network allowing for the additional housing and population growth predicted for future years.



Support and enable children and young people to access a place in a high quality education setting and achieve their full potential

- ➔ Children and young people should have the best information and support to make successful progression into further education, higher education, apprenticeships and the world of work.
- ➔ Students will have access to apprenticeships and we will be introducing T-levels – the new two-year courses that prepare students for work.
- ➔ We will remove barriers to accessing high quality learning and raise education aspirations across the county, in particular for children in care and care leavers. We will do this by developing local solutions, which will also help to secure quality provision and positive outcomes for learners.
- ➔ We will support parents by helping them provide language-rich learning at home. We will secure sufficient childcare and check that safeguarding arrangements are robust.
- ➔ We will ensure there is full support for children with Special Educational Needs and Disability (SEND) and their families, and continue to increase the number of high quality places in special and mainstream schools for children with SEND. Wherever possible we will ensure specialist education provision is delivered closer to where people live. This means that not only will we improve attainment but we will also reduce the associated transport costs and inconvenience.
- ➔ For those children and young people who find conventional schooling difficult, we will support them to achieve their potential.
- ➔ We will ensure that all children and young people benefit from sufficient high quality education provision in early years and school sectors.
- ➔ We will also ensure that the right number of school places are available, the schools have robust safeguarding arrangements in place and that good practice is shared.



What this will mean for you:

More of our 16 and 17 year olds will be in education, employment or training.

There will be more school places to meet growing demand in Warwickshire, including for learners with SEND.

All schools and settings in the more economically disadvantaged areas of Warwickshire will all be judged as good or outstanding.


There will be more supported routes into employment for our more vulnerable learners, with an increase in supported internships.


There will be better understanding of behaviours in schools, leading to a reduction in the number of fixed-term exclusions for children in care and care leavers.


Put our resources in the right place to support the organisation's priorities and balance the books


Develop our workforce so that it has the right skills and capabilities to get the job done


Pursue leadership excellence and high performance at all levels


 To meet the changing needs and expectations of our customers and deliver the Council's priorities in the most efficient way, we will invest in our workforce and find smarter ways of working. We will identify collaborative, modern and cost-effective work spaces, saving money and improving our offer to staff.


 We will develop our business intelligence, data and predictive analytics capability, systems and processes to help us to make decisions that improve outcomes and are fit for the future.

 We will deliver value for money for Warwickshire residents, make better and more strategic use of the Council's assets and continue to improve the way in which we manage external contracts.

 We will design and deliver a carbon reduction programme across the Council to play our part in tackling climate change.

 We will work with communities to capitalise on individual and community strengths to develop new ways of doing things.

 We will optimise the investments we make into Warwickshire by developing a robust pipeline of projects and initiatives within the framework of our refreshed capital and commercial strategies.

 We will identify opportunities for the Fire and Rescue service to collaborate with other blue light services to enhance efficiency, effectiveness and public safety, through the most efficient use of assets such as fire stations, fire control and training facilities.

What this will mean for you:

You will experience trained, skilled and knowledgeable staff at the first point of contact.

You will have a positive customer experience.

You will have opportunities to volunteer and make a difference in your community.

Your Council will reduce its carbon footprint and its impact on the environment.

Your feedback will influence and impact on improved service delivery.

You will continue to see a well-run and managed Council that makes the best use of its resources.



Reduce demand and reduce cost through innovative service design and focussed prevention interventions

➔ Prevention and intervention will underpin the overall approach that we take to public health, social care, health and communities in Warwickshire.

➔ Our focus will be on developing our communities' strengths, resilience and cohesion by supporting the third sector, proactive volunteer groups and individuals to help people and protect infrastructure at times of pressure or emergency.

➔ We will do this by developing an approach to prevention across Warwickshire, using valuable community resources, skills and strong prevention messages, to reduce demand and duplication of effort and improve results for communities.

➔ We will encourage the use of assistive technology and other solutions to support people's wellbeing and reduce their need for social care. We will also increase our use of data analysis and Joint Strategic Needs Assessments to design services that better fit residents' needs.

What this will mean for you:

You will have easily accessible online advice and guidance to enable self-help and resilience.

As customers you will have correct information and advice at the first point of contact, signposting to other sources as appropriate.

You will get the information you need at the first point of contact and the information you do receive will help you to stay healthy and live better lives.



Make it easy for customers to access our information and services so they have a positive experience of our services



Continuous improvement and simplifying and speeding up our processes will allow us to provide positive customer experiences. We will work with partner organisations to ensure people and communities receive the right information and advice first time.



Through our new digital approach we will provide more convenient customer-facing services, including advice and simpler information, which will be supported by more personalised face-to-face customer contact for those who need it.



We will encourage and build strong, resilient, self-supporting communities through the voluntary and community sector. We will develop a web directory of third, community and voluntary sector services that help build on individual and community strengths.



We will increase the number of council services that are available online so that people and communities are able to access them conveniently and quickly.

What this will mean for you:

You will have access to information 24/7, enabling you to support yourself.

You will be able to research community resources within your area.

You will be provided with consistent and accurate information no matter how you access services or contact the Council.

Self-assessment tools will be available for you to use at your convenience.

Where required you will have the help you need to access services.

Services will be available via digital technology, improving the effectiveness and efficiency of service delivery.



Cabinet

30 January 2020

Allocation of 2020/21 Dedicated Schools Grant

Recommendations

That Cabinet:

- 1) Support the allocation of the Schools Block DSG, as outlined in Section 3, in line with the National Funding Formula for Schools.
- 2) Support the continuation of the current Early Years formula of a universal rate of £4.09 per hour and a deprivation rate of £0.07 per hour for eligible children for 2020/21 budget allocations for all early year providers.
- 3) Approve the proposed allocation of the High Needs DSG budget for 2020/21, as set out in Section 5.
- 4) Request that a further report is brought to Cabinet in April 2020 on the pressures on the High Needs DSG budget and the detail of the plans for bringing the budget back into balance.
- 5) Agree the proposals for allocating the Central School Services DSG budget, as set out in Section 6, for 2020/21 that will go forward for approval by the Schools Forum on 19 March 2020.

1. Purpose of the Report

- 1.1. The Dedicated Schools Grant (DSG) is the ring-fenced grant from Government that provides each local authority with an allocation of funding for schools and services for pupils.
- 1.2. As part of the 2019/20 budget resolution approved at Council on 7 February 2019, Council agreed:
 - The cost of funding schools and relevant pupil-related services should be contained within the level of the DSG so that the Council does not subsidise the DSG from its own resources.
 - To continue with the approach of moving towards the implementation of the National Funding Formula for schools.

- To implement the proposals arising from the review of non-schools block DSG spend with a view to bringing the DSG back into balance.

1.3. This report has been prepared based on the strategy agreed last year. Where changes are proposed as a result of more recent information this is highlighted in the body of the report. The report also recognises that achieving a balanced DSG budget is not possible in the short term. A further report to Cabinet in April 2020 that sets out proposals for bringing the DSG back into balance is proposed.

2. Dedicated Schools Grant

2.1. Whilst the DSG is often referred to as a single grant it is, in fact made up of four blocks with minimal flexibility to move funding between the blocks. Therefore, in considering how the DSG is allocated it is necessary to consider each block separately.

2.2. The provisional 2020/21 DSG allocations of £454.9m, split across the four blocks is set out in Table 1.

Table 1: 2020/21 DSG Allocations	£m
Schools Block	349.7
Early Years Block	33.1
High Needs Block (<i>Note 1</i>)	68.1
Central Schools Services Block	4.1
Total DSG Allocation 2020/21	455.0

Notes

1. The part of the 2020/21 High Needs Block DSG allocation that comes to the authority is £55.303m. The Education and Skills Funding Agency (ESFA) top-slices £12.770m and allocates this directly to non-maintained providers.

2.3. The rest of this section outlines the powers and responsibilities of the Local Authority and Schools Forum in relation to DSG allocations before the rest of this report covers the basis of allocations in each of the blocks separately.

2.4. Schools Block

It is the responsibility of the County Council to propose and decide any changes to the formula which is used to allocate Schools Block DSG to all primary and secondary schools. The Schools Forum is consulted on any proposed changes and informs the governing bodies of all consultations.

2.5. Early Years Block

The local authority must passport a minimum of 95% of funding for the universal 15 hour entitlement for 3 and 4 year olds and the additional 15 hours entitlement for 3 and 4 year old children of eligible working parents directly to settings. This means up to 5% can be retained by the Council to fund Early Years functions delivered by Education Services.

It is the responsibility of the local authority to propose and decide the allocation of Early Years funding. The Schools Forum and all early years providers are consulted annually and given an opportunity to give their view on the local authority proposal.

2.6. High Needs Block

The High Needs Block supports provision for children and young people with special education need and disabilities (SEND). The High Needs Block also provides the resources for place funding; top-up funding for institutions and funding for high need services delivered by the local authority.

It is the responsibility of the local authority to propose and decide the allocation of High Needs Block funding. The Schools Forum is consulted on any proposed changes and informs the governing bodies of all consultations.

2.7. Central School Services Block

The Central School Services Block provides funding for the local authority to carry out central functions on behalf of pupils in both maintained schools and academies. Services are split between on-going and historic responsibilities.

The local authority proposes the spending allocations funded from the Central School Services Block but the final decision is made by the Schools Forum.

3. Schools Block National Funding Formula 2020/21

- 3.1. The Schools Block DSG allocation for 2020/21 is £349.7m. This is an increase of £22.4 million (6.81%) from the 2019/20 allocation and is due to two main reasons:
- The total number on roll for 2020/21 has increased by 1,276 pupils (1.70%) above 2019/20 pupil numbers. Table 2 shows the number on roll changes by phase and school type.

Table 2: Changes to the Number on Roll between 2019/20 and 2020/21	
	Total
Primary	181
Secondary	1,018
All-through	77
	1,276

- The minimum pupil funding allocated as part of the DSG for Primary Schools has increased to £3,750 in 2020/21 from £3,500 in 2019/20 and for Secondary Schools has increased to £5,000 from £4,800 over the same period.

3.2. The Schools Block DSG allocation for 2020/21 has meant the authority can continue to apply the 'hard' National Funding Formula (NFF) in 2020/21. This means no changes to the policy and formula agreed last year, namely that Warwickshire Schools are funded based on the Government's methodology in advance of the 'hard' NFF being formally implemented at a national level.

3.3. A breakdown of the movements in the NFF factors between 2019/20 and 2020/21 is shown in Table 3 below.

Table 3: Comparison of NFF allocations 2019/20 and 2020/21				
Factor	2019/20 £m	2020/21 £m	Difference £m	Reason for Change
Age Weighted Pupil Unit (AWPU)	246.3	261.4	+15.1	Pupil led factor +4% Increase
Deprivation	18.6	20.4	+1.8	Pupil led factor +4% Increase
English as an Additional Language	0.8	2.4	+1.6	Eligible children receive funding for 3 year rather than 1 +4% Increase
Prior Attainment	24.2	24.0	-0.23	Pupil led factor +4% Increase
Lump Sum	25.2	26.3	+1.1	4% Increase
Split Sites	0.2	0.2	0.0	No change
Rates	3.4	3.6	+0.2	Actual costs of rate bills
Minimum Pupil Funding	4.2	5.8	+1.6	Changes in allocations for 2020/21
Minimum Funding Guarantee	3.0	1.0	-2.1	All schools get +1.84% so fewer schools protected
Growth Fund	1.5	1.9	+0.6	More Growing Schools
Unallocated	0.0	2.7	+2.7	Currently unallocated pending outcome of disapplication and consultation with schools on balance
Total	327.4	349.7	+22.4	

3.4. Increases in the minimum per pupil funding and minimum funding guarantee ensures schools will receive increased funding where their number on roll remains the same between 2019/20 and 2020/21. Where a school's number on roll has dropped between the 2019/20 and 2020/21 their budget share may also

decrease as well. 98 out of 231 schools have seen a drop in their number on roll between 2019/20 and 2020/21. None of these schools has seen a drop in its budget share greater than the drop in their number on roll.

- 3.5. The Schools Forum strongly supported the policy decision to move to the NFF at the earliest opportunity taken last year and therefore also support the decision to make no changes to the approach for 2020/21.
- 3.6. Due to a higher than expected settlement in the Schools Block, 0.5% of the Schools Block budget could be moved to the High Needs Block without affecting any indicative allocations to schools under the National Funding Formula. This would go some way to addressing the forecast overspends in the High Needs Block in 2020/21 (see paragraph 5.5 for further details).

4. Early Years Block National Funding Formula 2020/21

- 4.1. The Early Years NFF allocates funding to Warwickshire below what is deemed to be the minimum hourly rate. This means, along with many other shire counties, Warwickshire receives 'top-up' funding to bring our allocation up to the minimum hourly rate of £4.38 per hour to cover all early years activity. Of this minimum hourly rate at least 95% (£4.16) must go directly to providers either as a universal rate or as the mandatory supplement for deprivation and up to 5% (£0.22) can be retained by the local authority to fund central Early Years functions.
- 4.2. The increase in overall funding levels means it is possible to increase the overall universal rate to £4.09 per hour, an increase of £0.13 per hour compared to the £3.96 universal rate in 2019/20.
- 4.3. The breakdown of how the £4.38 is to be allocated is set out in Table 4.

Table 4: Early Years Allocation of Funding per Hour	
Factor	2020/21 Allocation Per Hour £
Universal rate allocated to all providers	4.09
Deprivation Supplement	0.07
Central Provided Services (5%)	0.22
Total for 3 and 4 Year Olds	4.38

5. High Needs DSG Budget Allocations 2020/21

- 5.1. The 2020/21 allocation for High Needs DSG is £68.073m. This represents a £5.610m increase on the equivalent allocation for 2019/20. Of the total

allocation of £68.073m the ESFA will allocate £12.770m direct to academies for high needs places. The allocation available to the local authority to manage is therefore £55.303m.

- 5.2. High Needs Block funding is based on SEND pupil numbers at October 2019 in mainstream; special and resourced provision maintained schools and academies, and SEND pupil numbers at January 2019 in independent provision. The funding is made up as follows:
- Basic entitlement factor funding at £4,000 per pupil, adjusted for area costs.
 - Historic spend factor. This amount is maintained at a cash-flat level and accounts for 89% of the total High Needs allocation.
 - The remaining amount of overall funding is distributed to local authorities using the following proxy indicators:
 - 2-18 year old population
 - deprivation
 - health and disability
 - low attainment
 - The formula then applies the protection of a funding floor to all elements except the basic entitlement factor.
 - Hospital education funding is added.
 - Import/export adjustments are made mid-year to reflect the transfer of pupils with SEND into and out of the County
 - Additional funding for Special Free Schools
- 5.3. The 2019/20 Quarter 3 figures being reported to Cabinet elsewhere on today's agenda show a 2019/20 overall forecast DSG overspend of £5.040m. Demand is forecast to continue to grow, indicating that without any action it is likely the High Needs DSG will overspend again in 2020/21 by £6.398m. Work to assess demand is ongoing and the forecast overspend is therefore subject to change before the final budget is brought to Schools Forum in March. However, the position is unsustainable as the authority will not continually be able to identify funding equivalent to a 2.1% increase in the council tax to make good the overall financial position.
- 5.4. As described, there remains an expected overspend of £6.398m in the High Needs Block in 2020/21. Following consultation, Schools Forum considered the proposal to move 0.5% (£1.748m) of the Schools Block to the High Needs Block on 16th January 2020. 90% of the schools that responded to the consultation disagreed with the proposal. However, the better than expected Schools Block DSG allocation for 2020/21 means 0.5% movement could now be achieved without affecting indicative school budgets under the national

funding formula. The proposal was rejected at the Schools Forum meeting on 16th January 2020.

- 5.5. The local authority can request that Secretary of State for Education intervenes on this matter by submitting a 'disapplication.' The submission of the disapplication was made on 28th November 2019, as required by the Department for Education.
- 5.6. It is argued that overspend in the Dedicated Schools Grant should be addressed from the Dedicated Schools Grant. Whilst this will not address all of the overspend forecast for 2020/21, it will make a significant contribution to it. The pressures upon High Needs Funding have been well documented nationally and set out in the High Needs Task and Finish Group report (presented as an appendix to the Cabinet paper on 16th December 2019).
- 5.7. The local authority has continued with the submission and is awaiting a response from the Department for Education.
- 5.8. It should be noted that the ESFA have not yet disclosed the outcome of the November 2019 Specific Grant and Ring-fenced status consultation, which if enacted would prevent Local Authorities from using its own resources to fund High Needs overspends. If changes to the terms and conditions are required to be applied to the 2019/20 position, this could require the 2020/21 DSG to repay the 2019/20 overspend. The High Needs overspend is forecast to be £5.414m and the 2020/21 High Needs overspend is currently expected to be £6.398m; but if the Local Authority cannot fund the 2019/20 overspend, the 2020/21 High Needs shortfall increases to £11.812m. A movement of funds from the Schools Block into the High Needs Block (ie the 0.5% transfer equating to £1.748m) would reduce the 2020/21 in year pressure to £4.650m or the 2020/21 cumulative pressure to £10.064m.
- 5.9. As highlighted in the 2019/20 Financial Monitoring report elsewhere on today's agenda, the Local Authority is currently exceeding the 1% threshold which will result in a requirement for the Service to produce a DSG Deficit Recovery plan. The pressure identified in 2020/21 would need to be addressed in this process.
- 5.10. The Schools Forum when considering the provisional High Needs DSG budget recognised that, given the funding available, the authority would need to take difficult decisions to bring the budget back into balance. But, as individual school leaders as well as Schools Forum representatives, they know that demand pressures have yet to stabilize leaving little room for manoeuvre.

- 5.11. The Schools Forum was keen that the next phase of any work should include a focus on out-of-county placements as these represent almost a quarter of total spending. A direction of travel, to build capacity locally whilst also looking to stem demand at the front end with a graduated approach to meeting demand before the long-term commitment of an out-of-county placement was made, was supported.
- 5.12. It is recognised that nationally pressures on the school system, and the high needs budget in particular, are continuing to rise. This demand pressure alongside the need to deliver material savings and manage future demand to bring the budget back into balance means the High Needs DSG remains an area that requires close oversight. It is proposed that a further report is brought to Cabinet in April 2020 that outlines the pressures on the DSG budget and details the plans for bringing the budget back into balance.

6. Central School Services DSG 2020/21

- 6.1. The allocation to the Central School Services Block (CSSB) is £4.061m in 2020/21. This represents a £0.343m reduction on the 2019/20 figure. CSSB funding is allocated partly to historic commitments and partly for ongoing functions relating to both maintained schools and academies.
- 6.2. As expected, Warwickshire's historic commitments allocation has reduced by 20% from 2019/20 to £1.278m, this is a reduction of £0.320m. Funding for ongoing functions is allocated using a pupil-led formula, based on 2019/20 pupil numbers, and comprises a basic per-pupil factor, through which authorities receive the majority of funding, and a deprivation factor. Warwickshire ongoing funding will reduce by £0.023m, to £2.783m in 2020/21.
- 6.3. The decision on the use of the CSSB is one for the Schools Forum based on proposals from the authority. At the January Schools Forum meeting, School Forum received and noted the budget adjustment proposals. The proposals mean that the reduction imposed by ESFA in the CSSB can be accommodated primarily by a reduction in the cost of support services charged to support Education Functions, thereby not impacting the budgets of other functions.
- 6.4. The CSSB allocations for 2020/21 will be confirmed by the Schools Forum at their meeting on 19 March 2020.

7. Financial Implications

- 7.1. A number of financial implications are outlined within the body of this report. Subject to Cabinet approving a further report to be brought to the April 2020 meeting, the required actions for bringing the budget back into balance and further financial implications will be outlined in the proposed further report in April 2020.
- 7.2. A provision to meet any overspend on the High Needs DSG in 2019/20 and 2020/21 has been set aside before identifying the level of time-limited resources available to Members to support the delivery of priorities. Further reserves may need to be set aside in future years subject to the delivery of the action plan for bringing the DSG back into balance and the outcome of the Government consultation on the accounting treatment of DSG deficits.

8. Environmental Implications

- 8.1. There are no specific environmental implications arising from the decision being made as part of this report.

9. Background Documents

- 9.1. None

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Elected Members have not been consulted in the preparation of this report.

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Cabinet

30 January 2019

SEND & Inclusion Strategy Update and Peer Review

Recommendation

That Cabinet approves the report, updated self-evaluation and SEND & Inclusion strategy delivery plan in response to the Special Education Needs and Disability) (SEND) Peer Review

1.0 Background

- 1.1. Warwickshire launched its SEND & Inclusion Strategy in April 2019. In September 2019, along with all local authorities in the West Midlands, Warwickshire agreed to undertake a SEND Peer Review. The final report has now been published and is attached at Appendix A. The updated self-evaluation and delivery plan are attached at appendices B and C. The SEND & Inclusion Board has accepted the report and the response outlined below. This report provides an update on the SEND & Inclusion Strategy, including feedback from the Peer Review.

2.0 Overview

- 2.1 The SEND & Inclusion Strategy has six priorities. The full delivery plan, including progress against named indicators is set out in Appendix C.
- 2.2 *Promoting Inclusion.* Increasing the number of children with EHC plans learning in mainstream settings remains a challenge for the local authority. National reports show this to be a national problem, with base funding for schools and a culture of performance tables acting as significant barriers to inclusion. However, Warwickshire is an outlier with regard to the proportion of learners in specialist provision. Key activities are in progress such as expanding resourced provision and revising our guidance to mainstream settings (SEN Provision Matrix). Our arrangements for early years, in particular the Warwickshire Inclusion Kitemarking Scheme, has been identified as best practice in inclusion.
- 2.3 *Getting it Right for Learners with High Needs.* The investment in the Pears site is significant for Warwickshire in being able to meet the needs of learners inside the county border as the population increases. The percentage of EHC plans issued within 20 weeks has improved dramatically in two years from 29% to 90% (nationally the average has dropped to 61%). Whilst the Peer Review pointed out some areas for clarification in our processes, Warwickshire has a sound base to work from.

- 2.4 *Improving Health and Social Care.* The major success has been the reduction of young people in mental health inpatient beds with a learning disability and/or autism due to collaborative work on the transforming care project. Further to this, Care Quality Commission has judged South Warwickshire NHS Foundation Trust's children and young people community services to be outstanding. The Peer Review commented on the positive relationships across education, health and social care. This covers a vast number of service areas and projects. There is genuine collaboration and agencies are working together on agreed plans to improve joined-up provision. Governance structures for joint commissioning are being reviewed to ensure swifter decision-making.
- 2.5 *Preparing for Adulthood.* Warwickshire's work on supported internships puts it in a leading group nationally in this area. The County Council itself is hosting 3 supported internships in 2019/20, with a total of 57 being offered across the County. The ambition is for 100 supported internships to be offered by 2020/21. Whilst significant improvements can be made to joining up adult social care and health with EHC plan processes, the Peer Review was complimentary of the commitment of agencies to achieve this.
- 2.6 *Transport.* Pressures on transport increase as the number of learners with EHC plans increases. The introduction of a risk assessor team has both improved the responsive of the Council to quality issues, as well as ensuring that support is targeted appropriately in line with our policy.
- 2.7 *Workforce Development.* Improving the confidence of the workforce, particularly in meeting social, emotional and mental health needs, remains key to transforming our system. Developments have taken place, such as increasing the number of local school leaders in SEND from 2 to 5. A broader workforce development plan is due to be presented to SEND & Inclusion Board.
- 2.8 *Resources.* Cabinet will be aware from the High Needs Block Report in December 2019 that significant resource issues remain for learners with SEND. The Council is working with the Schools Forum to develop an achievable long term plan for balancing the dedicated Schools Grant, as well as lobbying central government for additional funding.

3.0 Feedback from Peer Review

- 3.1 The Peer Review process was overseen by the Schools Development Support Agency (SDSA). A team of four professionals from two local authorities, a Parent Carer Forum and the Council for Disabled Children spent two days in Warwickshire. The first day included an opening presentation, 14 focus groups and observation of one of our EHC request panels. The second day included visits to six settings prior to a session with the Warwickshire Parent Carer Forum and a final presentation of the team's findings. As well as highlighting strengths and areas for improvement, the experience was a helpful practice for the Ofsted/CQC SEND Local Area Inspection that is expected in 2020.

- 3.2 The review team was asked to focus on our processes for issuing and reviewing EHC plans, and our practice for preparing young people with SEND for adulthood (with a particular focus on health and social care practice in the latter).
- 3.3 The report highlights a number of strengths within current practice. These are now reflected in our full self-evaluation document (summary attached at Appendix B).

Strengths

Early Years

- 3.4 Positive feedback on our arrangements for early years was well received and reflect an integrated approach. Reviewers visited one of our WInCKs settings and were particularly positive about the scheme in verbal feedback and the inclusive approach of our early years settings.

Supported Internships and post 16 education

- 3.5 The progress and ambition for supported internships was also commended, to the extent that Warwickshire were encouraged to share best practice with other areas. We are now presenting at the National SEND Employment Forum in February 2020 (Leeds). A visit to a post-16 setting where WCC invested capital funding in 2016, was also highly positive and demonstrated inclusive practice in our colleges.

Working with health and social care

- 3.6 The review highlighted good joint working practice across education, health and social care professionals, and the ability to articulate a shared ambition in their areas of work.

Areas for improvement

Decision not to assess

- 3.7 The identification of high levels of 'decision not to assess' requests for EHC assessment is to be investigated. Comparatively, Warwickshire does turn down a higher proportion of requests for assessment than the national average.
- 3.8 It should be made clear that Warwickshire practice is in line with the SEND Code of Practice, Chapters 6 and 9 (in particular 9.14). This expects a graduated approach to SEND within schools. Local guidance is set out in the Warwickshire SEND Provision Matrix. Requests for EHC assessment are considered against evidence of a graduated response from settings. Whilst this usually involves two cycles of 'Assess, Plan, Do, Review', there is an exceptional circumstances pathway to ensure that a blanket policy is not adopted.
- 3.9 It should be stated that the majority of decisions not to assess are **not** overturned at mediation as stated in the report. In 2019, there were 233 requests for EHC assessments resulting in decision not to assess. In 31 cases an assessment was carried out following mediation or appeal.

- 3.10 It is also noted that Warwickshire has increased the percentage of EHC plans at school age from 3.1% to 3.2%. The national average has risen from 2.9% to 3.1%.

Special school placements

- 3.11 The report also stated that 'Consultations with parents for special school settings does not meet the requirements set out in the Children and Families Act 2014 regarding a parental right to name the setting, as parents are not chronologically responded to following parental requests.'
- 3.12 Warwickshire assert that current arrangements are fully compliant with the Children and Families Act and SEND regulations which are to name the school of parental preference except where:

- (a) the school or other institution requested is unsuitable for the age, ability, aptitude or special educational needs of the child or young person concerned, or*
- (b) the attendance of the child or young person at the requested school or other institution would be incompatible with—*
 - (i) the provision of efficient education for others, or*
 - (ii) the efficient use of resources.*

- 3.13 Warwickshire use a panel process called the SEND Provision Panel. Parental preferences for specialist provision are consulted upon within 15 days. 8 out of 11 special schools in Warwickshire are currently oversubscribed. The panel considers requests and feedback from consultations from within the time period and places according to the needs of the child, rather than by order of request. Legal advice has approved the decision-making arrangements for admission to specialist provision (which is similar to a number of other local authorities) and which are published at www.warwickshire.gov.uk/SEND.

Relationship with Warwickshire Parent Carer Forum

- 3.14 The relationship with the Warwickshire Parent Carer Forum was not a key line of enquiry for the Peer Review. As a result, there was not an opportunity to triangulate some of the issues raised. However, it was evident that the current working relationship is not in a good place and urgent action is required (see 5.2 below). Warwickshire continues to work with the Parent Carer Forum as well as other groups of parents, to implement the delivery plan.

Local Offer Review

- 3.15 The Local Offer webpages were highlighted in our self-evaluation as an area for improvement and work is underway to address this.

Preparation for Ofsted/CQC

- 3.14 Overall, the experience of the Peer Review was helpful. As well as identifying strengths and areas for improvement, it provided a helpful dress rehearsal for inspection in terms of logistics and presentation. There was some disappointment that certain areas of our preparation for adulthood (16-25) services received minimal scrutiny and health and

social care transitions remain areas for improvement on our self-evaluation.

4.0 Urgent actions

4.1 The SEND & Inclusion Board monitor the SEND & Inclusion Delivery Plan every half term.

4.2 With regard to the urgent actions:

- Impower has been commissioned to deliver the SEND Transformation project over the period October 2019 to February 2020. Investigating the number of 'decision not to assess' is a key line of enquiry. In addition, and with immediate effect, the request panel is already revising its approach to requests in particular circumstances. The number of decisions to assess is being monitored on a monthly basis.
- Contact (the organisation who award the grant to the Parent Carer Forum) is providing additional support to improve the relationship between WCC and the Parent Carer Forum, and expand representation (including succession planning). A development plan is expected to be drafted by January 2020
- Working with the web team, the Local Offer webpages have been reviewed using "treejack" and feedback from stakeholders; Finn Wilding Ltd has been commissioned to provide recommendations on future design (December 2019-February 2020).

5.0 Financial Implications

5.1 The SEND & Inclusion Strategy covers a wide range of services, costs centres and sources of funding. There is a separate paper on the Cabinet agenda addressing the High Needs Block. Overall, the financial implications will need to be managed by Education Services and will need to align to the Medium Term Financial Strategy.

6.0 Environmental Implications

6.1 The action plan includes recommendations for increased resourced provision, specialist provision (to meet housing growth). The environmental implication for associated capital projects with these activities will be considered as part of the capital strategy reports to Cabinet.

7.0 Conclusions

7.1 The SEND & Inclusion Strategy, self-evaluation and delivery plan remain key documents for upcoming SEND Local Area inspection (expected in 2020).

Background papers

SEND & Inclusion Strategy (April 2019)

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

Local Member(s): None

Other members:

Cllr Colin Hayfield
Cllr Jeff Morgan
Cllr Yousef Dahmash
Cllr Pam Williams
Cllr Corinne Davies
Cllr Dominic Skinner
Cllr Jonathan Chilvers
Cllr Jerry Roodhouse
Cllr Richard Chattaway

Appendices

Appendix A - Peer Review Report
Appendix B – SEND Self Evaluation
Appendix C – Updated SEND & Inclusion Strategy Delivery Plan

APPENDIX A

Sector-led Improvement within Children's Services in the West Midlands

SEND PEER REVIEW REPORT

Warwickshire Local Area – 19th/20th September 2019

Purpose

Peer review is a proven tool for improvement. The East and West Midlands region is supported by the School Development Support Agency (SDSA) who have facilitated the arrangements for this review.

The review is intended to provide an opportunity to reflect on the local area's progress in implementing the reforms introduced under the Children Act 2014 and to make recommendations, where appropriate, on areas for development.

The review will support Warwickshire's preparations for the Ofsted/CQC SEND Local Area inspection.

The review will provide opportunities for colleagues on the Review Team and Warwickshire local area partners to share and develop good practice through support and professional challenge.

Review team members

- Michelle White SEND Team Manager, Lincolnshire County Council
(Lead Reviewer)
- Jayne Stevens, PODS Parent Carer Forum, Telford and Wrekin
- Nayna Amlani, Local Offer and Preparing for Adulthood Project Officer,
Leicester City Council
- Anna Gill, Council for Disabled Children Associate

Key lines of enquiry, selected by Warwickshire

Area of Strength

To validate the strengths of the EHC plan processes in identifying need, whilst examining areas for improvement in the collaboration between education, health and social care partners. This will be explored through:

- Review the panel process for EHC assessment decisions (including panel observation)
- Challenge and review the panel processes for placement in specialist provision and allocating high needs funding
- Challenge and review the processes for EHC annual reviews
- Review the quality of EHC plans through the sampling of EHC plans
- Discussion with members of the case work team that co-ordinate assessments
- Focused discussions with partners, particularly those in social care and health, including the Designated Clinical Officer/Designated Medical Officer direct conversations with partners, young people and parents/carer
- Review of information available on Local Offer

Area of Development

To review Warwickshire's local area approach to and provision of Preparing for Adulthood for children and young people with SEND, primarily with EHC plans. This will be explored through:

- Challenge and review of post 16 arrangements for learners with EHC plans, in particular focusing on transition of educational placements, annual reviews, and updated needs assessments
- Challenge and review of the transition pathways between children's social care to adult social care; children's health services to adult health services; and children's mental health services (Rise) to adult mental health services.
- Challenge and review of arrangements for personalization, such as direct payments and personal health budgets
- Arrangements for ceasing EHC plans
- Sampling of EHC Plans

- Direct conversations with young people, schools and partners in the area – particularly colleges and employment support agencies
- Discussion with parent/carers
- Review of any published guidance on preparing young people for adulthood

Methodology

The Review took place over two days and Warwickshire identified the meetings, visits and EHCPs/Care Plans for the team to review.

Peers have reviewed the local area's Self-Evaluation and cross-referenced to both nationally published and locally held data and information as of the date of the Review. There were a series of meetings with professionals from a range of disciplines that contribute to the identification of SEND and the provision of services to meet needs. Meetings were held with parent carers from WPCF, education settings and children and young people as deemed appropriate by Warwickshire local area.

Peers also undertook a desk-top review of any data and information provided by the Warwickshire local area SEND partnership to further refine the key lines of enquiry and a review of the Local Offer.

Service/Areas involved

SEND and Inclusion, Parent Carer Forum, SENDAR, Children with Disabilities, Social Care, Adult Social Care, Early Years, Education Psychology, Specialist Teaching Service, Integrated Disability Service 0-5, Leaving Care, Commissioning, South Warwickshire CCG, Coventry and Rugby CCG, NHS Coventry and Warwickshire Partnership Trust, South Warwickshire NHS Foundation Trust, x2 Designated Clinical Officers, 0-5, Education Service Delivery, Employment Support Team, Little Willows Early Years setting, Middlemarch Resourced Provision, Paddox Primary School, Warwickshire College – The White House, Oak Wood Special School, Ashlawn Secondary School.

Observations and focus groups attended

EHC Planning

Graduated Response and the SEN Matrix, Post 16 and Post 19, EHC Referral Panel, SENDIAS, Assessment Process, Annual Review Process, Early Years, Placement Process.

Preparing for Adulthood

Transition from Children's to Adult's Social Care, Transition from Rise (CAMHS) to Adult Mental Health services, Transitions from Children's to Adult's Health services, Social Care Transitions team, Commissioning, Personalisation, Direct Payments and Personal Health Budgets, Employment and Volunteering.

Cases reviewed

x8 EHCPs

x5 Yr 11 upwards EHCPs

x5 Care Plans

x5 Educational Psychology Advice and Information reports

Acronyms used:

CYP	Child/Young Person
LAC	Looked After Child
EHCP	Education and Health Care Plan
EHCA	Education and Health Care Assessment
PfA	Preparing for Adulthood
WPCF	Warwickshire Parent Carer Forum
WCC	Warwickshire County Council
AHMS	Adult Mental Health Services
CCG	Clinical Commissioning Group
SENDIAS	Special Educational Needs and Disability Information Advice and Support
SENDAR	Special Educational Needs and Disability Assessment and Review
DCO	Designated Clinical Officer
DMO	Designated Medical Officer
CDC	Council for Disabled Children
MDT	Multi-disciplinary Team
NDTi	National Development Team for Inclusion

Overall Findings

The strength of the WPCF and WCC, if combined and working well together would generate a significant resource to the area; building on the already good work in place by both parties to further improve services to children and young people with SEND and their families in Warwickshire. Whilst division remains it will impede the progress of future service improvement.

Michelle White, Nayna Amlani, Jayne Stevens and Anna Gill

Preparing for Adulthood

- Clear acknowledgement of need, including gaps in service provision and action by the local area – good interventions and plans in place, excellent outcomes – positive further work planned for.

EHC planning and process

- The local area should consider the tension between the requirements of the Children and Families Act Regulations 2014 and the SEND Code of Practice 2015 when considering individual requests for assessment
- Annual Review process delayed
- Genuine strong working relationships across health and social care; clear identification of need and provision and plans in place to address gaps – good work in progress

Recommended Urgent Actions

- WPCF and WCC relationship
- A review of the decision to assess for an EHCA needs assessment
- Local Offer review

Evidence

Preparing for Adulthood

Strengths

- The proportion of adults with a learning disability in paid employment 2017/18 outturn for Warwickshire was 11.6%, compared to the national average of 6% - an incredibly positive statistic for the people of Warwickshire.
- 64% paid employment results for young people completing Supported Internships.

- WEST – Warwickshire Employment Team providing a county-wide service to people with a learning disability or who are on the Autistic Spectrum who want to work. The team successfully supports adults over the age of 18 to find employment, offering them a range of supportive, flexible and creative provision.
- WCC's development of the 'Supportive Employers group' – attracting and engaging more than 60 businesses across two events to create Supported Internships for young adults in the county. The Council is planning to hold conferences every two months to grow the network and provide supportive information for employers.
- The White House – Further Education. Strong PfA opportunities, such as learning independent living skills, work ready skills, and accessing internships. All students are given a bespoke offer and will progress onto new courses related to their aspirations and outcomes in their EHCP. The college offers “Google Classroom” to enable the young person to transfer their learning and practise their skills in the home environment. The college has various flexible offers for students with a range of difficulties. Strong transitional arrangements in and out of college were evidenced.
- The settings chosen by WCC for the Review were extremely inclusive in their practice and worked hard and creatively to support their EHCP learners. From Early Years to FE across mainstream, special school and resourced provision – the 'Golden Thread of partners being passionate and proactive in preparing young people for adulthood was evident. Of particular reference was the special school setting we visited that sets out 'an aspiration for employment' and has an employability curriculum from Reception – amazing!
- Children and Adult Social Care are actively involved in the PfA working group and development of the PfA strategy
- RISE to AMHS – clear pathway being developed to reduce crisis points
- Children's Continuing Care to Adults Continuing Health Care – a streamlined clear transition at panel evident and discussions regarding highly personalised care planning in place in the area.
- CCGs now discussed as being much more open to discussions regarding transition and planning from Children's to Adults.

- Health partners are using the young person's voice at discharge interviews, a family survey, youth group and seeking informal feedback to improve services over and above the mandatory friends and family test.
- Services to support transitions for young people with complex health needs is strong.
- All colleges are invited to Year 9 Annual Reviews for EHCPs – The White House report attending all Year 11 Annual Reviews – unclear on attendance for Year 9 in the area.
- Evidence that the Transitions Guide is being used across partners at Year 9.
- Support at college and towards supported internships is impressive – enabling independence and offering creativity and flexibility to support young people into employment and towards a strong sense of belonging in their community.
- The Children with Disabilities Social Care Team has commissioned a new post – began January 2019 to work across Children's and Adults Social Care. Current impact demonstrates finding provision for LAC CYP much quicker.
- Named social workers are allocated to special schools; the special school visited reported that the social worker is attending Annual Reviews – good feedback and positive outcomes reported by the setting.

Opportunities to consider

- Warwickshire has fallen in the percentage of 19 year olds qualified to level 2 and 3 from 2016 to 2017 – from 16.3% to 9.9% at KS4; the fall and comparably lower than national data is a consideration for further work.
- Coproduced work required with WPCF on the draft PfA Strategy.
- WCC has a clear understanding of work to be completed to enhance the understanding of need and provision. The Impact Assessment of activity and practice against the CofP 2015 – the gaps and recommendations are clear, however the WPCF spoke forcefully of the lack of coproduction of the document and lack of activity.
- For the WPCF to acknowledge the complex limitations of such a large system and help work with WCC to update the PfA Impact Assessment of activity –

identifying areas where they can co-lead.

- Health and Social care to be involved in EHCP moderations regarding PfA.
- PfA is reported as difficult to make the best provisions for CYP with ASD but no learning disability – reported by health and social care.
- The current Local Offer should share information on who can support with learning independent living skills, making friends and relationships, accessing activities and being part of the community and keeping healthy. Information currently shared on the Local Offer focuses on education, employment and housing.

EHC planning and process

Strengths

- The percentage of EHCPs issued within the statutory 20 week period has risen considerably since 2018 from 48% to 90%, following WCC's commitment to service redesign and investment.
- The local area has maintained a lower rate of SEND appeals than nationally over the past 5 years.
- The performance of Warwickshire's EHCP CYP at KS2 in 2018 is considerably higher across writing, reading and maths compared to statistical neighbours.
- The Early Years Inclusion grant to support children 0-5yrs with support without needing to go through an EHCA.
- The Early Years identification of need and provision such as 'Transition Funding' to Reception; 'Ready for School' working group; partnership with SaLT to address the high proportion of EYs children with SaLT needs is impressive.
- Person Centred Reviews now in place for Annual Reviews.
- The joint DCO and DMO roles work well and are clearly highly visible in the area. They are known to effect change and challenge well. e.g. when a child

with an EHCP was refused four schools based on complex health needs the DCO was able to discuss with partners and find solutions and resolve within a week.

- The Joint Commissioning Team are looking to try and replicate the strong model in Adults to further a Children's Integrated Commissioning model.
- Reviewers gained a sense of a united moral code amongst Commissioners – to do the right thing and an energy.
- Commissioning demonstrates a 'can do' attitude. Reviewers were impressed by the 'mature' arrangements in place for integrated commissioning, particularly for the Transforming Care model. Descriptions of flexible Personal Health Budgets in place and Commissioners discussed a co-produced model developed for the joint strategy.
- Commissioning recognize the gap in therapies and are working on a business case for a 'whole school approach'.
- All LAC, CiN, CP reviews for EHCPs are coordinated to one meeting to reduce meetings for the families and CYP.
- SENDIAS report the quality of EHCPs has developed although can be variable.
- SENDIAS report issues with 'isolated families' and the rise in children being out of school.
- The young people spoken to in Warwickshire say they feel well supported and included in their school and talk of their aspirations.

"...when I started school I felt nervous and frightened....but look at me now!"

(Year 12 student at a mainstream secondary school)

Opportunities to consider

- Warwickshire exceeds the national average for EHCPs by 0.2% at 3.1%, consistently over the last three years
- SENDIAS report concerns for the number of CYP out of school and families not appearing to understand their rights – does this support the low number of

appeals? However Commissioners look at spot purchasing to reintegrate CYP back into school.

- Reports from SENDAR and SENDIAS on the specificity of Education Psychology reports, however the EP reports selected for the Review were of a good quality and were specific in detail.
- A review of the EHC Request Panel – to consider the tensions between the requirements of the Children and Families Act Regulations 2014 and that of the Code of Practice 2015 to ensure legal application.
- 36% of EHCA requests 2018/2019 were refused. Anecdotally SENDAR explained that the majority of refusals to assess are then overturned at mediation at a cost to the local authority, families and settings.
- It is the view of the reviewers that the EHCA Request Process is inefficient in resources
- Settings are extremely frustrated by the interactions between SENDAR and the EHCA Request Panel – numbers of inefficiencies were cited regarding paperwork, requirements to attend the panel, insistence of a two academic term application of the Graduated Approach.
- 43% of EHCPs issued to date, this academic year were originally deemed a 'no to assessment' at the EHCA referral stage.
- Annual Reviews are not being processed in timescales within; one setting citing three years before an EHCP was amended following issue.
- The Placement Planning Process; CYP are placed in special schools according to need rather than the chronological order - some CYP superseding others who have already been identified as needing a special school. SENDAR explained parents are fully briefed and aware of the system in place – reviewers were very surprised that there were not huge numbers of parental complaints.
- Low, but increasing, numbers of CYP 0-5yrs receiving EHCPs – appears linked to the local graduated response and settings are reporting that CYP arrive without the correct support and can then take the setting up to one academic year to ensure the correct support through an EHCP is in place.

- Impact required to evidence the strong Early Years model of identification of need and support across education and health.
- The performance of Warwickshire's EHCP CYP at KS1 has fallen in 2018 and is considerably lower across reading, writing and maths compared across statistical neighbours.
- The moderation of EHCPs was not evident.
- The Peer Review was unable to concur Warwickshire's claim that they have the strongest parental engagement.
- The voice of the young person needs to be evident in Annual Reviews and captured using a range of creative opportunities, such as comic strips, video, singing.
- Provision availability for PMLD and complex SEMH.
- Quality Assurance of Annual Reviews not evident.
- Ceasing Plans to be developed through training.
- Health advice from Community Paediatricians can be improved for EHC assessments.
- RISE report limited input to EHCAs.

WPCF and WCC

Despite being described by Warwickshire as a local area with the strongest parental engagement the relationship between WPCF and WCC is fraught with historical angst that appears to continue to damage relationships today and hamper some excellent work intended to progress SEND services in Warwickshire. The WPCF describe not feeling genuinely regarded as a strategic partner and WCC describe how despite their best efforts they feel unable to move the relationship forward, away from previous issues. WCC are concerned that the group does not attract a wide range of parents due to the negativity within aspects of the group towards WCC. The review found evidence to support both parties concerns.

The working relationship between WCC and the WPCF is not based on a mutually

supportive, trusting basis. The relationship appears 'stuck' and divisive. The understanding of coproduction is not clear and both parties share difficulties and conflicting information relating to their relationships.

The WPCF does not consider it is a valued and respected as a genuine, equal partner across WCC. The Forum cites feeling they are a 'tick box' 'partner' who are 'consulted' and not engaged in coproduction; they feel the WCC does not want to hear any views that may conflict with any aspect of WCC's vision and plans.

WPCF, what it lacks in numbers makes up in resources and energy with the current members. Responses to documents and plans appear detailed and with clear, helpful recommendations, however reviewers are concerned how attractive the WPCF is to new parents given the level of angst towards the WCC.

WCC appear unclear how to resolve the partnership work with WPCF – there does not appear to be a senior lead working to address the situation, senior leadership is required to begin to repair and move forward.

Despite the low numbers in WPCF, the group is rich in resources and energy that could be harnessed to produce strong coproduced work to support the mutual goal of both parties.

EHC processes

The EHCA request process. The process is currently driven by WCC's 'Local Criteria' and not the legal requirements of The Children's and Families Act 2014. The Review acknowledged that the panel is attempting to drive the inclusion strategy within their local settings through encouraging individual scrutiny of the Graduated Approach. Officers openly reported that the local criteria was initially applied; this therefore attributed to such a surprisingly high number of 'no to assess' rate for the area, however anecdotally the SENDAR team describe that nearly all cases are then referred to mediation; this will be at a financial cost to the local authority, costs to the families and settings due to frustrations.

Consultations with parents for special school settings does not meet the requirements set out in The Children and Families Act 2014 regarding a parental right to name the setting, as parents are not chronologically responded to following parental requests. SENDAR explained that moves to specialist settings are agreed on a child/young

person with the highest level of need regardless of the timeline the parent requested a specialist setting and when the local authority agreed to place in a special school.

Local Offer

- Very limited information on health – yet very good information on the NHS Trusts' own websites which need much stronger linkage/sign posting.
- Accessibility is limited, particularly for anyone with SEND - example spelling mistakes are not filtered.
- It is considered 'corporate' in presentation and lacks a sense of coproduction with families and children and young people.
- WPCF have identified a number of issues that they report have not yet been reported nor addressed.

Recommendations

Coproduction

Mediation between the WPCF and WCC.

Discussions with Contact and/or CDC to share knowledge and working practices on good models of coproduction and how to develop your own model.

CYPs' Voice

WCC should consider how to evidence young people's co-production, for example through a strategic young people's group or through greater involvement of existing groups. Resources from KIDZ and CDC are available in this area.

The Local Offer

The Local Offer requires on the 'market information' and improved guidance regarding health. A Local Offer review with WPCF, settings, health, children and young people with clear guidelines and timelines. A discussion with partners to devise the best possible tool to improve on the current model and advice from IT on accessibility, such as identifying spelling mistakes, offering other languages, hovering over certain words to prove a full explanation. A working group with WPCF and a young people's group to

address the items identified.

A 'mystery shopper' exercise for the Local Offer has worked well in other areas and may help stimulate work for any working group.

Preparing for Adulthood

Involvement of children and young people on the current draft PfA strategy.

A PfA day/marketplace celebrating the current focus of work – inviting partners/businesses/young people to share the good work in place, a stand offering views on PfA in the Local Offer; information sharing and accessible questionnaires to capture the voice of families and your partners – this could link to the Supportive Employers group.

Increased health input in the draft PfA strategy – DCOs/DMO are well placed to help advise on how to improve this area.

Concern voiced on several occasions regarding social care and health provision for young people with ASD with no learning disability during the transition process. Discussions with NDTi and/or the regional PfA lead would be able to share good practice in other areas.

Feedback from young adults and families – EHCP exit/cease to a plan interviews to be considered to help inform future work.

EHCP process

To review the EHCA request decision making process. Decision making must be based on the law. The paperwork received by the SENDAR team is robust and clear in information to be able to make a decision quickly, thus supporting families and settings. Resources could then be applied further at the decision making to issue an EHCP.

Work with the DCOs/DMO to address training for the local Community Paediatricians regarding health advice and information towards the EHCAs; joint training with SENDAR and Social Care across Children's and Adults would help strengthen the working relationships.

The Peer Review team is able to offer a further meeting with partners to discuss any elements of the report.

Michelle White

Lead Reviewer

18 October 2019

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Appendix B: Warwickshire SEND Self-Evaluation

Strengths		Areas for Improvement	
Identification of need			
Performance on issuing EHC plans within 20 weeks has significantly improved	The processing of EHC plan annual reviews is to be more consistently applied	Monitoring performance; targeting Year 9 reviews	
Robust processes and panels in place to ensure fairness and consistency (eg. EHC Panels, Continuing Care Panel)	Proportion of decision not to assess is comparatively high.	Review of decisions to assess process as part of case reviews in December 2019 – February 2020	
There are effective systems of identifying additional needs in early years (eg. health visiting, child development service)	Ensuring learners with EHC Plans are attending an educational setting, and where learners missing education, to return them to an educational setting quickly.	Although low, the number of children out of school remains a concerns. This is monitored weekly.	
Waiting times for Core CAMHS have reduced significantly in last 12 months following the commissioning of a blended service provision	Waiting lists for ASD (neuro-developmental pathway) are too long	Coventry & Warwickshire Partnership Board monitoring progress on neuro-developmental pathway	
Effectiveness of provision			
There is increased state-funded educational provision of specialist special schools (210 places), expansion of special schools (140 places) and SEND Resourced Provisions (98 places); future sufficiency has been forecasted in the needs assessment leading to the purchase of the Pears site	Too many children are educated in independent specialist provision	Task and finish group plan focussing on alternatives to independent specialist provision.	
Warwickshire Inclusion Kitemarking Scheme promotes inclusion from early years. 54 settings/childminders have been awarded the kitemark.	Our schools are inconsistently inclusive, with inconsistent application of a graduated response leading to less that 50% of children with EHC plans in mainstream schools.	A new strategy with ‘Promoting Inclusion’ as the first priority approved in April 2019. SEN Provision Matrix being updated. Inclusion Toolkit launched April 2019.	
There are established processes for identifying appropriate support through Early Help & Social Care (Thresholds for Intervention, Stepped Approach) and SEN Support & EHC Plans (SEN Provision Matrix)	For those children and young people who do not meet thresholds, further clarity is needed on the Early Help offer particularly for learners with ASD/SEMH	Early Help strategy is in place, the delivery plan is in development.	
Children with Disabilities Resource Panel introduced in 2018 for consistency in decision-making.	Social care offer lacks clarity for children with disabilities, particularly for children with ASD/SEMH	Clarity on service responsibilities to be documented and agreed	

Community health services for children and young people at South Warwickshire NHS Foundation Trust were judged outstanding by CQC	Joint working practice is requires further development: advice from some social care and health teams not routinely included in EHC plans	Single point of contact for social care, CWPT and SWFT. Training in writing advice for EHC plans has been rolled out during 2018/19.
The reduction of young people in mental health inpatient beds with a learning disability and/or autism due to collaborative work on the transforming care project.	Local Offer homepage is corporate and unwelcoming	Commissioned support on the Local Offer webpages in December 2019 to ensure Warwickshire demonstrates best practice
Community Children's Nursing team use outcome focussed approach. Robust training system and trainers within the team to train TAs to support children with medical issues at school enabling a quick return or entry to school.	Relationship with Parent Carer Forum could be improved; evidence of co-production with young people needs sharing	Work with Contact to improve ways of working with Parent Carer Forum; gathering evidence of work with young people
<i>Delivering outcomes</i>		
Positive education outcomes for young people with SEND (above national average); All 7 generic special schools are judged good by Ofsted	Permanent exclusions of children with SEN Support are high, but reducing	Local authority representatives to attend Governor Disciplinary Committee where a child has SEND; reduction in exclusions 2019. Plans for AP Free School.
57 supported internships have been offered in 2019/20; an employers forum (Supported Employers Inc) has been launched increasing engagement with employers.	Transition across social care and health services is underdeveloped; the social care transitions teams has taken positive steps forward, but staff turnover has led to negative experiences	A Preparation for Adulthood strategy is to be agreed
Ready Steady Go pilot has positive early feedback	Reporting on outcomes in health and social care requires development	Social care and CAMHS indicators and being regularly reported from 2018; health outcome measures still in development
<i>Leadership & Governance</i>		
SEND & Inclusion Board arrangements bringing leaders of different stakeholder together	There is significant financial pressure/overspend on the High Needs Block and SEN Transport	Action plans presented to Schools Forum and Corporate Board and agreed
SEND & Inclusion Strategy agreed for 2019-2023	Joint commissioning could bring change about more quickly	Joint Commissioning action plan in place and monitored
	Further workforce development required for a 'Whole School SEND Approach'	Working groups in place; exploring options for developing a network of LLEs

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SEND & Inclusion Delivery Plan 2019-20

The [SEND & Inclusion Strategy](#) is to be delivered through this delivery plan. The document below sets out key activities and performance measures identified in the strategy, the full delivery plan, and the working groups delivering the plan.

Key measures and activities (as set out in the SEND & Inclusion Strategy)

Activity	Measure	Expected change	Baseline January 2019	Latest December 2019	Rationale
Promoting Inclusion					
To ensure we are identifying need and promoting inclusion from an early age, by working with our early years settings to achieve best practice	Number of early years settings awarded kitemark (WinCKS)	To increase	40	54	The more early settings meet best practice standards the better we will be at identifying support before school
To review and update the SEND Provision Matrix making it clear to schools and parent and carers what is expected as a graduated response to individual needs	SEND Provision Matrix reviewed and re-published	To complete	Engagement phase schools completed on changes to make to existing guidance (Summer 2019)	Updating content and identifying best practice resources with stakeholders (Autumn tem 2019)	The SEND Provision Matrix provides clear guidance on how needs should be met locally
To establish more resourced provisions and/or specialist partnerships in mainstream settings, providing a bridge between mainstream and specialist provision	Number of places at Resourced Provisions or Partnerships	To increase	92 places created; 48 utilised	98 places created; 70 utilised	A broader spectrum of educational provision is required to meet local needs
Getting it Right for Learners with High Needs (School Age)					
To improve the timeliness of issuing EHC plans (within 20 week statutory timeframe)	% of new EHC plans issued within 20 weeks, including exceptions	To increase	52% (Oct-Dec 2018)	90% (Sep-Nov 2019)	Improve the timeliness of issuing EHC plans
To expand state-funded specialist provision where possible (including specialist partnerships)	Number and % of learners with EHC plans in	To increase the number in mainstream and	School age (R-Yr11) 43% Mainstream 44% Special (state-funded)	School age (R-Yr11) 43% Mainstream 46% Special (state-funded)	If the local offer is meeting demand, the percentage of learners in mainstream and

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	mainstream, specialist and independent specialist settings	state-funded specialist settings, reducing the number of learners in independent specialist settings	7% Independent Specialist Provision 2% Other (January 2019)	8% Independent Specialist Provision 3% Other (November 2019)	settings should increase. Whilst the number of state-funded specialist places will increase, the overall proportion of learners in specialist education should decrease, as a result of fewer learners in independent settings
Improving health and social care for learners with SEND					
To agree a Warwickshire joint commissioning plan for learners with SEND, setting out how local needs are to be met through the local offer services	Joint commissioning plan published	To complete	Joint Commissioning Plan agreed (March 2019)	Regular monitoring by Joint Commissioning Board	Joint working can only take place if the local offer of services meets local needs. A joint plan is needed to address current gaps in provision.
To develop further the joint processes for the delivery of support, particularly for those requiring support at Early Help	Early Help Strategy delivery plan published and monitored	To complete	Early Help Strategy approved by Council in December 2018	Early Help Delivery Plan drafted	Better support and joint working through early help should prevent children and their families escalating to crisis support
To deliver improved support for social, emotional and mental health through in-school support and the delivery of commissioned mental health services (eg. Rise)	% of referrals to Rise with a first appointment within 18 weeks	To increase	95%	95%	This is one of a collection of measures for the Rise service
Preparing for Adulthood					
Maximising the use of local specialist provision at post-16 and differentiating that provision	Number and % of post-16 learners with EHC plans in local and independent specialist settings	To increase the percentage in local settings, reducing the percentage of learners in independent specialist settings	5.9% (Jan 2019)	5.9% (November 2019)	If the local offer is meeting demand, the percentage of learners in local post-16 provision should increase with a reduction of learners in independent specialist settings

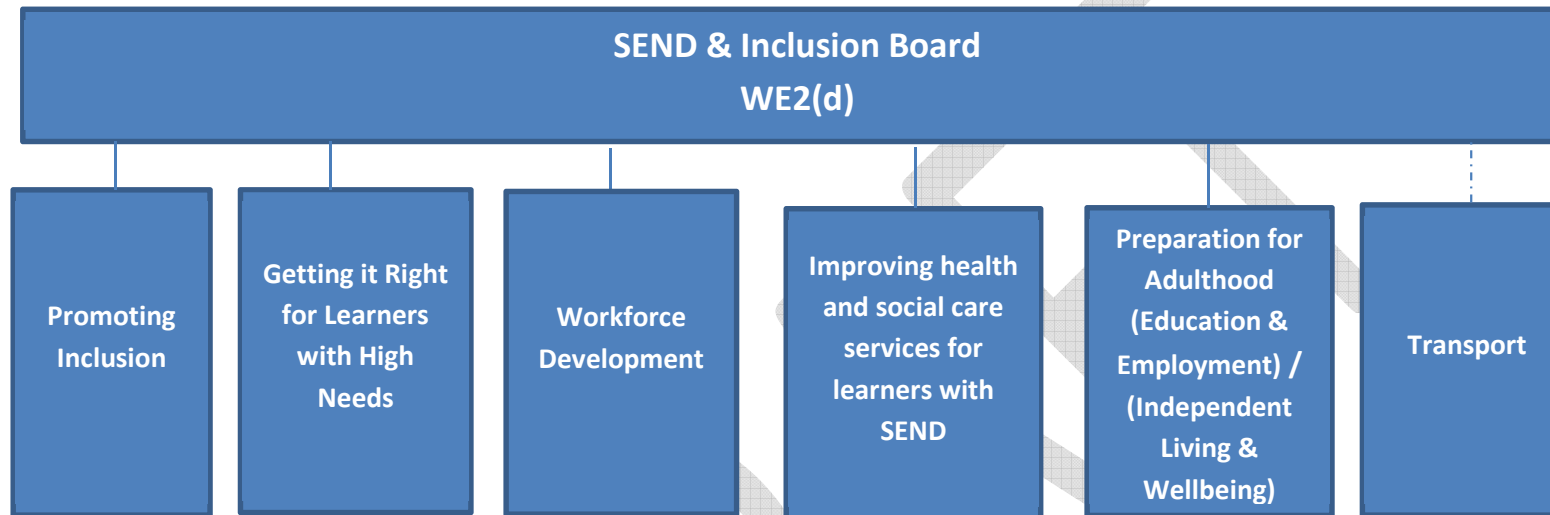
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To improve transition planning from year 9 onwards for learners with an EHCP	Number of EHC plans amended following the Year 9 review	To increase	18% (January 2019) 50% (July 2019)	15% (Sep-Nov 2019)	The more EHC plans are reviewed in Year 9 and amended, the more likely it is that planning has taken place for life after school.
To work with employers, schools and colleges to increase the offer of supported internships	Number of supported internships offered	To increase	32	57	The more supported internships offered in the County, the better the opportunities for paid employment post-education for our learners with high needs
SEND Transport					
To improve the quality of specialist transport by undertaking risk assessments for learners with high need and for learners with newly issued EHC plans (as per the Home to School Transport Policy) and ensuring timeliness of decision-making	Number of transport risk assessments taken for learners with EHC plans	To increase	144 (2018/19 academic year)	379 (total)	The use of risk assessment will improve the quality of transport for our learners with high needs and ensure the implementation of the local home to school transport policy
To increase independent travel training to give young people the life skills to travel independently.	Number of young people successfully completing independent travel training	To increase	14 (2017/18 academic year)	19 (2018/19 academic year)	Using transport is a life skill, preparing young people for adulthood and reducing dependence on transport assistance
Workforce development					
To work with schools to develop a ‘whole school’ approach to supporting learners with SEND, so that the workforce is suitably trained and confident.	Approach to workforce development agreed with schools.	To complete	Range of training offered, both traded and subsidised	New approach to be agreed as part of the outcomes of High Needs Block Task and Finish group	A more confident workforce will be better equipped to deliver a graduated response to needs

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SEND & Inclusion programme structure

The proposed reconfiguration of the programme board is set out below:



SEND & Inclusion Board

The Board are responsible for:

- Self-evaluation and preparation for inspection
- Efficient use of resources
- Strategy
- Considering DCO reports
- Ensuring co-production and feedback from learners and parents/carers is evidenced at individual and strategic levels
- Improving the use of data

Promoting Inclusion

Ref	Theme	Actions	Responsible	Timescale	Success in August 2020*	Measuring success in 2023*
KPI	SEND Provision Matrix	Review and update the SEND Provision Matrix (School Age)	EPS lead	April 2020	Updated SEND Provision Matrix in place	A better graduated response leading to a reduction in the percentage of decisions not to assess; Increase in number of children with EHC plans in mainstream
KPI	Support for children with SEND in their early years	Continue to grow the Warwickshire Inclusion Kitemarking Scheme (WInCKS)	IDS 0-5 team	May 2020	Increase in number of providers with WInCKS status	
		Ensure evidence of interventions in early years is documented (eg. case reviews, SEND transformation project)	External commission	February 2020		
	Early Years Transitions	Implement transitions support and funding scheme, engaging Early Help Family Support where appropriate	IDS 0-5 / STS	Autumn term 2019	Number of learners supported to transition into mainstream settings	
	KS1 performance	Investigate reasons for KS1 performance being lower than statistical neighbours	SEND & Inclusion	March 2020		
	Primary to Secondary Transitions	Early identification and screening in Yr5 of learners who may need additional	STS / EPS / SENDAR	July 2020	Percentage of Yr 5 annual reviews processed	Increase in number of children with EHC plans remaining in secondary mainstream

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	support for successful transition to secondary mainstream					
Inclusion Quality Mark	Promote the Inclusion Quality Mark (launched April 2019)	STS	July 2020	Number of schools/groups of schools achieving the award	Increase in number of children with EHC plans in mainstream	
Children not receiving their educational entitlement	Ensuring children with EHC plans not receiving educational entitlement with have clear plans in place to be receiving education provision	Synergy/ SENDAR/ EET	July 2020	Reduction in number of children with EHC plans missing out on educational entitlement and reduction in the length of time out of school		
	Ensure parents are informed of their child’s entitlement to education	SENDAR/ SENDIAS	March 2020			
Championing the excluded learner and providing challenge and support to schools	Prevent exclusions through new primary hub model for preventing exclusions and quality assurance of alternative provision	SEND & Inclusion / EET	July 2020	Reduction in permanent exclusions of children with SEN Support/EHC plans		
	Attend Governor Disciplinary panels for learners with SEND		July 2020	Reduction in permanent exclusions of children with SEN Support/EHC plans		
KPI Establish Resourced Provision & Specialist Partnerships	To continue with the current programme of development to develop an additional places and bases	SEND & Inclusion	July 2020	Number of SEND Resourced Provision places available	Reduction in use of independent specialist provision and associated costs	
	To ensure utilisation of Resourced Provision	SEND & Inclusion	July 2020	80% utilisation of resourced provision	Reduction in use of independent specialist provision and associated	

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costs				
Nurture provision	Establish SLA for Nurture Provision (where joint working between mainstream and special)	SEND & Inclusion	Dec 2019	Number of learners funded for joint mainstream/special nurture provision
WISSP & Mental Health Trailblazers	Delivering projects to improve universal provision for mental health in schools	School Improvement	July 2020	Schools participating and project outcomes being achieved
Learners with SEND will attend Outstanding and Good schools	School to school support and traded services offer to focus on improving progress and attainment for learners with SEND	Schools	July 2020	Percentage of children with EHC plans attending outstanding or good schools
As part of the Nuneaton Strategy to embed best practice in SEND	SEND & Inclusion practice included in Nuneaton Strategy plan	School Improvement	Ongoing	To ensure that in a drive to improve standards, learners with SEND are included
Educational outcomes for children with SEND in Warwickshire at age five, seven, eleven and sixteen will at least match the national figure for SEND.	School to school support and traded services offer to focus on improving progress and attainment for learners with SEND	Schools	July 2020	Attainment and progress data will meet or exceed national averages
Communications strategy for promoting inclusion	Communications through SEND Voice, social media, newsletters and events	SEND Board Development Manager	Ongoing	

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Getting it Right for Learners with High Needs (School Age)

Ref	Theme	Actions	Responsible	Timescale	Success in August 2020*	Measuring success in 2023*
KPI	Timeliness of EHC plans	Improve the percentage of EHC plans issued within 20 weeks of request	SENDAR	July 2020	Sustained quarterly performance at 90%	Sustained quarterly performance at 90%
	SEND Transformation Project	To review the EHCA request decision making process in light of comparatively high percentage of decisions not to assess	External commission	February 2020	Changes following recommendations	
		To undertake case reviews to identify areas for improving practice	External commission	February 2020	Changes following recommendations	
		To review current patterns of spend and recommendations for change	External commission	February 2020	Changes following recommendations	
		To provide behavioural insights into working practice and recommendations for change	External commission	February 2020	Changes following recommendations	
	Quality of EHC Plans	Improving the quality and timeliness of EHC Plans through quality assurance in Education, Health & Social Care	SENDAR	July 2020	Improvement satisfaction from parents for new EHC plans	
		Include health and social care representatives in moderation meetings	SENDAR	March 2020		
		Run EHC Plan Survey and respond to issues raised	SENDAR / SEND &	December 2019		

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			Inclusion			
	EHCP Advice	Work with the DCOs/DMO to address training for the local Community Paediatricians regarding health advice and information towards the EHCAs	SENDAR/ DMO	March 2020	Training delivered	
	Annual Reviews	Increase the proportion of annual reviews processed by SENDAR, particularly at Years 5 and 9	SENDAR		Increased percentage of annual reviews processed, particularly at Years 5 and 9	Increased percentage of annual reviews processed, particularly at Years 5 and 9
		Establish moderation of annual reviews	SENDAR	July 2020		
		Ensure voice of the young person is included in annual reviews	SENDAR	March 2020		
	Peer Review	<i>Deliver recommendations from Peer Review (September 2019) that affect EHC planning</i>		November 2019		
	Guidance on admission to specialist settings	Update guidance on admission to specialist settings	SENDAR / SEND & Inclusion	February 2020	Guidance published	
		Ensure guidance is on Local Offer website	SEND & Inclusion	February 2020		
	High Needs Task and Finish Group	<i>Deliver recommendations from High Needs Task and Finish Group (expected October 2019)</i>				
KPI	Special School Expansion	Complete expansions at Oak Wood Academies and Exhall	SEND & Inclusion	October 2019	Increase in specialist places available in state-	Reduction in use of independent specialist

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	Grange School and Science College			funded provision	provision
	Establish a new special school	SEND & Inclusion	January 2021	Increase in specialist places available in state-funded provision	Reduction in use of independent specialist provision
	Develop proposals to facilitate expansion of other special schools	SEND & Inclusion	July 2020	Increase in specialist places available in state-funded provision	Reduction in use of independent specialist provision
Independent Specialist Provision	Undertake Parent and Young Person’s ISP survey	Commissioning	Oct 2019	Improved satisfaction with ISP	
	To ensure robust management of ISP contracts	Commissioning	Ongoing	Compliance with contract monitoring and quality assurance visits	Ensure value for money from placements
	New model and reviewed contract management capacity, to ensure that there is a cyclical review of contracts and provision starting with the highest cost	Commissioning	Ongoing		

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Improving health and social care services for learners with SEND

Ref	Theme	Actions	Responsible	Timescale	Success in August 2020*	Measuring success in 2023*
KPI	Early Help	Publication of Early Help Delivery Plan	Early Help	December 2019		
		<i>Early Help Delivery Plan actions that impact on SEND learners</i>				
	Parenting Strategy	Agree a joined up approach to empowering parents (eg. advice and guidance online, training)	SEND & Inclusion; Early Help	December 2019		
	Carers Assessment	New arrangements for Carers Assessment to be agreed and implemented (subject to consultation)	Children with Disabilities Team	April 2020	Agreed new policy	
	MASH & Safeguarding teams	Work with MASH to ensure SEND (including SEMH) are handled appropriately with clear messages to parents	Children with Disabilities Team / MASH	December 2019	Agreed new process	
KPI	RISE Implementation Plan	Maintain low waiting times for referral to first assessment	Rise	Ongoing	Maintain low waiting times for referral to first assessment	
		Plan for reducing waiting times for ASD diagnosis	Rise	Tbc	Reduced waiting times for ASD	
	Disability Register	Launch disability register	SENDIAS	October 2019	Meet statutory duties	
	Transforming Care	Multi-agency development and	WCC/CCG	Tbc	Reduction in number of young people in mental health	

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	contribution to processes			inpatient beds
Residential/short stay social care provision	Development of residential/short stay social care provision inside County border	WCC Commissioning & Social care	January 2021	Reduce number of children with SEND being moved outside the County border to residential settings
KPI Implementation of Joint Commissioning Plan	<i>Implementation of projects below; to be monitored by Joint Commissioning Board</i>			
Occupational Therapy including Sensory Based Assessments and Interventions	Agreed business case followed by service redesign and new service offer	CCGs/WCC	October 2019	Improved service offer (reducing gaps in offer)
Equipment, OT, Wheelchair, Respiratory Physio (group)	Propose how to commission services in the future (as a group) (Followed by re-specification)	CCGs/WCC	tbc	
Speech and Language Therapy	Review specification and SLA	CCGs/WCC /SWFT	March 2020	
Respiratory physiotherapy	Review of physio priorities and current delivery model	Joint post	Sept 2019	
Short Breaks	New service model and procurement for overnight short breaks services	WCC Commissioning	April 2020	New contract in place
Overnight short breaks	New service model and procurement for overnight short breaks services	CCG & WCC Commissioning	April 2020	New contract in place

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Special School Nursing	Report completed. CCG discussing whether it can be incorporated within existing contracts. Currently excludes colleges.	CCGs/WCC	October 2019	New agreement in place
Continence	Business case and implementation of recommendations	SWFT / CCGs	April 2019	New specification in place
Child Development Service	Assurance report on the pathway; To be considered as part of the wider Autism Strategy and review of all age diagnostic offer.	CCGs/WCC	March 2020	

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Preparation for adulthood

Ref	Theme	Actions	Responsible	Timescale	Success in August 2020*	Measuring success in 2023*
	Preparation for Adulthood Strategy	Develop Preparation for Adulthood Strategy across education, health and social care	Interim Service Manager - Children with Disabilities	January 2020	Agreed Strategy in place	
		<i>Deliver Preparation for Adulthood Action Plan as agreed (likely to be a series of health and social care task and finish groups)</i>				
	Feedback from young people and families	Feedback from young adults and families – EHCP exit/cease to a plan interviews to be considered to help inform future work. (Recommendation from Peer Review)	To be agreed	To be agreed		
KPI	Supported internships	Work with employers, schools and colleges to increase the offer of supported internships	Post 16 Leads Group	September 2021	Increase the number of learners on supported internships to 100	Increase number of learners going into employment; reduce the number of EHC plans post 19
		Work with schools and colleges to develop the infrastructure to ensure supported internships are sustainable	Supported Internships Advisor; Post 16 Leads Group	July 2020		
		Develop Employer Forums for promoting Supported	Supported Internships	July 2020	Number of employers attending forums	

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	Internships in north and south of the County	Advisor; Skills for Employment			
KPI	Year 9 Reviews	Improving transition planning from year 9 onwards for learners with an EHCP	SENDAR	July 2020	Number of Year 9 annual reviews processed;
	Year 11 Reviews	Improving transition planning from year 9 onwards for learners with an EHCP	SENDAR	July 2020	Number of Year 11 annual reviews processed;
	Post 16 learners not on a school or college roll	Establish arrangements for ‘Flex Learners’ to be on a school or college roll	SEND & Inclusion	January 2020	Integrate learners back into school/college; Draw down additional post 16 funding
	Maximising the use of local specialist provision at post-16 and differentiating that provision	To increase the percentage in local settings, reducing the percentage of learners in independent specialist settings	SEND & Inclusion	Ongoing	Number and % of post-16 learners with EHC plans in local and independent specialist settings
	PMLD Offer at Post 19	Agree an approach to increase the post 19 PMLD offer (linked with health and social care)	SEND & Inclusion	July 2020	Increase the local state-funded offer for PMLD to reduce the number of post-16 learners in ISP
	Post 16 webpages	Improve the content and navigation of the Local Offer for Post 16 learners	Web team; Participation team	December 2020	Increase use and satisfaction of the Local Offer website

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SEND Transport

Ref	Theme	Actions	Responsible	Timescale	Success in August 2020*	Measuring success in 2023*
KPI	Risk assessment	To undertake risk assessments for learners with high need and for learners with newly issued EHC plans and ensure timeliness of decision-making	Transport Operations	July 2020	Number of risk assessments carried out	Improved quality of transport and improved confidence in use of resources
KPI	Independent Travel Training	Review the model of Independent Travel Training to ensure best use of resources	SEND Board Development Manager	Dec 2019	Business case produced	
		Deliver Independent Travel Training	LIFT	July 2020	Number of young people successfully completing independent travel training	
	Clarify procedure for damage to vehicles	Proposal on new procedure for damage to vehicles by learners with EHC plans	SEND Board Development Manager	October 2019	Agreed procedure	
	Policy review	Review of existing policy with focus on clarifying eligibility and arrangements for SEND	SEND Board Development Manager	November 2019	Review document	
		Public consultation on changes to policy (if applicable) followed by Council agreement	SEND Board Development Manager	April 2020	Revised policy	

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Workforce Development

To work with schools to develop a ‘whole school’ approach to supporting learners with SEND, so that the workforce is suitably trained and confident.

Ref	Theme	Actions	Responsible	Timescale	Success in August 2020*	Measuring success in 2023*
	Communicating with headteachers	Adoption of Ethical Leadership standards	EET		Number of permanent exclusion and learners with Elective Home Education	
		Series of SEND articles in Heads Up (eg. sensory environments, promoting tools)	SEND & Inclusion	April 2020	Number of articles and visitors to page	
	Informing Governors	Deliver of SEND Governor Training	IDS	Ongoing	Number of school governors receiving training	
	Supporting SENCOs	Termly SENCO networks	IDS /STS SENDAR	July 2020	Attendance at SENCO network meetings	
		Working with teaching schools and developing a model for Specialist Leaders in Education	STS (<i>to initiate conversation</i>)	July 2020	Number of SENCOs as designated SLEs	
		To work with schools to develop a ‘whole school’ approach to supporting learners with SEND, so that the workforce is suitably trained and confident			Approach to workforce development agreed with schools. To propose recommendations to Schools Forum regarding capacity building	
	Develop capacity in settings through a training offer for staff	Agree training approach to ASD/SEMH (<i>and follow-on actions</i>)	SEND & Inclusion	December 2019	New approach to be agreed as part of the outcomes of High Needs Block Task and Finish	

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in schools				group
	WCC Training Offer (traded) linked to Provision Matrix	STS / EPS / SENDAR	July 2020	Number of school staff receiving training
	Develop training for NQTs			
	Delivery of SEND audits and subsequent action plans	IDS/STS	July 2020	Number of schools completing audits
Develop capacity in wider workforce	Deliver training on EHC plans and outcomes writing to partner agencies	STS	April 2020	Number of practitioners receiving training

There is no workstream for workforce development. Instead there are a number of professional groups taking this work forward.

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SEND & Inclusion Board

Ref	Theme	Actions	Responsible	Timescale	Success in August 2019*	Measuring success in 2023*
	Self-evaluation and preparation for inspection	To maintain a co-produced SEND local area self-evaluation and address areas identified for improvement	SEND Board Development Manager	Ongoing	Self-evaluation document regularly reviewed and updated	
		Update SEND dashboard and monitor performance	SEND Board Development Manager	Ongoing	Dashboard produced and regularly reported and monitored	
	Efficient use of resources	Monitoring of High Needs Block spend with measures in place to balance budget	Schools Forum / SEND & Inclusion	Ongoing		
	Strategy	Monitoring of SEND & inclusion Strategy Delivery Plan (this document)	SEND Board Development Manager	Ongoing		
	DCO reports	Six monthly reports on health provision and outcomes for learners with SEND	DCO	Ongoing	Reports with actions as required	
	Local Offer webpages	Work with web team, Family Information Service and stakeholders to improve content and navigation Warwickshire Local Offer	SEND Board Development Manager; FIS	Significant improvement by February 2020		
		Work with WCC	WCC Customer	Ongoing	Improved navigation on Local	

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	Customer Services on reconfiguration of the online Warwickshire directory	Services		Offer
Co-production and feedback from learners and parents/carers is evidenced at individual and strategic levels	Engage young people through Warwickshire Working Together Network (project based); Ensure evidence ids gathered from projects	Participation Lead; SEND & Inclusion	Ongoing	Evidence of engaging young people in projects
	To co-produce a development plan with Contact and the Warwickshire Parent Carer Forum	SEND Board development Manager, Warwickshire Parent Carer Forum, Contact	January 2020	Development Plan in place
	Warwickshire Parent Carer Forum representation & network – proposals for expansion	Participation Lead; Warwickshire Parent Carer Forum	December 2019	Evidence of engaging wider group of parents and carers in projects
	Publication of annual Local Offer report	SEND & Inclusion	July 2019	Local Offer report published
Improving the use of data	The use of management information systems to inform and improve best practice	Business Improvement	Ongoing	Confidence in data quality on Synergy
Communications & engagement	Refreshing our approaches to communications and engagement with			New formats for communications and engagement with Children and Young People and Parents

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Children and Young
People and Parents and
Carers. in relation to a
substantial change
programme ahead.

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Cabinet

30 January 2020

Adult Direct Payment to Gross Payment

Recommendation

That Cabinet agree to commence paying Adult Direct Payments as a Gross payment and invoice all customers for their Social Care financial contribution.

1.0 Key Issues

- 1.1 Direct Payments are cash payments made to eligible customers who request to make their own arrangements under the Care Act 2014. The Care Act 2014 allows Councils to choose how they make these payments and roughly split authorities choose one of the two approaches; either making net or gross payments. Warwickshire County Council currently makes net payments into the customer's account. This means customers must pay their own assessed contribution into their direct payment account. This presents several issues and on August 12th, 2019 Social Care and Support Management Team (SCSMT) agreed to progress with a proposal to move to making gross Direct Payments. This paper provides a briefing on the key factors agreed by Social Care and Support Management Team in partnership with finance to support a recommendation to move forward with the Gross method of payment. The purpose of this reports is to seek the support from senior managers and members to implement this change.

2.0 Options and Proposal

- 2.1 Warwickshire County Council have a duty to provide money into someone's Direct Payment account if a customer request's one and they meet the conditions for the Council to make the payment. This amount is based on the agreed Personal Budget to enable the customer to purchase the care the Council have assessed them as needing; it is the Council's right to charge them for this. Currently in Warwickshire, adult Direct Payments are paid net of the customer contribution. The customer is required to pay their assessed contribution into their Direct Payment account (or the third-party managed account held by an external provider).
- 2.2 There are around 1100 customers who receive ongoing adult Direct Payments. Based on the current number of Direct Payment customers recorded in Mosaic on 12/08/2019, the number of people who contribute to their Direct Payment is 566 (ongoing payments) with a total income value of £1,774,371 per annum being made. Of this, we understand under the net system around 10% is never paid which suggests that around £1,596,934 of income is contributed by customers towards their Direct Payments. Not paying the contribution leaves customers with shortfalls that place them at risk of not being able to purchase their care and support. Based on the information in Mosaic August 2019, making gross payments to adults who receive Direct Payments

would see payments made by the Council of £18,313,525 per annum compared with the current payment of £16,539,154 per annum being paid to these customers. There is no increase in the Council's commitment. This is already reflected by the way the finance ledger records Direct Payments when the personal budget is agreed - it is already recorded as gross expenditure and income from the onset. The change in the way we make the payment as Gross would be netted off by the income recovered with no increase in personal budget costs.

2.3 Adult Social Care and finance have been working in close partnership supporting the joint proposal. The main reasons listed below for proposing a move from net to gross payments are:

- To standardise debt management and income control
- To reduces risk of default
- To meet audit requirements around invoicing
- To enable Direct Payment customers to have the opportunity to take part in the direct debit and income initiatives being introduced by the Council
- To improve the level of contribution from customers who are assessed as being able to contribute to their care and support costs;
- To simplify the process for customers and practitioners; and
- To enable staff time to be used more effectively

2.4 Around 60% of third-party managed account contributions are not being paid correctly. This is problematic and presents a risk of customers being unable to purchase the required level of care and support. Social Care and Support teams report on average that they pay out around £5k per week to top up accounts that run short due to non-payment or incorrect payment of customer contributions. This is to enable customers to pay for the support already received. These are not factored in when the initial Personal Budget is agreed. It is difficult to gather a more accurate figure about these current ongoing top up payments or the cost of resources absorbed due to non-contributions. These unforecasted additional payments would cease with Gross payments

2.5 The National Association of Financial Assessment Officers (NAFAO) benchmark in 2017 highlighted that of the 41% of Councils who responded, 7% were moving to gross payments due to Councils who have changed achieving higher contribution recovery rates. Many Councils may not have responded as they already pay gross. York Council report that their decision to move from net to gross was the driver to recover the 20% of unpaid Direct Payment customer contributions and now achieve a 99% recovery rate via invoiced contributions. Wolverhampton are the most recent Council to move to Gross payments based on a similar experience and the need to know who is making a contribution and who is not. Research has highlighted that Councils struggle to know who is contributing to their Direct Payment and whilst we requested facts and figures, of the Councils approached in the West Midlands region they reported they did not collate this type of data when paying net.

2.6 From WCC's processing and reporting perspectives, gross payments are the preferred option as it standardises the process that we have with commissioned care for debt management and invoicing.

2.7 The crux of the decision is based on risk: net payments create a risk that someone's support needs are not being met if they fail to contribute to their cost of care, with

gross payments creating a risk that the Council will not receive a client's contribution to their cost of care. By moving to gross payments, we dramatically reduce the risk of someone's support needs not being met and increase our ability to identify who has not made their assessed contribution to their cost of care, this will enable us to utilise the debt management system in a fair way. The Income Control Team for social care contributions achieve a 93% recovery rate within 12 months, so standardising DP contributions into this function is expected to be more effective.

2.8 There is no impact on Children's or Carers Direct Payments as these are not chargeable.

2.9 Benefits to the customer of moving to gross;

- Their account will have the full Personal Budget amount deemed by social care as necessary to pay for the level of care they need. Their ability/willingness to contribute is separated from this process.
- Some customers (especially those with third party managed accounts) are considered to have difficulty managing their finances - this removes one step of complexity from the process and ensures the managed account service can pay for the support without any delays.
- They will see the end of requests for backdated contributions and overpayments to be paid back to the Council.
- It will allow customers to use Direct Debit (once live) to pay their contributions to the Council.
- It makes it easier to follow for those customers who have mixed arrangements of Council and Direct Payments. For those customers who change back and forth from Council and Direct Payments. The contribution route would not change when paying as Gross.

2.10 Risks to the customer of moving to gross;

- Whilst the same process currently applies for all Direct Payments, there will be a quicker response for unpaid contributions as the debt recovery process will be followed and escalation to legal services will be carried out in accordance with this process.

2.11 They may consider that we are paying them money just to invoice them for it back again (but DPs must be in a separate bank account or on a pre-loaded card as it is not their money and the contribution must come from their personal money).

2.12 Benefits to WCC of moving to gross;

- Aligns with commissioned care contribution process.
- Time saving in the Direct Payment Independent Living Team calculating the contribution to be made and backdating contributions. Time would shift to processing new and change referrals in a timely manner.
- Time saving in the Direct Payment Monitoring Team, checking for contributions. Time would shift to balance out raising invoices, income collection and debt recovery.
- Operational teams' time saved in resolving unpaid Direct Payment contribution queries and financial cost of paying in additional funds to accounts which do not have enough monies to pay for received care.

- Efficient record keeping through Abacus of missing and incorrect contributions will provide a clearer audit trail relating to each individual customer. Currently 60% of third-party managed accounts remain unpaid or are incorrect; these statistics are stored by the third-party provider. We are unclear of the true figure for non-managed accounts but statistics in July 2019 show 24% of queries for Direct Payment monitoring relate to unpaid or incorrect customer contributions.
- Simpler monitoring process and better understanding by removing the impact in the account of incorrect or unpaid contributions. This will enable the Council to clearly see what they can recover in surplus/overspent accounts faster and trigger a Direct Payment review. It will also allow for time better spent on dealing with DP queries and providing support.
- Better understanding of overall social care debt levels and subsequent risk mitigation. By invoicing all customers, they will all be treated the same. Currently for Direct Payment customers it is complex, and they have a variety of options to repay. They sometimes choose to pay money into their Direct Payment account which absorbs resources in checking and chasing when not done. Some customers will reduce the amount of care they purchase to avoid making their contribution towards it.
- Simpler process for customers should lead to an increase in DP take-up.
- Easier for front line staff to explain how a customer pays their contribution.
- No financial cost incurred to the Council for uploading the contribution to the prepaid cards.
- One form of communication for Social Care charging.

2.13 Risk to WCC of moving to gross;

- There is a financial risk of paying out more at the payment point and not revering the income as with other services.
- Increases in invoicing which could add another 4000 invoices to the 65,000 currently processed.
- Currently 566, which is 44% of customers, contribute towards their Direct Payment. This equates to a total income value of £1,774,371 pa. It is difficult to gather an accurate unpaid contribution amount, however it is estimated that only 10% of this total is never paid, i.e. £180k.
- Based on the information in Mosaic for Adults Direct Payments for all Direct Payment customers the gross annual cost is £18,313,525. Currently based on net payments we pay out £16,539,154. The Council would be paying out an additional £1,774,371 by paying gross.
- There would be a requirement to invest in resources required to manage contribution and debt collection, but this could be balanced out with the change for work involved when carrying out the monitoring of the direct payment.
- Perception of the change. This may be perceived as a step away from allowing customers to manage their finances. Good communication with customers may mitigate this; a short public consultation (formal or informal) will assist with introducing this change similar to the prepaid card introduction recently offered to Direct Payment customers.

2.14 In conclusion, payments made net are problematic, resource heavy and proved difficult for many customers to understand what is required of them. Moving to a Gross system

will ensure all customers are treated fairly and the same whether they choose traditional routes of receiving a commissioned service or via Direct Payments. It will enable the separation of contributions and Direct Payment discussions to take place. Whilst there may be a risk of not recovering the additional cost being paid out up front, other Councils who have moved to Gross are reporting a higher collection of Direct Payments contributions than when they paid net.

- 2.15 The Council has an established system in place to invoice all customers for their contributions which with some system changes would absorb the Direct Payment customers. The change would mean less confusion for customers and staff with one central point for contribution enquiries and queries rather than several departments being part of the conversation. Resources would be used in a more efficient manner to deliver a more efficient Direct Payment service for the customer. There are benefits to the customer in offering a less complex system for charging and Direct Payments.
- 2.16 The benefits of moving to Gross will enable the Council to process Direct Payments in a more effective way.

3.0 Financial Implications

- 3.1 The proposal to move to gross payments transfers risk from Social Care to Finance. Currently the risk is that people do not have sufficient funds to buy the care we have assessed them as needing, which we mitigate with irrecoverable emergency payments, or by customers getting by with less care. Under gross payments, the risk is that we will not recover the contributions we have initially paid on the customer's behalf. This is mitigated by the fact that debt recovery is brought into the standardised processes within the central income management team, who currently recover 93% of social care contributions within 12 months. The financial risk, therefore is around the remaining 7% of £1.7m Direct Payment contributions: £120,000. Considering the estimated, but unmeasured, amount of emergency payments currently made, a move to gross should not have a detrimental impact on the authority's finances. There is no increase in processing cost as the processing of additional invoices required is balanced by the simplified Direct Payment Monitoring procedure.

4.0 Environmental Implications

- 4.1 None known.

5.0 Timescales associated with the decision and next steps

- 5.1 Communicating the change will be delivered using the method recently delivered for prepayments cards. A series of drop in events will be available across the County alongside the Council's formal communication channels for delivering a customer change.

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

Councillors Caborn, Redford, Golby, Parsons, Chilvers, Rolfe, Roodhouse and Chattaway

Cabinet

30 January 2020

Digital and Technology Strategy

Recommendation

That Cabinet approves the continuation of the Digital and Technology Strategy for the period 2018 to 2021 following its annual review.

1.0 Purpose of report

- 1.1 To seek Cabinet approval for the continuation of the Digital and Technology Strategy 2018 to 2021 into its second year of implementation.

2.0 Summary

- 2.1 In its first year of implementation, the Council's Digital and Technology strategy has delivered improved digital and technology outcomes in critical areas for the Council, supporting service delivery and the implementation of the new Target Operating Model.
- 2.2 The strategy shaped the way the Council engages with our customers through the implementation of a new updated website that was co-created with service users. It also introduced a fully digital school admissions process for the first time. Both projects fulfilled our pledge to put digital at the heart of the relationship with customers and bring the most appropriate digital tools and skills together.
- 2.3 For employees, the strategy was the foundation of the decision to migrate from Google to Microsoft 365 suite in what Microsoft described as record time, providing our colleagues with the tools to work securely from anywhere, anytime and on any device and the capabilities to excel in an increasing digitally enabled environment.

3.0 Background

- 3.1 The Council's Digital and Technology Strategy for the period 2018 to 2021 was approved by Cabinet on the 13th of September 2018. It is subject to an annual review to ensure continued alignment to the Council's objectives and expected outcomes for its customers.
- 3.2 The digital and technology strategy continues to support the delivery of WCC's objectives and ambitions and increasingly plays a key role in enabling the operating model for the Council. It will continue to assist the Council to

underpin its financial sustainability by leveraging advances in digital and technology to support service development.

4.0 Digital and Technology Strategy cross-cutting building blocks

4.1 The eight digital principles in the digital and technology strategy remain viable and continue to provide high-level guidance for everyone involved in shaping digital and technology services at WCC. The principles are:

- start by identifying our user needs.
- align user needs with our business objectives.
- keep it simple.
- build digital services not websites.
- use evidence not judgement or opinion
- design, launch, test, repeat and build for reuse
- build it for everyone, and
- design for context of use

4.2 The digital and technology strategy's four key building blocks continue to utilise guidance from industry standards and adhere to local government compliance requirements. They provide a firm foundation on which to continue to develop our digital and technology capabilities. The four building blocks are:

- **Best customer experience** - We will place digital at the heart of our relationship with our customers, increase digital self-service, redesign our services to improve customer satisfaction and reduce the cost of service provision.
- **Better use of data, information and information** - We will treat our data as an asset, utilising it to make better more informed business decisions; improve our demand management capability and increasing our ability to act proactively or undertake preventative interventions.
- **Operational efficiency, productivity and continuous improvement** - We will combine our digital and technology capability and capacity to enable the delivery of optimised and efficient services that are fit for purpose and delivered in collaboration with our services partners. We will consolidate and rationalised our application portfolio and design our future state based on the organisation's vision and strategy.
- **Innovation and creativity** - We will work to improve the organisational digital maturity of the council by increasing our digital leadership capabilities and developing a culture of collaborative innovation and creativity. We will enable and adopt modern ways of working.

- 4.3 The four building blocks are interdependent and connected, jointly creating an integrated framework for change and define a minimum acceptable digital and technology standard that will be governed and assured centrally.

5.0 Updating the strategy

- 5.1 The Council's New Operating Model is predicated on delivering better service outcomes and customer experience, greater customer convenience, availability and satisfaction, enhanced process efficiency, reduction in the cost to serve and the ability to focus our limited resources on our vulnerable residents. The digital and technology strategy is designed to deliver this.
- 5.2 However, two building blocks are yet to be fully delivered by the Digital and Technology strategy: Better use of data and information; and Operational efficiency, productivity and continuous improvement.
- 5.3 ICT have supported a commissioned partner to configure a new data analytics platform for the Commissioning Support Unit. This is currently in pilot and will deliver new performance reports through Microsoft's Power BI platform for the Council. This will now be a key focus of the Council's transformation as without appropriate, accurate and timely information to inform decision making, there is a danger that transformation will not be delivered.
- 5.4 In support of 5.2, ICT are part of a project to deliver a Data and information Strategy for the Council. Including this as an addendum to the Digital and Technology Strategy would improve the document's ability to guide ICT development.
- 5.5 The third building block highlighted in 4.2 requires the ICT team to continually improve operational ICT delivery. An addendum to the Strategy could set out how the ICT Team will deliver this, with annual operational targets set out to achieve these aims.
- 5.6 The above will be considered in light of the digital and data developments of the Council and any revisions to the Strategy will be brought back to Cabinet for consideration as necessary.

6.0 Financial Implications

- 6.1 The implementation of the strategy since its approval has included investment in both the underlying digital and ICT foundations of the organisation as well as investment in the individual applications and projects that will deliver the benefits and service improvements for customers outlined in the strategy. Much of the investment, particularly in terms of laying the foundations, is expected to occur in the early days of the strategy's implementation. The spend to the end of December 2019 was £4.8m with a further £8.3m need to spend identified in future years, subject to business cases for individual projects being approved, to complete the implementation. This investment will be funded from the organisation's transformation reserves and is reflected in the emerging Medium-Term Financial Strategy proposals.

7.0 Environmental implications

- 7.1 There are no environmental implications at present. In future, as the Council cloud footprint increases this will have a commensurate positive impact on utility usage due to minimising our current data centre footprint.

8.0 Equalities implications

- 8.1 An Equality Impact Assessment has been completed which will be monitored and reviewed as the strategy develops and is delivered. Action has and will be taken to mitigate / remove any identified negative impacts and maximise the positive ones.

9.0 Timescales associated with the decision and next steps

- 9.1 The following are the deliverables and indicative timescales for the strategy.

Digital and Technology Strategy review	January 2020
Customer Experience programme	April 2020
Business Intelligence Platform	April 2020
Service Area Redesign	April 2021

Background papers

None.

Supporting Documents

1. Digital and Technology Strategy 2018 – 2021.

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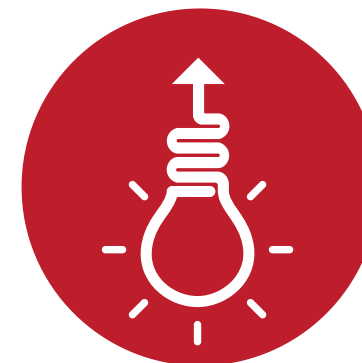
Local Member(s): n/a

Other members: Chattaway, Boad, Singh Birdi, Roodhouse, Chilvers, Warwick and O'Rourke

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Doing things better



Digital & Technology Strategy 2018 – 2021

Shaping Warwickshire's digital future

Background

A digital revolution, as a result of the rapid advances in technology and digital services, is redefining the way we live, work, learn and play. It is challenging the way we currently deliver services and providing us with opportunities to transform our services in ways which make a real difference and ensures the services are valued by those who use them.

A successful digital and technology strategy must position the customer at its centre. Warwickshire County Council's new operating model puts digital at the heart of the relationship with our customers with a commitment to understand customers' needs and bring the most appropriate digital tools and skills together to respond to these needs efficiently, whilst ensuring digitally excluded customer groups are not disadvantaged.

Our aim is to deliver better outcomes, manage demand and increase our financial sustainability. To do this we need to ensure our services are more efficient and joined up, and that we make best possible use of new technologies and innovation.

We cannot do this alone and so will look to our customers and partners in the public, private and voluntary communities to help guide and support us in finding solutions and different ways of working.

We will encourage customers who are able to self-serve through online channels to do so. This will allow us to focus our limited resources on our vulnerable residents; improve our customers' experience when engaging with the Council; increase customer control over their data; and make services more intuitive, convenient and available.

We are in an era where we will be defined by our ability to adapt to and utilise the rapid pace of technological change. There is much to do to ensure we benefit from the wider and more effective use of digital services. When delivered in a strategic and prioritised way, the potential benefits to our customers, the Council and our partners are enormous.

Using digital processes and new technology to enable the provision of our services will bring the following benefits:



Reduced costs of delivery and better value for money



Greater efficiencies and better customer outcomes



Stimulate and enable innovative ways of working



Positive reshaping of the relationship between the Council, its customers and its partners



Improved communications, collaboration and partnership working



Better use of council held data



Establishment of new revenue streams

Introduction

This strategy supports the delivery of Warwickshire's One Organisational Plan (OOP) 2020 and will play a key role in enabling the emerging new operating model for the Council. Our financial sustainability is underpinned in part by the Council's ability to leverage advances in digital and technology to enable: better provision of information, advice and guidance; further self-service; consolidated applications; connected/automated processes; delivery of operational efficiencies; and maximisation of revenue.

Our ambition is to use our digital and technology capabilities to enable and support four key stakeholders - our customers, our people, our partners and the organisation by:



improving our customers' experiences and outcomes



optimising the way we work



forming mutually beneficial partnerships



improving our use of data, financial performance and sustainability

Our work is based on the philosophy that best customer and business value emerges when projects are aligned to clear business goals, deliver frequently and involve the collaboration of motivated and empowered people. We will work with our customers, our people, communities, businesses and partners to ensure we deliver digital services that matter and make a difference to the way they live, work, learn and play.

This digital and technology strategy and its associated programmes and projects will be key enablers to supporting the way services will be provided in the future and ensuring the Council can achieve its vision "to make Warwickshire the best it can be".



Aims of the strategy

The aim of the strategy is to enable Warwickshire County Council to deliver its vision, priorities and customer outcomes by placing digital at the heart of the relationship with customers and enhancing their interactions with the Council.

Our strategy will deliver the following outcomes:



Make digital the preferred channel for our customers, enabling demand to be managed better and resources to be allocated where they are most needed



Increase the range of digital services available to our customers, ensuring they are intuitive, easy to use and convenient



Strengthen and grow our modern working capabilities and capacity to support our people to adopt a more mobile and flexible working pattern



Extend the use and analysis of data to inform and evidence our decisions, forecast demand and enable proactive intervention



Integrate technology and data to help facilitate more joined up services across our directorates and with partner organisations



Ensure that the public data that we hold is discoverable, accessible, and reusable to enhance transparency, enable better services, facilitate innovation and inform public participation



Consolidate and rationalise duplicated features and capability in applications to reduce cost



Ensure that all procurement and sourcing of digital and technology services and solutions are aligned to our organisational priorities

Our digital and technology strategy will support the Council's new operating model by enabling us to:

- Understand our customers' needs and deliver services that meet their needs
- Redesign end to end digital services
- Position digital and technology as a strategic capability to support achieving the Council's priorities and outcomes
- Support the move to a new integrated ICT and digital operating model
- Develop a robust, integrated and risk-based digital and technology governance and assurance model including:
 - Definition of the minimum standards for future digital and technology investments
 - Definition of delivery methodology, frameworks and approaches
- Take a strategic approach to digital and technology investment that balances the need for enabling better customer outcomes against the cost to serve
- Improve our collaboration capabilities and enable better service integration with partners

Design principles

Our organisational design principles have been formulated around the themes of what we do, how we do things and how we will work to ensure our new operating model brings a single, consistent approach to the way we do things in the future. The digital and technology strategy will adhere to these design principles and use them as the basis for the emerging digital and technology design principles which aim to simplify, standardise, share. The organisation design principles are:



What we do



We will only commission activities that contribute to our outcomes



We will organise ourselves around achieving our outcomes



We will use data to inform what we do



We will invest in activities that strengthen economic sustainability



How we do things



We will enable our customers to support themselves



We will build resilient self supporting communities



We will retain our role as the commissioner of our outcomes



We will have a mixed economy of service delivery arrangements



How we will work



We will work collaboratively with our partners



We will be innovative and creative in our way of working



We will take accountability, ownership and responsibility for our performance



We will be lean, efficient and agile in the way we work

Digital principles

We want to give everyone that uses our digital and technology services an excellent and consistent experience, and our digital design principles will enable us to do this. These digital principles provide high-level guidance for everyone involved in shaping digital and technology services at Warwickshire County Council.

1 Start by identifying our users' needs

By users we mean everyone using our digital services. This could be customers, residents, partners and staff. If we don't know what their needs are we won't build the right service. Do the research, analyse the data, talk to them and do not make assumptions. If we understand the needs of our internal and external customers we will design better services.

2 Align user needs with our business objectives

We should clearly define our objectives for all our digital services and relate these back to our business strategy and One Organisation Plan (OOP) 2020.

"User-centred design is not about giving users what they want. It's about leveraging the natural behaviour of users to get what the business wants"

3 Keep it simple

Our services and communications should be simple, straight-forward, logical and consistent. We need to keep it simple, giving our users what they need but remembering that 'less is more'.

"Simplicity is the art of removing everything that doesn't have to be there."

4 Build digital services not websites

Digital service design means designing the whole service not just the digital bits. If you're redesigning a service, you need to think about what the user is trying to achieve and then build a service that meets those needs. It goes deeper than just improving our website. The digital world needs to connect to the real world and all aspects of your service.

5 Use evidence not judgement or opinion

We can learn from looking at how existing services are used in the real world. Rather than hunches or guesswork, we should use a combination of data and customer stories to make decisions.

6 Design, launch, test, repeat and build for reuse

Our approach will be to release early digital services that meet basic needs, test them with users, delete what doesn't work, identify quick wins where possible and make refinements based on feedback. We will make sure our approach is consistent and will help people become familiar with our services.

"Iteration reduces risk. It makes big failures unlikely and turns small failures into lessons."

7 Build it for everyone

Good design is accessible design that is inclusive and easy to understand. Designing to meet needs is more important than style. The people who most need our services are often those who find them hardest to use. Let's think about those people from the start.

8 Design for context of use

We're designing for people, not designing for a screen. We should design our digital services around:

- how and when people will use them
- the task a user has come to complete
- looking to signpost where possible and focus on the part that is relevant and unique to a person or business in Warwickshire.

"All information must be presented in the context of a user task to be useful."

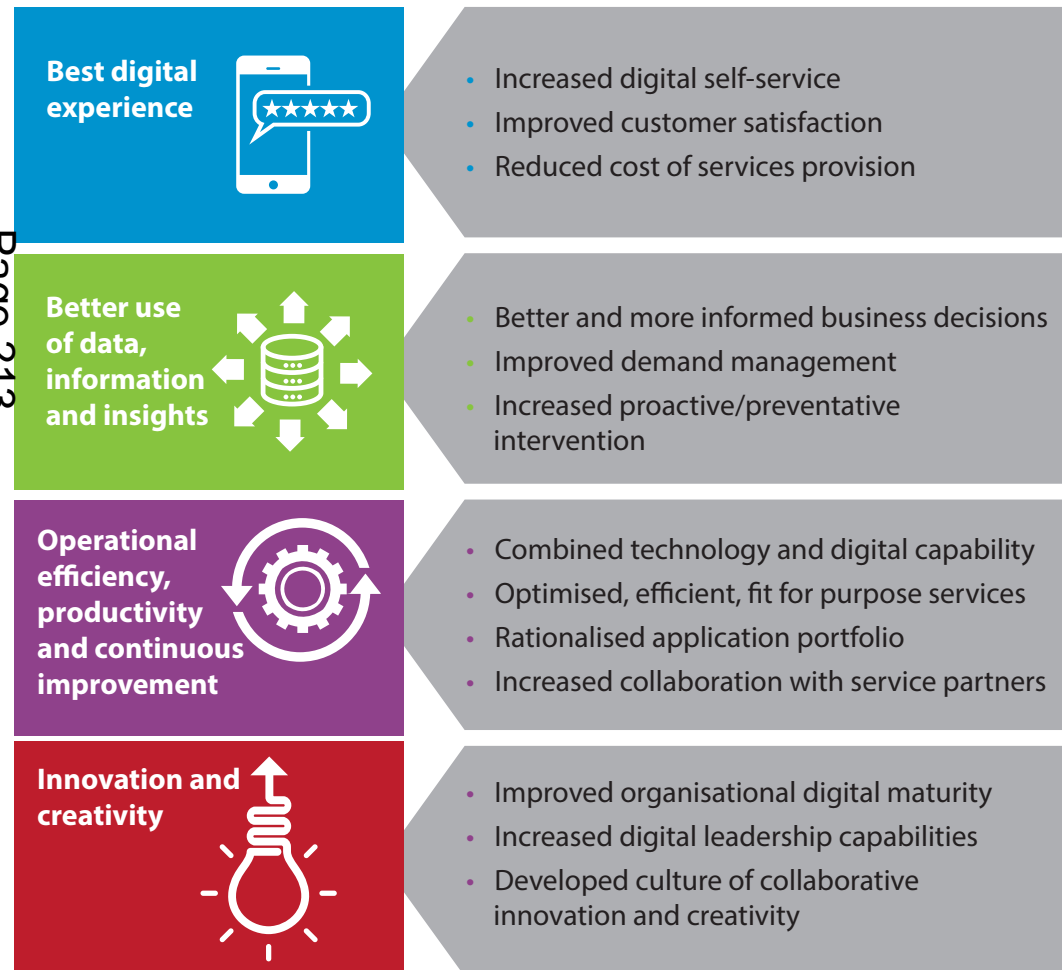
The aim of the principles is to help inform and shape many of the decisions we make when creating or improving our digital and technology service and are underpinned by our ambition to simplify, standardise, secure and share.

We will revisit these principles frequently throughout our delivery programme to make sure we remain on track. These principles will come to life through our strategic delivery building blocks.

Key building blocks

To support the Council's priorities, the OOP vision, new operating model and our digital ambitions for our customers, four key cross-cutting building blocks have been identified which will underpin the Council's Digital and Technology Strategy.

The four building blocks are:



The building blocks have been developed from the identified needs of our customers, the Council, our stakeholders and partners. We have defined the required objective themes and outcomes; however, it must be noted that:

- No building block is independent of the other, all are inter-connected
- Jointly they create an integrated framework for change
- Together they define a minimum acceptable standard (reference architecture)
- They will be governed and assured centrally

The building blocks are aligned to our OOP 2020 guiding principles, customer outcomes, digital and technology principles and ambitions.

The building blocks utilise guidance from industry standards and adhere to local government compliance requirements.

Best digital
experience


Block 1 - Best digital experience

Objective: We will place digital at the heart of our relationship with our customers

We want as many of our customers, council staff, stakeholders and partners as possible to benefit from our digital services. We want to make it easier for our customers to access more of our services online enabling us to manage demand and costs better. We want to ensure no one is left behind as technology continues to change the way services are delivered. Digital connectivity is a key enabler for growth across all economic sectors and increasingly relevant to inward investment. Smarter use of technology can bring fantastic opportunities for us as new technology solutions become an integral part of our lives. Our smartphones, tablets, laptops allow us to access the internet for banking, shopping and social media. We can use the same technology to improve the way council services are designed and delivered, connecting in a way that is transparent, easy, convenient and matches our customers' expectations.

We will achieve this by focussing on:

- **Our digital customers.** We will undertake an end to end digital service redesign of all our services to ensure they are optimised to meet customer needs and become the preferred choice of our customers
- **Digital inclusion.** We will work collaboratively to identify and provide targeted assistance to customers who need digital assistance, specifically those who are less digitally connected and more vulnerable
- **Digitally enabling our people.** We will provide our employees with the digital tools and skills they need to perform their roles, supporting and enabling modern ways of working
- **Creating digitally capable communities.** We will work with our partners to help equip communities and businesses with the digital skills and tools they need to function in an increasingly digital economy and enhance their lives
- **Digital infrastructure.** We will continue to work with telecommunications suppliers and other digital agencies to create the right conditions to accelerate digital investment through easier access to assets and simpler planning permissions
- **Digital collaboration.** We will work much more closely with partner organisations to deliver joined up services

Better use
of data,
information
and insights


Block 2 - Better use of data, information and insights

Objective: We will use data to inform what we do

Our new operating model and future council vision is heavily dependent on our ability to use information analytics to pursue the knowledge and insight that will allow us to understand the behaviours of customers, the services they use and how we can best meet their needs. Data has a value that we can exploit, and we will develop our maturity in the use of data to meet our future business needs. Data is a critical resource for enabling more efficient, effective Council services that respond to users' needs. It is the foundation and life blood upon which our digital and technology services depend.

The organisation is committed to the principle of being evidence-led; this will be dependent on having timely, accurate and accessible information insights and intelligence. The adoption of an organisation-wide approach to the use of data will enable us to optimise business decisions, be more proactive in meeting customers' needs, drive continuous service improvement, manage demand more effectively whilst enhancing the customer experience and satisfaction with the service provided.

We will achieve this by focussing on:

- **Data as an organisational asset.** We will position data as a key strategic asset rather than a by-product of administrative processes and enable the organisation to maximise the value of data by using it to inform and evidence Council decisions, enable proactive and early preventative intervention which stops demand before it starts
- **Open and transparent data.** We will support and encourage open data and data transparency by proactively publishing any data that we would need to provide to the public when requested
- **Data as an enabler of better service.** We will make data an enabler for our services, gathering it once and utilising it to inform the way we design and deliver services, particularly where those services across organisational boundaries
- **Information management.** We will manage the information that we hold in an open

and transparent manner that is secure and compliant with regulations. We will ensure that our customers have access to and maintain control over the data we hold about them

- **Management information.** We will utilise insights to enhance our ability to respond strategically to customers' needs and financial pressures, ensuring that all our people have the business intelligence they need to inform their decisions and help customers to understand the reasons for those decisions
- **Improved data quality.** We will ensure that our insights are based on reliable data and that data quality standards and rules are rigorously enforced by establishing data quality standards, enhancing data stewardship, automating data processing and implementing a robust data quality strategy
- **Our people's skills and expertise.** We will develop our people so that we move from "I think..." to "We know..." by investing in the skills and tools to improve our analytics

Operational efficiency, productivity and continuous improvement

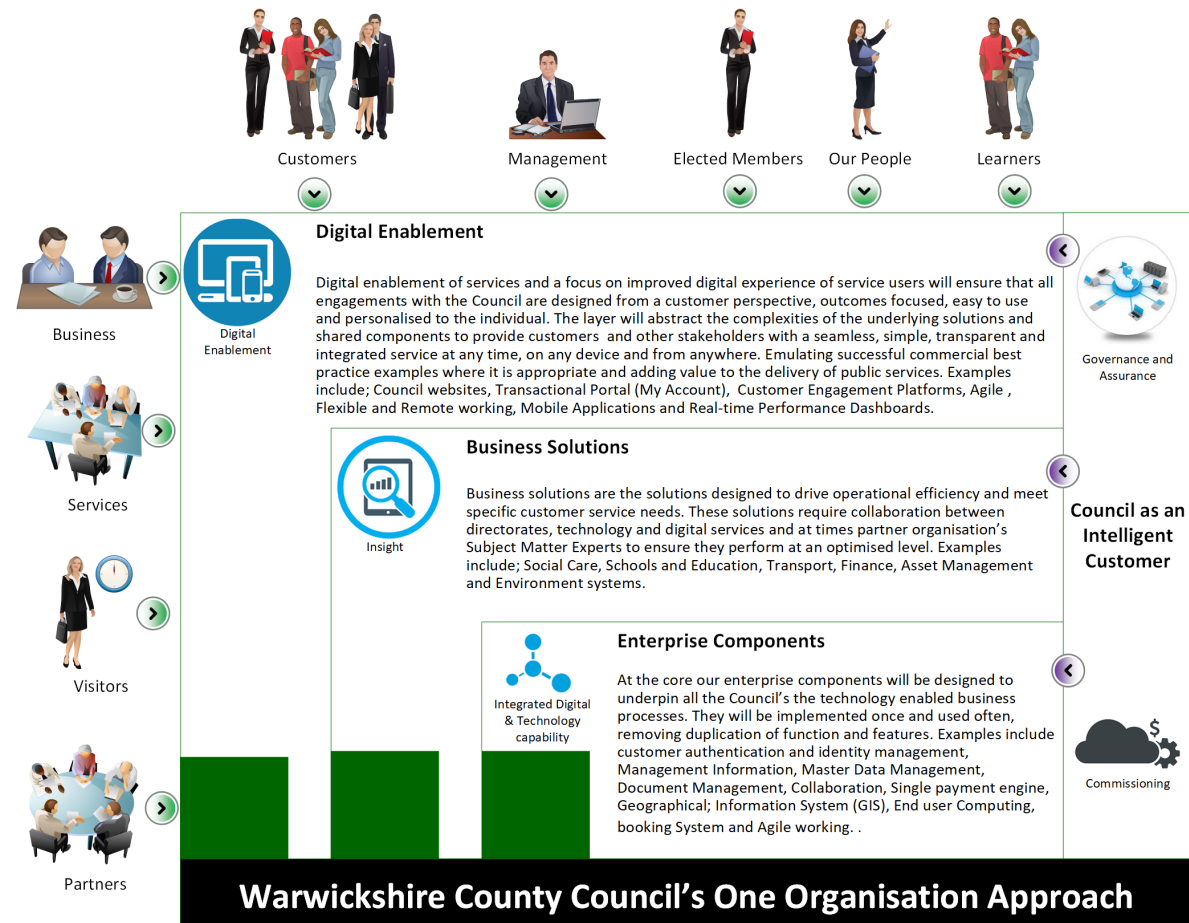


Block 3 – Operational efficiency and productivity

Objective: We will deliver services more efficiently and effectively

Increasingly technology underpins many of the public services we deliver and most of the work that we do. To meet the changing needs of our customers, partners and our new operating model we must realign our investment in digital and technology services and technology to the Council's priorities. As our customers, partners and organisation become more digitally capable, we need to enhance the efficiency and responsiveness of the Council's operations and the ability of our people to take advantage of the latest technologies and opportunities.

At the heart of the digital and technology service will be a reference architecture that will set out the fundamental design of the Council's customer, digital and technology environment moving forwards. We will commission the right solutions by adopting a joined up, one organisation approach that shares its core enterprise components and its digital enablement capability as shown in the diagram.





Our three layer approach *(see diagram on page 10):*

1. **Digital enablement:** a single digital platform that is both inward and outward facing that will ensure that customers can use our services easily and our people can deliver services cost effectively
2. **Business solutions:** line of business solutions designed to drive operational efficiency and meet specific customer service needs e.g. MOSAIC. These solutions require collaboration between business commissioners, digital and technology and at times partner organisations
3. **Enterprise components:** taking a one organisation approach, these will share systems designed to underpin multiple business processes. These will be put in place once then used often, reducing waste and duplication.

We will achieve this by focussing on:

- **Combined digital and technology capability.** We will establish combined digital and technology capability with a new funding model and governance model that is aligned to the Council priorities
- **Digital and Technology investments.** We will realign our investment budgets in digital and technology services and technology to enable a cohesive investment strategy that allows the Council to leverage strategic partnerships, deliver its cloud first ambition, reduce total cost of ownership and leverage its purchasing power
- **Consolidating and rationalising our applications portfolio.** We will reduce maintenance and support cost by deduplicating and shrinking the number of digital and technology systems and delivering more joined up services where common functionality is shared
- **Investing in emerging technologies.** We will invest in the tools, skills and capabilities necessary to enable us to harness and leverage the rapid advances in technology
- **Understanding our costs and delivering value for money.** We will adopt a new robust sourcing and procurement strategy and use our purchasing power to take advantage of licensing opportunities
- **Modern working and service agility.** We will enable, support and promote modern and agile working, by providing the right tools (devices, software, access) and developing essential digital skills and capabilities to support our customers and support existing and attract appropriately skilled staff. We will implement technology to support increased Bring Your Own Device (BYOD)
- **Improved partnership and collaboration.** We will actively team up with partners to deliver service efficiencies and share workloads where it is mutually beneficial and in the interest of the customer, these partners may include regional health organisations, Police and emergency services
- **Increase service integration.** We will adopt standard integration patterns and specification, to provide system integration and information exchange with internal systems, service delivery bodies, partners and suppliers

Innovation and creativity



Block 4 – Innovation and creativity

Objective: We will create value from ideas that challenge the norm

Innovation and creativity are essential to the success of our future Council and on-going support of our new operating model. We will need to be able to take advantage of opportunities as these arise, adapting to change quickly and delivering benefit to the organisation and our customers as early as possible.

We will create space, time and a culture that enables innovation, is prepared to take calculated risks and uses failure as a learning tool.

We will achieve this by focussing on:

- **Establishing an innovation capability.** We will work with the business change hubs, partners and the academic sector to rethink and reimagine our services promoting and encouraging entrepreneurship to benefit our local economy and inspire and enable people both within and those connected to the Council
- **Establishing a digital capability.** We will increase our digital maturity by enhancing our digital leadership capabilities and the organisation's digital fluency
- **Establishing strategic partnerships.** We will establish strategic partnerships that are mutually beneficial and enable us to gain access to subject matter expertise and additional support from key partners
- **Publishing the data we hold.** We will publish open data to encourage customers, partners and businesses to utilise it for the benefit of the community

Cabinet

30 January 2020

Warwickshire Rail Strategy 2019 - 2034

Recommendations

That Cabinet:

- 1) Note the results of the consultation and the resulting modifications made to the draft Passenger Rail Strategy.
- 2) Recommend that the Council endorse the Warwickshire Rail Strategy 2019-2034 and that the document is added to the Warwickshire Local Transport Plan 2011-2026.

1.0 Background

- 1.1 The County Council's existing Rail Strategy, as contained within the Warwickshire's third Local Transport Plan is no longer reflective of the local, regional and national wider policy context or Warwickshire's aspirations to deliver improvements to both rail infrastructure and services. As a result the decision was taken to undertake a comprehensive review of the Rail Strategy ahead of the development of the new Warwickshire Local Transport Plan.
- 1.2 Once adopted, the revised Warwickshire Rail Strategy will become a companion addendum to Warwickshire's existing Local Transport Plan. The Plan will not be formally modified at this stage, but the Strategy can be incorporated into the new Plan when the existing Plan is reviewed.
- 1.3 The draft Warwickshire Rail Strategy 2019-2034 (See Appendix 1) was subject to public consultation which ran from 20th July to 20th September 2019. The consultation gave key partners, stakeholders and the general public the opportunity to comment on the draft Rail Strategy and express a level of support for the policies and proposals set out in the strategy.
- 1.4 A wide range of stakeholders were contacted directly to notify them of the consultation and to seek their views. The consultation was also publicised to the wider community using a variety of the County Council's media channels and through the local press.
- 1.5 A range of methods were used to gather views during the consultation period. These included; an online survey on Ask Warwickshire using Citizen Space; a

paper-based version of the standard online survey could be requested by telephone or email. Alternative formats and languages could also be requested. In addition, comments and full written responses relating to the proposed draft strategy could be sent directly to the County Council.

- 1.6 167 responses were submitted via the online survey; in addition, the County Council received 43 written responses, predominately submitted via email. The written responses were primarily submitted by key partners and stakeholders, including Midlands Connect, West Midlands Rail Executive, Birmingham Airport and local Town and Parish Councils. Most respondents who completed the online survey did so in their own capacity; eleven respondents completed the survey on behalf of an organisation. These included a mix of public, private and voluntary sector agencies. North Warwickshire Borough Council, Rugby Borough Council, Warwick District Council and Stratford -on-Avon District Council all submitted a response to the consultation, either via the online survey or a written response.
- 1.7 Responses to the online survey were received from across the County, with the highest number of respondents (31%) coming from North Warwickshire Borough, whilst only 8.4% came from Rugby Borough. The response rate for each Borough/District is shown in table 1 below. It should also be noted that the majority of responses received, over 80% identified themselves as 'White British'.

Table 1: On line responses: Proportion by Borough/District

Area	All Respondents (%)
North Warwickshire Borough	31.3%
Nuneaton & Bedworth Borough	12.0%
Rugby Borough	8.4%
Stratford-on-Avon District	15.1%
Warwick District	16.9%
Other, including Countywide	16.3%

- 1.8 Responses were received from the following organisations;

Table 2: Organisations who responded to the consultation

<i>Responded via written responses</i>	
<i>Key Stakeholders/Partners/MPs</i>	<i>Town & Parish Councils</i>
Birmingham Airport	Ansley Parish Council
Chiltern Railways	Honeybourne & Pebworth Parish Council
Guide Dogs	Kingsbury Parish Council
Highways England	Lapworth Parish Council
Midlands Connect	Shrewley Parish Council
Network Rail	Southam Town Council
Shakespeare Birthplace Trust	Welford Parish Council

University of Warwick	Rail User Groups
West Midlands Rail Executive	Atherstone Rail User Group
Craig Tracey MP	Northampton Rail User Group
Nigel Huddleston MP	Rugby Rail User Group
	Shakespeare Line Promotion Group
Local Authorities	Stratford Rail Transport Group
Coventry City Council	Other
Gloucestershire County Council	Responses submitted on behalf of individuals – 8 responses submitted
Hinckley & Bosworth Borough Council	Atherstone & Mancetter Labour Party
Leicestershire Country Council & Leicester City Council	Earlwood & Forshaw Heath Residents Association
North Warwickshire Borough Council	Tamworth Residents Association
Rugby Borough Council	Stratford Transport Group (verbal response)
Stratford –on-Avon District Council	
Warwick District Council	
Worcestershire County Council	
Federation of Small Businesses	
Warwickshire Health	
Organisations who responded via online survey	
Combe Fields Parish Council	Atherstone Town Council
Warwick Town Council	The Guide Dogs for the Blind Association
Campaign for Rail	Coventry and Warwickshire LEP
Carbon 3IT Ltd	
Henley in Arden Joint Parish Council	
Restoration and Archiving Trust	
Solihull and Leamington Rail Users Association	

2.0 Consultation Feedback

- 2.1 The consultation report based on the submissions received via the online survey is included in Appendix 2.
- 2.2 Headline results from the analysis of all responses along with how the strategy has been amended as a result of the consultation are set out below.
- 2.3 Over half of respondents completing the full online survey either strongly agreed or agreed with the overview of the Warwickshire context and there was generally a high level of agreement for the Key Objectives as set out in the draft strategy.

- 2.4 In terms of the proposed policies, the highest agreement scores for policies were for Policy 3 - New rail services and stations and Policy 11 - Rail fares and ticketing. The lowest score was for Policy 9 which sets out that the County Council will endeavour to secure the maximum benefits from HS2. This low level of support for Policy 9 may be a result of respondents using the opportunity to register their objection to the HS2 project overall.
- 2.5 The key issues raised by respondents completing the online survey or via the submission of a written responses are summarised below in table 3.

Table 3: Summary of key issues raised via online survey and written submissions

Key Issue raised	WCC Response	Amendments made to draft strategy
Service and Station improvements		
Support for re-opening of the Stratford – Honeybourne line. Desire by some respondents to see this happen as soon as possible.	The County Council is a member of the North Cotswold Line Taskforce, which has committed to examining the case for the future reinstatement of the Stratford – Honeybourne rail link. The scheme cannot come forward until after other capacity improvements have been delivered along the North Cotswold line and therefore this is not a scheme that can be delivered in the short /medium term. The County Council is working with the Train Operating Companies to secure further improvements to services operating between London and Stratford.	No amendments to the draft strategy are proposed. The strategy sets out the Council's commitment to the North Cotswold Line Taskforce and the associated programme of work, which includes examining the case for the reopening of the Stratford- Honeybourne line at the appropriate time.
Support for the development of Coleshill Parkway as an interchange hub and Henley-in-Arden station as a rail hub for the rural hinterland.	The County Council welcomes this support and is working with the relevant organisations to progress these proposals.	No amendments to the draft strategy are proposed. The strategy clearly sets out the County Council's aspiration to develop Coleshill Parkway to maximise the site in terms of its local and strategic value and to promote Henley-in-Arden station as a rail hub to serve its rural hinterland.
Support for service improvements but concern regarding car parking availability. Some concern that public transport/sustainable travel options should be promoted in addition to/instead of increasing car parking provision.	Where possible the County Council will deliver improved sustainable transport provision to and at stations. Good availability of car parking at stations is also supported as it can encourage people to switch from road to rail for a proportion of their journey. Funding for a variety of improvements will be sought from a number of sources when and where appropriate.	The strategy has been amended to reflect the fact that car parking availability may not keep pace with demand, especially when service improvements are delivered. Greater emphasis has been placed on ensuring that a range of transport options are considered when improving access to stations.

Desire to see service improvements across the network including the NUCKLE and Stratford - Birmingham corridors.	The County Council works closely with West Midlands Rail Executive and the Train Operators in an attempt to secure the maximum improvements to the rail network in Warwickshire. West Midlands Trains have recently introduced more evening and weekend services across many routes and further improvements will be delivered over the life of the franchise. Some further service improvements such as those on the NUCKLE corridor will require significant infrastructure improvements in order to be realised.	No amendments are proposed, the strategy sets out the County Council's aspirations for further service improvements to be delivered across Warwickshire including how we would like to see the service along the NUCKLE corridor be improved.
Improved access to UK Central/HS2 interchange.	The County Council will seek to maximise access to the HS2 interchange and wider UKC area via a range of modes, including rail. To access UKC by rail from a number of locations across the County will require an interchange due to a lack of direct rail infrastructure along certain corridors.	The draft strategy has been amended to further strengthen the aspiration for better connectivity from across Warwickshire to the HS2 interchange and UK Central. It is noted however that this connectivity may not always be possible by rail due to a lack of infrastructure and interchange with other transport modes will be required.
General support for improvements to existing stations, including enhancements to frequency and quality of services, as well as supporting more rapid delivery.	Improvements to stations will be delivered as soon as practical. Funding and delivery opportunities will be sought and where possible improvements will be brought forward more quickly. The County Council works closely with Train Operators and West Midlands Rail Executive to secure improvements to services, including frequency and rolling stock provision.	The strategy has been amended to reflect the fact that a number of the aspirations identified are either wholly or partly dependent on other regional or national schemes being delivered. Where possible efforts will be made to deliver improvements quicker than stated within the strategy but it has been made clear that delivering significant service or infrastructure on the rail network is challenging and requires the involvement of a number of partners.
New station proposals		
Comments regarding proposals for parkway stations, both in support and objections,	The proposals for new parkway stations, as set out in the draft rail strategy will be subject	The strategy has been amended to further strengthen the fact that the proposals for

including a desire to get a better understanding of the impact these proposals may have on other local stations and service provision.	to initial feasibility work. Such schemes will only be progressed if clear demand and a strong business case can be demonstrated. Parkway stations provide the opportunity for people to access the rail network and offer new connectivity between destinations. The possible location of sites, including the impact on the local and strategic road network, will be assessed during the initial feasibility work along with the potential service that would be able to call at the station. If positioned on the edge of settlements, they can offer the opportunity for users to either walk or cycle to the station.	<p>Parkways stations are at feasibility stage and scheme progression depends on the outcome of this work.</p> <p>The Strategy has been amended to reflect that although parkway stations are accessed predominately by the car, they provide the opportunity for people to transfer from road to rail, thereby reducing their impact on the environment.</p> <p>The strategy has also been amended to acknowledge that Parkway stations will be located, if possible, on the edge of settlements to encourage access by modes other than the car.</p>
General support for new station proposals and would like to see more rapid delivery.	The County Council welcomes the support for new stations. Improvements to stations will be delivered as soon as practical. Funding and delivery opportunities will be sought and where possible improvements will be brought forward more quickly.	The strategy has been amended to reflect the fact that a number of the aspirations identified are either wholly or partly dependent on other regional or national schemes being delivered. Where possible efforts will be made to deliver improvements quicker than stated within the strategy but it has been made clear that delivering significant service of infrastructure on the rail network is challenging and requires the involvement of a number of partners.
Planning improvements to take into account significant housing developments, for example Houlton SUE and Long Marston Garden Village.	Where feasible the County Council will seek to provide improved rail connectivity that will serve significant housing developments. However, this has to take into account the constraints of the existing rail infrastructure provision and a positive business case needs to be demonstrated.	No amendments to the strategy are proposed. The strategy adequately sets out possible new rail stations and service improvements that could improve rail connectivity for significant new housing developments where infrastructure exists.

Wider connectivity improvements to stations		
Wider connectivity via other modes to and from stations, particularly by bus.	The County Council will look for opportunities to improve bus-rail integration and have delivered a number of improvements over recent years e.g. bus stop and access improvements in the vicinity of Warwick and Leamington stations. However this can sometimes be difficult to achieve if the bus service is commercial and the rail service is seen as in competition with the bus service. Patronage can also prove challenging; a comprehensive, subsidised bus service to Kenilworth station was provided on opening, however the service had to cease due to a lack of patronage. The County Council will also investigate alternatives to traditional bus services such as Demand Responsive Services.	The strategy has been amended to further strengthen the policy relating to access to rail stations.
Accessibility and rail travel		
<p>Specific issues raised include;</p> <ul style="list-style-type: none"> - Ensure that ticketing options i.e. ticketless travel does not exclude vulnerable people and communities who may be disadvantaged by these processes. - Ensure the redesign of stations and new build stations have improved/new facilities for bike access and storage, as well as safe and accessible walkways, with appropriate lighting to facilitate improved use and increased participation from population groups to support the active travel plan. 	The County Council works with the Train Operators in an attempt to improve access and travel options for people with a disability or other mobility impairment who wish to travel. Where appropriate the County Council will bid for funding, or support the Train Operators in such a bid (e.g. Access for All funding) where a particular scheme has been identified. Examples include Stratford station, where lifts were provided, and Warwick Station, which was recently awarded funding for the installation of lifts. Station refurbishments (e.g. Stratford station) also provide the opportunity for the rail industry to ensure that accessibility standards are met.	The strategy has been further strengthened to reflect how accessibility improvements may be delivered, to include Access for All Bids but also wider partnership working (e.g. with the train operators and wider groups who are representative of specific groups of people who need help/provision to access the rail network).

<ul style="list-style-type: none"> - Improve access for existing stations where required, specific references made to Atherstone Station. 	All new stations and station infrastructure is built in accordance with nationally recognised accessibility standards, including those specific to the rail industry.	
Wider Health and Wellbeing issues		
<p>Specific issues raised include;</p> <ul style="list-style-type: none"> - Consideration should be given to improving the rail travel experience to benefit wellbeing experiences and the commute to work i.e. waiting areas should have good quality seating and timetable displays to help people make healthy travel choices. - Improved access for all communities to transport opportunities 	The County Council continues to work to help improve access to rail stations via a variety of modes. The rail operators are responsible for stations and the provision of waiting areas, timetables and platform information. The County Council continues to work with the operators to ensure the stations in Warwickshire benefit from high quality provision at stations, as appropriate for each individual station. In addition, the County Council is a core member of the Heart of England Community Rail Partnership, which aims to deliver small scale projects to further improve the station environment for passengers.	The strategy has been amended to further strengthen the policy relating to access to rail stations and the Community Rail Partnership.
Other		
Supportive of Warwickshire's involvement in wider regional level work, e.g. Midlands Connect work streams.	The County Council is fully engaged in the work of Midlands Connect and will seek to maximise the benefits of identified programmes of work to Warwickshire and the wider sub-region.	No amendments to the strategy are proposed.
General support for policies as set out in the draft strategy.	The County Council welcomes the support provided.	No amendments to the strategy are proposed.
Explore the possibility of locating EV charging points at train stations.	The County Council will work with the Train Operators, who manage the majority of station car parks to explore how further EV infrastructure can be delivered at rail stations in Warwickshire.	The strategy has been amended to reflect this issue and is reflected in the appropriate policy.
Impact of HS2 on communities	To ensure that the impact of HS2 on Warwickshire's communities is minimised	No further amendments are proposed to the strategy

	there is a dedicated team at the County Council who work closely with HS2 Ltd to try to mitigate issues where and when appropriate.	
Impact on local communities resulting from train service improvements, rail infrastructure improvements and the construction of new stations.	When developments and improvements are in the control of the County Council (e.g. new station construction) the necessary impact assessments will be carried out and the appropriate mitigation works incorporated into the scheme.	No further amendments are proposed to the strategy.

3.0 Financial Implications

- 3.1 There are no specific capital or revenue implications associated with the adoption of the strategy itself. However it should be noted that funding opportunities will need to be sought to realise a number of the aims and aspirations set out in the strategy and this may include bids to the County Council's own funding sources (e.g. CIF); and will need to be aligned to the Council Plan and the Council's Medium Term Financial Strategy

4.0 Environmental Considerations

- 4.1 It is anticipated that the rail strategy will have a positive impact on the environment. Improved connectivity, station enhancements and the provision of new stations will all contribute to rising passenger numbers and a transfer of trips from away from road to rail.
- 4.2 It is acknowledged that, Parkway stations are predominately accessed by car, however, when correctly located they offer a real opportunity for people to transfer from road to rail. In addition, where possible Parkway stations will be located on the edge of settlements to encourage access by a variety of sustainable modes, thereby reducing the impact on the environment.

5.0 The Oakervee and Williams Review

- 5.1 It should be noted that the Oakervee Review of HS2 has recently reported to Government (although it has yet to be made public). This has considered the future of HS2 in terms of how the scheme will be taken forward. It is expected that the Government's response to the recommendations of the review will be published in January 2020. The Rail Strategy has been prepared on the basis that HS2 will proceed as originally planned.
- 5.2 If Government take the decision to significantly delay, alter the extent of the planned route or abandon HS2 altogether there will be impacts on how the Warwickshire rail strategy can be delivered, especially where improvements are dependent on released capacity as a result of the delivery of HS2. In this scenario the Rail Strategy will be reviewed accordingly and presented back to Cabinet for approval in due course.
- 5.3 The County Council will also consider the implications of the Williams Review when it is published in 2020. This has considered the structure of the whole rail industry and the way in which passenger rail services are delivered. The review will make recommendations through a White Paper for reform to the industry that prioritise passengers' and taxpayers' interests.

6.0 Timescales associated with the decision and next steps

- 6.1 Subject to the approval of the Warwickshire Rail Strategy by Council, officers will proceed with undertaking the necessary work to enable the delivery of the

strategy. If the outcome of the Oakervee and Williams Review have a significant impact on the strategy, a further revision will be presented to Cabinet/Council for approval.

Background paper

Equality Impact Assessment

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Warwickshire Rail Strategy 2019 - 2034



Contents

1. The Warwickshire Context
2. Opportunities
3. Developing the Strategy
4. Identified Improvements
5. Making it Happen

1. The Warwickshire Context

Rail services in Warwickshire make a significant contribution to the local economy, business and local communities, helping to make Warwickshire an attractive place in which to live and work. The County Council has an excellent track record in delivering rail infrastructure and helping to improve services. Warwickshire intends to continue this support and investment in the local rail network to help improve wider connectivity, contribute to the delivery of housing and employment opportunities and maximise the benefit of economic growth in Warwickshire over the next fifteen years and beyond.

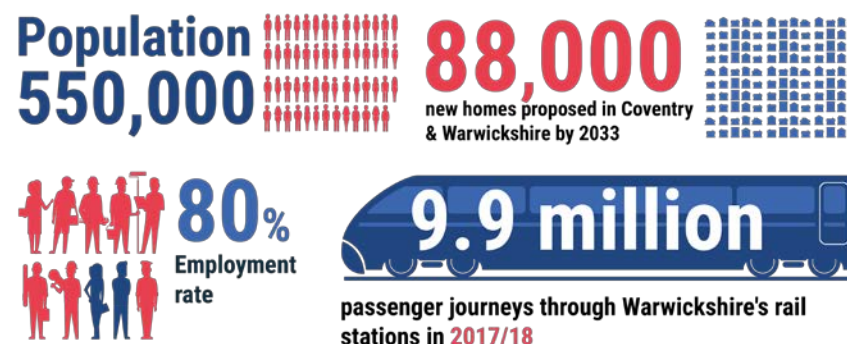
This strategy sets out Warwickshire County Council's ambitious and challenging plans to improve the rail offer in Warwickshire. This Strategy is a non-statutory policy document supporting the Third Local transport Plan but it is intended that it will form part of the Fourth Local Transport Plan when that is prepared.

Supporting Warwickshire's Economy & Growth

Warwickshire is a growing County with a population of approximately 550,000 people and a thriving economy with substantial levels of new housing and employment opportunities committed in local Plans.

The location of housing and employment growth is highlighted in figure 1.0. This growth will place additional pressure on the existing rail services and infrastructure (e.g. access to stations) and present new connectivity opportunities. A key aim of the strategy is to maximise the opportunity for the travel demands of the 88,000 new households planned to be built across Warwickshire and Coventry during the plan period.

Figure 1.0 The Warwickshire Context

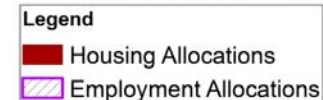
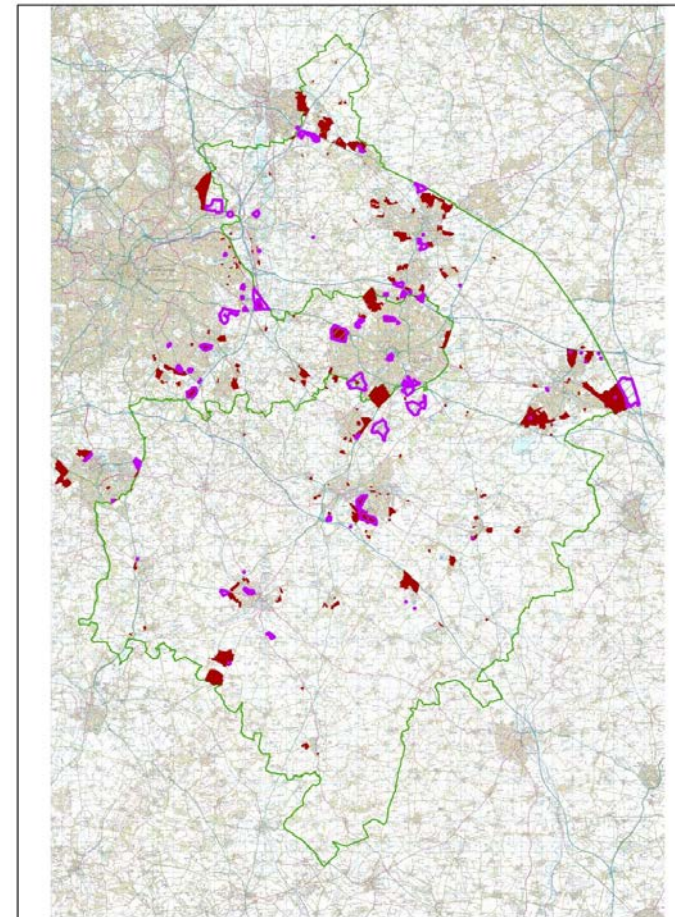


The wider West Midlands Region will also experience significant growth with the Region's economy forecast to grow by 14% by 2032 with an anticipated 900,000 more people and 450,000 new jobs.

Given this unprecedented scale of development, it will be challenging for existing rail infrastructure and service provision across Warwickshire (and the wider region) to accommodate growth. Investment in Warwickshire's rail network in terms of infrastructure and service enhancement is therefore vital to achieve this sustained growth, improve connectivity and capture the wider social and environmental benefits.

Figure 2 Housing and Employment Allocation

Warwickshire: Major Housing and Employment Allocations



Current Rail Services, Connectivity and Patronage

Warwickshire is fortunate to be served by a number of key rail routes, providing connectivity of local, regional and strategic importance. A number of Train Operating Companies (TOCs) provide passenger services along these routes and between them are responsible for the management of the rail stations.

Core rail routes serving Warwickshire are summarised in table 1.

The rail network in Warwickshire is used for a range of journey types with commuting and business use of significant importance. Large numbers of people from a range of socio-economic groups travel by rail between Warwickshire and the West Midlands conurbation and there is also a significant level of rail use between Warwickshire, the Thames Valley, London and the wider southeast.

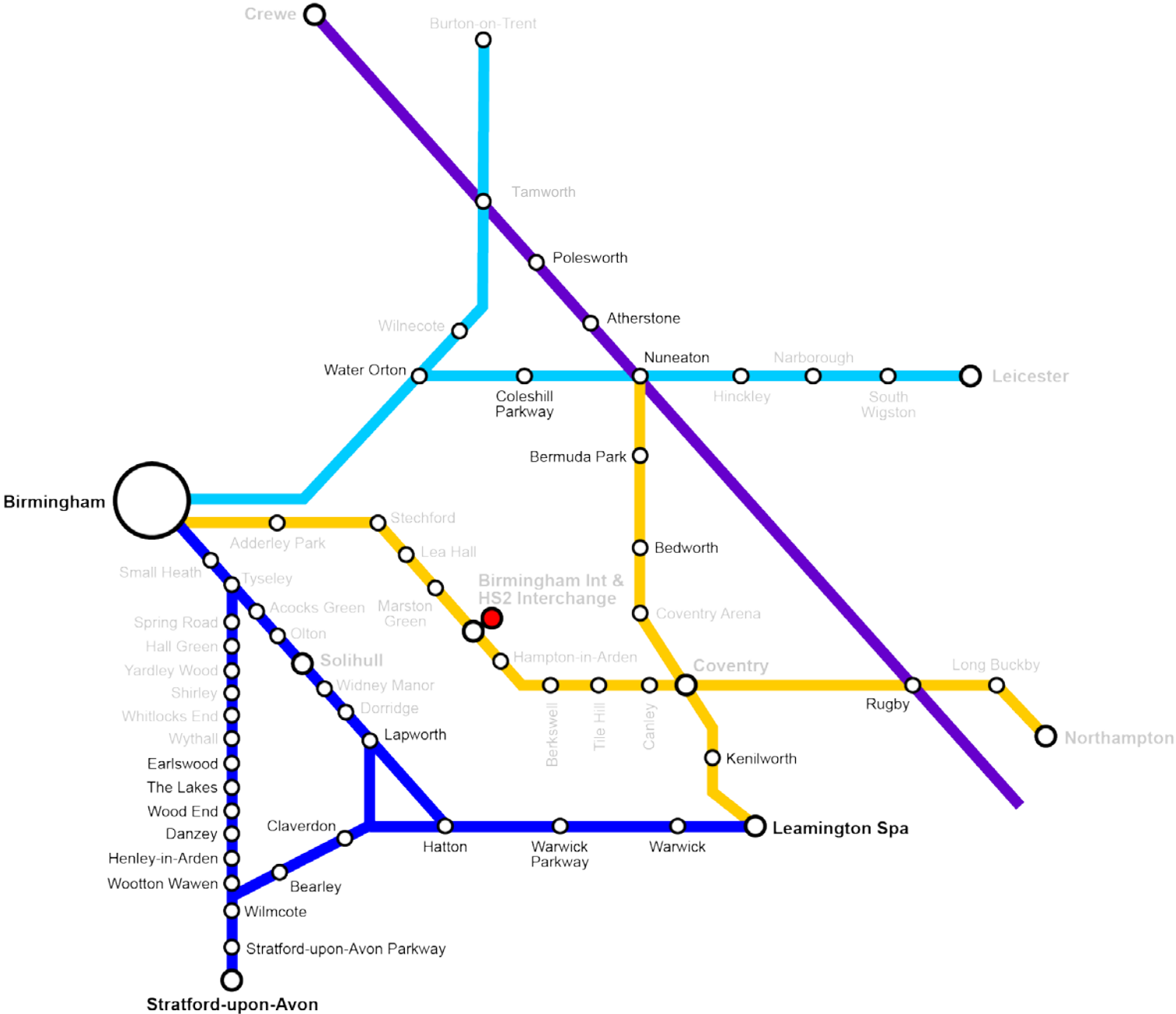
In addition to passenger rail services, the role of rail freight must also be considered. The value of rail connected freight facilities is recognised in minimising the impact of freight on the local and strategic highway network. The County Council will work with relevant partners within the road and rail freight industry to ensure where possible that the needs of passenger and freight services are balanced.

The core Warwickshire rail network and stations (as at 2019) is shown in figure 3 on page 7.

Table 1; Core Rail Routes serving Warwickshire

Key Route	Current Train Operator (2019)
Leamington Spa – Birmingham Stratford –upon-Avon – Birmingham (via Henley-in-Arden or Dorridge)	West Midlands Trains/London North Western Railway
Leamington – Coventry Coventry - Nuneaton	
Regional/National services between a) Birmingham – London Euston via Coventry, Rugby, Northampton Milton Keynes and Watford Junction b) Crewe – London Euston via Stafford, Tamworth, Nuneaton, Rugby, Northampton, Milton Keynes and Watford Junction.	
Regional/national high speed Services serving Rugby and Nuneaton Stations, providing some connectivity from Rugby to London Euston in the South and Glasgow in the North and from Nuneaton to Euston and the North West (Manchester).	Avanti West Coast
London Marylebone – Birmingham via Leamington Spa, Warwick, Warwick Parkway, Hatton and Lapworth.	Chiltern Railways
Limited service between Stratford –upon–Avon and London Marylebone and Stratford – Leamington Spa Shuttle Service (via Claverdon and Bearley).	
National network of rail services, with calls at a limited number of Warwickshire Stations, providing important national, regional and local connectivity. a) Leamington Spa; calls at Leamington Spa provide important direct connectivity with the South Coast and the North of England and Scotland. Passengers can also utilise this service to undertake local trips to Coventry, Birmingham, Oxford and Banbury. b) Coleshill Parkway and Nuneaton – proving important commuter services to Birmingham and Leicester and wider connectivity to Stanstead Airport and East Anglia.	Cross Country
The Cotswold Line, whilst not within the Warwickshire administrative boundary provides important rail connectivity between Hereford, Great Malvern, Worcester and London Paddington. Stations served by this route include Evesham, Moreton-in-Marsh and Honeybourne, all of which are of significance to Warwickshire residents living in the far south of the County.	Great Western Railway
A number of other stations are used by a significant number of Warwickshire residents in order to benefit from rail connectivity opportunities; these include Coventry, Tamworth, Sutton Coldfield, Birmingham International, Redditch, Evesham, Honeybourne and Moreton-in-Marsh. These 'out of county' stations are likely to experience similar growth to those within Warwickshire and therefore need to be considered for appropriate service and station enhancements. Such work will be need to be agreed with the relevant local authority and Train Operator.	

Figure 3 Warwickshire Rail Stations



Passenger Volumes

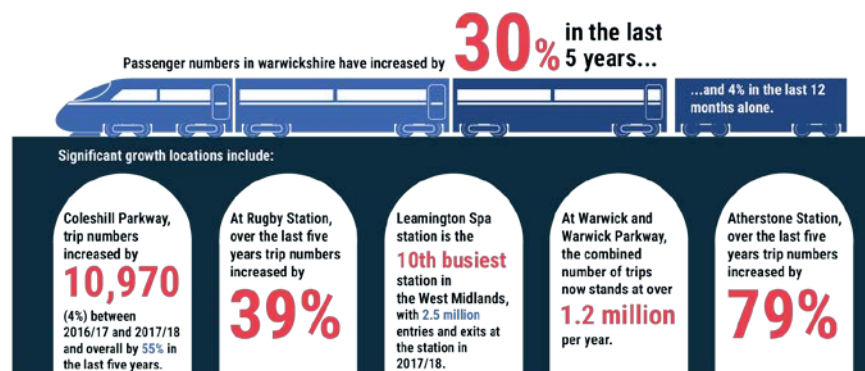
Warwickshire stations, on average have continued to experience significant levels of passenger demand. The table below summarises passenger volumes at Warwickshire stations and the growth over the last 5 years. Key stations outside the County are also included.

Table 2; Passenger Use by Station

Station	Annual Usage 2017/18	Growth since 2016/17	Growth since 2012/13	Station	Annual Usage 2017/18	Growth since 2016/17	Growth since 2012/13
Atherstone	148,998	4%	79%	Polesworth	262	-79%	-64%
Bearly	1,106	39%	65%	Rugby	2,527,944	3%	39%
Bedworth	91,794	8%	49%	Stratford Parkway	92,782	14%	N/A
Bermuda Park	28,378	41%	N/A	Stratford- Upon-Avon	1,042,086	1%	16%
Claverdon	2,782	-11%	21%	The Lakes	13,062	-6%	13%
Coleshill Parkway	297,970	4%	55%	Warwick	619,574	4%	18%
Danzey	8,198	8%	16%	Warwick Parkway	669,940	2%	15%
Hatton	60,674	17%	51%	Water Orton	55,652	8%	40%
Henley-In-Arden	140,202	5%	27%	Wilmcote	24,244	4%	24%
Lapworth	52,804	14%	59%	Wood End	11,740	-12%	0%
Leamington Spa	2,671,422	5%	27%	Wooton Wawen	11,128	24%	5%
Nuneaton	1,313,980	2%	26%	Total County	9,886,722	4%	30%

Out of County Stations	Annual Usage 2017/18	Growth since 2016/17	Growth since 2012/13	Out of County Station	Annual Usage 2017/18	Growth since 2016/17	Growth since 2012/13
Coventry	7,558,210	2%	39%	Redditch	1,077,690	4%	21%
Coventry Arena	99,516	15%		Evesham	246,900	-4%	-4%
Tamworth	1,223,106	2%	27%	Moreton-in-Marsh	268,866	3%	28%
Sutton Coldfield	1,624,334	1%	19%	Honeybourne	61,858	4%	29%
Birmingham International	6,664,422	3%	47%				

Figure 4 Warwickshire Rail Statistics



The overall trend in the number of rail passengers in Warwickshire is one of sustained growth. Passenger numbers across the County have increased by 30% in the last 5 years and 4% in the last 12 month period alone. Significant growth locations include:

- **Coleshill Parkway**, where the number of trips has increased by 10,970 (4%) between 2016/17 and 2017/18.
- The number of trips at **Rugby** station has increased by 39% over the last five years, placing further pressure on the station which is already at capacity in terms of highway access and parking.
- **Warwick** and **Warwick Parkway**, where the combined number of trips now stands at over 1.2 million per year.

- **Leamington Spa** station is the 10th busiest station in the West Midlands, with 2.5 million entries and exits at the station in 2017/18.
- **Atherstone** station, where the number of trips in the last 5 years has increased by 79%, largely driven by

London Midland's initiatives between 2012-14 to reduce journey times and increase frequencies to key destinations.

New stations

The success of stations opened by Warwickshire County Council, which began with Warwick Parkway in October 2000, demonstrates the effectiveness of providing new access points to the rail network that take account of existing and changes to travel demands. The total number of passengers using stations developed by Warwickshire County Council exceeds 1.18m per year. Warwickshire's newest station, Kenilworth, opened in summer 2018 and has succeeded in attracting a total of over 170,000,000 during the first year of operation.

Future Growth

It is evident that rail is the mode of choice for many Warwickshire residents and the importance of this mode of travel is likely to strengthen going forward. Network Rail Route Studies provide further evidence of this increasing demand for rail services. For this level of demand to be realised there will

need to be improved access to existing stations and capacity improvements on the rail network (e.g. more frequent services, longer trains). Warwickshire will also explore opportunities for new stations to maximise opportunities for residents to access the rail network. Without such improvements there is the possibility of rail demand being suppressed.

HS2 and Released Capacity

The arrival of HS2 Phase 1 (London to West Midlands) post 2/026 and Phase 2b (West Midlands to Yorkshire) post 2033 will have a significant impact on rail services in Warwickshire, not least due to the release of capacity on the West Coast Mainline. This presents a significant opportunity to influence and shape future service provision to enable passenger service and freight enhancements, new connectivity opportunities and new stations serving Warwickshire to be delivered, thereby maximising the economic benefits to Warwickshire afforded by the arrival of HS2.

For residents to the north of the County, the new HS2 interchange adjacent to Birmingham International station and Birmingham Curzon Street will provide access to fast and frequent services to London. Phase 2b of HS2 will enable fast journey times from the West Midlands to the north of England, (e.g. Birmingham to Leeds in 46 minutes) providing significant connectivity opportunities and journey time savings to the north of England for Warwickshire residents. Ensuring good connectivity for Warwickshire residents and businesses to the

stations served by HS2 will therefore be an important consideration. The County Council will maximise opportunities to secure improvements for the local community as appropriate.

2. Opportunities & Constraints

The majority of the rail network in Warwickshire is operating at capacity in terms of:

- Track infrastructure (e.g. sections of single line track, level crossing points, line speed restrictions);
- Capacity and availability of rolling stock;
- Capacity at stations, e.g. car parking availability and;
- Timetable issues – availability of train ‘paths’ to introduce new services/station calls.

Future service enhancement, improved connectivity opportunities and new access points to the rail network are required to meet the demand for known and future growth and provide opportunities to maximise the wider economic and social benefits for Warwickshire. However, this will require, in most cases, significant financial investment. Section 5 (Identified Improvements) details specific constraints and likely investments that will be required in order to deliver Warwickshire's aspirations in the future.

Despite the challenging nature of delivering rail service, connectivity and capacity improvements, there are number of opportunities, as set out below, that Warwickshire will seek to maximise in order to help secure infrastructure, service and capacity improvements. Whilst there is a wider aspiration to see improvements contained in this strategy delivered as quickly as possible, many are partially or wholly dependent on

the delivery of other regional or national rail schemes (as set out in section 3). Delivering significant service or infrastructure improvements on the rail network is challenging and requires to involvement of a number of key partners.

- **Governance Opportunities**

Warwickshire County Council is an active and full member of a number of regional organisations that have a direct impact on rail services in Warwickshire and the wider region:

- **West Midlands Rail Executive (WMRE)**

WMRE is a partnership of 16 West Midlands Local Authorities co-managing the West Midlands Railway franchise with the Department of Transport. WMRE is responsible for planning the strategic future of the West Midlands rail network.

- **Midlands Connect**

Midlands Connect is a partnership of a number of organisations, including 23 West and East Midlands local authorities. The work undertaken by Midlands Connect is multi-modal but includes significant rail infrastructure and service improvement programmes.

- **Department for Transport/Network Rail** with regards to the long term planning process and funding opportunities and engagement with the Office for Road and Rail (ORR).

- **Re-Franchising opportunities**

This provides a significant opportunity to secure improvements for Warwickshire via a) influencing the service specification issued to the market by the Department for Transport (DfT) and b) discussions with shortlisted bidders regarding our aspirations for rail in Warwickshire that may be reflected in bids submitted to DfT.

- **Train Operating Companies**

Warwickshire already enjoys positive relationships with the Train Operators serving Warwickshire. These relationships will be further developed in the future to secure improvements to Warwickshire's rail services and infrastructure.

- **Realising the benefits afforded by HS2**

Close liaison with the successful bidder for the West Coast Partnership is required to help maximise the benefits of associated with released capacity on the West Coast Mainline and wider classic rail network post-2026 in terms of improved/new service provision for Warwickshire.

- **Capturing the benefit of Highway Improvements**

There are a number of significant highway improvements planned in Warwickshire during the next 15 years, some of which will provide an opportunity to secure better connectivity to the rail network and enable new stations to come forward, taking into account existing and future travel demand. The County Council also has a role as local highway authority to improve access to stations by a variety of modes. This can be crucial in some town centre locations where highway space is constrained and congestion can deter people from using a station.

WCC will also work with Highways England and other stakeholders such as Transport for the West Midlands and Midlands Connect to secure improvements to the Strategic Road Network which will benefit rail accessibility.

- **Funding and delivery opportunities**

It is vital that the County Council takes advantage of any funding and delivery opportunities that are available going forward. It is likely that this will include more traditional methods of funding including bids to Government (e.g. the New Station Fund) but also more innovative ways of securing delivery.

- **Ticketing and fares**

The County Council will work with West Midlands Rail Executive and Midlands Connect as appropriate to deliver improved ticketing options (including ticketless travel) for passengers to help improve the overall journey experience. The Council will also engage with any review of rail fares that are undertaken at a national and regional level to secure the best outcome for Warwickshire's residents.

- **Innovation**

The County Council are committed to supporting innovation in the rail sector to help deliver an improved rail offer.

The Quinton Rail Technology Centre, located on the former MOD site at Long Marston, is an increasingly important storage, research and development facility for the rail industry. It is connected to the Cotswold Line at Honeybourne via a spur along the former line to Stratford-upon-Avon, and benefits from;

- access to the local high- secure storage of off-lease rolling stock with 20km of sidings (the largest in the UK) and approximately 2000m² of covered workshops with associated handling equipment and crainage. Additional benefits include;

- 4 hectares of open hard standing storage space*
- A 3km endurance test loop along with a light rail test track;*
- On-site 24/7 logistics support*
- Training rooms*
- Undercover meeting and exhibition space.*

QRTC works closely with the supply chain of the rail industry as well as a number of universities and other research facilities in relation to testing and innovation activity. They are keen to develop their offer further, particularly around evolving areas such as Very Light Rail and autonomous vehicles.

3. Developing the Strategy

The strategy has been developed to maximise the economic, social and environmental benefits of the rail network to Warwickshire's residents and businesses.

The Economic Value of Rail Connectivity and Service Improvements

An economic model has been used to measure the impact of enhanced train services on connectivity between economic centres, quantifying the benefits of closer proximity of businesses and labour markets to each other. The evaluation

Table 3 Service Improvement Aspirations

takes into account existing and committed housing and employment levels and quantifies the uplift in economic benefits derived from improved connectivity (expressed as Gross Value Added (GVA)).

A number of service scenario options have been modelled as part of the development of the West Midlands Rail Strategy, with further tests undertaken to understand a number of service scenario aspirations in Warwickshire. The headline results of this testing for Warwickshire are shown below

Service Improvement Aspirations on Key Corridors	Warwickshire GVA Uplift per annum
Trent Valley Improvements <ul style="list-style-type: none"> Improved connectivity from Rugby and Nuneaton to Northern cities (£9.3m GVA uplift) and more frequent fast services to London (£6.3m uplift) utilising released capacity on the WCML in connection with the opening of HS2 	£15.6m
North-south corridor improvements <ul style="list-style-type: none"> Coventry – Leicester Direct Service; Expanding the existing North –South corridor to provide enhanced connectivity via the introduction of a direct service between Coventry and Leicester. Introduction of a new Nottingham-Reading hourly service 	£5.0m £31.2M (£16M to Warwickshire)
Cross Country diversion <ul style="list-style-type: none"> Diversion of the 2nd Cross Country service via Coventry. This has the added benefit of releasing capacity on the Snow Hill Lines, allowing more frequent stopping patterns at Warwick, Hatton and Lapworth 	£5.5m + £0.5M* * due to improved Snow Hill services
Improved Connectivity to London <ul style="list-style-type: none"> Introduction of a direct hourly service between Stratford-Upon Avon and London 	£16 - £18 M* * Depending on route taken

The scenarios assume the following outputs being realised by 2032

- Delivery of the West Midlands franchise commitments and aspirations e.g. improved services on a Sunday across the franchise area, improved rolling stock and specific service upgrades.
- Additional pathways realised through delivery of the Midlands Rail Hub.
- Local network capacity released through a transfer of some fast services from the classic network to HS2.

Wider social and environmental benefits

As well as the economic benefits of rail service enhancements, the strategy will also seek to maximise social and environmental benefits of rail use. Planned housing and employment growth across the County and wider sub-region will place an even greater strain on the road network. There is the opportunity to transfer some of these trips to rail by

improving access to the rail network and providing new services to enhance connectivity for people and businesses. Connectivity enhancements will also deliver social benefits by providing opportunities for people to access work, education and leisure facilities.

Key Objectives

Four key overarching objectives have been identified to support the delivery of Warwickshire's Rail Strategy and policies have been developed to support the delivery of these objectives:

1. Maximise economic, social and environmental benefits of the rail network to Warwickshire residents and businesses;
2. Maximise opportunities for journeys within Warwickshire (and beyond) to be undertaken by rail, particularly for commuting purposes;
3. Maximise opportunities for travel demands of new developments to be met by rail;
4. Support opportunities to transfer freight from road to rail.

Policies

Policy WRS1: Partnership.

The County Council will seek to engage and work with key partners to deliver improved rail services and facilities in Warwickshire.

Delivery of Warwickshire's rail aspirations will require the support of the wider rail industry, including Network Rail, TOCs, WMRE and DfT, along with key organisations such as Midlands Connect. Warwickshire will continue to engage with a wide range of partners to influence rail investment and service plans.

Policy WRS2: Existing levels of services and stations.

The County Council will seek, to retain the existing levels of passenger services and stations.

Policy WRS3: New rail services and stations

The County Council will develop proposals for new rail services and stations and work with partners to secure their delivery.

The County Council will work in partnership with other organisations, including, DfT, Network Rail, TOCs, Midlands Connect, Transport for the West Midlands and West Midlands Rail Executive (including the West Midlands Station Alliance), to develop proposals for new stations and services in Warwickshire. Proposals for new stations and/or rail services will be developed to offer new and/or improved connectivity opportunities and increase the accessibility of the rail network to existing and potential passengers. Where appropriate, the County Council will also seek improvements to existing rail services, including more frequent

services, where appropriate. New stations identified in this strategy are at feasibility stage and scheme progression is dependent on the outcome of this work.

Policy WRS4: New Developments & Connectivity to Rail Services

The County Council will seek to ensure that new developments have good accessibility to the rail network.

The County Council will seek to secure good accessibility and connectivity to the rail network by:

- 1) Encouraging measures that enable good accessibility to rail services and where appropriate, secure funding from developers towards the cost of such measures;
- 2) Taking into account the location of new housing and employment developments and associated highway improvements when planning new stations (Policy WRS3);
- 3) Taking into account potential demand from new development when planning new rail services.

Policy WRS5: Transformational Change

The County Council will support the partners, where appropriate, to deliver ambitious infrastructure programmes to enable a step change in the rail offer for Warwickshire.

Warwickshire (along with other local authorities in the sub-region and WMRE area) is working with Midlands Connect on studies to facilitate a step change in the rail offer in the sub-region. The projects are at an early stage of development but indications are that a significant level of investment will be required to deliver the necessary infrastructure works. The following aspirations have the potential to facilitate a transformational change in the rail offer for Warwickshire:

- Leamington to Coventry capacity upgrade (redoubling) - to facilitate improved access to Birmingham Airport and the HS2 interchange, delivered by the diversion of the second Cross Country service via Coventry and longer term, a second train per hour between Leamington and Coventry.

- Coventry to Leicester/Nottingham capacity upgrade - to provide a direct connection between these cities and the potential for improved service frequencies between Nuneaton and Leicester;
- Birmingham to Leicester capacity upgrade - to facilitate new stations along the Water Orton line, including a station to the west of Nuneaton at Stockingford;
- Midlands Rail Hub, with the delivery of up to 10 additional rail paths into Birmingham.

Policy WRS6: Station Facilities

The County Council will seek to ensure that facilities at stations are of an acceptable minimum standard and seek the opportunity to secure improvements to station facilities where appropriate.

The County Council will work with other organisations to deliver a range of improvements for rail services and stations in Warwickshire. Of key importance is the WMRE ambition to deliver a Single Network Vision and the West Midlands Station Alliance.

The **Single Network Vision** sets out the ambition to provide excellence in customer service and experience across all train services and operators across the West Midlands, regardless of operator.

The **West Midlands Station Alliance** is an innovative partnership with Network Rail and the wider rail industry to transform the quality of existing stations and deliver new ones.

Policy WRS7: Sustainable Station Access & Car Park Capacity

The County Council will seek to ensure that stations are accessible by a variety of modes, including walking and cycling and to secure improvements where possible. Where station car parking is at capacity, opportunities will be sought to improve car parking availability. Opportunities to deliver Electric Vehicle (EV) charging provision at rail stations will be explored with the Train Operator.

It is recognised that access by a variety of modes, including the private car, are important to enable access to the rail network. The County Council will encourage people to choose sustainable travel options where possible and will continue to seek opportunities to improve facilities and infrastructure that encourages sustainable mode choice. This will include working with bus operators to explore opportunities to improve interchange between bus and rail.

The County Council recognises that, in some instances, the private car is important to enable people to access stations. Providing good access and car parking facilities at appropriate stations enables people to transfer from road to rail, thus reducing overall car use. In some instances, car parking availability may not keep pace with demand, especially when service improvements are delivered. It is therefore vital to ensure that a range of transport options to improve connectivity to stations are considered.

Where new Parkway stations are proposed, they will, where feasible, be positioned on the edge of settlements to encourage access by modes other than the car. Whilst parkway stations will be accessed predominately by car, they provide an important opportunity for people to transfer from road to rail, thereby reducing their impact on the environment and reducing congestion on key highway routes.

Car parks at stations in Warwickshire are predominately operated and maintained by the Station Facility Owner (SFO). The County Council will continue to work with the operators to explore how additional EV infrastructure can be provided at rail stations across the County.

Policy WRS8: Community Rail Partnership

The County Council will support Community Rail initiatives in Warwickshire to help secure both improvements to stations and wider community and social benefits of the rail network to our communities.

Community Rail initiatives can deliver tangible benefits for rail passengers and the communities they serve. The County Council is at the forefront of Community Rail in the West Midlands area, and along with partners and key stakeholders, has established the 'Heart of England' Community Rail Partnership (CRP). The County Council is committed to supporting this CRP and enabling improvements to be realised. In addition, the County Council will seek to maximise other opportunities presented by the rail industry to secure wider community benefits.

It is anticipated that the strengthened Community Rail offer in Warwickshire will have wider benefits in terms of accessibility improvements delivered across stations in Warwickshire and help consolidate wider partnership working with the Train Operating Companies and community groups. It is likely that schemes delivered through the Community Rail Partnership will yield a variety of outcomes to improve access, enhance the station offer and improve the passenger experience.

Policy WRS9: High Speed 2 (HS2)

The County Council will seek to maximise the benefits generated by the capacity released on the existing rail network as a result of HS2 Phases 1 and 2b to improve services and introduce new connectivity options.

The arrival of HS2 Phase 1 (London to West Midlands) post 2026 will have a significant impact on rail services in Warwickshire, not least due to the release of capacity on the West Coast main line. This presents a significant opportunity to influence and shape future service provision to enable passenger service and freight enhancements, new connectivity opportunities and new stations serving Warwickshire to be delivered, thereby maximising the economic benefits to Warwickshire afforded by the arrival of HS2.

For Warwickshire residents, the new HS2 interchange adjacent to Birmingham International station and Curzon Street in central Birmingham will provide access to fast and frequent services to London, with an anticipated journey time of around 50 minutes. The delivery of HS2 Phase 2b will enable fast journey times from the West Midlands to the north of England, (e.g. Birmingham to Leeds in 46 minutes) providing significant connectivity opportunities and journey time savings to the north of England for Warwickshire residents. Ensuring good connectivity for Warwickshire residents and businesses to the stations served by HS2 will therefore be an important consideration and the County Council will explore how connectivity to HS2 (and the wider UK Central development) can be strengthened. Direct connectivity via passenger rail services may not always be possible and therefore interchange with other modes will be required. The County Council will work with relevant community groups to maximise opportunities to secure wider community benefits as a result of HS2.

Policy WRS10: Freight

The County Council will support rail freight development where appropriate and work with partners to maximise the benefits of HS2 released capacity for both freight and passenger rail services.

Policy WRS11: Rail Fares & Ticketing

The County Council will work with partners to review and develop new rail fare structures across the West Midlands Rail Executive area and support the roll out of smart ticketing opportunities.

The County Council will support initiatives to improve the ticketing offer for passengers, including smart ticketing and work undertaken at a local and national level to review rail fare structures. Where appropriate the County Council will seek to influence the Train Operating Companies to introduce fares that encourage greater rail use.

Table 4; Objectives and Policies

Policy	Objective 1*	Objective 2*	Objective 3*	Objective 4*
WRS 1: Partnership	X	X	X	X
WRS 2: Existing levels of service & stations	X	X	X	
WRS 3: New rail services & stations	X	X	X	
WRS 4: New Developments & Connectivity to Rail Services	X	X	X	
WRS 5: Transformational Change	X	X	X	
WRS 6: Station Facilities	X	X		
WRS 7: Station Access & Car Park Capacity	X	X	X	
WRS 8: Community Rail Partnership	X	X		
WRS 9: High Speed 2 (HS2)		X	X	X
WRS10: Freight				X
WRS11: Rail Fares & Ticketing	X	X		

***Objectives**

- 1) Maximise economic, social and environmental benefits of the rail network to Warwickshire residents and businesses
- 2) Maximise opportunities for journeys within Warwickshire (and beyond) to be undertaken by rail, particularly for commuting purposes
- 3) Maximise opportunities for travel demands of new developments to be met by rail.
- 4) Support opportunities to transfer freight from road to rail.

4. Identified Improvements

A number of aspirational service and infrastructure improvements have been identified to help support demand in rail growth; provide improved connectivity and access to the rail network; and support wider economic growth during the plan period.

The proposals include a combination of new stations, enhancements to existing stations, increased service frequencies and new service opportunities. The delivery of many of these aspirations is dependent on significant infrastructure improvements, the delivery of which will require substantial capital investment.

Proposals are set on a corridor basis as follows:

- a) Trent Valley and Wolverhampton-Coventry Corridors
- b) North-South Rail Services (Nuneaton – Coventry – Leamington Spa (NUCKLE) and Coventry – Leicester/Nottingham Corridors)
- c) Leicester - Birmingham and Birmingham - Tamworth/Derby Corridors

- d) Snow Hill Lines (Birmingham – Stratford-upon-Avon and Birmingham – Solihull – Warwick – Leamington Spa)

Anticipated delivery timescales are indicated and relate to the following periods:

- **2019 – 2028: Short term** strategy up to the delivery of HS2 Phase 1;
- **2029 – 2034: Medium term** strategy up to the delivery of HS2 Phase 2b;
- **2035 and beyond: Long term** strategy.

A: Trent Valley & Wolverhampton – Coventry Corridors

Key Objectives

- 1) To improve service frequencies to existing destinations.
- 2) To explore opportunities for new service patterns on existing corridors to enable wider connectivity.
- 3) For Nuneaton and Rugby Stations to be transformed into 'place destinations'.
- 4) To deliver new access points to the rail network to support growth and encourage trips to transfer from road to rail.

Figure 5 Map of Route with Proposed New Stations

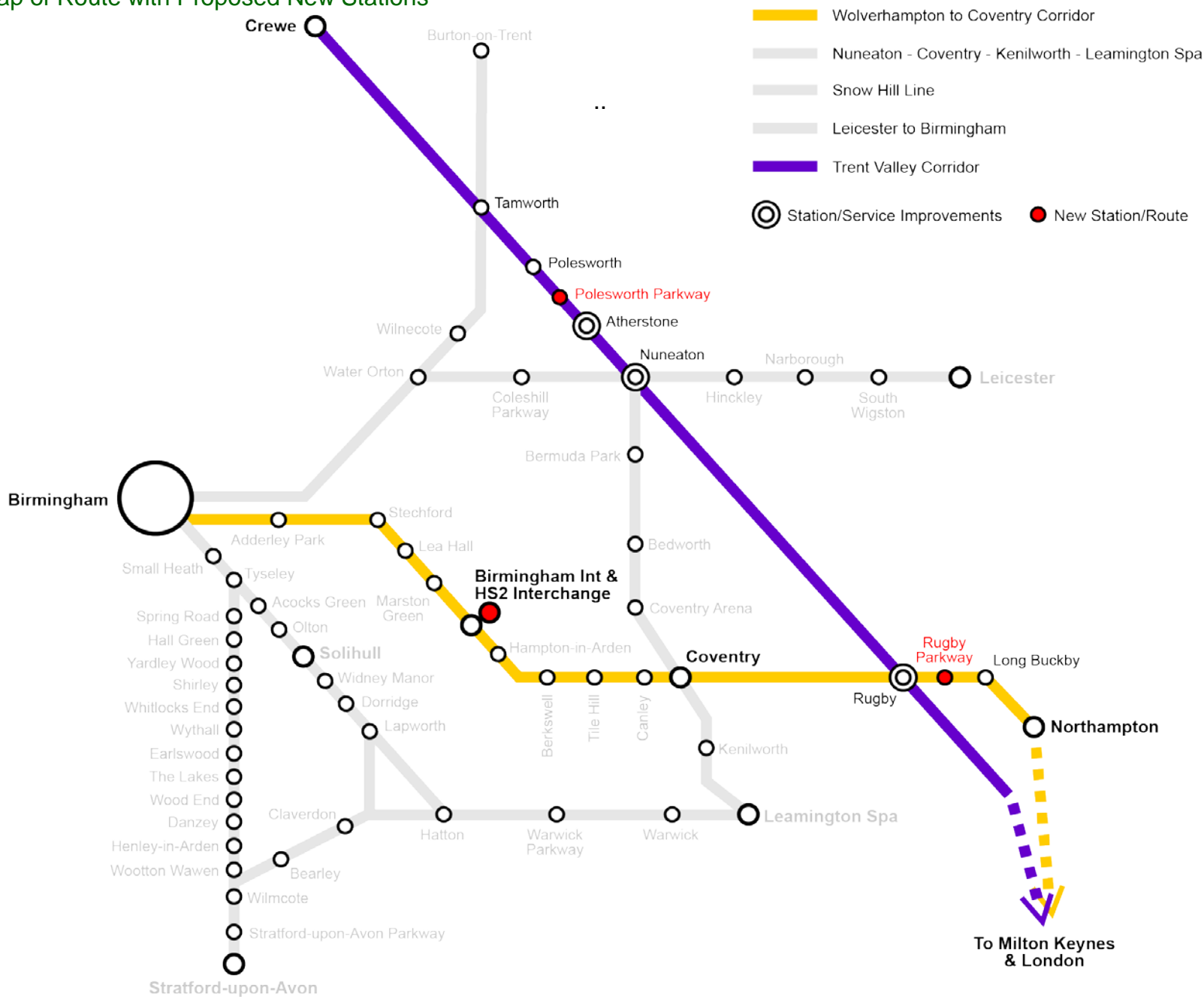


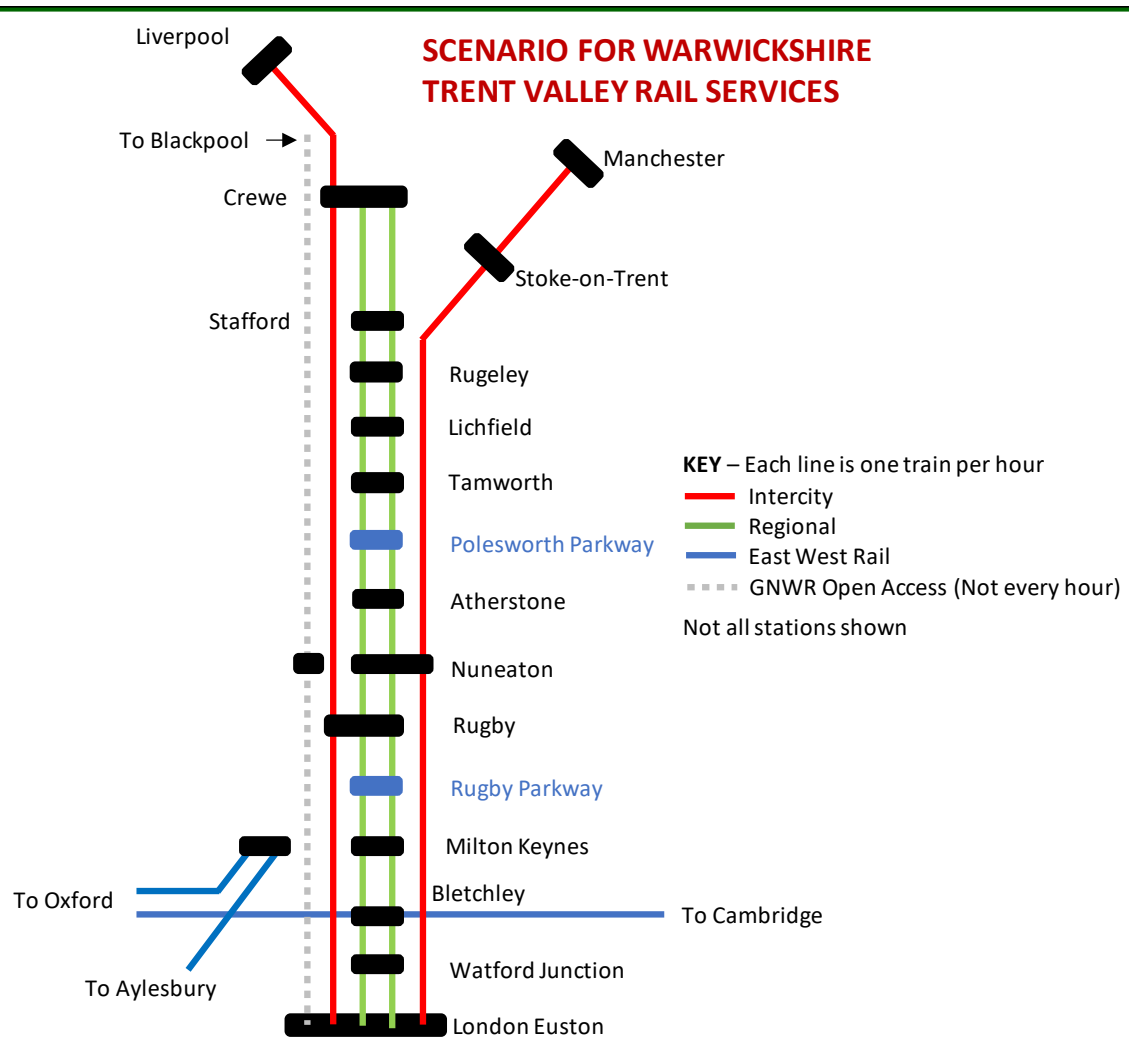
Table 5: Proposed Station and Service Enhancements

	Proposal	Key Delivery Partners	Supporting Information & Infrastructure Required for Delivery	Delivery Timescale
New Station Proposals				
Rugby Parkway	A new strategic parkway station at Houlton close to M1 Junction 18, east of Rugby with 260+ car parking spaces. Anticipated service pattern 2 trans per hour to London.	DfT TOCs NR	Limited additional infrastructure required to deliver Rugby Parkway. There may be the opportunity post HS2 delivery to provide platforms on the West Coast Mainline. Infrastructure may be required to support this second phase of delivery.	2019-2028
Polesworth Parkway	WCC will investigate the provision of a new strategic station in the North Warwickshire area. A feasibility study will be undertaken to establish whether a new strategic station could be located within proximity to the A5 and M42, accessed via a new link road which is due be constructed between the A5 and B5000 as part of significant housing development in the area. The new station would provide a strategic access point to rail, enabling passengers to easily transfer from road to rail.	DfT TOCs NR	Highway improvements to the B5000 are required in order to facilitate good access to the station. The progression of Polesworth Parkway is dependent on early feasibility work .	2029-2034
Station Enhancement				
Atherstone Station	Improvement to car park capacity at the station. Seek opportunities to improve accessibility to both platforms.	TOC NWBC 3 rd parties	Atherstone station is currently operating at capacity most of the time. WCC will investigate how car parking capacity can be increased. Additional infrastructure may be required to improve accessibility to both platforms.	2019-2028

Rugby Town Station	Car parking capacity improvements and highway reconfiguration to facilitate better access to the station by all modes.	TOC RBC	Highway improvements are required in the vicinity of the station in order to deliver improved access. WCC will work with Avanti West Coast to deliver access and parking improvements.	2019-2028
Improvements to Nuneaton Station.	<p>Improvements at Nuneaton are planned and will be delivered in two phases.</p> <ol style="list-style-type: none"> 1. <i>Ticket hall upgrade</i> - LNW is planning to deliver significant improvements to the ticket hall at Nuneaton Station, gating of platforms to improve revenue protection and an increase in station car park capacity. 2. As part of the wider Transforming Nuneaton initiative, WCC seeks to significantly improve the station in terms of the passenger offer, the immediate public realm provision to the front of the station and connectivity and access improvements to the town. As part of this WCC will investigate the feasibility for the provision of a new northern access to the station, via Weddington Terrace. 	TOC	<p>LNW have committed in the franchise award to increase car parking capacity at Nuneaton station by approximately 70 spaces.</p> <p>Significant highway infrastructure improvements are required alongside accessibility improvements within the station footprint are required to deliver improvements for Nuneaton Station.</p>	<p>Phase 1; 2019-2028</p> <p>Phase 2: 2029-2034</p>
Proposed Service Improvements				
<p>The County Council will work with Avanti West Coast and open access train operators as appropriate to increase the number of longer distance trains calling at Rugby and Nuneaton stations.</p> <p>Post the opening of HS2 there is a significant opportunity to reshape and improve services on the WCML. WCC will work with the successful bidder of the West Coast Partnership to develop and design services on the WCML post-HS2. WCC wishes to secure the following improvements, these are shown on the diagram below.</p> <ol style="list-style-type: none"> 1) The “semi-fast” service (indicated in green) between London and Crewe is increased in frequency from one to two trains per hour. This is consistent with the WMRE Rail Investment Strategy, and is considered to be a likely outcome delivered by the industry. 				<p>2019-2028</p> <p>2029-2034</p>

- 2) Rugby Parkway will initially be served by trains on the Northampton loop, with the possibility that at some point in the future the station could benefit from platforms on the 'fast' lines of West Coast Mainline. This will enable faster and more frequent services to call at the station.
- 3) Enable connectivity opportunities between North Warwickshire and Oxford, Aylesbury, Bicester, Bedford and Cambridge via connections onto East-West Rail at Milton Keynes/Bletchley.
- 4) Deliver improved connectivity from Nuneaton and Rugby to northern cities (e.g. Manchester and Liverpool). WCC wishes to maximise the benefit of HS2 released capacity by securing additional Intercity train stops at Nuneaton and Rugby. The diagram below illustrates a Liverpool express service calling every hour at Rugby and a Manchester express service calling every hour at Nuneaton. This choice is purely illustrative and indicates the service improvement that WCC aspires to secure. This concept is also of significant benefit for Leicester, as rail connectivity from there to the northern cities is currently poor. The delivery of this aspiration would provide faster journey times via a change at Nuneaton.

Early indications suggest that the frequency of fast trains between Coventry and London Euston will reduce from 3tph to 2tph post HS2 Phase 1 opening. The WMRE Rail Investment Strategy has proposed a potential solution to re-instate the 3rd fast train by diverting a Trent Valley service via Coventry. WCC is broadly supportive of this proposal, however it would welcome a stopping pattern at Warwickshire stations (Nuneaton and Rugby as a minimum) in order to maximise the benefit of this service to the County. Further work will also need to be carried out to understand the potential implications on the North-South corridor work (Coventry – Leicester/Nottingham) being undertaken by Midlands Connect and on WCC's longer term aspirations to extend the North-South corridor to the Thames Valley.



B. North-South Rail Services; Nuneaton – Coventry – Kenilworth - Leamington (NUCKLE) and Coventry – Leicester/Nottingham Corridors

Key Objectives

- To introduce cross Coventry services on the NUCKLE Corridor to cater for the high demand of trips between Leamington and Nuneaton.
- To explore the opportunities to expand services on the NUCKLE corridor to the East Midlands and the Thames Valley.
- To deliver new access points to the rail network to support growth and encourage modal shift from road to rail.

Figure 6 Map of Route with Proposed New Stations

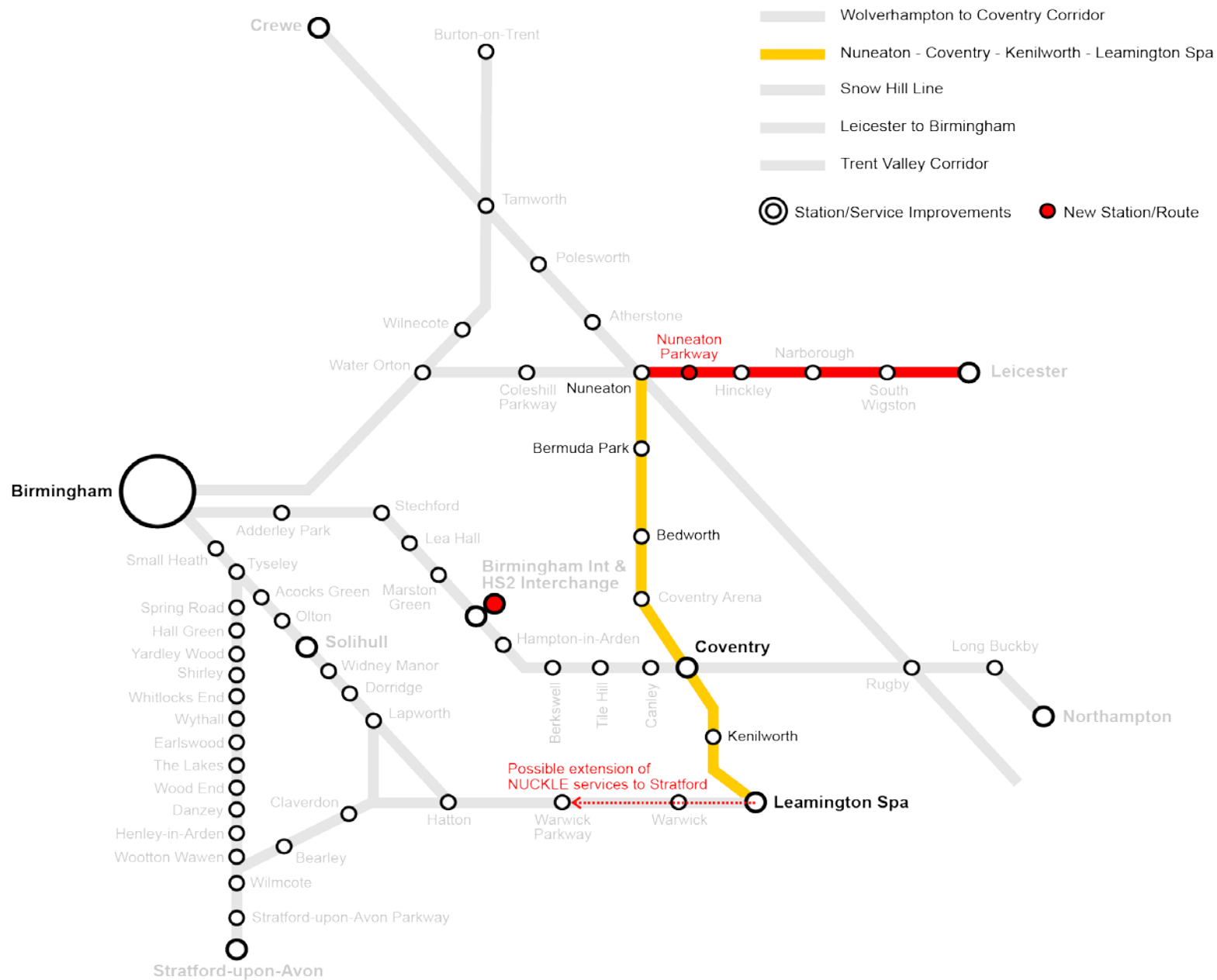


Table 6; Proposed Station and Service Enhancements

	Proposal Description	Key Delivery Partners	Supporting Information	Delivery Timescale
New Station Proposals				
Warwick University	WCC will investigate the provision of a new strategic multi modal station, located between Kenilworth and Coventry stations. The provision of such a facility will provide strategic and local connectivity to the University of Warwick and planned development in the surrounding area (e.g. King's Hill).	Midlands Connect TOCs Coventry City Council University of Warwick Network Rail	WCC aspires for the new Warwick University station to offer a strategic rail service, providing direct rail connectivity to key destinations. The delivery of this station will require the provision of additional rail capacity between Coventry and Leamington. In addition it is anticipated that new highway infrastructure will be required to facilitate strategic access to the site.	2029-2034
Nuneaton Parkway	WCC will investigate the provision of a new strategic multi modal station located between Nuneaton and Hinckley. The provision of this station will provide local and strategic improved connectivity to Coventry, Leicester and Nottingham	Midlands Connect TOCs WMRE	The aspiration for an new station in this location aligns with wider regional priorities to improve services between Birmingham - Leicester and Coventry - Leicester/Nottingham. Nuneaton Parkway is subject to high level feasibility work in order for the scheme to progress.	2029-2034
Station Enhancement				
Bermuda Park	Car parking capacity improvements to help intercept car trips on the Nuneaton – Coventry corridor. The Bermuda Connectivity project will provide convenient access from the west of Nuneaton.	TOC 3 rd Parties	Highway infrastructure improvements are required.	2019-2028
Service Improvements				
Through service between Leamington and Nuneaton, 1 train per hour. Rolling	This through service will replace the Kenilworth shuttle and provide an hourly through service between Leamington and Nuneaton via Kenilworth and Coventry.	West Midlands Trains	This service improvement has been delivered by WMT in May 2019 along with new improved rolling stock.	Delivered 2019

stock upgrade along the route.				
Additional services for Kenilworth station.	The County Council will continue to work to try and secure improvements in services for Kenilworth station, increasing frequency from 1 to 2 trains per hour.	West Midlands Trains Midlands Connect WMRE Network Rail	It is anticipated that significant rail infrastructure works will be required to increase the service frequency at Kenilworth Station.	2028 - 2034
Increase service frequency from 1 to 2 trains per hour between Coventry and Nuneaton.	The frequency of rail services operating between Coventry and Nuneaton will be doubled. .	West Midlands Trains	This service enhancement can only be realised when NUCKLE 1.2 (Coventry Bay Platform) is completed. WMT have committed to provide the additional service as soon as practicable post NUCKLE 1.2 completion.	2019-2028
Introduction of a Sunday Service for Kenilworth	WCC are working closely with WMT to secure the delivery of a service that can call at Kenilworth Station on a Sunday.	WMT/Other TOCs	A Sunday service for Kenilworth was delivered in May 2019.	Delivered 2019
<p>There is an aspiration by the wider region (through the Midlands Connect programme of work) to deliver improved access to Birmingham Airport and the HS2 interchange and a new direct service between Coventry and Leicester/Nottingham. It is likely that this will be delivered by:</p> <ul style="list-style-type: none"> • The diversion of the second Cross Country Service via Leamington, and Coventry to Birmingham International providing two trains per hour post 2026; • The delivery of a new direct service between Coventry and Leicester/Nottingham. The County Council is supportive of a calling point in Warwickshire on this service. It is anticipated that that this service could be delivered in the medium term (2027 -2033). • WCC are working with Midlands Connect to explore how 2 trains per hour between Leamington – Kenilworth and Coventry can be delivered as part of the capacity upgrade. <p>WCC is supportive of the wider Midlands Connect service improvement aspirations; in addition it is a long held aspiration of the Authority to facilitate the delivery of a strategic East Midlands to Thames Valley rail service. The anticipated infrastructure improvements required to deliver the wider regional ambitions could facilitate an extension of services on the NUCKLE corridor</p>				

C Leicester – Birmingham and Birmingham – Tamworth/Derby Corridors

Key Objectives

1. To improve service frequencies to existing destinations.
2. To explore opportunities for new service patterns to enable improved connectivity.
3. To secure improved local services
4. To deliver new access points to the rail network to support growth and encourage trips to transfer from road to rail.

Figure 7 Map of Route with Proposed New Stations

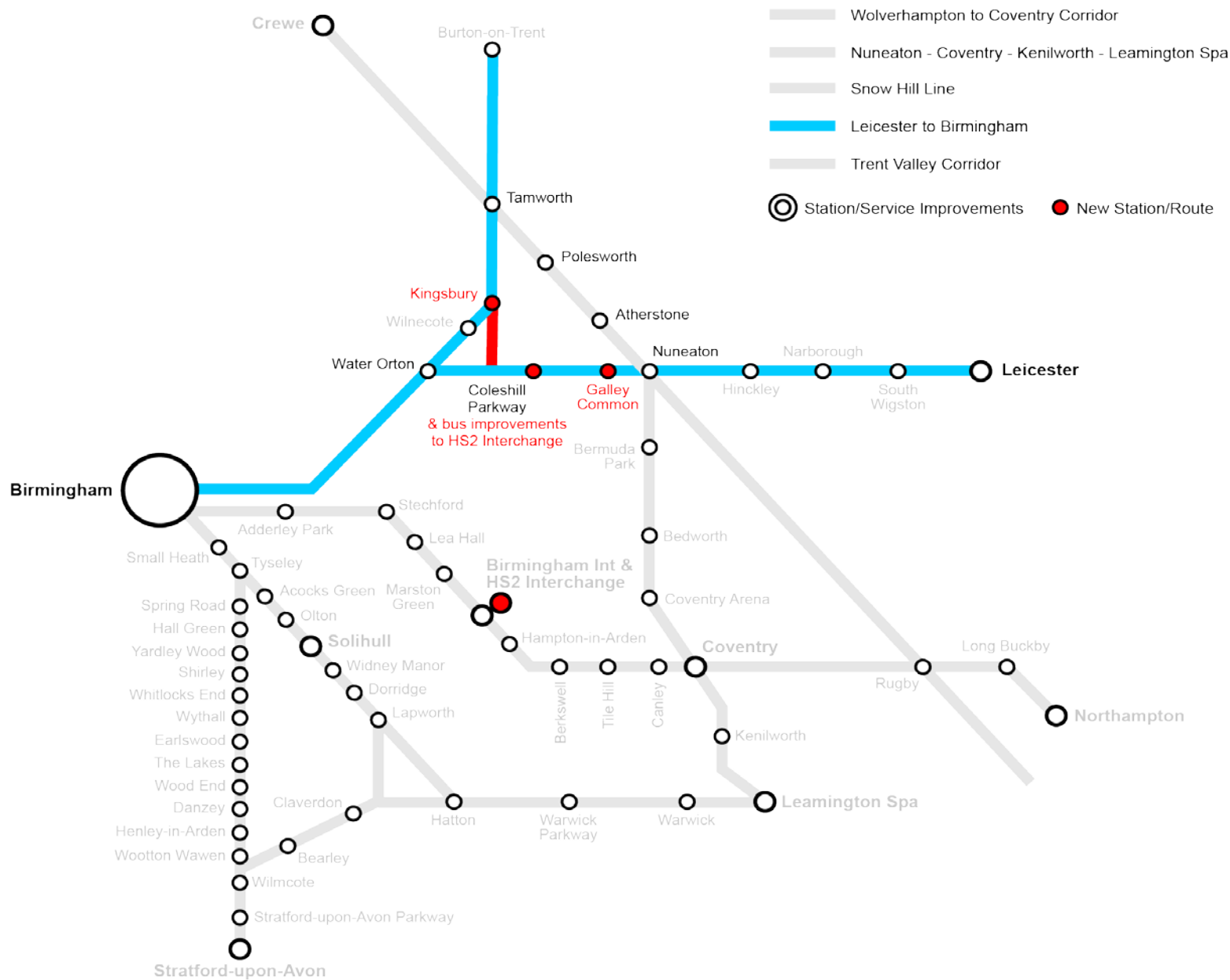


Table 7; Proposed Station and Service Enhancements

	Proposal Description	Key Delivery Partners	Supporting Information	Delivery Timescale
New Station Proposals				
Stockingford /Galley Common Station	The County Council will continue to work to deliver a new station west of Nuneaton, providing a local service for the communities of Stockingford/Galley Common.		The West Midlands Combined Authority aspire to deliver two additional stations between Nuneaton and Birmingham (Fort Parkway and Castle Bromwich), WCC will work with the WMCA to resolve any competing demands that may arise as a result of these collective proposals. Some works associated with the Midlands Rail Hub programme are required to deliver this scheme (i.e. Water Orton re configuration and re signalling).	2029-2034
Kingsbury Station	The County Council will continue to carry out work as appropriate to secure a new station at Kingsbury. Appropriate land has been safeguarded in the North Warwickshire Local Plan.		Limited infrastructure work required	2035+
Nuneaton Parkway	See table 6 for detail			
Station Enhancement				
Development of Coleshill Parkway as a strategic interchange hub	WCC will seek to develop Coleshill Parkway to fully realise its potential become a strategic hub for accessing key economic centres, the HS2 Interchange and wider UK Central area. Additional parking and supporting sustainable connectivity is required to fully maximise the role of Coleshill Parkway.		There is potential for Coleshill Parkway to have a greater role in the local and strategic transport network. Both Transport for the West Midlands and Midlands Connect are interested in working with the County Council to explore opportunities to increase the role of Coleshill Parkway as a strategic interchange.	2019-2028

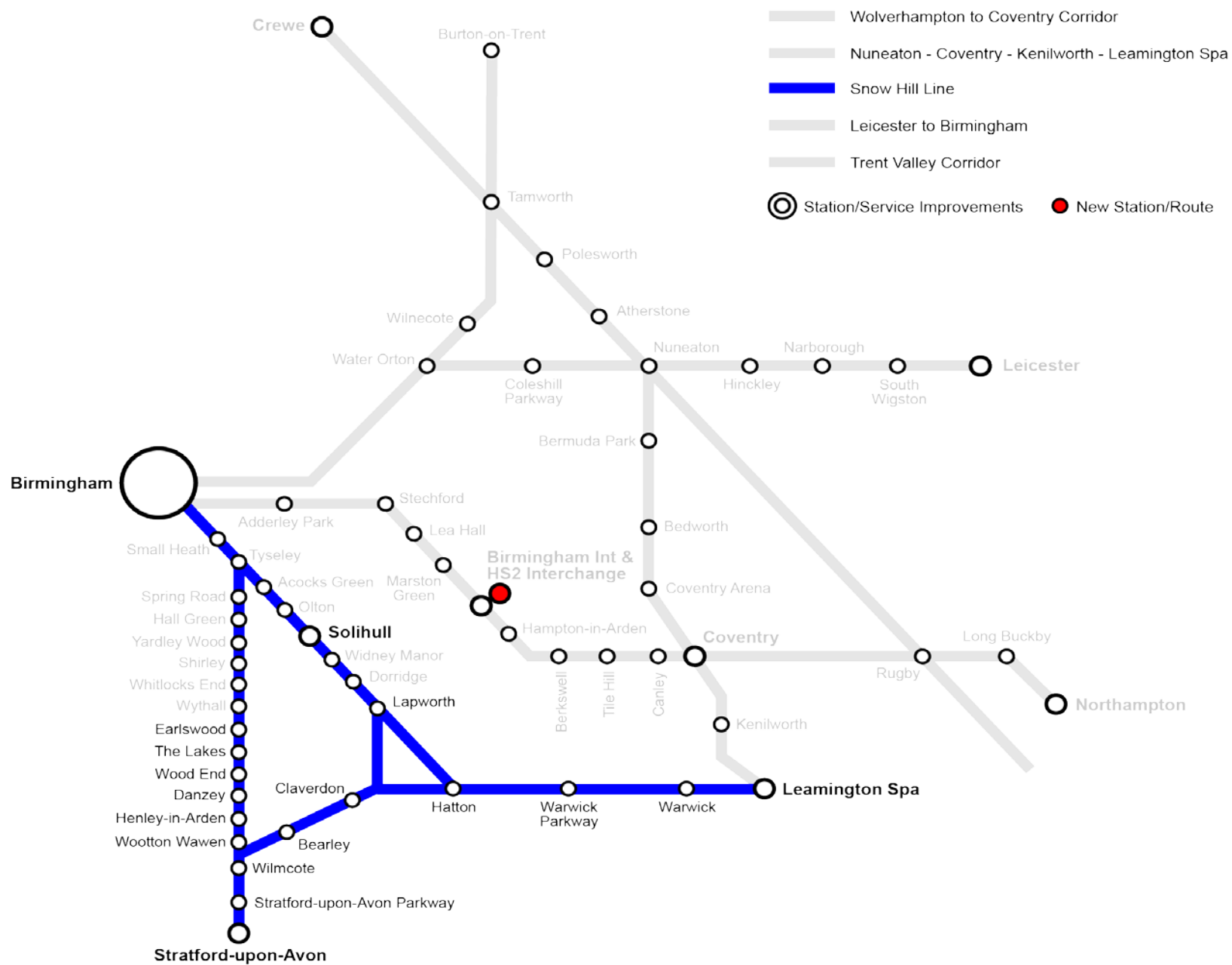
Service Improvements				
<p>Overcrowding on this corridor is a key concern especially where Cross Country services provide the only service for passengers making local journeys for commuting purposes. This is especially relevant for passengers travelling on the Tamworth and Nuneaton corridors. The County Council is supportive of the wider WMRE aspiration to remap some services from the Cross Country franchise into the West Midlands Trains Franchise to help facilitate improved local journey provision. However it is imperative that the Cross Country services calling at key stations - Coleshill Parkway, Nuneaton and Water Orton are maintained and improved, in addition to local services where possible, to ensure that longer distance connectivity to Leicester, Cambridge and Stansted Airport is sustained.</p> <p>Improved service frequencies are likely to be delivered as part of the wider Midlands Rail Hub initiative (a Midlands Connect led programme of works), it is anticipated that improvements will include improved services between Birmingham, Derby and Nottingham and between Birmingham and Leicester, via Coleshill Parkway and Water Orton, helping to facilitate a station at Stockingford/Galley Common.</p>				

D Snow Hill Lines (Birmingham – Stratford-upon-Avon and Birmingham – Solihull – Warwick – Leamington Spa)

Key Objectives

1. To improve service frequencies to existing destinations.
2. To secure improved local services.
3. To secure improvements to passenger facilities at key stations.

Figure 8 Map of Route with Proposed New Stations



Proposed Station and Service Enhancements

Table 7; Proposed Service and Station Enhancements

	Proposal Description	Key Delivery Partners	Supporting Information	Delivery Timescale
New Station Proposals				
Station Enhancement				
Stratford Town Station Gateway	Significant station building enhancements to increase footfall and improve the station user and passenger experience.		This scheme was originally due to be delivered by London Midland in the previous franchise period. At the end of the franchise London Midland passed the responsibility for delivery to NR. This scheme will now be delivered by NR, with a financial contribution from WCC.	2019-2028
Access for All – Warwick Town Station	Installation of lifts to provide access to both platforms for the mobility impaired.		This scheme is being progressed and delivered by NR. It is anticipated delivery will occur in Network Rail's Control Period 6.	2019-2028
Leamington Spa ticket hall improvements	Chiltern railways are planning investment at both Leamington Spa and Warwick Parkway stations to improve facilities and passenger experience. The scheme at Leamington Spa will consist of an upgraded and modernised ticket hall whilst at Warwick Parkway, improvements will result in an enlarged passenger concourse area with an improved café offer.	Chiltern Railways	Chiltern Railways has secured funding for the delivery of both schemes and they will be delivered during 2019.	2019 - 2028
Warwick Parkway concourse improvements				
Leamington Station forecourt and underpass improvements	<p>WCC, in partnership with the Station Facility Operator (currently Chiltern Railways) wishes to develop the station forecourt to deliver an improved passenger entrance to the station, enabling easier access on foot and by bike and better cycle parking facilities.</p> <p>A complementary scheme to upgrade to the existing pedestrian underpass is also proposed by third parties to improve access between the town centre and the railway station. WCC is supportive of this scheme and will help facilitate delivery as appropriate.</p>	Chiltern Railways NR	Identified funding is required to progress this scheme.	2019-2028
Henley-in-Arden station development	WCC will investigate and undertake appropriate feasibility work to ascertain how Henley-in-Arden station can be developed to act as a 'rail hub' for the local rural area. Improvements could include	TOCs NR		2028-2034

	expansion of car parking facilities and the development of the currently derelict station building. In addition to these station facility improvements WCC will work with partners to deliver service improvements for Henley Station.			
Honeybourne station (out of County)	WCC will work with the Train Operator and Worcestershire County Council in support of increased car parking capacity at Honeybourne station.	TOC Worcestershire County Council	Honeybourne station is located in Worcestershire and served by Great Western Rail. The station acts as a key rail head for many residents of South Warwickshire and increased parking capacity will facilitate its use, particularly given the proposals nearby for major development at Meon Vale and Long Marston.	
Service Improvements				
Improvements to direct services operating between Stratford –Upon – Avon and London.	WCC will seek to secure improvements to direct services operating between Stratford –Upon – Avon and London.	TOCs WMRE DfT	The existing direct service provision between Stratford – London is poor. WCC is working with Train Operators to explore a number of options by which direct service frequencies can be improved. The delivery of increased service frequency beyond a certain level may require additional rail capacity to be provided.	2019-2028
Improved rail service frequency for Warwick, Hatton and Lapworth to Birmingham services	WCC will seek to secure improved service frequencies between Warwick, Hatton and Lapworth and Birmingham .	Midlands Connect DfT WMRE TOCs	The proposed diversion of the second Cross Country Service via Coventry will release capacity along this corridor. There is an aspiration to use this released capacity to resolve the current irregular timetable between Dorridge (from Birmingham) and Leamington Spa, with Hatton and Lapworth served every two hours only. The move to an hourly service for these stations would require agreement by the relevant TOCs to extend one of the three Dorridge local services each hour to Leamington Spa, in place of the current two-hourly Birmingham to Leamington Spa service currently operated by Chiltern Railways. Efforts will be made to secure improvements as soon as possible.	2028- 2034

Service frequency increase for Stratford-upon Avon, Stratford Parkway and Henley Station to Birmingham.	WCC will seek to secure improvements in the service frequency between Stratford-upon Avon and Birmingham via Henley in Arden, from one to two trains per hour. It is anticipated that a Taskforce Group will be established to explore the potential service and facility improvements that could be delivered along the Stratford – Birmingham line in the short/medium term.			2019 – 28 / 2029-34
Extension of Nuneaton – Coventry - Leamington service to Stratford	WCC will work with Partners to explore how the existing Nuneaton – Leamington service could be extended to Stratford -Upon – Avon.	NR DfT WMRE TOCs	There is a local desire for the Nuneaton – Leamington service to be extended to Stratford, thus providing improved connectivity opportunities. It is likely that infrastructure improvements will be required to deliver this connectivity improvement.	2035+
Additional capacity and service frequency increase on the North Cotswold Line	WCC is a member of the North Cotswold Line Taskforce and supports the work to upgrade the line between Oxford and Worcester. These improvements will deliver an increase in train frequency at stations such as Evesham and Moreton-in-Marsh from one to two trains per hour. There is also potential to further explore how a Stratford – Worcester – Birmingham service could be delivered in the long term.	DfT TOCs	<p>Work to upgrade the North Cotswold Line will be of benefit to communities in South Warwickshire who access rail services at stations such as Evesham, Honeybourne and Moreton-in-Marsh. In the short-term Warwickshire County Council will work with the TOC to secure a regular hourly service throughout the day.</p> <p>In the longer term, the upgrade on the North Cotswold Line could facilitate the re-instatement of through services on the Stratford to Honeybourne railway line, helping to improve rail connectivity between Stratford-on-Avon and London via the Thames Valley.</p> <p>Warwickshire is engaged with the work to upgrade the North Cotswold Line and is a member of the North Cotswold Line Task Force. When there is certainty over the North Cotswold Line upgrade, we will work with partners to review the economic case for reinstating the Stratford to Honeybourne railway line.</p>	2028-2034

The Transformational Impact of Change

The delivery of many of the aspirations set out in this strategy enhancement will have a transformative effect on a number of Warwickshire's communities, positively impacting on the attractiveness of these places to live and work - providing new access points to the rail network; significantly improving the station offer and providing new service opportunities to enable communities to take advantage of better and faster connections to other key UK centres.

Rugby

Aspirations for Rugby include significant improvements to rail facilities with the addition of a new station – Rugby Parkway - and substantial enhancements at Rugby town station which currently does not meet passenger demand in terms of access and parking capacity and facility offer. Currently, service frequency and journey times from Rugby to key economic centres such as London and Milton Keynes do not match with the rising demand for travel by rail in the Rugby area. Key for Rugby going forward is to facilitate better integration into the Intercity network, including for northbound travel to key economic destinations and integration with East-West Rail at Bletchley/Milton Keynes.

Rugby Station is one of Warwickshire's busiest stations with over 2 million passenger journeys per annum with this figure forecast to double by 2040. It is vital that Rugby Station can cater for this growth and to better integrate the station into the town.

The County Council is seeking to make Rugby Station a 'destination' for the local community and making it Rugby's "transport hub", by fully integrating bus routes, taxis, cycle and pedestrian routes with the Station, The station building will be better utilised with vacant space offered to potential users for rent to provide a café or offices. There is also the potential to provide a better balance to the current car parking by expanding parking to the south of the station

Post HS2 Phase 1 delivery, the County Council will seek to maximise the benefits from released capacity on the West Coast Mainline to secure a combination of enhanced frequency, faster services with a greater range of connectivity opportunities for

Rugby Parkway will provide a new strategic parkway station at Houlton, eastern Rugby with a minimum of 350 car parking spaces. The station will serve both the local community, including the new housing development of approximately 6200 new homes and the wider area (including the significant employment opportunities at DIRFT), intercepting car trips and enabling people to easily transfer from road to rail. The initial anticipated service pattern to London will be two trains per hour. **Post HS2 Phase 1** delivery the County Council will work with the West Coast Partnership to secure faster services to London, and if appropriate deliver additional car parking to help facilitate more people switching from road to rail.



Nuneaton

Warwickshire County Council and Nuneaton and Bedworth Borough Council (NBBC) are working together to deliver the transformation of Nuneaton town centre, by implementing mixed use regeneration to help boost economic growth. A key component of this will include improvements to transport infrastructure, including the aspiration to create a multi-modal interchange at Nuneaton station:

- A station that is better integrated with Nuneaton town centre, including public realm work to the station forecourt to help create a corridor of movement between the town centre and the station;
- Delivery of a second pedestrian/cycle entrance to the north of the station (via Weddington Terrace), facilitating easier access for people living to the north of the station and helping to reduce the impact of traffic using the existing ring road to access the station.

A Better Connected Nuneaton

The Nuneaton area will benefit from a step change in connectivity and services, these include:

- 1) Faster and more frequent services between Birmingham and Leicester, via Nuneaton, delivered via the Midlands Rail Hub;
- 2) Better connectivity to the north of England, via faster intercity services post HS2.
- 3) Nuneaton Parkway - Delivery of a new strategic station in the vicinity of the A5, enabling local residents to access direct, more frequent services between Coventry and Leicester/Nottingham, Birmingham and Leicester and the east of England.
- 4) A new station at Stockingford/Galley Common will provide improved access from the west of Nuneaton to Birmingham and key employment destinations.

Wider North-South Corridor

The north-south corridor between Leamington and Nuneaton is one of the main corridors for movement within Warwickshire. Improvements to rail connectivity along the corridor have been a long held ambition of Warwickshire County Council and a number of rail projects have been delivered over recent years to support it, including new stations at Bermuda Park, Coventry Arena and Kenilworth station.

An uplift in services is also proposed and will be delivered as part of West Midlands Trains franchise commitments. A through Leamington-Nuneaton hourly service was introduced in May 2019 and a second train per hour will be introduced on the Coventry to Nuneaton section of the corridor once the new Coventry bay platform is completed.

Future aspirations on the north-south corridor will focus on creating additional points of access to the rail network, particularly where these can be located within close proximity of the strategic highway network and offer the potential to provide wider benefit in terms of intercepting car based trips on-route to Coventry and other centres of major employment in the corridor.

In addition, WCC has a long held aspiration to facilitate the delivery of a strategic East Midlands to Thames Valley rail service. The anticipated infrastructure improvements required to deliver the wider regional ambitions (as part of the Midlands Connect programme of work) could facilitate an extension of services on the North-South corridor, linking up University towns/cities at Nottingham, Loughborough, Leicester, Coventry, , Oxford and Reading.

5. Making it Happen

Warwickshire County Council has developed an excellent track record in the successful development, investment and delivery of rail infrastructure and services, WCC intends to build on this to further support and invest in the local rail network to help improve wider connectivity, contribute to the delivery of housing and employment opportunities and maximise the benefit of economic growth in Warwickshire.

However, delivering improvements to the rail network can often prove complex and it is clear that major infrastructure projects such as increasing capacity between the Thames Valley and the Midlands will not be delivered at a local level and therefore WCC will fully engage with a variety of Partners and Stakeholders in order to realise these ambitions.

- 1) **Engagement with key industry partners, including Network Rail and the Department for Transport**
- 2) **WCC Development of Schemes** the County Council will continue to develop programmes of work that will help deliver improvements to the rail network for our residents and businesses. This will include a range of work programmes, including the development of new stations, car park capacity improvements and station facility enhancements.
- 3) **Engagement with West Midlands Rail Executive and Midlands Connect;** Warwickshire County Council are key members of both organisations and it is vital that we continue to influence the work of both these organisations to secure positive outcomes for Warwickshire.
- 4) **Re-Franchising opportunities.** WCC will fully engage with the DfT and Train Operators as appropriate to secure improvements to rail services and station facilities via re franchising specifications. Of particular relevance include the franchises currently operated by the following Train Operators; Chiltern Railways, West Midlands Rail/London North Western, Cross Country, Great Western Railways and Virgin Trains. The County Council
- 5) **Wider Stakeholders.** The County Council will continue to engage with wider stakeholders, including other local authorities, LEPs and key groups to progress schemes. Of particular significance is the North Cotswold Line Task Force which aims to deliver the shared vision of the group.

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DRAFT WARWICKSHIRE RAIL STRATEGY 2019-2034

CONSULTATION RESULTS

Author: Rosie Smith

Date published: October 2019

Report produced by the Insight Service, Commissioning Support Unit

BACKGROUND

The consultation on a draft Warwickshire Rail Strategy took place between 27th July 2019 and 20th September 2019. The Strategy sets out Warwickshire County Council's plans for the rail offer in Warwickshire and will form part of the County's fourth Local Transport Plan (LTP4). Responses to the consultation were invited from a range of partners, stakeholders and people who live and work in Warwickshire.

METHODOLOGY

A range of methods were used to gather views during the consultation period. These included:

- An online survey on Ask Warwickshire using Citizen Space.
- A paper-based version of the standard online survey could be requested by telephone or email. Alternative formats and languages could also be requested.

In addition, comments in relation to the proposed draft strategy could be emailed directly to tpu@warwickshire.gov.uk. Written comments could also be sent directly to the Transport Planning Team at the county council.

This report presents an analysis of data from completed online and paper survey responses only. Material received via email and post has been dealt with separately to this report. The full responses to open text questions in the survey are detailed Appendix 1 of this report.



KEY MESSAGES

- Over half of respondents either strongly agreed or agreed with the overview of the Warwickshire context in the draft Warwickshire Rail Strategy.
- There was generally a high level of agreement for the Key Objectives set out in the draft Warwickshire Rail Strategy.
- The highest agreement scores for policies set out in the draft Warwickshire Rail Strategy were for Policy 3 New rail services and stations and Policy 11 Rail fares and ticketing. The lowest score was for Policy 9 High Speed Rail.
- Cross cutting themes which emerged from an analysis of qualitative responses to open text questions in the survey included:
 - Frequent mention by respondents to specific route/station improvements and issues around the county. This primarily referred to the frequency (including later and evening services), speed and quality of services being operated in a local area and the impact this had on respondents' travel experience. Respondents referred to a desire to see faster trains especially for commuting purposes but also extended timetables in the evening and weekends that enabled the train to be an option for social and leisure opportunities.
 - The need for integrated planning of transport. Respondents often referred to a desire to see more joined up thinking with regard to other modes of transport including bus, cycle and pedestrian access to stations as well as the need to take account of large scale housing developments across the county.
 - Parking sometimes divided opinion. Some respondents noted that its availability (capacity and cost) was key to the use of a particular station by train travellers while others highlighted the use of station car parks by non- train users in circumstances where other local parking was more expensive. Environmental and safety issues of congestion around station areas was also mentioned.
 - Caution was expressed about a number of proposed 'parkway' schemes around the county suggesting these may be a more controversial aspect of the draft Warwickshire Rail Strategy.
 - The accessibility of rail travel for people with disabilities was also highlighted and the need to incorporate further reference to the issue in the draft Warwickshire Rail Strategy was stressed by a number of respondents.



RESULTS – CONSULTATION ANALYSIS

RESPONDENT PROFILE

The number of respondents completing the survey was 167. Figure 1 provides details of the profile of respondents. A higher proportion of respondents were male. Almost half of respondents were aged 18-59 while around 2 in 5 were over the age of 60 years. The majority of respondents identified their ethnicity as 'White' British'.

Figure 1 Respondent Profile

		Count	%
Gender	Male	83	49.7%
	Female	61	36.5%
	Prefer not to say	18	10.8%
	Not answered	5	3.0%
	Prefer to self-describe	0	0%
	Non-binary	0	0%
Does your gender identity match your sex registered at birth?	Yes	141	84.4%
	No	0	0%
	Prefer not to say	21	12.7%
	Not answered	5	3.0%
Age in years	Under 18	1	0.6%
	18-29	8	4.8%
	30-44	29	17.4%
	45-59	42	25.3%
	60-74	58	34.9%
	75+	12	7.2%
	Prefer not to say	14	8.4%
	Not answered	3	1.8%
Long standing illness or disability	Yes	22	13.3%
	No	126	76.0%
	Prefer not to say	15	9.0%
	Not answered	3	1.8%
Ethnicity	White British	136	81.9%
	White Irish	4	2.4%
	Gypsy or Irish Traveller	0	0%
	Mixed - White and Black Caribbean	0	0%
	Mixed - White and Black African	0	0%
	Mixed - White and Asian	0	0%
	Mixed - Any other mixed background	0	0%
	Arab	0	0%
	Asian or Asian British - Pakistani	0	0%
	Asian or Asian British - Bangladeshi	0	0%
	Asian or Asian British - Chinese	0	0%
	Asian or Asian British - Indian	3	1.8%
	Asian or Asian British Any other background	1	0.8%



	Black or Black British - African	0	0%
	Black or Black British - Caribbean	0	0%
	Black or Black British - Any other background	0	0%
	Any other Ethnic group. Please specify	0	0%
	Prefer not to say	19	11.4%
	Not answered	3	1.8%
Religion	Buddhist	0	0%
	Christian	74	44.6%
	Jewish	0	0%
	Muslim	1	0.6%
	Hindu	2	1.2%
	Sikh	0	0%
	Spiritual	1	0.6%
	Other - please specify	0	0%
	No religion	55	32.9%
	Prefer not to say	30	18.1%
	Not answered	4	2.4%
Sexuality	Heterosexual or straight	115	68.8%
	Gay Man	8	4.8%
	Gay Woman/Lesbian	1	0.6%
	Bisexual	2	1.2%
	Prefer not to say	34	20.5%
	Not answered	7	4.2%

ABOUT RESPONDENTS

Respondents were asked if they were completing the survey as an individual or on behalf of an organisation. The majority of respondents selected 'individual' (156/93.4%). Eleven respondents completed the survey on behalf of an organisation. These included a mix of public, private and voluntary sector agencies. A list of organisations responding to the survey is presented in Appendix 2.

Respondents were also asked to select the area in which they live or work. Figure 2 presents respondents by district/borough.

Figure 2 Number and proportion of respondents by location

Area	Individual Count	Organisation Count	All respondents %
North Warwickshire Borough	51	1	31.3%
Nuneaton & Bedworth Borough	20	0	12.0%
Rugby Borough	13	1	8.4%
Stratford-on-Avon District	24	1	15.1%
Warwick District	26	3	16.9%
Other including countywide	22	5	16.3%

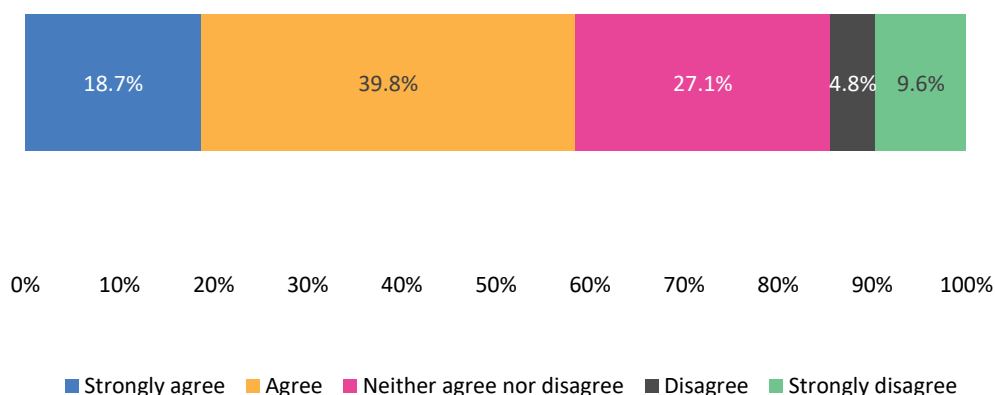


Almost a third of individual respondents were from North Warwickshire while only around 8% were from Rugby Borough.

OVERVIEW OF THE WARWICKSHIRE CONTEXT

Respondents were asked the degree to which they agreed or disagreed with the overview of the Warwickshire context as set out in the draft Warwickshire Rail Strategy. Figure 3 presents the results for this question.

Figure 3 Do you agree or disagree with this overview of the Warwickshire context?



Of all respondents answering this question, 58.4% (n=97) either strongly agreed or agreed with the overview of the Warwickshire context. Just over one in four respondents neither agreed or disagreed with the overview.

Respondents were asked if they had further comments regarding additional constraints or opportunities. Many comments related to specific line improvements around the county or comments relating to specific rail stations including new or re-opening of rail stations. Another key area for comments was around access issues including parking provision, congestion and integration of any new facilities/services with other transport options like bus and cycle travel. Figure 4 presents a summary of comments to this question. A full list of comments is available in Appendix A.



Figure 4 Key themes additional constraints and opportunities

The number of respondents commenting on this question was 83

Theme	Description	Example quotation for illustration	Count
Access, Traffic & Parking	<p>A range of issues were mentioned by respondents including:</p> <ul style="list-style-type: none"> • Integrated transport network i.e. how bus and cycle travel should be considered and 'joined up' • Parking provision issues especially at any new parkway facilities • Passenger capacity on some services • Disabled access 	<p><i>"It is imperative that people can travel into and out of towns to and from railways by bus or tram or via cycle lanes"</i></p> <p><i>"Integration with other public transport services should be considered too."</i></p> <p><i>"Parking charges at stations are a key factor in train usage for commuters."</i></p> <p><i>"Disabled wheelchair users' access"</i></p> <p><i>"The Cross Country trains are so overcrowded at peak times it is unsafe and is an off putting factor as a viable commute to Birmingham International, New Street and beyond."</i></p>	39
Specific line and station improvements	<p>A large number of comments related to specific sites/lines in different parts of the county. These included</p> <ul style="list-style-type: none"> • re-instating some lines and stations. • Improving the service on specific lines e.g. later evening and weekend travel • Reference to large scale housing developments and the need to make provision for them 	<p><i>"You need to reconnect Stratford and Honeybourne so that more services to London can be offered and support the new housing planned at long Marston"</i></p> <p><i>"Thought should be given into developing better east-west connection".</i></p> <p><i>"A railway station near Walsgrave hospital would help to reduce traffic significantly"</i></p> <p><i>"More trains in the evening for social use"</i></p>	36

KEY OBJECTIVES

Respondents were asked the degree to which they agreed or disagreed with four key objectives set out in the draft Warwickshire Rail Strategy:

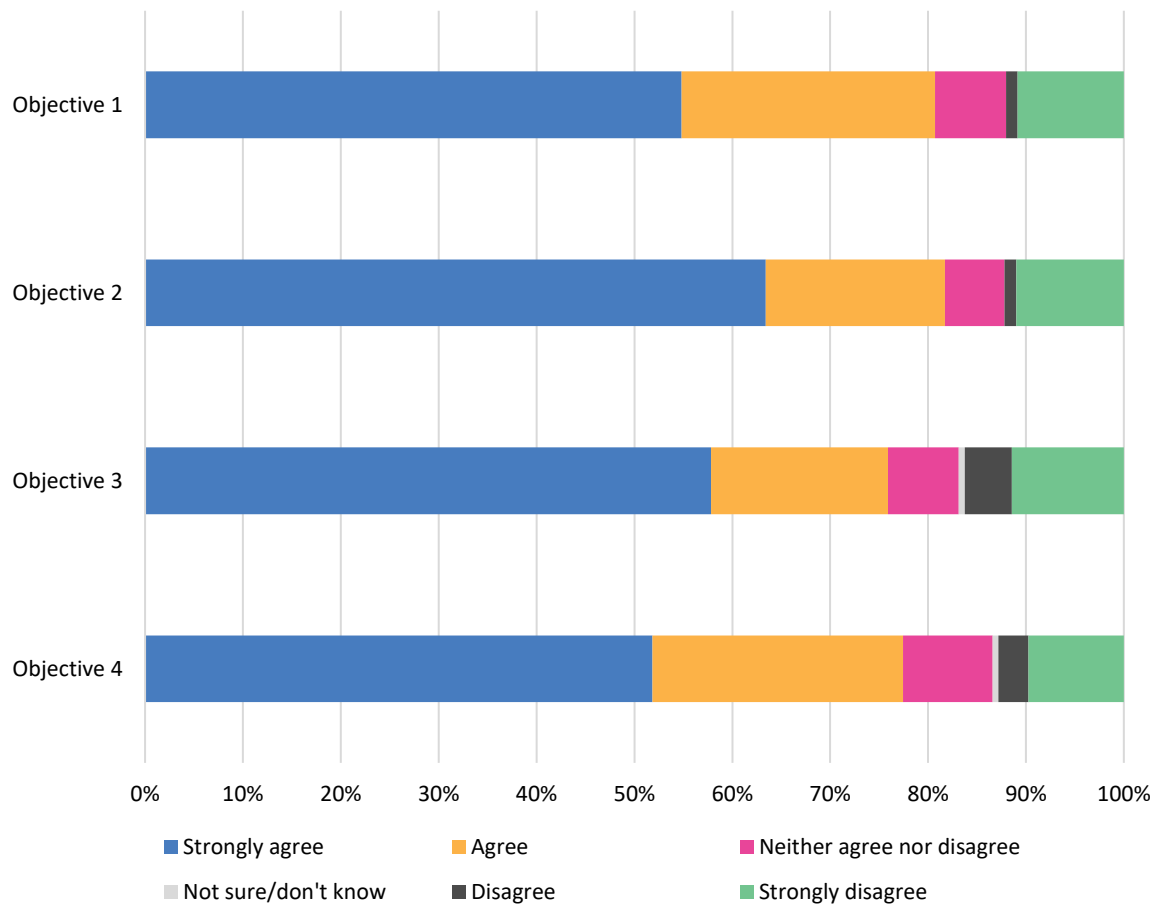
- **Objective 1:** Maximise economic, social and environmental benefits of the rail network to Warwickshire residents and businesses



- **Objective 2:** Maximise opportunities for journeys within Warwickshire (and beyond) to be undertaken by rail, particularly for commuting purposes
- **Objective 3:** Maximise opportunities for travel demands of new developments to be met by rail
- **Objective 4:** Support opportunities to transfer freight from road to rail

Figure 5 illustrates levels of agreement with each of the draft Warwickshire Rail Strategy Objectives.

Figure 5 Agreement/disagreement with key objectives



In general, there was a high level of agreement (strongly agree and agree) for each of the key objectives. The strongest levels of agreement were for Objectives 1 and 2. Respondents were also asked if there were any additional objectives they would like to see included in the strategy. Fifty-nine respondents commented. The main themes are presented in Figure 6. A full list of comments for this question is available in Appendix A.



Figure 6 Additional objectives respondents would like to see in the Warwickshire Rail Strategy*The number of respondents commenting on this question was 59*

Theme	Description	Example quotation for illustration	Count
Integrated transport	Frequent reference was made by respondents to the need to consider other modes of transport alongside objectives for rail travel as this had a major impact on the accessibility of train travel.	<i>"Ensure that new rail services are not dependent on owning a car."</i> <i>"Improve station facilities so that it is easier to reach stations by all means of transport"</i>	26
Specific station and route comments	As in the previous question a number of comments related to specific sites/lines in different parts of the county. Comments related to: <ul style="list-style-type: none"> • Proposals for new stations • Improvements to existing stations • Frequency/quality/affordability of service 	<i>"Don't see the point of Nuneaton Parkway. Build a car park at Weddington Terrace. It's 4 minutes' drive from the top of the Long Shoot and walkable."</i> <i>"Develop Atherstone station including footbridge between platforms."</i> <i>"Must improve train frequency on Shakespeare line."</i>	18
Access/consideration for people with disabilities	Some respondents indicated they would like to see more reference to provision for people with disabilities as part of the objectives	<i>"I am disappointed that you have not mentioned disabled users so far."</i>	5

POLICY AGREEMENT

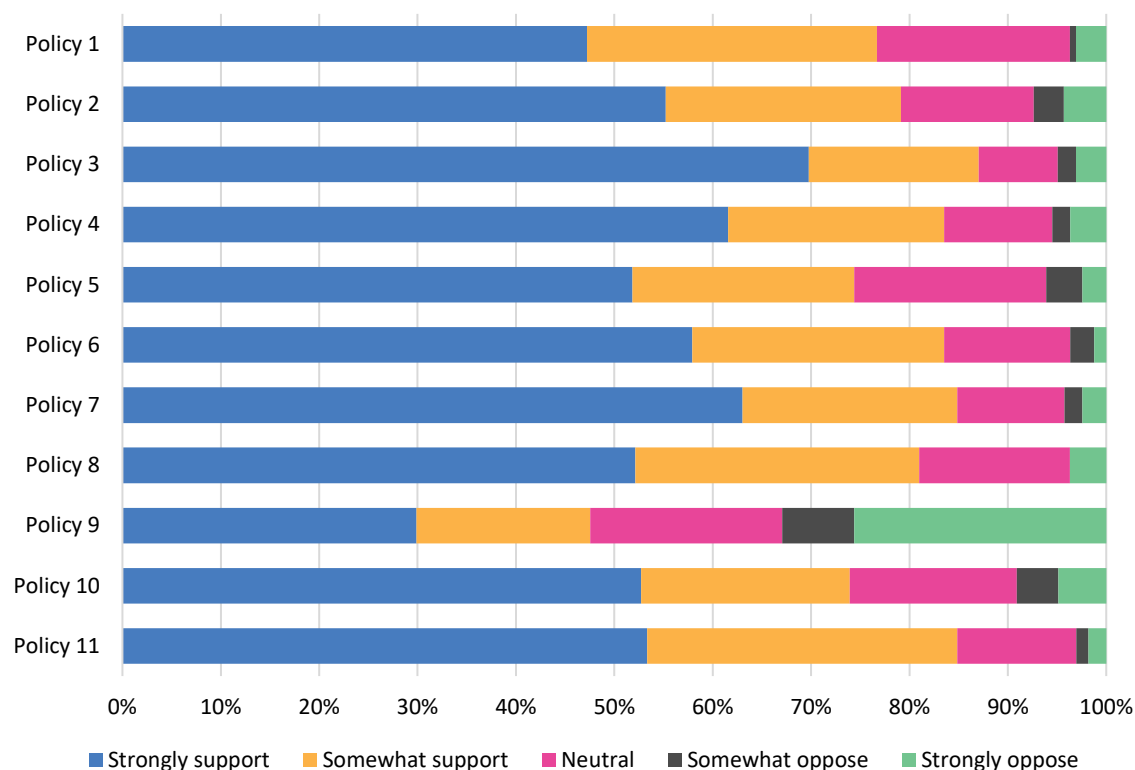
The draft Warwickshire Rail strategy outlined a range of policies and how these related to the objectives. Respondents were asked the extent to which they agreed or disagreed with policies set out in the draft Warwickshire Rail Strategy. These were:

- Policy 1 Partnership
- Policy 2 Existing levels of service and stations
- Policy 3 New rail services and stations
- Policy 4 New developments and connectivity to rail services
- Policy 5 Transformational change
- Policy 6 Station facilities
- Policy 7 Station Access and car park capacity
- Policy 8 Community rail partnership
- Policy 9 High Speed 2
- Policy 10 Freight
- Policy 11 Rail fares and ticketing



Levels of agreement/disagreement to the above question are presented in Figure 7.

Figure 7 Levels of agreement with policies 1-11 in the draft Warwickshire Rail Strategy



The highest agreement scores (Strongly agree/agree) were for Policy 3 New rail services and stations (87.0%/141) and Policy 11 Rail fares and ticketing (82.8%/140) (NB the number of respondents giving an opinion against each policy varied). Support was noticeably lower for Policy 9 High Speed Rail (HS2) at 47.6% (78) of all respondents who answered this question. One in four respondents answering this question indicated they were 'strongly opposed' to Policy 9 High Speed Rail. Additional comments made in relation to other policies which could be included are presented in Figure 8.

Figure 8 Other policies which should be included

The number of respondents commenting on this question was 54

Theme	Description	Example quotation for illustration	Count
Specific station/route	A number of comments related to suggestions for individual routes/stations- including upgrading or re-opening of stations and improved service levels on some routes	<p>"Consider supporting the reopening of the Stratford to Cheltenham railway line"</p> <p>"Extend services in rural station – Polesworth"</p> <p>"Consider new station at Earlswood for housing both local and for Bham and Solihull."</p>	17



		<i>"There needs to be further explanation about why you're proposing a new station for Polesworth - probably on a green field site and away from current residential areas."</i>	
Integrated planning	Respondents expressed a desire to see a greater emphasis on better connections to the rail network, making it easier to walk, cycle and use public transport to access rail services	<i>"Not enough emphasis on discouraging use of private cars to enable access to railway stations. Be bolder and more imaginative."</i> <i>"I think there is a need for as many bus/rail interchanges as possible."</i> <i>"Joined up thinking about intermodal interchange."</i> <i>"Last mile access to stations needs addressing. Road congestion and safety around stations is critical."</i>	14
Environmental issues	Comments relating to the impact of proposals on the local environment. These included <ul style="list-style-type: none"> Impact on countryside/pollution from additional cars and freight Impact on local residential areas including visual impact, congestion and safety 	<i>"Last mile access to stations needs addressing. Road congestion and safety around stations is critical."</i> <i>"Motorcar access to stations impacts heavily on residential neighbourhoods surrounding stations. It is essential that developments at and for stations and rail travel do not lead directly or indirectly to negative impacts on residential areas."</i>	11
HS2	A handful of respondents confirmed their objections to the proposed HS2 project	<i>"HS2 is destroying the Warwickshire (and other) countryside with no benefit to the residents of most of the county."</i>	6

Respondents were also asked if they had any further comments on the policies listed. Thirty nine respondents provided additional comments. Around half of comments (n=21) were critical in their sentiment across a range of issues including:

- Continued disapproval of HS2 and its impact on Warwickshire
- The policies lacked clarity
- WCC had limited influence on outcomes for rail services

Additional comments were made about the need for better services generally (more frequent and affordable) (n=9) and to travel sustainability (n=6).



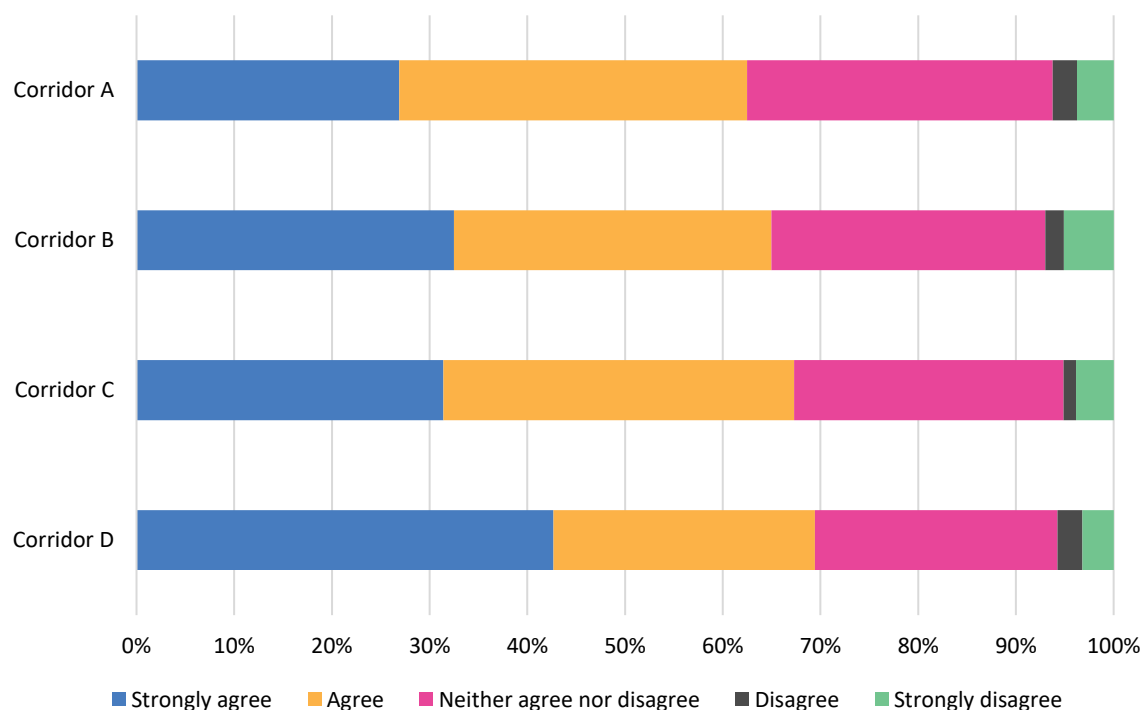
RAIL CORRIDORS

Respondents were asked the degree to which they agreed or disagreed with the infrastructure, service improvements and station enhancement proposals/aspirations set out for each rail corridor. These rail corridors are identified as:

- **Corridor A** Trent Valley and Wolverhampton – Coventry corridors
- **Corridor B** North-South rail services, Nuneaton-Coventry-Kenilworth-Leamington (NUCKLE) and Coventry-Leicester/Nottingham corridors
- **Corridor C** Leicester-Birmingham-Tamworth/Derby corridors
- **Corridor D** Snow Hill lines (Birmingham-Stratford-upon-Avon and Birmingham-Solihull-Warwick-Leamington Spa)

Levels of agreement with the proposals for each corridor are set out in Figure 9.

Figure 9 Level of agreement/disagreement with proposals set out for rail corridors A-D in the draft Warwickshire Rail Strategy



Overall, there was no marked difference between agreement scores (Strongly agree/agree) for proposals for each of the rail corridors. Agreement scores varied from 62.5% for Corridor A to 69.4% for Corridor D. Around a quarter to a third of all respondents indicated they neither agreed nor disagreed with proposals for each rail corridor.



Respondents were asked if there were any additional improvements they would like to see included in proposals for each corridor. Figure 10 sets out a summary of some of the suggestions made by respondents. Appendix A sets out all suggestions made for each corridor.

Figure 10 Additional improvements for rail corridors A, B, C and D

Corridor	Description	Example quotation for illustration	Count
Corridor A	<ul style="list-style-type: none"> • Polesworth station – questions about current service and its future • Parkway comments • Reference to the frequency of services generally and desire to see more trains running for longer (including evenings/Sundays) • Suggestions for specific additional/re-opening of stations and line improvements (double tracking) 	<p><i>“Increased frequency at Polesworth station on the Trent Valley lines, with services going south too”</i></p> <p><i>“It is not clear that the proposed new station at Polesworth Parkway will transfer trips from road to rail.”</i></p> <p><i>“Increased long distance services from Nuneaton. Later trains and improved Sunday service”</i></p> <p><i>“There should be more not less fast trains from Coventry and Rugby to London.”</i></p>	22
Corridor B	<ul style="list-style-type: none"> • Reference to the frequency/ of services generally and desire to see more trains running for longer and more faster train services • Specific line/station improvement suggestions 	<p><i>“Better interchange at Nuneaton, as reinstating a direct line to Leicester is difficult and costly, engineering-wise.”</i></p> <p><i>“The route needs to provide trains that are fast and regular. At present the route is slow and travel by car to Nottingham for example is easier and cheaper”</i></p> <p><i>“more services longer trains and better reliability of trains, expand Nuneaton station further rather than building a parkway station, parkway station likely to draw services away from current stations e.g. Nuneaton and Hinckley, which need more frequency and capacity rather than a new station”</i></p>	33
Corridor C	<ul style="list-style-type: none"> • More frequent services and later/Sunday services • More capacity on trains • Specific line/station improvements 	<p><i>“At Water Orton, more services throughout the day moving to a 30 min service and re-introduction of services to Tamworth and derby”</i></p> <p><i>“Pleased to see possibility of Kingsbury station but in the short term surely more use should be made of the Kingsbury loop.”</i></p>	28
Corridor D	<ul style="list-style-type: none"> • Specific line and station improvements • Frequency of service including later and Sunday services 	<p><i>“All stations must be fully accessible (for wheelchair users, parents with pushchairs etc.)”</i></p> <p><i>“You need more trains going and</i></p>	34



	<ul style="list-style-type: none"> Disables access notably Warwick and Leamington stations Parking provision especially at smaller stations Integration with bus timetables 	<i>later services back from Birmingham"</i> <i>"Extend the service from Stratford to Honeybourne"</i> <i>"Surely the service to Stratford via Dorridge should serve Lapworth."</i>	
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Transformational Impact

Respondents were asked to comment on the potential impact on Warwickshire communities of the proposals set out in the draft Warwickshire Rail Strategy. Figure 11 summarises responses and a full list of comments is available in Appendix A.

Figure 11 Transformational impact on Warwickshire communities

The number of respondents commenting on this question was 41

Theme	Description	Example quotations for illustration	Count
Specific station/route comments	<ul style="list-style-type: none"> Some concern expressed about proposed parkway stations Reference made to specific line improvements in parts of the county 	<p>There needs to be more information provided on the proposed location for Polesworth Parkway. Very surprised the local county cllr hasn't seen fit to engage with his community about this</p> <p>I'm not convinced about a Rugby Parkway station with only 260 parking spaces unless public transport from surrounding towns and villages is introduced to get passenger to the new station.</p> <p>integrating travel from Nuneaton into the Midlands sounds a good idea if we can introduce good connections to these towns and cities</p> <p>Fast trains between Rugby and Milton Keynes should be timed to connect with East - West rail services at the latter point.</p>	13
Generic positive comments	A range of positive comments about the proposals were expressed by respondents	<p><i>"All schemes identified here are fully supported."</i></p> <p><i>"They are all very logical and sensible proposals"</i></p>	8
Integrated Transport	Comments expressing the need to integrate train services with other transport modes	<p>will links with buses to serve proposed additional stations also be developed?</p> <p>don't forget cyclists, and those with mobility issues who are mostly excluded at this time</p>	7
Other incl. Environmental impacts, timescales, frequency and disabled access	A range of comments were made that covered reference to environmental impacts, the timescales for the proposals, frequency of services on some	<p><i>"Local impact assessment needs to be made for existing infrastructure"</i></p> <p><i>"It is unclear if the time lines indicated here are on schedule (a new bay platform in Coventry by 2019?!) and to maintain trust in these proposals,</i></p>	15



	lines and accessibility issues for people with disabilities	<i>realistic time frames must be proposed and planned for</i> <i>"The draft strategy can only prove truly transformative if it meets the needs of all current and prospective rail users within the county"</i>	
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Respondents were also asked if they had comments relating to investment priorities and delivery of the draft Warwickshire Rail Strategy.

Figure 12 Investment priorities and delivery

The number of respondents commenting on this question was 33

Theme	Description	Example quotations for illustration	Count
Specific station/route comments	Reference made to specific route/station improvements	<i>"It cannot be emphasised enough the importance of re-opening Stratford to Honeybourne via Long Marston "garden village"</i> <i>"Some infrastructure improvements, e.g. Rugby - Coventry - Birmingham and at Nuneaton to enable Coventry - Leicester services, should be prioritised and not have to wait for HS2 (if indeed this ever happens)."</i>	6
Integrated Transport	A number of comments stressed the need to look at the whole public transport system in an integrated way.	<i>"Don't look at rail in isolation from the rest of the public transport system."</i>	6
Negative sentiments	Negative sentiments expressed by respondents	<i>"This is lip service as I feel you have already decided what you want to do and where"</i>	5
Other incl. broadly positive comments, re-nationalisation, funding and accessibility	A number of comments were made which broadly supported the proposals. Others related to the funding of the proposals, impact of BREXIT, re-nationalisation and accessibility	<i>"agree strategy"</i> <i>"Wouldn't it be so much better if railways were somehow back in national ownership?"</i> <i>"accessibility must be an investment priority and should form a key part of franchising specifications. "</i>	18

Finally, respondents were asked if they had further comments to make on the draft strategy. Figure 13 presents a summary of these comments.



Figure 13 Any other comments on the draft Warwickshire Rail Strategy

The number of respondents commenting on this question was 37

Theme	Description	Example quotations for illustration	Count
Specific station/route comments	Reference made to specific route/station improvements	<p><i>"Atherstone is a well used station and as the Town Council we support WCC and hope to see more parking and better facilities and access for all abilities."</i></p> <p><i>"I do not feel that the proposal for a Polesworth Parkway station is a good idea"</i></p> <p><i>"Consideration should be given to 're-opening closed lines. Leamington to Rugby, Kenilworth to Berkswell Stratford southbound. or at least ensuring tracked is protected"</i></p> <p><i>"Water Orton residents do have a feeling of being the poor relation of Warwickshire when you consider the quantity of trains that pass through our village. It would require little investment to make improvements to the service."</i></p>	12
Negative sentiments	Negative sentiments expressed by respondents including: <ul style="list-style-type: none"> • Clarity on detail of proposals • The consultation process • Impact of Brexit 	<p><i>"The documents set out lots of aspirational plans, but many are without real detail on the funding routes, time frames and risk factors."</i></p> <p><i>"There was a lack of workshops with councillors and rail user groups before the strategy was produced"</i></p> <p><i>"Nothing on overall risks to delivery including impact on businesses of Brexit. The business landscape may change significantly under different Brexit outcomes."</i></p>	10
Positive sentiments	Generic positive/support comments by respondents	<p><i>"Generally supportive"</i></p> <p><i>"It is good that the county council is working with other organisations to improve transport links."</i></p> <p><i>"any policy which takes people out of private cars and off the roads is a good policy"</i></p>	9
Integrated Transport	Integrating proposals with other plans (including development) and other transport modes	<p><i>"The strategy needs greater alignment with proposals and programmes for new development and how the main objectives can be aligned with specific growth proposals to promote rail usage "</i></p> <p><i>"comments already made about parking and linked bus services"</i></p> <p><i>As a priority please improve cycle path links from stations."</i></p>	7



EQUALITY IMPACT ASSESSMENT (EIA)

Warwickshire Rail Strategy 2019-2034

Before completing this document please refer to our 'Guide to Equality Impact Assessments' [here](#).

Service/policy/strategy/practice/plan being assessed	Warwickshire Rail Strategy 2019-2034
Business Unit/Service Area	Transport Planning, Communities
Is this a new or existing service/policy/strategy/practice/plan? <i>If an existing service/policy/strategy/practice/plan please state date of last assessment</i>	This is a new strategy that will replace the County's Rail Strategy, as contained within the Third Local Transport Plan.
EIA Review team – list of members	Victoria Mumford Margaret Smith
Do any other Business Units/Service Areas need to be included?	
Date of assessment	5 th July 2019 – EIA on Draft Strategy 11 th January 2020 - EIA on Final Strategy (post consultation).
Are any of the outcomes from this assessment likely to result in complaints from existing services users, members of the public and/or employees? <i>If yes please let your Assistant Director and the Customer Relations Team know as soon as possible</i>	No

Details of service/policy/strategy/practice/plan

Scoping and Defining	
(1) What are the aims, objectives and outcomes of the service/policy/strategy/practice/plan?	<p>There is a need to set out what is required within Warwickshire to ensure excellent passenger rail services which will address the needs of both current and potential passengers in Warwickshire and deliver the wider objectives of the County Council and the objectives as set out in the Rail strategy; these being;</p> <ol style="list-style-type: none"> 1. Maximise economic, social and environmental benefits of the rail network to Warwickshire residents and businesses; 2. Maximise opportunities for journeys within Warwickshire (and beyond) to be undertaken by rail, particularly for commuting purposes; 3. Maximise opportunities for travel demands of new developments to be met by rail; 4. Support opportunities to transfer freight from road to rail.
(2) Who are the customers?	People who live, work or visit Warwickshire.
(3) How has equality been considered in the development or review so far?	The strategy promotes access to rail services for all users, including those with physical or sensory difficulties; where possible the strategy seeks to identify improvements at stations that will improve access by all groups.
(4) What is the reason for the change/development?	The existing Warwickshire rail strategy, as contained in the Local Transport Plan 3 is out of date. Therefore the strategy has been updated and refreshed.
(5) How does it fit with Warwickshire County Council's wider objectives?	The strategy aligns with the County Councils objectives in terms of reducing congestion, maximising opportunities to improve existing connectivity and improving journey reliability.
(6) Why might it be important to consider equality and the protected characteristics?	Whilst there is a rail station in each of Warwickshire's main towns, some smaller towns and most villages in the county do not have a station. This means that some people, especially those living in more rural areas, do not have easy access to rail services. In addition services may be

	limited and not provide the required connectivity. The strategy seeks to improve access points to the rail network, deliver service improvements to provide additional connectivity opportunities and provide access improvements at existing stations.
Information Gathering	
<p>(7) What sources of data have you used?</p> <p><i>You must keep a record of any data you have currently used as supporting evidence</i></p>	<p>The strategy has been developed in line with wider County Council objectives and the wider regional context. Significant work has been undertaken to help identify the economic value of key interventions in Warwickshire. The strategy also builds on the West Midlands Rail</p> <p>The final strategy has been prepared following a full public consultation, which included a wide range of stakeholders; user groups, other local authorities, operators, interest groups and potential partners.</p>
<p>(8) What does the data you have tell you about your customers and about protected equality groups?</p>	<p>The rail strategy has been widely consulted on as part of a full public consultation. The respondents to the on line survey predominately identified their ethnicity as 'White British' and data is limited regarding protected equality groups. The County Council will, in the near future, be producing a new transport strategy (of which the rail strategy will be part of). This will provide another opportunity to consult with the wider public and specific protected equality groups. The Transport Planning team will continue to work closely with the Equalities and Insight teams to ensure that we maximise the response rate from protected groups where appropriate.</p>
<p>(9) What do you need to know more about?</p>	
<p>(10)How could you find this out and who could help you?</p>	
Engagement and Consultation	
<p>(11) Who have you consulted with from protected equality groups?</p>	<p>The Draft Rail Strategy was subject to a full public consultation. As part of the consultation process, the County Council encouraged responses from protected equality groups to be submitted. In attempt to ensure that we have consulted with individuals/organisations from protected equality groups and that their views are represented throughout the consultation we have asked respondents to provide us with their diversity data, making it clear to them why we are asking for it and how this data will be used and stored.</p>

(12) Who else could you consult with?	The consultation was a full public consultation and therefore all groups/individuals were able to respond if they wished to.
(13) Who can help you to do this?	The Warwickshire Insight team helped provide advice as to who can be consulted.
Monitor and Evaluate	
(14) How will you monitor and evaluate the service/policy/strategy/practice/plan?	The Rail Strategy will be monitored on a regular basis to assess progress with delivery. It should be noted that a proportion of schemes and interventions identified in the strategy are dependent on other regional or national schemes being delivered. Delivering significant service or infrastructure on the rail network is challenging and requires the involvement of a number of partners.

Please note: Further information and advice about the corporate consultation process can be found [here](#).

(15) Analysis of impact and potential actions:				
Protected characteristics from the Equality Act 2010	What do you know? Summary of data about/feedback from your service-users and/or staff	What does this mean?		What can you do? All potential actions to: <ul style="list-style-type: none"> • Eliminate discrimination/mitigate negative impact • Advance equality of opportunity • Foster good relations
		Positive impacts identified (actual and potential)	Negative impacts identified (actual and potential)	
Age	Age can be a barrier to accessing the rail network, for both young and old people, access to stations can be difficult and often cost can be a barrier for both groups.			WCC can work with the Train Operating Companies (TOCs) to help improve access to stations and to identify ticketing opportunities to make travel by rail more affordable
Disability	The range of barriers facing people with disabilities are varied and relate to physical, sensory, learning and mental health needs. Disabled people are more reliant on public transport than the general population.			WCC will work with the TOCs to help promote opportunities to offer travel training and journey planning to help enable disabled people make travel journeys by rail. The County Council will also work with the TOCs and West Midlands Rail Executive to ensure that rolling stock is fully compliant to the Equality Act 2010.
Sex	Real or perceived safety on public transport can impact more greatly on particular groups.			WCC will work with the appropriate organisations in attempt to improve real and perceived safety. This may be in the form of additional CCTV at stations and station travel plans that promote safer walking routes to access stations.
Race	At this stage it is not though that the rail strategy poses any adverse impacts on the basis race.			
Religion or belief	At this stage it is not though that the rail strategy poses any adverse impacts on the basis of religion or belief.			

Gender Reassignment	At this stage it is not though that the rail strategy poses any adverse impacts on the basis of gender reassignment.			
Pregnancy and Maternity	Access to stations without lifts/ramps or lack of adequate changing facilities may act as a barrier to accessing the rail network.			WCC can work with the Train Operating Companies (TOCs) to help improve access and changing facilities where appropriate.
Sexual orientation	At this stage it is not though that the rail strategy poses any adverse impacts on the basis of sexual orientation.			
Marriage and Civil Partnership (Note: only in relation to due regard to eliminating unlawful discrimination)	At this stage it is not though that the rail strategy poses any adverse impacts on the basis of marriage and civil partnership			

(16) Outcomes of Equality Impact Assessment		
Action	Timescale	Responsibility
Ensure the opportunity to engage with relevant groups during the delivery of specific schemes/interventions which are led by Warwickshire County Council.	Ongoing	Transport Planning
Include diversity data questions in any future scheme/project consultation	Ongoing	Transport Planning

Ensure that key messages concerning equality and diversity are discussed with the relevant organisations, where Warwickshire is not the organisation that can directly control the outcome.	Ongoing	Transport Planning
---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------	--------------------

Date of Next Review	
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Name and signature of Officer completing the EIA	
Name and signature of Assistant Director	
Name and signature of Directorate Equalities Champion	

If you would like any equalities support or advice on this completed document, please contact the Equalities Team on 01926 412370 or equalities@warwickshire.gov.uk

NEXT STEPS ONCE COMPLETED:

- 1. Go to File – Rename, and enter a new document name (e.g. Title of the EIA followed by - EIA)**
- 2. Go to Share (top right hand corner) Add Assistant Director and the Directorate Equalities Champion with ‘can edit’ option to gain their signatures and for recording purposes**
- 3. Once signed off, ensure the completed EIA is saved in a secure place**

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Cabinet

30 January 2020

Warwickshire County Record Office Collection Development Policy

Recommendation

That Cabinet:

- 1) endorses the direction for Warwickshire County Record Office (WCRO),
- 2) approves the draft WCRO Collection Development Policy and
- 3) notes officers' plans to investigate options for future records storage.

1.0 Purpose of Report

- 1.1 This report seeks Cabinet's feedback and endorsement of a revised WCRO Collection Development Policy (Attached as an appendix).

2.0 Executive Summary

2.1 Background

- 2.1.1 WCRO provides for the on-going information needs of Warwickshire County Council (WCC) services and the wider public. It responds to an average of 6,000 direct enquiries a year, requiring a bespoke, accurate response. From WCC services, WCRO receive average of 130 enquiries a year that are either critical or important to other areas of WCC business and can result in WCC successfully defending itself against liability actions including the following:

- Critical evidence to enable WCC's Claims team to defend liability claims e.g. Warwickshire has not had a successful historic abuse case brought against it
- Enabling Information Rights to provide due diligence and good customer service to their clients, and for the individual client sometimes providing scarce personal information which can help them understand their life experience

- 2.1.2 WCRO also provides crucial 'information interventions' for citizens of Warwickshire that shape their lives and identity. Regular examples of such interventions include:

- Adoption registers, particularly if no information available through Social Services
- Records of schools/children's homes for locating individuals in abuse claims
- NHS studying inquest records of family members to assist diagnosis and prognosis of living family members e.g. study of clinical genetics

2.1.3 WCRO also has large-scale online use of its content. Total annual page views are around 4 million. By comparison, in the year to February 2019 WCC had 5.5 million-page views on its public website.

2.1.4 The draft Policy has been reviewed to ensure it is fit for purpose and meets council objectives and priorities.

2.1.5 Elizabeth Oxborrow-Cowan was appointed in February 2019 as a consultant to review the current WCRO Collection Development Policy and to undertake a high-level, broad-brush review of the WCRO to inform its future strategic direction.

2.2 **Why we need a WCRO Collection Development Policy?**

2.2.1 The draft Policy governs what WCRO does and does not collect. Correct collecting ensures WCRO acts as the long-term memory of WCC. It also collects public records (e.g. hospitals and courts) and private organisations and individuals. The totality of its collections provides the documentary memory of the County. It enables WCC to:

- **Efficiently observe statutory requirements** to look after its own records (which it is constantly creating) under The Local Government Act 1972 (s.224) and the public records it holds providing professional storage, management, conservation and access
- **Meet legal compliance** with Freedom of Information, Data Protection, Environmental Information Regulations and copyright – all of which bring potential financial, judicial and reputational sanctions if they are not observed
- **Manage and reduce corporate risk and liability** e.g. around planning, historic abuse claims, flooding, liability

- **Contribute to well-being, education and learning agendas** through its public service
- **Positively present the county council** to its community as not just a service provider but a method to engage as a facilitator to enable individuals and communities to shape their own lives e.g. personal understanding and discovery, and long-term volunteering programme

2.3 Analysis of the current collections

- 2.3.1 The draft Collection Development Policy contains an analysis of the collections held at WCRO.

2.4 Challenges for WCRO

- 2.4.1 In her report Elizabeth Oxborrow-Cowan highlighted the following:

- WCRO should be recognised as a core business function by Warwickshire County Council. There are opportunities to leverage WCRO's expertise, services and collections for the Council's own work
- The understanding in the County Council of the importance of WCRO's persistent information assets and their long-term preservation as vital for council operations, risk management and corporate memory can be improved. These assets have taken literally millions of staff hours and pounds to create and are irreplaceable and vulnerable
- The digital preservation function to manage the county council's information assets now that these are primarily digital can be improved. Digital records are particularly vulnerable and need careful management from their creation to ensure long-term survival and reduce corporate risk

2.5 Storage Facilities

- 2.5.1 A major challenge faced by WCRO is that it is likely to use all of its available storage during 2021. If WCRO runs out of storage and is not able to secure permanent additional space its ability to collect records will be severely diminished and it will need to find a temporary solution (e.g. rental of space) to ensure that it is able to fulfil its purpose and retain its accredited status.
- 2.5.2 Any such temporary solution is less desirable than securing permanent additional space (as any records stored there are vulnerable to outside factors (e.g. termination of storage agreements)) and should only be used as a temporary solution whilst permanent additional space is secured.

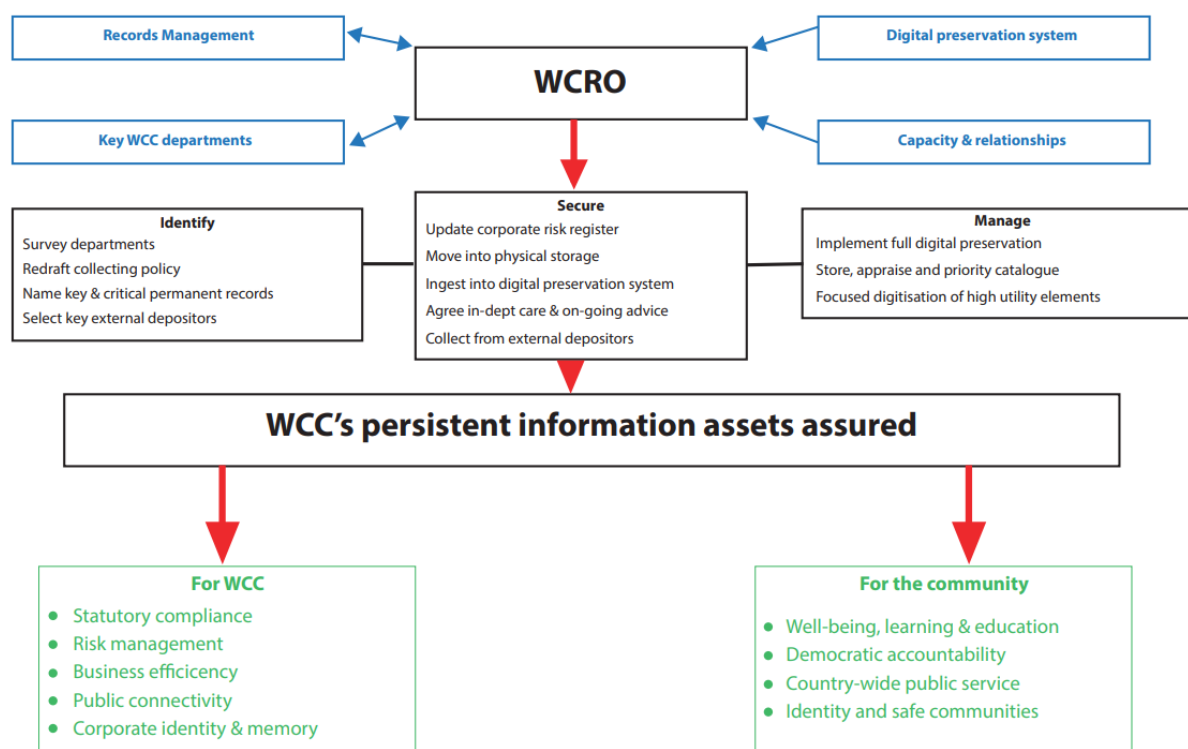
2.6 Refocussing of WCRO

- 2.6.1 The draft WCRO Collection Development Policy will provide a framework to allow WCRO to refocus its collecting of records to ensure that whilst continuing to provide an accredited public service it better serves the needs of WCC:

As is	To be
WCC records are transferred to WCRO on an ad hoc basis if / when the record creators choose to do so	WCRO will work with Information Governance (IG) to ensure all records suitable for transfer to WCRO are identified in the WCC Retention Schedule and processes are embedded to ensure regular transfer of such records to WCRO
Public records are transferred to WCRO on an ad hoc basis if / when the record creators choose to do so	<p>WCRO will work the creators of public records to inform their corporate retention schedules to aid the regular transfer of such records to WCRO</p> <p>This is dependent on the securing of further storage as current storage is not sufficient to allow the large-scale transfer of public records</p>
Other records (those which are neither WCC records or public records) are mainly donated or deposited with WCRO on an ad hoc basis if / when the record creators choose to do so	<p>Research will be completed to identify record creating bodies within the five districts and boroughs of Warwickshire</p> <p>WCRO will liaise with identified creating bodies to influence the donation and deposit of records with WCRO</p>
WCRO is piloting an open-source digital preservation system (Archivematica) to preserve digital born records	WCRO will secure funding and work with IG and other WCC teams to ensure Archivematica is correctly configured to preserve WCC digital born records

- 2.6.2 WCRO will become a critical, integrated support function for WCC business units by assuring the Council's persistent information assets, promoting a sense of value around WCC's information assets, a valued public service and partner, and a core resource for Warwickshire's heritage infrastructure.
- 2.6.3 WCRO needs to have equitable balance between its services to WCC and the public. The rebalancing process, whereby a supported WCRO identifies and

secures information assets and then opens up access and use as a widely recognised WCC support function, can be summarised in the following diagram:



3.0 Conclusions

3.1 The draft Collection Development Policy sets out a clear vision for improving the role WCRO plays in supporting the county council to:

- Observe statutory requirements to look after its own records (including digital records)
- Meet legal compliance with information legislation and copyright
- Fulfil its ethical duty to provide democratic accountability
- Enable individuals and communities to shape their own lives
- Retain a written record of the diverse communities which make up Warwickshire.

3.2 The policy fully supports the organisation in achieving its goal of being the best it can be by collecting and making available records which will inform the council and the public allowing them to make better informed decisions.

4.0 Environmental Implications

- 4.1 If the recommendation to instruct officers to investigate options for future storage of records is approved a scoping exercise to identify possible solutions will need to be completed. Any long-term storage solutions identified will meet key sustainability requirements and best practice in this area.

5.0 Financial Implications

- 5.1 There are no financial implications for the draft Policy itself, however, any long-term storage solutions identified may have a capital cost and potentially a revenue cost. This will need to be scoped and quantified so the priority for investment can be considered alongside the other options for the use of the Council's available resources.

Appendix

Draft County Record Office Collection Development Policy

Background papers

None

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

Councillors Cockburn, Shilton, Roodhouse, Holland, Chilvers, Fradgley and Phillips

Warwickshire County Record Office Collection Development Policy

Version	Draft
Author	Richard Lewis (Collections and Development Manager)
Owner	Richard Lewis (Collections and Development Manager)
Approval Body	
Date approved	
Date of next review	2022

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1 Introduction

The aim of Warwickshire County Record Office (WCRO) is to safeguard, manage and develop Warwickshire's archives so these can be accessed, interpreted and enjoyed by all. Collection development is integral to successfully achieving this aim in allowing WCRO to identify and collect relevant material to create a coherent written memory of the county.

This Collection Development¹ policy outlines how and why WCRO collects archives and how it prioritises and rationalises its collections. The policy provides the basis for all collecting planning and activity by WCRO.

This policy is one part of WCRO's collections management framework. The rest of the framework covers overarching governance, legislative and regulatory influence on the management of collections and should be read alongside this policy.

2 Background

The historic county of Warwickshire contains a number of institutions which collect archive material relating to the historic county of Warwickshire. As such, not all archive material relating to the historic county of Warwickshire is held by WCRO. Section 4.1 contains further information.

Traditionally WCRO has practiced passive collecting and has not actively collected records to fill any gaps in holdings or to provide a better representation of the communities of Warwickshire. WCRO has always completed a robust appraisal of any records it has been offered to ensure only appropriate records are accepted and this practice continues. Whilst the acceptance of passive collecting has changed in the twenty first century due to limited staff time WCRO is still reactive rather than proactive in regard to collecting.

WCRO holds records of WCC from its formation in 1889 to present day and also records of district and parish councils in Warwickshire. WCRO has a large number of collections of prominent local families and estates, including Greville of Warwick Castle (Earls of Warwick) and Newdigate of Arbury. WCRO also has a large number of collections of primary schools across the county

WCRO does maintain contact with existing depositors but this varies greatly, and this has impacted on the accruals received for collections held by WCRO. WCRO recognise the need to have a robust and sustainable means of ingesting and preserving digital records and has

¹ As defined by PAS 197 as collecting new items, researching and reviewing the existing collection and removing items in accordance with the organisation's policies and priorities.

Warwickshire County Record Office Collection Development Policy

invested in developing a suitable approach. WCRO is committed to continuing with this as resources allow.

The limited amount of available strongroom space (all space is likely to be used by the end of 2021 with recent rates of accrual) prevents WCRO from accepting any large collections it may be offered. For instance, records of the George Eliot Hospital have been offered to WCRO and the decision to postpone acceptance of these records was made due to available strong room space. As these records are public records created by an institution in Warwickshire, these should be deposited at Warwickshire County Record Office.

3 Legislation regarding collecting records

WCRO's authority to collect certain types of records has a legal basis. This authority applies to a number of records.

WCRO holds the records of WCC to ensure that WCC discharges its duty under section 224 of the **Local Government Act 1972** to "make proper arrangements with respect to any documents that belong to or are in the custody of the Council or any of their officers". In 1999, the Department for Environment, Transport and the Regions issued guidance as to what was meant by "proper arrangements" which included "those created by the authority and its predecessors in the course of its business".

WCRO is appointed as a 'Place of Deposit' by the National Archives to hold public records relating to Warwickshire. Such public records include those of the Coventry and Warwickshire Partnership NHS Trust, HM Coroner for Warwickshire and Warwickshire's Courts and Tribunal Service.

The Public Records Act 1958 and 1967 requires these bodies to identify records of historical value and transfer them for permanent preservation to WCRO when these are 20 years old. The introduction of **The Public Records (Transfer to the Public Record Office) (Transitional and Saving Provisions) Order 2014** means that since 1 January 2015, the timeframe for depositing records reduced from 30 years to 20 years, placing an increased burden on both strongroom space and staff time.

Due to WCRO being recognised by the Master of the Rolls as a repository for manorial documents WCRO is able to collect manorial records and has over 5,000 items from as early as 1334.

Under the provision of section 144A (7) of the **Law of Property Act 1922**, and section 36 (2) of the **Tithe Act 1936**, as amended by section 7 (1) of the **Local Government (Records) Act**

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1962 WCRO is able to collect records created by the administration of the Tithe including maps and apportionments.

The three designations below allow WCRO to hold records for Church of England records in Warwickshire under the **Parochial Registers and Records Measure 1978 (amended 1992)**:

- WCRO has been designated by the Bishop of the Diocese of Birmingham as diocesan record office to collect the records of Anglican parishes lying within the Diocese of Birmingham and the County of Warwickshire, with the exception of those parishes lying within the City of Birmingham itself, but including those within the Metropolitan Borough of Solihull
- WCRO has been designated by the Bishop of the Diocese of Coventry as diocesan record office to collect the records of Anglican parishes lying within the Diocese of Coventry and the County of Warwickshire
- WCRO acts as official place of deposit for those Anglican parishes which fall within the Diocese of Gloucester and the County of Warwickshire by arrangement with the Diocese of Gloucester and the diocesan record office, Gloucestershire Record Office

WCRO must adhere to information legislation including the **General Data Protection Regulation 2018 (GDPR)** and the **Freedom of Information Act 2000 (FOI)**. GDPR presents an opportunity to enhance collecting (see section 7.3). FOI and copyright, as governed by **Copyright, Designs and Patents Act 1988**, govern access to and reproduction of material held at WCRO.

4 Approach to collecting records

At all times WCRO will act according to professional best practice and in particular with regards to the requirements of Archive Service Accreditation² and the Code of Ethics³ of the Archives and Records Association.

- WCRO will acquire material from within, or relating to, the administrative county of Warwickshire as at 1st April 1974. Subject to the overriding principle that the integrity of archival groups should normally be preserved as far as possible and practicable, the record office will not acquire records relating to places outside Warwickshire unless these have a close connection with the area

² <https://www.nationalarchives.gov.uk/documents/archives/archive-service-accreditation-standard-june-2018.pdf>

³ https://www.archives.org.uk/images/ARA_Documents/ARA_Code_Of_Ethics.pdf

Warwickshire County Record Office Collection Development Policy

- WCRO recognises the collecting policies of local authority archive repositories in the cities of Birmingham and Coventry, and the Shakespeare Birthplace Trust Record Office in Stratford-upon-Avon, all of which fall within the boundary of the historic county of Warwickshire
- WCRO seeks to avoid competition, conflict and duplication of effort and aims to work closely with all interested parties to ensure that records are placed in the most appropriate home. As such, WCRO recognise the existence of specialist repositories within the county (*e.g.* British Motor Museum). Records originating from or relating to Sutton Coldfield before its transfer to Birmingham City Council in 1974 are likely to have strong Warwickshire connections, and WCRO would welcome negotiations with Birmingham City Archives over the appropriate place of deposit for any documents offered to either repository which fall into this category
- WCRO acknowledges the current lack of provision for archives for the Metropolitan Borough of Solihull, which formed part of the administrative county of Warwickshire until 1st April 1974. WCRO will continue to collect pre 1974 records from, or relating to, Solihull, or where the integrity of existing collections would be compromised were complementary material not accepted. WCRO will continue to contribute to discussion on how to address the anomalous situation arising from the lack of provision for post 1974 Solihull records
- WCRO will not actively encourage the deposit of records primarily relating to or arising in areas outside the current boundaries, unless there are exceptional circumstances and the agreement of any other interested archive authority has been sought

5 Principles and methods for accessioning and deaccessioning

5.1 Priorities for deaccessioning and disposal

WCRO periodically review material that has been taken in on a temporary deposit basis but has not been collected or accessioned. This will include legacy collections where the long-term value of the material does not sit with the WCRO collecting policy. Currently all the collections held at WCRO fit the collecting policy.

5.2 Deaccessioning Procedure

A Depositor may only withdraw records held on loan in accordance with WCRO policies, having given reasonable notice of their intent to the Record Office. During this period of

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notice, WCRO reserves the right to copy the records and to make these copies available in accordance with the same conditions as applied to the original record.

The Depositor will be liable for costs upon withdrawal as follows:

1. Within 25 years of the date of deposit costs of storage and cataloguing and conservation work carried out on the documents ("the Costs")
2. After 25 years of the date of deposit 50% of the Costs
3. After 50 years of the date of deposit 10% of the Costs or an administration fee of £150, at the discretion of the Archives Manager

In consideration of the services provided by WCRO to the Depositor, the Depositor accepts and agrees to make such payment prior to the withdrawal of the Record. Where the Depositor defaults in making the above payments, WCRO shall have the lien on the loaned records. These charges may be waived if at the absolute discretion of the Archives Manager sufficient public benefit has been derived to fully cover the public expenditure incurred. Charges will be made in line with WCRO Fees and Charges at the time of the withdrawal.

6 Conditions on acquisitions

- WCRO acquires records by gift, purchase, bequest, transfer and / or loan. The preferred method of acquisition is gift
- WCRO will evaluate archive collections prior to donation or deposit and reserves the right to refuse, return or recommend the destruction of any material not deemed appropriate for permanent preservation
- WCRO will not normally accept archives and records which are of a particularly specialist nature, requiring skills or equipment beyond WCRO's resources to preserve, exploit or interpret
- WCRO has only very limited financial resources at its disposal for the purchase of documents, and wishes to avoid encouraging both the sale of historic documents, in general, and contributing to the inflation of the market value of historic documents

Where purchase of documents is contemplated, WCRO will seek to work in partnership with other agencies (such as the Friends of Warwickshire County Record Office, and local and national grant awarding bodies). WCRO will only purchase records if:

Warwickshire County Record Office Collection Development Policy

- there is no other more suitable repository interested in acquiring them
- these meet the criteria set out elsewhere in this policy
- these are of significance to the county's history and heritage
- these complement WCRO's existing holdings
- Acquisitions purchased with the assistance of grant aid will be held subject to the terms and conditions of the bodies from whom such aid was received, provided these do not conflict with the spirit of WCRO's terms and conditions. Where such a conflict exists, WCRO will negotiate with a view to resolving any issues giving rise to concern
- All archives and records received by WCRO will be processed in accordance with current accessioning procedures which record information about the nature and provenance of the material in question

6.1 Archival media and genres held

- Archives may be accepted in a range of formats, including paper, parchment, electronic or other digital media, microform, photographic, film or audio tapes
- Records are accepted by WCRO when these are deemed by professionally qualified staff to be of sufficiently high evidential or historical value as to merit permanent preservation. Semi-current records will not usually be accepted, except where special circumstances make this desirable, such as where public records are offered in advance of their expected date of transfer. In such cases, WCRO reserves the right to charge for storage and retrieval. WCRO also reserves the right to appraise semi-current records, subject to Operational Selection Policies (OSPs) issued by The National Archives and other relevant appraisal guidelines
- In regard to electronic, digital media and audio tapes, WCRO will continue to develop policies and infrastructure to ensure the long-term management, preservation and access arrangements for such media
- Where the format of archives requires specialist knowledge or facilities for storage or access, such as electronic, digital or audio-visual media, WCRO will explore, if appropriate, the possibility of transferring materials to or working in partnership with a more appropriate repository, and will do so having consulted with relevant bodies and individuals

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- Printed materials, including books, newspapers and pamphlets will be acquired by WCRO where these are judged to be likely to support the use of its archive holdings by researchers or staff
- WCRO will seek to acquire copies of documents held in other repositories if these relate closely to the existing holdings or to the acquisition policy
- WCRO aims to provide access to information about its collections and in some circumstances copies of items from its collections are made available to online users as well as those visiting the service in person
- WCRO will continue to work in close co-operation with WCC's Records Management Service to ensure the systematic transfer of official records to its safekeeping. The two services will work together to ensure the appropriate management and preservation of, and access to, WCC's digital records and archive. See section 6 for further information
- WCRO will not normally accept three dimensional artefacts unless these have a special relationship with the associated archives held. Artefacts will normally be directed to the appropriate museum on the advice of WCC's Museum Service
- WCRO will work in close co-operation with WCC's Museums and Libraries to facilitate the transfer of archival material to WCRO where appropriate. WCRO will also foster positive relationships with other museums and community groups within the county of Warwickshire in order to ensure that archival material is deposited with the most appropriate repository

6.2 Subject area

- WCRO exists primarily to safeguard the records of Warwickshire County Council (WCC), but also collects more widely. In addition to records acquired under statute, the service welcomes accessions from other organisations, businesses, non-conformist churches, other places of worship, clubs, societies, families and individuals within Warwickshire
- WCRO will not seek to represent any particular historical, sectarian or other viewpoint in its acquisition of records, but to reflect as objectively as possible all aspects of Warwickshire's past and present

7 Analysis of the current collection

WCRO seeks to gather a coherent, on-going written record of Warwickshire from the 12th Century. The collections cover a wide variety of historical documents, from medieval deeds

to 20th century building plans. Details relating to 98% of the accessions and approximately 50% of the full catalogues are available to view on the online catalogue 'Warwickshire's Past Unlocked'. There are both strengths and weaknesses in the ability of the current collections to present that coherent record.

7.1 Strengths

WCRO holds a coherent record of local government in Warwickshire since 1625. WCRO holds records of WCC from 1889 and of its predecessor (the court of Quarter Sessions in its administrative and judicial role) from 1625.

WCRO holds records of over 250 Church of England parishes including the registers of baptism, marriage and burials and the records of various parish officials. WCRO also holds over 5,000 items of manorial records, dating from 1334, which provide the most detailed source for medieval village life in Warwickshire.

Many of the records of the large landed estates are deposited including those for Warwick Castle, Newdigate of Arbury Hall, Throckmorton of Coughton Court, Lucy of Charlecote, Seymour of Ragley Hall and Feilding of Newnham Paddox. These collections are rich in deeds, rentals, maps, correspondence and accounts and provide research material for many social and political topics, significant people and events. There are also substantial collections from local institutions including the Union Workhouse, Warwickshire Quarter Sessions and Warwick County Lunatic Asylum, Hatton.

The WCRO collection contains several deposits from important local businesses, such as the engineering company Willans and Robinson of Rugby, records of the combined Needle Industries from the west of the county, Flavels, Range Manufacturers of Leamington Spa and the records of the Donald Healey Motor Company of Warwick.

7.2 Current Weaknesses of the Collections Policy

Although WCRO holds WCC records dating back to the formation of WCC in 1889 as the type and volume of records created by WCC change there is a need to examine the processes in place for the transfer of WCC records to WCRO. The WCC retention schedule identifies records for transfer to WCRO which are currently not transferred to WCRO on a regular basis if at all.

Whilst the collection contains a good volume of records created by the Church of England; records of other faith groups are poorly represented, and their paucity is a major weakness. The holding for records created by the Church of England whilst extensive does have gaps.

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Similarly, whilst WCRO holds a large number of collections of primary schools across the county it holds only a small number of collections of secondary schools.

There is only a small quantity of records of small and medium sized businesses and this is an area of collecting that could be developed further. The mining industry is significant in the history of Warwickshire and beyond the significant collections deposited by the National Coal Board and Warwickshire Miners' Association there is a significant gap in the holdings representing this important local industry. WCRO is unaware of the existence of such records beyond those it holds.

Whilst WCRO does hold public records its holdings are not comprehensive and more consistent collecting from NHS trusts would provide more comprehensive hospital records. Storing such records indefinitely and making them available for inspection, as appropriate, ensures scrutiny and accountability for such record creating bodies.

WCRO also holds no collections directly representing ethnic minority communities of Warwickshire. Collecting these records ensures a more accurate representation of the county is recorded for posterity and future interpretation and understanding.

7.3 Opportunities for the Records Office

WCRO is staffed by a professional, dedicated and experienced staff with a good knowledge of archival practice who have existing relationships with other WCC departments. These departments are key partners in ensuring the ongoing transfer of appropriate WCC records.

WCRO moved to the Resources Directorate in 2018. This move has presented the opportunity to strengthen and renew existing relationships particularly with colleagues in the library service and also to create new relationships with other WCC departments. The new relationship with the registration service has allowed us to explore the potential benefits of WCRO storing historic registers.

The continuation of the development of a robust and sustainable solution for digital preservation will allow WCRO to collect appropriate records in a greater range of formats to ensure all appropriate records are preserved.

Schedule 2 Part 6 of the **Data Protection Act 2018** contains an exemption from certain individual rights when processing personal information for 'archival purposes in the public interest'. For example, an individual is unlikely to have the right to have their own information deleted/destroyed if the information is held in a record which is archived in the public interest. This new exemption and the high profile of GDPR/DPA will enable the

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depositing of collections where potential depositors have previously had reservations about doing so.

7.4 Threats for the Records Office

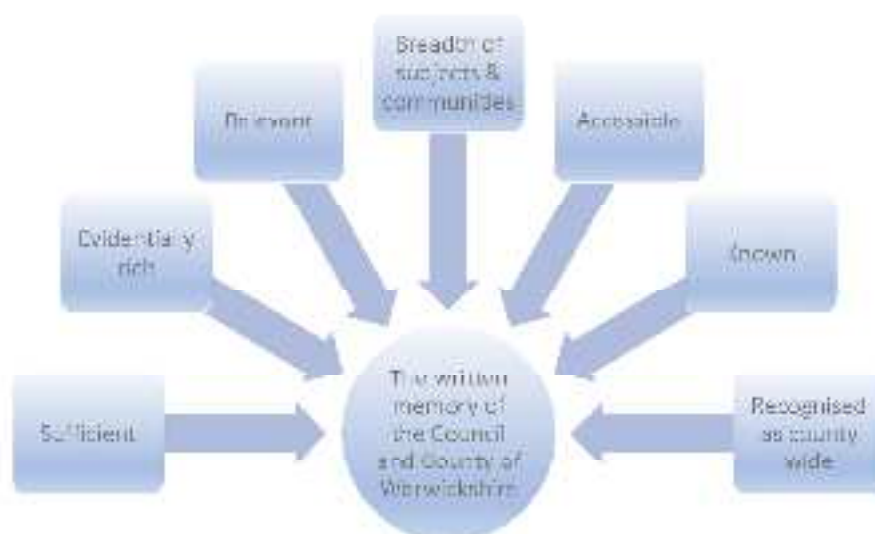
The limited amount of available strongroom space is affecting decisions to accept records. If further strongroom space is not found WCRO could have to stop accepting records. If this were to happen it would prevent WCRO fulfilling one of its core functions: the preservation of archive material.

The reduction in staff at WCRO means that there is less available staff time to commit to collection development. To ensure that WCRO discharges its duty to collection development it will investigate new way of working, this will include investigating increased levels of contact with depositors, developing links with different community groups and themed collections weeks.

The establishment of Adoption Central England (ACE) has seen a change in the way records pertaining to adoption in Warwickshire are processed and stored. It is vital that these records are still transferred to WCRO at the appropriate point in their lifecycle and WCRO will liaise with ACE to set up a process for this.

8 Priorities for Future Collecting

WCRO's aspiration for its collections is to be the core documentary heritage resource for Warwickshire. To do so it needs to have a number of characteristics as the following diagram describes:



Warwickshire County Record Office Collection Development Policy

WCRO intends to overhaul its acquisition of records from Warwickshire County Council (WCC) to create an acquisition process that is comprehensive in its coverage of WCC departments, coherent in the range of records collected and on-going to ensure a continuous record of the WCC is maintained.

It is crucial that WCRO reflect the records of the emerging industries within Warwickshire, notably the computer games industry based in Leamington Spa. It is therefore necessary for WCRO to develop relationships with such companies in order to facilitate the transfer of permanent records at the appropriate point in their lifecycle.

It is important to secure the record of significant Warwickshire businesses that are closing down or in the process of decline. These records are at real risk of being permanently lost if contact is not made before the businesses have closed.

A similar proactive collecting must be carried out with school records to ensure that records are transferred to WCRO when the school no longer have a business need for them. If not, the records are at risk of being permanently lost.

The census data from 2011 shows that the four largest religions in Warwickshire are Christianity, Sikhism, Islam and Hinduism. Whilst the holdings for the Church of England are strong the holdings for other Christian denominations and the other three religions are poor.

The census data from 2011 show that nearly 6,000 people born in Poland are residents of Warwickshire. This is the largest community beyond those born in the United Kingdom and the Republic of Ireland. WCRO will make contact with the Polish community and other communities which it has little or no contact with to discuss any records they create and the appropriateness of the records being at WCRO.

Whilst WCRO recognises that it does not hold sufficient records for the areas highlighted above it appreciates that the collection of such records must be completed in a structured rather than ad hoc fashion. To do so WCRO will research record creating bodies (see section 8.1).

Due to the robust appraisal WCRO completes when considering whether to accept records there are not significant holdings of records which currently need to be considered for disposal. There are however some small quantities of records spread across a number of collections that could be weeded. One of the aims of the annual closure period is to provide an opportunity to take stock and to work on issues such as these.

8.1 Enabling future collecting

Warwickshire County Record Office Collection Development Policy

To ensure WCRO achieves its collection development aspirations it will need to take the following practical steps:

- Whilst the transfer of records created by WCC departments occurs on a regular basis it does so in a piecemeal fashion. WCRO will prioritise improving the arrangements for the transfer of records from WCC departments. WCRO has assisted WCC's Records Management Service with the updating of WCC's retention schedule and will continue to work with them to improve the transfer of records as identified by the retention schedule
- WCRO and WCC have demonstrated a commitment to digital preservation and will conclude its second digital preservation project in 2020. Digital preservation, especially in regard to WCC records and public records, remains a priority. The establishment of procedures for the transfer and storage of digital born WCC records and public records will be a key focus for collection development
- Presently, the level of contact with existing depositors varies depending on the number of queries received regarding their collections. The feasibility of improving contact with potential and existing depositors will be examined. WCRO will identify the most appropriate means of re-establishing and nurturing positive relations with key depositors, as resources allow.
- WCRO recognise that despite ongoing efforts the records it holds are not entirely representative of the communities of Warwickshire. To ensure a more coordinated approach to collecting records which are more representative of the communities of Warwickshire research will be completed to identify record creating bodies within the five districts and boroughs of Warwickshire (North Warwickshire Borough; Nuneaton and Bedworth Borough; Rugby Borough; Stratford-upon-Avon District and Warwick District). The findings of the research will be used to inform the review of the current policy.

9 Review

The Collection Development Policy will be reviewed within five years of the latest date of revision.

Cabinet

30 January 2020

Warwickshire Museum Service Collection Development Policy

Recommendation

That Cabinet:

- 1) Considers, comments and endorses the direction for Warwickshire Museum Service (WMS) and,
- 2) approves the draft WMS Collection Development Policy.

1.0 Purpose of Report

- 1.1 This report seeks Cabinet's feedback and endorsement of a revised WMS Collection Development Policy (attached as Appendix A).

2.0 Executive Summary

2.1 Background

- 2.1.1 WMS both helps with the understanding of the past and with the shaping of the future for Warwickshire. The main ways it achieves this is the collecting, safeguarding and making accessible artefacts and associated information on the county of Warwickshire for the benefit of the wider community, present and future.
- 2.1.2 The main point of access to the WMS collection for the public is the Market Hall Museum, Warwick. This reopened in February 2017 after an extensive refurbishment. Since reopening visitor numbers have dramatically increased. Between April 2018 and March 2019, 72,303 people visited the Market Hall Museum.
- 2.1.3 WMS also has a presence on the ground floor of St. John's House, Warwick. Whilst this site is no longer fully open to the public it does host organised visits, predominantly by school groups. Between April 2018 and March 2019 3,364 children attended as part of a school group.
- 2.1.4 Organised activities also take place at the Market Hall Museum. Between April 2018 and March 2019 433 children attended sleepovers and 123 events took place for children and families.

- 2.1.5 In 2004, the Roman Alcester Heritage Museum was opened in Alcester at Globe House, with a grant from the Heritage Lottery Fund. It is managed by the Alcester Heritage Trust, under a bipartite agreement with Warwickshire County Council (WCC). Objects from WMS collections (mainly Roman but including prehistoric and early medieval in date) are displayed there on renewable loan agreements.
- 2.1.6 The WMS collections contain over 800,000 items. Those items not on display are stored at the WMS store at Montague Road, Warwick. The Collection Development Policy contains an overview of the collections held by WMS.
- 2.1.7 The Heritage & Culture Strategy 2020 – 2025 which was recently endorsed by Cabinet presents an excellent opportunity for WMS. The Strategy sets out the following vision:

By 2025 Warwickshire will have a thriving, innovative and creative heritage and culture sector working collaboratively to develop and deliver a rich, high quality, accessible heritage and cultural offer for all who live, work and visit Warwickshire

- 2.1.8 The vision is underpinned by the following objectives:

- ***To create the conditions to enable a thriving, innovative and creative heritage and culture sector***
- ***To empower the heritage and culture sector to support the county council in transforming the way services are designed and delivered for the benefit of all who live, work and visit Warwickshire***

2.2 Why do we need a Museum Collection Development Policy?

- 2.2.1 The draft Collection Development Policy governs what WMS does and does not collect. It ensures that sound curatorial reasons are established before consideration is given to any acquisition to the collection, or the disposal of any items in the museum's collection.
- 2.2.2 The Policy will provide a framework for managing the collections to enable WMS to:
- Maintain its high standards in regard to collecting, documenting and exhibiting and interpreting material.

- Build on its good performance in providing a safe and welcoming community facility, in engaging younger people with collections and in developing partnerships with other heritage / museum organisations
- Improve on its performance in engaging adults with collections, in outreach and other services outside the museum and in advocating for itself and its collections

2.3 Analysis of Warwickshire Museum Service

2.3.1 WMS seeks to ensure that it is collecting, safeguarding and making accessible artefacts and associated information on the county of Warwickshire. There are both strengths and weaknesses in the current practice of WMS in regard to achieving this.

Strengths	Weaknesses
<p>Good proactive approach to collecting material in accordance with its Collection Development Policy</p> <p>Documenting of newly acquired material and the recording of the available details</p> <p>Exhibition and interpretation of collections in both permanent and temporary displays</p>	<p>Presentation of WMS website</p> <p>Opportunities for interaction with WMS beyond visiting the Market Hall Museum are limited</p> <p>Opportunities for collection engagement for adult audiences whilst present are limited</p> <p>WMS needs to improve its ability to advocate for itself and its collections</p>
Opportunities	Threats
<p>Professional, dedicated and experienced staff with a good knowledge of museum practice</p> <p>Move to the Resources Directorate in 2018 has presented the opportunity to strengthen and renew existing relationships particularly with colleagues in the library service</p> <p>New Heritage and Culture Strategy for the County Council presents an opportunity for WMS to work with a wider range and number of organisations and partners across</p>	<p>The reduction in staff at WMS means that staff are now covering a wider range of subject specialisms than they have traditionally.</p> <p>The two curators in addition to being responsible for a larger number of collections are also responsible for leading on exhibitions and access.</p> <p>WMS is likely to run out of storage in the next few years - the quantity of material discovered in Warwickshire during the construction of HS2 and in turn how it will be distributed is unknown</p>

Warwickshire	
Redesigning of the website will allow WMS to increase its profile and make it easier for the public to know how to access the collections	If WMS were to run out of storage space it would be unable to fulfil one of its core functions: collecting and safeguarding artefacts and associated information

2.4 Refocussing of WMS

- 2.4.1 The draft WMS Collection Development Policy will provide a framework to ensure that collecting is focussed, and the management of the collection allows WMS to refocus its activities to ensure it better responds to and represents the diverse communities which make up Warwickshire whilst continuing to be an accredited service.

As is	To be
Exhibitions are created in a considered fashion, taking in to account major events (e.g. Coventry being the City of Culture) but there is no long-term programming.	Exhibitions will be created in accordance with a five-year exhibition programme which will be start in April 2020. This programme will consider important local, national and international events and anniversaries and will be reflective of staff capacity
The creation of exhibitions is led by WMS staff, sometimes with the support of colleagues in other areas of HCW. Occasionally, as part of specific projects, members of local communities participate in the creation of exhibitions.	HCW is undertaking a piece of work to create an Audience Development Framework. The Framework will allow WMS to start to work more closely with communities to allow co-creation of exhibitions. In time this co-creation will be an embedded part of the practice of WMS in creating exhibitions.
The reopening of the Market Hall Museum in February 2017 has been a great success in regard to numbers accessing the collections	The Heritage & Culture Strategy and the Audience Development Framework, in conjunction with the revised Collection Development

but the diversity of those accessing the museum collections is limited.	Policy, will increase the diversity of those who interact with WMS collections
The majority of those accessing the collections do so at the Market Hall Museum	<p>The Heritage & Culture Strategy will ensure that the WMS will collaborate with other organisations, especially heritage organisations, across Warwickshire.</p> <p>These partnerships will increase the number of venues where people can access WMS collections. This will increase the number of locations outside of Warwick where people can view the collections and provide points of access across Warwickshire.</p>

3.0 Conclusions

- 3.1 The draft Museum Collection Development Policy sets out a clear rationale for how WMS manages its collections strengthening WMS ability to fulfil its role and discharge its responsibilities. In doing so, WMS will support residents of Warwickshire in enriching their lives and contributing to strong and resilient communities. In addition, to positively affecting people's lives WMS will be better placed to increase the contribution it makes to the local economy.
- 3.2 The draft Policy supports the organisation in achieving its goal of being the best it can be by collecting and making available artefacts which will provide an understanding of the past and inform the shaping of the future for Warwickshire.
- 3.3 This draft Policy also aligns with the Heritage & Cultural Strategy 2020 - 2025 as it recognises the need to engage with a wider range of stakeholders to ensure relevance to contemporary Warwickshire.

4.0 Financial Implications

- 4.1 There are no financial implications for the draft Policy itself, however, any long-term storage solutions identified may have a capital cost and potentially a revenue cost. This will need to be scoped and quantified so the priority for

investment can be considered alongside the other options for the use of the Council's available resources.

5.0 Environmental Implications

- 5.1 There are no environmental implications for the draft Policy itself, however, any long-term storage solutions identified will meet key sustainability requirements and best practice in this area.

Appendix

Draft Museum Service Collection Development Policy

Background papers

None

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

Councillors Cockburn, Shilton, Roodhouse, Holland, Chilvers, Fradgley and Phillips



Accreditation Scheme for Museums
and Galleries in the United Kingdom

Warwickshire Museum Collections Development Policy 2020 - 2025

Name of Museum:

Warwickshire Museum

Name of Governing Body:

Warwickshire County Council

Date on which this Policy was approved by Warwickshire County Council Cabinet:

Day/month/2020

Policy review procedure:

The Museum Collections Development Policy will be published and reviewed from time to time and at least once every five years

Date at which this policy is due for review:

Day/month/2025

Arts Council England will be notified of any changes to the Collections Development Policy and the implications of any such changes for the future of collections.

1

Relationship to other relevant policies/ plans of the organisation:

1.1 The Museum's statement of purpose is:

To collect, safeguard and make accessible artefacts and associated information on the county of Warwickshire for the benefit of the wider community, present and future

1.2 The Governing Body will ensure that both acquisition and disposal are carried out openly and with transparency

1.3 By definition, the Museum has a long-term purpose and holds collections in trust for the benefit of the public in relation to its stated objectives. The Governing Body therefore accepts the principle that sound curatorial reasons must be established before consideration is given to any acquisition to the collection, or the disposal of any items in the Museum's collection

1.4 Acquisitions outside the current stated Policy will only be made in exceptional circumstances

1.5 The Museum recognises its responsibility, when acquiring additions to its collections, to ensure that care of collections, documentation arrangements and use of collections will meet the requirements of the Museum Accreditation Standard. This includes using Spectrum primary procedures for collections management. It will take into account limitations on collecting imposed by such factors as staffing, storage and care of collection arrangements

1.6 The Museum will undertake due diligence and make every effort not to acquire, whether by purchase, gift, bequest or exchange, any object or specimen unless the Governing Body or responsible officer is satisfied that the Museum can acquire a valid title to the item in question

1.7 The Museum will not undertake disposal motivated principally by financial reasons

2. History of the Collections

The Warwickshire Natural History and Archaeological Society (WNHAS) was established in 1836 and began collecting archaeological and natural science material shortly afterwards. The Collection was originally worldwide in its scope and provenance and is now referred to as 'the historical collection'. The mission of WNHAS was essentially to 'bring the world to Warwickshire'.

The Collection was transferred to the Warwickshire Museum when it was created by Warwickshire County Council in 1932. Since then collecting has focused on objects and specimens with Warwickshire provenance, association, connections or relevance. Nowadays the focus is on 'bringing Warwickshire to the world', through our county-focused collecting policy, and wide-ranging interpretation media.

One of the more notable members of the WNHAS was Reverend Peter Bellinger Brodie, honorary curator for the society during the latter part of the nineteenth century, who amassed nationally and internationally significant collections of Warwickshire fossils. These include fossils from the local Triassic and Jurassic rocks, the latter including a near complete fossil plesiosaur skeleton from the village of Wilmcote, and Triassic reptiles and amphibians from Warwick. The late 20th century saw the addition of the Truslove Collection of minerals, the geological collections of North Warwickshire College, Leamington Museum and Art Gallery and that of Mr David Hughes.

Another important collection acquired during this time was the Perry Herbarium of wild plants. Among the historic archaeological collections, a small but interesting assemblage of Ancient Egyptian artefacts and remains were brought together by various society members, and an important bequest of stone tools was donated by Reverend J.M. Mello in 1914. Among significant individual objects there is also a well-known Giant Irish Deer skeleton which was acquired in 1866.

During the 1930s the natural history collections were further strengthened by significant contributions to the herbarium by local naturalists. The most notable additions to the taxidermy collection were the cased birds and mammals, with equipment and historical information connected with the local taxidermy firm of Spicer. Most of the foreign zoology material was transferred to the Herbert Art Gallery and Museum (Coventry) in 2003.

The main growth in the archaeology collections came in the mid-1960s with an increase in road and housing development that brought significant Roman assemblages come from the kiln sites of Mancetter and the extra-mural excavations at Alcester. The numismatic collections include coins from the early English mint at Warwick and the Newdigate collection of Classical Greek and Roman coins acquired in 1958.

A small ethnography collection was transferred to other museums in the 1970s.

The founding WNHAS collections included very little that would be described today as 'social' history. Much of the collecting of objects and narratives from more recent local history (including costume and textiles) began towards the middle of the 20th century. Jocelyn Morris, curator from 1948 to 1977 influenced a number of key acquisitions at this time. Significant additions include the Hans Frei lute (16th century); the Nicholas Paris guns (17th- 18th century) and the Sheldon Tapestry map of Warwickshire (16th century), purchased in 1961. In addition, in 1987, Warwickshire Museum acquired a large collection of dolls and toys from Joy Robinson and Peggy Nesbitt.

Roman Alcester Heritage Museum

In 2004, the Roman Alcester Heritage Museum was opened in Alcester at Globe House, with a grant from the Heritage Lottery Fund. It is administered by the Alcester Heritage Trust, under a bipartite agreement with Warwickshire County Council. Objects from the Warwickshire Museum collections (mainly Roman but including prehistoric and early medieval in date) are displayed there on renewable loan agreements.

3

An overview of current collections

The focus of current collection is on the county of Warwickshire, its inhabitants and landscapes, and the stories they tell. Although some of the early WNHAS material strictly does not comply with present-day collecting criteria it is still used for interpretation and learning activities, and helps tell the story of the Museum's past.

3.1 Archaeological Collections

The collections are especially strong in Palaeolithic, Roman, Early Saxon and Medieval material. As the Museum is the main repository for archaeological archives in the county (with the exception of Rugby town and specific parishes) a significant proportion of new acquisitions are through developer-funded excavations. These projects often bring a paper (and digital) record, along with a small number of artefacts retained for future reference/ research.

The important Roman sites of Alcester, Mancetter and Coleshill are well represented within the museum's collections (c.12,000 objects) and investigations continue in these archaeologically sensitive areas.

The Palaeolithic collection is of international importance with finds from the sites at Waverley Wood and Wood Farm quarries (c.50 artefacts) and donations from Mr R B Waite of stone implements from northern Warwickshire (c.40 objects).

The Anglo-Saxon collections include material from three main cemetery site excavations at Stretton-on-Fosse (c.50 objects), Wasperton (c.200 objects) and Bidford-on-Avon (c.150 objects). Excavations on Medieval urban and rural sites combined with chance finds have produced a large collection of approximately 10,000

artefacts. The introduction of the new Treasure Act in 1997 has led to a small but significant number of objects of gold and silver being acquired for the museum's collections.

3.2 Numismatics

Today the numismatics collection comprises over 10,000 coins and is among the larger collections in West Midland museums. Warwickshire Museum continues to collect coins from excavated sites and where funds are available, important coin hoards identified through the 1996 Treasure Act. In 2011, the Museum was able to acquire the first South Warwickshire Roman hoard of 1146 republican and early imperial silver denarii. A second hoard of 440 denarii from the same site was discovered during excavations, and this has also been acquired for the collections.

3.3 Natural History

The Botany collections consist of a very fine herbarium now containing about 40,000 specimens mainly of flowering plants and fungi, including voucher collections and many 'first county records'. This includes material transferred from the Herbert Art Gallery and Museum in 2003.

Zoology specimens now number close to 32,000 in total. Nearly 1000 are vertebrate items, mounted animals, nests, eggs and skeletons. The rest is invertebrates, comprising mainly pinned insect collections made by local entomologists, but also some British shells, a growing economic reference collection of pest species and a small spirit collection. Apart from Lepidoptera, the insect collection is generally limited.

3.4 Geological Collections

The early collections form the bulk of the present-day collection but collecting continues in all areas. In recent decades, notable additions include the fossil collection of Mr Peter Blake, and local dinosaur remains transferred from the Birmingham Museum and Art Gallery.

The collections total about 15,000 specimens made up of approximately 9,000 fossils, 4,000 minerals, 1,000 rocks and a small number of man-made materials (furnace products, e.g. 'slag'). In scientific terms, the main strengths of the collections lie in Triassic vertebrate fossils and Lower Jurassic fossils in general.

3.5 Photographic Collections

The collection comprises photographic images in several forms; 35 mm slides and larger transparencies, black and white prints, colour prints, negative film, glass negatives and digitally stored images. A substantial part of the non-digital collection, including the glass negatives and earlier prints, was transferred to the care of the County Record Office in 2003/2004.

3.6 Costume & Textiles

This includes approximately 5000 items of women's costume, menswear, children's clothes, accessories, and textiles such as samplers and quilts – all within the date range 1600 to the present day. It is one of the region's more significant collections and includes the Sheldon Tapestry Map of Warwickshire c1588.

3.7 Dolls and Toys

Within the collection there are approximately 1700 items of dolls, toys and games dating from the late 18th century to the present day. As well as the Joy Robinson collection, purchased in 1987, the Museum also acquired the Cyril Hobbins collection in 2008. Other additions have come mainly from donations from members of the public. It is of regional, and possibly national, significance.

3.8 Social History

This is now an extensive collection comprising approximately 11,300 items which are sub-divided into the four categories of Community Life, Domestic & Family Life, Personal Life and Working Life. Most fall within the main date range of 1850-1950.

3.9 Paintings, Drawings and Prints

The Museum owns a small collection of paintings, prints and drawings – the most notable being portraits by Allan Ramsay, and the remainder being of local people and scenes.

3.10 Musical instruments

There are a small number of musical instruments of national/international significance, including a lute by Hans Frei and a harpsichord by Herman Tabel.

4

Themes and priorities for future collecting

4.1 Archaeology

Future archaeological acquisitions will be governed in the main by external factors, such as the continuance of developer-funded fieldwork and the donation of finds by landowners. It is therefore not possible to collect actively in a significant way.

Collections from scientific excavations: Material will be acquired from properly controlled scientific archaeological excavations and fieldwork carried out by Archaeology Warwickshire or from other bodies carrying out field projects within the county. All such bodies should be aware of and abide by the Museum's Conditions for the Acceptance of Archaeological Archives and Guidelines for their Presentation, which include criteria for the selection and

retention of finds. In 2011, Warwickshire Museum introduced a charge for the deposition of archaeological archives, which contributes towards the long-term curation of the archives. It is intended that arrangements will be made for digital data to be deposited with the Archaeological Data Service (ADS).

Warwickshire Museum is the designated museum for the deposition of archaeological archives for the County. However, there is currently an agreement that Rugby Art Gallery and Museum will collect archaeological material from the town of Rugby and immediately surrounding parishes, as outlined in their acquisitions and disposal policy. Also, Warwick District Council has an interest in collecting further material from Kenilworth Abbey if it enhances their present collection.

Acquiring casual finds: Casual archaeological finds from the county will be acquired by gift, bequest, transfer or purchase. Private or historic collections of material may be considered if they have particular local relevance.

There are a number of criteria that will be adhered to when considering acquiring casual finds:

- The rarity and completeness of the object
- The existing knowledge of the period
- The existing knowledge of the site
- The potential use of the material for research and display
- Findspot information

The introduction of the Treasure Act procedures in 1997, and subsequent amendments and additions, has meant more objects deemed as Treasure have been offered to the Museum for acquisition. Suitability for the collection and the ability to raise the ex gratia payment (full market value of the item(s)) are the main factors in the decision whether or not to acquire material.

The Portable Antiquities Scheme, in which the Warwickshire Museum has been participating since 1997, has led to significant numbers of casual finds being reported, many through contact with metal detectorists. Wherever possible and appropriate, the Museum will seek to acquire by purchase or donation any objects which add significance to the collections, particularly Bronze and Iron Age metalwork and Medieval small finds, as well as to build on existing significant collections like that of Anglo-Saxon jewellery.

4.2 Numismatics

The Museum will continue to collect coins and tokens which were either found or used in Warwickshire. Efforts will be made specifically to acquire coins from the Warwick mint whenever they become available and if funding allows.

As with the archaeological collections, coins will be reported to the Museum through the Treasure Act and the Portable Antiquities Scheme, some of which the Museum may wish to acquire. Wherever possible and within stated collecting criteria the Museum will seek to obtain by purchase or donation individual coins and hoards which

fill gaps in the collections, particularly those of Iron Age and Anglo-Saxon date, and which build on existing significant collections.

4.3 Natural History

The present botany policy is to continue collecting Warwickshire flowering plants, ferns, mosses, liverworts, lichens, stoneworts and fungi as voucher material for county biodiversity. Fruits, seeds, timbers, economic and other associated material are to be included where representative of county biodiversity, and/or of human historical interest or display potential. Warwickshire Museum has been traditionally seen as the main repository for botanical material within the Coventry and Warwickshire sub-region, due to its good storage facilities and strong connection with local botanists and the Botanical Society of the British Isles. This role will continue.

The present zoology policy is to collect, where appropriate, examples of Warwickshire animals in all stages of life history and both sexes for reference, display and as voucher material. This also includes nests, bones, feeding remains, plant galls and associated material.

The Spicer taxidermy collection will be developed as opportunity arises. The Herbert Museum and Art Gallery, Coventry has traditionally been seen as the main repository for non-Lepidoptera insect material due to its good storage facilities and library. Warwickshire Museum will continue to support this arrangement for as long as it remains appropriate to do so.

For both botany and zoology, any supporting material such as letters, lists, diaries, notebooks and photographs will be collected too. Liaison will take place with the County Record Office as appropriate. Specimens of lower scientific value or quality and those lacking data will be considered for adding to the handling collection.

Photographic slides will continue to be added to the Natural History Slide Collection only where of sufficient quality and relevance, and where appropriate conditions of usage are attached. The museum will also acquire copyright and/or a clear audit trail of ownership and reproduction conditions.

4.4 Geology

Future collecting will concentrate upon well-documented rock, fossil and mineral specimens from Warwickshire that are not represented in the present collections, of better quality than existing holdings, or to preserve hitherto unrepresented features of geological or palaeontological significance. Collections of non-local material made by a collector with strong local connections may be considered, subject to the restrictions referred to earlier in this document. Non-local items may be acquired occasionally for comparative or handling purposes.

The mineral collection has a worldwide scope and new species, or items of high quality or great rarity may be added judiciously.

Future collecting of furnace waste products (slag, glass) will concentrate on well

documented local specimens that are not represented in the present collections.

Supporting material such as letters, lists, diaries, notebooks and photographs will also be collected, including purchasing if circumstances require and permit. Liaison will take place with the County Record Office as appropriate. Specimens of lower scientific value and/or those lacking data will be considered for adding to a handling collection.

Photographic slides will continue to be added to the Geology transparencies collection only where of sufficient quality, relevance, and where appropriate conditions of usage are attached. The museum will also acquire copyright and/or a clear audit trail of ownership and reproduction conditions, with respect to photographs and photographic slides.

4.5 Social History

The Museum will continue to collect social history items that illustrate the lives of Warwickshire people from the 16th century to the present day, including objects that may fill gaps within the existing collection. For example, the only items of furniture that will be acquired will be smaller pieces made by the Warwickshire Woodcarvers group that complement pieces that are already present.

Contemporary and active collecting will, when resources permit, be undertaken as part of community-based projects, which develop specific areas of the collection in a planned way and in partnership with local people. The use of new technologies such as digital photography and sound recording may be used to record areas of human experience which cannot be represented by objects alone.

Wherever possible, the museum will collect items with a known provenance. Supporting material such as photographs and personal stories will also be collected with each object to give it as full a context as possible.

Large and/or working objects, those in poor condition, duplicates of the current collection and those without a Warwickshire provenance will only be accepted in exceptional circumstances.

4.6 Costume and Textiles

The Museum will continue to collect historical costumes, accessories and textiles that reflect the lives of Warwickshire people from the 16th century to the present day, including objects that may fill gaps within the existing collection, for example male garments from across the period, but specifically from the late 18th to the early 19th centuries and from the late 20th to the 21st century.

Contemporary and active collecting of costume and textiles from diverse cultural communities in Warwickshire will, when resources permit, be undertaken as part of community-based projects. These will be targeted to develop specific areas of the collection in a planned way and in partnership with local people. Digital photography will be used to record objects and events which cannot be represented within the collections.

4.7 Paintings, Drawings and Prints

Neighbouring museums have good collections of paintings, prints and drawings, some of which relate to Warwickshire people and landscapes. In view of this, our own collection of prints and drawings will not be actively developed. However, occasionally, works of Warwickshire interest - particularly where these relate to objects/information already held in our collections – may be accepted.

4.8 Dolls and Toys

The Doll and Toy collection is a specialist collection of national significance. In 1987 the WMS purchased the Joy Robinson collection of dolls and toys – a private collection which had been built up over many years and displayed in Oken's House in Warwick as the 'Warwick Doll Museum'. Few of the items had a local connection. In order to develop this important collection, it may be appropriate to acquire items of a non-Warwickshire provenance.

For all disciplines the constraints on present and future collecting include size and suitability of available storage space, staffing levels and expertise, and resources. Consideration will also be made of how the item(s) can be used for display, interpretation, engagement and learning within Museum spaces and the wider county.

5

Themes and priorities for rationalisation and disposal

5.1 The museum recognises that the principles on which priorities for rationalisation and disposal are determined will be through a formal review process that identifies which collections are included and excluded from the review. The outcome of review and any subsequent rationalisation will not reduce the quality or significance of the collection and will result in a more useable, well managed collection.

5.2 The procedures used will meet professional standards. The process will be documented, open and transparent. There will be clear communication with key stakeholders about the outcomes and the process.

5.3 Archaeology

Themes and priorities with respect to archaeology are driven by the relevance of elements of the collections to the current collecting criteria and priorities and, to a lesser extent, pressures on storage space.

There are archives from excavations carried out before the 1990s, where the retention criteria for finds were not clearly defined – a 'collect everything' mind-set where significant quantities of unstratified and bulk material were retained and subsequently

transferred into the Museum collections. Much of this material has proven unnecessary to the future understanding and interpretation of a site, but as some sites remain unpublished and with post-excavation analysis still to be carried out, selection can only be done in consultation with specialists and as staff time allows.

The main priorities identified for rationalisation;

Animal bone from Alcester (principally excavations in the 1960s and 1970s)
Pottery (mortaria) from Mancetter-Hartshill kiln site excavations (1980s and earlier)
Medieval pottery from Warwick sites excavated in the 1960s

The main priorities for disposal;

Collections of material resulting from the rationalisation process (see above)
Accessioned objects with no provenance or a non-Warwickshire (but UK) provenance
Unaccessioned objects which do not fit in with the current collecting criteria – this does not include objects from the Egyptology or Ancient Greek collections.

5.4 Numismatics

As with the archaeology collection, relevance rather than space-saving criteria will be the driver in any future review.

5.5 Natural History

The main focus will be the taxidermy collection, where a framework will be drawn up with which to assess items. Those of a lower quality, together with damaged or unprovenanced specimens will be identified for potential disposal.

5.6 Geology

There remains a small quantity of unprovenanced rock and fossil specimens that will be assessed for potential disposal. Attention will also be given to the county's Geological Record – a database of around 1800 geological sites across the county – to see whether it might be better positioned with either the Warwickshire Geological Conservation Group or the County Ecologists in terms of access and potential use, subject to discussions with the parties involved.

5.7 Costume and Textiles

The Warwickshire Museum has a collection of some 500 dresses dating from the eighteenth century to the present day. It was known that some of these were either in poor condition, duplicated better examples or lacked a Warwickshire provenance, and so an extensive review of 82 examples from the dress collection was conducted in 2018. This made use of a Costume Collection Review Grid that was devised by the service's former Keeper of Social History working alongside the current Curator of Human History.

The result of the exercise was a shortlist of dresses for potential de-accessioning, with a limited number being retained for study use.

5.8 Social History

Over the past ten years, Social History has undertaken rationalisation and disposal as part of a planned programme of improvements to storage and documentation. These have included a number of unaccessioned agricultural items as well as a farm cart that was successfully transferred to Chedham's Yard, Wellesbourne.

A group of firearms, which entered the Museum collections via police amnesties in the 1960s and 1980s, has been identified for disposal as they have no provenance or relevance to Warwickshire. This will require further consultation with outside bodies to ensure that all legal requirements are met before disposal is undertaken.

6 Legal and ethical framework for acquisition and disposal of items

- 6.1 The museum recognises its responsibility to work within the parameters of the Museum Association Code of Ethics when considering acquisition and disposal.

7 Collecting policies of other museums

- 7.1 The museum will take account of the collecting policies of other museums and other organisations collecting in the same or related areas or subject fields. It will consult with these organisations where conflicts of interest may arise or to define areas of specialism, in order to avoid unnecessary duplication and waste of resources.

- 7.2 Specific reference is made to the following museums:

Rugby Museum and Art Gallery
Nuneaton Museum and Art Gallery
Culture Coventry
Leamington Spa Art Gallery and Museum
Birmingham Museums Trust
Shakespeare Birthplace Trust

8 Archival holdings

- 8.1 As the Museum holds archives in the form of photographs and printed ephemera it will be guided by the Code of Practice on Archives in Museums and Galleries for Museums and Galleries in the United Kingdom (3rd edition

2002).

9

Acquisition

- 9.1** The policy for agreeing acquisitions is that day-to-day decisions on additions to the collections are delegated to the curators of Human History and Natural Sciences, taking into account the scope of the existing collection, the conservation requirements of any new material and the acquisition guidelines as detailed in the Collections Development Policy.

The funding of any purchases requires reference to be made to the Development and Operations Manager, Heritage and Culture Warwickshire. External grant funding will be sought whenever appropriate.

- 9.2** The museum will not acquire any object or specimen unless it is satisfied that the object or specimen has not been acquired in, or exported from, its country of origin (or any intermediate country in which it may have been legally owned) in violation of that country's laws. (For the purposes of this paragraph 'country of origin' includes the United Kingdom).

- 9.3** In accordance with the provisions of the UNESCO 1970 Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property, which the UK ratified with effect from November 1 2002, and the Dealing in Cultural Objects (Offences) Act 2003, the museum will reject any items that have been illicitly traded. The Governing Body will be guided by the national guidance on the responsible acquisition of cultural property issued by the Department for Culture, Media and Sport in 2005.

10

Human remains

- 10.1** As the museum holds or intends to acquire human remains from any period, it will follow the procedures in the 'Guidance for the care of human remains in museums' issued by DCMS in 2005.

11

Biological and geological material

- 11.1** So far as biological and geological material is concerned, the museum will not acquire by any direct or indirect means any specimen that has been collected, sold or otherwise transferred in contravention of any national or international wildlife protection or natural history conservation law or treaty of the United Kingdom or any other country, except with the

express consent of an appropriate outside authority.

12

Archaeological material

- 12.1** The museum will not acquire archaeological material (including excavated ceramics) in any case where the Governing Body or responsible officer has any suspicion that the circumstances of their recovery involved a failure to follow the appropriate legal procedures.
- 12.2** In England, Wales and Northern Ireland the procedures include reporting finds to the landowner or occupier of the land and to the proper authorities in the case of possible treasure (i.e. the Coroner for Treasure) as set out in the Treasure Act 1996 (as amended by the Coroners & Justice Act 2009).

13

Exceptions

- 13.1** Any exceptions to the above clauses will only be because the museum is:
- acting as an externally approved repository of last resort for material of local (UK) origin
 - acting with the permission of authorities with the requisite jurisdiction in the country of origin

In these cases, the museum will be open and transparent in the way it makes decisions and will act only with the express consent of an appropriate outside authority. The museum will document when these exceptions occur.

14

Spoliation

- 14.1** The Museum will use the statement of principles 'Spoliation of Works of Art during the Nazi, Holocaust and World War II period', issued for non-national museums in 1999 by the Museums and Galleries Commission.

15

The Repatriation and Restitution of objects and human remains

- 15.1** The Museum's Governing Body, acting on the advice of the Museum's professional staff, if any, may take a decision to return human remains (unless covered by the 'Guidance for the care of

human remains in museums' issued by DCMS in 2005), objects or specimens to a country or people of origin. The Museum will take such decisions on a case by case basis; within its legal position and taking into account all ethical implications and available guidance. This will mean that the procedures described in 16.1-5 will be followed but the remaining procedures are not appropriate.

- 15.2** The disposal of human remains from museums in England, Northern Ireland and Wales will follow the procedures in the 'Guidance for the care of human remains in museums'.

16

Disposal procedures

- 16.1** All disposals will be undertaken with reference to the Spectrum primary procedures on disposal.
- 16.2** The Governing Body will confirm that it is legally free to dispose of an item. Agreements on disposal made with donors will also be taken into account.
- 16.3** When disposal of a museum object is being considered, the Museum will establish if it was acquired with the aid of an external funding organisation. In such cases, any conditions attached to the original grant will be followed. This may include repayment of the original grant and a proportion of the proceeds if the item is disposed of by sale.
- 16.4** When disposal is motivated by curatorial reasons the procedures outlined below will be followed and the method of disposal may be by gift, sale, exchange, or as a last resort – destruction.
- 16.5** The decision to dispose of material from the collections will be taken by the Governing Body only after full consideration of the reasons for disposal. Other factors including public benefit, the implications for the museum's collections and collections held by museums and other organisations collecting the same material or in related fields will be considered. Expert advice will be obtained and the views of stakeholders such as donors, researchers, local and source communities and others served by the Museum will also be sought.
- 16.6** A decision to dispose of a specimen or object, whether by gift, exchange, sale or destruction (in the case of an item too badly

damaged or deteriorated to be of any use for the purposes of the collections or for reasons of health and safety), will be the responsibility of the Governing Body of the Museum acting on the advice of professional curatorial staff, if any, and not of the curator or manager of the collection acting alone.

- 16.7** Once a decision to dispose of material in the collection has been taken, priority will be given to retaining it within the public domain. It will therefore be offered in the first instance, by gift or sale, directly to other Accredited Museums likely to be interested in its acquisition.
- 16.8** If the material is not acquired by any Accredited Museum to which it was offered as a gift or for sale, then the museum community at large will be advised of the intention to dispose of the material normally through a notice on the MA's Find an Object web listing service, an announcement in the Museums Association's Museums Journal or in other specialist publications and websites (if appropriate).
- 16.9** The announcement relating to gift or sale will indicate the number and nature of specimens or objects involved, and the basis on which the material will be transferred to another institution. Preference will be given to expressions of interest from other Accredited Museums. A period of at least two months will be allowed for an interest in acquiring the material to be expressed. At the end of this period, if no expressions of interest have been received, the Museum may consider disposing of the material to other interested individuals and organisations giving priority to organisations in the public domain.
- 16.10** Any monies received by the Museum Governing Body from the disposal of items will be applied solely and directly for the benefit of the collections. This normally means the purchase of further acquisitions. In exceptional cases, improvements relating to the care of collections in order to meet or exceed Accreditation requirements relating to the risk of damage to and deterioration of the collections may be justifiable. Any monies received in compensation for the damage, loss or destruction of items will be applied in the same way. Advice on those cases where the monies are intended to be used for the care of collections will be sought from the Arts Council England.

16.11 The proceeds of a sale will be allocated so it can be demonstrated that they are spent in a manner compatible with the requirements of the Accreditation standard. Money must be restricted to the long-term sustainability, use and development of the collection.

16.12 Full records will be kept of all decisions on disposals and the items involved and proper arrangements made for the preservation and/or transfer, as appropriate, of the documentation relating to the items concerned, including photographic records where practicable in accordance with Spectrum procedure on deaccession and disposal.

Disposal by exchange

16.13 The nature of disposal by exchange means that the Museum will not necessarily be in a position to exchange the material with another Accredited Museum. The Governing Body will therefore ensure that issues relating to accountability and impartiality are carefully considered to avoid undue influence on its decision-making process.

16.13.1 In cases where the Governing Body wishes for sound curatorial reasons to exchange material directly with Accredited or non-Accredited museums, with other organisations or with individuals, the procedures in paragraphs 16.1-5 will apply.

16.13.2 If the exchange is proposed to be made with a specific Accredited museum, other Accredited museums which collect in the same or related areas will be directly notified of the proposal and their comments will be requested.

16.13.3 If the exchange is proposed with a non-Accredited museum, with another type of organisation or with an individual, the museum will place a notice on the MA's Find an Object web listing service, or make an announcement in the Museums Association's Museums Journal or in other specialist publications and websites (if appropriate).

16.13.4 Both the notification and announcement must provide information on the number and nature of the specimens or objects involved both in the museum's collection and those intended to be acquired in exchange. A period of at least two months must be allowed for comments

to be received. At the end of this period, the Governing Body must consider the comments before a final decision on the exchange is made.

Disposal by destruction

- 16.14** If it is not possible to dispose of an object through transfer or sale, the Governing Body may decide to destroy it.
- 16.15** It is acceptable to destroy material of low intrinsic significance (duplicate mass-produced articles or common specimens which lack significant provenance) where no alternative method of disposal can be found.
- 16.16** Destruction is also an acceptable method of disposal in cases where an object is in extremely poor condition, has high associated health and safety risks or is part of an approved destructive testing request identified in an organisation's research policy.
- 16.17** Where necessary, specialist advice will be sought to establish the appropriate method of destruction. Health and safety risk assessments will be carried out by trained staff where required.
- 16.18** The destruction of objects should be witnessed by an appropriate member of the museum workforce. In circumstances where this is not possible, eg the destruction of controlled substances, a police certificate should be obtained and kept in the relevant object history file.



Cabinet**30 January 2020****Report and Recommendations of the
Climate Change Mitigation Task and Finish Group****Recommendation**

That Cabinet:

- 1) Provides clear direction through the Council Plan 2020-2025 to work alongside our partners to reduce the Council's carbon impact and that appropriate resources are dedicated to this work.
- 2) Makes climate change considerations a requirement for all council decisions, including capital investments, projects and commissioning exercises.
- 3) Develops improved baseline data and metrics so that we can make decisions and prioritise based on a continually improving understanding of our own carbon emissions and the wider impacts of Warwickshire.
- 4) Establishes a cross party group chaired by the Portfolio Holder for Environment and Heritage & Culture, to steer work on both climate change mitigation and adaptation.
- 5) Works with all partners including Parish and Town Councils, District and Borough Councils, Government, other authorities and the resident and business communities of Warwickshire to achieve real progress on climate change.
- 6) In principle, adopts the targets and actions set out in the report and in particular Appendix 5, and develops detailed and costed action plans for these, to be agreed and managed as part of the Council's business management processes

1. Report of the Task and Finish Group

- 1.1 The Climate Change Mitigation Task and Finish Group (The Group) began its work in September 2019 in response to Warwickshire County Council's declaration of a climate emergency in July 2019. The declaration committed the Council to reporting back to cabinet within 6 months with an initial action plan. This work has run alongside the climate change adaptation work.
- 1.2 The Group first carried out an exercise to establish the scope of its initial work. It decided that the early work should be targeted at improving the Council's own carbon impact, in order that the organisation can demonstrate and lead improvements across Warwickshire. A desktop study was used to gain an insight into the main

areas where the Council's activities emit carbon, the relative amounts, what degrees of control and influence we have, and what the data trends are.

- 1.3 Evidence shows that, across areas of the Council's direct emissions a 53% reduction of carbon emissions has been achieved between 2013/14 and 2018/19, a period of only 5 years. In addition, the Council is purchasing pure green electricity for all corporate buildings, meaning an effective reduction in carbon emissions over the 5 years of 82%.
- 1.4 There is still much more that needs to be done. The Council's impacts have been categorised into three main areas of: buildings and energy; travel and transport; and resources. Some impacts are due to fossil fuels being used by our own assets: for heating our buildings and fuelling our vehicle fleet. Also, many carbon emissions arise from the contracts we let; our staff traveling in the course of work and commuting and in all the things that we buy. Having established mechanisms for monitoring and reducing the Council's own emissions, the Council will be able to support partners and Warwickshire businesses and communities to reduce their own impacts.
- 1.5 The Group gathered evidence from officers from across the Council. At a workshop held in November 2019 attendees were asked to highlight mitigation work already being done, planned further work and longer-term work. From this, the detailed summaries within the main report were produced and have influenced the broad and area-specific recommendations, targets and actions.
- 1.6 The Group has produced cross-cutting recommendations that ask Cabinet to take a strategic approach to mitigation, drawing together opportunities identified across the organisation. In addition, there is an action plan of short to medium term projects and investments that will trigger the next phase of carbon reduction activity.
- 1.7 Reducing our carbon impact will involve all parts of the Council's activity and all members of staff. Only by putting carbon reduction at the centre of our planning and decision-making processes will we be able to achieve and lead a drive toward a low carbon county and improve Warwickshire's sustainability.

2.0 Financial Implications

- 2.1 There are potentially significant costs to the Council and the County for failing to act on climate change and investment now is likely to mitigate future revenue costs; however, the cost benefit of this in some cases is very difficult to quantify. Some of the actions and targets being proposed are already planned and funded through the Council's business planning and budgetary processes, others are likely to be supported by "invest to save" business cases, subject to capital funding being available. However, some schemes will not be self-financing but offer other benefits and where this is the case this will need to be clearly stated and evaluated.

- 2.2 Resources will be required to manage, coordinate and deliver the programme of projects on climate change and officers will need to decide how this is best organised. Detailed and costed action plans will need to be developed for any actions and targets adopted and these will be agreed and managed as part of the Council's business management processes.

3.0 Environmental Implications

- 3.1 The United Nations Intergovernmental Panel on Climate Change has warned that we have to make necessary changes to limit a rise in global temperatures to 1.5°C. Failure to act will see a marked increase in sea levels and flooding, extreme and abrupt changes to weather patterns, crop failures, extinctions of plant, insect and animal species and global economic disruption and crisis.
- 3.2 Consideration of the environment was a core element of the Group's work and the recommendations will have a very positive environmental benefit.

4.0 Conclusions

- 4.1 Climate change is a pressing issue for the Council and the whole of Warwickshire. The Council should push ahead with this important agenda but needs to ensure its ambitions are deliverable and made using sound business thinking. Showing clear action on climate change will help the Council to show leadership and move other organisations to action too.

Background Papers

None

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

Task and Finish Group members: Councillors Helen Adkins, Jonathan Chilvers, Daniel Gissane, Anne Parry, Dominic Skinner, Heather Timms and Adrian Warwick and also Councillors Judy Falp and Andy Sargeant.

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Report of the Climate Change Mitigation Task and Finish Group

Making Warwickshire Sustainable for Future Generations

Recommendations

That Cabinet:

- 1 Provides clear direction through the Council Plan 2020-2025 to work alongside our partners to reduce the Council's carbon impact and that appropriate resources are dedicated to this work.
- 2 Makes climate change considerations a requirement for all council decisions, including capital investments, projects and commissioning exercises.
- 3 Develops improved baseline data and metrics so that we can make decisions and prioritise based on a continually improving understanding of our own carbon emissions and the wider impacts of Warwickshire.
- 4 Establishes a cross party group chaired by the Portfolio Holder for Environment and Heritage & Culture, to steer work on both climate change mitigation and adaptation.
- 5 Works with all partners including Parish and Town Councils, District and Borough Councils, Government, other authorities and the resident and business communities of Warwickshire to achieve real progress on climate change.
- 6 In principle, adopts the targets and actions set out in the report and in particular Appendix 5, and develops detailed and costed action plans for these, to be agreed and managed as part of the Council's business management processes.

Executive Summary

The Climate Change Mitigation Task and Finish Group (The Group) began its work in September 2019 in response to Warwickshire County Council's (WCC's) declaration of a climate emergency in July 2019. The declaration committed the Council to reporting back to cabinet within 6 months with an initial action plan. This work has run alongside the climate change adaptation work.

The Group first carried out an exercise to establish the scope of its initial work. It decided that the early work should be targeted at improving the Council's own carbon impact, in order that the organisation can demonstrate and lead improvements across Warwickshire. A desktop study was used to gain an insight into the main areas where the Council's activities emit carbon, the relative amounts, what degrees of control and influence we have, and what the data trends are.

Evidence shows that, across areas of the Council's direct emissions a 53% reduction of carbon emissions has been achieved between 2013/14 and 2018/19, a period of only 5 years. In addition, the Council is purchasing pure green electricity for all corporate buildings, meaning an effective reduction in carbon emissions over the 5 years of 82%.

There is still much more that needs to be done. The Council's impacts have been categorised into three main areas of: buildings and energy; travel and transport; and resources. Some impacts are due to fossil fuels being used by our own assets: for heating our buildings and fuelling our vehicle fleet. Also, many carbon emissions arise from the contracts we let; our staff traveling in the course of work and commuting and in all the things that we buy. Having established mechanisms for monitoring and reducing the Council's own emissions, the Council will be able to support partners and Warwickshire businesses and communities to reduce their own impacts.

The Group gathered evidence from officers from across the Council. At a workshop held in November 2019 attendees were asked to highlight mitigation work already being done, planned further work and longer-term work. From this, the detailed summaries within the main report were produced and have influenced the broad and area-specific recommendations, targets and actions.

The Group has produced cross-cutting recommendations that ask Cabinet to take a strategic approach to mitigation, drawing together opportunities identified across the organisation. In addition, there is an action plan of short to medium term projects and investments that will trigger the next phase of carbon reduction activity.

Reducing our carbon impact will involve all parts of the Council's activity and all members of staff. Only by putting carbon reduction at the centre of our planning and

decision-making processes will we be able to achieve and lead a drive toward a low carbon county and improve Warwickshire's sustainability.

Warwickshire County Council declares a climate emergency

At Full Council on Thursday 25 July 2019, Warwickshire County Council unanimously declared a climate change emergency. As part of the declaration, the Council committed to establishing a cross party Climate Change Task and Finish Working Group (The Group) to report back to Cabinet with an action plan in six months. As part of this work the Council committed to work in collaboration to review and update transport plans for each District and Borough Council.

All the district and borough councils in Warwickshire have declared a Climate Emergency along with the West Midlands Combined Authority. Full details of the Council's declaration are given in Appendix 1.

This report details the work that The Group has undertaken to establish high-level baseline data, put forward some cross-cutting recommendations and lay out an action plan for initial projects and investments that will continue the downward trend of emissions from the Council's activities. Details of The Group and the activities are given in Appendix 2.

The Climate Change Adaptation Task and Finish Group has produced a separate report and recommendations.

Mitigation and Adaptation

There are two main policy responses to climate change: **mitigation** and **adaptation**. Mitigation addresses the root causes, for example by reducing greenhouse gas emission, while adaptation seeks to lower the risks posed by the consequences of climate change.

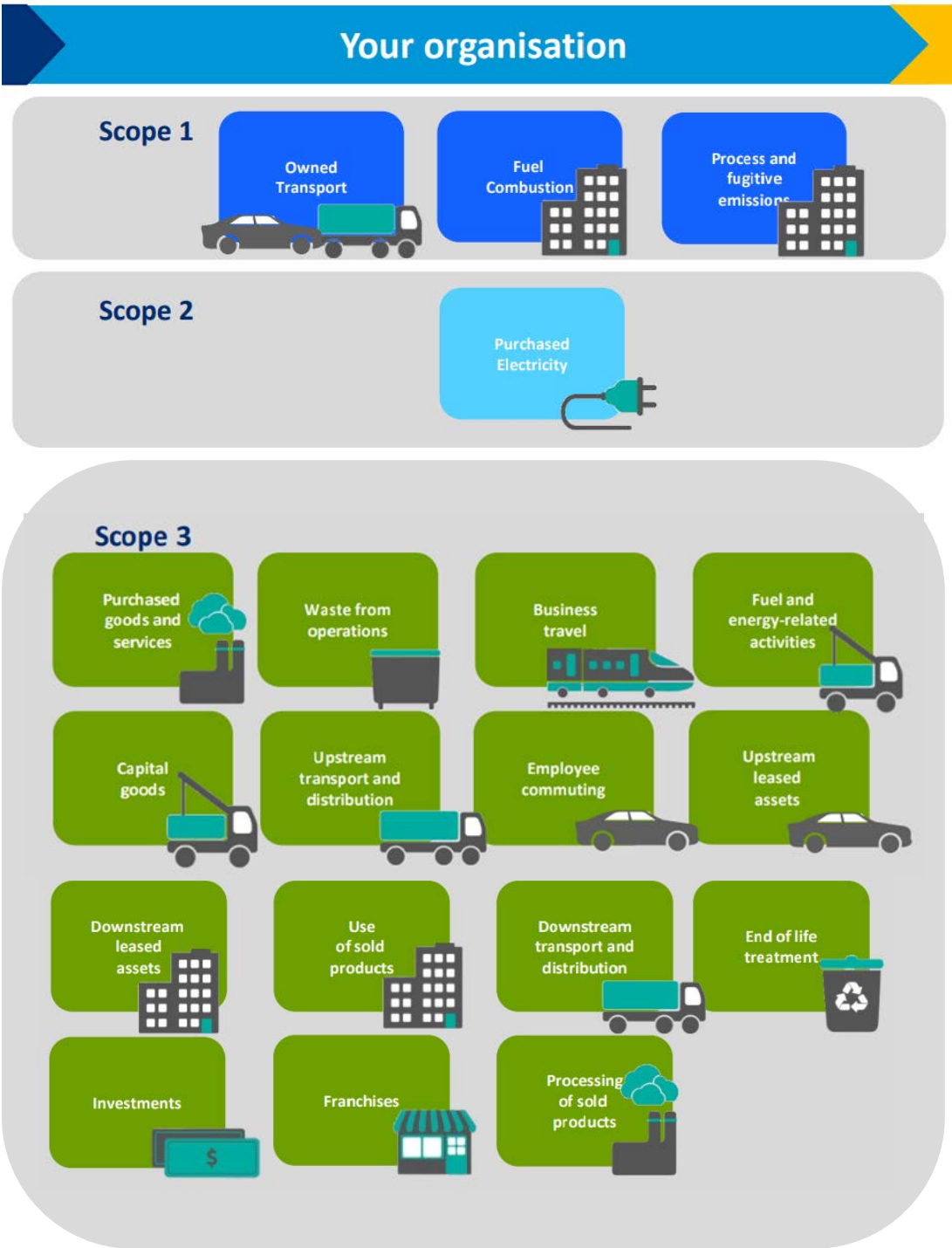
Scope of the Task and Finish group

The Group were tasked by Full Council to develop and bring proposals to Cabinet showing how WCC will move towards carbon neutrality. Greenhouse gas emissions, measured as carbon dioxide equivalents, are categorised as Scope 1- direct emissions, Scope 2 - indirect emissions from electricity production and Scope 3 - indirect emissions from the Council's purchased goods and services.

The Group decided that the review should focus on Scopes 1,2 and 3.

The Council has direct control of decisions regarding emissions from scopes 1 and 2. Scope 3 emissions can be indirectly controlled through policy, service design, commissioning, contract management and behaviour change.

Diagram 1: Pictorial representation of Scopes 1, 2 and 3



Climate change adaptation and air quality have been the subject of their own reviews; however, there are strong linkages that are recognised, and very close collaboration is required and planned.

The group determined to initially focus on areas where the County Council can have significant direct impact on its own emissions to maintain a manageable scope especially considering the tight timescale. Positive, early progress within our own operations will demonstrate to the wider Warwickshire communities, including business communities, that the County Council is leading on this important agenda.

Baseline Data

The authority has a fully certified ISO14001 Environmental Management System (EMS) that monitors and manages our environmental policy commitments of estate management, energy efficiency and resource efficiency. This EMS has been in place for over 10 years and produces regular management reports which drive continual improvement.

Data for scope 1 and 2 is has been collated and published over the past 5 years, both for the Council's obligations under building energy consumption reporting and for our EMS. This data is robust; however, it is also acknowledged that the science, technology and measurement of climate change mitigation needs further work, both nationally and locally. As we progress, the way we measure and benchmark our work will develop and align with emerging nationally agreed measurements.

WCC monitors the use of energy across our estate, including: offices, fire stations, libraries, museums, depots, household waste recycling centres, and country parks. An energy reporting system is used to quantify and report on energy use and carbon emissions from our properties. The database covers gas and electricity that we use in our buildings for space heating, hot water, cooling and ventilation, lighting, catering and office equipment.

The building energy reporting system currently does not include: schools, rural estates buildings, non-office country parks buildings, energy associated with water consumption or heating oil.

It is also recognised that sequestration or carbon offsetting has an important role to play in reducing our carbon impact and achieving zero net carbon. The Council maintains significant records detailing the county's habitats and biodiversity and also owns and maintains much grassland and woodland inc highway verges that absorb and store carbon. Carbon sequestration will be considered as part of our work on carbon emissions.

In the past 5 years, the Council's energy use across scopes 1 and 2 has reduced in total by 53% calculated in accordance with government guidelines. However, as we are purchasing pure green electricity, the carbon emissions are now effectively 82% less overall in 2019 than they were in 2013. This is good performance and we need to continue to reduce these emissions further in order to achieve net zero emissions and demonstrate strong leadership in managing our own operations.

Diagram 2: Scope 1 and 2 use of fuel and electricity in Warwickshire County Council

	WCC Emissions - Tonnes CO ₂ e 2013/14 - 2018/19						% change	Trend
	2013/2014	2014/2015	2015/2016	2016/2017	2017/2018	2018/19		
Scope 1								
Fossil fuel consumption (GAS) – corporate buildings	2820	2646	1957	2004	2006	1789	-37	
Owned transport	1554	1363	1274	823	1207	1230	-21	
Scope 2								
Purchased electricity	3766	3467	3762	2713	2315	2002	-47	
Streetlighting	8819	8812	7839	5902	4373	3020	-66	
Total	16959	16288	14832	11442	9901	8041	-53	

The carbon impact of the Council's onward supply chain for goods and services (Scope 3) is not known, because we do not yet have the baseline data or modelling expertise to calculate this, and further work is required to develop this.

Information on the carbon impact of the whole of Warwickshire is available on the gov.uk website and this shows that the whole county has a carbon impact of approximately 5.5 million tonnes every year. This mainly comes from business and domestic use of petrol, diesel, gas and electricity.

Further detailed baseline data can be found in Appendix 3.

Workshop findings

The Group held a workshop with officers in November 2019 to consider the many functions within Warwickshire County Council which have a marked influence on the Council's climate change impact. The attendees were drawn from across the Council, representing; Strategic Asset Management, Highways Engineering, Transport Planning and Operations, Ecology, Procurement, IT and Waste Management. Diagram 3 below shows the main topics the workshop focused on which are the key areas of the Council's carbon impact, both positive and negative.

Diagram 3: Map of key areas

Councillors and officers discussed our current performance and forecasted future priorities in the areas of Energy and Buildings; Travel and Transport; Resources. The workshop highlighted the good practice already undertaken across the Council and identified further opportunities. The ideas put forward are summarised in the detailed tables in Appendix 4.

It was clear from the baseline data and the workshop discussions that teams across the Council are already working to reduce energy use and make our processes and activities more efficient. WCC officers have expertise, enthusiasm and innovative approaches that can form the basis of further work to reduce our carbon impact. However, increased resources are required to adopt a whole-system approach to ensure carbon reduction is proactively planned and managed in order to move with pace on this important issue.

Potential Targets and Actions

Following the workshop, potential actions and targets were summarised and sent back to The Group for discussion and agreement. This work covers the Council's scope 1,2 and 3

carbon emissions (direct and indirect emissions) and also the emissions across the whole of Warwickshire. The detailed potential targets and actions are set out in Appendix 5.

Transport Plans

Part d) of the Council's climate change declaration refers to reviewing and updating transport plans for each of the District and Borough Councils in Warwickshire, to support them in building sustainable transport systems in recognition of the goal of moving towards carbon neutrality.

The County Council is currently reviewing the Area Transport Strategies which are broadly based on the geography of the five Warwickshire District/Boroughs. These will inform and ultimately become part of the Local Transport Plan (LTP), which itself is also in the process of being reviewed. Along with a number of economic and social objectives, the LTP will have environmental outcomes at its heart, including climate change, carbon reduction and improving air quality.

A number of the Area Transport Strategy reviews have either been completed or are underway. It is envisaged that approval of the remaining strategies will be subsumed into the wider LTP process, which is expected to conclude in Summer 2021.

Governance

The Group recognised the importance of this issue and the fact that it will impact everyone who lives, works or visits Warwickshire. Whilst central government has a pivotal part to play, the Council recognises its responsibilities to make local improvements to its own services and the influence we can have on the householders and businesses of the county.

To make real progress, strong and comprehensive governance is required and to lead this it is recommended that a cross-party standing group of members is established to cover both climate change adaptation and mitigation. Carbon reduction needs to be the responsibility of everyone in the Council and will be integrated into everything the Council does and all the decisions it makes. Embedding climate change into the Council Plan and making it an integral part of our plans, policies and strategies will be needed to ensure we achieve our ambitions in this area.

Climate change has many linkages across the work of the Council and strong coordination between different service areas will be required to ensure resources are effectively and efficiently deployed.

Resources will be required to manage, coordinate and deliver any adopted targets and actions. Coordination and joint working with partners, including Parish and Town Councils, District and Borough Councils, Government, other authorities as well as residents and business communities of Warwickshire, will be needed to achieve coordinated progress on climate change. A joint meeting with the District and Borough Council was held in December 2019 to discuss collaboration on climate change and more meetings are planned.

The Council has a certificated environmental management system and whilst this forms a good basis, we do need to improve our baseline data and metrics so we can prioritise based on a continually improving understanding of our carbon emissions.

Potential targets and actions for governance are included in Appendix 5.

Financial Implications

There are very significant costs to the Council and the County for failing to act on climate change and investment now is likely to mitigate future revenue costs; however, the cost benefit of this in some cases is very difficult to quantify. Some of the actions and targets being proposed are already planned and funded through the Council's business planning and budgetary processes, others are likely to be supported by "invest to save" business cases, subject to capital funding being available. However, some schemes will not be self-financing but offer other benefits and where this is the case this will need to be clearly stated and evaluated.

Resources will be required to manage, coordinate and deliver the programme of projects on climate change and officers will need to decide how this is best organised. Detailed and costed action plans will need to be developed for any actions and targets adopted and these will be agreed and managed as part of the Council's business management processes.

Conclusions

Climate change is a pressing issue for the Council and the whole of Warwickshire. The Council should push ahead with this important agenda but needs to ensure its ambitions are deliverable and made using sound business thinking. Showing clear action on climate change will help the Council to show leadership and move other organisations to action too.

Recommendations

That Cabinet:

1. Provides clear direction through the Council Plan 2020-2025 to work alongside our partners to reduce the Council's carbon impact and that appropriate resources are dedicated to this work.
2. Makes climate change considerations a requirement for all council decisions, including capital investments, projects and commissioning exercises.
3. Develops improved baseline data and metrics so that we can make decisions and prioritise based on a continually improving understanding of our own carbon emissions and the wider impacts of Warwickshire.
4. Establishes a cross party group chaired by the Portfolio Holder for Environment and Heritage & Culture, to steer work on both climate change mitigation and adaptation.
5. Works with all partners including Parish and Town Councils, District and Borough Councils, Government, other authorities and the resident and business communities of Warwickshire to achieve real progress on climate change.
6. In principle, adopts the targets and actions set out in the report and in particular Appendix 5, and develops detailed and costed action plans for these which are agreed and managed as part of the Council's business management processes.

Appendices

- 1 – The Council's climate change declaration
- 2 - Task and Finish Group Membership and Activities
- 3 - Detailed baseline data
- 4 - Detailed findings from the climate change workshop
- 5 - Potential Targets and Actions

Appendix 1 – The Council’s climate change declaration

Warwickshire County Council Declaration

The United Nations Intergovernmental Panel on Climate Change has warned that we have 12 years to make the necessary changes to limit a rise in global temperatures to 1.5°C. Failure to act will see a marked increase in sea levels and flooding, extreme and abrupt changes to weather patterns, crop failures, extinctions of plant, insect and animal species and global economic disruption and crisis.

In response, this Council,

- a) declares a ‘Climate Emergency’;
- b) establishes a cross party Climate Change Task and Finish Working Group to respond to the challenge and to report to Cabinet in six months with an action plan, including targets to consider.
- c) works in collaboration with our District and Borough partners to develop targeted and resourced proposals for a carbon neutral action plan for Warwickshire County Council to be considered by Cabinet.
- d) reviews and updates transport plans for each of the District and Borough Councils in Warwickshire, to support them in building sustainable transport systems in recognition of the goal of moving towards carbon neutrality;
- e) calls on the Government to provide the resources and powers so that Warwickshire County Council can make its contribution to the UK’s Carbon Reduction targets.

Appendix 2 –Task and Finish Group Membership and Activities

Composition of the group:

Councillors - Helen Adkins, Jonathan Chilvers, Daniel Gissane, Anne Parry, Dominic Skinner, Heather Timms and Adrian Warwick, with Councillors - Judy Falp and Andy Sargeant.

Supporting officers – Julie Burton, Ruth Dixon, Jacky Lawrence, Tom McColgan, John Cole, Andrew Pau, Sue Robinson

Meeting dates:

September 2019 – setting the scope

October 2019 – baseline data

November 2019 – action plan workshop




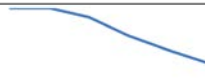
Additional Contributing Officers – Max Usen, Angeline Murungu, Shail Chohan, Margaret Smith, Richard Sweeney, Katey Stoneman, Caroline Faulkner, Paul White, Jonathan Simkins, Mike Cooke Jones, David Lowe, Dale Partridge.

December 2019 – establishing recommendations, targets and actions

Appendix 3 – Detailed baseline data

Summary Scope 1 and 2 Emissions

Table 1

	WCC Emissions - Tonnes CO ₂ e 2013/14 - 2018/19						% change	Trend
	2013/2014	2014/2015	2015/2016	2016/2017	2017/2018	2018/19		
Scope 1								
Fossil fuel consumption (GAS) – corporate buildings	2820	2646	1957	2004	2006	1789	-37	
Owned transport	1554	1363	1274	823	1207	1230	-21	
Scope 2								
Purchased electricity	3766	3467	3762	2713	2315	2002	-47	
Streetlighting	8819	8812	7839	5902	4373	3020	-66	

Source: <https://www.warwickshire.gov.uk/environmentalreporting>

Scope 1

Building energy

Warwickshire County Council's energy team monitors the use of energy across the estate including offices, fire stations, libraries, museums, depots, household waste recycling centres, business unit communal areas and country parks (<https://www.warwickshire.gov.uk/buildingenergyperformance>). A building energy consumption review is published each year. This excludes schools, rural estates buildings (agricultural buildings / farmhouses), country parks buildings (except for WCC offices) and buildings where a landlord other than WCC pays the energy bill. The report also excludes energy associated with water consumption and heating oil where data is insufficiently robust.

Figure 1 shows the total carbon emissions in tonnes (tCO₂) by energy type for corporate buildings. In the three years for which data is available tCO₂ has reduced by 18% when considering both fossil fuel (gas) and electricity. According to the building energy consumption and emissions review, per building carbon emissions have reduced from an average of 63.7 tCO₂ in 2015/2016 to 53.5 tCO₂ in 2017/18 a reduction of 16%. The majority of this reduction has come from reduced electricity consumption (Figure 2) – carbon emissions from electricity reduced by 30.3% but increased from gas by 4.8%. The corporate building that was the highest emitter of CO₂ in 2017/18 was the Shire Hall complex, emitting 761 tCO₂.

A commonly used reporting metric is tonnes of carbon per £million pounds of gross revenue expenditure. On this metric the lower the CO₂/£million value, the better the performance. For corporate buildings in Warwickshire, this has reduced from 9.6tCO₂/£ million gross expenditure in 15/16 to 7.5tCO₂/£ million gross expenditure in 17/18.

Figure 1

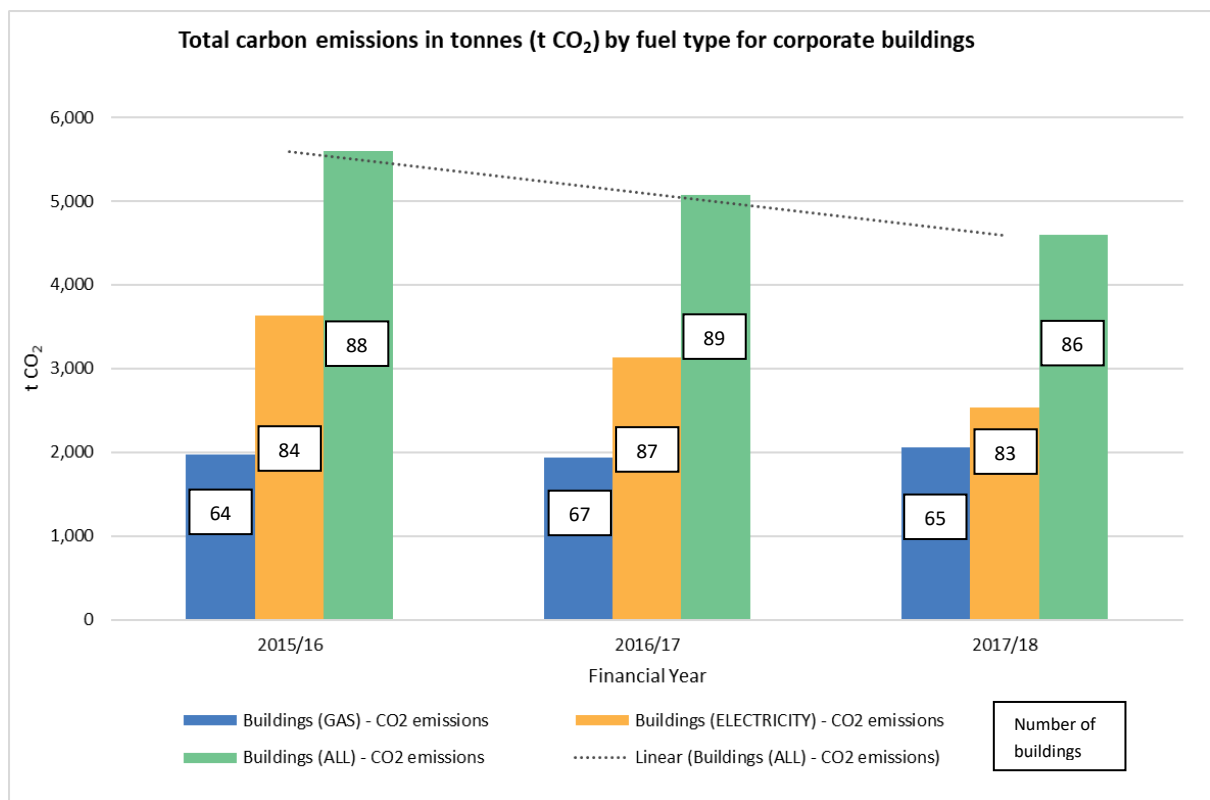
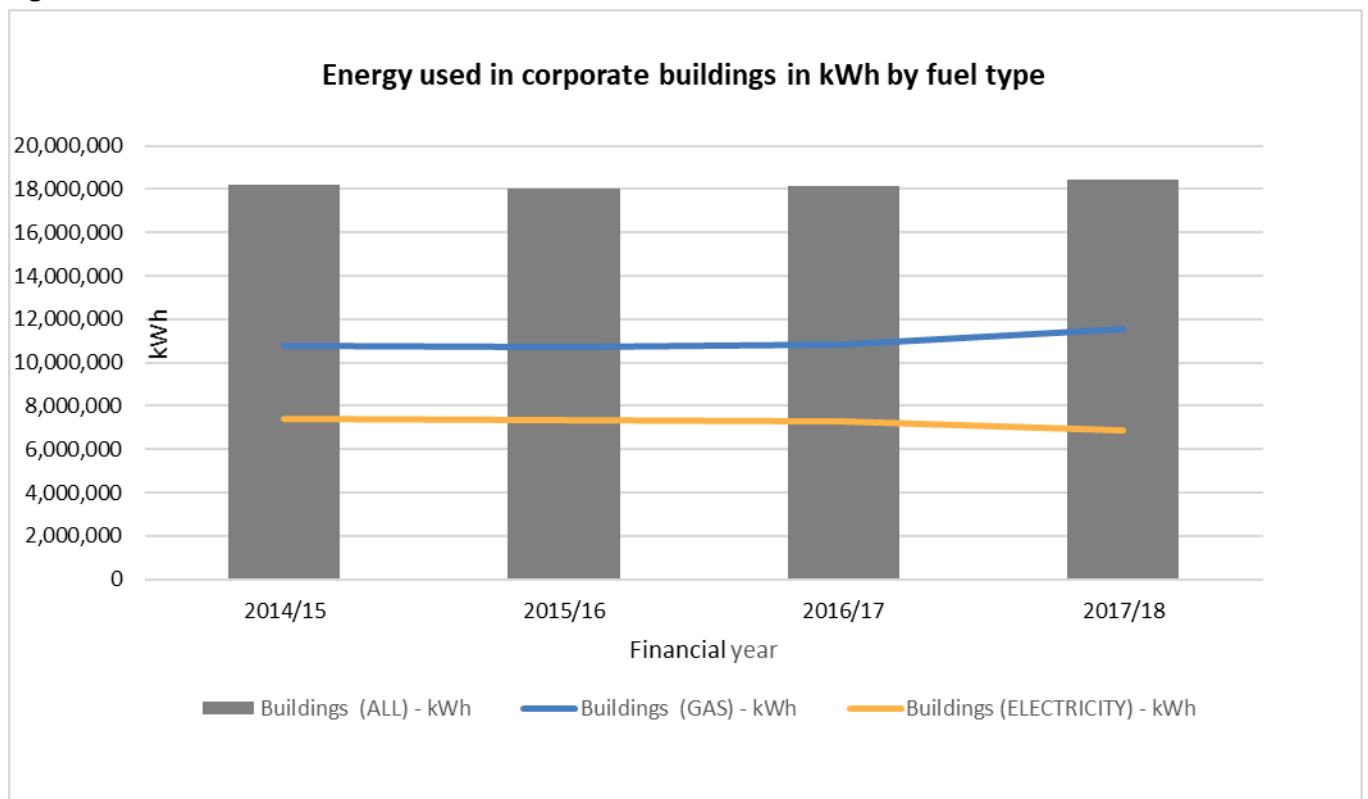


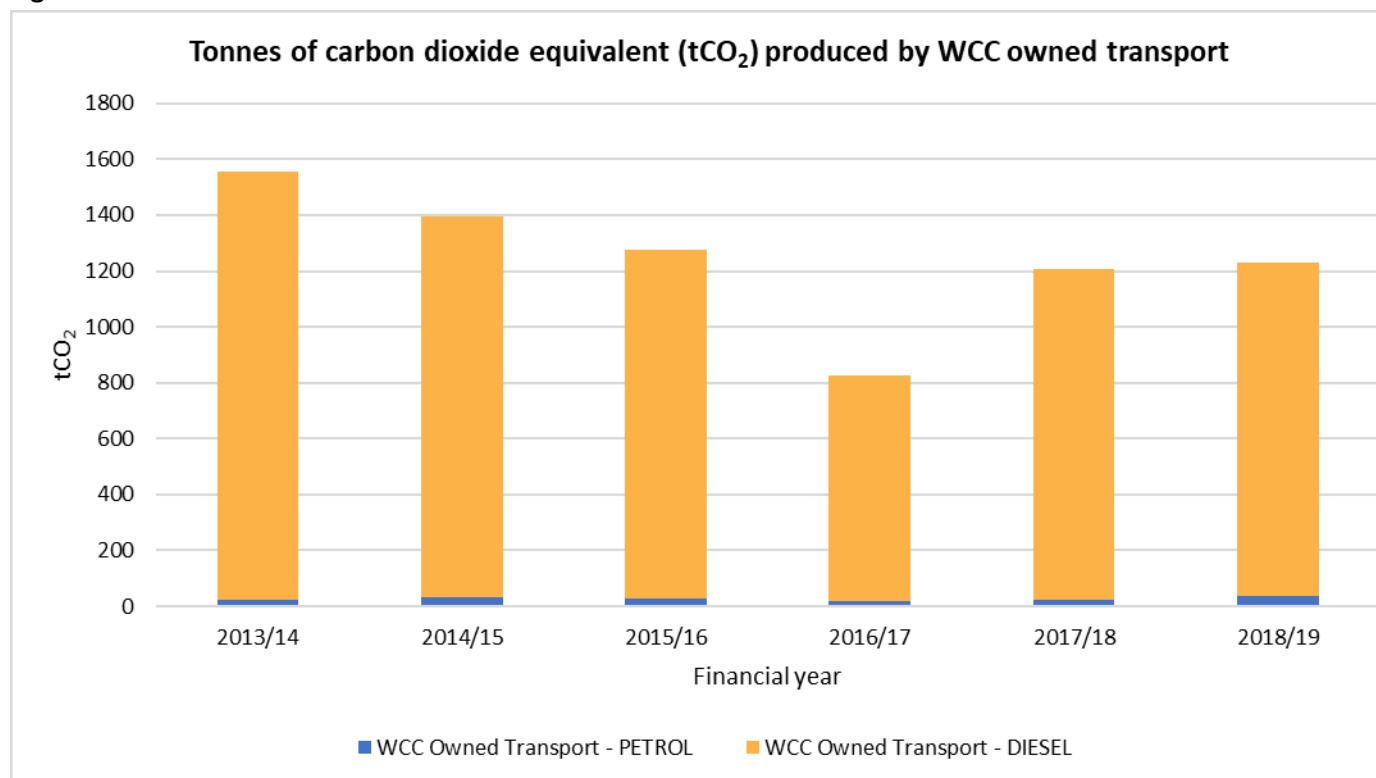
Figure 2



WCC Owned Transport

Figure 3 shows the tonnes of carbon (tCO₂) produced by WCC owned transport. This has decreased by 20.9% since 2013/14 mainly due to a reduction in the amount of diesel used; a decrease from 588,818 litres of diesel in 2013/14 to 454,639 litres in 2018/19 has resulted in a 22% reduction in tCO₂ produced by diesel engines. Conversely, petrol usage has increased by 54.9% from 10,322 litres in 2013/14 to 15,933 litres in 2018/19 resulting in a 52.2% increase in tCO₂ produced by petrol engines. The marked decrease in emissions in 2016/17 is believed to be due to data quality issues.

Figure 3

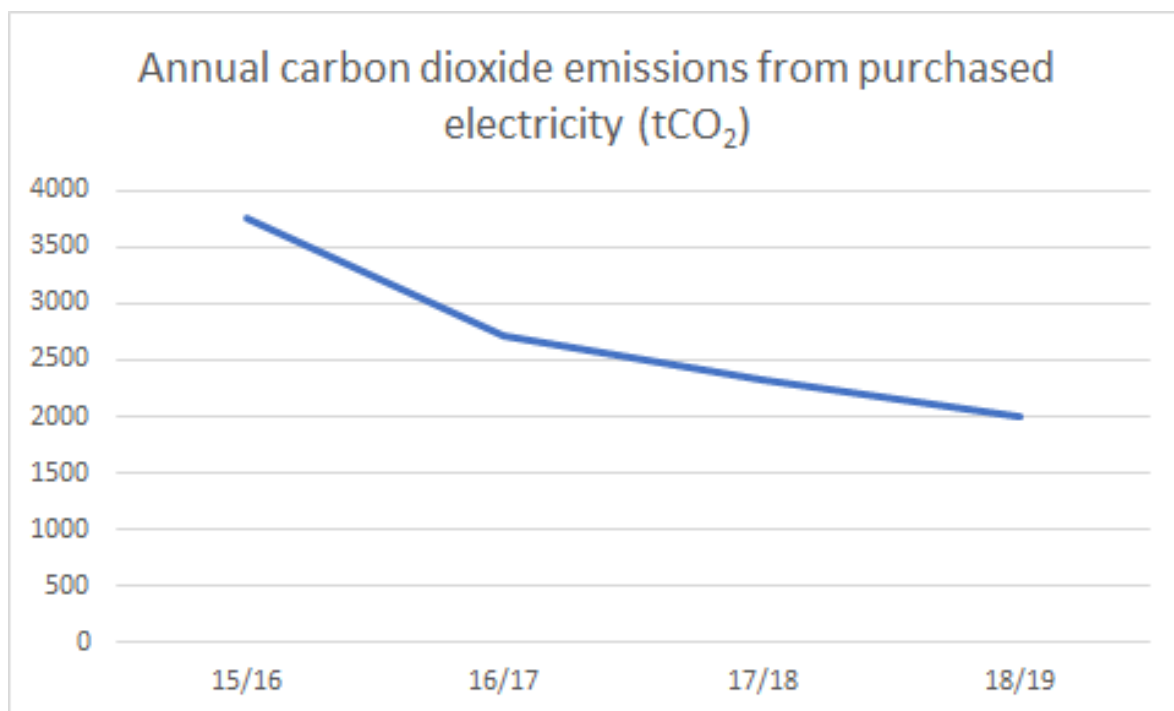


Scope 2

Purchased Electricity

Carbon emissions from purchased electricity have reduced by 46.8% over the four-year period 2015/16 to 2018/19 from 3,762 to 2,002 tonnes of carbon. From 1st October 2016 Warwickshire County Council has purchased Green Tariff electricity. Figure 4 shows tCO₂ emissions from purchased electricity for typical UK grid electricity mix, as this is how we currently report officially. Under the Greenhouse Gas Emissions Protocol WCC should be able to report zero emissions for purchased electricity and street lighting as it can be matched to Renewable Energy Guarantees of Origin (REGOs) for wind, solar and hydro/wave power.

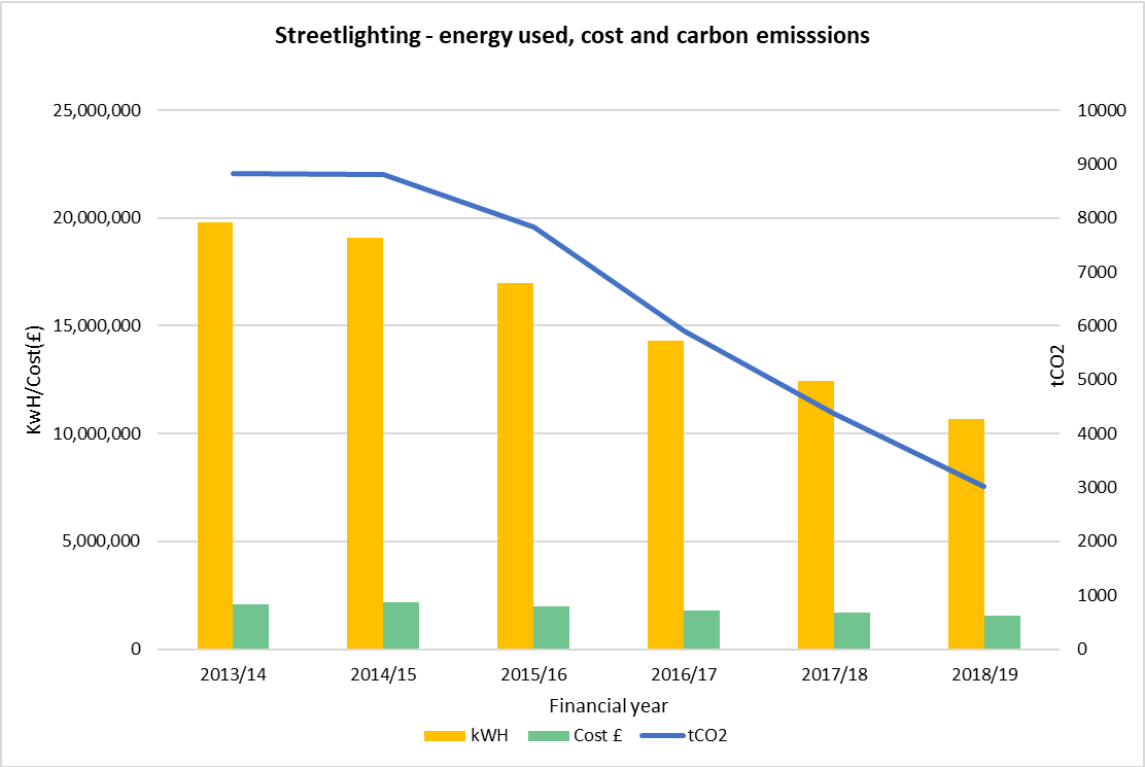
Figure 4



Streetlighting

Figure 5 shows a reduction in carbon emissions (65.8%), energy consumed (46.0%) and costs (25.1%) associated with streetlighting in Warwickshire between 2013/14 and 2018/19. This is due to a programme converting streetlighting to LED (73% currently converted) and the introduction of part-night lighting in Warwickshire from December 2012. Some street lights are switched off between the hours of midnight and 5.30am during the week and 1.00am and 6.30am at the weekend. In 2013/14 electricity used for streetlighting cost £2.09M whereas in 2018/19 it cost £1.57M this is despite increasing housing developments in the county.

Figure 5

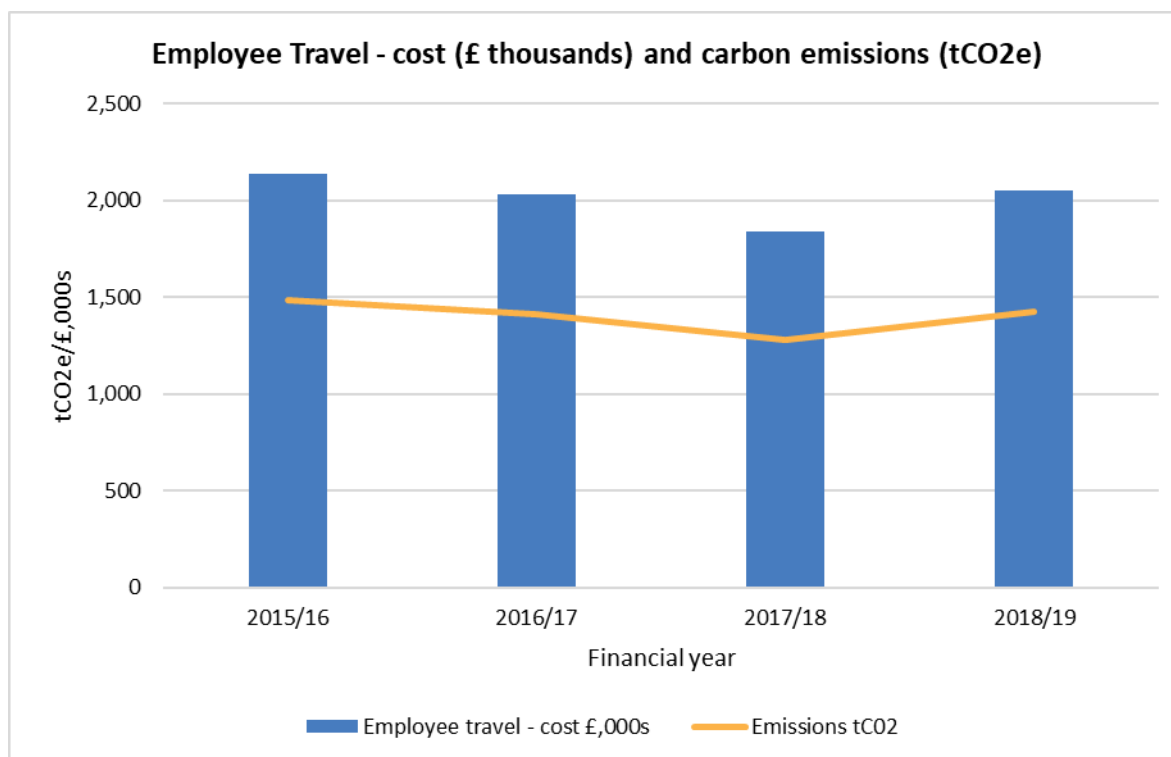


Scope 3

Employee business travel (Grey Fleet)

Despite a reduction in carbon emissions from grey fleet between 2015/16 and 2017/18 there was an increase in 2018/19 almost back to 2015/16 levels resulting in only a 4.1% reduction over the 4-year period. A fuller analysis is required but it is known that the most mileage is carried out by Education Services and Social Work.

Figure 6



Staff commuting

There is no comprehensive data on how staff travel to and from work. However, the staff Your Say survey carried out in June/July 2019 asked staff responding what was the main mode of transport to their place of work. Of 2,254 staff (around 50% of the workforce) responding, 85.5% travelled to work in a car (Figure 7). More than half of 'Other' responses (55%) were employees who use a combination of modes of travel (e.g. bus then walk) or vary their mode of travel during the week itself (e.g. walk 2 days a week and cycle 3 days a week).

Responses also gave an indication of initiatives that could encourage more staff to travel by alternative means in the future. Of these, safer routes to work was the most common response (Figure 8). Of those who said nothing, 1,169 respondents gave a reason. Almost half (45%) stated they lived too far away from their work site/base to be able to walk or cycle and 20% stated that their car was essential to their role (e.g. travelling to customers). In terms of respondents who answered 'Other', almost half suggested being able to work at locations closer to their home would encourage them to walk or cycle.

Figure 7

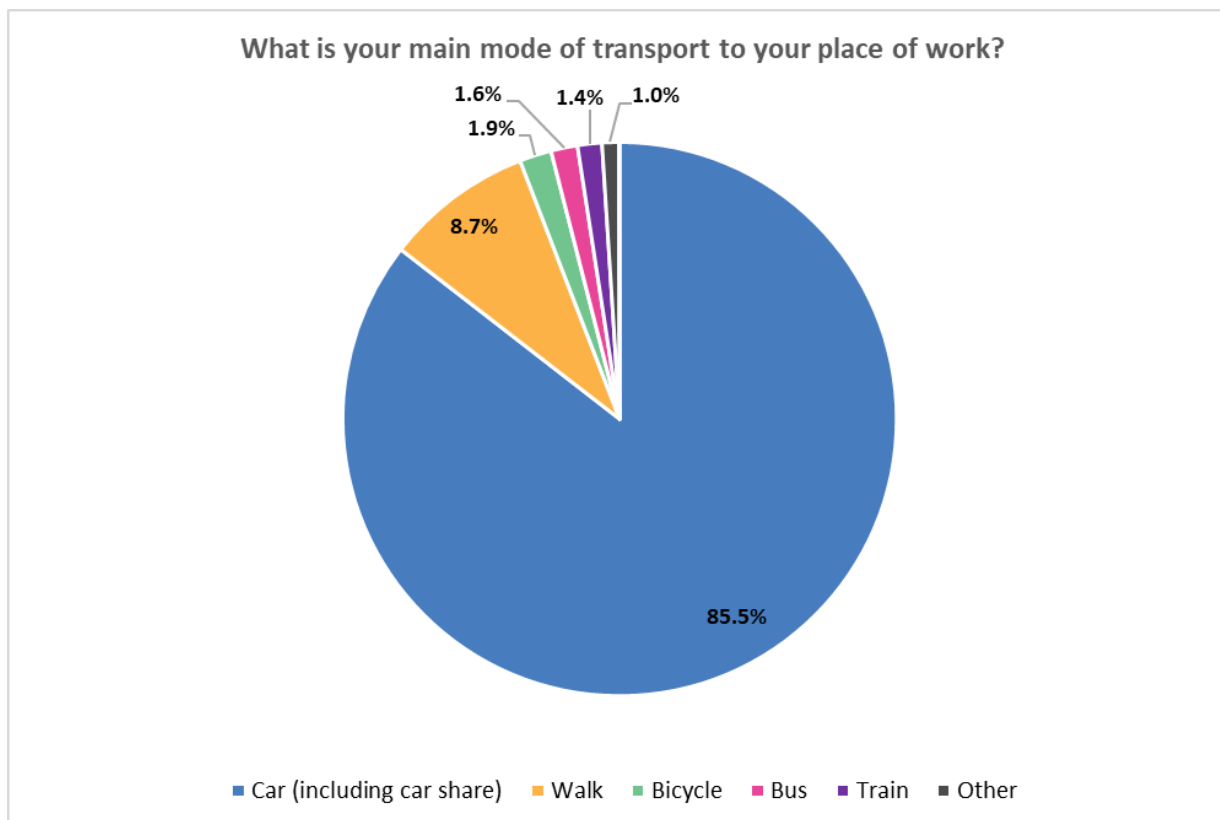
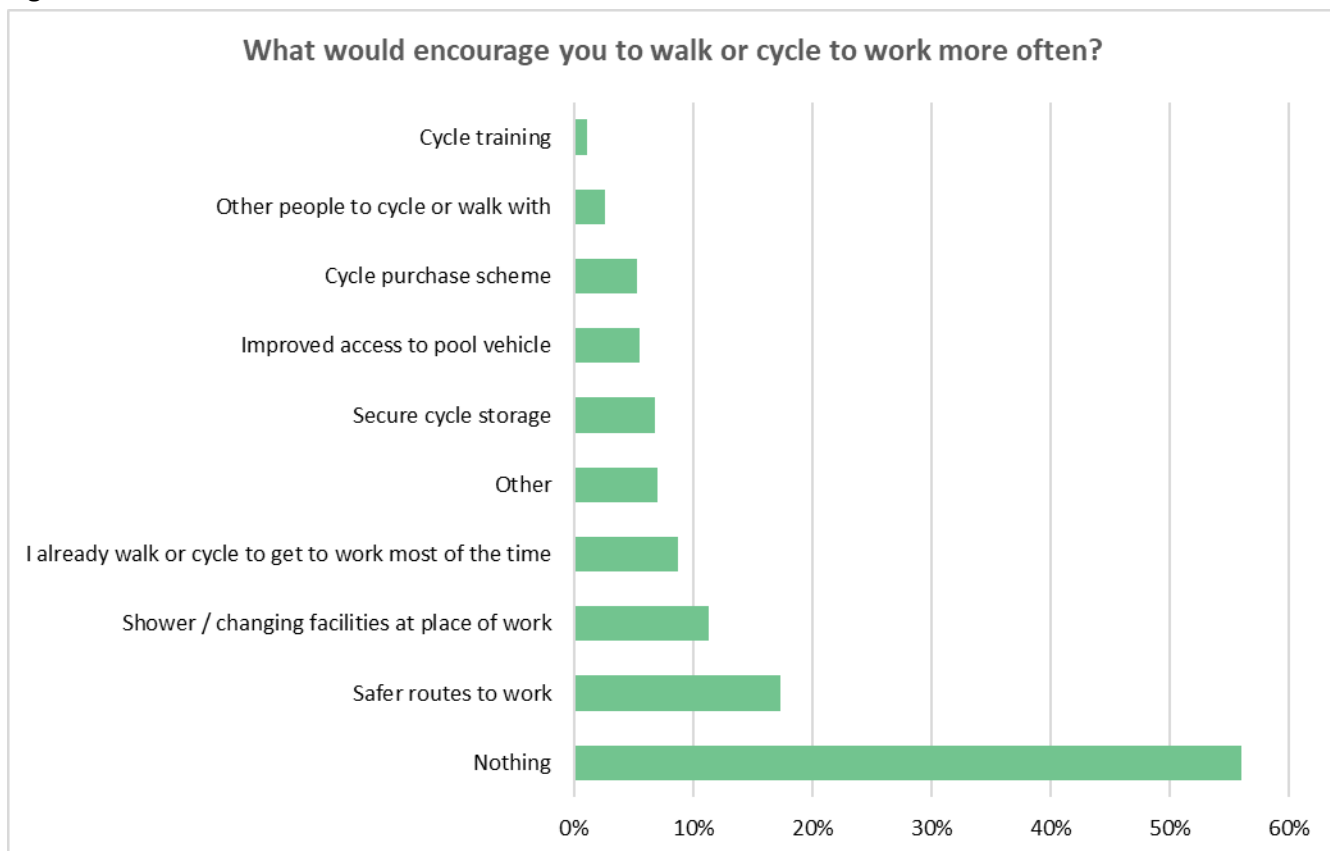


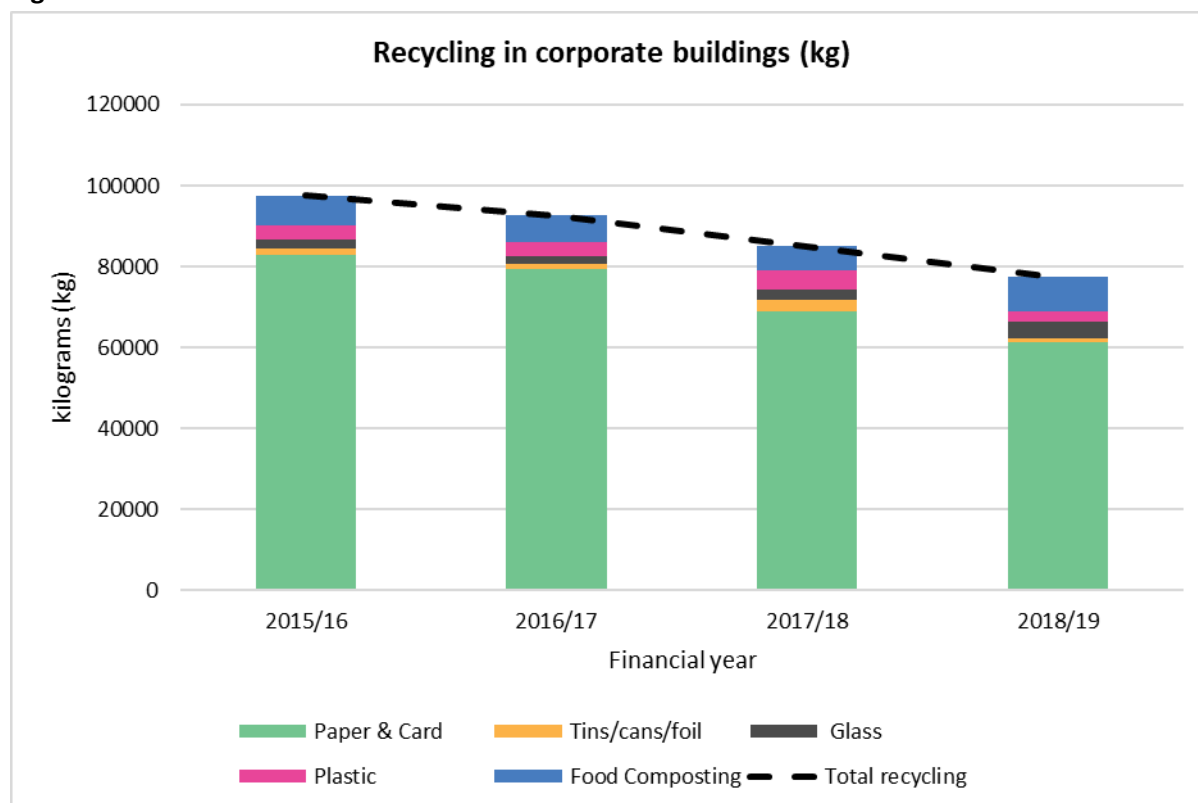
Figure 8



Recycling in corporate buildings

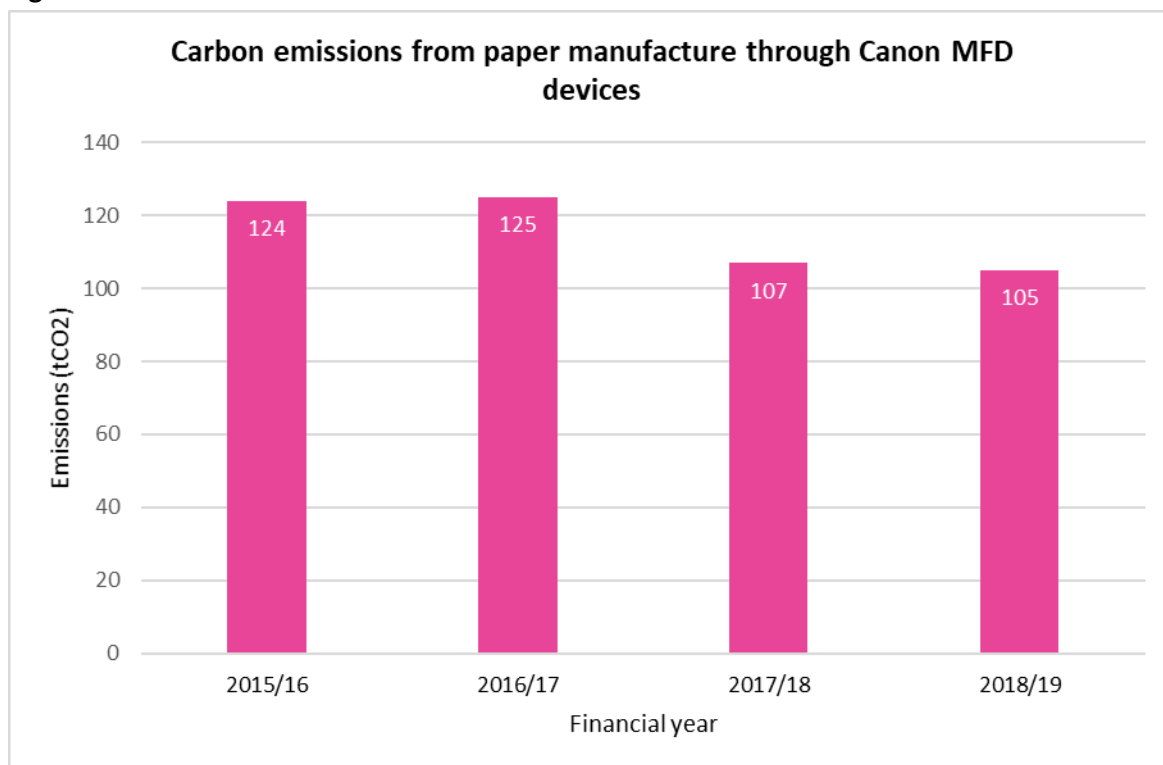
Recycling in corporate buildings has reduced by 20.6% between 2015/16 and 2018/19 (Figure 9). This has mainly been due to a decrease in paper & card recycling (-26.4%) and plastic recycling (-24.2%). There has been increases in the amount of glass recycled (65.0%) and food composted (16.7%). Further work is needed to establish carbon emissions resultant from corporate waste disposal and carbon saved through our recycling and waste reduction efforts.

Figure 9



Paper used in Canon MFD devices

Almost 12 million sheets were printed from the networked printers (Canon MFD devices) in WCC centralised offices in 2018/19. This cost the council nearly £188,000 in printing alone, not including the paper. The paper used would have taken 1,432 trees and almost 3 million litres of water to produce and resulted in 35 tonnes of waste. Carbon emissions from paper manufacture for use in the printers are outlined in Figure 10. There has been a reduction of 15.3% in tCO₂e since 2015/16.

Figure 10

Corporate contracts

An Environmental Risk Assessment is completed for all contracts above the EU financial thresholds and is recommended good practice for all other contracts. Question 4 asks 'What emissions to air could arise e.g. from product usage, spillage, disposal; or service delivery?' Question 8 asks 'What energy use is required?' The standard pre-qualification questionnaire covers compliance with legislation. There are examples of emissions reporting being included in Key Performance Indicators for Council contracts.

Below are a couple of samples of data from large contractors

Dodd Group – Mechanical and Electrical maintenance and minor works

Table 2 – Utility usage and emissions 2018/19

Utility	Usage	t CO ₂ e
Electricity	15,360kW	4.348
Gas	1944m ³	3.993
Vehicle Fuel	71,715 litres	192.2

Balfour Beatty – Highways Maintenance

In their most recent sustainability report for their contract with WCC, Balfour Beatty reported total CO₂ emissions of 693 tonnes. 54,710 tonnes of construction waste was generated, all of which was recycled.

Municipal waste contracts

Initial analysis of waste disposal across the county has used a tool developed by Zero Waste Scotland to allocate carbon emissions. Table 3 shows emissions from the disposal and recycling of municipal waste collected from both kerbside sources and recycling centres. Further work will look to separate household waste out so that when authorities seek to gain more work by collecting commercial waste, this won't be detrimental to emissions reporting.

Table 3 – Carbon emissions (tCO₂e) from the disposal and recycling of municipal waste

		Carbon emissions (tCO ₂ e)					
Material	Treatment	2013/14	2014/15	2015/16	2016/17	2017/18	2018/19
Residual	EfW (incineration)	22,453	33,337	36,034	36,366	33,723	35,270
Residual	Landfill	31,263	17,168	16,561	16,343	19,980	18,523
Biowaste	In Vessel Composting (IVC)	-2,647	-3,139	-3,114	-2,707	-2,890	-2,854
HWRC	Recycling	-12,609	-14,087	-16,110	-17,099	-16,143	-16,432
Kerbside	Recycling	-37,530	-36,790	-35,910	-36,245	-35,890	-36,116
	Totals	931	-3,511	-2,539	-3,342	-1,221	-1,609

Lower Carbon Technologies

Renewable Energy Generation

Warwickshire County Council has invested in Renewable Energy Generation to invest to save, to improve our energy security and to reduce environmental impacts. Since 2010/11 WCC has invested in a series of renewable energy technologies at a number of sites, including building integrated photovoltaic solar panels, wind turbine and biomass, generating around 210,000kWh per year (Table 4 shows generation on our centralised buildings). Barrack Street has 200 solar panels on the roof.



Table 4: Solar on centralised buildings

Site Name	Generation (kWh)
Barrack Street	43,112
Saltisford 1	16,741
Saltisford 2	35,048
Northgate House	868

LED Street lighting

The programme to convert street lighting to LED is 73% complete. Further reductions in cost, electricity use and carbon emissions will be seen as street lights continue to be upgraded to LED.

**Electric Vehicles**

Four new pool cars for staff use, provided by Enterprise, will be based in Barrack Street car park. The cars include a brand new fully electric Nissan Leaf, a Toyota Yaris hybrid and a Hyundai Ioniq hybrid.

**Other relevant sources of information**

Clean Air Strategy - <https://www.gov.uk/government/publications/clean-air-strategy-2019>

Active travel in Coventry & Warwickshire - <https://www.warwickshire.gov.uk/activetravel>

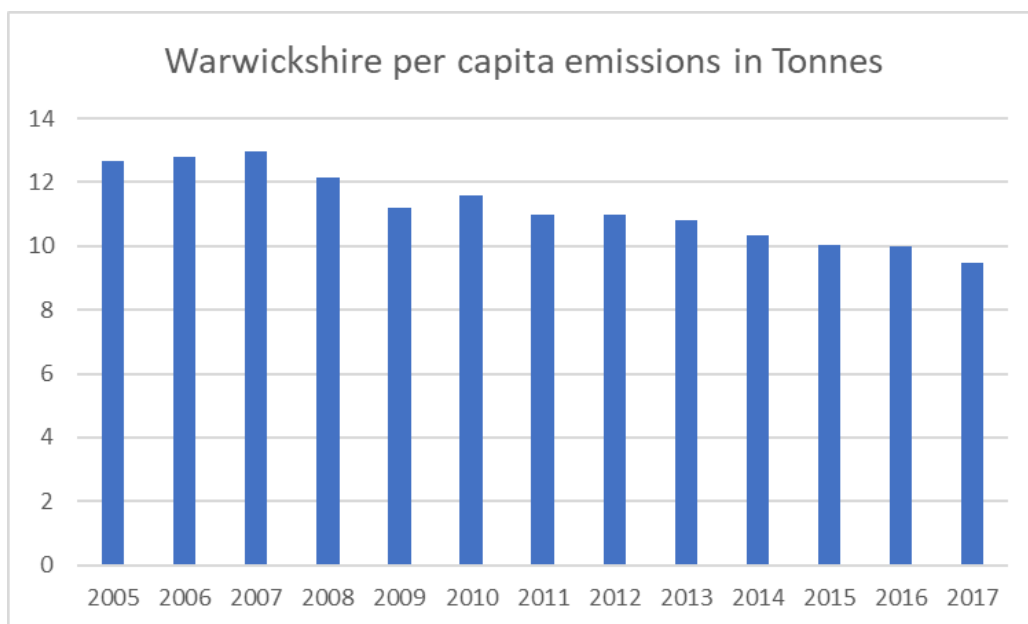
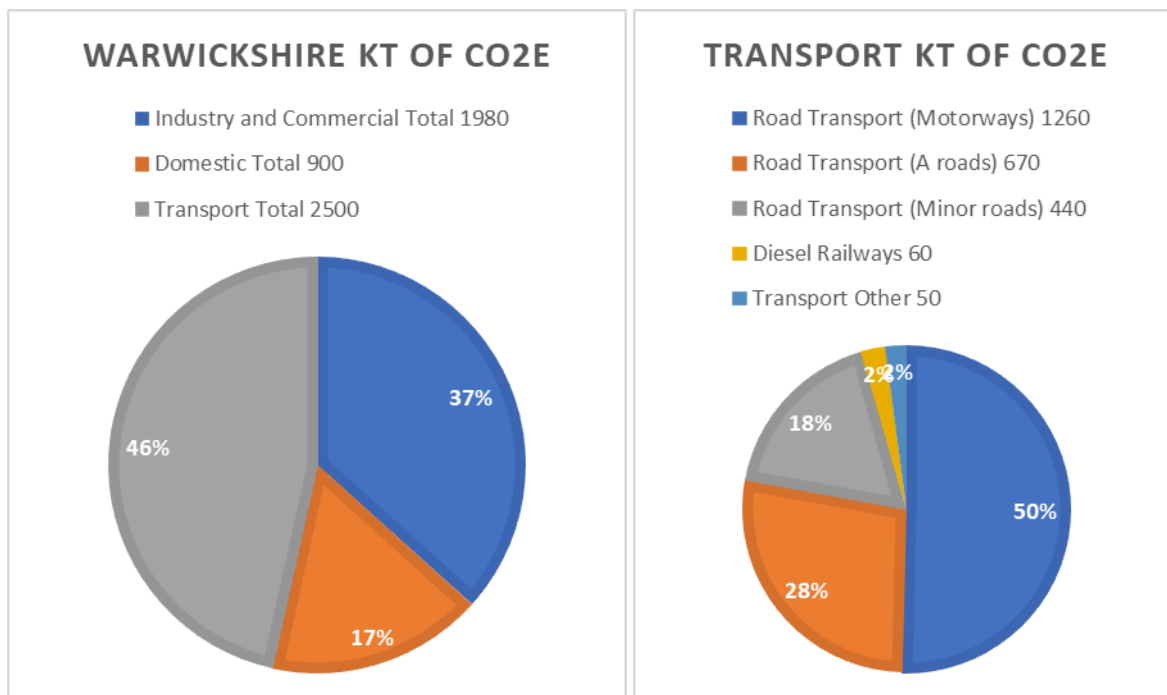
Local Transport Plan 2011 – 2026 - <https://apps.warwickshire.gov.uk/api/documents/WCCC-630-116>

LEP Low Carbon Action Plan - <https://gbslep.co.uk/wp-content/uploads/2017/06/GBS-LEP-Low-Carbon-Energy-Plan-Summary-Report.pdf>

CWLEP Green Business Programme - <https://www.cwlep.com/project/green-business-programme>

Warwickshire Emissions Dataset 2017

Total for Warwickshire approx. 5.5m tonnes CO₂E



<https://www.gov.uk/government/collections/uk-local-authority-and-regional-carbon-dioxide-emissions-national-statistics>

Appendix 4 – Detailed findings from the climate change workshop

Function	Strategic Asset Management and Enabling Services
Main contact	Clare Gibb / Jacky Lawrence
Current work	<p>Manage the centralised corporate building portfolio. Carry out assessments of buildings and plan improvements. Manage buildings - energy, water and environmental management, property rationalisation.</p> <p>777 assets are categorised into bands e.g. centralised buildings (183), non-centralised buildings (262), maintained schools (140). Building Energy Strategy and Building Energy Reports</p> <p>Corporate Asset Management Strategy – sustainability and climate change are a fundamental part of this work</p> <p>Display Energy Certificate Advisory Reports and other assessments by the energy team inform property workstreams.</p> <p>New builds and school extensions currently exceed Building Control Standards.</p> <p>Procurement of pure green electricity</p>
Planned work	<p>Implementation of the Corporate Asset Management Strategy</p> <p>Building Energy Report 2019/20 due in new year</p> <p>ISO14001 environmental management system audits identify areas for improvement and monitor energy efficiency</p>
Future work	<p>Building Energy Strategy – work towards a target of at least an average annual 2.5% reduction in total carbon emission from the corporate property estate per £million gross revenue expenditure. Retrofit to improve controls, energy efficiency standards and install alternative energy systems or heat recovery</p> <p>Building Information Management and Modelling – data driven approach creates models of central WCC assets for business case</p> <p>Focus on both easy wins across the estate and bringing up the worst performing buildings</p> <p>New building procurement to include lifecycle carbon impact</p> <p>Investigate Passivhaus or equivalent energy standards for new builds, consider heating and cooling</p> <p>Investigate and where appropriate develop plans and targets to reduce the carbon impact of non-corporate buildings e.g. schools</p>
Measurement	<p>Detailed baseline data since 2013/14 is available in the annual building energy reports. There are DEC ratings for libraries, museums, trading standards and Shire Hall. DEC ratings and advisory reports advise on how to improve ratings through improvements to heating and lighting etc. Building occupancy is not taken into account in DEC ratings.</p>
Leadership	<p>Process and techniques used to identify improvements as well as technical solutions will be broadly applicable to any corporate building in other authorities or for local businesses. Demonstrating our own improvements will also show leadership to householders. Staff behaviour change campaigns will improve habits at work and at home.</p>
Resources needed	<p>Appointment of Head of Strategic Asset Management, energy management expertise, technical expertise</p> <p>Investment to improve DEC and EPC ratings and carry out large scale projects</p>
Targets	<p>Make corporate buildings carbon neutral by 2030</p> <p>Develop and publish a plan for this by end of 2020</p>

	Investigate carbon reductions in non-corporate buildings
--	-----------------------------------------------------------------

Function	Renewable Generation
Main contact	Angeline Murungu
Current work	Management of installations across Warwickshire. 14 installations generate 252MWh per year (50tCO₂e per year) and benefit from Feed in Tariff. Investigation and planning of new opportunities for photovoltaic arrays and other renewable and low/zero carbon technologies
Planned work	Business cases for a number of large-scale projects, including one solar farm site which has planning permission.
Future work	Investigate and develop new schemes to establish a programme of energy projects including more building mounted solar PV schemes. This programme may include a number of different technologies, funding sources and locations.
Measurement	Detailed baseline data is available for corporate installations. Business cases demonstrate potential costs and savings. The amount of energy produced. Tonnes of carbon emission (tCO₂e) per £million gross revenue expenditure. MWh of energy secured.
Leadership	Demonstrate savings, income and resilience that energy schemes can deliver to show leadership across the Council and to businesses, communities and individuals. Midlands Energy Hub - Warwickshire and Coventry LEP Community Switch partnerships with District and Boroughs, community groups, Act on Energy (energy conservation organisation)
Resources needed	Appointment of Head of Strategic Asset Management, and energy management, technical and financial expertise. An investment fund to pay for the projects developed on an invest to save or commercial basis.
Targets	Substantially increase WCC renewable energy generation by 2030. Contribute to all corporate buildings becoming carbon neutral by 2030

Function	Street Lighting
Main contact	Mike Cunningham
Current work	Part night lighting programme Roll out of LED street lighting Procurement of pure green electricity
Planned work	Complete roll out of LED lighting Monitor part night schedule Maintenance and upgrades
Future work	Further roll out of low energy lighting
Measurement	Electricity used and roll out progress
Leadership	Demonstrate money saved and carbon saved from implementing our streetlighting policy
Resources needed	Continued monitoring and management of the implementation programme.
Targets	Make all street lights low energy eg LED by 2030 Continued procurement of pure green electricity

Function	Social Services
Main contact	Becky Hale
Current work	Adults Residential and Home Care costs of approximately £130m pa Approximately 2,000 people in care homes Travel impact for home care for 8,000 people Children Budget of £70m pa Internal and external foster care 50 children cared for in care homes Approximately 30 in supported accommodation provided by a mix of care providers 14 children's centres managed externally in a mix of WCC owned or leased buildings
Planned work	Establish a report that details the carbon impact from social services work.
Future work	Work with care providers to baseline the carbon impact of this service area. Develop plans to reduce the carbon impact of this service area.
Measurement	Establish future carbon measurement reporting
Leadership	Demonstrate good practice to local businesses
Resources needed	Specific resources will be required to establish a baseline and deliver improvements
Targets	Develop plans to reduce carbon emissions from our social services contracts. Establish baseline by 2020/21 Agree a plan to deliver improvements by 2021/22

Function	Owned Transport – Vehicle Fleet
Main contact	Richard Sweeney
Current work	Investigating more efficient delivery of fleet services including improving the efficiency of fleet vehicles 220 bus and 500 taxi contracts Operation of a fleet of 30 small vehicles for adult day care
Planned work	Plan how services will be delivered in the medium term and use this to deliver efficiencies in the use of transport and investment in more modern lower emission vehicles. Home to school distances have increased through closures and changes in place allocation, need to plan how to reduce resulting increased car travel Funding our own schemes could be more cost effective than subsidising private providers. Rural areas need public transport that works commercially.
Future work	Track technological advances to ensure that our fleet is taking advantage of best practice. Develop a plan to ensure all vehicles below 7.5 tonne are low or no emission. Aspire to all vehicles low or no emission at a future date. Possible future low emissions zones may drive changes
Measurement	Number of vehicles, fuel efficiency, fuel usage, distance travelled by vehicles, carbon emissions.
Leadership	Development of new technologies in our own fleet can be promoted.

Resources needed	Moving to alternative vehicle technologies will require investment. Driving efficiencies in the use of our fleet will require expertise. New technologies will require expertise and investment.
Targets	Council fleet to become carbon neutral by 2030.

Function	County Transport
Main contact	Philippa Young
Current work	<p>The Local Transport Plan and transport programme of investment ensures that we provide a transport system that enables economic growth, but does so in a way that is greener, safer and improves quality of life in our communities.</p> <p>Consultation on some Area Transport Strategies will begin in the new year along with modal strategy work.</p> <p>New infrastructure includes over 1 million trips per year using railway stations that WCC has helped deliver (Warwick Parkway, Coleshill Parkway, Stratford Parkway, Bermuda Park, Kenilworth). Carrying out a strategic procurement exercise to procure electric vehicle charging points across the county as part of grant funding to place charging points in publicly accessible car parks.</p>
Planned work	<p>The Local Transport Plan review is an opportunity for greater emphasis on low carbon solutions.</p> <p>Electric vehicle charging infrastructure</p> <p>Capital Investment bid for over £10 million in cycle schemes, including K2L</p> <p>Warwickshire Rail Strategy 2019 - 2034</p>
Future work	<p>Capital investment and funding</p> <p>New technology like e-bikes and autonomous vehicles</p> <p>Low emissions zones, congestion charges, parking restrictions</p> <p>Increase use of public transport</p>
Measurement	<p>Current versus future traffic volumes relative to population</p> <p>Modal shift. Emission reductions.</p> <p>In 2017 2.5m tonnes of carbon came from transport in Warwickshire. Of this 670,000 was from A road transport and 440,000 from minor roads.</p> <p>Benchmark - EV charging points per head of population, average commute length, mode share</p>
Leadership	<p>Support Districts and Boroughs to deliver their local plans, climate action plans and support adaptation work</p> <p>Share policies and behaviours</p> <p>Specification of scheme design/contract management</p>
Resources needed	<p>The County Council is currently reviewing its Area Transport Strategies which are broadly based on the geography of the five Warwickshire District/Boroughs. These will inform and ultimately become part of the Local Transport Plan, which itself is also in the process of being reviewed. Along with a number of economic and social objectives, the LTP will have environmental outcomes at its heart, including climate change, carbon reduction and improving air quality.</p> <p>A number of the Area Transport Strategy reviews have either been completed or are underway. It is envisaged that approval of the remaining strategies will be subsumed into the wider LTP process, which is expected to conclude in Summer 2021.</p> <p>The Area Transport Strategies are at varying stages of development, but there will generally be two opportunities to</p>

	<p>comment - firstly on an Issues document and secondly the draft strategy itself. We had been planning to engage on the issues document for the Rugby and North Warwickshire Area Transport Strategies in the new year.</p> <p>In terms of the LTP, we are aiming to consult on an Issues document after Easter 2020 and the draft LTP in Autumn/Winter 2020/21.</p>
Targets	<p>Review and agree the new local transport plan and area transport strategies to encourage healthy lifestyles and more sustainable transport, including cycling.</p> <p>Develop smart transport targets to reduce carbon and improve air quality, especially in built-up areas.</p> <p>Let a contract for and provide charging points for electric vehicles.</p>

Function	Business Travel
Main contact	Margaret Smith / Julie Burton
Current work	<p>Active travel and 'choose how you move' promotion</p> <p>Corporate policy on making business mile claims</p> <p>Provision of alternative fuel pool cars and pool bikes</p>
Planned work	<p>Development of county travel work within the Air Quality agenda.</p> <p>Extension of pool car offer. Provision of facilities for cyclists and walkers.</p>
Future work	<p>Revision of business mile claim mechanism including establishing who takes responsibility for this.</p> <p>Ensure staff are clear how they contribute to minimising our carbon impact through training and communications.</p>
Measurement	Business mile claims, data of types of vehicle used, journeys made by train and bus
Leadership	Sharing of our business travel policy, promotion of our pool cars
Resources needed	Expertise, funding
Targets	<p>Ensure staff are clear how their travel choices can contribute to minimising our carbon impact through training and communications.</p> <p>Provide zero carbon pool vehicles and encourage their use.</p>

Function	Staff commuting
Main contact	Margaret Smith / Julie Burton
Current work	<p>Active travel and 'choose how you move' promotion</p> <p>Provision of alternative fuel pool cars and pool bikes</p> <p>Lift-share scheme, bike purchasing scheme</p>
Planned work	<p>Development of county travel work within the Air Quality agenda.</p> <p>Extension of pool car offer. Provision of facilities for cyclists and walkers.</p>
Future work	<p>Car parking provision – prioritised roles, permits, out of town park and ride or park and stride sites.</p> <p>Ensure staff are clear how they contribute to minimising our carbon impact through training and communications.</p>
Measurement	Annual surveys, air quality in Warwick
Leadership	<p>Promotion of our pool cars, better public transport provision, better cycling and walking infrastructure</p> <p>Promote the negative impact of car use on air quality and the health benefits of walking and cycling</p>

Resources needed	Resource to promote behaviour change. Expertise and funding
Targets	Ensure staff are clear how their travel choices can contribute to minimising our carbon impact through training and communications. Provide better shower and storage facilities to promote active travel.

Function	Highways / Property maintenance contracts
Main contact	Shail Chohan / Jonathan Simkins
Current work	Highway maintenance – surfacing, defects, gritting, drainage, patching, verges Lifecycle planning in projects and maintenance work. Reducing the impacts of processes, e.g. low temperature asphalt or tar recycling Largest element of Balfour Beatty and Dodds contracts is the transport – travel from job to job. The largest carbon impact of a highways scheme is the impact in use. This may be ease of use, traffic flow, air quality. Design can reduce the in-use carbon as well as the carbon in raw materials, assembly / construction and decommissioning. New highways schemes along the A46 corridor are including improved cycleways
Planned work	Contractors are asked for detailed carbon impact reports. Design in energy efficiency in use as well as carbon reduction in construction. Alternatives to concrete.
Future work	Develop agreed plans to reduce carbon emissions in both highways and property maintenance. Highway maintenance - change to domain-based gritting to reduce mileage and look at other maintenance efficiencies including vehicle washing. More lifecycle planning and recycling. Use of the internet of things.
Measurement	Reports from contractors. Carbon calculator, vehicle mileage, raw materials used, landfill volumes, recycled volumes
Leadership	Demonstrate to local business a method for monitoring contractors. Greening County Council suppliers
Resources needed	TBA
Targets	Develop plans to reduce carbon emissions from our highways contracts. Establish baseline by 2020/21 Agree a plan to deliver improvements by 2021/22

Function	Internal Waste
Main contact	Julie Burton / Colin Jones
Current work	Recycling provision in all corporate buildings with clear signage. Communications to help with waste reduction and recycling. Discussed at corporate waste meetings, at building user group meetings and through the ISO14001 environmental management programme. Already recycling food waste from Warwick buildings through composting equipment installed in Barrack Street and Saltisford. Corporate catering follows the principles of the Green Kitchen Standard which is reducing plastic waste.

Planned work	The corporate internal waste strategy, launched this year, aims to: reduce general waste, paper use and single-use plastics. Work with current waste disposal contractor to ensure that quality data is collected for planning and decision making. Monitor the development of the national waste strategy – current draft stipulates that business must recycle in a similar way to kerbside offer by 2023. This will include separately collected food waste by 2023.
Future work	Changes to the nation strategy will change the type and quantity of waste generated in work premises. Producers will be responsible for the cost of packaging disposal which will lead to improvements in recyclability and excess. A likely deposit return scheme for drinks containers will divert this waste away from corporate bins. Attain plastic free status for corporate catering. The Council will develop required waste behaviour which all office users will be expected to adhere to. This will be communicated widely.
Measurement	There is good data for waste that is recycled or composted from corporate buildings. Residual waste is estimated based on quantity of bin lifts and density assumptions. We are working with the contractor to improve this data. DEFRA and WRAP are developing a metric for carbon measurement which can be used for corporate waste. Waste from other sites will be measured through the ISO 14001 management system.
Leadership	The County Council can share with local businesses and partners successes and methods and communications programme.
Resources needed	Funds to fulfil requirements of the new national waste strategy by 2023. Staff time and the correct equipment to continue food waste recycling and extend provision to all buildings. Infrastructure such as bins and equipment to realise waste reductions and recycling plans.
Targets	Measure residual waste so that true performance can be baselined, tracked and targeted. Reduce, recycle and compost more of our office waste. Reduce our use of paper and single use plastic. Waste recycling and carbon targets at least in line with national targets. Ensure staff, contractors and visitors are clear how they contribute to minimising our carbon impact through training and communications.

Function	Municipal Waste
Main contact	Andrew Pau
Current work	Work in Partnership with District and Borough councils to reduce waste and recycle more. This is done through easy to access recycling provision and Partnership working. Waste minimisation, reuse and recycling promotion and behaviour change campaigns keep our recycling rate and waste produced steady at a time when nationally waste performance is getting worse.
Planned work	The National Waste Strategy for England, in consultation phase currently and due to be fully in force by 2023, will strongly influence LA waste management in the short-term future. Waste collection methods will change, in particular, the likely move to weekly separate food waste collections. At the same time, producers will be responsible for the cost of packaging disposal which will lead to

	improvements in recyclability and excess. Also, a likely deposit return scheme for drinks containers will drive up national recycling. A communications plan and a HWRC improvement plan are in production for the coming financial year.
Future work	The Warwickshire Waste Partnership are monitoring the national scene and will continue to advance work on smarter partnership working, which will reduce waste and drive up recycling. 4 of the 5 collection authorities are planning to become partners in a MRF in development in Coventry, this will increase recycling and reduce waste haulage distances. The County Council will develop a HWRC strategy and the next Joint Municipal Waste Strategy, in line with national strategies when published.
Measurement	All municipal waste is recorded on the national database Waste Data Flow. The Waste Partnership receives quarterly reports on data and performance which informs decision making. Annual national benchmarking also takes place. Changes in policy and strategy can be traced using this detailed data. DEFRA and WRAP are developing a metric for carbon measurement
Leadership	The County Council and partners seeks to influence householders to reduce waste through a comprehensive communications programme and plan. The county works with district and borough officers on join communications and sharing best practice. WRAP, LGA, NAWDO and LARAC allow for wider knowledge sharing and partnership working. Voluntary groups, community groups and local businesses are welcomed into broader waste minimisation work
Resources needed	Expertise to support work on the HWRC Strategy and Joint Municipal waste strategy. Infrastructure such as bins and equipment to realise waste reductions and recycling plans.
Targets	Reduce, recycle and compost more of our household waste at least achieving proposed national targets of 55% recycling by 2025, 60% recycling by 2030 and 65% by 2035. Develop a new Joint waste strategy for Warwickshire and implement this meeting any agreed targets.

Function	Procurement, Contract Management and QA
Main contact	Paul White / Olivia Cooper / Chris Kaye
Current work	Centralised procurement and supporting devolved procurement processes. Managing the procurement framework for the authority – policy, strategy, process and rules. Enabling training and collaboration. The move to electronic procurement has reduced paper and printing. About to launch a procurement exercise to procure electric vehicle charging points across the county using external (OLEV) funding.
Planned work	Make climate change a consideration of every procurement exercise. Make necessary amendments to template procurement documents. A new procurement strategy is due to be launched during 2020
Future work	Make climate change an element of all early supplier engagement. Work with Contract Management Service to ensure climate change commitments are delivered by our contracted suppliers.

Measurement	Number of procurement projects where climate change has been part of the criteria for contract award. Contract monitoring
Leadership	Demonstrate good practice to LA partners, potential suppliers and local business.
Resources needed	Specialist resources need to develop how to include climate change in procurements
Targets	Make climate change considerations a requirement for all council decisions including capital investments and procurements by 2020.

Function	IT Enablers
Main contact	Mike Cooke Jones
Current work	IT is introducing a suite of enabling technology which will allow staff to change their working habits and reduce their carbon footprint. The introduction of Microsoft 365 and Teams will reduce file storage requirements and allow staff to work from alternative locations and collaborate without travelling. Building occupancy may reduce, saving of accommodation costs, as well as business travel or commuting impacts.
Planned work	The imminent roll out of a VOIP telephony system and Surface pro devices will further advance opportunities for agile, flexible working and distance collaboration. There should be a reduction in paper use and printing. Any end-of-life equipment will be reused or recycled. Storage requirements will be reduced and cloud based.
Future work	Improved applications will be developed in order to assets staff to work in an agile way, collaborate at a distance and reduce travel and building usage.
Measurement	Number of agile workers, number of remote meetings, reduction in printing, paper use and postage, reduction in data storage, reduction in business mileage claims and owned transport use. Need to ensure that staff working from home carbon impact is not disregarded – it will be a scope 3 impact
Leadership	The Council can demonstrate to LA partners and local business and community groups how travel and energy use can be reduced through IT infrastructure.
Resources needed	Resources needed to embed agile/flexible working
Targets	Embrace and embed better ICT to reduce energy consumption, printing and business travel, including commuting

Function	Natural Capital (related to Carbon Offsetting)
Main contact	David Lowe
Current work	Manages the county's records of habitat and species. Ensure that development delivers a Biodiversity Net Gain in partnership with Local Planning Authorities to compensate for the population, housing and economic growth pressures being placed on Warwickshire's Natural Capital.
Planned work	Deliver Biodiversity Net Gain schemes on public and private land to promote further nature conservation enhancement as Natural Capital supports human life, health and wellbeing. Research demonstrates that as well as trees, other habitats are beneficial for carbon capture, including grassland. Ecology can work with partners to value land owned by the county for carbon storage and other ecosystem services it provides (e.g.

	flood regulation). WCC land holding include roadside verges, ex-waste sites and the rural estate.
Future work	Influencing planning decisions. Further tree planning and ecological sensitive land management. Advice on community schemes, highway schemes and on other county council land.
Measurement	Estimate carbon capture and other ecosystems services that is and can be delivered through the management of WCC land holdings.
Leadership	Work with partner LAs, Towns and Parishes, community groups, schools and local businesses.
Resources needed	More, bigger, better and connected ecologically rich habitat.
Targets	Biodiversity Net Gain in both area and wildlife rich habitat in the county. Partner with the community to plant a tree for every Warwickshire resident by 2030

Function	Investments
Main contact	Chris Norton
Current work	<p>Treasury Management – operating cash, short term investments, and capital financing function. ~£300m cash investments in money market funds, loans to other LAs, property funds, etc. Mostly short duration investments (days through to months). Currently no ethical investment policy. Priority (statutory) - security, liquidity & yield in that order. Small pool of institutions with high credit ratings. Also manage £350m of public works loan board debt.</p> <p>Pension Fund – manages £2b of assets on behalf of ~200 employers and 50,000 members. The pension fund considers a much longer-term period than treasury management, can take higher risks, and has direct ownership and therefore voting rights on some of its assets. Climate change and responsible investing are a high priority area and the pension fund has more scope to make a difference in this arena than treasury management does. Governance of the Pension Fund is via a Staff and Pensions Committee, an Investment Subcommittee, and a Local Pension Board.</p> <p>Climate change – investments need to be strong in the long term. Companies interested in the long term will by their nature be interested in climate change – both in terms of preventing it and in terms of avoiding its effect on their shareholder value. There is increasing interest from investors in climate change and ethical investment.</p>
Planned work	Work with investment funds to address new interest of investors in climate change issues
Future work	Develop a measure to demonstrate carbon impact and exposure to climate change risk.
Measurement	To be developed, however, this area is very complex, and measurement will be difficult
Leadership	It is important for the Council to be seen to be acting in this complex area which receives much public attention.
Resources needed	Capacity and external expertise to assess investment impact and exposure to climate change risk.

Targets	Work with partners to review the carbon impact of our investments.
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Function	Data
Main contact	Sue Robinson
Current work	Business intelligence have supported work on gathering and presenting the baseline data for the task and finish group.
Planned work	The team will support further work to establish detailed baseline data in each area, benchmark against other similar authorities or properties and then propose ongoing measurement and monitoring methods.
Future work	
Leadership	Measurement and benchmarking techniques can be shared across other local authorities as well as local businesses
Resources needed	Support will be needed for the gathering, storing interpreting and reporting of data. New technology may also be required.
Targets	Improve our baseline data and metrics so we can make decisions and prioritise based on a continually improving understanding of our own emissions and the wider impacts of Warwickshire.

Appendix 5

Climate Change Mitigation - Task and Finish Group

Potential Warwickshire County Council Targets and Actions

Scope 1 and 2 - Emissions the Council has direct control over inc own transport, gas and bought electricity.

By 2030, or sooner, we will: -

1. Ensure staff, contractors and visitors are clear how they contribute to minimising our carbon impact through training and communications
2. Make corporate buildings carbon neutral
3. Reduce our energy consumption by improving the energy efficiency of our buildings
4. Make all street lights low energy, e.g. LED
5. Substantially increase our renewable energy generation
6. Continue to purchase 100% green electricity
7. Make the Council's fleet carbon neutral
8. Partner with the community to plant a tree for every Warwickshire resident

Scope 3 - Emissions the Council has indirect control over ie emissions from purchased goods and services, waste management, business travel, employee commuting and investments.

We will: -

1. Reduce, recycle and compost more of our office and household waste
2. Develop a new Joint waste strategy for Warwickshire and implement this
3. Reduce our use of paper and single use plastic
4. Embrace and embed better ICT to reduce energy consumption, printing and business travel, including commuting
5. Provide zero carbon pool vehicles and encourage their use
6. Provide better shower and storage facilities to promote active travel
7. Develop plans to reduce carbon emissions from our third-party contracts for highways, property and social services
8. Investigate carbon reductions in non-corporate buildings
9. Work with partners to review the carbon impact of our investments

Across Warwickshire – Emissions from all households and businesses inc all burnt fossil fuels and energy used for power, heating and transport. The Council has some influence over these emissions.

By 2030, or sooner, we will: -

1. Review and agree the new local transport plan and area transport strategies to encourage healthy lifestyles and more sustainable transport, including cycling.
2. Develop smart transport targets to reduce carbon and improve air quality, especially in built-up areas.
3. Let a contract for and provide charging points for electric vehicles.

4. Work with local businesses and communities to help them reduce their carbon emissions and become more sustainable
5. Seek to achieve net gain for habitat, benefitting climate change mitigation and adaptation

Governance

By 2020 we will: -

1. Establish a cross party group, chaired by the Portfolio Holder for Environment and Heritage and Culture, to steer work on climate change including both mitigation and adaptation
2. Embed climate change considerations into everything the Council does and make carbon reduction everyone's responsibility
3. Make climate change considerations a requirement for all council decisions including capital investments and procurements
4. Improve our baseline data and metrics so we can make decisions and prioritise based on a continually improving understanding of our own emissions and the wider impacts of Warwickshire
5. Use best practice to benchmark, set targets, prioritise and plan, based on measures of overall sustainability
6. Consider the officer requirements and resources needed to achieve our climate change ambitions
7. Lobby government to provide guidance and incentives for carbon reduction

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