

Cabinet

Date: Thursday, 10 September 2020
Time: 1.45 pm
Venue: Committee Room 2, Shire Hall

Membership

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

To approve the minutes of the meetings held on 9 July 2020 and 27 August 2020

5 - 24

(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. Council Plan 2020-2025 Quarter 1 Performance Progress Report Period under review: April 2020 to June 2020

25 - 46

A report that updates Cabinet on progress against targets set out in the current Council Plan.

- 3. 2020/21 Quarter 1 Budget Monitoring Report** 47 - 118
- This report outlines forecast financial position of the organisation at the end of 2020/21 based on the information known at the end of the first quarter.
- 4. Council's COVID-19 Recovery Plan** 119 - 154
- This report provides Cabinet with details of the approach we have taken to date and asks for approval of the proposed recovery plan to inform the consolidate and accelerate phases of recovery.
- 5. Draft Annual Governance Statement 2019-20** 155 - 178
- After consideration by the Audit and Standards Committee in July the Annual Governance Statement is now before Cabinet prior to final approval by Council.
- 6. Capital Investment Fund 2020/21 Q2** 179 - 194
- This report seeks Cabinet approval to the allocation of CIF monies to a number of projects.
- 7. Revenue Investment Funds 2020/21 Quarter 1 Report** 195 - 200
- The schemes detailed in this paper are all part of the Economic Recovery Programme. Subject to Cabinet's decision five projects will be funded from the Place Shaping and Capital Feasibility fund.
- 8. Customer Service Excellence Standard Reaccreditation** 201 - 278
- The Warwickshire County Council Customer Service Excellence Reaccreditation took place over a 4-week period during January this year. This report sets out details of that exercise and its outcome.
- 9. Local Digital Declaration** 279 - 284
- This paper sets out the various benefits that can be derived from signing up to the Local Digital Declaration, along with an assessment of the limited number of risks it might present.
- 10. Home to School Transport Policy** 285 - 344
- A report that concerns a change to the Council's home to school transport policy.
- 11. Establishment of a Framework Agreement for Children's Therapeutic Services and Interventions** 345 - 350

This report seeks Cabinet approval to proceed with an appropriate procurement process for the provision of a

12. Warwickshire Foster Carer Association 351 - 358

A report that seeks Cabinet approval to provide funding towards the set up costs of the Warwickshire Foster Carers Association.

13. Proposal to Establish Specialist Resourced Provision at Paddox Primary School, Rugby 359 - 364

Warwickshire County Council is proposing to establish a specialist provision at Paddox Primary School for up to 10 pupils, principally in Reception, Year 1 and Year 2, with an Education, Health, and Care Plan where social, emotional and mental health is the primary need.

14. Local Government & Social Care Ombudsman - Annual Review and Summary of Upheld Complaints 365 - 376

Each year the Local Government and Social Care Ombudsman (LGSCO) produces a review letter which contains a summary of statistics on the complaints made about the Council for the year ended 31 March. This report attaches a copy of the LGSCO's letter for the year 2019/20 and provides more detail in relation to the themes identified by the upheld cases and action the Council is taking to target key areas.

15. Exclusion of the Press and 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 of Meeting held on 9 July 2020 377 - 378

To consider the exempt minutes of the meeting of Cabinet held on 9 July 2020.

17. (Exempt) Insurance Service Tender 2021-2028 379 - 382

An exempt report concerning the re-tendering process of the Council's insurance service.

Monica Fogarty
Chief Executive
Warwickshire County Council
Shire Hall, Warwick

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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.

Cabinet

Thursday, 9 July 2020

Minutes

Attendance

Committee Members

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

Officers

Monica Fogarty, Chief Executive
Nigel Minns, Strategic Director for People
Rob Powell, Strategic Director for Resources
Mark Ryder, Strategic Director for Communities
Paul Williams, Democratic Services Team Leader

Others Present

Councillors Adkins, Boad, Cargill, Chilvers, Cooke, Falp, Gifford, Holland, Kondakor, O'Rourke, Parsons, Roodhouse, Singh Birdi, Webb, C Williams and P Williams

1. General

(1) Apologies

No apologies were received for the meeting.

Chair's Announcement

Prior to the start of the meeting Councillor Izzi Seccombe (Leader of the Council and Chair of Cabinet) made a statement concerning the passing of Councillor Richard Chattaway. Members were informed that despite restrictions relating to Covid-19 many people had turned out in Bedworth and Nuneaton to pay their respects on the day of Councillor Chattaway's funeral. Councillor Seccombe recognised the contribution that Councillor Chattaway had made to the people of Warwickshire adding that she was saddened to lose a good friend.

Councillor Helen Adkins (Acting Leader of the Labour Group) observed that Councillor Chattaway had been a “political giant” across Nuneaton and Bedworth and the whole of Warwickshire. He would be greatly missed. Councillor Adkins stated that more would be said in memory of Councillor Chattaway at Council on 23 July.

Councillor Jerry Roodhouse (Leader of the Liberal Democrat Group) stated that he had know Councillor Chattaway since 2001. His fondest memory would be of the produce from his allotment that Councillor Chattaway was always happy to share.

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

The following declarations were made concerning Item 7 on the agenda, Trinity Catholic School.

- 1) Councillor Helen Adkins declared a non-pecuniary interest stating that her children attend the school.
- 2) Councillor Jerry Roodhouse declared a non-pecuniary interest as his daughter is employed at the school.
- 3) Councillor Bill Gifford declared a non-pecuniary interest as his children had attended the school previously.

(3) Minutes of the Previous Meeting

The minutes of the meeting of Cabinet held on 11 June were agreed as an accurate record.

(4) Public Speaking

The Chair welcomed five members of the public to the meeting and invited them to address Cabinet.

- 1) Professor David Mond.

Regarding item 3 on the agenda Professor Mond read out the following statement.

My name is David Mond. I'm a professor of Mathematics at Warwick University, and have been coordinating an interdisciplinary undergraduate module on climate change there for seven years. I'm also a member of Extinction Rebellion, because I believe that the government, and society in general, needs to pay much more attention to this desperately worrying threat.

I'm here today because I want to inform councillors of the interim findings of the UK's Citizens Assembly on Climate Change, which I believe should have some bearing on Warwickshire's measures to recover from the corona virus pandemic.

Climate Assembly UK was formed at the start of this year by six Parliamentary Select Committees: Business, Energy and Industrial Strategy; Environmental Audit; Housing,

Communities and Local Government; Science and Technology; Transport, and Treasury. It met over six weekends from January to May this year.

The assembly had 108 members, randomly chosen to represent a wide range of the UK population. They were informed by experts on climate change, economic policy and democracy. The full results of the votes taken at the conclusion of the Assembly will be released when parliament reconvenes in September. Interim results about recovery from the pandemic were published on June 23rd. In summary

- 79% of assembly members 'strongly agreed' or 'agreed' that, "Steps taken by the government to help the economy recover should be designed to help achieve net zero"¹; 9% strongly disagreed or disagreed; 12% were unsure.
- 93% of assembly members 'strongly agreed' or 'agreed' that, "As lockdown eases, government, employers and/or others should take steps to encourage lifestyles to change to be more compatible with reaching net zero; 4% strongly disagreed or disagreed; 3% were unsure."

An executive summary of the interim findings, and in particular these figures, is available via the link² on the written version of these remarks which I have circulated to you. I have also supplied a link³ to the June 25th report of the government's Committee on Climate Change, which argues in support of the views of the UK Climate Assembly that I have reported on.

2. Dominic Harrison

Also regarding item 3, Mr Harrison stated that he was a Warwick resident working with the National Grid with involvement in a carbon capture project. He was also a member of the campaign group, Extinction Rebellion. Mr Harrison made the following points:

- Despite warnings and evidence regarding climate change societies and governments continue on their own path.
- Financial recovery post Covid-19 should place low carbon generation at its centre.
- Pre-Covid-19 levels of carbon emissions should not be allowed to recur.
- The top 200 UK companies have embraced the key messages around carbon generation.
- The BBC has recently reported that a 2 degree C increase in average temperatures will result in a 50% chance of environmental collapse.
- Warwickshire must not allow itself to fall behind.
- It is important to follow the science.

3) Emma Goulbourn

Ms Goulbourn addressed Cabinet on matters regarding Trinity Catholic School in Leamington and made the following points:

- The Interim Executive Board (IEB) had failed her and her family.
- The school was experiencing a reduction in the number of pupils wishing to start there. Many pupils have left and gone to other schools
- In 2019 the Children and Young People Overview and Scrutiny Committee took

evidence from pupils around a change of ethos at the school from caring to uncaring.

- The change in ethos has had an impact on pupils' mental health.
- The decision to remove teaching assistants from classrooms has led to a decline in progress of pupils requiring additional support. Children that have an Education Health and Care Plan have been removed from classes. To do so is unlawful.
- Pupils that are not Catholic are obliged to undertake religious activities.
- Rebranding is not required. What is needed is care, communication and love.

4) Mr James Sinnott

Regarding Trinity Catholic School Mr Sinnott read out the following statement.

"I hope that you've all got sight of the letter that I have submitted for the meeting?

I've taken the chance to remind you of what you have said. These are your words. They now have a very hollow ring to them. Issues have been raised repeatedly, as you have sleep-walked into a worsening financial mess.

In 2018 Clive Sentance, Chair of the IEB, stated that the IEB have the "expertise and experience to work with the school over the next 12 months to ensure its future is healthy".

2019 Clive Sentance stated that the "projected deficit for the end of this financial year is now significantly smaller than originally forecast".

2020 WCC stated that the school's "Budget deficit likely to increase" and "Having no clear direction of travel". The IEB forced on us still "have not produced a deficit recovery plan"!

I'm amazed that since we last met, we are in a worse situation and you're still digging that hole.

We submitted:

Impact statements – no response.

Petition – no response.

FOI requests, complaints, whistleblowing, investigation requests which all added up to naught.

A council that doesn't listen. A council lacking in trust.

The current plan, if chosen, is to absorb over £1m worth of debt and starve "other learners, schools and communities" of much needed funds.

Whilst also gifting a prime asset worth a conservative £25m, and probably nearer £50m, to an academy. An asset possibly lost forever. What safeguards have been put in place? Is this all about asset strippers in dog collars? These figures don't seem to appear in the options appraisal! More public purse being spaffed up the wall – which seems to be a WCC's approach.

I know that, to you, this is all about money. Scant regard has been given to the standard of education offered to the pupils. The only reason for taking interventions is to prevent the "... prejudicing, or likely to prejudice, such standards of performance". In all of this sad tale - this

fact has been wilfully ignored.

The 'truth twisters' can't be trusted. An independent investigation into how the education department works is the only way to learn lessons. There are other IEBs in Warwickshire – have lessons been learnt?

An academy may well be the best option for Trinity – let's face it, LA interventions haven't gone well. What about the most vulnerable students and Peter's Place – will they fit the Academy model? Or, do they become a liability? We've already seen the IEB airbrush them out of the figures. The LA will have no say.

The desperation to dispose of Trinity is evident in the options appraisal, but the money being thrown at this option is staggering and must be open to public scrutiny. Oh, what a tangled web we weave...

5) Ms Christine Burke

Speaking regarding Trinity Catholic School Ms Burke made the following points:

- Trinity School used to stand for equality and dignity.
- The only meeting of the IEB held in 2018 gave assurances that the ethos of the school would not change. This has not been the case.
- The weekly bulletin that is published is a "tick box" exercise.
- Previously, despite budget pressures children thrived. Over time there has been a steady erosion of pupils' rights and now there is a more of a "boot camp" approach to discipline.
- Some pupils have experienced a crisis of faith.
- Children are being removed from the school.
- The cessation of the bus pass has aggravated the situation.
- The school has seen little investment over the last 20 years
- There remain questions over the sale of the playing fields that require answers.
- What is required is professional collegiate leadership.

The Chair thanked the public speakers and announced that agenda item 7 would be brought forward in the order of business.

2. One Organisational Plan 2019/20 Year end Performance Progress Report Period under review: April 2019 to March 2020

Councillor Kam Kaur (Portfolio Holder for Customer and Transformation) introduced the item stating that this was the first such report based on the new performance framework. Cabinet was informed that 30% of Key Business Measures had achieved target while 41% were behind target.

The impact of Covid-19 will be reflected in future reports. It will be important to ensure that the County Council is using the correct key measures to assist recovery.

Regarding sickness levels the meeting was informed of a project that aims to build a more resilient workforce.

Councillor Maggie O'Rourke (Acting Deputy Leader of the Labour Group) commended officers for their hard work during the pandemic. She welcomed that the indicators will be reviewed to ensure they are the right ones to inform recovery. She requested that when the new indicators are developed, all political groups be allowed to be involved.

Councillor Jerry Roodhouse suggested that in any normal year the results would not be considered good. However, 2020 is not a normal year. Recovery will require the re-setting of some services (eg children's), with mental health and poverty being prominent. Councillor Roodhouse asked that consideration be given to the establishment of a cross-party working group to develop the new indicators. This should be in place for September.

Councillor Keith Kondakor observed that post Covid-19 there will be a need to "build back better". There needs to be a focus, he added, on biodiversity. The current two-tier system of local government mean that this is at risk of falling between the County Council and District and Borough Councils. Biodiversity requires a cross party working group of its own. Finally, Councillor Kondakor suggested a review of the capital programme to take account of changes that have resulted from Covid-19.

Resolved:

That Cabinet notes the progress of the delivery of the One Organisational Plan 2020 for the period as contained in the report.

3. A Financial Framework for the 2021/22 MTFs and Managing the Covid-19 Financial Impact

Councillor Peter Butlin (Deputy Leader Finance and Property) introduced the published report. He explained that the Covid-19 pandemic had created a new reality and that the Medium-Term Financial Strategy that was agreed in February 2020 was obsolete. Cabinet was informed that as well as being impacted by Covid-19 the Council would need to find additional resources for special needs education and a general increase in demand for services to the high needs sector. Fortunately, the Council had sets aside reserves which will assist in the short-term giving officers and members the opportunity to reset the financial agenda. It is forecast that over the next five years Covid-19 will result in a £25m funding gap. This has to be added to the previously set savings target of £33m. The government has said that it will make good some of the losses resulting from Covid-19. However, there will still be a shortfall. Councillor Butlin concluded by emphasising the need to get the economy working again.

Councillor Helen Adkins reiterated the view expressed earlier in the meeting by Professor Mond that the opportunity should be taken during the recovery phase to reduce carbon emissions.

Councillor Keith Kondakor suggested that rather than recovery a change into a new state will be seen. A four-day working week may become the norm, A review of the capital programme is required and there should be an emphasis on providing support for young people moving in to employment.

Councillor Maggie O'Rourke sought assurances that front line services would be safeguarded. She suggested not acting or making decisions too fast as a second Covid-19 wave might change the position again.

Councillor Jerry Roodhouse noted that whilst the Council is better placed financially than others, the current crisis will result in reserves being spent. He asked that any review of non-statutory services be undertaken in a transparent way that is open to scrutiny.

Councillor Judy Falp expressed her concern for staff who, she suggested, might be worried about their jobs. She asked that they be kept informed of progress.

In response to members' concerns assurances were given that climate change is taken very seriously and that all elected members will be involved in the development of future performance indicators. The efforts that staff have gone to in recent weeks were commended and assurances were given that staff wellbeing is at the forefront of workforce management.

Councillor Peter Butlin emphasised that the economy in Warwickshire remains strong. Retail in the high street was struggling prior to the pandemic. The collapse of many retailers now being witnessed will require new solutions. In addition, Councillor Butlin observed that it is often young people who are early casualties when the economy is in difficulties. The government has pledged resources to assist those young people to find employment.

Resolved:

That Cabinet:

- 1) Notes the emerging financial position within which the 2020/21 budget and 2020-25 Medium Term Financial Strategy will be developed;
- 2) Agrees the approach to the funding of the financial impact of Covid-19 in 2020/21 as set out in paragraph 3.4;
- 3) Agrees the proposals for the refresh of the 2021/22 MTFS and Capital Strategy, as set out in Sections 4 and 5;
- 4) Notes the requirement for the Authority to set a sustainable balanced budget which shows how income will equal spend over the short- and medium-term; and
- 5) Approves the timetable for agreeing the 2021/22 budget.

4. DSG Recovery Plan and DSG Sustainability Plan

Councillor Colin Hayfield (Portfolio Holder for Education and Learning) introduced the published report, explain that this was the second on the subject to be placed before Cabinet in two months. The first report had set out the principles for SEND. This latest report focussed on financial aspects. A fourth recommendation was tabled.

Councillor Helen Adkins noted that the difficult situation the Council is in regarding the financing of the SEND service and welcomed the additional recommendation.

Councillor Jerry Roodhouse stated that the County Councils Network is working hard to find a solution to the current shortages of funding across the country. That the people being supported by SEND are vulnerable was stressed. In addition, it was noted that the cost of providing services has increased during the Covid-19 pandemic.

The Chair concluded the item proposing that any letter to the Chancellor should be copied to the Secretaries of State for Education and Housing, Communities and Local Government as well as the local Members of Parliament.

Resolved:

That Cabinet:

- 1) Approves the Dedicated Schools Grant (DSG) Recovery Plan
- 2) Approves the sum of £554,187 from the Sustaining Prevention Fund to be allocated to the SEND & Inclusion Change Programme
- 3) Continues to raise the issue of sufficient funding for High Needs through direct correspondence with the Secretary of State/Chancellor of the Exchequer and through the Local Government Association, County Council Network and f40 group.
- 4) Asks the Deputy Leader (Finance and Property) to write to the Chancellor of the Exchequer to underline Warwickshire's continuing concerns on the unsustainable funding basis for the high needs sector.

5. Education (Schools) Capital Programme 2020/21

Councillor Colin Hayfield reminded Cabinet that reports concerning the use of the Education Capital Programme are regularly presented to it.

Councillor Keith Kondakor suggested that information should be included concerning school projects that are not included in the capital programme. In reply, Cabinet was informed the report and proposals before Cabinet were not presented to the exclusion of other schools' projects.

Resolved:

That Cabinet:

- 1) Approves the addition of £3,140,587 to the capital programme to deliver the schemes outlined in Section 3
- 2) Authorises, subject to the approval of recommendation 1, the Strategic Director for Communities to invite tenders and enter into the appropriate contracts on terms and conditions acceptable to the Strategic Director for Resources, or (where the scheme is school-led) to make the necessary funding arrangements for these schemes.

6. Covid-19 and Black and Minority Ethnic Communities

Councillor Les Caborn (Portfolio Holder for Adult Social Care and Health) introduced this item by proposing a fourth recommendation. He then summarised the published report adding that it marked the commencement of a two-year project.

Councillor Maggie O'Rourke welcomed the report but suggested that whilst the proposed project work in North Warwickshire and Nuneaton and Bedworth is welcomed, there is a case for undertaking such reviews across the whole of Warwickshire. Differences were observed in the workforce profile with frontline services being made up of more people from black and minority ethnic communities that in supporting services.

Councillor Keith Kondakor noted that as well as issues around discrimination there are those around health ie greater incidence of type-2 Diabetes, diet and lifestyle. People from black and ethnic minorities often reside in areas of high air pollution. Finally, consideration should be given to how accessible cycling and sports are to people from black and minority ethnic communities.

Councillor Caborn thanked members for their contributions adding that he would follow up on suggestions.

Resolved;

That Cabinet:

1. Notes the main findings from the Public Health England Review of the Impact of COVID19 on Black, Asian and Minority Ethnic (BAME) communities
2. Notes the recommendations included in the report and support their adoption, where the Director of Public Health considers relevant, for Warwickshire and Warwickshire County Council
3. Endorses, using place based JSNA approaches, a review into the relationship between ethnicity and COVID19 in North Warwickshire and Nuneaton and Bedworth.
4. Through the Health and Wellbeing Board, asks our partners in Health to consider the recommendations with a view to adoption by their respective agencies.

7. Trinity Catholic School, Leamington Spa

Councillor Colin Hayfield (Portfolio Holder for Education and Learning) informed Cabinet that Trinity School had been a cause of concern for a number of years. The recommendations before the meeting offered a fresh start. Extensive work had been undertaken to identify a sustainable future for the school and with the agreement of Cabinet a consultation exercise on the proposals would be undertaken in the Autumn.

Councillor Bill Gifford expressed his sympathy to those who had concerns over the changing ethos of the school. It was, in the past, the liberal Catholic ethos that prevailed at the school that encouraged pupils to think and question. That ethos helped lead to the school being oversubscribed. Councillor Gifford expressed some doubt about the academy structure but

acknowledged that this was the direction the school would take. Leamington needs a good Catholic school he suggested. At the present time, declining rolls mean that the school is becoming less viable. Councillor Gifford then raised concerns over reports that part of the school's playing fields could be sold off.

Councillor Helen Adkins commented on the effectiveness of the Interim Executive Board (IEB), stating that it had been ineffective and had eroded the ethos of the school. A call was made for a review of the use of IEBs in Warwickshire. She observed that in the Leamington area schools that were over-subscribed had been allowed to take additional pupils whilst there remained places at Trinity School.

In response to Councillor Adkins, Councillor Izzi Seccombe explained that the IEB had been put in place because there were concerns regarding the school's finances. Cabinet was reminded that Trinity School comes under the Coventry Diocese.

Councillor Jerry Roodhouse acknowledged that there was a possible solution to the school's difficulties on offer. However, he stressed the need to press the school on its ethos and its buildings. The Diocese should be held to account and made to take more responsibility for the school. In addition. The proposed consultation exercise should be widely promoted to ensure that a good body of evidence is gathered on which any decisions are made.

Councillor Colin Hayfield, responding to Emma Golbourn (public speaker), noted that the County Council will continue to be responsible for special education provision at the school. He disputed any suggestion that the school was heading towards greater financial difficulties. The sixth form and Peter's Place would be safe. The key outcome was that the school would remain Roman Catholic. Regarding changes to the ethos of the school, Councillor Hayfield suggested that whenever the headship of a school changes so will its ethos. Councillor Hayfield observed that whenever a school is academized the land becomes the property of whoever is running the school. This constitutes a major "land grab" but is not something the Council can control.

Resolved:

That Cabinet:

1. Notes the report and the proposed structural solution for Trinity Catholic School including the financial risks, associated with the current position and long-term sustainability.
2. Agrees the structural solution put forward for Trinity Catholic Secondary School as an Academy converter based on an options appraisal that includes the implications of doing nothing.
3. Authorises the Strategic Director for Communities in consultation with the Portfolio Holder for Education and Learning to negotiate the conditions that need to be met to enable the structural solution to be achieved including the accumulated deficit budget in line with the protocol for Schools with Deficit Budgets on terms and conditions acceptable to the Strategic Director for Resources.

8. Children and Families Change Programme Update

Councillor Jeff Morgan (Portfolio Holder for Children's Services) explained that the report before Cabinet set out details of an ambitious change programme committing £12m over three years. The practices to be followed would be based on those being used successfully in Leeds.

Councillor Jerry Roodhouse welcomed the report but expressed concerns that one-off cash injections for projects, whilst welcome, can leave the future delivery of services in question. Funding for the project should be part of the base budget. Councillor Morgan agreed with this latter point adding that where elements of the project are found to bring major enhancements, efforts will be made to build these into the budget.

Resolved:

That Cabinet endorses the Children and Families Change and Investment Plan 2020-2023, with further work to continue on validating the benefits of the programme.

9. Reports Containing Confidential or Exempt Information

Resolution agreed.

10.(Exempt) Holly Walk House, 56-58 Holly Walk, Leamington Spa

Exempt Decision.

Recommendations agreed as published.

Details from Democratic Services 01926 418196

11.(Exempt) Establishment of a Warwickshire County Council OFSTED Registered Children's Home

Exempt Decision.

Recommendations agreed as published.

Details from Democratic Services 01926 418196

The meeting rose at 15:55

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Chair

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Cabinet

Thursday, 27 August 2020

Minutes

Attendance

Committee Members

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

Others Present

Councillors

Councillors Helen Adkins, Jo Barker, Margaret Bell, Parminder Singh Birdi, Sarah Boad, Mark Cargill, Jonathan Chilvers, Alan Cockburn, John Cooke, Corinne Davies, Nicola Davies, Neil Dirveiks, Judy Falp, Jenny Fradgley, Bill Gifford, Peter Gilbert, Clare Golby, John Holland, Keith Kondakor, Bhagwant Singh Pandher, Dave Parsons, Caroline Phillips, Wallace Redford, Jerry Roodhouse, Andy Sargeant, Jill Simpson-Vince, Dominic Skinner, Alan Webb, Chris Williams, Pam Williams.

Speakers

Councillor Andrew Day – Leader of Warwick District Council
Councillor Julie Jackson – Leader of Nuneaton and Bedworth Borough Council
Councillor Adam Farrell – Leader of the Labour Group, North Warwickshire Borough Council

1. General

Councillor Izzi Seccombe (Leader of Council and Chair of Cabinet) opened the meeting. In doing so she explained that the Dispensations Sub-Committee of the Council had met on 26 August to agree dispensations for those members of the County Council who sat on district and borough councils or whose partners sat on district and borough councils. Without the dispensations, which were granted, a significant number of members would not have been able to participate fully in the debate on devolution.

Cabinet was also informed that although the Council's Constitution excludes elected representatives from district and borough councils from speaking on matters pertaining to their councils, the Chair was prepared to make an exception in this instance.

(1) Apologies

None

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

The following members declared a pecuniary interest.

Councillor Barker – Member of Stratford District Council and Stratford Town Council as well as Chair of an academy trust

Councillor Singh Birdi – Member of Warwick Town Council

Councillor Boad – Member of Warwick District Council as is her husband

Councillor Butlin – Member of Rugby Borough Council

Councillor Cargill – Member of Stratford District Council

Councillor Crump – Member of Stratford District Council

Councillor Falp – Member of Whitnash Town Council and Warwick District Council

Councillor Gifford – Member of Warwick District Council. His wife is a member of Leamington Town Council

Councillor Golby – Member of Nuneaton and Bedworth Borough Council

Councillor Phillips – Husband is member of Nuneaton and Bedworth Borough Council

Councillor Roodhouse – Member of Rugby Borough Council

Councillor Sargeant – Member of Nuneaton and Bedworth Borough Council as is his wife.

Councillor Simpson Vince – Member of Rugby Borough Council

Councillor Timms – Member of Rugby Borough Council

(3) Public Speaking

Councillor Izzi Seccombe welcomed the three public speakers.

1. Councillor Andrew Day – Leader of Warwick District Council

Referring to the report appended to the published paper Councillor Day questioned whose it was. Was it a report by PWC or the County Council? Referring to page 38 of the appendix Councillor Day observed that although there was reference to consultation on proposals with partners, there was no reference to consultation with district and borough councils. In terms of the forecast savings given in the report, Councillor Day asked to see the detail behind the figures. He suggested that slowing down the process would allow all six principal authorities to work together to present a joint case.

2. Councillor Adam Farrell – Leader of the Labour Group on North Warwickshire Borough Council

Councillor Farrell opened by suggesting that any understanding that business cases for devolution submitted in September 2020 would be included in tranche 1 was incorrect. He suggested that the PWC report before Cabinet lacked balance adding that a unitary structure

would not necessarily result in the levelling up of residents' life chances across the county. The solution, he suggested was to retain district and borough councils allowing local knowledge to inform decisions.

The need to review local government was acknowledged but before any decisions are made there needs to be comprehensive consultation with communities and the district and borough councils.

3. Councillor Julie Jackson – Leader of Nuneaton and Bedworth Borough Council

Councillor Jackson challenged why the County Council appeared to be rushing into devolution adding that it was unlikely that Warwickshire would be in tranche 1. The need to consult fully was emphasised. The levelling up of life chances had never been achieved by the County Council and there was little chance that a unitary council would fare better. Councillor Jackson asked that the County Council not assume what residents want.

2. Devolution and Local Government Reform

Councillor Izzi Seccombe opened the item stating that on 24 June 2020 Warwick District Council and Stratford District Council had issued a press release stating that they were jointly looking to merge and share services. This impacts on all councils in Warwickshire. This triggered a letter from Councillor Seccombe to all the Leaders of the five district and borough councils proposing a joint Warwickshire local government reform project. The County Council commissioned PWC to prepare the report before Cabinet with a view to it being the start of the conversation. Councillor Seccombe emphasised that the Senior civil servant overseeing has stated that a submission made by one council will not diminish submissions made by other councils. All councils in Warwickshire need to engage in the process with a view to finding the best solution for all councillors and residents.

Cabinet was reminded that the present government had made an election pledge to reform local government. The Covid-19 pandemic had illustrated how well councils could work together but it had also highlighted the shortcomings and frustrations of the present system. If it is decided that a unitary approach is the best then, to ensure that local interests are also secure, a form of double-devolution would need to be considered.

Councillor Jeff Clarke (Portfolio Holder for Transport and Planning) recognised the need for local government reform and emphasised that local democracy would need to be maintained. The timing of the review had advantages and disadvantages. The need for local authorities to take the lead was emphasised. With specific reference to his portfolio, Councillor Clarke observed that a single system would help in terms of spatial planning, transport planning and highway maintenance. The splitting in two of those functions currently carried out by the County Council would see costs increase significantly. Councillor Clarke agreed that double-devolution would assist in maintaining a local dimension to democracy.

Councillor Keith Kondakor raised a series of points. 1) What would be the implication of unitarisation of local planning and development targets? 2) What would be the impact on efforts to address climate change? 3) Benefits could be brought through unitarisation for public transport provision and air quality. At present responsibilities are split between district/borough councils and

the County Council. 4) The PWC report makes no reference to housing. 5) Democracy must be protected. People should be given a say in what is being proposed and at the same time civic functions should be protected.

Councillor Kondakor added that new structures are required particularly with regards public transport and waste management. he reminded Cabinet that Covid-19, climate change and the need for economic recovery are critical and closed by suggesting that if a unitary authority was to be created it should have its headquarters in Nuneaton or Bedworth.

Councillor Helen Adkins (Leader of the Labour Group) stated that she agreed with many of the comments made earlier by speakers. She considered that the report had been rushed and that it lacked balance. There had been no consultation with the district and borough councils. When she had met with PWC they appeared to know little about the district and borough councils including who the Leaders of those Councils were. Councillor Adkins added that the report said little regarding levelling up or climate change and closed by acknowledging that there will be areas of agreement and disagreement, stressing the need for cooperation from all sides.

Councillor Jeff Morgan (Portfolio Holder for Children's Services) observed that a single unitary authority would exist for the benefit of residents and not for itself. Unitarisation would bring benefits for children's services with regards early intervention as well as corporate parenting. Regarding care leavers, Councillor Morgan cited cases where young people leave care at 18 but have to become homeless before being considered for local authority housing. A unitary council should be able to facilitate a seamless transition. Council Tax relief for care leavers would be easier to arrange with a unitary council as would leisure provision and apprenticeships. A two unitary council model would result in children's services being run by a trust. This would, in turn, result in a reduction of accountability and budgetary control. Finally, Councillor Morgan observed that urban areas that currently have no town or parish councils would benefit if they did.

Councillor Jonathan Chilvers (Leader of the Green Group) suggested that the PWC report failed to make the strategic case for change. It appeared to dismiss different models and was not neutral in its approach. This is particularly the case with the financial claims contained in it. Shropshire had become a unitary council ten years previously. Over the ensuing years budgets intended to support localism had been eroded and placed based committees had ceased to meet. The PWC report, Councillor Chilvers added, should make more reference to town and parish councils.

Councillor Izzi Seccombe, responding to Councillor Chilvers, noted that Durham has operated a very effective unitary structure for some time. Shropshire was a small unitary council that had never been adequately resourced.

Councillor Mark Cargill suggested that it is important that all political groups engage in the debate. He informed Cabinet that Stratford District Council and Warwick District Council had sought to work together more closely. Any debate regarding local government reform should be based on accurate and independent information. All options should be explored with residents. Councillor Cargill added that he had attended eight parish council meetings in recent weeks and there appeared no appetite for a single unitary council. It will be important to see reports from the district and borough councils to gauge their positions he concluded.

Councillor Jerry Roodhouse (Leader of the Liberal Democrat Group) reminded Cabinet that urban areas such as Nuneaton do not have parish councils. He questioned how double devolution would

work. The key with any reform will be robust discussion between parties and transparency by all councils.

Councillor Colin Hayfield (Portfolio Holder for Education and Learning) stated that his aim was to find the best solution for his local community and for the people of Warwickshire as a whole. He had initially been a supporter of maintaining the status quo. However, recognising the financial position of the district and borough councils it was becoming increasingly clear that this could not be sustained. He suggested that comparing a single unitary authority model and one for two unitary authorities was not possible. A split unitary approach would result in two administrative areas that were too small to be viable. Education and Fire and Rescue would be required to be governed by an unelected trust. Education would be at risk. Attainment levels have already been compromised by Covid-19 and special education provision could not be provided by two unitary authorities.

Councillor Jo Barker informed Cabinet that when Stratford District Council and Warwick District Council had proposed the creation of a merged “super district” there had been no intention of triggering a debate on unitarisation. Like Councillor Cargill, in discussions at parish council meetings there had been no support for unitarisation. She noted that the CCGs are merging to provide a single body and considered that highways would be better served by a single body. People, Councillor Barker noted, will always feel that other areas receive better services or more resources.

In response to Councillor Barker, Councillor Seccombe stated that everybody has a right to good services. People in Warwickshire are supported equally and the savings that could be made through unitarisation could be used for the benefit of all.

Councillor Judy Falp stated that she always welcomed change. However, she challenged the reliability of the PWC report adding that a joint submission with the district and borough councils would be more effective. The need to engage with town and parish councils was emphasised.

Councillor Caroline Phillips considered that the PWC report lacked balance and detail and suggested that it should be withdrawn and not considered by Council. In addition, Councillor Phillips considered that the process should have been started with discussions with the district and borough councils.

Councillor Heather Timms (Portfolio Holder for Environment and Heritage & Culture) reminded Cabinet that she was Chair of the Warwickshire Waste Partnership. This body made up of representatives from county and district and borough councils had achieved much. However, its capacity to deliver more was restricted by the division of responsibilities between the two tiers. As Climate Change Champion she also suggested that more could be done at a quicker pace if there was only one authority. In terms of heritage and culture, tourism would benefit if the whole of Warwickshire was equally promoted as a desirable destination.

Councillor Les Caborn (Portfolio Holder for Adult Social Care and Health) reminded members of the integrated care debate that had been held previously. In that instance support had been unanimous. Health partnerships already operate well across the region. The JSNA provides an indication of people’s needs at the local level and the County Council is widely recognised as a good provider of social care and Public Health has delivered an excellent response to Covid-19. This does, however, rely on efficiencies of scale. Councillor Caborn emphasised that under a new

unitary structure the staff who worked for the County Council and district and borough councils would still be there; working under a different banner. The key, Councillor Caborn suggested, is to be smart and proactive with decisions based on accurate and comprehensive information.

Councillor Andy Crump (Portfolio Holder for Fire and Rescue and Community Safety) explained that he had become a councillor to obtain the best outcome for the people of Warwickshire. Individuals only see one council. They do not distinguish between county and district/borough. Regarding the Fire and Rescue Service, Councillor Crump congratulated it on its response to Covid-19. The service he added was agile but being county-wide is large enough to remain viable. HS2 is presenting it with challenges but these are being addressed. He expressed concern at the potential for splitting up of the Warwickshire Fire Service.

Councillor Peter Butlin (Deputy Leader – Finance and Property) opened by saying that any decision regarding reform should not be based on finances alone. Anyone who has any experience of two-tier structures will be aware of the barriers these can present. The status quo cannot be maintained so the basis for any discussion needs to be around single or twin unitary councils. Regarding the financial figures given in the PWC report, Councillor Butlin stated that these will be provided to members prior to the County Council meeting on 22 September 2020. Reports to date have focused on the costs of disaggregating services. That is the cost of splitting services that are currently run on a county-wide basis. The Coventry and Warwickshire LEP is operating well and has been identified as amongst the highest performing LEPs in the Country. If the final structure is not a single unitary council then risk management and resilience, performance, place shaping and covid-19 recovery would all be compromised.

Councillor Kam Kaur (Portfolio Holder for Customer and Transformation) reported that over the last two years the County Council has successfully overseen a transformation programme that has resulted in the realisation of significant savings. The digital approach resulted in a resilient technology platform that enabled 4500 staff to move to home working when the Covid-19 outbreak began.

In connection with Covid-19 much work has been undertaken with district and borough councils. This has included the local delivery hubs and shielding hubs.

Using the example of her father who had travelled from India in the 1960s Councillor Kaur explained that for change to happen, courage and leadership are required.

Councillor Izzi Seccombe thanked all members who had spoken, for their contribution. She agreed that climate change and air quality are issues that continue to need to be prioritised and added that to date the County Council has had little opportunity to input into discussions around housing. The exception is in extra care housing where the County Council has a good track record.

Over the last twenty years the level of partnership working has increased significantly. However, going forward, the extent to which partners will be able to continue to contribute is unclear.

Finally, Councillor Seccombe emphasised that any suggestion that the County Council was looking to take over district and borough councils was wrong. A single Unitary would see the establishment of a new council replacing all six existing councils. The important thing is to find a solution that best serves the people of Warwickshire.

A vote was held. The recommendation as read out by Councillor Seccombe was agreed unanimously.

Resolved:

That Cabinet approves the submission to Government of the Strategic Case for Change for a single unitary Council for Warwickshire so as to preserve the opportunity for Warwickshire to be considered in an early tranche of local government reform and that the Chief Executive is authorised in consultation with the Leader to make any amendments considered necessary in advance of submission.

The meeting rose at 15.52

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Chair

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Cabinet

10 September 2020

Council Plan 2020-2025 Quarter 1 Performance Progress Report Period under review: April 2020 to June 2020

Recommendations

That Cabinet:

- a) Consider and comment on the progress of the delivery of the Council Plan 2020 - 2025 for the period as contained in the report.
- b) Agree the proposed changes to the Commissioning Intentions Framework.

1. Report Summary

- 1.1. This report summarises the performance of the organisation at the Quarter 1 position, 1st April 2020 to 30th June 2020.
- 1.2. Key human resources performance measures and high-level risks to the Council are highlighted within this report.

2. Performance Commentary

2.1 The Council Plan 2020 - 2025 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 Council Plan 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, the [Commissioning Intentions Performance Framework](#) provides a sharpened focus on performance linked to the Organisation’s priorities. As part of this transformation several changes to measures have been proposed to ensure that the Framework remains fit for purpose and supports delivery of the priorities. Appendix A lists all requests, including a full rationale, for changes to KBMs and a revised Commissioning Intentions Performance Framework is at Appendix B. Detailed Quarter 1 performance has been visualised utilising the functionality of the Microsoft Power BI system.

2.2 At Quarter 1 there has been an improvement in overall performance compared to the 2019/20 year-end position. Several measures, however, have been impacted by the Covid-19 pandemic and as a consequence there is little or no sign of improvement in these areas. These are fully detailed in 2.5.

2.3 At Quarter 1 there are 41 KBMs available for reporting; 71% (29) KBMs are On Track and 29% (12) are Not on Track. This is an improvement from the year-end position when, of the available KBMs, 41% (19) achieved target while 59% (27) were behind target.

Chart 1 summarises KBM status by quarter since the introduction of the Commissioning Intentions Framework.

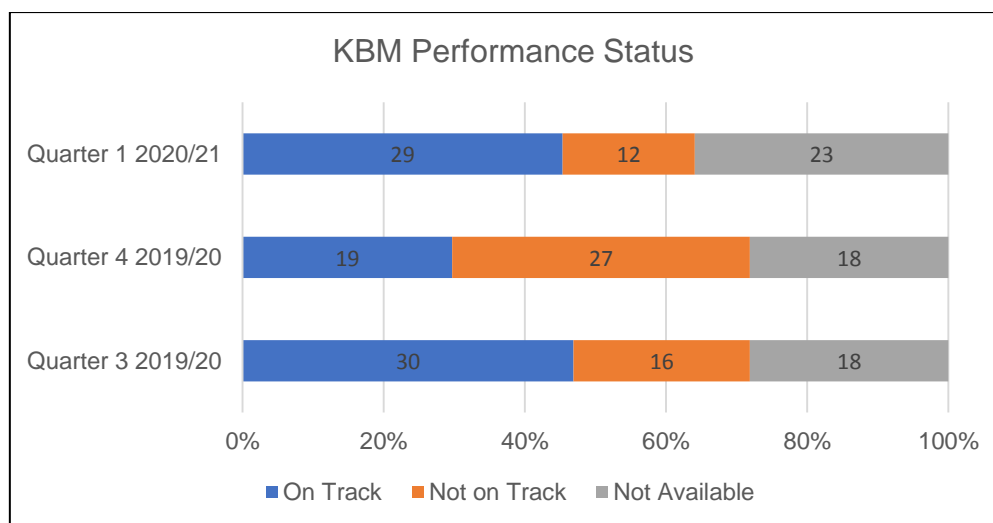


Chart 1

At Quarter 1 a further 23 KBMs are unavailable for reporting:

- 3 are based on the staff check in survey, which is scheduled for September 2020;
- 7 are annual measures and not due yet,
- 4 are considered for removal as detailed in the table in Appendix A; and
- 9 are due to various factors largely based on the impact of Covid-19, such as work being halted to enable resources to focus on the pandemic; data lags and changes due to the Master Estates Planning work.

2.4 Of the 71% (29) KBMs which are On Track and achieving target there are several measures where performance is of note, including:

- No. of permanent admissions to residential or nursing care (under 65);
- No. of permanent admissions to residential or nursing care (over 65);
- % of household waste reused, recycled and composted;
- Total waste (kg) per household;
- Number of fire related injuries;
- Rate of total recorded crime per 1,000 population; and
- % Warwickshire broadband coverage.

It is forecast that of the KBMs projected to be On Track, 93% (28) are forecast to either remain static or improve over the next reporting period.

2.5 Of the 29% (12) KBMs that are Not on Track at Quarter 1 there are 6 measures which are of concern. Table 1 details these measures alongside the current performance narrative, improvement activity and explanation of projected trajectory:

Warwickshire’s communities and individuals are supported to be safe, healthy and independent
No. of Children in Care (CiC) excluding unaccompanied asylum-seeking children
<p>Current performance narrative: In light of Covid-19 and lockdown restrictions, there has been a delay in court proceedings and assessments being completed, which has led to a delay in discharging children from care, moving children to adoption or rehabilitating children home. The service has accommodated large sibling groups and have seen an increase in teenage placements during this quarter.</p> <p>Improvement activity: There is significant oversight and assurance that the right children are in care, these are working effectively. There has been no increase in children entering care. The throughput or flow of children leaving has increased the number of children in care due to the pandemic. A number of work areas within the Children and Families change programme will help to reduce the number of children in care, for example expanding and increasing Family Group Conferences, improving support to Special Guardians and increasing support to families. These work areas will start to become operational during 2020/21.</p> <p>Explanation of the projected trajectory: Not on track – remaining static Based on current performance, Improvement activity and the current national Covid-19 climate, performance is expected to remain static. Although court proceedings are taking place, delays are likely to continue, which will impact the number of children discharged from care. The service expect performance will improve by March 2021.</p>
% of Children in Care (CiC) aged under 16 who have been looked after continuously for at least 2.5 years, who were living in the same placement for at least 2 years or are placed for adoption
<p>Current performance narrative: Performance has improved marginally since the start of the year. Of the percentage of children who have not been living in the same placement for at least 2 years, 10 children with an average foster placement length of 5 years saw placement breakdowns in the last 15 months. If these children had continued in their long-term placement then performance would stand at 66.1% rather than 61.5%. The majority of these children were aged between 12-15 years of age. Most of the remaining children in this cohort have not been in a placement for over 2 years.</p> <p>The service has continued to see a significant demand for placements, with large sibling groups, teenagers and young people with complex needs.</p>

During Covid-19 many residential homes were not accepting placements due to staffing issues and foster carers have been reluctant to have children move into their households. This has made it difficult to identify placements, and the service have had to provide emergency placements which has resulted in children moving between placements. During the quarter some providers have given notice on placements due to safety risks when some children have not adhered to social-distancing measures.

Positively, the service has seen an increase in the use of internal placements.

Improvement activity:

- The service has seen an increase in foster care applications during this quarter, as such have re-organised the team to ensure assessments are completed in a timely manner (15 applications during Quarter 1 2020/21 compared to 7 during Quarter 1 2019/20);
- Commissioned a marketing agency to recruit foster carers, the contract will start August 2020;
- Commissioned a crisis bed to support young people before they move onto a longer-term placement or home;
- The service is currently working on a proposal to establish a four-bedroom residential home.

Explanation of the projected trajectory: Not on track – remaining static

Based on current performance, Improvement activity and the current national Covid-19 climate, performance is expected to remain static. With an increased number of foster care applications, the introduction of the new crisis and residential placements becoming available the service are expecting performance will improve by January 2021.

% of care leavers (Relevant and Former Relevant 16-21) who are not in education, employment and training (NEET)

Current performance narrative:

The service recognises that Warwickshire levels are slightly higher than the national average of 39% for 2018/19 and follows national trends of higher unemployment and a subsequent increase in young people becoming NEET.

Due to Covid-19 and lock down restrictions the service has not been able to run the weekly NEET drop-in groups. In February 2020 three drop-in NEET groups a week took place across the county. Since the start of the year (April 2020) the percentage of care leavers who are NEET has increased, this is likely due to the impact of Covid-19 and a reduction of employment opportunities for young people.

Unaccompanied Asylum-Seeking Children (UASC) are part of this cohort, and these Young People are not able to legally work until they receive leave to remain status in the country. However, the younger co-hort of this group are keen to access education.

Improvement activity:

- Online NEET groups have started and numbers attending have started to increase;
- Covid-19 risk assessments are being completed to help re-start small NEET drops in from September onwards;
- Continue to work with colleges and adult education to support UASC from September onwards;
- Re-commissioned Prospects to work with young people from the age 16-year-old, this work is currently being completed by phone, email or video chat;
- The service will also be appointing an additional Careers Officer;
- The Care Leaver Local Offer has been extended to pay university bursary of up to £1,000 for young people up to the age of 25 years old; and
- An agreement to increase care experienced partnerships across the council.

Explanation of the projected trajectory: Not on track – remaining static

Based on current performance, Improvement activity and the current national Covid-19 climate, performance is expected to remain static with a possible increase.

% of placements for adults in provision of Good or Outstanding quality as rated by Care Quality Commission

Current performance narrative:

The downward trend in the number of placements in Good and Outstanding registered provision is of concern. The factors which can contribute to this value are complex and there is not currently a clear picture of the root cause of this reduction. A combination of previously 'good' rated homes being downgraded to 'requires improvement', placement of customers into 'requires improvement' homes and the length of time before 'requires improvement' homes are reinspected to return them to 'good' ratings are the most likely drivers for this negative trend. The Contract Management and Quality Assurance Team will be working with Business Intelligence to undertake a 'deep dive' into this indicator and identify which factors are the most significant and then develop a detailed action plan to reverse the trend. It should be noted that the impact of Covid-19 on CQC inspection timelines is likely to delay reversing this trend, therefore the action plan will include alternative measures to ensure that there is movement in the right direction as soon as possible.

Improvement activity:

Throughout Covid-19 the Contract Management and Quality Assurance Team have employed a variety of innovative solutions to allow QA activity to continue in a safe and supportive way. Through weekly calls, virtual visits, ongoing monitoring of intelligence and data the Team have been active in identifying and resolving quality issues within homes during this very challenging times.

It should be noted that due to timescales between CQC inspections it can take several months for increases in quality to be reflected in CQC ratings, therefore there may be a delay in the required upward trajectory. This will be especially significant during the next quarters as during the pandemic the CQC and Contract Management and Quality Assurance have halted completing physical quality visits to providers.

Explanation of the projected trajectory: Not on track - remaining static

Taking into consideration current trends and remedial action, performance over the next period is expected to remain static or possibly slightly reduce due to the current pandemic and the ability to complete quality assurance as previously undertaken. As the service progresses through the reporting quarters and changes to how quality audits and CQC rating information is gathered becomes embedded the service should begin to see a rise in the percentage of good or outstanding quality rated providers.

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

Cost (£) of SEND Home to School transport provision

Current performance narrative:

There is currently a £236,772 overspend which is due to a budgeted shortfall on the demand led statutory service.

Improvement activity:

SEND Transport is part of the SEND and Inclusion Change Programme. The next several months baselining and application of the Transport policy will be scrutinised in detail. Figures to support findings will be shared once the Transport project is up and running. The Transport Project will help reduce costs moving forward as the SEND Change Programme's vision of children remaining in their local schools will put less pressure on the expensive out of county SEND transport costs.

Explanation of the projected trajectory: Not on track - declining

The overspend will increase as the year progresses. There will be less Home to School transport over Quarter 2 because it covers the summer holidays. However, the impact of Covid-19 on transport has potential to be significant for children and young people with special educational needs. The financial impact of social distancing and remaining in bubbles will require additional school transport arrangements. Transport and the costs associated are a significant concern to this area of the budget.

WCC makes the best use of its resources

Number of days sick leave per FTE (rolling 12 months)

Current performance narrative:

Since the start of the year, the level of sickness absence has slowly decreased, and is currently at 10.27 days, after a peak in April of 10.99. However, it is still higher than the same period last year. The main reasons for sickness absence have remained constant, with absence for stress and mental health related reasons accounting for over 30% of total days lost. The split between long-term and short-term sickness absence has also changed with an increase in long-term sickness absences.

Improvement activity:

During 2020/21, to improve performance a specific project will be introduced to be focused on building a sustainable and resilient workforce. This project will be a key part of the refreshed Our People Strategy which will sit within the Change Portfolio and will contribute to the organisational recovery plans. Data analysis and collation will be improved and the results of the staff wellbeing check in surveys will be used to inform actions, build stronger links with Public Health working together on proactive interventions which particularly target mental health and wellbeing and support for managers to have constructive conversations with staff about their health and wellbeing. The service will establish performance targets which will help drive improvement and progress against targets will be reported through the Change Portfolio.

Explanation of the projected trajectory: Not on track - remaining static

It is expected that sickness absence will remain relatively static in the first 6 months of 2020/21, as both organisational change activities and Covid-19 have impacted disproportionately. The trajectory is expected to start to show improvements in latter 6 months of the year.

Table 1

These measures have been recorded as not being on track since first reported through this Commissioning Intentions Framework at Quarter 3 2019/20 and no improving trend has been experienced so far and it is projected that this will remain the case for the next reporting period.

2.6 For those other 6 KBMs that are Not on Track, forecast performance is projected to improve for 3 KBMs:

- No. of People assisted to live independently through provision of Social Care equipment;
- Value of Revenue Savings Achieved Against Agreed MTFs; and
- % HROD priorities completed.

The other 3 will remain Not on Track but static:

- % of residents in Warwickshire aged 16 - 64 who are in employment, compared to the England average. WCC expect to maintain a gap of around 6% as the employment rate settles at around 80% for Warwickshire. However, the target is likely to be revised as a result of the Covid-19 crisis, the full impact of which will not be fully known until the end of July;
- % of Warwickshire pupils attending schools (including nursery schools) judged Good

or Outstanding by Ofsted. The programme of inspections has been paused due to the Covid-19 pandemic and it is unclear when this will be reinstated; and,

- % capital expenditure against budget. There has been a concerted focus on redeveloping the Capital Framework and identifying mechanisms to accelerate capital schemes. This will be impacted on by Covid-19 due to delays in initiating the new processes and general slowdown in construction.

2.7 Comprehensive performance reporting is now enabled through the following link to Power BI [Quarter 1 Cabinet Performance Report](#).

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

2.8 A summary of the position on HR management, is shown below:

- **Sickness Absence:** The average days sickness per FTE is currently running at 10.27 based on a rolling 12 months. Whilst still above the target and the same point last year, this is a reduction of 0.63 days per employee over the last three months. The main reasons for illness remain consistent with stress and mental health being the primary driver of time lost, and there has been no material Covid-19 related impact on the figures. There has been a significant downturn in the short-term absence over the same period. Long term absence has increased.
- **Headcount:** Headcount has modestly increased in the year to June 2020 with joiners slightly ahead of leavers in the final quarter with there being an overall increase of 116 heads (2.7%) or 50 full time equivalent (FTE) staff; the latter being a 1.3% increase year on year.
- **Staff turnover** has reduced in the last three months from a rolling annualised average of 11.8% to 10.1% the latter coming against a backdrop of continuing economic uncertainty.
- HR headline figures are available in Appendix C.

Management of Risk

2.9 A project to change how risk is identified, evaluated and managed restarted in July. Risk appetite is currently being assessed and corporate risks will be updated to inform the 2021/22 planning cycle.

2.10 The strategic view of risk has been refreshed in part by drafting the 2019-20 Annual Governance Statement, which includes future risks and challenges and the Council's response to those challenges. This was reported to the Audit & Standards Committee on 20 July.

2.11 Service risks have been updated by service areas as far as possible, pending a full refresh of corporate risks in Quarter 2. The Council's management of these risks at service level is monitored by Assistant Directors and Directorate Leadership Teams. Key themes emerging from risks and challenges stated in the draft Annual Governance Statement and

Quarter 1 service risk register updates are:

- Substantially increasing demand pressures on all of the social care and children's services, this has been caused by the direct effects of the Covid-19 pandemic;
- Heightened economic uncertainty due to external factors, including Covid-19, impacting on; the local economy, the Council's future financial sustainability and the financial health of the pension fund.

3. Financial Implications

3.1 None specific to this report but please refer to the associated finance performance report, which is reported to Cabinet at this same meeting.

4. Environmental Implications

4.1 None specific to this report.

Background Papers

None

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This report was not circulated to members prior to publication.

KBM	Proposed Change	Rationale
Communities		
Gross Value Added (GVA) per employee as a % of the UK average	Gross Value Added (GVA) per employee as a % of the England average	Data reported and commented on is for England
People		
No. of children open to an Early Help assessment	No. of children open to an Early Help Pathway	The Early Help Pathway replaced the Early Help Single Assessments
No. of Children Looked After excluding unaccompanied asylum seeking children	Change of wording Children looked after change to Children in Care	Change of wording required
% of care leavers (Relevant and Former Relevant 16-21) who are not in education, employment and training (NEET)	% of care experienced young people (Relevant and Former Relevant 16-21) who are not in education, employment and training (NEET)	Change of wording required
% of children looked after (CLA) aged under 16 who have been looked after continuously for at least 2.5 years, who were living in the same placement for at least 2 years, or are placed for adoption	% of Children in Care (CIC) aged under 16 who have been looked after continuously for at least 2.5 years, who were living in the same placement for at least 2 years, or are placed for adoption	Change of wording required
% of people open to Adult Social Care over the age of 80 receiving care at home	New measure	To monitor the home first priority
% of placements for adults in provision of Good or Outstanding quality as rated by Care Quality Commission	% of residential placements for adults in provision of Good or Outstanding quality as rated by Care Quality Commission	Change of wording Residential added
No. of individuals receiving a WCC commissioned service placed outside of Warwickshire	Deletion of measure	Adults can be placed outside of Warwickshire for a number of reasons. Adult Social Care complete reviews to assess placements, Adults may choose not to move to a Warwickshire placement
No. of Children in Care with a disability (open to Children with Disabilities Team)	Deletion of measure	This measure technically sits in the Communities Directorate and is an operational measure. The People Strategy and Commissioning service do contribute to this measure, however the vast majority of children with disabilities

		enter care due to the complex nature of their disability.
% of placements in provision (agency foster care or residential) of Good or Outstanding quality as rated by Ofsted (CIC)	Addition of measure	To provide consistency with the quality of placements for adults
Number of Domestic Abuse incidents reported	Addition of measure	To monitor changes in demand and service provision, during and following the pandemic
% of all clients (opiate, non-opiate and alcohol users) completing treatment and not re-presenting	Addition of measure	To monitor changes in demand and service provision, during and following the pandemic
Suicide rate (Persons)	Addition of measure	An indicator of underlying rates of mental ill-health. Key to monitor following the pandemic
No. of providers that exit the market through business failure.	Addition of measure	To monitor changes in demand and service provision, during and following the pandemic
% Population vaccination coverage – Measles, mumps and rubella (MMR) for two doses (5 years old)	Addition of measure	Public Health did not have standalone KBMs last year. Monitoring coverage identifies possible drops in immunity before levels of disease rise.
Resources		
% reduction in the cost of Business and Customer Services	Deletion of this measure	Duplication of the savings measure
% of change projects which deliver defined business case criteria	Change to % of new change projects with measurable benefits identified within the business case	This is a more meaningful KBM for the Programme Management Office (PMO) at this time. As the PMO becomes embedded a KBM to measure benefits realisation will be developed.
% of change projects which deliver defined business case criteria	Change to % of new change projects with measurable benefits identified within the business case	This is a more meaningful KBM for the PMO at this time. As the PMO becomes embedded a KBM to measure benefits realisation will be developed.
% of Capital construction projects which fully deliver defined business case criteria	% of Capital Property Investment Projects which are commissioned with fully defined business case criteria and defined benefits to be realised	Title change to make measure more meaningful
% of business cases	To be removed	A process has been put in place whereby all

involving ICT aligned to the Digital strategy		Verto project submissions are reviewed by ICT Strategy and Commissioning at PPD stage to ensure alignment to the digital strategy with guidance being provided where there is a risk that this may not be the case
% Strategic delivery investment	To be removed	All strategic ICT investment will be recorded via Verto and subject to the associated project governance. ICT Strategy & Commissioning will ensure that this investment is aligned with the Digital Roadmap which will continue to be presented to the Digital Board
Value of debt over 35 days old as a % of debt raised in last 12 months	Escalated to be a KBM	Supports the MTFS
% Forecast Budget Variance Change from Last Quarter	New proposed KBM	Proposed for inclusion as part of the Warwickshire Dozen
% reduction in agency, contractor or consultancy spend	Remove/change for 2020/21	<p>The 2019/20 year end analysis of expenditure shows that the spend of agency/consultancy costs have not been evenly profiled through the year, partly due to a significant amount of consultancy (especially transformation) costs being posted in March 2020 as part of year end transactions/recharges</p> <p>An analysis of Salary, Agency and Consultancy budgets and outturn for 2019/20 confirms that total agency and consultancy expenditure is more than offset by an overall underspend in salary budget.</p> <p>This measure is under review for 2020/21</p>
Pension Fund valuation maintained within specified deficit margin	Deletion of this measure	The pension fund by is focused on long term investment strategies that will see fluctuations in the asset values. Taking a quarterly view of the fund valuation is neither appropriate nor provides the right focus around improving pension fund management. The % return on Pension Fund Investments KBM provides a better in year indication of investment manager performance, which Finance have more

		control around and is directly linked to the triennial value assumptions and the annual employer contribution rate
No. of instances of unauthorised expenditure from failure to follow standards	No. of instances of treasury investment outside the terms of the Treasury Management Strategy	Title change to make measure more meaningful, moved to a Corporate Health Key Indicator (Reported in Finance Quarterly Monitoring Reports)
% net variation to revenue budget	% Net Variation of Outturn Forecasts to Revenue Budget (Whole Council)	Title change to make measure more meaningful
% of revenue savings achieved against target	Value of Revenue Savings Achieved Against Agreed MTFS (Whole Council)	Title change to make measure more meaningful
% of revenue growth achieved against target	Title change and move to KBI reporting	This has had a title change to make it more understandable to '% of Return on Treasury Management Investments'. In reviewing the business plan the aim was to rationalise the KBMs to ones that would create a better focus for Cabinet, therefore it has been suggested by the Finance AD that this drops to being a KBI. However the measure will still be reported to Cabinet through the annual Treasury Management Strategy, as a statutory responsibility
Total asset management cost per m2	Deletion of this measure	To be replaced with an alternative measure which will be more indicative of reduction of costs and assets
Ratio of internal promotions and appointments as a % of total appointments	Deletion of this measure	This measure is influenced by a number of factors, in particular Covid-19 has seen fewer opportunities for promotion due to recruitment activity and organisational change being put on hold.
Cost (£) of HR delivery	Deletion of this measure	This measure has been proposed for deletion in 20/21. It was originally intended with a view to reducing the cost of HROD as part of a savings plan. However the savings agreed have been implemented as part of the HROD Functional Operating Model proposals and the restructure that has now been implemented
% HROD priorities completed	Deletion of this measure	This measure is to be replaced by an overarching measure in relation to the Our People Strategy, which will be developed and introduced once the strategy has been

		refreshed
% of staff retention	Deletion of this measure	This measure will continue to be monitored locally.
% of campaigns which support the Strategic Objectives	Deletion of this measure	This is always 100% due to being entrenched in the principles of how the team work
No. of WCC social media followers	New proposed KBM	To monitor the reach of the WCC social media platforms, especially in light of Covid-19
% utilisation of WCC office portfolio	Deletion of this measure	In light of Covid-19 and the approach to flexible working, it is not measurable at this moment in time
% Employee Engagement Score (staff survey)	New proposed KBM	Reinstatement of this staff survey measure
% of staff aware of the Council's vision, values and objectives	Deletion of this measure	This measure will be replaced by the reintroduction of the employee engagement measure
% staff satisfaction with working arrangements	Deletion of this measure	This measure will be reframed to reflect the How We Will Work programme and performance outcomes associated with the programme

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Strategy and Commissioning of Finance and IT



Strategic Finance

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



- % of capital expenditure against budget
- Value of Revenue Savings Achieved Against Agreed MTFS
- % Net Variation of Outturn Forecasts to Revenue Budget
- % Forecast Budget Variance Change from Last Quarter
- Value of debt over 35 days old as a % of debt raised in last 12 months
- % Return on Pension Fund Investments
- % of reports with substantial assurance level or above

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



TBD



Strategic ICT

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



% of ICT return on investment (ROI)

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



% customer satisfaction with ICT Services

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



% Warwickshire broadband coverage

KBMs aligned to the Council Plan Strategic Objectives

Strategy and Commissioning of People



Health, Well-being and Self Care



Integrated and Targeted Support



Specialist Provision

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



% of carers in receipt of Self Directed Support on the final day of the reporting period

KBM

% of people open to Adult Social Care over the age of 80 receiving care at home

No. of people assisted to live independently in their own home through provision of Social Care standard equipment



KBM

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

No. of children open to an Early Help pathway

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



KBM

% of women who smoke at the time of delivery across Warwickshire

% of children receiving a 6-8 week health check

% of Year 6 children (aged 10-11 years) prevalence of obesity (including severely obese)

% Population vaccination coverage (MMR) for two doses (5 years old)

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



KBM

No. of people with a learning disability or autism in an inpatient unit commissioned by the CCG

No. of permanent admissions to residential or nursing care (65 + and Under 65)

No. of individuals receiving a WCC commissioned service placed outside of Warwickshire

No. of Domestic Abuse incidents reported

% of all clients (opiate, non-opiate and alcohol users) completing treatment and not re-presenting

Suicide rate (Persons)

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



KBM

% of children and young people seen within 18 weeks (Referral to Treatment Time) amalgamated across the three CCGs

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



KBM

No. of people in receipt of an adult social care service

% of residential placements for adults in provision of good or outstanding quality as rated by Care Quality Commission

% of placements in provision (agency foster care or residential) of Good or Outstanding quality as rated by Ofsted (CIC)

No. of providers that exit the market through business failure.

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



KBM

No. of Children in Care excluding unaccompanied asylum seeking children (UASC)

% of care experienced young people (Relevant and Former Relevant 16-21) who are not in education, employment and training (NEET)

% of Children in Care (CIC) aged under 16 who have been looked after continuously for at least 2.5 years, who were living in the same placement for at least 2 years, or are placed for adoption

No. of Children in Care with a disability (open to Children with Disabilities Team)

Strategy and Commissioning of Education



Education

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



KBM

% of Warwickshire pupils attending schools (including nursery schools) judged Good or Outstanding by Ofsted

% of Warwickshire pupils achieving the expected standard for reading, writing and maths at key stages 1 and 2, and level 4 English and maths at key stage 4

% of disadvantaged pupils in Warwickshire achieving the expected standard for reading, writing and maths at key stages 1 and 2, and level 4 English and maths at key stage 4

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



KBM

Cost (£) of Home to School transport provision

Strategy and Commissioning of Communities



Infrastructure and Sustainable Communities

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



- Rate of total recorded crime per 1000 population
- No. of properties better protected from flooding
- % times an fire appliance arrives at life risk or property incidents within agreed response standards
- No. of fire related deaths
- No. of fire related injuries



Transport and Highways

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



KBM

- % of Warwickshire road network meeting specified condition
- No. of journeys on public transport services supported by WCC

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



KBM

- No. of people killed or seriously injured on our roads



Economy and Skills

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



KBM

- Gross Value Added (GVA) per employee as a % of the England average
- % of residents in Warwickshire aged 16+ who are in employment, compared to the England average



Waste and Environment

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



KBM

- Total waste (kg) per household
- % of household waste reused, recycled and composted
- % biodiversity net gain in Warwickshire

KBMs aligned to the Council Plan Strategic Objectives

Strategy and Commissioning of Governance and Policy



Business and Customer

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



% customer satisfaction level with Customer Contact Centre



Legal, Democratic Services and Comms

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



No. of Local Government and Social Care Ombudsman, Judicial Review cases or Information Commissioner's Office adverse decisions for WCC

No. of WCC Social Media followers



HR

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



No. of days sick leave per FTE (rolling 12 months)

TBD –skills and competancies

% Employee Engagement score

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Property

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



% of Capital Property Investment Projects which are commissioned with fully defined business case criteria and defined benefits to be realised

Total office occupancy cost

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



% of new change projects with measurable benefits identified within the business case



Policy



TBD

● Pursue leadership excellence and high performance at all levels



% leaders and managers driving a high performance culture'

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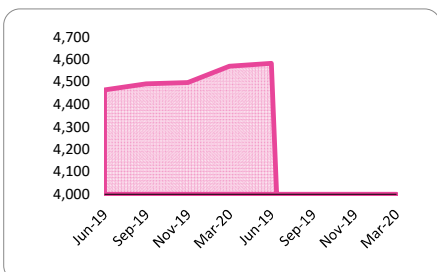


Appendix C

Part 2: Headline HR Information

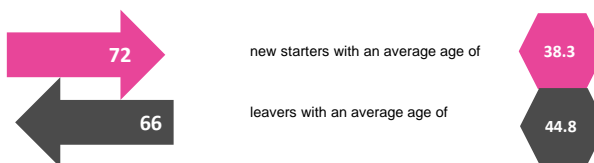
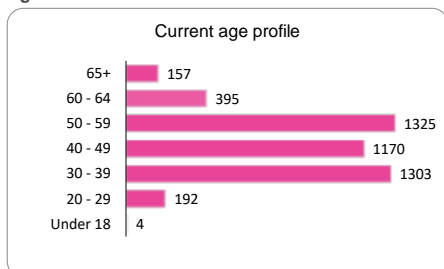
Key statistics on the number of employees, age profile, staff turnover and sickness absence.

Number of Employees

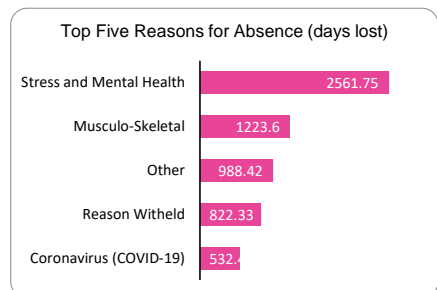


	Q1 19/20	Q2 19/20	Q3 19/20	Year End 19/20	Q1 20/21	Q2 20/21	Q3 20/21	Year End 20/21
Headcount	4,464	4,490	4,496	4,569	4,583			
Full-time Equivalents	3,734	3,756	3,746	3,793	3,784			
Whole-time Equivalents	3,703	3,724	3,725	3,739	3,746			
Number of Posts	5,354	5,457	5,488	5,762	5,720			

Age Profile of our Workforce



Sickness Absence Statistics



	Q1 19/20	Q2 19/20	Q3 19/20	Year End 19/20	Q1 20/21	Q2 20/21	Q3 20/21	Year End 20/21
Days lost through sickness	9,068	9,228	7,408	40,514	7,737			
... of which short-term	2,962 32.7%	2,806 30.4%	2,802 37.8%	13,584 33.5%	1,774 22.9%			
... of which long-term	6,106 67.3%	6,422 69.6%	4,606 62.2%	26,929 66.5%	5,963 77.1%			

Staff Turnover (1st April 2020 - 30th June 2020)



	New Starters	Leavers	% Turnover
Headcount	72	66	10.1 (rolling year) 1.44 (Q1)
Full-time Equivalents	60.8	64.8	
Posts	74	66	

Commentary:

Sickness Absence: The average days sickness is currently running at 10.27 based on a rolling 12 months and whilst still above the target and the same point last year this is a significant reduction of 0.63 days per employee over the last three months. The main reasons for illness remain consistent with stress and mental health being the primary driver of time lost. There has been a significant downturn in the short term absence over the same period with the majority of employees being based largely from home over the last quarter.

Headcount: headcount has modestly increased in the year to June 2020 with joiners slightly ahead of leavers in the final quarter with there being an overall increase of 116 heads (2.7%) or 50 full time equivalent (FTE) staff; the latter being a 1.3% increase year on year.

Staff turnover has reduced in the last three months from a rolling annualised average of 11.8% to 10.1% the latter coming against a backdrop of continuing economic uncertainty.

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Cabinet

10 September 2020

2020/21 Quarter 1 Budget Monitoring Report

Recommendations

Cabinet are recommended to:

- a) Note the forecast overspend of £3.364m for the 2020/21 financial year on the Council's revenue budget.
- b) Note there is a forecast under-delivery of the 2020/21 savings requirement to the value of £2.995m.
- c) Approve the transfer of £8.000m revenue underspend in Corporate Services to reserves to provide some capacity to phase the need to deliver additional savings to balance the Medium Term Financial Strategy.
- d) Note the increases to the approved 2020/21 capital programme of £37.370m since the programme was last reported in March 2020, as part of approved changes totalling £53.900m to the cost and funding of schemes across the length of the programme.
- e) Approve the carry forward of the reprofiled spend on the capital programme of £23.710m in 2020/21 into future years.

1. Purpose of the Report

- 1.1 This report outlines forecast financial position of the organisation at the end of 2020/21 based on the information known at the end of the first quarter. It provides an analysis of the forecast financial position based on best estimates and assumptions now. It should be noted that there is significant uncertainty and potential volatility due to Covid-19 which may lead to future movements in the forecast. The Current analysis includes:
 - Capital and revenue financial performance;
 - Explanations and, where developed, mitigating actions for variations and the impact on service delivery; and
 - An indication of those areas where the current forecasts carry a risk of change during the year due to demand volatility; assumptions that could change over the course of the financial year, etc.

2. Graphical Summary

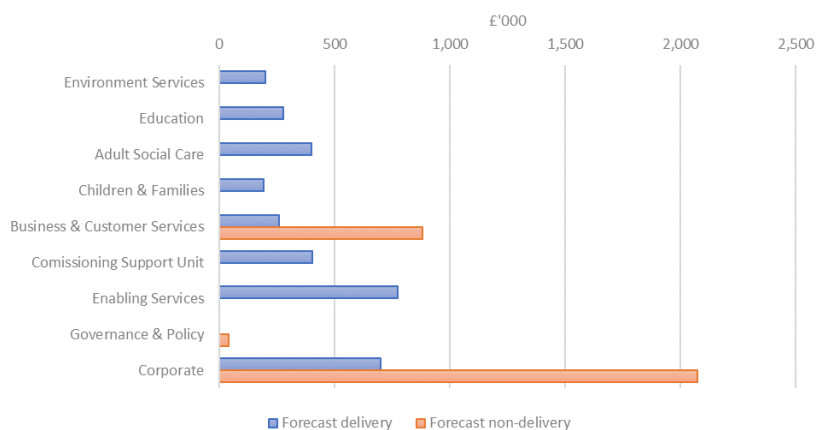
2.1. Revenue Forecast 2020/21

Services are forecasting a total overspend of £3.364m for the financial year 2020/21 if all Covid grant funding is used in 2020/21.

This is made up of £0.582m from Covid spending above government funding, and £2.782m pressure unrelated to Covid.

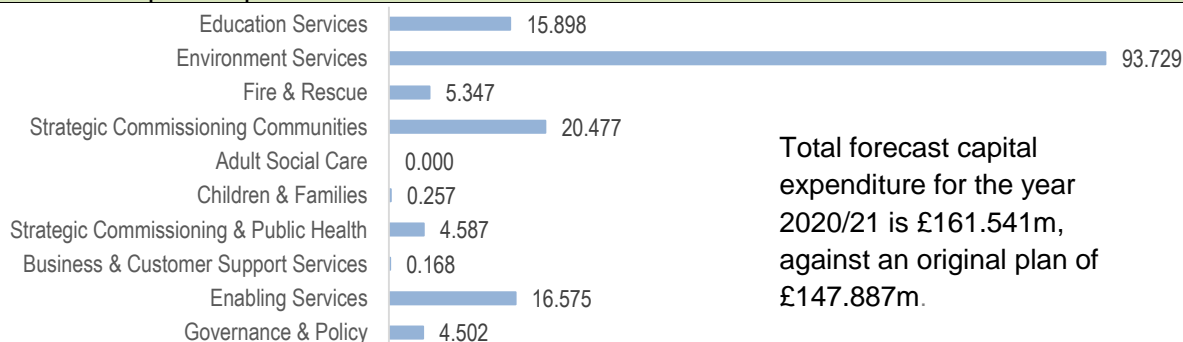
2020/21 Financial Year		£m
Approved Budget		£323.521
Forecast exc. Covid income		£360.390
Over/Underspend		£36.869
Government Covid funding		-£33.505
Net over/underspend		£3.364
of which		
Covid pressures above Covid funding		£0.582
Non-Covid pressures above core budget		£2.782

2.2. Savings Achievement



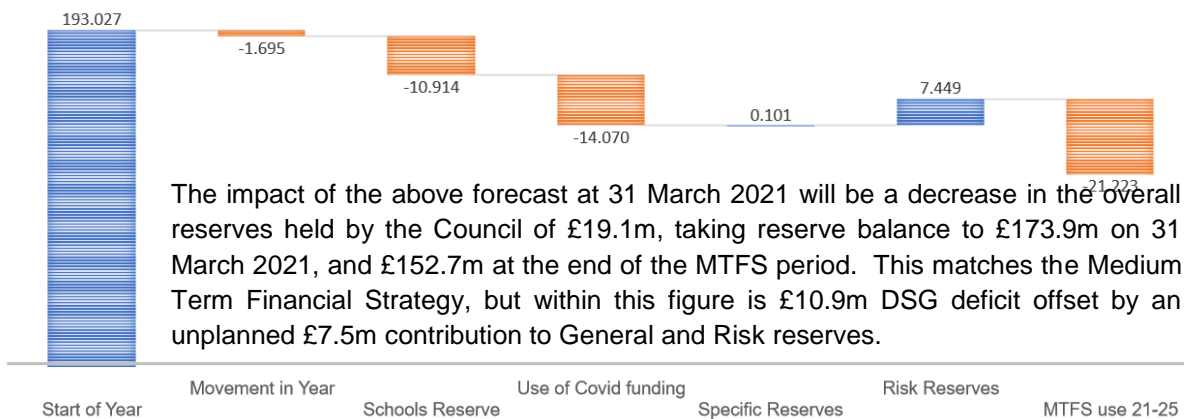
The savings plan for 2020/21 requires the delivery of £6.2m of savings from 19 individual savings initiatives. £3.2m (52%) are forecast to be delivered in line with the plan with £3.0m remaining unachieved mainly due to Covid-19.

2.3. Capital Expenditure Forecast 2020/21



Total forecast capital expenditure for the year 2020/21 is £161.541m, against an original plan of £147.887m.

2.4. Reserves Summary



2.5. Key Risks – revenue

- 2.5.1 The current adjusted forecast of Covid-19 pressures in 2020/21 is £34.087m. Government grants and NHS funding offsets £33.505m of this Covid-19 response pressure. This forecast excludes £2.750m (2020/21) and £8.178m (2021/22) of potential risks / future Covid-19 related costs as detailed in section 3.4. There has also been additional funding announced of additional support for some lost income. We are awaiting confirmation of the detailed allocations and terms of this funding to allow us to calculate what this equates to specifically for Warwickshire County Council. These factors mean there is likely to be further movement in the forecast Covid-19 position and if a further gap emerges this would have to be addressed through additional in year savings or one-off use of reserves.
- 2.5.2 The Covid-19 gross pressure and funding figures referred to in this report do not currently include the £520.5k emergency assistance grant due to a lack of certainty around where this will be targeted at the time of writing. This funding is ringfenced to emergency food supplies, and we will be working with District and Borough Councils to spend the full funding on the provision with no admin charge from the funding. Therefore, this will be a net zero impact on the assumption the grant will be targeted at specific new activity.
- 2.5.3 £1.658m of currently forecast underspends relate to reduced delivery of services, and there is a risk that demand and consequently the cost of delivery may accelerate again through the financial year, effectively reducing the current forecast underspends. See section 3.2.1. If this occurs, the revenue overspend will increase.
- 2.5.4 After notionally removing the Covid-19 related pressures within the revenue forecasts, the largest variances not mitigated within the service are:
- Overspends**
- Dedicated Schools Grant High Needs Block: £11.701m
 - Children in Care Placements: £2.076m
 - Business Support staffing: £1.441m
- Underspends**
- Capital Financing Costs: -£10.180m

3. Revenue Outturn

Revenue forecast by service

Service Area	2020/21 Approved Budget	2020/21 Quarter 1 Forecast	2020/21 (Under)/ Overspend	Covid-19 Pressures	Non- Covid-19 Pressures
	£m	£m	£m	£m	£m
Communities					
Education Services - Non-DSG	34.197	37.208	3.011	2.528	0.483
Environment Services	26.083	28.540	2.458	2.402	0.056
Fire & Rescue	21.240	21.482	0.243	0.168	0.075
Strategic Commissioner for Communities	21.885	27.422	5.536	5.174	0.362
Subtotal Communities	103.405	114.652	11.248	10.272	0.976
People					
Adult Social Care	158.006	166.332	8.326	8.906	(0.580)
Children & Families	63.834	66.471	2.636	2.247	0.389
Strategic Commissioner for People	34.017	33.791	(0.225)	0.028	(0.253)
Subtotal People	255.857	266.594	10.737	11.181	(0.444)
Resources					
Business and Customer Services	17.454	21.248	3.794	2.353	1.441
Commissioning Support Unit	4.910	6.382	1.472	1.778	(0.306)
Enabling Services	25.059	25.246	0.188	1.000	(0.812)
Finance	4.792	4.865	0.073	0.000	0.073
Governance & Policy	2.427	3.527	1.100	0.150	0.950
Subtotal Resources	54.642	61.268	6.626	5.281	1.345
Corporate Services and Resourcing	(90.383)	(93.058)	(2.675)	7.333	(10.008)
DSG expenditure	234.191	245.125	10.934	0.020	10.914
DSG income	(234.191)	(234.191)	0.000	0.000	0.000
Subtotal Corporate Services and DSG	(90.383)	(82.124)	8.258	7.353	0.905
Sub-total	323.521	360.390	36.869	34.087	2.782
Covid-19 related grants (including NHS funding)		(33,505)	(33,505)	(33,505)	
Total	323.521	326.885	3.364	0.582	2.782

- 3.1 The table above shows the approved budget against the forecasts, including gross Covid-19 pressures, to show the pressure before Covid-19 related government funding is applied. This gives a forecast overspend of £36.869m against the approved budget. This variance is then separated into costs relating to Covid-19 response and those relating to non-Covid-19 pressures. Covid-19 funding from government grants and NHS discharge claims offsets £33.505m of this overspend, leaving a £0.582m forecast Covid-19 pressure alongside a £2.782m non-Covid pressure.
- 3.2 After allocating the Covid-19 grant funding, services with a material overspend are DSG-funded education services, Business and Customer Services and Governance and Policy. The area with material underspends is Corporate Services and Resourcing. Further details of the causes of the variation and mitigating actions are listed by service in Appendices A and C.
- 3.3 The largest are of pressure in the expenditure budget is Covid response costs. These can be funded by £33.505m of Government Grant and NHS Covid funding, leaving a forecast pressure of £0.582m to be funded by General Reserves in 2020/21. See section 3.10.
- 3.4 A number of variations in the services shown in the table above impact on specific ringfenced reserves, either underspends transferred to these reserves (£1.610m), or overspends funded from them (£1.509m). Although the net £0.101m does impact on the overall reserve position of the Council, the reserves are held for this specific purpose and it does not impact on the funds available for general use within the General Reserve. See section 4.
- 3.5 The Dedicated Schools Grant has a pressure of £10.914m forecast over the period April 2019 to March 2021. This pressure cannot be funded by the Council funds outside of the DSG grant, and the blocks cannot fund each other. The pressure on the High Needs Block has to be mitigated by future years' underspend in the High Needs Block. Plans to achieve this have been approved by Cabinet and investment funds allocated to begin work to bring this into effect.

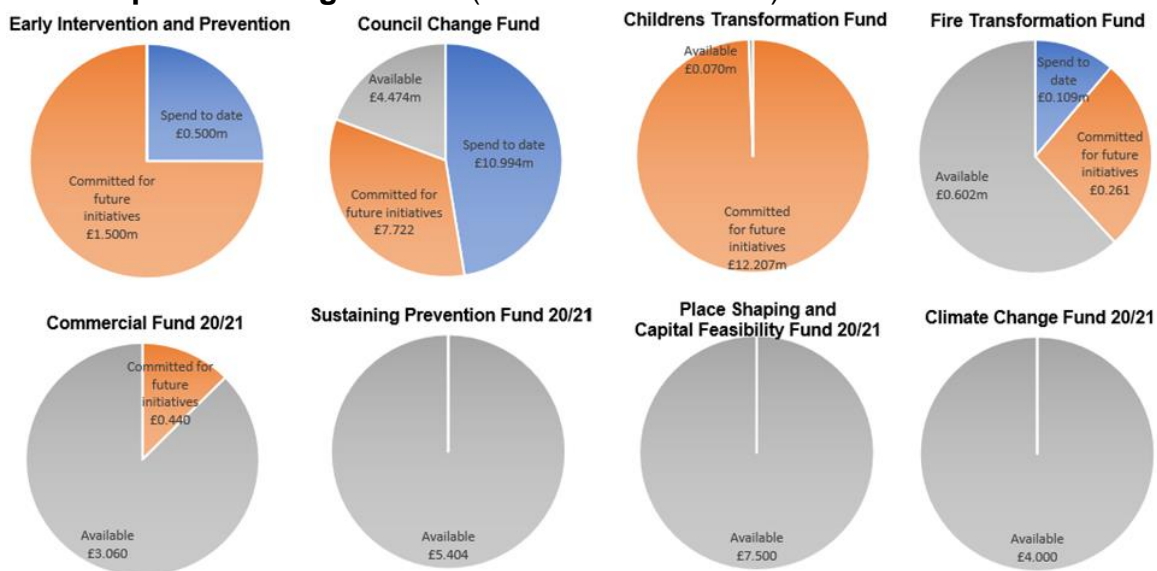
DSG deficit forecast to be carried into 2021/22	
Central Block	-£0.095
Early Years Block	-£0.708
High Needs Block	£11.701
Schools Block	£0.016
Total Impact	£10.914

- 3.6 There is a £6.373m forecast underspend across the services which will increase the amount of available funds in the General Reserves. This is made up of £9.262m pressures and £15.635m underspends, and will be discussed at Directorate Leadership Team meetings throughout the year. The largest 3 of these are:
- £10.180m underspend in Corporate Services due to release of borrowing cost contingency not required to fund the capital programme in the current year;

- £2.076m overspend in Children and Families, related to Children in Care Placements, with increased numbers and complexity (affecting average unit cost);
- £1.900m overspend in Business and Customer Services, predominately made up staffing pressures; where budget transfers need to be agreed and finalised as part of the FOM. There is a risk these transfers will move the overspend to other service areas.

3.7 Note that £1.658m of this currently forecast underspend is in key areas of service delivery, predominantly staffing and Community Equipment in Adult Social Care, and recently announced grant income in Children and Families and Education Services. Services may increase spend in these areas to meet delivery requirements, so there is a risk that the underspend in these areas will reduce, but the current forecast represents the most likely outturn position.

3.8 Corporate Change Funds (as at 30th June 2020)



3.9 The bidding process and approval for Investment and Change funds has been on hold during the Covid-19 response phase and there is now a review of approved schemes in light of the need to fund the response and recovery phases. Cabinet has also agreed the realignment of £2.5m of funding into the Place Shaping Fund (£2m from the Sustaining Prevention Fund and £0.5m from the Commercial Fund). The remaining Early Intervention Fund balance from 2019/20 (£1.5m committed and £0.4m unallocated) has been incorporated into the Sustaining Prevention Fund to allow continued member oversight of the schemes approved.

3.10 The bidding process has been re-initiated in July, with fast-tracked bids underway for specific economic recovery projects, the development of the Commercial Strategy including the Warwickshire Property Company and to support the Direct Schools Grant recovery and sustainability plans. The use of the investment funds will also be strongly influenced by any recommendations accepted by Cabinet flowing from the Cross Party Covid-19 Recovery working groups.

3.9 Following the outbreak of Coronavirus, £0.090m previously approved from the Early Intervention Fund to build capacity in the community has been returned to the Fund as the project will no longer continue under the current circumstances.

Covid-19

- 3.10 At a summary level, the last Covid-19 finance report to Corporate Board (dated 5 June) projected in year Covid-19 related expenditure, income and MTFs related pressures of £33.881m. This compares to an updated forecast of identified Covid-19 related pressures of £34.087m within this report. The Covid-19 related pressures continue to be reviewed and updated as response and recovery progress, and as such we anticipate that there will be some movement between overspends that are attributable to Covid-19 and those that are not.
- 3.11 In order to present the gross Covid-19 pressures, the net underspend or overspend for each service area does not include specific grants that Services will receive that will offset pressures in their areas. The total of these grants is within the £33.505m that is presented as being available to offset Covid-19 pressures. Please note that the government grants figure calculated in this report does not currently include any calculation of the potential refund for lost income.
- 3.12 In 2020/21 there is a potential risk around Home to School Transport to consider social distancing that is not included in the reported figures in the main body of this report. An indicative estimate of a further £2.750m has been included in the table below to include the impact of this risk. This has been reduced from the £5.500m estimate that was included the latest MHCLG return submitted in June to account for the latest changes in Government guidance.
- 3.13 The table below summarises the 2020/21 pressures and also the potential longer-term impact on Council Tax and Business Rates in future years.

2020/21	£m	£m
Covid-19 2020/21 identified pressures	34.087	
Grant funding to offset pressures	(33.505)	
Residual pressure in 2020/21	0.582	
Risks		
- Home to School distancing costs	2.750	
Total residual pressure in 2020/21		3.332

2021/22	£m	£m
Longer term impact on Council Tax and Business Rates	8.178	
Total residual pressure on WCC		11.510

- 3.14 Further work is required to ascertain the extent to which income shortfalls are Covid-19 related or due to other drivers. This will be important in the context of the most recent Government support for lost income, as we expect some level of external scrutiny and audit around any claims.
- 3.15 Services have reported underspends in team related costs such as staff travel, amounting to almost £1m in total across the Council. It is reasonable to assume that this level of underspend in these budgets areas is largely attributable to the impact of Covid-19 (the same budgets overspent by £0.250m in 2019/20).

Savings Performance

3.16 Performance against individual savings targets are listed in Annexes A to M.

2019/20	No. of Savings Options	Saving Delivered £m	Savings Not Delivered £m
Savings target achieved/overachieved	15	2.766	0
Savings target partially achieved	1	0.948	1.575
No saving delivered against target	4	0	1.420
Total	19	3.214	2.995

3.17 Below are details of those savings which are highlighting forecast under-achievement:

Description	Target £m	Saving Forecast £m	Reason for variance and associated management action
Corporate Services and Resourcing - Material receipts from the sale of strategic sites. Reinvestment of the capital receipts will reduce the Council's borrowing costs.	2.523	0.948	Delays on the sale of two sites as a result of preferred bidders withdrawing offers at the start of the Covid-19 lockdown has impacted on the ability to reduce borrowing costs in line with targets.
Business support - Service wide restructure of business support, including delayering of the entire model and reductions in levels of agency spend.	0.880	0.000	Due to the delay in implementing the new model for Business Support, work is on-going to reassess the service's ability to deliver the savings this year. A more accurate position statement will be available next quarter.
Contract Management - Reduction in the cost of contracted services and third party spend through improved contract management at all stages of the procurement process.	0.500	0.000	Delays in implementation due to impact of Covid-19 response. Further funding from the Organisational Change Fund to restart the process is in the process of being evaluated to ensure future years' savings remain on track and pick up the savings foregone in 2020-21.
Legal Services additional surplus - Additional surplus from external trading with other local authorities and public sector bodies	0.030	0.000	Unlikely at this stage due to current pressures on income.
Electronic record keeping - Reduced storage requirements as a result of the move to electronic record keeping.	0.010	0.000	Project delayed due to Covid-19 – work will be recommencing shortly but may delay full recovery in year 1.
	3.943	0.948	

Medium Term Implications

- 3.18 The impact of pressures and reductions flagged in budget monitoring as ongoing will be modelled and the need to adjust future years' budgets evaluated as part of the MTFS refresh over Summer 2020. Once these, and any new pressures are identified through that work, changes to the value of the ongoing impact will be highlighted in this budget monitoring report.

4. Reserves position

£m	Start of Year 20/21	Movement in Q1	Effect of Outturn	Closing Balance	21-25 Planned Use	Remaining
Schools Reserves	12.142	5.240	(10.914)	6.468		6.468
Earmarked Reserves	125.301	(6.778)	(13.969)	104.554	(14.883)	89.671
Risk and General Reserves	55.584	(0.157)	7.449	62.876	(6.340)	56.536
	193.027	(1.695)	(17.434)	173.898	(21.223)	152.675

- 4.1 The reserves closing balance includes all approved use of reserves so far during the year, including carry forwards from 2019/20, use of change funds and use of specific or earmarked reserves in quarter 1. Alongside this the Effect of Outturn shows the impact of the current forecast revenue position on the council's funds.
- 4.2 Cabinet are requested to approve the transfer of £8.000m underspend in Corporate Services to reserves to provide some capacity to soften the short term phasing of the need to deliver additional savings from 2021/22 to balance the Medium Term Financial Strategy.

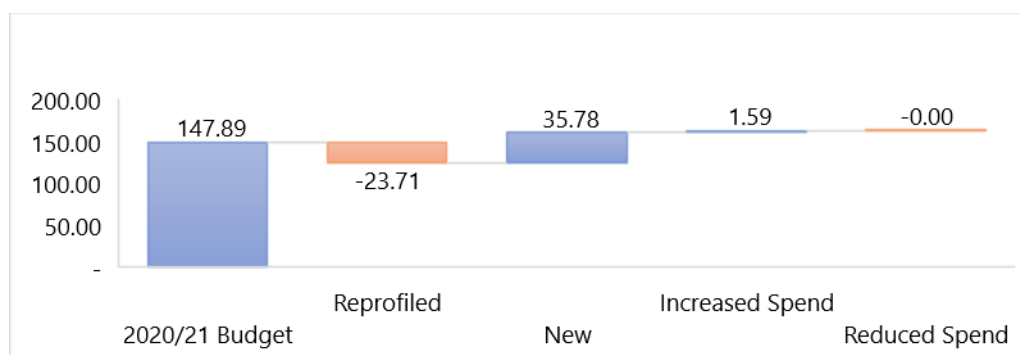
5.0 Capital

- 5.1 The latest forecast of 2020-21 capital payments is £161.541m, with a further £149.498m of payments forecast over the medium term. The 2020-21 forecast is an increase of £13.654m on the budget set in March 2020.
- 5.2 This increase is made up of £23.710m (12.9%) of planned spend for 2020/21 now expected to move into future years, an increase in newly approved capital schemes of £35.776m being brought into the programme and a net increase in the overall cost of capital schemes of £1.588m.
- 5.3 The remaining Capital Investment Fund (CIF) allocation of £5.711 million carried forward from 2019/20 has been added to the annual CIF allocation of £24.914 million per annum. This results in a total amount in the Capital Investment Fund (CIF) over the term of the MTFS of £130.281m.

Capital forecast by service

	2020/21 Approved Budget £m	2020/21 Forecast £m	2020/21 Variance £m	2021/22 to 2024/25 Approved Budget £m	2021/22 to 2024/25 Forecast £m	2021/22 to 2024/25 Variance £m	Total Variance £m
Education Services	12,484	15,898	3,415	16,983	16,277	- 707	2,708
Environment Services	79,975	93,729	13,754	47,001	79,034	32,033	45,787
Fire and Rescue	7,523	5,347	- 2,176	558	2,734	2,176	-
Strategic Commissioning Communities	27,138	20,477	- 6,661	33,000	39,716	6,716	55
Communities	127,120	135,452	8,332	97,543	137,761	40,218	48,550
Adult Social Care	0	-	-	313	313	-	-
Children and Families	230	257	27	172	172	-	27
Strategic Commissioning and Public Health	100	4,587	4,487	35	63	28	4,515
People	330	4,844	4,514	521	549	28	4,542
Business and Customer Support	168	168	-	1,782	1,782	-	-
Enabling Services	16,563	16,575	12	9,389	9,389	-	12
Governance & Policy	3,706	4,502	796	17	17	-	796
Resources	20,437	21,245	808	11,188	11,188	-	808
Total	147,887	161,541	13,654	109,252	149,498	40,246	53,900

Capital Variance Analysis



5.4 *2020/21 Budget* – This is set according to the forecast spend in 2020/21 made on 31st March 2020. The forecast shows the changes in capital programmes since then, made up of:

- i.) Reprofiled projects* – these are schemes where there has been a slip in the time scale for delivery. The project is still being delivered and with no material change in cost, but the impact is that the benefits of projects are not realised and available to the taxpayers of Warwickshire in the timeframe originally anticipated. There is £23.71m of project expenditure which has slipped into future years, and work is ongoing to make initial estimates of planned delivery more realistic to ensure slippage only occurs where uncontrollable delays occurs.
 - ii.) New projects* – these are projects recently added to the capital programme or projects where costs have risen as a result of a substantial change in scope. These schemes have been added through formal governance, with financing made available from CIF or Corporate grants.
 - iii.) Projects with Increased Spend* – these are schemes where project costs have risen above the level previously expected. This means additional funding has had to be arranged. This may be in the form of a revenue contribution to capital from a Service’s revenue budget, the use of basic need funding for education projects or through the collection of additional S278 money from developers. Apart from for S278 projects the impact of this is that there is less funding available for other projects/activity.
 - iv.) Underspent projects* – these are schemes which have been delivered under budget. The impact of this is that funds are no longer required for a specific scheme. This may mean the authority will be able to recycle funds to alternative projects or will borrow less.
- 5.5 The additional funding available should be noted. For 2020-21, £35.776m of forecast spend has been added to the capital programme, with an additional £16.504m available in 2021-22 onwards. This is as a direct result of new funding from grants, capital investment fund borrowing and S278 contributions.
- 5.6 Across all years supplementary funding of an extra £1.620m has been added to capital projects where additional funding is required to deliver schemes already in progress.
- 5.7 Analysis of 2020/21 highlights:
- i.) Governance & Policy* – £0.796m increase in the forecast on the property rationalisation project at Hawkes Point: Additional funds were approved last September (£0.997m). Between Quarter 1 and Quarter 3 2019 the project was reviewed so that plans to create additional accommodation as a separate site to Hawkes Point were transferred from Budbrooke to Henley in Arden sites. As a result of this the forecast was reduced by £0.997m as the project was intended to be a cost saving alternative. An additional £0.796m has been added to the forecast costs on this project to cover the new expected design, partly funded from revenue and partly from income.
 - ii.) Education Services* - £0.672m increase on the forecast on the Pears Education Centre project. Costs to make the centre fit for purpose have risen compared to initial estimates at the point of purchase. Additional funds for the refit of the centre have been approved from two sources. £0.150m transfer from public

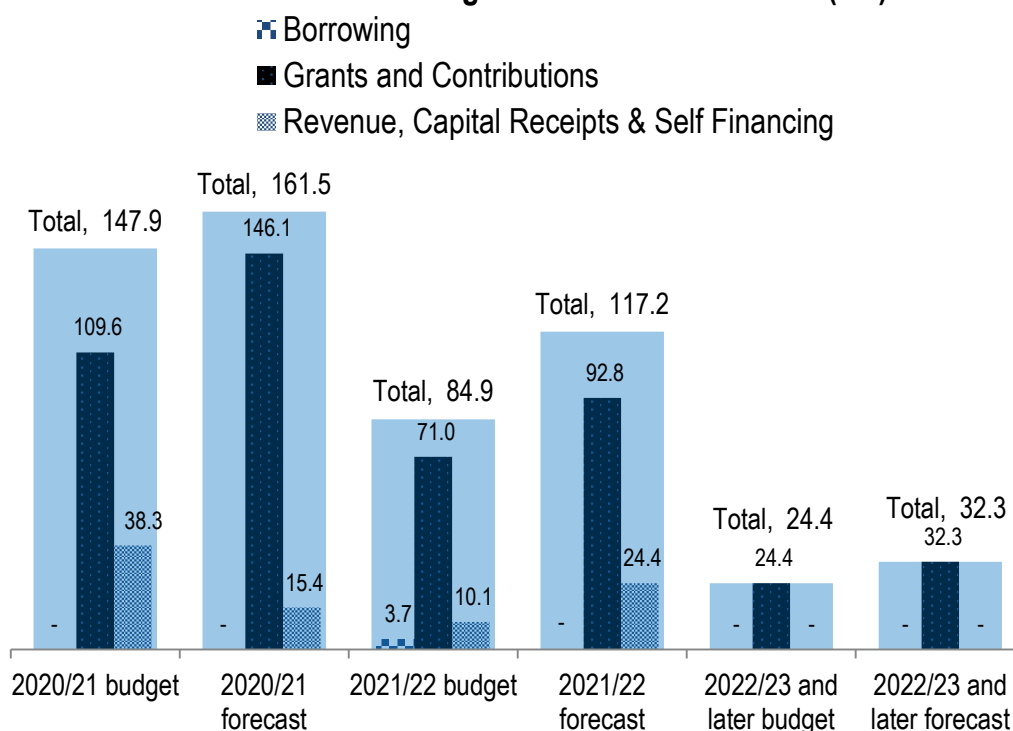
health capital project. £0.522m from Education’s specialist provision fund. This was approved at the Education Service’s paper at July cabinet.

- iii.) Delays in Projects – the £23.710m delays and re-profiling of projects is caused by slippage. The slippage on individual projects is detailed in Appendix B.

Capital Financing

5.8 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. These figures exclude the remaining unallocated Capital Investment Fund.

Estimated Financing to 2022/23 & Later Years (£m)



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

5.9 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. Any shortfall in the level of expected receipts will require the Authority to borrow sooner than expected.

6. Financial Implications

- 6.1 The report outlines the financial performance of the authority in the year 2020/21. There are no additional financial implications to those detailed in the main body of the report.
- 6.2 The key financial issue remains the need for the MTFS to reflect: the need to put sustainable solutions in place for those services reporting material demand-led overspends; the need to ensure the ambitions of the capital strategy are aligned to the capacity to deliver; and that any plans developed to balance the budget going forward are robust so any decisions can be taken promptly.

7. Environmental Implications

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

8. Background Papers

None

9. Appendices

Appendix A – Finance commentary on service revenue forecasts

Appendix B – Finance commentary on service capital forecasts

Appendix C – Service level narrative, reserves, savings and forecasts

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

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a) Appendix A – Finance Commentary on Service revenue forecasts

Detailed explanation at a Team level within each Service is provided in **Appendix C - Annexes A to M**, below is a summary of the main variations and potential ongoing impacts from these.

Variations to budget have been given as the service forecast from the finance system, then the adjusted forecast including Covid-19 pressures outside of service forecasts. The former matches the Annexes in Appendix B, while the latter matches the analysis in section 3.2, as detailed in section 3.1.

Communities Directorate

Education Services DSG - (£10.934m net overspend; +5%. £0.020m Covid pressures)

- The DSG overspend primarily relates to the excessive growth and demand on services within the High Needs Block of the DSG. Detailed reports on the issues and the required Recovery and Sustainability Plans were presented to Cabinet in June and July.
- In the summary table in section 3.2.1, the overall DSG overspend includes the High Needs Block overspend of £11.701m being offset mainly by an Early Years Block underspend of £0.748m (due to a forecast lower than funded uptake of Free Early Years provision). However, note that the DfE rules do not allow an actual transfer of funds between the two blocks, hence the requirement of High Needs Recovery and Sustainability plans.

Education Services non- DSG - (£3.011m net overspend; +9%. £2.528m Covid pressures)

- Covid Pressures consist of £0.690m Early Years Hubs, £0.300 Home to School Transport refunds and £1.538m traded income pressures;
- The traded income pressures include over £1.1m of pressures relating to Warwickshire Attendance Service, County Music Service and Marle Hall;
- Of the non-Covid net overspend of £0.483m, £0.258m of this overspend is relating to the cost of placements for Children with Disabilities in residential care. The remaining £0.225m net overspend relates to minor variances on operational expenditure;
- Not included in the current forecast is the potential cost of implementing social distancing rules within the Home to School Transport service. Based on a crude methodology (and an assumption of a 1 metre social distancing rules) this could be in the region of £2.750m.

Environment Services - (£2.458m net overspend; +9%. £2.402m Covid pressures)

- The vast majority of this overspend is related to Covid pressures consisting of:
 - the risk of additional costs relating to emergency Highways maintenance and compensation payment for Highways contracts (£1m);
 - the requirement to reallocate roadspace and carry out works in town centres and to enable social distancing and (1.040m);

- There is a Covid related pressure as a result of additional payments being made within Transport Delivery to voluntary organisations so that operations could continue during Covid. This overspend is partially offset by an underspend in planning delivery due to staff vacancies.

Fire and Rescue - (£0.243m net overspend; +1%. £0.168m Covid pressures)

- The forecast overspend is primarily due to Covid related factors where overtime has been required to maintain operational crewing to ensure availability of emergency response and provide additional services to the public during the lockdown phase.

Strategic Commissioning for Communities – (£5.536m net overspend; +25.3%. £5.174m Covid pressures)

- £4.806m loss of income in relation to Covid split between: £3.361m Parking Services, £0.594m County Parks, £0.443m rental income through Business Centres, £0.240m from Waste Services and £0.168m from Speed awareness courses;
- Additionally, there is expenditure of £0.236m as a result of Covid for the re-allocation of road space in town centres and equipment, £0.200m for employee costs which cannot be charged to capital projects as a result of Covid;
- Within Economy & Skills there is a £0.130m overspend for which funding is set aside in the European Match Funding and Rural Growth Network reserves.

People Directorate

Adult Social Care - (£8.326m net overspend; +6%. £8.906m Covid pressures)

- The Covid related forecast includes £3.846m financial support to Adult Social Care providers to assist them in managing the pressures of Covid 19;
- In addition, the Covid related expenditure includes a forecast of £4.700m to be incurred on discharges. This is forecast to be wholly offset by a corresponding reimbursement of £4.700m from the £1.3bn Covid Health Grant;
- There is a potential risk resulting from Covid that may see expenditure on Adult Social care increase over the longer term. This has not been included as a forecast within 2020/21 – but is highlighted as a risk in Section 3.4.;
- The Disabilities Service are forecasting a £1.987m overspend due to increasing costs and numbers of packages relating to supported living and an increase in home care packages relating to individuals with drugs and alcohol dependency;
- Mental Health is showing a pressure of £1.762m across all areas due to increased numbers of clients particularly in residential and supported living and in the north of the county;
- There are also underspends being forecast for the following:
 - Older People – a refined analysis of client contribution income has led to an increase in the income forecast of £2.953m;
 - There is an underspend of £1.836m on residential nursing both due to a significant reduction in demand and as the NHS are currently picking up some of these costs during the Covid-19 pandemic, and an underspend of £0.642m as a result of reduced demand for equipment to aid independent living.

Children and Families - (£2.636m net overspend; +4%. £2.247m Covid pressures)

- The major Covid pressures include the follows:
 - £1m additional placement costs;
 - £0.388m for additional staffing costs;
 - £0.189m for Youth Justice Remand placement;
 - £0.146m for loss of income related to the 4 Youth Centres;
 - £0.389m for increased Fostercare/emergency/care leaver and UASC payments.
- After removing the Covid related pressures, the net variance for Children & Families is a £0.389m overspend. This headline overspend is masked by a number of ear-marked funding streams (see reserves table) which, when taken account of, change the variance to an underlying overspend to £1.275m;
- The major contributors to this underlying position are:
 - £2.076m Children in Care Placements overspend mostly related to increased numbers and complexity (affecting average unit cost);
 - £0.180m unfunded Agency T3 post;
 - Forecasted grant in excess of budget (due to notified in year increases & grant maximisation) of £0.882m.

Strategic Commissioner for People - (£0.225m net underspend; -1%. £0.028m Covid pressures)

- Despite a small overspend on one contract due to increased Covid related demand, there is a net underspend primarily as a result of reduced spend on commissioned services across a range of contracts.

Resources Directorate

Business and Customer Services - (£3.794m net overspend; +23%. £2.353m Covid pressures)

- The Covid related pressure of £2.353m consists of:
 - £0.488m expenditure for Shielding Hubs;
 - Local welfare scheme and forecast losses of (wedding and library) income of £0.985m;
 - Non-delivery of £0.880m of MTFs savings relating to the FOM which has been delayed due to Covid.
- The remaining non-Covid related overspend is predominately made up of staffing pressures; where budget transfers to other service areas need to be agreed and finalised as part of the FOM.
- There continues to be some direct staffing underspends (excluding Covid related staff above) with recruitment and retention of staff being a major risk to the service. The directly employed staff budget is over £1m underspent but almost matched by an equivalent overspend on Agency staff. At a spot point in mid-June there were the equivalent of 74 FTE posts vacant in support to Childrens and Families (10%).

Commissioning Support Unit - (£1.472m net overspend; +30%. £1.778m Covid pressures)

- The Covid related expenditure in CSU is £1.778m and this consists of £1.400m for the PPE expenditure and £0.378m of staffing costs incurred due to Covid;
- After taking account of the Covid pressures, there is a net underspend within CSU of £0.306m resulting from a carry forward into 2020/21 not being fully utilised for the service redesign, largely due to delays experienced as a result of Covid.

Enabling Services - (£0.188m net overpend; +1%, £1m Covid pressures)

- The Covid related expenditure across Facilities Management and Property Construction and Engineering is currently forecast to be £1m related to making offices safe, additional cleaning and security;
- The remaining underspend is primarily due to an overall underspend in Digital and ICT of £0.529m which has been calculated as part of the detailed zero based budgeting exercise being undertaken across all budgets in this service area;
- Facilities Management is forecasting to underspend by £0.174m largely as a result of savings on equipment spend in relation to Shire Hall;
- Within Property Construction and Engineering there is a forecast underspend of £0.080m due to savings on utilities.

Finance Service – (£0.073m net overspend; +2%)

- The forecast overspend is attributable to use of agency staff to cover vacancies within the Pensions team and to provide additional capacity during the closure of the Accounts.

Governance and Policy – (£1.100m net overspend; +45%. £0.150m Covid pressures)

- The Covid related expenditure of £0.150m is as a result of Communications and Marketing Covid related costs;
- There is a staffing pressure of £0.142m in HROD, where agreements to transfer funding between services are to be finalised;
- There is a Property Management £0.190m pressure on staffing, mainly agency related, whilst the FOM is being finalised, and a £0.150m pressure in relation to Hawkes Point;
- Legal and Democratic are forecasting a £0.492m pressure related to the need to cover a high number of maternity absences with agency staff, combined with a projected under recovery of income because of the impacts of Covid in the early part of the year. Most lost income would have come from external customers and a review of this will take place prior to Q2 with a view to recover the position as much as possible through the course of the financial year.

Corporate Services and Resourcing - (£2.675m net underspend; £7.333m Covid pressures)

- A number of Covid related pressures are included within this budget area. These include:
 - Payment for Mortuary costs of £1.417m;
 - Educaterers potential costs of £0.974m;
 - Loss of income from the Oxygen Finance rebate of £0.226m;
 - Interest on treasury balances pressure of £1.308m;
 - £1.358m borrowing cost savings unachievable due to cancellation of property sales;
 - £0.500m contract management savings undeliverable during Covid-19 response phase;
 - Other minor Covid pressures across the services totalling £1.311m.
- Non-Covid underspends are
 - Higher than expected NNDR grant income (£0.427m), which will be transferred to the NNDR reserve;
 - Higher than expected Public Health Grant (£0.565m);
 - £9.488m of the provision for capital financing costs not required to fund the capital programme in 2020/21;
 - £0.110m due to a lower top-up contribution to the Pension Fund deficit being required in the first year of the latest triennial valuation;
- These are offset by reduced income from Schools using WCC insurance services (£0.521m).

Risks to Forecasts

A number of forecasts carry risks due to, for example, volatility of demand. Future reports will indicate those forecasts where there is a risk of change as the financial year progresses.

Mitigating Actions

As part of the reporting to Directorate Leadership Teams, they will be asked to confirm what actions are planned/being taken to address variations. This information will feed into future reports.

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Appendix B – Finance Commentary on Service capital forecasts

Service £m	Reprofiling	New (or net nil)	Increased Spend	Reduced Spend	Net 2020- 21 change
Adult Social Care					
Business & Customers					
Children & Families		0.007	0.020		0.027
Communities Services	(6.546)	(0.114)			(6.660)
Education Services	0.021	2.683	0.710		3.414
Enabling Services		0.011			0.011
Environment Services	(14.981)	28.672	0.064		13.755
Fire	(2.176)				(2.176)
Governance & Policy			0.796		0.796
People Commissioning	(0.028)	4.517		(0.002)	4.487
Grand Total	(23.710)	35.776	1.590	(0.002)	13.654

Detailed explanation at a Service level is provided in **Appendix C - Annexes A to M**. The main reasons for the movement to future years (slippage) in the quarter compared to the approved budget are:

Environment Services – Variance of (£14.981m) caused by:-

- £8.510m relates to S278 projects. The time frame for undertaking these is reviewed based on progress around each development.
- A3400 Birmingham road Stratford upon Avon (£3.090m). The construction works are now expected to start in the last quarter of 2020/21 and finish in 2021/22. This is due to design phase delays including drainage and utilities.
- A452 Myton Road and Shires Retail park roundabouts (£2.361m). This project funded from S106 funds has been delayed due to Covid-19. The final design is still to be completed with construction to follow in 2021-22.
- The remaining £1.02m relates to a number of projects, please see the annex for details.

The delays on these projects means the expected benefits of the schemes will not be realised to the original time frame.

Education Services – £0.021m Variance caused by:-

- Delays to the new School in Rugby (£2.830m) and Campion School expansion (£1.767m) have been offset by two other projects completing earlier than expected.
- The schemes completing ahead of schedule are High Meadow £1.787m and Heathcote Primary School £2.605m.
- The remainder is small changes in time frames on a number of other projects, please see the annex.

The delays and advancement of these schemes ahead of schedule is due to more up to date, detailed and timely plans for the project expenditure being refreshed.

Fire & Rescue Service – Variance of (£2.176m) caused by:-

- Delays on the Fire and Rescue HQ project in Leamington Spa (£2.176m)

The Leamington Fire and Rescue HQ refurbishment project is on hold pending a review of all corporate buildings.

Communities Services – Variance of (£6.546m) caused by:-

- Area delegated projects (£2.224m). A report went to Cabinet on the 11th June 2020 proposing changes to the operation of area delegated schemes in order to facilitate the use of funds in year.
- Bermuda connectivity (£3.899m) delay has been caused by the protracted time taken for detailed design to receive technical approval and to secure parcels of land required to deliver the scheme. Consequently, the procurement of the construction contract will not commence until Qtr2 of 2020-21 with construction works earmarked to commence in Qtr3 of 2020-21.
- Leamington to Kenilworth cycle route (£0.5m) where delays to project progress have been caused by COVID-19 and uncertainty surrounding land acquisitions. The progress of the scheme will be reviewed by project managers in detail by Q2 to come up with a new delivery plan.

People Commissioning – Variance of (£0.028m) caused by:-

- Funding agreements for Dementia Friendly environments are in place for 3 projects. Funding is to be paid in 2 instalments- initial payments in 20/21 & final payments on completion- this will likely be in 21/22 due to delays relating to Covid-19.

The delays on projects means the expected benefits of the schemes will not be realised to the original time frame.

20/21 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Environment Services	305	310	5	0	0	0	305	310	5	
Trading Standards & Community Safety	2,696	2,685	(11)	(1,098)	(1,051)	47	1,598	1,634	36	We are currently underspent on staff costs, however this has been counterbalanced by the forecasts for a loss of income, resulting in the net forecast overspend. The service redesign and recruitment will be delayed and a number of posts will not be filled in this financial year. This should address the current position.
County Highways	19,859	21,904	2,045	(5,550)	(5,485)	65	14,309	16,419	2,110	There is a predicted overspend of £1.04million for Town Centre re-allocation works and a £1 million forecast overspend for possible compensation event claims and emergency works for Highways Maintenance Contracts both in relation to COVID. There is also an overspend of £70k in Forestry, largely due to lost income in the first 5 weeks of lockdown.
Planning Delivery	4,327	4,208	(119)	(3,895)	(3,856)	39	432	352	(80)	There is some reduction in staffing costs, due to in year vacancies and delays in the finalisation of Service Redesign. However, this is offset by a potential reduction in income across the Group. Comparing income received at this point last year, the income received is lower but it is too early to establish an accurate costing of how this might affect our overall out-turn. There is also concern about construction sites and how developers will react to the current economic situation - again it is too early to predict the effect this may have.
Transport Delivery	36,436	35,746	(690)	(27,686)	(26,632)	1,054	8,750	9,114	364	Forecast includes increased payments for local bus services and to Voluntary Organisations to allow continued operation. The H2ST forecasts do not, as yet, include an increase for COVID costs as there are too many variables which are subject to change - social distancing guidelines, how schools will operate from Sept and take up from parents on travel allowances for transporting their own children.
Engineering Design Services	7,933	7,218	(715)	(7,405)	(6,667)	738	528	551	23	This is a small net variance mostly attributed to an increase in energy costs within the Traffic Signals cost centre. The large reduction in both income and corresponding expenditure is due to a budget containing the Design Services restructure where vacancies have yet to be filled. The delay was due primarily to COVID-19. Actions are now being taken to fill these vacancies and the forecast will be adjusted accordingly.
Emergency Management	272	272	0	(112)	(112)	0	160	160	0	
Net Service Spending	71,828	72,343	515	(45,746)	(43,803)	1,943	26,082	28,540	2,458	

Impact on specific service reserves (from Reserves tab)	40
Impact on risk/general reserves	2,418

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

Saving Proposal	Target £'000	Actual to Date £'000	Forecast Outturn £'000	Shortfall/ (Overachievement) £'000	Reason for financial variation and any associated management action
Capitalisation of flood prevention works - Contributions to flood prevention schemes to be funded from capital resources as they are about infrastructure investments that are capital in nature and this aligns with the capital funding received from partner organisations as matched funding.	200	0	200	0	
Total	200	0	200	0	

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

Reserve	Approved Opening Balance 01/04/2020 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31/03/2021 £'000	Transfer request (To)/From Reserves £'000	Reason for Request
Proceeds of Crime	163		(30)	133		We are funding a business crime initiative as part of our contribution to the economic recovery. We will also be funding an intelligence post for 7 months of 2020/21
S38 Developer Funding	350			350		
Domestic Homicide Reviews	87		(10)	77		There is a DHR which has just commenced, and the chair has now been appointed. The estimated costs are £10,000.
Flood Management Reserve	458			458		
Total	1,058	0	-40	1,018	0	

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

2020/21 to 2022/23 Capital Programme

Project	Description	Approved Budget					Forecast					Variation		Commentary
		Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Variance in Year £'000	Total Variance £'000	
Major Transport Projects														
10421000	Portobello Bridge	549	204	1,296	10	2,060	549	204	1,296	10	2,060	0	0	An alternative engineering solution is being explored in order to minimise the construction effect on the local road network. Although it was aimed that the construction works could take place during the 2021 school summer holidays, the COVID-19 events make this unrealistic.
11221000	M40 Junction 12	11,868	222	30	0	12,121	11,868	2	250	0	12,121	-220	0	Underspend moved to 2021/22 whilst scheme benefits are monitored and land issues are finalised.
11272000	Rugby Gyrotory Improvements	1,563	0	25	0	1,588	1,563	0	25	0	1,588	0	0	
11509000	A444 Coton Arches, Nuneaton	3,549	151	0	0	3,700	3,549	151	0	0	3,700	0	0	
11510000	A46 Stanks Island, Warwick	2,526	4,064	0	0	6,590	2,526	4,064	0	0	6,590	0	0	
11604000	A444 Corridor Improvements - Phase 2	163	641	3,796	0	4,600	163	300	4,117	20	4,600	-341	0	Design work is on-going and a revised cost estimate has been calculated. The intention is to conclude detail design and procurement, and start construction works in 2021/22 Q1.
11605000	A3400 Bham Road Stratford Corridor Improvements	129	3,395	0	0	3,525	129	305	3,090	0	3,525	-3,090	0	Construction works now expected to start last quarter of FY2020/21 and finish in FY 2021/22. This is due to design phase delays including drainage and utilities.
11649000	A46 Stoneleigh Junction Improvements	3,500	1,650	6,348	0	11,498	3,500	15,778	17,341	157	36,776	14,128	25,278	Since the last forecast the allowance within the Capital Programme for this scheme has been increased from £10m to £36.776m. This change is reflected in the new forecast.
11669000	Lawford Road / Addison Road Casualty Reduction	59	51	736	0	846	59	51	736	0	846	0	0	
11694000	A47 Hinckley Road Corridor	566	2,039	1,000	0	3,605	566	2,039	1,000	0	3,605	0	0	
Street Lighting														
11279000	Pump Priming allocation for LED street lighting	4,452	187	0	0	4,640	4,452	287	0	0	4,740	100	100	Increase due to the £100k RCCO EB031 REV
11719000	Street Lighting Base Budget 19-20	631	0	0	0	631	631	0	0	0	631	0	0	
11818000	Street Lighting Base Budget for 2020 / 2021	0	972	0	0	972	0	972	0	0	972	0	0	
Structural Bridge Maintenance														
11382000	Minor Bridge Maintenance schemes 2015/2016	1,679	0	0	0	1,679	1,679	15	0	0	1,694	15	15	Budget reallocated over prior years
11457000	Minor Bridge Maintenance schemes 2016/2017	529	0	0	0	529	529	13	0	0	542	13	13	Budget reallocated over prior years
11587000	Minor Bridge Maintenance schemes 2017/2018	2,397	0	0	0	2,397	2,397	135	0	0	2,532	135	135	Budget reallocated over prior years
11658000	Minor Bridge Maintenance schemes 2018/2019	1,373	400	0	0	1,773	1,373	600	0	0	1,973	200	200	Budget reallocated over prior years
11717000	Bridges Base Budget 2019 2020	681	0	0	0	681	681	245	0	0	926	245	245	Budget reallocated over prior years
11816000	Bridges Base Budget 2020 2021	0	1,496	0	0	1,496	0	888	0	0	888	-608	-608	Budget reallocated over prior years
11833000	Historic Bridge Maintenance	0	0	0	0	0	0	2,015	2,055	2,230	6,300	2,015	6,300	Budget of £6.3M to be approved at Cabinet on 11/06/20 and Full Council 23/07/20
Structural Maintenance of Roads														
11361000	Highways Maintenance 16/17	15,096	0	0	0	15,096	15,096	0	0	0	15,096	0	0	
11451000	Highways Maintenance 18/19	17,618	0	0	0	17,618	17,618	0	0	0	17,618	0	0	new budget allocated
11720000	County Highways Base Budget 19-20	17,506	34	0	0	17,540	17,506	71	0	0	17,577	37	37	new budget allocated
11785000	County Highways Base Budget 20-21	0	10,995	0	0	10,995	0	21,925	0	0	21,925	10,930	10,930	new budgets allocated
11808000	Vehicle Mitigation Barriers (Stratford upon Avon)	0	582	0	0	582	0	582	0	0	582	0	0	
Traffic Signals														
11381000	Traffic Signals 2015-16	181	13	0	0	194	181	13	0	0	194	0	0	
11657000	Traffic Signals Base Budget 2018-19	291	8	0	0	298	291	0	0	0	291	-8	-8	Reallocation to 2020-21 Financial Year Capital Schemes
11718000	Traffic Signals Base Budget 2019-20	245	5	0	0	250	245	47	0	0	291	41	41	Reallocation of 2020-21 Baseline budget to incomplete 2019-20 schemes
11817000	Traffic Base Budget 2020 2021	0	250	0	0	250	0	216	0	0	216	-34	-34	Reallocation to 2019-20 Incomplete Schemes
Flood management														
10257000	Fisher Brook Flood Alleviation	0	0	0	0	0	0	0	0	0	0	0	0	
11427000	Ladbrooke Flood Alleviation	60	4	0	0	63	60	4	0	0	63	0	0	
11514000	Grendon Property Level	72	0	0	0	72	72	0	0	0	72	0	0	
11550000	Flood modelling	98	5	0	0	103	98	5	0	0	103	0	0	
11574000	Kites Hardwick flood alleviation	103	0	0	0	103	103	0	0	0	103	0	0	
11599000	Cherrington Flood Risk Management Scheme	62	3	0	0	65	62	3	0	0	65	0	0	
11686000	Whiteacre Health Flood Alleviation	56	0	0	0	56	56	0	0	0	56	0	0	
11735000	Grendon Capital Flood Scheme	1	111	0	0	112	1	111	0	0	112	0	0	
11794000	Flood Defence Maintenance 20-21	0	200	0	0	200	0	200	0	0	200	0	0	
11801000	Flood alleviation schemes CIF - Pailton	0	173	0	0	173	0	173	0	0	173	0	0	
11802000	Flood alleviation schemes CIF - Fenny Compton	0	484	0	0	484	0	484	0	0	484	0	0	
11803000	Flood alleviation schemes CIF - Welford on Avon	0	0	105	0	105	0	0	105	0	105	0	0	
11804000	Flood alleviation schemes CIF - Galley Common	0	154	0	0	154	0	154	0	0	154	0	0	
11805000	Flood alleviation schemes CIF - Bermuda	0	230	0	0	230	0	230	0	0	230	0	0	
11806000	Flood alleviation schemes CIF - Brailles	0	115	0	0	115	0	115	0	0	115	0	0	
Community Safety														
11712000	Gypsy & Traveller Services 19-20	0	73	0	0	73	0	0	0	0	0	-73	-73	BUDGET Transferred to 11789000

11789000	Gypsy & Traveller Services 20-21	0	20	0	0	20	0	93	0	0	93	73	73	CCTV to be purchased for two sites, supplier identified, exemption signed and equipment is on order. Further fencing work and redesign of the Griff and Pathlow sites is required to ensure the council maintains its assets appropriately- The remaining budget will contribute to some of the fencing associated costs. £72,528 transferred from 11712000
Archaeology & Ecology														
11727000	Ford Ranger 4x4	12	0	0	0	12	12	0	0	0	12	0	0	
Developer Funded Transport - s106 schemes														
11054000	Rugby, Hunters Ln - Through Route New Tech Dr To Newbold Rd	62	329	0	0	391	62	200	129	0	391	-129	0	Following the last Project Board, approval has been given to begin reviving this project and start development work. Additional funding would be requiring to deliver the scheme.
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	9	0	0	9	0	0	
11194005	Install MOVA operation on traffic signal junctions Emscote Road Warwick (Tesco Stores)	1	74	0	0	75	1	74	0	0	75	0	0	
11194006	Install Variable Message Signs A444 (Prologis)	0	82	0	0	82	0	0	82	0	82	-82	0	Feasibility of signage requirement & benefits it would deliver to be considered
11194007	Install Traffic Signals junction Colliery lane / Back Lane Exhall (David Wilson Homes)	0	45	0	0	45	0	0	0	0	0	-45	-45	No justification for the scheme to continue
11194009	Bridleways Improvements Brownsover Rugby	0	6	0	0	6	0	6	0	0	6	0	0	
11195003	S106 Rights of Way Scheme at Long Shoot Development Nuneaton	0	6	0	0	6	0	6	0	0	6	0	0	
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	
11417000	A426 /A4071 Avon Mill Roundabout Rugby Improvement Scheme	429	848	431	0	1,708	429	600	679	0	1,708	-248	0	SOBC process has been completed and approved by DfT. The OBC submission is now required - this will be competitively tendered through the Professional Services Contract. Some detail design has begun early, but will begin in fully in January 2021. Programme revised so that detail design of scheme properly begins only when the OBC is approved by DfT. Additional funding to be provided for developing and construction following OBC (and FBC) approval from DfT.
11464000	Clifton on Dunsmore Traffic Calming S106	403	69	0	0	472	403	69	0	0	472	0	0	
11618000	B4087 Oakley Wood Road - Raised Traffic Calming Scheme	139	0	0	0	139	139	0	0	0	139	0	0	
Developer Funded Transport - Europa Way														
11580000	A452 Europa Way (Lower Heathcote Farm), Warwick. Developer – Gallagher Estates Ltd.	2,928	572	0	0	3,500	2,928	0	572	0	3,500	-572	0	Road Safety Audit Stage 3 still not complete. Monies required to complete remedial action arising from RSA3
11602000	A452 Europa Way / Olympus Avenue Traffic Signal Controlled Junction S278	1,408	1,716	884	0	4,008	1,408	1,716	884	0	4,008	0	0	
11636000	A452 Myton Road And Shire Park Roundabouts	71	2,461	1,268	0	3,800	71	100	3,629	0	3,800	-2,361	0	Design delayed due to Covid-19. Design due to be complete Q2 FY21/22 with construction to follow
11637000	A452 Europa South of Olympus Avenue to Heathcote Lane Roundabout	24	0	0	7,476	7,500	24	0	0	7,476	7,500	0	0	
11638000	A452 M40 spur west of Banbury Road	12	0	0	7,588	7,600	12	0	0	7,588	7,600	0	0	
11814000	C9878 A452 Europa Way Dualling, The Asps	0	150	0	0	150	0	50	100	0	150	-100	0	Updated to reflect expected delivery
Developer Funded Transport - s278 schemes														
10010001	Unallocated S278 developer funds	-46	6	1,656	0	1,616	-46	6	1,656	0	1,616	0	0	
10438000	Leamington, Junction Alterations At Former Potterton Works	4	0	0	0	4	4	0	0	0	4	0	0	
11195010	S278 DE33034 Western Rd and Bham Rd Stratford (McDonalds)	381	0	0	0	381	381	0	0	0	381	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	641	230	0	0	871	641	230	0	0	871	0	0	
11326000	Elliots Field Retail Park	816	0	0	0	816	816	0	0	0	816	0	0	
11327000	B4113 Gipsy Lane Junction	5	199	0	0	204	5	199	0	0	204	0	0	
11328000	New Roundabout Southam Road Kineton	478	0	0	0	478	478	0	0	0	478	0	0	
11336000	Ansty Business Park Phase 3	1,521	994	497	0	3,011	1,521	994	497	0	3,011	0	0	
11337000	A426 Leicester Road, Rugby - Toucan Crossing	329	6	0	0	335	329	6	0	0	335	0	0	
11366000	B4087 Tachbrook Road Signals for Development at Woodside Farm Whitnash	431	0	0	0	431	431	20	0	0	451	20	20	Updated to reflex expected delivery
11419000	A423 Priority Junction and A425 Banbury Road Toucan Crc	504	6	6	0	516	504	12	0	0	516	6	0	Updated to reflect expected delivery
11423000	A423 Coventry Road Southam New Priority Junction S278	508	6	6	0	520	508	12	0	0	520	6	0	Updated to reflect expected delivery
11424000	Snitterfield Emergency Works	0	0	0	0	0	0	0	0	0	0	0	0	
11428000	B5000 Grendon Road Polesworth New Roundabout Section 278	868	65	32	0	965	868	65	32	0	965	0	0	

11429000	A3400 Birmingham Road, Stratford upon Avon, New right turn land S278	247	3	0	0	250	247	26	0	0	273	23	23	Updated to reflect expected delivery
11430000	A428 Rugby Radio Station Mass Site S278 Highways Work	2,639	133	67	0	2,839	2,639	200	0	0	2,839	67	-0	Updated to reflect expected delivery
11435000	A3400 Birmingham Rd Stratford - Conversion of Existing Traffic Signal Junction S278	308	6	6	0	320	308	12	0	0	320	6	0	Updated to reflect expected delivery
11436000	B4087 Oakley Wood Road Bishops Tachbrook	452	52	0	0	504	452	52	0	0	504	0	0	
11437000	B4632 Campden Road /C47 Station Road - New Ghost Island & New Minor Access S278	575	4	6	0	585	575	4	6	0	585	0	0	
11438000	B4642 Coventry Rd, Site Access, Cawston - New Traffic Signal Junction S278	601	10	10	0	621	601	20	0	0	621	10	0	Updated to reflect expected delivery
11439000	B4642 Coventry Rd / Cawston Grange Drive Cawston Construction of 5th Arm at Rdbt S278	1,400	7	10	0	1,417	1,400	17	0	0	1,417	10	0	Appears to be an error on spreadsheet cannot identify any slippage
11460000	C204 Birmingham Road, Alcester - new right turn land outside Alcester Grammar	45	763	393	0	1,201	45	763	393	0	1,201	0	0	
11461000	A47 The Long Shoot, Nuneaton , New Traffic Controlled Junction S278	1,080	108	20	0	1,208	1,080	108	20	0	1,208	0	0	
11462000	B4035 Campden Road, Shipston on Stour new right turn lane	336	14	10	0	360	336	14	10	0	360	0	0	
11463000	B4451 Kineton Road Southam New Roundabout S278	609	8	10	0	627	609	8	10	0	627	0	0	
11467000	C43 Harbury Lane, Warwick – new traffic signal controlled junction.S278	553	10	10	0	573	553	10	10	0	573	0	0	
11505000	A422 Alcester Road, Stratford upon Avon	250	6	6	0	262	250	6	6	0	262	0	0	
11506000	A426 Southam Rd Southam access to quarry at Griffins Farm	307	6	10	0	323	307	6	10	0	323	0	0	
11507000	A428 Lawford Road, Rugby	410	84	0	0	494	410	84	0	0	494	0	0	
11508000	B4429 Ashlawn Road, Rugby	58	54	10	0	122	58	54	10	0	122	0	0	
11511000	A429 Ettington Road, Wellesbourne	1,216	24	10	0	1,249	1,216	24	10	0	1,249	0	0	
11515000	A4254 Eastbro Way Nuneaton Traffic Signals at Junctions with Camborne Drive S278	1,979	16	0	0	1,995	1,979	16	0	0	1,995	0	0	
11516000	A444 Weddington Road Nuneaton Right Turn Lane to Site Access S278	699	10	10	0	719	699	10	10	0	719	0	0	
11517000	A47 Hinkley Road Nuneaton Puffin Crossing	116	10	10	0	136	116	10	10	0	136	0	0	
11518000	D2206 Siskin Drive Baginton Right Turn Lane S278	457	0	0	0	457	457	13	30	0	500	13	43	Budget increased to reflect actual cost and expected delivery
11519000	D3108 Back Lane Long Lawford Traffic Signals & Junction Improvements S278	437	9	10	0	456	437	9	10	0	456	0	0	
11527000	A423 Marton Road , Long Itchington - New Footway & Site Access S278	173	10	10	0	193	173	10	10	0	193	0	0	
11528000	A444 Weddington Road, Nuneaton - new Puffin crossing.	218	47	20	0	284	218	47	20	0	284	0	0	
11529000	B4642 Coventry Road, Cawston - new right turn lane.	4	394	203	0	601	4	394	203	0	601	0	0	
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.	298	53	25	0	376	298	53	25	0	376	0	0	
11531000	D1643 Park Road, Bedworth - new car park egress.	140	151	50	0	341	140	151	50	0	341	0	0	
11551000	A47 Long Shoot - relocation of a refuge island	35	39	16	0	90	35	39	16	0	90	0	0	
11576000	A3400 Banbury Road / Tiddington Road, Stratford upon Avon.	2	1,319	679	0	2,000	2	679	1,319	0	2,000	-639	0	Updated to reflect expected delivery
11577000	A3400 Bridgefoot / Bridgeway, Stratford upon Avon	9	490	252	0	751	9	252	490	0	751	-237	0	Updated to reflect expected delivery
11578000	C98 Loxley Road, Tiddington.	15	980	505	0	1,500	15	980	505	0	1,500	0	0	
11579000	D7050 Common Lane Kenilworth Traffic Signal Junction	3,264	785	404	0	4,453	3,264	785	404	0	4,453	0	0	
11581000	Butlers Leap Link Road, Rugby. Developer – Urban and Civic PLC.	3,444	367	189	0	4,000	3,444	367	189	0	4,000	0	0	
11582000	Shottery Link Road, Stratford-upon-Avon. Developers – J S Bloor (Tewkesbury) Ltd and Hallam Land Management Ltd.	32	2,601	867	0	3,500	32	2,601	867	0	3,500	0	0	
11595000	A422 Banbury Road Ettington Ghost Island	292	12	4	0	308	292	12	4	0	308	0	0	
11597000	B4451 Station Road Bishops Itchington Ghost Island Right Turn Lane S278	759	144	48	0	950	759	144	48	0	950	0	0	
11598000	A426 Leicester Road Rugby Highway Impt S278	2,712	52	17	0	2,781	2,712	52	17	0	2,781	0	0	
11603000	B439 Salford Road Bidford - Access And Puffin Crossing	19	99	33	0	151	19	99	33	0	151	0	0	
11608000	Highway Impt A446 Lichfield Road , Coleshill S278	60	67	22	0	150	60	67	22	0	150	0	0	
11609000	Highway Impt C104 Milcote Rd Welford On Avon S278	268	61	20	0	350	268	61	20	0	350	0	0	
11616000	A47 The Long Shoot (Callendar Farm) highway alterations S278	4	0	0	0	4	4	0	0	0	4	0	0	
11617000	C12 Plough Hill Road , Galley Common - installation of Puffin crossing & associated fway works	139	121	40	0	300	139	121	40	0	300	0	0	
11620000	A3400 London Road, Shipston on Stour (Orbit Homes)	14	327	109	0	450	14	327	109	0	450	0	0	
11663000	A425 Daventry Road, Southam (Taylor Wimpey)	415	980	327	0	1,721	415	980	327	0	1,721	0	0	
11664000	C8 Trinity Road, Kingsbury (St Modwen)	2,281	21	0	0	2,302	2,281	21	0	0	2,302	0	0	
11665000	D538 Station Road, Coleshill (Aldi Stores)	8	142	0	0	150	8	42	100	0	150	-100	0	Updated to reflect expected delivery
11666000	CCTV/UTC integration scheme on A3400 Birmingham Road Stratford (Bellway Homes)	0	85	0	0	85	0	85	0	0	85	0	0	
11667000	B4642 Coventry Road, Cawston. Developer – Miller Homes. Approximate value £250k	992	0	0	0	992	992	8	0	0	1,000	8	8	Updated to reflect expected delivery

11671000	B4455 Fosse Way / B4100 Banbury Rd (Jlr) Highway Impt S278	14	439	146	0	600	14	146	439	0	600	-293	0	Updated to reflect expected delivery
11672000	B4455 Fosse Way /A425 Southam Rd Roundabout Impt S278 (CEG)	45	342	114	0	500	45	342	114	0	500	0	0	
11673000	B4455 Fosse Way /C43 Harbury Lane Impt Crossroads S278 (CEG)	0	825	275	0	1,100	0	825	275	0	1,100	0	0	
11674000	B4100 Banbury Rd / Meadow Close Junction Impt S278 (CEG)	0	300	100	0	400	0	300	100	0	400	0	0	
11675000	B4100 Banbury Rd / Kingston Grange Site Access Impt S278 (CEG)	636	264	0	0	900	636	264	0	0	900	0	0	
11676000	B4100 Banbury Rd / Site Access Lighthorne Heath Highways Impt S278 (IM Properties)	1	562	187	0	750	1	187	562	0	750	-375	0	Updated to reflect expected delivery
11684000	S278 Highway Impt C30 Hillmorton Lane To Houlton And The Kent Rugby	3,080	315	105	0	3,500	3,080	315	105	0	3,500	0	0	
11688000	S278 Highway Impts Rugby Free School	809	324	0	0	1,133	809	324	0	0	1,133	0	0	
11695000	A4023 Coventry Highway, Mappleborough Green.	583	2,187	729	0	3,500	583	2,187	729	0	3,500	0	0	
11696000	A428 Crick Road, Rugby. Developers	1,273	38	0	0	1,311	1,273	38	0	0	1,311	0	0	
11697000	A428 Hillmorton Road / B4429 Ashlawn Road, Rugby. Developers	4	897	299	0	1,200	4	897	299	0	1,200	0	0	
11698000	B4632 Campden Road, Clifford Chambers. Developer	23	432	144	0	600	23	432	144	0	600	0	0	
11699000	B5000 Grendon Road, Polesworth. Developer	364	0	0	0	364	364	0	0	0	364	0	0	
11705000	A425 Banbury Road Warwick Highway Improvement S278 work for independent schools	442	8	0	0	450	442	40	10	0	492	32	42	Updated to reflect expected delivery
11706000	A452 Europa Way (North of Gallows Hill) Highway Improvement S278 - Galliford Try	39	411	0	0	450	39	311	100	0	450	-100	0	Updated to reflect expected delivery
11707000	A47 Long Shoot Nuneaton Highways Improvement S278 Jelson Ltd	35	536	179	0	750	35	536	179	0	750	0	0	
11708000	B4035 Campden Road Shipston Highway Improvement S278 - Taylor Wimpey	19	924	308	0	1,250	19	308	924	0	1,250	-616	0	Updated to reflect expected delivery
11709000	C11 Highham Lane Nuneaton Highway Improvement S278 - Persimmon	28	622	0	0	650	28	622	350	0	1,000	0	350	Updated to reflect expected delivery
11732000	B4086 Wk Rd Kineton S278 Site Access Morris Homes C9389	24	976	0	0	1,000	24	76	900	0	1,000	-900	0	Updated to reflect expected delivery
11733000	B4089 Arden Rd S278 Site Access Alcester Estates C9558	78	172	0	0	250	78	100	72	0	250	-72	0	Updated to reflect expected delivery
11734000	B4100 Temple Herdewyke Highways Impt S278 Dio C9618	35	1,465	0	0	1,500	35	765	700	0	1,500	-700	0	Updated to reflect expected delivery
11743000	Junction Impt A3400 Shipston Rd SoA C8950 St Mowdens S278	0	1,875	625	0	2,500	0	1,875	625	0	2,500	0	0	
11744000	Highways Impt A426 Rugby Rd C9401 David Wilson S278	90	2,557	852	0	3,500	90	2,557	852	0	3,500	0	0	
11745000	Highways Impt Gallows Hill C9042 Gallagher S278	42	2,594	865	0	3,500	42	2,594	865	0	3,500	0	0	
11747000	C12 Tunnel Rd Highway Impt S278 Countryside Prop (C9836)	1	187	62	0	250	1	187	62	0	250	0	0	
11748000	C88 Alwyn Road Rugby Highway Impt S278 Miller Homes (C9712)	2	248	0	0	250	2	48	200	0	250	-200	0	Updated to reflect expected delivery
11749000	C93 Bishopton Lane SOA S278 Miller & T.Wimpey (C9163)	23	1,182	394	0	1,600	23	394	1,182	0	1,600	-788	0	Updated to reflect expected delivery
11751000	A428 Coventry Rd Long Lawford Junction IMPT C9593 Bloor	2	823	274	0	1,100	2	823	274	0	1,100	0	0	
11752000	B4100 Banbury Rd Lighthorne Heath Highway IMPT C9830 Ceg	16	813	371	0	1,200	16	813	371	0	1,200	0	0	
11753000	B4100 Banbury Rd / Kingsway Rdbt Highway IMPT C9829 Ceg	20	810	270	0	1,100	20	810	270	0	1,100	0	0	
11754000	C33 Stockton Rd Long Itchington Highway IMPT C9631 Barratt	5	245	0	0	250	5	45	200	0	250	-200	0	Updated to reflect expected delivery
11755000	C12 Plough Hill Rd , Nuneaton Highway IMPT C9746 Countryside	8	369	123	0	500	8	369	123	0	500	0	0	
11757000	A425 Banbury Road and A452 Europa Way	1	2,624	875	0	3,500	1	50	3,450	0	3,501	-2,574	1	Forecast reflex expected delivery
11758000	B4632 Campden Road, Long Marston	19	1,807	674	0	2,500	19	1,807	674	0	2,500	0	0	
11759000	Birmingham Road, A4177 , Hatton.	0	450	150	0	600	0	600	0	0	600	150	0	
11760000	SOUTHAM By-pass A423 , Southam.	1	1,349	450	0	1,800	1	1,799	0	0	1,800	450	0	Forecast revised to reflect expected delivery
11767000	A45 Stonebridge Highway / D2201 Rowley Road, Baginton	246	265	88	0	600	246	265	88	0	600	0	0	
11768000	B4029 Severn Road, Bulkington	3	373	124	0	500	3	373	124	0	500	0	0	
11769000	B4632 Campden Road, Quinton	2	1,124	375	0	1,500	2	375	1,124	0	1,500	-749	0	Updated to reflect expected delivery
11770000	C33 Bubbenhall Road, Baginton (Gateway South)	46	416	139	0	600	46	416	139	0	600	0	0	
11771000	D6216 Upper Henley Street, Stratford-upon-Avon	17	25	8	0	50	17	25	8	0	50	0	0	
11772000	M6 Junction 1 /A426 Leicester Road , Rugby	29	166	55	0	250	29	166	55	0	250	0	0	
11774000	C32 Birmingham Road (Farmers Market Roundabout C9670)	1	0	0	0	1	1	50	200	0	251	50	250	Added to Capital Programme on 13 Dec 2019 value of £250k approved.
11815000	C9802 A46 Stoneleigh Rd (Whitley South) S278	2	98	0	0	100	2	98	0	0	100	0	0	
11823000	C9962 - A46 Alcester Road, Stratford-upon-Avon	0	0	0	0	0	0	50	0	0	50	50	50	Added to Capital Budget (£50k) on 20 March 2020
11824000	C9964 - B4632 Campden Rd (Freshfields Nursery), Clifford Chambers	0	0	0	0	0	0	50	0	0	50	50	50	Added to Capital Budget (£50k) on 20 March 2020
11825000	C9946 - C43 Gallows Hill (Strawberry Fields), Warwick	0	0	0	0	0	0	50	0	0	50	50	50	Added to Capital Budget (£50k) on 20 March 2020

11826000	C9973 - D7069 Glasshouse Lane, Kenilworth	0	0	0	0	0	0	50	0	0	50	50	50	Added to Capital Budget (£50k) on 20 March 2020
11827000	D1020 - A46/A428 Rugby Road, Binley Woods	0	0	0	0	0	0	50	0	0	50	50	50	Added to Capital Budget (£50k) on 17 April 2020
11828000	C9990 - A426 Rugby Road/D3616 The Square (Dun Cow Crossroads), Dunchurch	0	0	0	0	0	0	200	300	0	500	200	500	Added to Capital Budget (£500k) on 17 April 2020
11829000	C9991 - A426 Dunchurch Rd/NB4429 Ashlawn Rd (Cock Robin Island), Rugby	0	0	0	0	0	0	25	175	0	200	25	200	Added to Capital Budget (£200k) on 17 April 2020
11830000	C9992 - B4429 Ashlawn Rd/D3394 Barby Rd, Dunchurch	0	0	0	0	0	0	50	550	0	600	50	600	Added to Capital Budget (£600k) on 17 April 2020
11831000	C9983 - C93 Bishopton Lane (canal bridge traffic signals), Stratford-upon-Avon	0	0	0	0	0	0	600	0	0	600	600	600	Added to Capital Budget (£600k) on 17 April 2020
11832000	C9981 - D3948 Falkland Place, Temple Herdewyke	0	0	0	0	0	0	300	0	0	300	300	300	Add to Capital Budget (£300k) on 17 April 2020
Grand Total		143,006	79,975	31,926	15,075	269,983	143,006	93,729	61,553	17,482	315,770	13,754	45,787	

Annex B1 DSG Revenue - Education Services - Ian Budd

Strategic Director - Mark Ryder

Portfolio Holders - Councillor Hayfield (Education & Learning)

20/21 DSG Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Education Services	(8,523)	3,065	11,588	(58)	(58)	0	(8,581)	3,007	11,588	High Needs Block Deficit c/f from 2019/20 and forecasted overall over-spend in the DSG recovery plan for this year after anticipated savings of £0.709m. A full report was presented to Cabinet in July.
Education & Early Years (Commissioning & Strategy)	36,776	36,048	(728)	(463)	(463)	0	36,313	35,585	(728)	£0.117m overspend in Alternative Provision to be met by additional funding generated by savings made from closure of the Links Centre. £0.788m underspend due to a reduction in hours for EY provision - Grant will be updated based on the January 2021 census data. £0.057m underspends due to staffing vacancies and savings due to reductions in service costs from COVID
SEND & Inclusion (Commissioning & Strategy)	57,975	57,850	(125)	(1,452)	(1,275)	177	56,523	56,575	52	£0.029m overspend from the updated allocation for the Vision Support Service £0.020m overspend on IDS Early Years services for Staffing
Net Education Service Spending	86,228	96,963	10,735	(1,973)	(1,796)	177	84,255	95,167	10,912	
DSG People Strategy & Commissioning	150	150	0	0	0	0	150	150	0	Contribution for the Schools Support part of the CAHMS contract with RISE
DSG funding provided to maintained schools - Individual Schools Budget (ISB)	143,547	143,547	0	0	0	0	143,547	143,547	0	DSG Funding transferred as part of the monthly advances to maintained schools
DSG Central Control	2,941	2,964	23	0	0	0	2,941	2,964	23	£0.023m forecast variance - Income updated for the new High needs academy recruitment figures - the forecast has not yet been updated here to reflect the full change. <u>Budget</u> £0.227m Resourced provision budget help for Coten End, Paddox and Welford in advance of the units opening £2.631m Schools Block contingency (Usually approved by Schools Forum to transfer to the Growth Fund)
DSG Overheads	3,298	3,298	0	0	0	0	3,298	3,298	0	£2,508,565 contribution to Resources Services funded by DSG (CEC's on DSG Services) £789,637 Central Services Block spend held in Other Services (formerly funded by Education Support Grant now mainstreamed into DSG funding)
Net DSG Spending	236,164	246,922	10,758	(1,973)	(1,796)	177	234,191	245,126	10,935	
Impact on specific service reserves (from Reserves tab)										10,935
Impact on risk/general reserves										0

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

Reserve	Approved Opening Balance 01/04/2020 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31/03/2021 £'000	Transfer request (To)/From Reserves £'000	Reason for Request
DSG Reserve - Central Block	241		34	275		
DSG Reserve - Early Years Block	1,848		748	2,596		
DSG Reserve - High Needs Block	(5,240)	5,240	(11,701)	(11,701)		
DSG Reserve - Schools Block (Growth Fund)	383		0	383		
DSG Reserve - Schools Block (other)	(189)		(16)	(205)		
Total	(2,958)	5,240	(10,935)	(8,653)	0	

Annex B2 Non-DSG Revenue - Education Services - Ian Budd
 Strategic Director - Mark Ryder
 Portfolio Holders - Councillor Hayfield (Education & Learning)

20/21 Non-DSG Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Education Services	3,483	3,529	46	(882)	(882)	0	2,601	2,647	46	The reported over-spend is for the cost for the Pears Project Manager. The time limited budget for this post and the project is currently sitting in Enabling Services - Resources and work is being undertaken to confirm if this overspend can be funded from the project budget.
Education & Early Years (Commissioning & Strategy)	12,537	13,600	1,063	(3,340)	(3,451)	(111)	9,197	10,149	952	The reported over-spend is primarily the result of additional COVID related expenditure offset by additional grant awaiting a decision by the Service. <ul style="list-style-type: none"> •£0.690m for the provision of COVID Key Workers for the Early Years Hubs •£0.300m refunds for School Bus Passes due to COVID •£0.076m other COVID Costs (i.e. Alternative Provision) •£0.085m Losses in income due to COVID •£0.200m under-spend - Additional Monitoring and Brokerage Grant (awaiting SLT decision on spend)
SEND & Inclusion (Commissioning & Strategy)	26,449	27,108	659	(5,014)	(4,756)	258	21,435	22,352	917	This reported over-spend is primarily the result of additional COVID related expenditure as well as on-going pressure on Children with Disabilities (CwD) budgets around CIC placements. <ul style="list-style-type: none"> •£0.274m Loss of income due to COVID •£0.026m additional COVID costs •£0.252m overspend for CwD primarily related to high cost of CIC Placements •£0.237 budget shortfall in SEN transport •£0.106 overspend in the STS Links, Transitions and Exclusions where the service does not believe they will be able to make their gross surplus target •£0.021 for Additional post in IDS TL Early Years
Education Service Delivery	6,831	6,784	(47)	(5,867)	(4,724)	1,143	964	2,060	1,096	This reported over-spend is primarily the result of losses in income for traded services as a result of COVID. <ul style="list-style-type: none"> • £1.060m Losses of income due to COVID (Warwickshire Attendance Service, Warwickshire Music and Marle Hall) • £0.017m Additional COVID costs • £0.019m Staffing overspend from recruitment to a Job share in Adult and Community Learning which is being reviewed as budget should be available from the Case for Change
Net Service Spending (excluding DSG)	49,300	51,021	1,721	(15,103)	(13,813)	1,290	34,197	37,208	3,011	

Impact on specific service reserves (from Reserves tab)	(270)
Impact on risk/general reserves	3,281

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

Saving Proposal	Target £'000	Actual to Date £'000	Forecast Outturn £'000	Shortfall/ (Overachievement) £'000	Reason for financial variation and any associated management action
Home to school transport eligibility - Risk assessment and review of eligibility within the home to school transport policy. The first year of this new approach has demonstrated avoided costs, mainly due to reassessment of single-occupancy taxis to multi-occupancy taxis.	209	209	209	0	
Education transport route optimisation - Using route optimisation software to map the most efficient way to transport groups of learners to school will reduce home to school transport costs.	58	58	58	0	
Review of provision of passenger transport assistants - Reduced cost of passenger assistants as a result of their withdrawal from routes except for cases where a learner has an Education and Health Care Plan.	12	12	12	0	
Total	279	279	279	0	

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

Reserve	Approved Opening Balance 01/04/2020 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31/03/2021 £'000	Transfer request (To)/From Reserves £'000	Reason for Request
School Improvement Monitoring & Brokering Reserve	646	(211)	220	655		
Virtual School for children looked after	93	(40)	50	103		
Education management information system	44	0	0	44		
Total	783	(251)	270	802	0	

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

2020/21 to 2022/23 Capital Programme

Project	Description	Approved Budget					Forecast					Variation		Commentary
		Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Variance in Year £'000	Total Variance £'000	
Learning - Devolved														
10554000	Devolved/School Level Budgets 2010/11 (Self-financed)	0	0	0	0	0	0	2,484	0	0	2,484	2,484	2,484	Current estimate of schools devolved spending based on last year's devolved spending.
Learning - Non Schools														
10008000	Education - S106 Financing	1	0	0	0	1	1	0	0	0	1	0	0	
11399000	CMS Musical Instruments 2015/16-2017-18	102	0	0	0	102	102	15	0	0	117	15	15	2020/21 revenue contribution to Music Instrument purchase
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	10,609	531	0	0	11,140	10,609	1,203	0	0	11,812	672	672	Increases in funding agreed at Q1 - £522,000 from the Specialist Provision Fund (to be approved as part of the July 2020 E&L capital programme Cabinet report) and £150,000 transferred from Public Health Capital funding for the refurbishment of the bungalows
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	53	0	0	0	53	53	0	0	0	53	0	0	
11499000	Bidford Primary & Willow Tree Nursery separation works	26	0	0	0	26	26	0	0	0	26	0	0	
11573000	Planning & Development block header 17/18	41	60	33	66	200	41	60	33	66	200	0	0	
11621000	High Meadow Infant School - New Classrooms, group rooms and Toilets	508	40	1,787	0	2,335	508	1,827	0	0	2,335	1,787	0	Project to be completed in 2020/21
11630000	Minor Works 18/19	326	0	0	0	326	326	0	0	0	326	0	0	
11678000	Seedlings Nursery HRI Wellesbourne	119	2	0	0	120	119	2	0	0	120	0	0	
11682000	Temporary classroom removal	95	55	0	0	150	95	55	0	0	150	0	0	
11683000	Healthy Pupil Capital Fund	0	0	0	0	0	0	0	0	0	0	0	0	
11741000	High Meadow - additional works	0	0	685	0	685	0	0	0	0	0	0	-685	Removal of duplicate funding that has already been but in project 11621000
11807000	Maintained Nursery Schools Capital Funding to Ensure Access for Children with SEND & Inclusion	0	0	0	0	0	0	184	0	0	184	184	184	New Project approved 26th March 2020 - Applied as CIF Bid but approved as Basic Need funding.
Primary - expansion														
11073000	All Saints Junior Extension (Pupil Places) Warwick	932	0	0	0	932	932	0	0	0	932	0	0	
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	2,710	0	0	0	2,710	2,710	0	0	0	2,710	0	0	
11263000	Long Lawford extension (pupil places)	753	0	0	0	753	753	0	0	0	753	0	0	
11386000	Long Lawford Primary permanent expansion	2,647	494	0	0	3,141	2,647	494	0	0	3,141	0	0	
11389000	All Saints Primary, Nuneaton, replace temporary classrooms with new extension	692	0	0	0	692	692	0	0	0	692	0	0	
11468000	Oakfield Primary expansion (Academy)	451	0	0	0	451	451	0	0	0	451	0	0	
11471000	The Ferncumbe Primary School	100	20	0	0	120	100	20	0	0	120	0	0	
11493000	Coleshill Church of England Primary School - contribution to additional classroom for bulge class	270	5	0	0	275	270	5	0	0	275	0	0	
11497000	Acorns Primary School, Long Compton - new temporary classroom	229	31	0	0	260	229	31	0	0	260	0	0	
11500000	Northlands Primary School - bulge class additional toilets & security door relocation	74	0	0	0	74	74	0	0	0	74	0	0	
11566000	The Ferncumbe Primary School	493	37	0	0	530	493	37	0	0	530	0	0	
11568000	Welford on Avon Primary School	1,910	0	0	0	1,910	1,910	13	0	0	1,923	13	13	
11570000	Coten End Kitchen Extension	168	0	0	0	168	168	0	0	0	168	0	0	
11620000	Newdigate Primary School - Expansion and Internal refurb	335	0	1,405	0	1,740	335	0	1,405	0	1,740	0	0	
11627000	Wellesbourne Primary School - new small hall and servery to the annex site	847	78	0	0	925	847	78	0	0	925	0	0	
11628000	Michael Drayton Primary - Expansion	2,429	56	0	0	2,484	2,429	56	0	0	2,484	0	0	
11646000	Barford St Peters Primary	235	17	0	0	252	235	17	0	0	252	0	0	
11647000	Coleshill Primary	252	0	0	0	252	252	0	0	0	252	0	0	
11677000	Harbury Primary School - Internal Alterations	0	93	0	0	93	0	93	0	0	93	0	0	
11738000	Harbury Primary, Internal redevelopment and reconfiguration	60	0	0	0	60	60	0	0	0	60	0	0	
11739000	Harbury Pre School, Reconfiguration	23	0	0	0	23	23	0	0	0	23	0	0	
11740000	Bidford Bright Stars Nursery, External Equipment	0	58	0	0	58	0	58	0	0	58	0	0	
11777000	Heathcote Primary Expansion	89	0	2,605	0	2,694	89	2,605	0	0	2,694	2,605	0	Project to be completed in 2020/21
11779000	Whitnash Primary School expansion	0	0	1,000	0	1,000	0	60	940	0	1,000	60	60	Project to be start in 2020/21
11780000	St Gabriel's CoFE Academy internal alterations	0	130	0	0	130	0	130	0	0	130	0	0	
11781000	Brailes CoFE Primary School classroom extension	0	150	0	0	150	0	150	0	0	150	0	0	

Primary - new														
11313000	Aylesford Primary School - new primary provision at Aylesford school	3,006	0	0	0	3,006	3,006	0	0	0	3,006	0	0	
11384000	New School, The Gateway, Rugby	270	2,880	2,265	0	5,416	270	50	2,730	2,365	5,416	-2,830	0	Phasing of New project confirmed by project manager
11391000	New school, South Warwick (Heathcote Farm site)	3,806	0	0	0	3,806	3,806	0	0	0	3,806	0	0	
11480000	Water Orton Primary School (re HS2 Conditional)	6,160	0	0	0	6,160	6,160	2	0	0	6,162	2	2	Budget increase of £2,230 funded by budget transfer from Water Orton new SEN project 11644001.
Primary - other														
11319000	Eastlands Primary Temporary Classroom	107	95	0	0	202	107	95	0	0	202	0	0	
11321000	Long Lawford Pri temporary classroom	385	0	0	0	385	385	7	0	0	392	7	7	Expenditure increase for temporary classroom required for one additional year in 2020/21.
School access														
11629000	DDA Blockheader 18/19	712	0	0	0	712	712	5	0	0	717	5	5	
11728000	DDA Blockheader 19/20	408	0	0	0	408	408	13	0	0	421	13	13	
11800000	Schools Access - Investment in school adaptations to reflect pupils access needs	0	400	0	0	400	0	400	0	0	400	0	0	
Secondary - expansion														
11472000	Kineton High School	3,178	114	0	0	3,291	3,178	114	0	0	3,291	0	0	
11639000	Campion Phase 1 (incl Sports Hall Refurb)	5,124	2,443	0	0	7,567	5,124	2,443	0	0	7,567	0	0	
11645000	Coleshill Secondary School	2,981	214	0	0	3,194	2,981	214	0	0	3,194	0	0	
11681000	Polesworth PS&FP2	0	200	0	0	200	0	200	0	0	200	0	0	
11742000	The Avon Valley School, Alternative Provision Accommodation	28	0	0	0	28	28	0	0	0	28	0	0	
11776000	Campion School Expansion Phase 2	1	2,408	6,571	0	8,979	1	641	5,485	2,852	8,979	-1,767	0	Project Manager applied new profile for budget spend on the project
Secondary - new														
11730000	New School Leamington	100	250	0	0	350	100	100	150	0	350	-150	0	Project manager provided profiling of project
Secondary - other														
11498000	Etone Secondary School grounds resurfacing & expansion enabling works	41	0	0	0	41	41	0	0	0	41	0	0	
SEN - other														
11180000	Welcombe Hills vehicle access alterations	8	442	0	0	450	8	442	0	0	450	0	0	
11495000	Stockingford Primary School new SIG module building	357	8	0	0	365	357	8	0	0	365	0	0	
11569000	Paddox Primary SIG	186	227	0	0	414	186	227	0	0	414	0	0	
11589000	SEND facilities block	58	193	0	0	250	58	193	0	0	250	0	0	
11631000	Specialist Nurture Provision at Special School	0	200	0	0	200	0	200	0	0	200	0	0	
11729000	Oakwood Special School - Conversion of ICT Room	64	21	0	0	85	64	21	0	0	85	0	0	
SEN - expansion														
11257000	Welcombe Hills school extension Targeted Basic Need	1,026	2	0	0	1,028	1,026	2	0	0	1,028	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	981	0	0	0	981	981	0	0	0	981	0	0	
11819000	Arden Fields, Food Tech Rooms	5	0	0	0	5	5	0	0	0	5	0	0	
SEN - new														
11350000	New AEN School McIntyre Discovery Academy (former Manor Park)	6,004	0	0	0	6,004	6,004	0	0	0	6,004	0	0	
11644000	Water Orton Evergreen Unit	583	67	0	0	650	583	65	0	0	648	-2	-2	
11736000	Weddington Primary School - Bulge Class	4	26	120	0	150	4	146	0	0	150	120	0	Project to be completed in 2020/21
11737000	Southam Primary/Pre School, Pre School relocation	33	195	196	0	424	33	392	0	0	424	196	0	Project to be completed in 2020/21
Grand Total		64,903	12,484	16,918	66	94,370	64,903	15,898	10,993	5,284	97,078	3,415	2,708	

Annex C Revenue - Fire & Rescue Service - Kieran Amos
 Strategic Director - Mark Ryder
 Portfolio Holders - Councillor Crump (Fire and Community Safety)

20/21 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Brigade Management	923	911	(12)	0	0	0	923	911	(12)	
Service Delivery - Operational Response, Prevention, Protection, Control	14,712	14,934	222	(420)	(745)	(325)	14,292	14,189	(103)	There is an outstanding budget virement related to National Resilience funding which is presenting a £50k underspend. The remaining £53k underspend within Response is masking a significant crewing pool overspend (£300k). On Call Stations are not up to full establishment as recruitment and training have been paused owing to COVID19 and activity levels are reduced, again probably because of COVID19, this is presenting as an underspend of £347k. As on call recruitment resumes and operational activity increases it is likely that this underspend will reduce and possibly disappear completely. The Service is exploring options to reduce the cost of crewing pool, including prioritisation of crewing across response points and the creation of an on call operational reserve from recently retired staff.
Service Support - Training & Technical	4,124	4,327	203	(113)	(130)	(17)	4,011	4,197	186	This overspend is a combination of 3 main issues; National Workwear Project, initial uniform roll-out £60k, additional staffing to cover long term absence £40k and Operational Training £67k. This is all planned expenditure and the Service had established reserves to fund this, however, these reserves have now been placed into the Directorate Risk Reserve. The Service will continue to monitor the financial position as the year progresses, but would like to identify at this stage that there may be some dependency upon reserves.
Service Improvement - Business Transformation & Projects	499	670	171	(25)	(25)	0	474	645	171	This overspend is a result of COVID-19 related expenditure. The Service has purchased PPE/Cleaning materials in order to maintain operational business continuity and to support community activities. COVID-19 has also impacted upon operational crewing and as a result overtime is needed to cover deficiencies. It is therefore likely that this forecast will increase by additional £70k as the year progresses.
Service Support - HR, IT, Finance & Pensions	1,539	1,539	0	0	0	0	1,539	1,539	0	
Net Service Spending	21,797	22,381	584	(558)	(900)	(342)	21,239	21,481	242	

Impact on specific service reserves (from Reserves tab)	0
Impact on risk/general reserves	242

Annex C Reserves - Fire & Rescue Service - Kieran Amos
 Strategic Director - Mark Ryder
 Portfolio Holders - Councillor Crump (Fire and Community Safety)

Reserve	Approved Opening Balance 01/04/2020 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31/03/2021 £'000	Transfer request (To)/From Reserves £'000	Reason for Request
Emergency Service Network	766		0	766		
Pensions Reserve	333		0	333		
Vulnerable People Earmarked Reserve	84		0	84		
Total	1,182	0	0	1,182	0	

Annex D Revenue - Communities - Dave Ayton-Hill

Strategic Director - Mark Ryder

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

20/21 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Communities	595	728	133	0	0	0	595	728	133	Forecast overspend represents budget transferred to other business units as part of FOM transfers, the funding of which are yet to be identified within Strategic & Commissioning - Communities.
Transport & Highways	7,485	7,420	(65)	(8,548)	(4,500)	4,048	(1,063)	2,920	3,983	Anticipated overspend largely comprised of a reduction in expected income for parking charges due to the impact of Covid19. Combined with the impact of unrealised savings linked to parking within OOP2020, a decision on which is yet to be made by Cabinet at the time of writing this narrative.
Infrastructure & Sustainable Communities	3,525	3,466	(59)	(1,409)	(851)	558	2,116	2,615	499	Under achievement of income within Country Parks due to the impact of closure and reduced activity caused by the Covid19 pandemic.
Waste & Environment	23,042	22,813	(229)	(3,293)	(2,823)	470	19,749	19,990	241	The forecast reflects a significant reduction in Trade Waste income and also some reduction in our costs from not having to dispose of this trade waste. The net position now indicates an overspend mainly from increased tonnages and other COVID19 cost pressures.
Economy & Skills	3,176	3,191	15	(2,688)	(2,022)	666	488	1,169	681	Anticipated overspend at the Business Centres of £494k due to the 3 month free rent and service charge period granted to tenants due to Covid-19 and additional loss of rent and other revenue, provision for both void rental reduction and NDR, and depreciation & impairment charges at Eliot Park. There will be some compensating reduction in overheads (utilities etc.), however, this is likely to be minimal as the Business Centre sites have remained open to tenants. The £130k variation on Strategic Economic Development will be met by a planned drawdown from the European/ ex-RGN reserves.
Net Service Spending	37,823	37,618	(205)	(15,938)	(10,196)	5,742	21,885	27,422	5,537	

Impact on specific service reserves (from Reserves tab)	130
Impact on risk/general reserves	5,407

Annex D Reserves - Communities - Dave Ayton-Hill
 Strategic Director - Mark Ryder
 Portfolio Holders - Councillor Clarke (Transport & Environment),
 Heather Timms, Isobel Seccombe

Reserve	Approved Opening Balance 01/04/2020 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31/03/2021 £'000	Transfer request (To)/From Reserves £'000	Reason for Request
Speed Workshops	825			825		
Rural Growth Network	242		(65)	177		
Kenilworth Station	552			552		
Skills Delivery for Economic Growth	131			131		
European Match Funding	166		(65)	101		
Total	1,917	0	-130	1,787	0	

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

2020/21 to 2022/23 Capital Programme

Project	Description	Approved Budget					Forecast					Variation		Commentary
		Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Variance in Year £'000	Total Variance £'000	
Area Delegated Funded Schemes														
11276000	Rugby Area Committee	416	36	0	0	452	416	0	36	0	452	-36	0	budget transferred to new year
11354000	Area Delegated Funding 17-18	21	246	27	0	294	21	246	27	0	294	0	0	
11398000	Design Services Area Delegated Funding	153	7	0	0	160	153	7	0	0	160	0	0	
11452000	Area Delegated Funding 18-19	0	2,188	0	0	2,188	0	0	2,188	0	2,188	-2,188	0	Transferred budget to future years
11483000	Delegated Budget 2016-17 Traffic Signals & pedestrian crossings	86	12	0	0	97	86	12	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	160	77	0	0	237	160	77	0	0	237	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	672	121	0	0	793	672	121	0	0	793	0	0	
11592000	Delegated 17-18 County Highways	564	36	0	0	600	564	36	0	0	600	0	0	
11593000	Delegated Budget 2017-18 Transport Planning	41	9	0	0	50	41	9	0	0	50	0	0	
11652000	Jo Edwards Delegated Schemes 2018 2019	541	477	0	0	1,018	541	477	0	0	1,018	0	0	
11653000	John Grant Delegated Schemes 2018 2019	649	179	0	0	828	649	179	0	0	828	0	0	
11654000	Gaf Din Delegated Schemes 2018 2019	0	0	0	0	0	0	0	0	0	0	0	0	
11656000	Nigel Whyte Delegated Schemes 2018 2019	71	15	0	0	86	71	15	0	0	86	0	0	
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	368	249	0	0	617	368	276	0	0	644	27	27	Increase to scheme 11723025
11724000	Traffic Road Safety Delegated Budgets 2019 2020	259	766	0	0	1,025	259	739	0	0	998	-27	-27	
11725000	Bus Shelter Infrastructure 2019 2020 Delegated Budgets	83	87	0	0	170	83	87	0	0	170	0	0	
11799000	Area Delegated Budget 2020-21	0	0	2,000	0	2,000	0	0	2,000	0	2,000	0	0	
Integrated Transport - Cycle Schemes														
10324000	Lawford Road Cycle Route	498	0	0	0	498	498	0	0	0	498	0	0	
10385000	Warwick, Myton Rd Cycle Link (Myton and Warwick School)	161	0	0	0	161	161	0	0	0	161	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	8	312	692	0	1,012	8	312	692	0	1,012	0	0	
11765000	Hinckley to Nuneaton Cycle Route	16	259	163	0	438	16	259	163	0	438	0	0	
11778000	Cycle Route Leamington to Kenilworth	22	1,500	1,500	1,727	4,749	22	1,000	2,000	1,727	4,749	-500	0	Delays to project progress (COVID-19) and uncertainty surrounding land acquisitions. To be reviewed by Q2.
Integrated Transport - Other Schemes														
11456000	Stratford Park & Ride site alterations	86	13	0	0	99	86	13	0	0	99	0	0	
11650000	Electric Vehicle Charging Points	9	0	0	0	9	9	0	0	0	9	0	0	
11710000	Land at Crick Road Rugby (Rugby Parkway)	0	2,637	0	0	2,637	0	2,637	0	0	2,637	0	0	
11773000	CFM New Vehicle Reg No VO172Y Hyundai	8	0	0	0	8	8	0	0	0	8	0	0	
Integrated Transport - Public Transport														
11193000	Access to Stations - Leamington	212	0	0	0	212	212	0	0	0	212	0	0	
11325000	Stratford Town Station Upgrade	237	0	0	0	237	237	0	0	0	237	0	0	
Economic Development														
10154000	Centenary Business Centre Phase 3	1,889	0	0	0	1,889	1,889	0	0	0	1,889	0	0	
10258000	Nuneaton and Bedworth Town Centre - Queens Road West Improvements	658	35	28	0	720	658	35	28	0	720	0	0	
11425000	Capital Growth Fund Business Loans and Grants	1,887	117	281	416	2,700	1,887	83	281	450	2,700	-34	0	
11596000	Elliot Park Innovation Centre - improvements to the car park	458	0	0	0	458	458	0	0	0	458	0	0	
11612000	Capital Investment Fund/ Duplex Fund	900	0	960	140	2,000	900	0	960	140	2,000	0	0	
11613000	Capital Investment Fund/ Small Business Grants	459	339	183	19	1,000	459	339	168	33	1,000	0	0	
11668000	Business Centre Strategy	337	40	0	0	377	337	40	0	0	377	0	0	
11536004	Country Parks Car Parking Area, Ryton	0	0	0	0	0	0	0	0	0	0	0	0	
Economic Development - Transforming Nuneaton														
11611000	Transforming Nuneaton	4,408	4,418	18,624	0	27,450	4,408	3,147	0	0	7,555	-1,271	-19,895	Corporate resource utilised in 2019-20 repaid from external grant in 2020-21
11746000	Transforming Nuneaton - Coop Building Purchase	1,500	0	0	0	1,500	1,500	0	0	0	1,500	0	0	
11775000	Transforming Nuneaton - Library & Business Centre	0	0	0	0	0	0	1,002	18,124	297	19,423	1,002	19,423	New Project - Council approval 17th December 2019 for capital investment fund monies. Moved from 11611000 to 11775000 to establish cost code on a gresso.
Major Transport Projects														
10362000	Kenilworth Station	13,044	864	0	0	13,908	13,044	864	0	0	13,908	0	0	
10981000	NUCKLE	1,897	0	0	0	1,897	1,897	0	0	0	1,897	0	0	
11339000	Bermuda Connectivity	2,259	4,941	0	1,700	8,900	2,259	1,042	3,899	1,700	8,900	-3,899	0	The protracted time taken for detailed design to receive Technical Approval and to secure parcels of land required to deliver the Scheme has caused further slippage on project programme. Consequently, the procurement of the construction contract will not commence until Qtr2 of 2020-21 with construction works earmarked to commence in Qtr3 of 2020-21.
Waste Management														
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	72	0	0	0	72	72	0	0	0	72	0	0	
11714000	Waste Handling and compaction equipment HWRC	581	0	0	0	581	581	0	0	0	581	0	0	
11784000	HWRC Maintenance 2020/21	0	80	0	0	80	0	80	0	0	80	0	0	
Countryside														
10260000	Learn. To Rugby Disused Railway Line - 2002/03	98	2	0	0	100	98	0	0	0	98	-2	-2	Project complete, no further expenditure
11536000	Countryside Rural Services Capital Maintenance 2019/20 E20k to be removed for Env Svcs	68	59	0	0	127	68	78	0	0	146	19	19	Extension of Stannals Bridge project - to be funded from 20/21 corporate resources allocation
11788000	Country Parks Maintenance 2020-21	0	200	0	0	200	0	183	0	0	183	-17	-17	Utilisation of some funding for Stannals bridge project under 19/20 block header
Developer Funded Transport - s106 schemes														
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	67	0	0	0	67	67	0	0	0	67	0	0	
11195006	S106 Traffic Calming and Signage Improvements for Bidford-on-Avon bridge and Welford bridge	19	26	0	0	45	19	26	0	0	45	0	0	
11418000	A426 Gateway Rugby to Rugby Town Centre Cycle Scheme	28	29	250	0	307	28	240	39	0	307	211	0	Delivery of phase 1 of scheme now anticipated within 2020/21
11441004	Weddington Road , Nuneaton Implement Toucan Crossing	62	121	0	0	183	62	10	111	0	183	-111	0	Delayed due to COVID 19 - feasibility study to be undertaken to determine where crossing to be provided
11441007	S106 2 Bus shelters at bus stops on Narrow Hall Meadow nr GP Surgery Chase Meadow	0	20	0	0	20	0	20	0	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	
11441011	Heathcote Primary School Puffin Crossing Harbury Ln Nr Nightingale Av Lspa	0	0	0	0	0	0	0	0	0	0	0	0	
11441012	Heathcote Primary School Puffin Crossing Harbury Ln Nr Garrett Drive Lspa	0	0	0	0	0	0	0	0	0	0	0	0	
11441013	Enhance Existing Bus Stops Land Adj to the Gaydon Inn Banbury Road	22	1	0	0	23	22	1	0	0	23	0	0	
11441014	Highways improvements to bus stops at land off the Longshoot S106	12	19	0	0	31	12	19	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	0	65	0	80	15	0	65	0	80	0	0	
11614000	Bus Stop Enhancement Works In Alderminster	14	0	0	0	14	14	0	0	0	14	0	0	
11615000	Provision Of Replacement Bus Shelter On Kinwarton Rd,Alcester	10	0	0	0	10	10	0	0	0	10	0	0	
11640000	Upgrading of existing bus stops infrastructure Alcester Road, Shottery in Stratford upon Aon	14	0	0	0	14	14	0	0	0	14	0	0	
11690000	Provision Of Bus Stops Ettington Road Wellesbourne	13	7	0	0	21	13	7	0	0	21	0	0	
11691000	Provision Of Bus Stops & Upgrade Existing Infra Salford Rd Bidford	23	60	0	0	82	23	60	0	0	82	0	0	
11692000	Upgrade Existing Shared Ped / Cycle Path Bermuda	0	11	11	0	23	0	22	0	0	23	11	0	Forecast changed to reflect confidence that Scheme van be fully completed in 2020-21 and not run into 2021-22.
11704000	Barford Safety Junction	51	8	170	0	228	51	8	170	0	228	0	0	
11782000	Campden Road (B4035), Shipston-on-Stour NEW BUS STOPS	0	0	0	0	0	0	38	0	0	38	38	38	New Scheme
11783000	Mancetter Road / Camp Hill Road, Nuneaton BUS STOP IMPROVEMENTS	0	0	0	0	0	0	16	0	0	16	16	16	New Scheme
11821000	Nuneaton/Plough Hill/Puffin crossing and improvements to Bus shelters	0	0	0	0	0	0	74	0	0	74	74	74	New Scheme
11822000	Bidford on Avon/ Waterloo Road/Provision of a Bus Stop and shelter	0	0	0	0	0	0	27	0	0	27	27	27	New Scheme
Warwick Town Centre														
11552000	Warwick Town Centre transport proposals	1,078	0	0	0	1,078	1,078	0	0	0	1,078	0	0	
11809000	Warwick Town Centre	0	0	4,046	0	4,046	0	0	4,418	0	4,418	0	372	Addition to the capital programme 23rd July 2020.
Integrated Transport - Safer Routes to Schools														
11281000	Safer routes to schools and 20mph school safety zones 15/16. Renamed Home to School Routes 15-16.	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 Home to School Routes 16-17.	73	8	0	0	81	73	8	0	0	81	0	0	
11635000	Home to School Routes 17-18	861	936	0	0	1,798	861	936	0	0	1,798	0	0	
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	1,578	16	0	0	1,594	1,578	16	0	0	1,594	0	0	
11761000	Average Speed Cameras	20	1,744	0	0	1,764	20	1,744	0	0	1,764	0	0	
Integrated Transport - School safety zones														
11359000	School Safety Zones 16/17	1,987	0	0	0	1,987	1,987	0	0	0	1,987	0	0	
11564000	School Safety Zones 17/18 A	700	51	0	0	751	700	51	0	0	751	0	0	
11585000	School Safety Zones 18/19	588	144	0	0	732	588	144	0	0	732	0	0	
11586000	School Safety Zones 19/20	337	0	0	0	337	337	0	0	0	337	0	0	
Integrated Transport - Casualty Reduction Schemes														
11355000	Casualty Reduction Schemes 15/16	1,559	230	0	0	1,789	1,559	230	0	0	1,789	0	0	
11356000	Casualty Reduction Schemes 16/17	274	2	0	0	277	274	2	0	0	277	0	0	
11357000	Casualty Reduction Schemes 17/18	19	0	0	0	19	19	0	0	0	19	0	0	
11453000	Casualty Reduction Schemes 18-19	102	339	0	0	441	102	339	0	0	441	0	0	
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	29	1,572	0	0	1,601	29	1,572	0	0	1,601	0	0	
11763000	A439 - Southern reduction Scheme	14	486	0	0	500	14	486	0	0	500	0	0	
11764000	Green Man Coleshill Signalised Junction	3	497	0	0	500	3	497	0	0	500	0	0	

11635047	Wootton Wawen (Signs & Lining)	0	0	0	0	0	0	0	0	0	0	0	0	0
11786000	Casualty Reduction Schemes 20-21	0	350	0	0	350	0	350	0	0	350	0	0	0
Grand Total		54,381	27,138	28,998	4,002	114,519	54,381	20,477	35,369	4,347	114,574	-6,661	55	

Annex E Revenue - Adult Social Care - Pete Sidgwick										
Strategic Director - Nigel Minns										
Portfolio Holders - Councillor Caborn (Adult Social Care & Health)										
20/21 Revenue Budget										
Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Adult Social Care	12,507	17,616	5,109	(200)	(200)	0	12,307	17,416	5,109	£3.846m additional expenditure for reimbursing providers for Covid-19 costs. £1.500m forecast relating to a technical error at budget setting. Project expenditure underspend of £0.200m.
Disabilities	82,832	84,647	1,815	(9,416)	(9,244)	172	73,416	75,403	1,987	Overspends of £1.300m for Supported Living, £0.300m for Direct payments and £0.400m for Homecare. Supported living continues to be a pressure due to increasing package costs and numbers of packages.
Mental Health	11,645	13,467	1,822	(547)	(607)	(60)	11,098	12,860	1,762	£1.905m overspend in MH purchasing budgets due to pressure on all services from increased client numbers and continued funding of clients over 65 years of age. Staffing underspends totalling £0.143m.
Older People	78,674	81,770	3,096	(30,001)	(32,903)	(2,902)	48,673	48,867	194	Increased domiciliary costs of £4.264m and residential costs of £1.078m offset by reduced nursing costs of £1.836m, other care costs of £0.439m and increased income of £2.953m.
Integrated Care Services	10,554	9,896	(658)	(646)	(646)	0	9,908	9,250	(658)	£0.542m underspend forecast for community equipment, £0.115m underspend against staffing.
Development & Assurance	3,386	3,318	(68)	(782)	(782)	0	2,604	2,536	(68)	Underspend on staffing due to vacancies within the Safeguarding service.
Net Service Spending	199,598	210,714	11,116	(41,592)	(44,382)	(2,790)	158,006	166,332	8,326	

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

Saving Proposal	Target £'000	Actual to Date £'000	Forecast Outturn £'000	Shortfall/ (Overachievement) £'000	Reason for financial variation and any associated management action
Suppressing demand in older people services - Implementing multiple activities that are already in projects across adult social care. These include an improved early intervention and prevention offer, further refinement of the in-house Reablement offer and further development of Assistive Technology.	250	63	250	0	n/a
Business support and direct payments - Reduced cost of business support as part of the wider organisation review of support functions and the introduction of the new payments system.	150	150	150	0	n/a
Total	400	213	400	0	

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

2020/21 to 2022/23 Capital Programme

Project	Description	Approved Budget					Forecast					Variation		Commentary
		Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Variance in Year £'000	Total Variance £'000	
11555000	Extra Care Housing	0	0	313	0	313	0	0	313	0	313	0	0	
Grand Total		0	0	313	0	313	0	0	313	0	313	0	0	

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

20/21 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Children & Families	3,621	5,002	1,381	(118)	(328)	(210)	3,503	4,674	1,171	There is a forecasted £210,000 contribution from the Asylum Grant for indirect costs held within the C&F Service. Legal Fees are forecasted to over-spend by £300,000. There has also been an expectation of an increase in CiC Placement spend due to Covid-19 for looked after children placement of £1,000,000 and £74,000 on general equipment for aiding Family meets.
Initial Response (MASH, IR, EDT)	4,674	4,959	285	(190)	(191)	(1)	4,484	4,768	284	Salaries in total are forecasting an over-spend of £349,000. This is broken down into over-spending on Agency workers totalling £730,000. Specifically £256,000 is for the preparation of likely increase to workloads from the impact of Covid-19. £180,000 is for the new post of an unfunded T3 Manager. These over-spends are offset by the under-spending on single status and Hay of £556,000. Internal foster-care and external foster-care is underspent by £46,000 and £14,000 respectively. Permanent recruitment will impact on the salary forecast.
Early Help & Targeted Support	9,033	8,830	(203)	(2,196)	(2,117)	79	6,837	6,713	(124)	Priority Families are £202,000 under-spending which is due to the earmarked grant income being received has now been notified greater than anticipated at budget setting. Youth Centres have forecasted a loss of income due to Covid-19 of £146,000. There is also a planned under-spend of £70,000 within Targeted and Family support which is held to cover other pressures in the unit.
Children's Safeguarding & Support	25,935	27,873	1,938	(1,029)	(1,299)	(270)	24,906	26,574	1,668	Internal foster-care is currently forecasting a £133,000 under-spend of which £67,000 worth of spend relates to Covid-19. External foster-care is continuing the trend from last financial in the volumes of children accommodated and is forecasting a £616,000 over-spend. Teams are experiencing some knock-on effect of courts not sitting due to Covid-19 and therefore some children who could have been discharged remain in placement. Included within the Residential care forecast of £1,611,000 over-spend is a £60,000 forecast on voids for the residential block contract which commenced in May 2019. There are currently 14 children placed in residential and the average weekly unit cost is £4,284 per week. Parent and baby placements due to the unpredictability of the activity is forecasting to fully spend the budget at this point. Allowances have an element of growth build into the predictions making the forecast currently showing a small under-spend of £42,000. Salaries in total are under-spending by £152,000 although sessional workers are over-spending by £30,000 which is split between an under-spend of £94,000 and an over-spend of £124,000 on Covid-19 related expenditure. Single status is under-spending by £178,000 due to vacancies. Section 17 related expenditure is currently £83,000 over spending
Corporate Parenting	21,600	22,174	574	(4,524)	(4,757)	(233)	17,076	17,417	341	Internal foster-care and external foster-care are £50,000 and £296,000 under-spent respectively. Residential Care is £748,000 over-spending with 16 children currently being looked after and the unit cost is £4,209. Included within the Residential over-spend is an estimated £60,000 forecast for voids which is for the residential block contract which commenced in May 2019. The Home Office has just announced revised and increased weekly rates to all Leaving Care eligible asylum seekers. This has therefore meant that currently forecasted income exceeds expenditure to approximately £548,000 if the grant is maximised. This additional grant was also enough to cover the previous non-claimable costs of Asylum Seekers and a contribution to indirect costs. Accommodation costs and allowances for young people aged 16 years and above continue to be an area of growth and despite the investment of budget this area is forecast to over-spend by £482,000 with costs incurred due to Covid-19 being £145,000. There has been a further increase in the Staying Put grant of £209,000 for 2020/21 which due to timing was not fully budgeted for. Salaries at this point are forecast to over-spend by £196,000 (excl Asylum). It is also the expectation that the boarding school scheme will not be fully utilised and is showing a £26,000 under-spend. Controlling Migration Fund Grant is also at this point not able to fully spend the available balance and therefore is showing a £59,000 under-spend.
Youth Justice	3,782	4,029	247	(990)	(1,046)	(56)	2,792	2,983	191	The over-spend is due to additional costs relating to remand placements. This is a direct consequence of COVID19 and the postponing of court hearings which totals £189,000
Children's Practice Improvement	3,930	3,799	(131)	(94)	(120)	(26)	3,836	3,679	(157)	In light of Covid-19, the Department for Education has made the decision to further suspend NAAS assessments until spring 2021 which this has resulted in an under-spend of £74,000. The remaining under-spend is due to salaries.
Adoption Central England	5,692	5,293	(399)	(5,292)	(5,632)	(340)	400	(339)	(739)	At this point it is anticipated that the volume of buying placements will be much reduced and therefore an under-spend of £467,000 is forecast. Salaries are currently forecasting an overall under-spend of £285,000 which is due to vacancies and maternity leave.
Net Service Spending	78,267	81,959	3,692	(14,433)	(15,490)	(1,057)	63,834	66,469	2,635	

Impact on specific service reserves (from Reserves tab)

(885)

Impact on risk/general reserves

3,520

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

Reserve	Approved Opening Balance 01/04/2020 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31/03/2021 £'000	Transfer Request (To)/From Reserves £'000	Reason for Request
Adoption Central England	1,209	(400)	739	1,548		
Various Section 31 Earmarked Grant	391	(391)	133	133		
Priority Families Reserve	906	(300)	202	808		
Youth Justice Remand Equalisation	523		(189)	334		
Total	3,030	(1,091)	885	2,824	0	

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

Saving Proposal	Target £'000	Actual to Date £'000	Forecast Outturn £'000	Shortfall/ (Overachievement) £'000	Reason for financial variation and any associated management action
Business support - Reduced cost of business support as part of the wider organisation review of support functions	194	194	194	0	
Total	194	194	194	0	

2020/21 to 2022/23 Capital Programme

Project	Description	Approved Budget					Forecast					Variation		Commentary
		Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Variance in Year £'000	Total Variance £'000	
11295000	Children and Families property adaptations, purchases and vehicles	209	150	47	0	406	209	150	47	0	406	0	0	
11693000	Adaptation of Sydenham Children's Centre	83	0	0	0	83	83	0	0	0	83	0	0	
11713000	Adaptation of Children's Centres to Children and Family Centres	233	55	0	0	288	233	62	0	0	295	7	7	Corporate resource Reassigned
11756000	Westgate Children & Family Centre/Westgate Primary School Safeguarding Walkway	0	25	0	0	25	0	45	0	0	45	20	20	Revenue Contribution of £20,000 from County Buildings to carry-out all fencing and safeguarding works to the specification agreed with stakeholders.
11792000	Adaptations to support child placements 20-21	0	0	125	0	125	0	0	125	0	125	0	0	
Children & Families		524	230	172	0	927	524	257	172	0	954	27	27	

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

20/21 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Strategy & Commissioning People	1,917	1,910	(7)	(134)	(134)	0	1,783	1,776	(7)	Underspend related to impact of S&C working remotely as a result of COVID-19
Director of Public Health	2,094	2,061	(33)	(126)	(104)	22	1,968	1,957	(11)	Underspend on staffing vacancies
Health & Well Being	22,926	22,835	(91)	(6,280)	(6,277)	3	16,646	16,558	(88)	£28k increase in Apetito meals service, offset by £74k reduction in Stop Smoking in Pregnancy and £45k reduction in NHS Health Checks as a result of COVID-19.
Integrated and Targeted Support	14,506	14,486	(20)	(6,564)	(6,564)	0	7,942	7,922	(20)	Underspend on Drug and Alcohol Treatment and Recovery based on 19/20 average spend plus reduced spend on staff travel, conferences etc re COVID-19 restrictions
All Age Specialist Provision	6,090	6,321	231	(411)	(742)	(331)	5,679	5,579	(100)	£21k underspend on Supporting People programme as Pilot Contracts being delayed due to COVID-19. Staffing underspend £15k, additional income £49k.
Net Service Spending (excluding DSG)	47,533	47,613	80	(13,515)	(13,821)	(306)	34,018	33,792	(226)	

Impact on specific service reserves (from Reserves tab)	n/a
Impact on risk/general reserves	(226)

2020/21 to 2022/23 Capital Programme

Project	Description	Approved Budget					Forecast					Variation		Commentary
		Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Variance in Year £'000	Total Variance £'000	
10608000	Mental Health Grant 2010/11	223	3	0	0	226	223	3	0	0	226	0	0	
11021000	Adult Social Care Modernisation & Capacity 2012-13	314	97	35	0	446	314	67	63	0	444	-30	-2	Funding agreements for Changing Places facilities are in place for 3 projects. Funding to be paid in 2 installments- initial payments in 20/21 & final payments on completion- this will likely be in 21/22 due to delays relating to Covid-19.
11420000	Disabled Facilities Capital Grant	17,987	0	0	0	17,987	17,987	4,517	0	0	22,503	4,517	4,517	Disabled Facilities Grant amount for 2020-21
Grand Total		18,524	100	35	0	18,659	18,524	4,587	63	0	23,174	4,487	4,515	

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

20/21 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Business & Customer Services	498	507	9	(67)	(67)	0	431	440	9	
Business & Customer Support	6,889	9,156	2,267	(68)	(46)	22	6,821	9,110	2,289	A full budgetary and service delivery review is being undertaken to ensure that the service delivers a balanced budget.
Operational Excellence	2,672	2,856	184	0	0	0	2,672	2,856	184	The Shielding Hubs cost centre is forecasting COVID-19 related expenditure of £488,000 against a budget of nil.
Customer Contact - Customer Connect	2,540	3,325	785	(250)	(214)	36	2,290	3,111	821	There is a forecast overspend of £456,000 can be attributed to COVID-19 for the Welfare Scheme and also a £150,000 expenditure related to the Welfare Scheme that is non COVID-19 related. There is also £154,000 an increase in telephony software costs in the Customer Service Centre to facilitate remote working for the advisors and the increased call volume.
Customer Contact - Community Hub	7,501	7,256	(245)	(2,262)	(1,526)	736	5,239	5,730	491	There is a under achievement of marriage income in the Registration Service due to COVID-19 restrictions (£529,000).
Net Service Spending	20,100	23,100	3,000	(2,647)	(1,853)	794	17,453	21,247	3,794	

Impact on specific service reserves (from Reserves tab)	150
Impact on risk/general reserves	3,644

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

2020/21 to 2022/23 Capital Programme

Project	Description	Approved Budget				Forecast					Variation		Commentary	
		Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Variance in Year £'000		Total Variance £'000
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"	914	0	0	0	914	914	0	0	0	914	0	0	
10155000	Improve Customer Experience in Council Buildings and ODA Works 2009/10	204	0	0	0	204	204	0	0	0	204	0	0	
11040000	Improving the Customer Experience/One Front Door Improvements	677	168	334	1,449	2,628	677	168	334	1,449	2,628	0	0	
11422000	Stratford Library – Registrars Accommodation Works and Library Alterations	373	0	0	0	373	373	0	0	0	373	0	0	Project complete.
Grand Total		2,263	168	334	1,449	4,213	2,263	168	334	1,449	4,213	0	0	

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

Saving Proposal	Target £'000	Actual to Date £'000	Forecast Outturn £'000	Shortfall/ (Overachievement) £'000	Reason for financial variation and any associated management action
Business support - Service wide restructure of business support, including delayering of the entire model and reductions in levels of agency spend.	880	0	0	(880)	Due to the delay in implementing the Business Support FOM, we are reassessing the service's ability to deliver the savings this year and will have a more accurate position statement in the next quarter
Customer support - Review and rationalisation of the organisation's approach to customer support.	260	260	260	0	
Total	1,140	260	260	(880)	

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

Reserve	Approved Opening Balance 01/04/2020 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31/03/2021 £'000	Transfer request (To)/From Reserves £'000	Reason for Request
Museum, Records and Libraries Trust Funds and Bequests	338			338		
Warwickshire Local Welfare Scheme	476		(150)	326		Continued delivery of services to vulnerable residents once we close down the Shielding Hub Project
Corporate Customer Journey Programme	210			210		
Total	1,024	0	-150	874	0	

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

20/21 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Commissioning Support Unit	676	276	(400)	0	0	0	676	276	(400)	£400k C/F funding is currently being held on HoS cost centre to support the service re-design. This will be directed to relevant service areas.
Business Intelligence	1,895	1,920	25	(39)	(61)	(22)	1,856	1,859	3	Budget is almost entirely staffing so forecast is dependent on successful recruitment exercises.
Portfolio Management Office	1,837	2,017	180	(787)	(571)	216	1,050	1,446	396	Ability to generate income from other services has been hampered due to COVID response. Loss of income a consequence of Covid-19 (this will be recorded as Covid-19 spend). Potential mitigation - some income could be possible if some project costs could be charged back to project funding that is not being used so far in this period of the pandemic e.g. BCF
Contract Management & Quality Assurance	2,027	3,459	1,432	(997)	(955)	42	1,030	2,504	1,474	Total overspend is predominantly due to £1.3m spend on PPE procurement activity. The remainder is a combination of funding yet to transfer to this service in order to complete the service redesign and staff moves, offset by a small underspend due to several vacancies/staff turnover
Change Management	297	297	0	0	0	0	297	297	0	
Transformation	0	0	0	0	0	0	0	0	0	
Net Service Spending	6,732	7,969	1,237	(1,823)	(1,587)	236	4,909	6,382	1,473	

Impact on specific service reserves (from Reserves tab)	n/a
Impact on risk/general reserves	1,473

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

Saving Proposal	Target £'000	Actual to Date £'000	Forecast Outturn £'000	Shortfall/ (Overachievement) £'000	Reason for financial variation and any associated management action
Project and programme management - Organisation-wide restructure of programme and project support.	395	120	395	0	This saving is made up of £120k from business intelligence, and £275k which is dependent on the ability to secure income against projects, notwithstanding the impact of the pandemic explained in the revenue budget forecast.
Procurement - Service restructure of procurement as part of the organisation-wide service redesign.	10	0	10	0	This restructure has been paused due to the pandemic. It is still possible to deliver the saving if the redesign is resumed this year.
Total	405	120	405	0	

Annex J Revenue - Enabling Services - Craig Cusack

Strategic Director - Rob Powell

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

20/21 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Enabling Services	79	162	83	0	0	0	79	162	83	FOM budget adjustments have incorrectly been taken from this cc and will be addressed by Q2
Facilities Management	8,089	7,793	(296)	(5,504)	(5,132)	372	2,585	2,661	76	Additional costs related to service reinstatement due to COVID.
HR Enabling	5,229	5,179	(50)	(2,354)	(2,334)	20	2,875	2,845	(30)	Due to vacancies where the recruitment has been delayed
Digital & ICT	16,866	15,518	(1,348)	(5,021)	(4,202)	819	11,845	11,316	(529)	Underspend is predominantly the balance in the legacy CIDE allocation.
Property, Construction & Engineering	10,155	10,793	638	(2,480)	(2,531)	(51)	7,675	8,262	587	Additional costs related to service reinstatement relating to COVID.
Net Service Spending	40,418	39,445	(973)	(15,359)	(14,199)	1,160	25,059	25,246	187	
Impact on specific service reserves (from Reserves tab)									0	
Impact on risk/general reserves									187	

Annex J Reserves - Enabling Services - Craig Cusack
 Strategic Director - Rob Powell
 and Property)

Reserve	Approved Opening Balance 01/04/2020 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31/03/2021 £'000	Transfer request (To)/From Reserves £'000	Reason for Request
HR - Service Improvement Projects	60			60		
Total	60	0	0	60	0	

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

Saving Proposal	Target £'000	Actual to Date £'000	Forecast Outturn £'000	Shortfall/ (Overachievement) £'000	Reason for financial variation and any associated management action
Applications rationalisation - Rationalisation of the ICT applications used to deliver the Council's activities to provide economies of scale and the delivery of enhanced support.	250	250	250	0	
Device savings - Reduction in the cost of lap-tops, mobiles and other devices and part of the delivery of the ICT Strategy.	524	524	524	0	
Total	774	774	774	0	

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

2020/21 to 2022/23 Capital Programme

Project	Description	Approved Budget					Forecast					Variation		Commentary
		Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Total £'000	Variance in Year £'000	Total Variance £'000	
Structural Maintenance														
11286000	Non Sch - Planned Bldg, Mech & Elect Backlog 2017/18	1,744	0	0	0	1,744	1,744	0	0	0	1,744	0	0	
11288000	Schools Asbestos & Safe Water Remedials 2017/18	769	25	0	0	793	769	25	0	0	794	0	0	
11289000	Schools Planned Bldg, Mech & Elect Backlog 2016/17	5,409	0	0	0	5,409	5,409	0	0	0	5,409	0	0	
11290000	Schools Planned Bldg, Mech & Elect Backlog 2017/18	6,999	6	0	0	7,005	6,999	11	0	0	7,010	5	5	
11442000	Non Schools Asb & Safe Water Remedials 2018/19	334	0	0	0	334	334	0	0	0	334	0	0	
11443000	Non Sch - Planned Bldg, Mech & Elect Backlog 2018/19	2,029	30	0	0	2,059	2,029	30	0	0	2,059	0	0	
11444000	Schools Asbestos & Safe Water Remedials 2018/19	811	0	0	0	811	811	0	0	0	811	0	0	
11445000	Schools Planned Bldg, Mech & Elect Backlog 2018/19	7,252	27	0	0	7,279	7,252	37	0	0	7,289	10	10	
11538000	Non Schools Asb & Safe Water Remedials 2019/20	10	390	0	0	399	10	390	0	0	399	-0	-0	
11539000	Non Sch - Planned Bldg, Mech & Elect Backlog 2019/20	2,088	328	0	0	2,416	2,088	328	0	0	2,416	0	0	
11540000	Schools Asbestos & Safe Water Remedials 2019/20	435	226	0	0	661	435	225	0	0	660	-0	-0	
11541000	Schools Planned Bldg, Mech & Elect Backlog 2019/20	6,740	399	0	0	7,139	6,740	383	0	0	7,123	-16	-16	
11687000	The Saltway Centre & Stratford Family Centre - Refurbish Family Centre	101	0	0	0	101	101	0	0	0	101	-0	-0	£111 not required.
11787000	Non Schools Building Maintenance 2020-21	0	2,122	0	0	2,122	0	2,122	0	0	2,122	-0	-0	
11791000	Schools Asbestos and Safe Water 2020-21	0	6,988	0	0	6,988	0	746	0	0	746	-6,242	-6,242	
11793000	Non Schools Asbestos and Safe Water 2020-21	0	325	0	0	325	0	325	0	0	325	0	0	
11795000	Schools Building Maintenance 2020-21	0	746	0	0	746	0	6,988	0	0	6,988	6,242	6,242	
Facilities														
10592000	Small Scale Reactive / Minor Improvements County-Wide	654	0	0	0	654	654	12	0	0	666	12	12	
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	5	0	0	9	4	5	0	0	9	0	0	
Information Assets														
11121000	Development of Rural Broadband	23,290	4,335	4,461	3,683	35,769	23,290	4,335	4,461	3,683	35,769	0	0	This forecast is subject to change because of potential delays in delivery due to: a) the project working in more rural areas together with a national shortage of civil engineering contractors and b) revised DCMS guidance regarding finances and project end dates and c) the recent Covid 19 pandemic.
11465000	WCC Information Assets Purchases (multiple years)	1,363	458	0	0	1,821	1,363	458	0	0	1,821	0	0	
11796000	2020-21 IT infrastructure	0	150	160	90	400	0	150	160	90	400	0	0	
Strategic Asset management														
11134000	Warwick Shire Hall - Refurb Of Old Shire Hall	1,997	0	0	0	1,997	1,997	0	0	0	1,997	0	0	
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	460	5	0	0	465	460	5	0	0	465	0	0	
		62,947	16,563	5,616	3,773	88,900	62,947	16,575	5,616	3,773	88,912	12	12	

Annex K Revenue - Finance - Andrew Felton

Strategic Director - Rob Powell

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

20/21 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Finance	158	252	94	(5)	(5)	0	153	247	94	
Finance Delivery	2,754	2,591	(163)	(978)	(946)	32	1,776	1,645	(131)	Underspend primarily from a significant number of vacancies within the Delivery Team. The underspend may be partly utilised in the year by the use of agency staff to maintain service delivery.
Treasury Management, Pension Fund, Internal Audit, Risk and Assurance	1,130	1,255	125	(1,377)	(1,538)	(161)	(247)	(283)	(36)	
Commercialism	712	712	0	(15)	(15)	0	697	697	0	
Strategic Finance	640	671	31	(64)	(64)	0	576	607	31	The overspend is as a result of the use of agency staff to cover a vacant post to provide additional capacity through the closure of the accounts. The overspend may reduce in the year depending on the timing of filling the vacant post.
Finance Transformation	3,043	3,157	114	(1,204)	(1,204)	0	1,839	1,953	114	Overspend due to staffing costs arising from the service redesign and cost of covering vacant posts with agency staff. Note that £58k overspend relates to Pensions Administration and will be a cost to the Pension Fund.
Net Service Spending	8,437	8,638	201	(3,643)	(3,772)	(129)	4,794	4,866	72	

Impact on specific service reserves (from Reserves tab)	0
Impact on risk/general reserves	

Annex K Reserves - Finance - Andrew Felton
 Strategic Director - Rob Powell
 Portfolio Holders - Councillor Butlin (Finance & Property), Councillor Kaur (Customers and Transformation)

Reserve	Approved Opening Balance 01/04/2020 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31/03/2021 £'000	Transfer request (To)/From Reserves £'000	Reason for Request
LA Counter Fraud Fund Grant	16			16		
Total	16	0	0	16	0	

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

20/21 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Assistant Director - Governance & Policy	377	379	2	0	0	0	377	379	2	
Communications	1,138	1,288	150	(712)	(712)	0	426	576	150	The overspend represents an additional £0.150m forecast spend in marketing and communications for the printing of posters and leaflets displaying Covid19 information.
HROD	701	843	142	(24)	(24)	0	677	819	142	The overspend relates to core salary costs.
Property Management	1,171	1,530	359	(1,051)	(1,051)	0	120	479	359	Forecast overspend due to increased staffing costs, which is mainly agency whilst the FOM is being finalised, and £0.150m in relation to Hawkes Point.
Legal & Democratic	6,636	7,215	579	(6,225)	(6,312)	(87)	411	903	492	The overspend within Legal and Democratic arises from the need to use Agency staff to cover a high number of maternity absences and an under recovery of income which has been impacted by Covid. Much of the income affected by Covid was expected to come from external customers. By Q2 a full review of income will be undertaken with an expectation that the position will be, at least partially recovered.
Corporate Policy	418	370	(48)	0	0	0	418	370	(48)	There is an in year underspend on salary costs due to a vacant post and a delayed start for some members of the team. This is partially offset by a potential overspend on Consultancy costs for Impower Strategic Partner Engagement.
Net Service Spending	10,441	11,625	1,184	(8,012)	(8,099)	(87)	2,429	3,526	1,097	

Impact on specific service reserves (from Reserves tab)	4
Impact on risk/general reserves	1,093

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

Saving Proposal	Target £'000	Actual to Date £'000	Forecast Outturn £'000	Shortfall/ (Overachievement) £'000	Reason for financial variation and any associated management action
Legal Services additional surplus - Additional surplus from external trading with other local authorities and public sector bodies	30			(30)	unlikely at this stage due to current pressures on income
Electronic record keeping - Reduced storage requirements as a result of the move to electronic record keeping.	10			(10)	project delayed due to covid - will be recommencing shortly - may delay full recovery in year 1
Total	40	0	0	(40)	

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

Reserve	Approved Opening Balance 01/04/2020 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31/03/2021 £'000	Transfer request (To)/From Reserves £'000	Reason for Request
One Public Estate	387		(4)	383		
Going for Growth Apprenticeship Scheme	297			297		
Total	684	0	-4	680	0	

Governance & Policy - Sarah Duxbury
 Strategic Director - Rob Powell
 Portfolio Holders - Councillor Kaur (Customers & Transformation)
 2020/21 to 2022/23 Capital Programme

Project	Description	Approved Budget				Total £'000	Forecast				Variation		Commentary	
		Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000		Earlier Years £'000	2020/21 £'000	2021/22 £'000	2022/23 onwards £'000	Variance in Year £'000	Total Variance £'000		
10972000	Planning Consent For Europa Way	756	0	0	0	756	756	0	0	0	756	0	0	
11291000	Rural Services Capital Maintenance 2016/17	623	0	0	0	623	623	0	0	0	623	0	0	
11292000	Rural Services Capital Maintenance 2017/18	301	236	0	0	627	301	236	0	0	627	0	0	Spent in 2019/20 slipped due to a delay in recruiting the necessary staff to drive the work forward. We would like to move the remaining budget from this project code to project 11689000 Maintaining the Smallholdings Land Bank so that a 3 year profiled plan of maintenance can be implemented.
11335000	Rationalisation of County Storage	8,577	202	0	0	8,779	8,577	998	0	0	9,575	796	796	Increased costs due to additional works, complexity and scheduling in order to achieve practical completion of the refurbishment works at Hawkes Point. The increased costs are £766k on a budget of £8,779k to a forecast total £9,575k. Previously, Cabinet in September 2019 approved an increase of £997k from £8,778k to £9,776k for the additional roofing works, racking systems and surveys at Hawkes Point. This was not drawn down at the time, pending identification of project savings that could be achieved by moving Forestry to Herley rather than Budbrooke. Financial reporting therefore continues to be based on the budgeted costs of £8,779k. Final project costs are being assessed but forecast at £9,575k. Increased costs will still need to be funded from Corporate/Property Reserves as per previous approvals.
11440000	Strategic Site Planning applications	1,834	2,061	17	0	3,912	1,834	2,075	17	0	3,927	14	14	
11448000	Rural Services Capital Maintenance 2018/19	196	0	0	0	196	196	0	0	0	196	0	0	
11503000	Planning Consent re the disposal of Dunchurch depot	73	6	0	0	80	73	6	0	0	80	0	0	
11542000	Rural Services Capital Maintenance 2019/20	99	0	0	0	99	99	-14	0	0	85	-14	-14	The slippage relates to some 2019/20 creditors that were posted in error - the invoices had been paid on revenue in 2019/20. They will therefore not be realised in 2020/21.
11689000	Maintaining the smallholdings land bank	0	844	0	0	844	0	844	0	0	844	0	0	We would like to add the remaining budget from Project 11292000 Rural Maintenance 2017/18 to this project so that a robust 3 year profiled plan of Smallholdings maintenance can be implemented and monitored more simply. Due to Covid 19 lockdown restrictions which have prevented us from progressing on site work for the last 3 months and is still having an impact on our contractors supply chain, we are behind on the implementation of our capital programme for the current budget year 2020/21 which makes it unlikely we will spend our full budget before the end of April 2021. We will review our spending profile carefully before our Oct Quarter reporting deadline and again before the 3rd Quarter reporting deadline to alter the profile if required.
11790000	Rural Services Capital Maintenance 2020/21	0	356	0	0	356	0	356	0	0	356	0	0	
Grand Total		12,660	3,706	17	0	16,272	12,660	4,602	17	0	17,068	796	796	

Annex M Revenue - Other Services - Virginia Rennie
Strategic Director - Rob Powell

20/21 Revenue Budget

Service	Gross Expenditure			Gross Income			Net			Reason for Net Variation and Management Action
	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	Agreed Budget	Forecast	Variation Over/ (Under)	
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	
Government Grants & Business Rates	0	0	0	(138,090)	(139,018)	(928)	(138,090)	(139,018)	(928)	Net £988k reduction in NNDR top up and county share based on final NNDR1 and settlement figures. This is offset by £1.42m favourable variance on NNDR section 31 grants. £565k unbudgeted Public Health Grant based on grant notification received.
Central grants to support schools and pupils (excluding central block DSG)			0			0	0	0	0	
Transformation and Investment Funds	4,060	4,500	440	0	0	0	4,060	4,500	440	Forecast adjustment needed to reflect transfer of funding for Warwickshire Property Company set up cost.
0-5 Strategy for Children - Children's transformation	86	0	(86)	0	0	0	86	0	(86)	£3.73m transferred to Children & Families in Q1. The remaining £86k is committed to fund future projects delivered as part of the Children's Transformation Programme.
Capital Financing Costs	40,590	31,191	(9,399)	(5,643)	(2,806)	2,837	34,947	28,385	(6,562)	£2m of adverse variance on Capital Financing Charges made up of: £1.2m interest income shortfall and £108k additional management fees due to Covid19 £2.1m shortfall against budget for loan financing (offset by capital contingency) £392k positive variance as MRP is lower than planned as the CFR is lower. £10.2m favourable variance on Capital Financing Contingency is representing borrowing cost for approved capital schemes not yet delivered.
Strategic Management Team	1,225	1,214	(11)	0	0	0	1,225	1,214	(11)	Reduced cost due to reduction in travel and conference cost due to Covid19
County Coroner	592	609	17	(78)	(87)	(9)	514	522	8	Cost increase due to salary re-evaluation plus 2% uplift in line with JNC Circ 63. One-off cost pressure on rent cost due to previous year rent charges. Increased income forecast is based on revised salary as 50% of Coroner costs is charged to Coventry City Council
County Council Elections	250	250	0	0	0	0	250	250	0	
Environment Agency - Flood Defence Levy	250	250	0	0	0	0	250	250	0	
External Audit Fees	143	143	0	0	0	0	143	143	0	
Pensions deficit under-recovery	1,504	1,394	(110)	0	0	0	1,504	1,394	(110)	Reduced cost estimate based on Pension Fund Certificate of Rates.
Members Allowances and Expenses	1,086	1,086	0	0	0	0	1,086	1,086	0	
Apprenticeship Levy	1,114	1,077	(37)	0	0	0	1,114	1,077	(37)	There has been a delay through 19/20 in recruiting apprenticeships because of the restructure (making many services areas unsure about recruitment), and the delay has followed on into this financial year with Covid-19 delaying plans to recruit. Expected to increase apprentices toward the later part of the financial year but it is still unlikely to recruit enough to maximise the budget. £500k pressure from contract management savings. £2,817k Covid overspend forecast for mortuary costs, traded income lost, oxygen early payment income lost, expected to be refunded from Covid-19 grant.
Other Administrative Expenses and Income	3,362	7,126	3,764	(766)	(439)	327	2,596	6,687	4,091	
Insurances	3,297	3,229	(68)	(3,365)	(2,777)	588	(68)	452	520	Net £520k adverse variance on Insurance driven by removal of schools subscribing to RPA.
Net Service Spending (excluding DSG)	57,559	52,069	(5,490)	(147,942)	(145,127)	2,815	(90,383)	(93,058)	(2,675)	

Impact on specific service reserves (from Reserves tab)	(8,320)
Impact on risk/general reserves	5,645

Annex M Savings - Other Services - Virginia Rennie
Strategic Director - Rob Powell

Saving Proposal	Target £'000	Actual to Date £'000	Forecast Outturn £'000	Shortfall/ (Overachievement) £'000	Reason for financial variation and any associated management action
Reinvestment of capital receipts - Material receipts are forecast from the sale of strategic sites. Reinvestment of the capital receipts will reduce the Council's need to borrow for capital investment in the future. If the land is sold and the capital receipts are used as per this savings proposal, the funding will not be available to invest in the delivery of the capital strategy. (Delivery will be the responsibility of the Assistant Director - Governance and Policy.)	2,523	0	2,523	0	
Contract Management - Reduction in the cost of contracted services and third party spend through improved contract management at all stages of the procurement process. (Delivery will be the responsibility of the Assistant Director - Commissioning Support Unit.)	500	0	500	0	
Senior Management Restructure - Reduction in the total cost of senior management across the organisation as part of the move to the new operating model. (Delivery will be the responsibility of the Assistant Director - Finance.)	69	69	69	0	
Optimism bias - Provision for a 10% optimism bias for the benefits from the transformation programme. This is included to mitigate the risk to the sustainability of the MTFS. Any provision not required as the level of savings are confirmed will be released back into the MTFS for allocation in future years. (Delivery will be the responsibility of the Strategic Director for Resources.)	(315)	0	(315)	0	
Total	2,777	69	2,777	0	

Annex M Reserves - Other Services - Virginia Rennie
Strategic Director - Rob Powell

Reserve	Approved Opening Balance 01/04/2020 £'000	Movement in Year £'000	Effect of Outturn £'000	Forecast Closing Balance 31/03/2021 £'000	Transfer request (To)/From Reserves £'000	Reason for Request
School Balances	14,162			14,162		
Loans To Schools	14			14		
Schools Absence Insurance Equalisation Account	924			924		
Total Earmarked School Reserves	15,100	0	0	15,100	0	
NNDR Pool Surplus Reserve	5,532			5,532		
Total Earmarked External Reserves	5,532			5,532		
LATC Operational Reserve	248			248		
Local Resilience Forum - Brexit funding	264			264		
Corporate Apprenticeship Fund	737		37	774		
Redundancy Fund	8,400			8,400		
Schools in Financial Difficulty	1,821	(70)		1,751		
Total Internal Policy (Annual review)	11,470	(70)	37	11,437	0	
Financial Instruments Reserve	2,335			2,335		
Insurance Fund	9,125		(521)	8,604		
Capital Fund	1,658			1,658		
NNDR Appeals Reserve	7,951	(4,982)	427	3,396		
Pensions Deficit Reserve	466		110	576		
Quadrennial Elections	687			687		
Audit Fee Reserve	774			774		
IT Sinking Fund	2,773			2,773		
Interest Rate Volatility Reserve	5,436			5,436		
Total Volatility (Annual Review)	31,204	(4,982)	16	26,238	0	
Fire Transformation Fund	863			863		
Childrens Tranformation Fund	6,217	(199)	86	6,104		
Council Change Fund	12,337			12,337		
Unringfenced Government Grants	18,111			18,111		
Revenue Investment Funds	17,500	(185)		17,315		
Total Invest To Save Funds	55,028	(384)	86	54,730	0	
Directorate Risk Reserve - Communities	5,647	(515)		5,132		
Directorate Risk Reserve - People	12,844	(280)		12,564		
Directorate Risk Reserve - Resources	4,036	(1,504)		2,532		
Contingency to cover DSG Overspend	12,314			12,314		
General Reserves	21,223			21,223		
Total Management of Financial Risk	56,064	(2,299)	0	53,765	0	
Medium Term Financial Contingency	11,834	(1,007)	8,181	19,008		
Total Contingency Reserves	11,834	(1,007)	8181	19,008	0	
Total	186,231	(8,742)	8320	185,809	0	

Cabinet

10 September 2020

Council's COVID-19 Recovery Plan

Recommendations

That Cabinet:

1. approves the Council's Recovery Plan included as **Appendix A**, subject to actions being costed and affordability assessed against the available investment funds, with any on-going implications being considered in the Medium Term Financial Strategy refresh for 2021/22 onwards; and
2. approves the next steps for development of the Council Plan for 2021/22.

1.0 Background and context

- 1.1 The COVID-19 Pandemic is a global public health emergency that has created an unprecedented impact on our communities and economy. While immense, generational challenges lie ahead, and opportunities exist to learn from the immediate response.
- 1.2 Following an intense period of response started in March, Cabinet considered and approved three key reports on 11th June 2020, covering:
 - overview of the WCC recovery approach;
 - place shaping; and
 - economic recovery.
- 1.3 All Overview and Scrutiny Committees then considered the report and the detailed analysis of our response in June.
- 1.4 Over the period of June, July and August, we have subsequently developed our recovery approach and plan, working with partners and aligning with regionally agreed phasing, to conclude the Foundation stage and frame the two stages that follow:

Foundation stage (0 - 3 months)	Consolidate stage (3-9 months)	Accelerate stage (9 months plus)
<ul style="list-style-type: none"> • Standing up and reinstating Council services and work settings • Picking up immediate opportunities and activity to support communities and business. • Establishing recovery governance and approach • Engaging with regional approach to setting recovery priorities • Taking stock of change 	<ul style="list-style-type: none"> • Detailed regional impact assessment • Establish recovery programme at regional, county level • Mobilise the Council's Recovery Plan 	<ul style="list-style-type: none"> • Longer term recovery for the Council, communities and economy • Taking time to understand the scale of future challenges • Reproduce the Medium Term Financial Strategy and Council Plan for 2021/22

1.5 This report provides Cabinet with details of the approach we have taken to date and asks for approval of the proposed recovery plan to inform the *consolidate* and *accelerate* phases of recovery.

2.0 Recovery approach

2.1 The key impacts of COVID-19 on Warwickshire have included:

Challenging impacts and key risks	Positive impacts
<ul style="list-style-type: none"> • Prolonged and significant economic impacts, including those on key sectors and employment, affecting previously strong GVA growth. • Increasing levels of financial instability • Widening of inequalities and creation of new vulnerabilities • Delayed/Build-up of demand for services • Continued threat of & living safely with COVID-19 over a longer period • Quality and pace of delivering education, and cancellation of examinations, leading to predicted results 	<ul style="list-style-type: none"> • Strong partnership working, collaboration, faster integration of processes and systems (especially health & social care) and WCC system leadership role • Flexible and committed workforce and rapid adaptation of service delivery utilising digital and other means • Opportunities for changes in the way we work • Increase in community action, mutual aid and volunteering • Use of data and insight to improve delivery and performance • Opportunity to enhance green recovery & sustainability

<ul style="list-style-type: none"> • Detriment to our mental health and well-being, particularly for the most vulnerable in our communities • Impaired progress on climate change with the addition of increased waste from single use PPE 	
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2.2 Our approach to recovery planning has been robust and comprehensive. We have taken time to understand these challenges and opportunities in detail by engaging with our Elected Members, staff, public and partners. This approach has included:

- **Evidence of the impact of COVID-19** on Warwickshire’s economy, communities, our services, including future demand, learning from our response to COVID-19, including our role and relationship with our communities and partnership working.
- **National, regional policy scan** – We continue to review national policy to inform our plan, including the COVID-19 response and our engagement with national and regional partners and agencies.
- **Partner engagement on Warwickshire’s recovery** - has been through the Warwickshire Recovery Advisory Group (District & Borough Council Leaders and Chief Executives, Police and LEP) and with health partners, town and local councils and the Voluntary and Community Sector. Of particular note is the joint recovery statement agreed by the Warwickshire Recovery Advisory Group, which Cabinet approved in June. This has provided a key foundation for the Member Working Groups and development of the recovery plan.
- **Member working groups** – We established cross-party member working groups to ensure Members had the opportunity to be engaged, influence and help shape the recommendations and priorities for our recovery plan. The member working groups covered the four workstreams of:
 - Health and Wellbeing and Adults and Children’s social care;
 - Economy, Place and Climate Change;
 - Education and Community recovery; and
 - Organisation and our resources.

Each group met 3 times to consider the impact of COVID-19, identify and consider in detail a set of priority areas and make recommendations for the Recovery Plan. These member groups have been very successful and influential in engaging Members and shaping our final plan.

To take advantage of this success, we have surveyed the views of Members and received overwhelmingly positive feedback with some useful lessons to pick up as we evolve this approach for use in the future. See **Appendix B** for the survey's findings.

- **Corporate Board session and resilience assessment** – Corporate Board held a series of facilitated sessions over June and July to review ambition and test organisational resilience.
- **Staff survey** – A series of staff surveys, called “check-ins”, have been conducted over the past few months with a focus on recovery and staff wellbeing. The results are informing the approach to service reinstatement as well as the longer-term recovery work, always with an expressed focus on staff health and wellbeing. The outcomes from the “check-ins” are summarised as **Appendix C**.
- **Public, community and business engagement** - We have engaged with businesses through a regular survey and the West Midlands Citizen panel to inform the Recovery Plan. In addition, Public Health are leading on conducting a population health impact survey across Warwickshire which will complete at the end of September. The findings of that survey will be used to ensure the Recovery Plan remains relevant and has the required impact. New actions derived from the survey will be added to the Recovery Plan.
- **COVID-19 Health Assessment** – Detailed research as part of the Coventry & Warwickshire Joint Strategic Needs Assessment has just been published. It presents two significant findings. The need for an *integrated recovery*, meaning a recovery that addresses all the determinants of health and wellbeing including care system, lifestyles, place and community. And addressing the *double impact*, meaning not just the impact of the virus itself but also the wider social and economic impact on more vulnerable and deprived groups and the impact on Black, Asian and Minority Ethnic (BAME) groups. This research will continue to inform the Recovery Plan to ensure it remains relevant and has the required impact. Again, any new actions derived from the research will be added to the Recovery Plan.
- **Change portfolio stocktake** – Our existing change programme has been fully reviewed to bring wider change and recovery activity together.

- 2.3 All these elements have been triangulated and refined over August to inform the Recovery Plan.
- 2.4 Additionally, we have continued with our immediate and on-going response to COVID-19 through the following:
- **Early response/recovery work:**
 - Establishing the CSW Test and Trace beacon with associated governance and local outbreak response models
 - Delivering and concluding the Shielding hub offer
 - Delivering additional support for the vulnerable/at risk of our community post shielding
 - Undertaking 2nd wave contingency planning
 - Putting in place COVID-19 specific business support, area specific regeneration schemes/projects and key sectors
 - Measures ensuring COVID-19 safe towns and the re-opening of town centres
 - Support for care homes and care home staff
 - **Service Reinstatement** - Ongoing reinstatement of Council services and work settings based on a risk-based programme that balances national guidance, staff well-being and business need.

3.0 Recovery priorities

- 3.1 Based on the Member Working Groups priorities, our Recovery Plan focuses on the following 10 priorities that are linked to our Council Plan outcomes:

Recovery priorities

Council Plan 2025 Strategic Outcome - Warwickshire's communities and individuals are supported to be safe, healthy and independent

- **Contain the virus and promote physical and mental health and wellbeing:** Promote the health and wellbeing of our communities, contain the spread of COVID-19 locally and target action to protect our most vulnerable residents and communities.
- **Maintain resilient and sustainable services:** Manage increased demand for services, especially hospital and social care services, and strengthen the care market.
- **Help our children and young people catch up on their education:** By returning to learning, improving access to digital resources and tackling attainment gaps.
- **Harness the power of our communities to tackle inequality and social exclusion:** Champion equality and tackle the effects of poverty, vulnerability, isolation, loneliness and domestic violence; and support this by promoting increased and sustainable social action, volunteering and community capacity.

Council Plan 2025 Strategic Outcome - Warwickshire's economy is vibrant and supported by the right jobs, training, skills and infrastructure:

- **Support business and grow the economy:** Build confidence in local businesses. Re-purpose town centres and create the conditions for business innovation to drive economic growth.
- **Stimulate job creation and skills:** Work with our partners in the Local Enterprise Partnership and higher and further education, to invest in getting people back into employment, or starting their careers, supporting skills, training and re-learning.
- **Invest in regeneration and a sustainable future:** Invest in the regeneration of local areas, support housing growth, a fit for the future digital infrastructure and sustainable transport.

Support delivery of our outcomes by making the best use of resources and tackling climate change:

- **Climate change:** Make sustainability and tackling climate change central to our recovery so that we lay the foundations for a sustainable long-term future.
- **Develop our people and future ways of working:** Invest in a sustainable and resilient workforce through recovery, learning from COVID-19 to embed flexible working, promote well-being and develop new ways of working.
- **Deliver high performance by harnessing digital, data and making the most effective use of our resources:** Use data and technological solutions to drive investments and high performance; and develop a new framework to measure performance, investments and financial management.

3.2 Each of these priorities will be supported by a set of specific actions and the Council will track its progress using a recovery dashboard and metrics. This will enable the presentation of our performance measures to demonstrate delivery and impact.

3.3 Our Recovery Plan is under-pinned by a revised set of principles (since the June Cabinet paper on Recovery) which reflect the input of our cross-member working groups discussions. These principles will guide how we deliver each of our 10 Recovery priorities:

Recovery principles

- **Target recovery activity and support to where most needed** through evidence-based decisions and focusing on priority outcomes and agreed priorities.
- **Stabilise and accelerate the recovery** for Warwickshire's people, places and businesses, including the recovery of Council Tax and Business Rates.
- **Tackle inequalities** - helping our most vulnerable and disadvantaged citizens and communities overcome the negative impacts of COVID-19.
- **Join up and work in Partnership** - maximise connections with partners (public services, private sector, communities, voluntary sector and citizens) to speed up recovery.

- **Focus on long-term environmental challenges** - use recovery efforts to accelerate Warwickshire's climate change ambitions.
- **Apply our learning from COVID-19** - utilise learning and good practice to improve the Council as an organisation, deepen collaboration and partnership working, and strengthen place and systems-based working across Warwickshire.

4.0 Recovery Plan

4.1 The COVID-19 Recovery Plan is attached as **Appendix A**.

4.2 Key features include

- it sets out how we will deliver key immediate priorities during the *Consolidate* stage of recovery and how we will prepare for the *Accelerate* stage;
- our commitment to deliver specific change, and a commitment to measure and present our performance with a new recovery dashboard and metrics;
- clear actions aligned to each priority;
- it is aligned with 2020/21 Business Plans and Commissioning Plans that have been updated to reflect the impact of the Pandemic;
- the Change Portfolio will be reprioritised to align with the Recovery Plan;
- retain flexibility at a time of uncertainty; and
- one council approach, addressing cross cutting themes.

5.0 Timescales and Next steps

5.1 Our phased recovery plan sets out how we are moving swiftly to invest effort, activity and resources across Warwickshire to support recovery from COVID-19 working with our partners for our communities, businesses and the County.

5.2 Our Strategic outcomes remain more relevant than ever. Specific action on climate change will further under-pin our recovery efforts as will our commitment to equality and supporting the most vulnerable.

5.3 Our approach for refreshing the Medium-Term Financial Strategy (MTFS) for 2020/21 has been set out in the paper to Cabinet in July.

5.4 In line with this approach and following agreement of this report, work will begin on the refresh of the Council Plan and MTFS for 2021/22 as part of the annual business planning cycle, with a refreshed Council Plan to be presented

to full Council in February. The refreshed Council Plan will consolidate the priorities and actions from the Recovery Plan from April 2021. This will be supported by the development of an updated outcome-based performance framework and an enhanced approach to risk management from April 2021.

- 5.5 To ensure alignment of our core strategies to the new Recovery Plan, our core strategies will be reviewed in Autumn. Part of this will include reviewing core strategies this financial year which have a relevance and importance to the direction of our recovery work including the Local Transport Plan, Child Poverty and Health & Wellbeing.
- 5.6 Alignment with EU Exit planning will take place during the autumn. This will need to cover the impact on recovery planning in line with our established approach to EU Exit which has consistently looked at the impact on business continuity, communities and business.
- 5.7 Ofsted and the Care Quality Commissioning (CQC) will be working collaboratively with local areas to understand the experiences of children and young people with SEND and their families during the Pandemic, and to support local areas to prioritise and meet their needs. These visits are not inspections and are likely to take place during the Autumn term of 2020. They will not replace the current area SEND inspection cycle. The visits will give insights into how the SEND system is working from the autumn term, while the area SEND inspection cycle remains on hold (likely to resume from January 2021 onwards).
- 5.8 HMICFRS have also been commissioned by the Home Secretary to inspect the response to the COVID-19 Pandemic of the fire and rescue sector in England. The commission has been issued under section 28A(3) of the Fire & Rescue Services Act 2004. The inspectorate has been asked to consider:
 - (a) what is working well and what is being learnt;
 - (b) how the fire sector is responding to the COVID-19 crisis;
 - (c) how fire services are dealing with the problems they face; and
 - (d) what changes are likely as a result of the COVID-19 pandemic

This inspection is due to take place week commencing 28th September.

- 5.9 To ensure the Council prepares and co-ordinates its resources to get the best from these and future inspections, a cross-Council co-ordination inspection group was created prior to COVID-19 and this has been reinstated and focuses its initial work on these forthcoming inspections.

- 5.10 The Recovery Plan has been designed to ensure we deliver key products that support recovery and we also retain flexibility at a time of heightened uncertainty to respond to any future events.

6.0 Financial Implications

- 6.1 The initial response phase for COVID-19 has already led to significant additional costs to support communities, service providers, businesses and staff to manage the immediate implications of the pandemic. Our Medium-Term Financial Strategy is also assuming a significant impact over the next few years on our tax base revenue, increasing financial pressure. We are also seeing increased predictions around some service demand pressures, particularly for vulnerable groups.
- 6.2 The Government has commenced a Comprehensive Spending Review process which we hope will provide a three year settlement and significantly greater certainty about the medium-term funding envelope for the Council. Work has commenced to refresh the Medium-Term Financial Strategy, which will be presented to Cabinet in December and full Council in February.
- 6.3 The combination of the £24m revenue investment funds and unallocated capital investment funding agreed in the Medium-Term Financial Strategy signed off in February 2020 will be the primary source of funding for the recovery plan.
- 6.4 Work is progressing to cost and quantify potential benefits from the targeting activity within the proposed plan, designed to accelerate and support the recovery of the Council, service providers, our communities and businesses. Initial work suggests the investment funds and current year budgets should be sufficient to support the recovery plan. However, there are other critical investments required outside of COVID-19 recovery that still involve a level of uncertainty e.g. further expansion of the SEND transformation programme, which is subject to additional business cases being developed that may require further investment.
- 6.5 Consequently, it is recommended that Cabinet agree the recovery plan, subject to ongoing monitoring of the detailed costs, affordability and benefits across the recovery programme to ensure the investment funding remains sufficient to cover all ambitions.
- 6.6 A financial assessment is also establishing any ongoing revenue implications of the plan in order to feed these into the MTFS refresh currently underway. The expectation is that some options may also provide key benefits e.g. accelerated recovery of lost Council Tax and Business Rates, which would positively impact the current MTFS planning projections.
- 6.7 Where one-off funding is identified appropriate projects will be fed into the Gateway process for the relevant investment fund, and where funding requests are over £100k for revenue bids or for all capital bids these will come back to Cabinet for formal approval.

7.0 Environmental Implications

7.1 The importance of environmental considerations within the Council's recovery approach are reflected in both the proposed recovery priorities and principles.

Background papers

None

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

Local Member(s): None

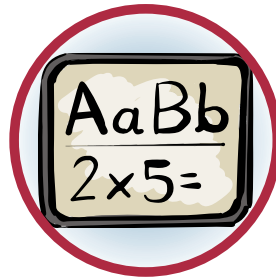
Other members: Cllr Warwick, Cllr O'Rourke, Cllr Boad

Appendix A – the Recovery Plan

Appendix B – findings from the Member Working Groups survey

Appendix C – summary of outcomes of the Staff Check-In surveys

Warwickshire County Council COVID – 19 Recovery Plan



Section 1 Foreword

The COVID-19 Pandemic has had profound impacts, globally and locally, for public health, the economy, society and environment, highlighting and compounding existing challenges.

The loss of loved ones has seen thousands of individual tragedies, and we want to remember and acknowledge all those who have lost their lives before their time.

Numerous people have suffered as a result of the wider impacts of COVID-19, particularly those already most disadvantaged. Many have lost their jobs or face future financial hardship; key sectors of our economy have been severely impacted; and young people's education and opportunities have been disrupted.

For all of us, 2020 has seen a way of life we could not have expected; the impact of physical isolation, lack of routine and significant uncertainty, and the toll this has taken on wellbeing; families juggling caring responsibilities, educating their children and working from home; people shielding because of clinical vulnerability; and unprecedented Government support for the economy and increased financial hardship.

We recognise the very great effort, sacrifice and resilience of individuals and communities adjusting to the restrictions. We have seen the very best in human spirit, a legacy which we must celebrate and preserve. We thank our communities, staff, key partners, business and the voluntary and community sectors for their amazing response and overwhelming support to contain the virus, especially the thousands of Warwickshire volunteers.

So while COVID-19 requires continued vigilance in our ongoing response, the County Council and its partners have been working on our recovery plans. We must look to our new future after COVID-19, taking the positives we have learned from COVID-19 and addressing the new risks and threats we face. Our recovery plan will amplify what worked well; and likewise, where we found things not working as well, what we need to do to fix them.

The differential impacts of COVID-19 and the senseless and appalling death of George Floyd in America have brought inequalities into sharp relief. Our recovery plans acknowledge and address those inequalities, recognising we will need to go further and faster to improve opportunities for those most disadvantaged.

We must also focus on a more sustainable future to address the serious long-term challenge of climate change. We declared a climate emergency in July 2019, and so we must make our recovery from COVID-19 a green recovery. We want to increase our efforts to reduce the use of single-use plastics, on the rise again due to the demand for PPE. We do want to keep up the benefits of lower pollution and noise as a result of reduced travel and home working. We had already set a target to become carbon neutral by 2030, and for communities to play their part we want to put control in people's hands to reduce their carbon. We will do this by creating a fund for communities to take action on local carbon reduction projects.

Our plan sets out the Council's 10 priorities to drive recovery. This has been driven by cross-party Member Working Groups, work with our

partners particularly across the whole of the public sector. For example the Recovery Advisory Group with Leaders and Chief Executives from the borough and district councils, Police and Local Enterprise Partnership to ensure we are completely aligned in our efforts. We have also listened to feedback from our staff, and our recovery work will be supplemented by the findings of an ongoing public health survey.

We will approach the implementation of our recovery plan with positivity, energy and enthusiasm, despite a backdrop of significant

Group Leaders,

Warwickshire County Council

Chief Executive,

Warwickshire County Council

uncertainty. We need to address demand delayed by the crisis. We do not yet know the full financial impact of COVID-19 and what this means for future council funding. We continue to prepare for a possible second wave. Our priority will be protecting health and containing the virus, but we also need to focus support for our economy, young people's education, and those who are vulnerable or isolated.

The way we live and work will never be quite the same again. But we will use this recovery plan as a springboard to ensure we continue to make Warwickshire the best it can be.

Section 2

Our Recovery Plan - how this works

This Recovery Plan is a clear statement of our intent. Given the unprecedented levels of uncertainty for the future ahead, we are on a different journey to the one we had planned before COVID-19.

To ensure we're doing the right things, this plan will remain dynamic, flexible and under constant review to ensure our recovery reflects changes in community need, emerging government policy and financial recovery.

We want to provide leadership on recovery, but we can't do this on our own, and collaboration, working together with our partners in the public sector, the health sector, the voluntary sector and the community is vital to our success.

Our Recovery Plan sets out our priority action for recovery from COVID-19 over the next six months.

It lays the foundations for longer term recovery going into the next financial year and beyond.

The plan does have a clear strategy and 10 priorities, aligned to our long-term vision and outcomes we set out in our Council Plan to 2025.

For each of the 10 priorities, our priority actions are grouped into 3 areas: accelerated action for immediate recovery; applying learning from our experiences responding to COVID-19; and building the foundations for longer term change.

Our actions in this plan sit alongside our business and commissioning plans, updated to reflect the impact of the pandemic.

We will monitor performance closely and regularly to ensure we deliver on this plan, and that our direction remains on course for longer term recovery.

This plan sets out to the public what you can expect from us and the difference we intend to make to move towards our new way of life after the Pandemic. In such a dynamic and fast-moving environment, this plan needs to be flexible, and will be affected by the course of the virus. We will refresh our five year Council Plan over the next six months, and will consolidate these recovery priorities and actions into a new Council Plan from 1 April 2021.

The Recovery Plan is underpinned by strong recovery principles:

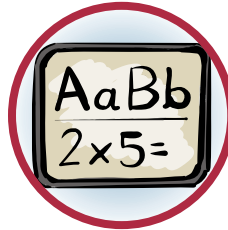
- a. **Target recovery activity and support to where most needed** through evidence-based decisions and focusing on priority outcomes and agreed priorities.
- b. **Stabilise and accelerate the recovery** for Warwickshire's people, places and businesses, including the recovery of Council Tax and Business Rates.
- c. **Tackle inequalities** - to help our most vulnerable and disadvantaged citizens and communities overcome the negative impacts of COVID-19.
- d. **Join up and work in Partnership** - to maximise connections with partners (public services, private sector, communities, voluntary sector and citizens) to speed up recovery.
- e. **Focus on environmental challenges** - use recovery efforts to accelerate Warwickshire's climate change ambitions.
- f. **Apply our learning from COVID-19** - utilise learning and good practice to improve the Council as an organisation, deepen collaboration and partnership working, and strengthen place and systems-based working across Warwickshire.

Section 3 Our ten recovery priorities

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



- 1. Contain the virus and promote physical and mental health and wellbeing:** Promote the health and wellbeing of our communities, contain the spread of COVID-19 locally and target action to protect our most vulnerable residents and communities.



- 3. Help our children and young people catch up on their education:** By returning to learning, improving access to digital resources and tackling attainment gaps.



- 4. Harness the power of our communities to tackle inequality and social exclusion:** Champion equality and tackle the effects of poverty, vulnerability, isolation, loneliness and domestic violence; and support this by promoting increased and sustainable social action, volunteering and community capacity.



- 2. Maintain resilient and sustainable services:** Manage increased demand for services, especially hospital and social care services, and strengthen the care market.

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



- 5. Support business and grow the economy:** Build confidence in local businesses. Re-purpose town centres and create the conditions for business innovation and investment to drive economic growth.



- 7. Invest in regeneration and a sustainable future:** Invest in the regeneration of local areas, support housing growth, a fit for the future digital infrastructure and sustainable transport.



- 6. Stimulate job creation and skills:** Work with our partners in the Local Enterprise Partnership and higher and further education, to invest in getting people back into employment, or starting their careers, supporting skills, training and re-learning

Support delivery of our outcomes by making the best use of resources and tackling climate change:



8. **Climate change:** Make sustainability and tackling climate change central to our recovery so that we lay the foundations for a sustainable long-term future.



9. **Develop our people and future ways of working:** Invest in a sustainable and resilient workforce through recovery, learning from COVID-19 to embed flexible working, promote well-being and develop new ways of working.



10. **Deliver high performance by harnessing digital, data and making the most effective use of our resources:** Use data and technology solutions to drive investments and high performance; and develop a new framework to measure performance, investments and financial management.

Its important that we keep track of the difference this Recovery Plan is making over the next six months. We collect lots of data, and we will organise that data in a way that will give us a measure of our success. So what does success look like?

We'll know it's worked when...

Health

- | | | | |
|--|---|---|---|
| 1. we sustain near zero new cases, week after week | ✓ | 4. increasing compliance and confidence in Test and Trace | ✓ |
| 2. we sustain zero deaths, week after week | ✓ | 5. increase in the take-up of the flu vaccination | ✓ |
| 3. no local lockdowns | ✓ | | |

Demand for our services

- | | | | |
|--|---|---|---|
| 6. we have caught up with the demand for our services | ✓ | 9. families and carers feel confident that children can get back to school and access the education they need | ✓ |
| 7. people can access the quality services they need through a stable care market | ✓ | 10. children can complete a full academic year, without any impact on their results | ✓ |
| 8. the health and social care sector managed and coped with winter pressures | ✓ | | |

Wellbeing of our residents and communities

- | | | | |
|---|---|---|---|
| 11. greater numbers of people are supported to improve their mental health, their well-being and recover well from the effects of COVID-19 including isolation and financial stress | ✓ | 15. greater numbers of our communities are supported through social action, mutual aid groups and volunteers to deliver solutions to local priorities | ✓ |
| 12. more of our most vulnerable of our communities impacted most by COVID-19 receive the support they need to sustain resilience against any future impact | ✓ | | |
| 13. social value is an embedded part of our delivery, procurement and behaviours | ✓ | | |
| 14. poverty and food security is addressed and improved | ✓ | | |



Jobs and business

- | | | | |
|---|---|---|---|
| 16. greater numbers of individuals at risk of unemployment are supported, and where needed are helped to find work | ✓ | 18. greater numbers of businesses are involved in training, skills and career based activities | ✓ |
| 17. greater numbers of businesses are supported to safeguard jobs, and to recover and adjust to drive future growth | ✓ | 19. we have accelerated delivery of our capital works and infrastructure projects to support growth in housing, business and our town centres | ✓ |

Climate Change

- | | | | |
|---|---|--|---|
| 20. carbon dioxide emissions have been reduced further towards our target of being carbon neutral by 2030 | ✓ | 22. Greater investment in sustainable transport e.g electric vehicles, cycle routes and public transport | ✓ |
| 21. increased biodiversity and tree planting | ✓ | | |

Our Organisation

- | | | | |
|--|---|---|---|
| 23. metrics show improved staff wellbeing e.g. mental health and wellbeing indicators, absence, staff turnover and employee engagement | ✓ | 25. digital delivery of more council services means they are better and at less cost than before COVID-19 | ✓ |
| 24. the cost and carbon footprint of the council's property reduces | ✓ | | |



Section 4 Our recovery plan

The actions that follow explain what we will be doing to combat the impact of COVID-19 and deliver our recovery.

We will also ensure that all services we deliver and commission are COVID-19 secure and that the right COVID-19 safe advice and support is available to businesses and other services within our communities. We want our customers, staff and communities to feel safe in accessing all the businesses, services and activities that are a normal part of their lives and to be confident that everyone has put in place the COVID-19 safe measures to do this.

Some of these actions are just for us but many involve working in partnership with other local councils, NHS, the Local Enterprise Partnership, Police, Police and Crime Commissioner, higher and further education institutions, private sector and voluntary and community sector colleagues from across Coventry, Solihull and Warwickshire .

Our actions focus on:

- protecting and improving health and wellbeing;
- containing the virus and its spread;
- supporting our economy to recover and thrive;
- supporting the education of our children and young people; and
- supporting those who are vulnerable and isolated.



Priority 1:

Contain the virus and promote physical and mental health and wellbeing



Promote the health and wellbeing of our communities, contain the spread of COVID-19 locally and target action to protect our most vulnerable residents and communities.

Accelerated action

- | | |
|--|---|
| <p>1.1. Improve health and wellbeing outcomes for residents and tackle the impact of COVID-19 by using the findings from the Warwickshire health impact assessment.</p> <p>1.2. Deliver the COVID-19 Outbreak Control Plan which aims to control local outbreaks and prevent local lockdowns in Warwickshire.</p> <p>1.3. Work in partnership with local authorities, NHS and our communities to set-up and operate local testing units and build trust in</p> | <p>Test and Trace.</p> <p>1.4. Widen access to flu vaccinations for residents, council staff and providers, especially in the care sector.</p> <p>1.5. Promote Dearlife.org.uk - a locally focused suicide prevention website which supports residents and their families.</p> <p>1.6. Deliver and evaluate the impact of Creative Care Coventry & Warwickshire; a series of projects to tackle loneliness and isolation.</p> |
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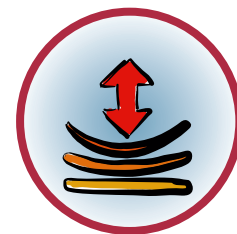
Applying learning from COVID-19

- | | |
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| <p>1.7. To address the impact on people's mental health, we will improve access to mental health and wellbeing services. Strengthen support for young people at risk of emotional or mental health issues, with a particular focus on preventing self-harm.</p> <p>1.8. Publish Director of Public Health Annual Report and implement recommendations which will address the impact of COVID-19 on health and wellbeing.</p> | <p>1.9. Use findings from Warwickshire Population COVID-19 survey to inform future actions and plans.</p> <p>1.10. The new Health Champions Service will work with more vulnerable residents to help them keep safe and improve their health and wellbeing.</p> <p>1.11. Publish a revised COVID-19 Health and Wellbeing Strategy that reflects the learning and changes we need to make.</p> |
|--|---|

Laying foundations for the future

- | | |
|--|---|
| <p>1.12. We will continue to work with our care homes and services to keep residents safe, providing ongoing support, training and advice on controlling the spread of the virus.</p> <p>1.13. Implement the recommendations from the Public Health England Review of the Impact of COVID-19 on Black, Asian and Minority Ethnic (BAME) communities.</p> | <p>1.14. Put a plan in place for how we will manage demand through the winter when people are more vulnerable.</p> <p>1.15. Put a plan in place to help residents lead a healthy lifestyle as part of managing the virus.</p> |
|--|---|

Priority 2: Maintain resilient and sustainable services



Manage increased demand for services, especially hospital and social care services, and strengthen the care market.

Accelerated action

- | | |
|--|---|
| <p>2.1. Ensure health and care provision is COVID-19 safe, supporting the impact, management and recovery from the virus.</p> <p>2.2. Redesign our Reablement Service to increase capacity and prevent more hospitalisations.</p> <p>2.3. Agree supportive payment terms with Care Partners and Suppliers.</p> <p>2.4. Continue communication campaign to assure residents of safe services.</p> | <p>2.5. Review of Warwickshire's Discharge to Assess Service to support timely discharge from hospitals, and keep care homes COVID secure.</p> <p>2.6. Ensure smooth and timely transition from hospital to care settings.</p> <p>2.7. Manage delayed and increased demand for children's services.</p> |
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Applying learning from COVID-19

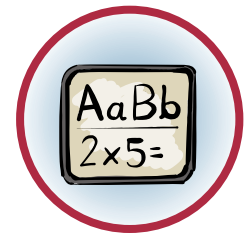
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| <p>2.8. Review impact of COVID-19 on services commissioned through other organisations so we are able to understand what changes may need to be made to be COVID-19 safe.</p> <p>2.9. Review adult social care guidance for hospital discharge and admission avoidance.</p> | <p>2.10. Implement a single health and care record to share information on NHS and care team support and interventions.</p> <p>2.11. Secure provision of children's placements within Warwickshire.</p> <p>2.12. Use the learning from COVID-19 to further improve the experience for children and families in need of support and protection.</p> |
|---|--|

Laying foundations for the future

- 2.13. Implement refreshed Health & Care commissioning plans.
- 2.14. Continue to review Children and Family services against emerging government guidance.
- 2.15. Support Carers to continue to meet care and support needs.

Priority 3:

Help our children and young people catch up on their education



By returning to learning, improving access to digital resources and tackling attainment gaps.

Accelerated action

- | | |
|---|---|
| <p>3.1. Increase the number of digital resources available to support schools in meeting the needs of their pupils, especially in case of local outbreaks.</p> <p>3.2. Improve the support available to vulnerable children and young people.</p> <p>3.3. Provide training and skills development to education staff to improve the quality of learning for children and young people.</p> <p>3.4. Supporting groups of local schools with their recovery and resilience work to give</p> | <p>school leadership and staff the confidence to open safely for the health of themselves and pupils.</p> <p>3.5. Supporting all children and young people and their parents to successfully return to education, and feel confident and secure in doing so.</p> <p>3.6. Launch a new education and safeguarding training and support package to keep all children and young people safe.</p> |
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Applying learning from COVID-19

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| <p>3.7. Provide targeted IT and training to children and young people to enable them to use digital learning resources.</p> <p>3.8. Accelerate our skills and retraining plans across all education provision.</p> <p>3.9. Increase career adviser support for apprenticeship programmes to vulnerable and disadvantaged groups (including care leavers) whose opportunities have been reduced by COVID-19.</p> | <p>3.10. Engage parents to accelerate and complement learning for children and young people within the home.</p> <p>3.11. Implement actions following the Ofsted and Care Quality Commission visits focused on understanding the experiences of children and young people with SEND and their families during the pandemic.</p> |
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Laying foundations for the future

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| <p>3.12. Start the transformation of the Special Educational Needs and Disabilities and Inclusion service to support disadvantaged children and young people.</p> <p>3.13. Implement our Early Years Programme to support the best start in life for our youngest children who have missed out as a result of COVID-19.</p> | <p>3.14. Promote programme for years 7-9 supporting their return to learning through out-of-school activities.</p> <p>3.15. Support delivery of the Child Friendly Warwickshire programme.</p> |
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Priority 4:

Harness the power of our communities to tackle inequality and social exclusion



Champion equality and tackle the effects of poverty, vulnerability, isolation, loneliness and domestic violence; and support this by promoting increased and sustainable social action, volunteering and community capacity.

Accelerated action

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| <p>4.1. Address poverty through promotion of the WCC Welfare Scheme and financial inclusion work. Continue to work in partnership to make best use of COVID-19 Government funds to ensure they have greatest impact.</p> <p>4.2. Establish a Warwickshire Food Forum to co-ordinate work to tackle food poverty across Warwickshire and ensure access to food for the most vulnerable through innovative local projects, supporting the local food economy and existing provision,</p> | <p>such as food banks and the Warwickshire Local Welfare Scheme.</p> <p>4.3. Ensuring our services work closer with communities to increase the levels of self-help and volunteering.</p> <p>4.4. Introduce citizenship courses for at risk young people as part of wider education programme.</p> <p>4.5. Introduce Fire Fit pilot project to improve health and fitness in young people and their families in more deprived areas.</p> |
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Applying learning from COVID-19

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| <p>4.6. Prioritise the delivery of our plan to keep people safe from domestic violence or abuse.</p> <p>4.7. Develop and implement an action plan to tackle isolation as a result of the impact of COVID-19.</p> <p>4.8. Develop the digital platforms and technologies required to support community recovery.</p> | <p>4.9. Through high-quality volunteering opportunities, provide citizens with the skills and experience to get closer to the jobs market and secure employment.</p> <p>4.10. Review our practices in relation to inequalities and COVID-19, including access to employment opportunities.</p> |
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Laying foundations for the future

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| <p>4.11. Use our experience of working with communities during lockdown to inform our future support to the voluntary and community sector.</p> <p>4.12. Introduce a new citizen and community engagement framework to support the ongoing COVID-19 activities.</p> | <p>4.13. Identify the increased financial value of volunteering to show the benefit to the local economy.</p> <p>4.14. Extend our contracts with Warwickshire Community & Voluntary Action, Citizens Advice and Equality & Inclusion Partnership to ensure continuity to provide the right level of support and apply what they've learnt from COVID-19.</p> |
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Priority 5:

Support business and grow the economy



Build confidence in local businesses. Re-purpose town centres and create the conditions for business innovation and investment to drive economic growth.

Accelerated action

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| <p>5.1. Provide business advice, marketing, promotional activity and physical measures to support businesses and town centre reopening.</p> | <p>5.3. Better manage our road network using improved technology to provide better information.</p> |
| <p>5.2. Provide financial support for businesses through Government grants schemes and extending Small Capital Grants programme.</p> | |

Applying learning from COVID-19

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| <p>5.4. Provide specialist business advice and associated grant funding.</p> | <p>5.5. Provide additional business support including digital, business resilience, plus access to employee wellbeing services for small independent, retail micro businesses.</p> |
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Laying foundations for the future

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| <p>5.6. Introduce new business growth programme focusing on existing businesses and their potential to generate significant income and growth.</p> | <p>5.8. Create a new employment space for the growing gaming and digital creative sector in Leamington.</p> |
| <p>5.7. Implement tourism and rural diversification programme including Social Enterprise Support and finance programmes.</p> | <p>5.9. Support future role and sustainability of our towns with partners and stakeholders.</p> |
| | <p>5.10. Promoting Warwickshire on the national and international stage to attract new inward investment.</p> |

Priority 6: Stimulate job creation and skills



Work with our partners in the Local Enterprise Partnership and higher and further education, to invest in getting people back into employment, or starting their careers, supporting skills, training and re-learning.

Accelerated action

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| <p>6.1. Develop, promote and implement redundancy support packages for businesses and employees across Warwickshire.</p> | <p>6.3. Support digital careers offer, including the creation of a future careers digital market place.</p> |
| <p>6.2. Launch staff sharing model for businesses to avoid job loss and address skills shortages.</p> | <p>6.4. Develop the Warwickshire Skills Hub to promote information and support around careers, employability, upskilling and reskilling.</p> |

Applying learning from COVID-19

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| <p>6.5. Work with at risk sectors to widen skills, and support business development into areas such as online retail to improve business survival.</p> | <p>6.6. As a result of changes in demand and course content as a result of COVID-19 review Adult Community Learning provision and adapt course delivery and content as appropriate.</p> |
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Laying foundations for the future

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| <p>6.7. Increase the number of supported internships, traineeships and apprenticeships for all young people.</p> | <p>6.9. Support training providers and employers to upskill to reflect changes in employment opportunities.</p> |
| <p>6.8. Work with employers to promote and deliver an increased uptake of apprenticeships.</p> | <p>6.10. Develop sector-based career pathways to promote continued learning and development and increase attractiveness of key sectors.</p> |

Priority 7:

Invest in regeneration and a sustainable future



Invest in the regeneration of local areas, support housing growth, a fit for the future digital infrastructure and sustainable transport.

Accelerated action

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|---|---|
| <p>7.1. To support businesses to trade online, people to buy online goods, children and young people to learn online, and people to work from home we will address issues of poor connectivity by accelerating development of digital infrastructure and improved coverage (fibre, 4G, mobile).</p> | <p>7.2. To support COVID-19 safe travel, improve air quality and promote health and wellbeing, we will accelerate delivery of dedicated cycle routes and walking friendly routes and pavements.</p> |
| <p>7.3. We will identify and reduce surplus space in our office-based estate as a result of the increase in home working saving money and reducing waste.</p> | |

Applying learning from COVID-19

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| <p>7.4. Progress use of digital technologies, including 5G to help with our economic recovery.</p> | <p>effective use of publicly owned property through multi-agency occupation and the development of a joint property database (One Public Estate).</p> |
| <p>7.5. To support regeneration and the recovery of local businesses we will encourage</p> | |

Laying foundations for the future

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| <p>7.6. To support the recovery of our local economy and the recovery of our town centres we will propose the creation of a Warwickshire Property Company.</p> | <p>7.9. We will progress housing and area regeneration schemes targeting Rugby, Nuneaton and North Warwickshire, to deliver on the housing needs of Warwickshire, and support the recovery of our local economy.</p> |
| <p>7.7. We will develop a proposal for a Warwickshire Recovery Investment Fund and progress other capital investment to support the recovery of our local economy.</p> | <p>7.10. We will develop Local Transport Plan to prioritise investment in our transport network to support a low carbon future and rural connectivity to places of work, reduce congestion, and enabling the growth in housing.</p> |
| <p>7.8. Working in partnership with Homes England, we will remove the blocks that have prevented some sites in Warwickshire from being developed, providing more and affordable housing whilst also supporting the recovery of our local economy.</p> | <p>7.11. We will advise and support businesses to reduce environmental impact, energy usage and emissions.</p> |

Priority 8: Climate change



Make sustainability and tackling climate change central to our recovery so that we lay the foundations for a sustainable long-term future.

Accelerated action

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| <p>8.1. Produce an updated Climate Impact Assessment.</p> <p>8.2. Present energy reduction initiatives for WCC buildings.</p> <p>8.3. Implement Green Electricity purchasing options.</p> <p>8.4. Investigate potential of installing solar panels on small holding farms to increase the use of low and zero carbon technologies.</p> | <p>8.5. Deliver Warwickshire Switch and save scheme that gives residents an opportunity to join with others to take advantage of cheaper energy bills to help in taking people out of fuel poverty and improve their health and wellbeing.</p> <p>8.6. For immediate impact on carbon reduction, create a grant funding scheme available to our communities to take action on local carbon reduction initiatives and projects.</p> |
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Applying learning from COVID-19

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| <p>8.7. Implement action plans for climate change commitments to consolidate the change in behaviours as a result of COVID-19.</p> <p>8.8. Seek to retain the reduction in carbon emissions as a result of COVID-19.</p> <p>8.9. We will reduce emissions by improving our ICT technology and its use supporting the ability to work from anywhere reducing the need to travel and delivering the most efficient systems.</p> | <p>8.10. Respond to the National Resources and Waste Strategy consultation and prepare and implement a new Strategy.</p> <p>8.11. Implement a campaign to promote active travel including schools, residents and workplaces and work up proposals for investment in better walking and cycling infrastructure.</p> |
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Laying foundations for the future

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| <p>8.12. Embed climate change considerations into everything we do.</p> <p>8.13. Devise a plan to achieve carbon neutral corporate buildings by 2030.</p> <p>8.14. Increase biodiversity and ecology through Green corridors, environment banks and tree planting, maximising use of available grants.</p> | <p>8.15. Promote Warwickshire residents' participation in group buying and installation of solar panels onto the roofs of their homes to increase the amount of renewable energy generation in the county as well to decrease emissions of carbon dioxide.</p> |
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Priority 9:

Develop our people and future ways of working



Invest in a sustainable and resilient workforce through recovery, learning from COVID-19 to embed flexible working, promote wellbeing and develop new ways of working.

Accelerated action

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| <p>9.1. Complete roll-out of new telephony to WCC staff for external calls supporting staff to work from anywhere and keep services going.</p> <p>9.2. Support staff to make best use of remote working tools allowing them to work more efficiently and to keep them safe.</p> <p>9.3. Support managers with a learning programme to develop skills to remotely manage teams and services to ensure high levels of performance and staff wellbeing.</p> | <p>9.4 Review the Council's risk planning to reflect the impact of COVID-19 and that it supports all our recovery work.</p> <p>9.5 Implement new contact centre telephony in Customer Service Centre supporting staff to work from anywhere, ensuring services remain open.</p> |
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Applying learning from COVID-19

- 9.6 Develop the future plan for the use of our buildings including the workplace redesign to support new ways of working.

Laying foundations for the future

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|--|---|
| <p>9.7 To make sure we have the right skills for the future we will refresh our workforce (Our People) strategy.</p> <p>9.8 To support our staff to keep healthy and well we will start a sustainable and resilient workforce programme including wellbeing and sickness absence.</p> <p>9.9 To support those who are vulnerable we will agree our Equality, Diversity and Inclusion programme and start to deliver the actions in this.</p> | <p>9.10 To continue to support our staff to innovate and consolidate the lessons learnt in responding to COVID-19 we will agree our innovation strategy and embed the behaviours into our culture and ways of working.</p> <p>9.11 We will develop a proposal and agree our future plan for the use of our buildings.</p> |
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Priority 10:

Deliver high performance by harnessing digital, data and making the most effective use of our resources



Use data and technology solutions to drive investments and high performance; and develop a new framework to measure performance, investments and financial management.

Accelerated action

- 10.1. Support new ways of working, support remote working and deliver efficiencies we will refresh our digital timeline setting out our approach to using digital technology.
- 10.2. Implement a new Data Strategy that will ensure we have the right data and analysis to improve services and complete projects to meet increased demand.
- 10.3. COVID-19 changed the way we work and the space we need to do this, we will develop plans to ensure our future office design continues to support this whilst also releasing space to be used for other purposes.
- 10.4. Implement new online document and records management system to enable more mobile working.

Applying learning from COVID-19

- 10.5 Continue to review, upgrade and replace our technology to support new ways of working both during and post COVID-19.

Laying foundations for the future

- 10.6 We will refresh our medium-term financial plan and capital spending programme, so that we can be clear about funding the recovery work.
- 10.7 We will develop a new performance framework for 2021-22 as part of the Council Plan using performance dashboards and metrics. This will provide a clear link between the outcomes of our Council Plan 2025; our strategies to deliver that plan and this recovery plan to demonstrate and share how well we are doing and make improvements along the way.

Section 5 Next steps

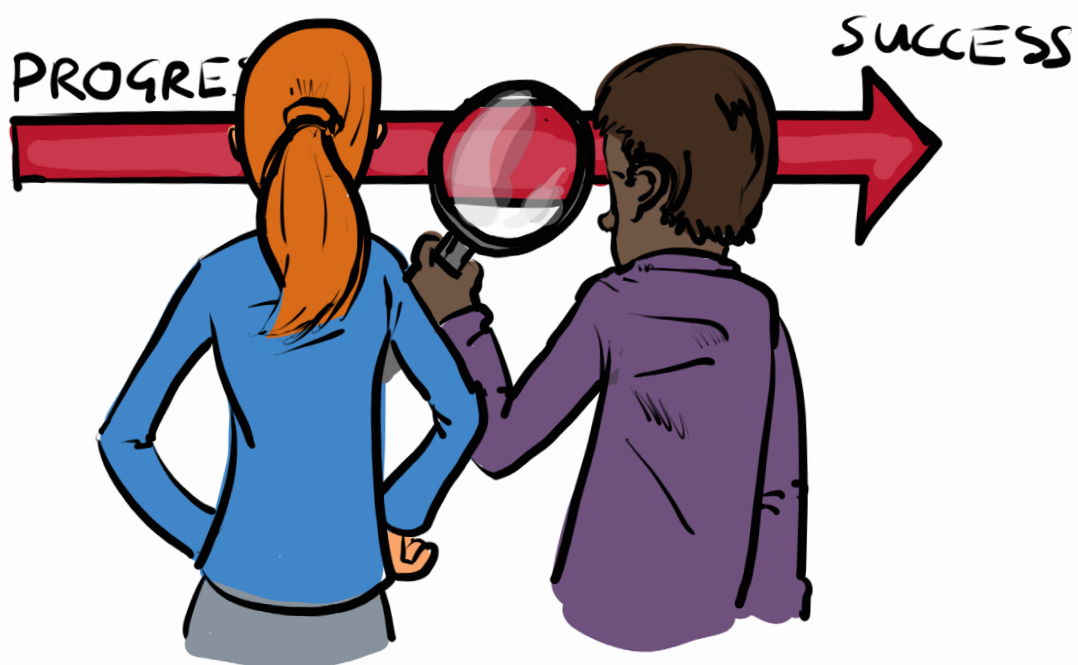
The actions set out within this plan build on momentum from the Council’s current Change Portfolio and the immediate reinstatement of its services and work settings activity.

Where activity is new, we will work across the business, and with partners, to follow good business planning and governance processes; this will ensure we use resources effectively and deliver in a co-ordinated and effective manner.

We will continue to review activities across the change portfolio to ensure our resources are prioritised in accordance with this plan first and foremost.

As part of our annual business planning cycle, we will ensure we refresh the Council Plan and our Medium Term Financial Strategy to ensure that the costs of all the activity in this Recovery Plan is considered and encountered for. The refresh will also embed any recovery priorities not yet delivered against the Council’s existing outcomes and objectives. This means that the refreshed Council Plan will take account of any remaining recovery activity.

To ensure we hold ourselves to account, we will track our progress using a recovery dashboard and metrics showing our performance in delivering this plan. With these we will provide regular updates to our communities.



Findings from the Member Working Groups Survey

1. Members and officers involved in the recent Member Working Groups were invited to share their feedback on the approach. This was intended to help understand whether it is a model that could be used to support other areas of work, what the strengths of the approach were, and what improvements could be made.
2. A total of 34 responses were provided; 19 members (including 5 Cabinet members) and 15 officers. There was representation from across all four working groups.
3. 85% of respondents felt that the working group(s) were effective in understanding the impact of COVID-19 on services, service demand and service delivery.
4. 91% felt that were effective in shaping recommended objectives and priorities for Warwickshire's Recovery Plan.
5. 88% agreed that their experience of taking part in the groups was positive.
6. The main strengths of the approach were thought to be the levels of member engagement in the process, open, collaborative and constructive conversations across parties and with officers, and the pace of delivery.
7. Areas for improvement included the need to circulate more material in advance so that more pre-work could be completed, managing the risk of devoting too much time to specific and detailed projects whilst providing members sufficient time to air their views, exploring the dependencies and links between the different working groups and more time to develop ideas between meetings.
8. 94% (32 out of 34 respondents) felt that the working group model should be used again in the future.

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APPENDIX C

Staff wellbeing check-in

April 2020



The COVID-19 outbreak has led to WCC staff working in very changed circumstances.

We wanted to know how this was affecting you, how you were finding our new ways of working and what else could be done to support you. This is a summary of what you told us.

Who responded

2,101

responses = response rate

46%

51%

identified as key workers

89%

working from home



How are you feeling?

88%

feeling OK or better (rating 3-5)

12%

finding things harder (rating 1-2)



New ways of working

87%

adapting well to the new ways of working

83%

able to access the systems and technology needed to work at home



Supporting you

90%

colleagues are staying connected

89%

Leadership Team are providing visible leadership

87%

Council is supporting staff effectively

85%

immediate line manager was supporting them

74%

service manager (Tier3) was supporting them



Awareness of support

92%

support from line manager

83%

Intranet coronavirus pages

63%

support from Tier 3 manager

44%

Health and Wellbeing Champions

44%

Employee Assistance Programme

41%

Listening Mates

26%

support through staff networks



Keeping team connected

84%

regular check-ins with team colleagues

84%

catch-ups with managers

79%

virtual team meetings

69%

listened to senior leadership live broadcasts (CX and SDs)

54%

manager flexible to help them manage caring/childcare responsibilities



Staff wellbeing check-in 2 July 2020



WCC staff continue to work in very changed circumstances and we are committed to checking in with you on a regular basis.

Check-in 2 launched in July focusing on wellbeing and recovery.

How are you feeling?

April's figures brackets

83% (88%) feeling generally positive

Feeling ok or better

(rating 3-5)

17% (12%) finding things harder

Finding things harder

(rating 1-2)



Mental wellbeing scale

We used the Short Warwick-Edinburgh Mental Wellbeing Scale.

This consists of 7 questions with 5 response options which produce an individual score. Scores can range from 7 – 35 with higher scores indicating positive mental wellbeing.

Average score for general adult population = **23.6**

WCC scores

WCC average score = **22.3**

- **15.4%** scored high (26-35)
- **16.2%** scored average-high (23.6 – 26)
- **28%** scored low-average (21.5 – 23.6)
- **39.3%** scored low (7 – 21.5)

Who responded

April's figures brackets

2,066 (2,101) responses = response rate

45% (46%)

55% (51%) identified as key workers

90% (89%) working from home



Worked well during Covid-19 response

- Working from home/working more flexibly
- Technology
- Corporate Board briefings
- Positive support from managers and colleagues
- Quicker decision making and less bureaucracy

Challenges during Covid-19 response

- Lack of face to face interaction both for work and socially
- Isolation
- Juggling working from home with caring responsibilities
- Access to equipment
- Workload and work/life balance

Your suggested actions for recovery

- Prioritise those finding it difficult to work from home to return to the office safely for part of the week
- Consider making flexible working more permanent and support staff to work safely from home
- Make buildings safe to work in and rationalise our property portfolio
- Build on innovation that is underway
- Prioritise services for vulnerable and reinstate home visits safely

Look out for check-in 3 which will help us with our workplace redesign



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Cabinet

10 September 2020

Draft 2019/20 Annual Governance Statement

Recommendation

That Cabinet endorses the 2019/20 Annual Governance Statement prior to submission to Council for approval.

1. Executive Summary

- 1.1 This report presents the 2029/20 Annual Governance Statement (AGS) for consideration at Appendix 1.
- 1.2 The Accounts and Audit Regulations 2015 require the authority to conduct a review, at least once in a year, of the effectiveness of its system of internal control and to prepare an AGS. The consequences of the COVID-19 pandemic led to an April 2020 amendment to the Accounts & Audit Regulations, altering the statutory timetable for the production and publication of the AGS alongside the Financial Statements by 30 November. The Council's revised timetable is at Appendix 2.
- 1.3 We have also followed CIPFA guidance issued in April 2020 to include relevant areas of governance impact arising from the COVID-19 pandemic. These are captured in Section 3 (delivering governance principles) and Section 5 (Governance Issues) of the AGS.
- 1.4 It has been assessed, as a result of the AGS evaluation and assurance gathering process, that there are no significant governance issues or governance failures to report. The Council's key areas of strategic risk are presented as governance challenges in Section 5, along with planned and proposed mitigation.

2. Financial Implications

None

3. Environmental Implications

None

4. Supporting Information

None

5. Timescales associated with the decision and next steps

- 5.1 The results of the review and the draft AGS were considered and endorsed by the Audit and Standards Committee at its meeting on 20 July. The draft AGS was also provided to External Audit for review in July with no updates required. The proposed AGS will be presented with the financial statements for final endorsement by the Audit & Standards Committee at its meeting on 28 September.
- 5.2 The AGS will then be submitted, alongside the Council's financial statements, to Council for approval on 13 October.

Appendices

1. Appendix 1 Draft 2019-20 Annual Governance Statement
2. Appendix 2 Revised AGS timetable

Background Papers

None

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

Local Member(s): None

Other members: Councillors Singh Birdi, Dirveiks, Gifford, Horner, Reilly

Annual Governance Statement

Year ended 31 March 2020

DRAFT



*Working for
Warwickshire*

Annual Governance Statement 2019/20

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5	Governance Issues	13
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1. What are we responsible for?

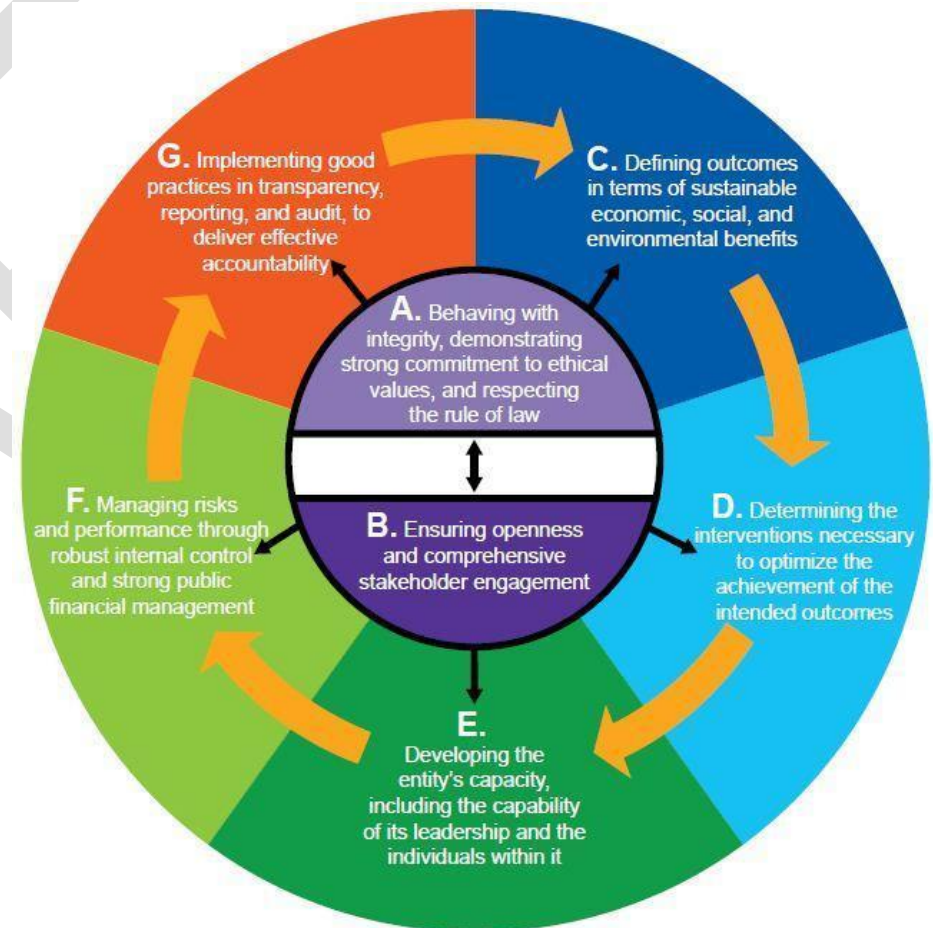
We are responsible for carrying out our business in line with the law and proper accounting standards, and for using public money economically, efficiently and effectively, and accounting for it properly. We also have a duty under the Local Government Act 1999 to continually review and improve the way we work, while at the same time offering value for money and an efficient and effective service.

To meet our responsibility, we have put in place proper governance arrangements for overseeing what we do. These arrangements are intended to make sure that we do the right things, in the right way, for the right people, in a timely, open and accountable manner. These arrangements consist of all the systems, processes, culture and values which direct and control the way in which we work and through which we account to, engage with and lead our communities.

We have approved and adopted a Code of Corporate Governance, which is consistent with the principles of the CIPFA/SOLACE Framework *Delivering Good Governance in Local Government (2016)*. Further information is on our website: <http://www.warwickshire.gov.uk/corporategovernance>

This statement explains how the Council has complied with its Code of Corporate Governance and also meets the requirements of the Accounts and Audit Regulations 2015. It also covers the governance control and risk management arrangements of the Warwickshire Local Government Pension Scheme and Firefighters' Pension Scheme.

Figure 1 CIPFA's Principles of Good Governance



2. The aim of the governance framework

The framework allows us to monitor how we are achieving our strategic aims and ambitions, and to consider whether they have helped us deliver appropriate services that demonstrate value for money.

The system of internal control is an important part of the framework and is designed to minimise risk to a tolerable level. It cannot eliminate all risk of failing to achieve our policies, aims and objectives. The system of internal control is based on continuing processes designed to:

- identify and prioritise the risks that could either prevent us from achieving our priority outcomes or missing opportunities to improve outcomes;
- assess how likely it is that the identified risks will happen, and what will be the result if they did; and
- manage the risks efficiently, effectively and economically.

The governance framework has been in place at the Council for the year ended 31 March 2020 and up to the date of approval of the Annual Governance Statement and Statement of Accounts.

Since March 2020, the COVID-19 pandemic and the unprecedented public health and economic impacts have required a significant on-going managed emergency response. The Council has had to vary a range of working practices, service responses and business-as-usual governance mechanisms at pace. Due process has been followed by applying the principles of the Governance Framework. Specific governance actions in response to the pandemic are captured in Section 3, as actions against the relevant governance principles and in Section 5, as governance challenges. There will be a full review of lessons learned from the response phase, to inform future governance and emergency responses.

3 The Governance framework

Our code is aligned to the CIPFA/SOLACE Framework Delivering Good Governance in Local Government (2016). A description of the arrangements which we have put in place to secure robust corporate governance are summarised below. The full detail of these arrangements can be found in the Code of Corporate Governance.

<http://www.warwickshire.gov.uk/corporategovernance>

Core Principle A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

As part of our governance framework we apply six key behaviours (see Figure 2) which provide a clear framework on the behaviours we are demonstrating on a day to day basis to support the cultural change and transformation of the organisation. The behaviours are supported by the following values; high performing, collaborative, customer focused, accountable and trustworthy. The behaviours and values are integral to 1:1s and appraisal conversations as well as key to the way we recruit and develop our colleagues.

We have arrangements in place to provide assurance that our behaviours are being upheld and that members and officers demonstrate high standards of conduct. These include:

- codes of conduct for officers and members (including gifts and hospitality, registering interests, anti-fraud and whistleblowing); and
- inclusion of ethical values in policies and procedures for all areas including procurement and partnership working.

<http://www.warwickshire.gov.uk/conduct>

Our Behaviours



Figure 2 Warwickshire's Six Key Behaviours

Complaints and compliments help us improve the services we provide to all customers. We have an updated Complaints Policy and a corporate complaints and feedback procedure to ensure that all complaints are investigated properly and are responded to as quickly as possible.

<http://www.warwickshire.gov.uk/complaints>

We appreciate the diversity of our customers, workforce and the wider Warwickshire community and are committed to Equality and Diversity. This is integral to everything we do including policy development, service delivery and partnership working to ensure we meet the Public Sector Duty as set out in the Equality Act 2010 and that we do not unlawfully discriminate with services we deliver or commission

<http://www.warwickshire.gov.uk/equality>

Our Constitution sets out the framework to ensure that all officers, key post holders and Members are able to fulfil their responsibilities in accordance with legislative requirements so that we are efficient, transparent, accountable to our citizens and compliant with the law.

Roles and responsibilities for individual Members, the Council, Cabinet and senior officers, along with the delegation of statutory powers and executive functions, and protocols on member / officer relations are documented. To ensure continuity of core Council services and statutory duties in our response to the COVID-19 pandemic, we have been able to adopt decision making mechanisms which have complied with the Constitution and the legal framework.

<http://www.warwickshire.gov.uk/constitution>

We have consistent governance arrangements for our two wholly owned trading companies; Warwickshire Legal Services Trading Ltd and Educaterers Ltd:

- the shareholder agreement governs our relationship with each company and sets out which decisions require shareholder approval;

- Annual General Meetings are held to ensure the Council is fully informed of the company's performance; and
- Directors of each company have received "conflict of interest" awareness training and we actively monitor the risk of potential conflicts.

Also, in the case of Educaterers, the larger of the two companies, a shareholder representative attends company board meetings. The allows the Council, as a shareholder, to keep updated on company matters.

Core Principle B. Ensuring openness and comprehensive stakeholder engagement

We have a Consultation and Engagement Framework in place, owned by a lead officer, which provides staff with up to date guidance and tools for planning and conducting consultation activities.

As part of our approach to consultation the Ask Warwickshire website is a portal for consultation exercises taking place within Warwickshire. We use a variety of methods to undertake consultation.

www.warwickshire.gov.uk/ask

We carried out extensive consultation on strategic objective proposals for the 2020-25 Council Plan, including a dedicated consultation web page, a multi media engagement questionnaire and 9 county wide roadshows which reached a large and diverse audience .

Our response to the COVID-19 pandemic has seen our engagement with communities, employees, schools, partners and other stakeholders delivered and managed daily, through our external website home page and links to a dedicated suite of web pages and linked resources offering support and guidance. We have also extended our community engagement through a range of social media channels such as Twitter, Facebook, Snapchat and Instagram to achieve the maximum reach from our messaging during this critical time.

We value the contribution from our employees and have an Employee Engagement Strategy in place which sets out how we ensure employees have a voice, managers and leaders are focusing, coaching and developing their people and there is clear communication about where our authority is going. This is supported by regular staff surveys and pulse surveys which measure employee engagement and our direction of travel against a number of staff related measures. To support the unique challenges arising from COVID-19, we put in place staff check-in surveys to understand the impact of remote working and the pandemic on their well-being, as well as adoption of new technologies and ways of working. <https://www.warwickshire.gov.uk/employeeengagement>

We actively contribute to and collaborate with partners to promote good governance and achieve the delivery of outcomes through increased joint working and economies of scale. We are members of a number of sub-regional partnerships and groups which have member and / or officer representation. Each partnership has its own governance arrangements in place. <http://www.warwickshire.gov.uk/partnerships>

We are registered as a data controller under the Data Protection Act as we collect and process personal information and we have a named Data Protection officer. We have General Data Protection Regulation (GDPR) compliant procedures that explain how we use and share information and arrangements for members of the public to access information. We have also adopted the model publication scheme produced by the Information Commissioner's Office (ICO), in accordance with the Freedom of Information Act 2000. <https://www.warwickshire.gov.uk/Publications-scheme-and-transparency>

The Warwickshire Pension Fund engages with its employers and members through the Local Pension Board which has representatives from employers and members, and through direct communications for example directly sharing new policies such as the Funding Strategy Statement for comment. <https://warwickshireintranet.moderngov.co.uk/mgCommitteeDetails>

Core Principle C. Defining outcomes in terms of sustainable economic, social, and environmental benefits

2019-20 is the final year of the Council’s One Organisational Plan (OOP 2020) and 3 year Medium Term Financial Strategy (MTFS). It set out our vision for Warwickshire and the journey the authority took to deliver this vision and outcomes over the life of the plan. Progress implementing the OOP 2020 has been reported to Cabinet and has been subject to annual review. <https://www.warwickshire.gov.uk/OneOrganisationalPlan>

Going forward, the new Council Plan has been developed with members and in consultation with our stakeholders and communities and defines priority outcomes and key strategic objectives. <https://www.warwickshire.gov.uk/strategies>

Alongside the Council Plan, the Council has produced a rolling five-year Medium-Term Financial Strategy which is established on sound assumptions to deliver a sustainable balanced budget in the short and medium term. This will assist with forward planning and responding to variations in financial forecasts.

In 2019 the Council declared a climate emergency. Climate Change adaptation task and finish groups were set up; one group considered mitigation strategies and a second group addressed possible adaptations. A single set of recommended priority actions and options for investment, informed by UK Climate Change data, were approved by Cabinet. A climate impact assessment for Warwickshire is also being prepared.

The most significant impacts of the COVID-19 pandemic on the Council’s core purpose and outcomes are being assessed and acted upon, initially, by developing a whole council phased recovery and reform plan. Warwickshire Councils have issued a joint statement of intent on recovery and the recovery planning process aligns to the approach being taken across Warwickshire and the West Midlands through the Local Resilience Forum arrangements.

Core Principle D. Determining the interventions necessary to optimise the achievement of the intended outcomes

2019-20

The One Organisational Plan (OOP) and the Council’s MTFS were aligned to ensure a joined-up approach to delivering the OOP 2020 outcomes and agreed savings plans. Transformation Programme Boards were set up in 2018-19 and a Gateway Group, operating at strategic level, has also been meeting during 2019/20 to assess revenue project benefits and alignment with key outcomes. This provided the necessary framework to continue to deliver change and transformation and to ensure clear line of sight in the delivery of WCC’s Core Purpose and Outcomes at strategic, directorate and service level.



Figure 3: Warwickshire’s Core Purpose and Priority Outcomes

The creation of a dedicated Commissioning Support Unit is supporting the establishment of a one-organisation approach to the way outcomes are achieved. Bringing together functions around change management, business intelligence, contract management and quality assurance means that a robust, consistent methodology is applied to informing and prioritising commissioning activity. The unit also provides corporate assurances through ongoing monitoring of delivery against outcomes and prompting actions to stay on track.

2020 and Beyond

Our Commissioning Intentions Performance Framework, developed to support the delivery of the new Council Plan, includes the following mechanisms to assess progress and inform actions and interventions to achieve intended outcomes:

- progress against the Councils Key Business Measures (KBMs) to assess the delivery of outcomes for reporting to Overview & Scrutiny Committees and Cabinet on a quarterly basis. This information is also available electronically to members and officers via a series of Cabinet and OSC Dashboards using new business insight technology;
- a suite of reports and dashboards provides HR, finance and performance data to Strategic Directors, Assistant Directors and third tier managers for their areas of responsibility. This enables managers to interrogate information quickly and efficiently, making key business measures and supporting indicators easier to monitor;
- arrangements are in place to report critical management information on the key aspects of the delivery of the Council Plan, including finance, projects and performance to Corporate Board and on a quarterly basis to Cabinet and Overview & Scrutiny; and
- Each Directorate has arrangements in place for reporting performance to its Directorate Leadership Team and corporately as part of a Commissioning Intentions Performance.

The Commissioning Support Unit have the resources, tools and expertise to maintain these systems and processes and to support services to identify and monitor actions to stay on track and to escalate further where decisions are needed. All proposed and active projects are managed in the VERTO system, which includes change control and reporting functionality to reduce the risk of non-delivery of intended outcomes.

In March 2020, the Council paused, for a short period, corporate performance reporting and the planned change programme to redirect effort and resources to support the immediate emergency response to COVID-19. Specialist response cells have developed interventions to manage and mitigate the COVID-19 impact on the council's defined outcomes across all key services, including Adult Social Care, Children's Services, Education Services, highways and waste management. Outturn and performance reporting resumed in Q1 2020-21.

Core Principle E. Developing the entity's capacity, including the capability of its leadership and the individuals within it

A People Strategy has been developed to ensure our workforce can deliver the organisation's new Operating Model and stays aligned with our vision and outcomes. Priority actions to underpin the Strategy have been agreed with action plans in place, focusing on delivery. There is ongoing engagement with staff in this area and direction and progress continues to be governed and monitored by the How We Work Board.

Our How We Work programme is designed to deliver the right technology and tools to work as efficiently and effectively as possible. Our investment in ways of working, remote working technology and infrastructure has greatly enhanced the ability of the organisation to respond effectively to an emergency event and has proven to be a robust part of our COVID-19 response.

Structurally, the move to distinguish between Strategic Commissioning and Delivery roles has helped to build increased strategic capacity

alongside functional operating models building capacity to deliver more effectively.

The refreshed approach to our Flexible Working arrangements as a whole Council offer from January 2020 set out principles for employees to work flexibly as efficiently and productively as possible, whilst maintaining a priority focus on service needs. These principles significantly supported the Council's ability to respond effectively and maintain service delivery during the initial response phase of COVID-19.

To enable our employees to be the best they can be we have a corporate process for annual appraisals and Personal Development Plans for Tier 4 officers and above supported by regular 1:1 conversations. This provides the necessary clarity of expectations and behaviour, direction, support and opportunities for growth and development and allows employees and managers to have constructive discussions on performance, progress against outcomes, wellbeing and development. Our corporate appraisal process is aligned to the Behaviours Framework and our recruitment process for tiers 1 – 4 applied a behavioural assessment process, which includes leadership capability and identifies personal development areas.

Our Senior Leadership Forum and planned events and workshops aim to share our strategic direction and Change plans more widely and build the skills and capabilities needed to successfully deliver those plans.

A member development programme is arranged each year to ensure core development needs of members, aligned to their respective roles, are met and to take account of new and emerging issues.

We have invested in the health & wellbeing of our employees with a Workplace Wellness Strategy, and supporting processes including those to manage sickness absence and return to work.

The health & wellbeing of our employees during the COVID-19 pandemic and lockdown period has been a top priority. We have focused on:

- maintaining wellbeing and HR policy information on the intranet home page with links to internal and external support networks, resources and check in surveys; and
- regular live communication to staff from Corporate Board.

Core Principle F. Managing risks and performance through robust internal control and strong public financial management

The One Organisational Plan and the new Council Plan are supported by the necessary performance and financial management framework to complete the delivery of transformation and realise the benefits of embedding and sustaining change.

The performance framework ensures that Members and Officers have a clear picture of how well the Organisation is progressing against the outcomes set out in the Plan as well as the key business outcomes that support and underpin it.

Strong financial management is assured by budget monitoring and variance reporting at service and corporate level, ensuring the Council is alert to emerging financial risks and can proactively manage those risks. These processes continued during the final year of OOP 2020. Internal audit provide advice to service areas and change projects to ensure the control environment remains strong.

The impact of COVID-19 on the Council's financial position is subject to continuous financial analysis and key indicators reported to Corporate Board alongside MHCLG COVID-19 financial impact returns.

Financial Regulations set out our financial management framework for ensuring we make the best use of the money we have available to spend. They outline the financial roles and responsibilities for staff and Members and provide a framework for financial decision-making. S48 Agreements with maintained schools ensure we obtain annual assurances from

schools about their financial management of delegated budgets. Where there are specific statutory powers and duties the Financial Regulations seek to ensure these are complied with, as well as reflecting best professional practice and decision-making.

<https://www.warwickshire.gov.uk/standingorders>

Our emergency response to COVID-19 included adapted physical asset and financial control measures with all audit trails assured. Our procurement function and processes ensured supplies of essential equipment and products were maintained and suppliers paid promptly and accurately.

Pension Fund investments are governed by the Pension Fund Investments Sub Committee which is advised by external financial advisers and supported by two independent financial advisers.

<https://warwickshireintranet.moderngov.co.uk/mgCommitteeDetails.aspx?ID=168>

Risk management is an integral part of good management and corporate governance and is therefore at the heart of what we do. It is essential to our ability to deliver public services and as a custodian of public funds. Our approach to managing risk is explained in the Risk Management Strategy. <http://www.warwickshire.gov.uk/riskmanagementstrategy>.

An external Health Check of the Council's risk management approach against a national good practice framework was completed in 2019. This resulted in an action plan to deliver improvements to our risk management approach and will inform an updated Risk Management Framework in 2020. This review will include setting a corporate risk appetite, standard corporate principles for the management of risk, and standard approaches to the management of risk in cross cutting functions including project management, procurement, and commercial activities.

We have adopted the CIPFA Code of Practice for Managing the Risk of fraud and corruption and this is reflected in our anti-fraud policy.

<http://www.warwickshire.gov.uk/antifraud>

Core Principle G. Implementing good practices in transparency, reporting, and audit to deliver effective accountability

We endeavour to always be open and transparent. We have a forward plan which provides information about all of the decisions that the Council has scheduled. Formal agendas, reports and minutes for all committee meetings are published on our website which ensures that people know what decisions the Council is planning to take, and the decisions taken.

<http://www.warwickshire.gov.uk/democracy>

Overview and Scrutiny Committees act as a critical friend and hold Cabinet to account for its decisions. The terms of reference for all O&S Committees are defined in the Constitution.

<http://www.warwickshire.gov.uk/scrutiny>

The Audit and Standards Committee has oversight of internal and external audit matters, the Council's arrangements for corporate governance and risk management and any other arrangements for the maintenance of probity.

Each year we publish information on our website outlining how we spend Council Tax income. <http://www.warwickshire.gov.uk/counciltaxspending>

Arrangements are in place to ensure that we fully comply with the requirements of the Public Sector Internal Audit Standards and CIPFA Statement on the Role of the Head of Internal Audit. The Internal Audit Manager is designated as the Head of Internal Audit and had regular formal meetings during the year with the Strategic Director for Resources, Assistant Director Finance and Assistant Director Governance and Policy. There is an Internal Audit Board which assists in facilitating the management and governance of the internal audit service. An External Quality Assessment of the Internal Audit service was completed in February 2018 resulting in positive feedback on the quality of internal audit provided to its clients. <http://www.warwickshire.gov.uk/audit>

During the early stages of the COVID-19 response the Council made greater use of Leader decision making as set out in the Constitution. Arrangements were put in place to allow prior sharing of reports with Group Leaders for any representations to be taken into account and reports and minutes were published and made available to the public in the usual way. By mid-May we had re-introduced formal member meetings carried out virtually using Microsoft Teams functionality.

4. Review of effectiveness

We have responsibility for conducting, at least annually, a review of the effectiveness of our governance framework including the system of internal control. The review of effectiveness is informed by the work of managers within the Authority who have responsibility for the development and maintenance of the governance environment, the Head of Internal Audit's annual report, and also by comments made by external auditors and other review agencies and inspectorates.

The review of effectiveness was co-ordinated by an evaluation panel consisting of representatives from each Directorate, Internal Audit and chaired by the Strategy & Commissioning Manager (Treasury, Pensions, Audit, Insurance and Risk). In carrying out their review, the evaluation panel:

- considered the approach of the Authority to establishing its principal statutory obligations and organisational objectives;
- considered the approach of the Authority to identifying principal risks to the achievement of those obligations and objectives;
- identified the key control frameworks that the Authority has in place to manage its principal risks;
- obtained assurance from managers on the operation of key control frameworks and on the results of relevant external or internal inspection; and
- evaluated the assurances provided and identified gaps.

The evaluation panel also considered the strategic risk register updated and agreed with Corporate Board in January 2020. The impact of the COVID-19 pandemic on strategic risk has been reviewed to inform recovery planning and key governance improvement actions for 2020-21 **(Appendix A)**.

In addition, Assistant Directors have confirmed that they have complied with the risk management framework throughout the year and have provided assurances at year end, including additional assurances about COVID-19 impacts in the final weeks of the financial year. Consideration was also given to the results of reviews carried out by external agencies during the year including the external audit of the accounts. The work of the evaluation panel was scrutinised by the Assistant Director Governance and Policy (Monitoring Officer), the Interim Assistant Director Finance, Strategic Director for Resources (Section 151 Officer) and Director of Adults and Children's Services before being submitted to the Audit and Standards Committee for further scrutiny and reported to Cabinet and Council.

The Council's governance arrangements have been reviewed and improved throughout 2019/20 in a range of areas including:

- An approved Commercial Strategy with the Trading Board overseeing the delivery of the strategy;
- A refreshed Complaints Policy and new electronic complaints system;
- The Council's Integrated Capital Strategy has been reviewed by the Capital Working Group and updated in line with the CIPFA code;
- Development of internal officer level governance arrangements under the Making Better Use of Our Time project;
- The Gateway process is being extended to include Capital projects;
- The development of a new Treasury Management Strategy;
- A new Pension Fund website was launched in December 2019 improving transparency and access for employees;
- An independent review of pension fund administration governance was undertaken, reported to the Local Pension Board, and progress has been made on the resulting action plan;

- Pension Investment controls have been audited for the second year and improvements noted from 2018/19;
- Council meetings are web-streamed, improving transparency of decision making and public accessibility;
- Our new committee management system, Modern.Gov, has been implemented, strengthening consultation, review and sign off procedures as part of key decision making, at the same time as improving ownership and transparency in report writing;
- The Council's move to the Cloud-based Microsoft 365 environment has improved communication and data security and has also enhanced the ability to work remotely, securely and collaboratively;
- Staff were consulted on the new Employer Value Proposition and Flexible Working arrangements;
- Staff consultation on new directorate and service structures was transparent and consistently applied across directorates and service areas;
- A programme of leadership forums and executive coaching offered to support leadership development;
- Our new Customer Experience Strategy gives a corporate focus on delivering positive outcomes for customers;
- A prior year HMICFRS review of Warwickshire Fire & Rescue service was largely positive and action has been taken to respond to any areas identified as requiring improvement; and
- Our Council Plan engagement and consultation activity resulted in a significantly increased public response rate compared with previous years, including 1,112 returned questionnaires and 826 shorter questionnaires completed at roadshows.

The results of Internal Audit work were reported to the Audit and Standards Committee throughout the year with the exception of the March 2020 meeting which was cancelled as a result of COVID-19. The individual reviews feed into the overall Internal Audit Annual Report. The Committee has also considered in greater detail areas where limited assurance opinions have been provided including; Pensions Investment, and Payroll. This report concludes that the Authority's control environment provides moderate assurance that the significant risks facing

the Authority are addressed. The internal audit findings, including those with a limited assurance opinion, were duly considered in the preparation of this statement.

5. Governance issues

We have not experienced any significant governance failures during the last year and our arrangements continue to be regarded as fit for purpose in accordance with the governance framework. However, the matters listed below have been identified as major challenges for the Authority. These governance challenges are reflected in the organisation's strategic risk register and have accompanying actions. The risk register highlights the actions taken and successes achieved in addressing the challenges of the past twelve months.

A primary purpose of the governance framework is to manage strategic risks proactively and to ensure that risks that can't be tolerated are appropriately mitigated. We are satisfied that the challenges identified here are addressed by the Council Plan, the Target Operating Model and the COVID-19 recovery plan process. The following paragraphs summarise the risks contained in the strategic risk register and in the context of good governance. **The 2020-21 Governance Action Plan (Appendix 1)** presents, on an exception basis, additional actions that are already planned or being considered to inform future Council planning and strengthen governance.

Government policies, new legislation, funding uncertainty and demographic pressures present challenges to sustainable service delivery.

The outlook for Local Government remains demanding with uncertainty about post Brexit and future government policy changes and the very likely high impact economic and financial consequences of the COVID-19

Pandemic. We will adopt a proactive approach to identifying the future direction of government policies which impact on local government and the implications for Warwickshire. Our new corporate policy function has the capability to support this work. We will also play an active role in regional and national groups, seeking to actively influence government policies and thinking around key issues, risks and future opportunities.

We are actively managing the impact that the Government's emergency COVID-19 response measures will have on the future levels of business rate income, tax base and cashflow management. We also await the outcome of the Treasury's Fair Funding and Comprehensive Spending Review. Government proposals to remove the option for schools to write off Dedicated Schools Grant funds and the projected increase in demand for school places are included in financial scenario planning.

Council Plan and MTFS proposals to save £33m over 5 years to 2025, create financial pressures meaning that the organisation faces significant challenges to meet its aims and objectives. The saving and transformation plans that have already been delivered during the previous OOP 2020 period were challenging but realistic. The potentially significant impact on services that we provide to the public is being actively managed through the Change Programme workstreams coordinated by the Programme Management Office.

There is an overall risk to the delivery of savings plans in 2020/21 and possibly 2021/22, as a result of COVID-19 impacting practical progress on change during the first quarter of 2020/21. However, a Recovery Plan and approach is being developed to inform the refresh of the MTFS, redirect resources where required and reset our Change Programme.

Our pension fund value is in excess of £2bn and we work closely with our Investment Committees, pooling partners and advisers to ensure we maximise the value of our assets and maintain effective governance and reporting arrangements.

The major focus for us in the coming year is to:

- Reassess the overall 2020/21 budget position and implement a 2021/22 and rolling MTFS refresh informed by COVID-19 impact assessments, financial evaluation of COVID-19 response expenditure and recovery planning;
- Deliver a governance and constitutional review, including development of the Financial Framework to improve overall financial management;
- Complete implementation of Functional Operating Models across the organisation to deliver effective and sustainable services;
- Continue to monitor the implementation of in year savings and project plans and ensure that revenue and capital budgets are managed in a clear and prudent manner, with a focus on the quality of in-year forecasting to inform timely resource allocation decisions;
- Continue to work closely with Border to Coast Pension Partnership;
- Continue to explore and engage in the debate around the implication of national policy direction on local public service delivery and what it may mean for Warwickshire;
- Work with our key partners to engage proactively with the UK Government to manage any financial consequences of COVID-19 and our exit from the EU at the end of 2020; and
- Engage with options for conducting LGA led Peer Challenge activity in 2020.

Continuing pressure on Council-funded Social Care, Health and Special Educational Needs & Disability Services (SEND).

There continue to be longer term pressures that have a fundamental impact on the funding and provision of adults and children's social care, SEND and disability services in Warwickshire. Demographic pressures and increase in referral numbers, combined with the impact of the national living wage, means that demand and costs for providing care and support continue to rise. In addition, market pressures on providers increases the risk that they either leave the market or that services provided fail to meet minimum statutory requirements.

The COVID-19 public health emergency greatly increases the risk of gaps in the provision of care and critical support services. There could be council and provider staff shortages as a result of lockdown and social distancing measures. Equally demand surge pressures resulting from the reduction in treatment of non-critical health care by NHS providers, social care easements, suspended referrals, assessments and reviews.

We have already taken action to address pre COVID-19 pressures and increasing demand on adult social care services by utilising the 2% Adult Social Care Levy as part of our budget setting. We have also been allocated over £17 million extra government funding for adult social care over 3 years - £8.3m in 2017/18, £6.3m in 2018/19 and £3.1m in 2019/20.

During the next year we will continue to shape and commission our services and will have a focus on the following:

- Stronger integration with our health partners and strengthening the role of the Community and Voluntary sector. COVID-19 has provided some innovative and successful practice that could be developed further;
- Re-design of commissioning arrangements for working age adults;
- Re-design of the Market Shape functions and Market Position Statement;
- Progressing reablement and early intervention workstreams to address demand for social care services, overseen by an Early Intervention Board;
- Completing the transformation of the “customer journey” for children’s and adult services with customers and carers at its heart; and
- Implementing, through an integrated SEND Change Programme, the Send & Inclusion Strategy, SEND improvement plan and DSG recovery Plan.

Safeguarding Children and Vulnerable Adults in our community - ability to take action to avoid abuse, injury or death.

There has been a reported rise in incidents of domestic violence during COVID-19 emergency measures. Unsighted vulnerable children and adults due to the closure of schools and impact of restrictions on support services heightens safeguarding risks. We mitigate this with our continued commitment to protect children and vulnerable adults from harm and constantly review the controls in place. These controls include effective escalation and critical incident reporting and continuing to conduct case file and supervision audits. The Warwickshire Safeguarding Adults & Children’s Board has implemented a programme of regular multi-agency audits. The Board is already working to develop new arrangements to ensure greater alignment, integration and a whole family approach.

Responding to increasing levels of referrals, and the potential increase in demand as COVID-19 restrictions ease, requires careful judgements to be made both in terms of managing risk exposure and the associated increase in costs and substantial budget pressures in Children’s Services. Refocusing resources on successful early intervention initiatives continues.

We received a Focused Visit by Ofsted in 2018 which was positive about our child protection and children in need work. A full Ofsted inspection commenced in March 2020 but was interrupted as a result of COVID19 and will be rescheduled to a future date, to be confirmed.

The Council is also focused on addressing high demand for children’s services; following a strategic review, pathways around the Multi Agency Safeguarding Hub (MASH) and early help have been redesigned. We continue to improve our safeguarding arrangements with a focus on working more effectively with families in the community.

We also continue to quality assure commissioned services and ensure robust escalation and response plans are in place in the event of a market failure.

Ability to maintain the security of personal or protected data and protect our systems from disruption as result of cybercrime.

Information security is a key issue for all public sector organisations, in light of well publicised data losses and cyber security incidents affecting several public and private sector bodies. A robust process for investigating incidents is in place and we continue to protect our systems and data of our staff and customers. We ensure that data is stored securely, legally and in accordance with Council policy.

In 2019 we released new Information Compliance Training and require staff to undertake e-learning and formally accept their data protection responsibilities. This increases overall awareness, and signposts staff to our more detailed advice and guidance. There is routine General Data Protection Regulation (GDPR) compliance reporting to Corporate Board. We have strengthened the role of our Technical Design Authority to approve products on the basis of privacy and security controls and have processes built into our business intelligence work using the “data protection by default and design” principle.

Along with all other organisations, we have seen an increase in the number of attacks on Warwickshire websites and systems arising from hacking, denial of service, ransomware and phishing. In response, we continue to review and develop our network and information security arrangements and invest in those resources, following an agreed ICT security roadmap. We are alert to the risks of cybercrime that may arise due to remote working during the COVID-19 pandemic lockdown and we continue to maintain prevention, control, testing and response regimes to mitigate this risk.

Ability to secure economic growth in Warwickshire.

The COVID-19 pandemic will inevitably lead to a significant drop in economic activity and create significant uncertainty around future growth. The Council has worked closely with district and borough councils, Chamber of Commerce, Federation of Small Businesses (FSB) and Local Enterprise Partnership to co-ordinate our approach and support our businesses to access the emergency response funds made available by central government.

A key theme of our COVID-19 Recovery and Reform planning, which will shape our refreshed change portfolio, is identified as “Place, Economy and Climate (including skills and education)”. We are implementing and co-ordinating a regional, sub-regional and local approach to economic recovery, helping support our businesses to safely and effectively re-open following lockdown, and exploring how they can adapt to the “new normal”.

To support the re-opening of our economy and businesses within our town centres, we are working to redesign and reallocate road space within our key towns to enable social distancing and improved throughput of pedestrians in a safe way that provides confidence to visitors to come to our town centres.

At a regional level the Council is a non-constituent member of the West Midlands Combined Authority (WMCA), with its objectives to create jobs, enhance skills, develop prosperity and drive economic growth. We continue to actively engage with WMCA with regards to transport, planning, housing and economic development. The leader of the Council is Chair of the WMCA Wellbeing Board.

The County Council agreed a new Economic Growth Strategy for the period 2020-2025, which sets out our vision and approach to supporting our businesses and the wider economy. While the key priorities remain valid, clearly as a result of COVID-19 it does necessitate a refocusing of key actions and initiatives.

Over the coming year, we will:

- Work with the CWLEP and WMCA to develop our economic recovery plans, and a longer-term approach to economic growth within the county;
- With our regional, sub regional and local partners and networks we will work to access future funding streams to support economic growth and the introduction of the proposed Shared Prosperity Fund to replace existing Growth Deal and European Funding streams;
- Continue to work with the Coventry & Warwickshire Growth Hub, Chamber of Commerce, Federation of Small Businesses and other key partners to support our small and medium sized businesses (SMEs) to survive, grow and prosper;
- Continue to work with our partners to develop the Skills for Employment programme to improve the employability skills and attributes of young people;
- Enhance our approach to place-shaping and infrastructure investment, to both support economic recovery and to help deliver the key priorities set out in our Council Plan;
- Develop a pipeline of transport infrastructure projects with associated funding strategies; and
- Coordinate the Council's contingency planning for EU Exit and the management of risks including workforce, data handling and supply chain impacts, with lead officers identified from each Directorate.

Ability to keep our communities safe from harm.

There are many challenges nationally and locally for the extensive services we provide that keep our communities safe, in normal times and in times of emergency.

This includes the Fire and Rescue Service, Public Health, Trading Standards, Council owned highways maintenance, flood risk

management, corporate arrangements for business continuity and our role in the Local Resilience Forum. We recognise that we need to become increasingly flexible if we are to meet our current and emerging challenges.

As a specific response to COVID-19, working with district and borough councils and the voluntary sector we established Community Shielding Hubs to maintain food supplies and medicines, communication channels and information to support the most vulnerable members of the community. A central, seven-day telephone line provided advice and support to those extremely clinically vulnerable citizens who were shielding, and other vulnerable residents

As an employer, we have applied Public Health England and government guidelines, requiring our staff to work at home wherever possible and ensuring adequate supplies of PPE for the continued safe delivery of frontline council services.

We have also introduced regular meetings with Warwickshire Police executive team to engage and inform decision making at a strategic level.

During the course of the next year we will have a focus on the following areas:

- Our ongoing public health role to deliver, in partnership with Central Government, Clinical Commissioning Groups and Public Health England, Test and Trace, infection control and Local Outbreak Management plans will continue to be prioritised;
- Prioritising and safely reinstating our critical services that keep our communities, including the most vulnerable people, safe from harm;
- Develop a new WFRS Integrated Risk Management Plan to ensure our fire and rescue service has sufficient resources in the right locations to effectively manage the changing risk profile within the county;
- Continue to review and test all our business continuity and emergency plans and learn from our ongoing response to the COVID-19 pandemic;

- Engage with partners through the Warwickshire and West Midlands Local Resilience Fora, Safer Warwickshire Partnership, collaborating with Category 1 and 2 Responders on county wide emergency response and contingency planning;
- Develop an evidence based Asset Management regime for the efficient and effective maintenance of the Highway Network, targeting the most critical areas of the Network and aligned with the annual review of the Council's Capital Programme; and
- Continue to direct Trading Standards resources to support a Rapid Response Unit, targeting criminal and other high-risk activity in the community.

Portfolio and agree prioritisation of projects and how they align to the Council Plan and COVID-19 recovery planning.

COVID-19 response and recovery activity is accelerating the pace of change and is directly influencing our Change Portfolio. Service Impact Assessments have been completed by all service areas to inform recovery planning and manage associated risks in a co-ordinated and coherent way across the Council, including application of the positive changes that emerged from the response phase.

As a result, the change management process going forward is focused on four themes to drive recovery, linked to regional and sub regional recovery activity:

- Place, Economy and Climate (including skills and education);
- Community;
- Health, Wellbeing and Social Care; and
- Organisation (including the reinstatement of services).

Successfully delivering a refreshed Council Change Portfolio to drive recovery.

Successfully delivering the Council's change portfolio, and sustaining change, is critical to the Council's longer-term strategy, achieving Council Plan outcomes, strategic objectives and maintaining our financial resilience.

Our Commissioning Support Unit drives the development and delivery of the Change Portfolio, through the Portfolio Management Office and change and programme management specialists. Our Change Management Framework means all major change and capital investment projects going forward are given early consideration by a Gateway process before further development and any recommendations to Corporate Board. A programme governance framework is in place with programme groups and accountabilities to cover all change activity.

Progress is reported to Cabinet in quarterly monitoring reports. All Key Business Measures were updated in October 2019 as part of establishing the Commissioning Intentions Performance Framework. Corporate Board will maintain monthly control, oversight and assurances of the Change

6. Certification

We will continue to manage the risks detailed above and further enhance our governance arrangements over the coming year as set out in the 2020-21 Governance Action Plan at Appendix 1. We are satisfied that the risks we have identified are addressed in our Council Plan, the strategic risk register and ongoing COVID-19 recovery and reform planning. We are satisfied that the actions identified will address the need for improvements that were highlighted in our review of effectiveness. These are monitored and reported to members and Corporate Board as part of the corporate performance management framework. We will monitor their implementation and operation as part of our next annual review.

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Monica Fogarty
Chief Executive/ Head of Paid Service

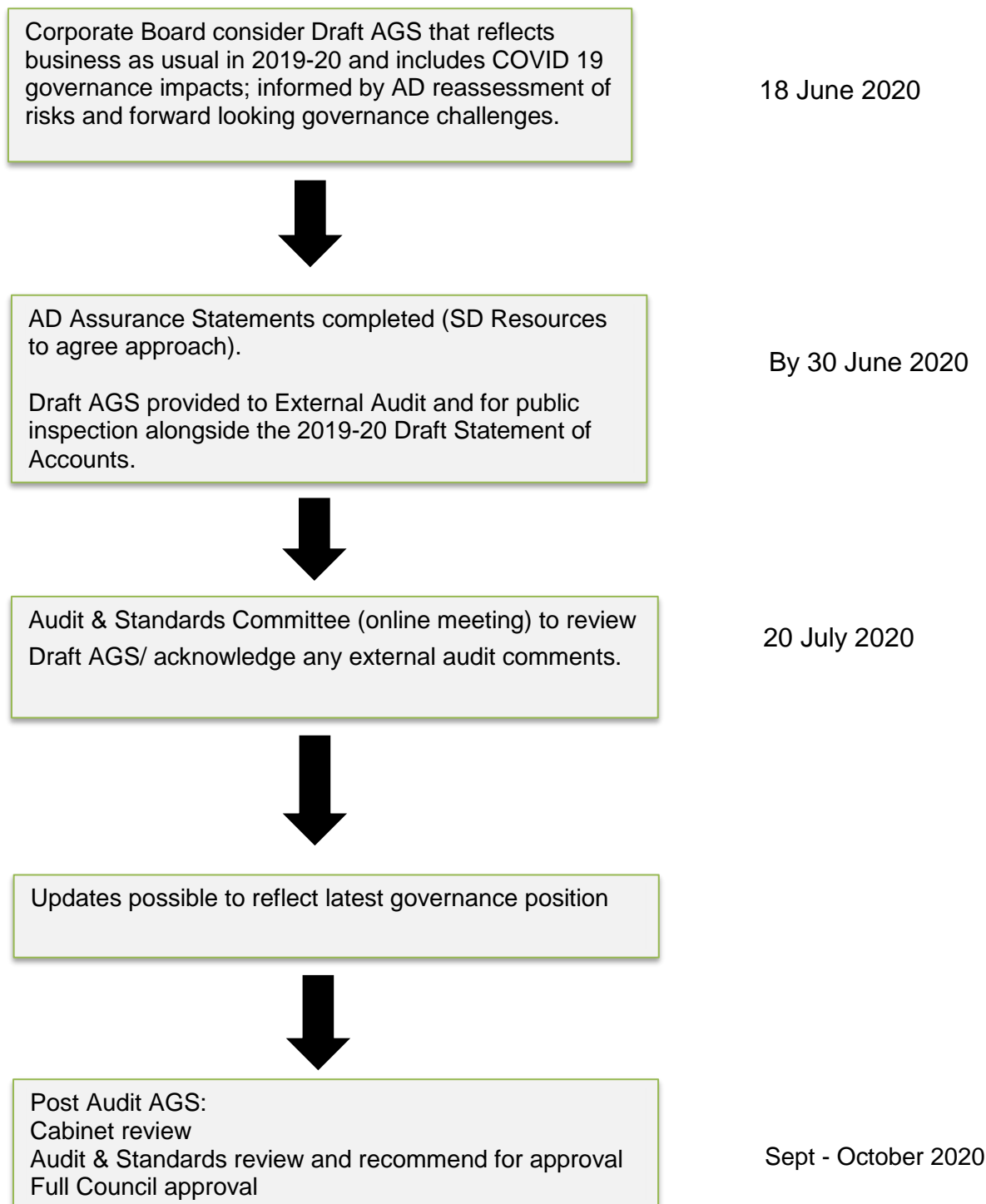
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Councillor Izzi Seccombe OBE
Leader of the Council

Governance Action Plan 2020-21: Actions informed by Effectiveness Review and COVID-19 Learning Points			
Governance Element/ Principle	Governance Improvement Actions	Action Owner (Leadership Team)	Target Date
The Council's Corporate Governance Framework (All Principles)	Our Local Code of Corporate Governance was last updated and approved in 2016. Our transformation journey, including organisational restructure and new ways of working, requires the governance code to be reviewed and revised to be fit for future purpose. Learning points from our COVID-19 response actions and recovery planning will also inform updates to the code.	Assistant Director Governance & Policy	December 2020
Constitution and Financial Regulations (Principle A)	Complete the review of the Council's Constitution and Financial Regulations informed by recovery and reform planning improvement areas for decision making and governance,	Assistant Director Governance & Policy/ Assistant Director Finance	April 2021
System of Internal Control: Risk Management Framework (Principle F, Managing risks and performance).	A proposed Risk Management Framework project includes workstreams to revise the Council's approach to: <ul style="list-style-type: none"> • strategic risk management; • service risk management; • integration of risk management with performance management strategic and business planning and core business processes; • to support innovation, change and maximising positive outcomes by moving from being risk averse to being more risk aware. 	Assistant Director Finance	December 2020
Corporate Assurance Framework (To inform Effectiveness of Governance reviews - All Principles)	To implement a Three Line of Defence model as part of a council wide assurance framework to manage risks and deliver ongoing internal control assurances to Corporate Board and members throughout the year.	Assistant Director Finance	March 2021
Service Re-instatement Plans (Principle D, interventions to optimise the achievement of intended outcomes)	Reinstatement Planning for all Council services are prioritised and risk-based and will focus on the following areas: <ul style="list-style-type: none"> • Keeping people safe; • Managing risk successfully; • Supporting staff with new ways of working; and • Ensuring learning points are identified and followed up. 	AD Enabling	September 2020

Governance Action Plan 2020-21: Actions informed by Effectiveness Review and COVID-19 Learning Points			
Governance Element/ Principle	Governance Improvement Actions	Action Owner (Leadership Team)	Target Date
Strategic and Financial Planning – COVID-19 Recovery (Principle C, Defining outcomes, Principle E Developing Capacity and Capability)	Update of strategic planning tools to reflect COVID-19 recovery: <ul style="list-style-type: none"> Review and refresh the Council Plan informed by COVID-19 recovery and reform planning, for presentation to Council for approval in February 2021. MTFS refresh for 2021/22 budget to accommodate revised income and expenditure forecasts. Integrate Strategic Policies and Priority Outcomes Review and update Our People Strategy Delivery Plan 	SD Resources	February 2021

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Appendix 2: Revised AGS Timetable 2019-20



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Cabinet

10 September 2020

Capital Investment Fund 2020/21 Q2

Recommendations

That Cabinet approves:

- 1) £3.615 million from the Capital Investment Fund for relocation work at Kingsway Nursery & Children's Centre and recommend to Full Council to add to the Capital Programme at a full cost of £5.165 million.
- 2) £0.430 million from the Capital Investment Fund for replacement bollards in Stratford, Nuneaton and Bedworth and add to the Capital Programme.
- 3) £0.750 million from the Capital Investment Fund for the extension of the small business capital grants scheme and add to the Capital Programme at a full cost of £1.330 million.
- 4) £3.025 million from the Capital Investment Fund for improvements to the A3400 Birmingham Road Corridor (Stratford) and recommend to Full Council to increase the existing scheme in the Capital Programme to a full cost of £6.525 million.
- 5) £2.002 million from the Capital Investment Fund for improvements to the A446 Stonebridge Junction (Coleshill) and recommend to Full Council to add to the Capital Programme at a full cost of £2.378 million.
- 6) £4.682 million from the Capital Investment Fund for improvements to the A429 Coventry Road Corridor (Warwick) and recommend to Full Council to add to the Capital Programme at a full cost of £5.921 million, on the condition that CIL funding is secured from WDC.
- 7) £1.968 million from the Capital Investment Fund for procurement of measuring equipment to support evidence led decision making in tackling the climate emergency and air quality and recommend to Full Council to add to the Capital Programme at a full cost of £2.058 million.
- 8) The authorisation of the Strategic Director for Communities to procure and enter into any agreements to give effect to the proposals on terms and conditions acceptable to the Strategic Director for Resources.

1. Purpose of this report and context

CIF Overview

- 1.1. Under existing capital approval rules agreed by Members, all Capital Investment Fund allocations and subsequent additions to the capital programme require approval by Cabinet (and Council if the cost of the scheme exceeds £2 million), unless an urgent decision is required which can be taken by the Leader under delegated powers.
- 1.2. Services were invited to submit detailed bids to the Capital Investment Fund for evaluation by the Fund's Technical Panel. The Panel, consisting of experts from Finance, Legal, Property, Project Management Office and Directorate Service Teams evaluate and score each individual bid out of 100 based on the bid's strengths in each of the following key areas:
 - Delivery of the Council's Strategic Objectives;
 - Alignment with the investment criteria of the capital strategy;
 - Achievability, quality of evidence base, rational evaluation and challenge of options, financial viability and risk; and
 - Sustainability, climate change and environmental impact.
- 1.3. £24.900 million per annum has been added to the 2020-25 Medium Term Financial Strategy for the Capital Investment Fund. The estimated drawdown from the CIF for these proposals can be accommodated within this CIF budget allocation. Detailed expenditure profiles will be spread over multiple years and does not exhaust the available CIF funding in any given year.

2. Description of the Schemes and Analysis

Kingsway Nursery & Children Centre Relocation

2.1. Description

The proposal is for capital investment totalling £5.165m to fund the demolition and re-provision of the Nursery and Children and Family Centre buildings on the site on Kingsway Primary School, Leamington Spa as part of a larger scheme of redevelopment on the school's site. The proposed redevelopment of the site also includes demolition and re-provision of the school hall, kitchens and boilers which will be funded by the Department for Education to a total of £1.550m bringing the total proposed capital investment from WCC in this scheme to £3.615m

Kingsway Primary School received an Inadequate Ofsted judgement in July 2017 and in line with Government policy was subsequently given an academy order. It has been agreed by the DfE and WCC that the Community Academies Trust (CAT) are the preferred trust for this school to join. The school has since improved and is now rated as Requires Improvement by Ofsted; however, the DfE academy order remains.

This is a forced academy conversion and has stalled for several years attracting significant

attention from government ministers, unhappy with the lack of progress. The delay has mostly been due to the trust being unwilling to take on the liability of the existing 'blue building' which houses the school hall, boiler and kitchen as well as the WCC leased Nursery and Children and Family Centre.

The WCC Strategic Assets team agreed with the Trust's assessment that the building in question is nearing the end of its lifespan, however WCC's rolling maintenance programme would ensure the building remains safe and usable but not facilitate complete replacement. The current proposal has been agreed with the Trust, DfE and School to unlock the stalemate and move towards successful conversion to an academy.

In order to facilitate this proposal, the Department for Education have agreed in principle to a £1.55 million grant as a contribution towards the proposed scheme, covering the costs associated with demolition and replacement of the school hall, kitchens and boilers. This grant funding is being made available by the DfE to support the academy trust rectify existing capital issues as they take on a forced conversion school and is separate from any wider school condition grants provided by the DfE under other circumstances.

Usually trusts would undertake this work themselves but given the inter-dependency with the Nursery and Children and Family Centre that WCC will be retaining on site and also require replacing it has been agreed the most effective way forward is for this to be delivered as one scheme by WCC.

2.2. Technical Panel Findings

The panel scored the bid as follows:

Delivery of the Strategic Objective (Out of 10)	7.8
Alignment with the investment criteria of the capital strategy (Out of 40)	33.6
Achievability, quality of evidence base, rational evaluation and challenge of options, financial viability and risk (Out of 40)	24.0
Sustainability, climate change and environmental impact (Out of 10)	8.0
Total Score	<u>73.4</u>

The following key points were raised by the panel:

Evidence was presented which proved this is a good solution to a complex problem which is manageable despite a relatively high level of risk. This risk will be managed within the lease agreement with the academy and through the project governance structure.

Any works will need to ensure safeguarding of children within the school and nursery and users of the children's centre is at the forefront of plans.

There are a lot of moving parts which will require a defined governance structure to be held accountable and responsible for holding it all together. This is will be achieved through nomination of a project sponsor (Assistant Director – Education Services), project manager and project team with arrangements in place to manage the contract and relationship between the Academy Trust and WCC.

The DfE grant is directly dependant on the school academising, there is no access to this

funding if the school does not academise. The capital works element was, and continues to be, the only issue delaying the academisation.

2.3. Proposed upgrade to existing automatic rising bollards in Bedworth, Nuneaton and Stratford on Avon

2.4. Description

Currently there are three locations in Warwickshire that have automatic rising bollards installed to reinforce existing pedestrian zones. These are; Stratford-upon-Avon centre, Nuneaton centre and Bedworth centre. This bid is requesting funds to allow the bollards in all sites to be renewed with new standard automatic rising bollards.

Stratford Bollards:

Currently there are three sets of automatic rising bollards located in Stratford. The first on Meer Street and another two on Henley Street both in the centre of the town. They exist to ensure that the pedestrian zone traffic regulation order is complied with by users of motorised vehicles and to prevent passage further into Meer Street and a length of Henley Street. They ensure that the area remains as pedestrian friendly as is achievable based on business, residents and visitor needs.

The bollards reached their end of life some years ago and have been in service for approximately 25 years. In recent years the bollards have started to fail on a regular basis and require regular maintenance supplied by an outside Contractor to which the County currently pays a fixed maintenance cost. There is also an additional cost placed on the County due to Officers having to attend site when bollards have failed and to liaise with contractors, residents, businesses and other stakeholders as a result. There are further costs associated with ensuring the bollards are correctly working and in an upright position.

Nuneaton Bollards:

There are six sets of automatic rising bollards located on junction of Queens Road/Dugdale Street, Coventry Street, Bridge Street/Wheat Street, Newdigate Street/Bond Gate, Harefield Road, and Abbey Street/Powell Way. They are past their operating life and require replacement as there is a risk that there will be considerable ongoing expense in maintaining the bollards to ensure ongoing operation effectiveness for the local community.

Bedworth Bollards:

There are two sets of automatic rising bollards located in Bedworth centre. They were installed a number of years ago and have exceeded their life. There is now a risk that there will be considerable ongoing expense in maintaining the bollards to ensure ongoing operation effectiveness for the local community.

The proposed replacement of each set of bollards in each town centre will reduce the costs associated with maintenance of the existing bollards considerably, and represent a saving to the County Council over a 10 year period of the proposed bollards of £27,126 per set, giving a total of £271,259. The break-even point will be year 4.

As well as the replacement of the bollards an additional £30,000 is requested to upgrade

the signing in the vicinity to the rising bollards to ensure that pedestrians are fully aware of the need to walk around the area of the bollards when in a down position to avoid trips/slips during operation of them. This equates to £3,000 per site (per set).

2.5. Technical Panel Findings

The panel scored the bid as follows:

Delivery of the Strategic Objective (Out of 10)	8.0
Alignment with the investment criteria of the capital strategy (Out of 40)	32.0
Achievability, quality of evidence base, rational evaluation and challenge of options, financial viability and risk (Out of 40)	28.0
Sustainability, climate change and environmental impact (Out of 10)	8.2
Total Score	<u>76.2</u>

The following key points were raised by the panel:

There is an expected revenue saving in all three town locations, with a predicted annual saving of £0.027 million.

Given a previous CIF bid for Heavy Vehicle Mitigation bollards, opportunity for specialist bollards was considered but concluded that it's not appropriate for the sites identified.

Bollards have been politically sensitive in town centres, mainly as a result of regular mechanical failures linked to the age of the asset, replacement of the bollards should alleviate this. In addition, regular contact from district/borough councils has been received asking for the bollard issues to be addressed, replacement will do this.

Replacement of the bollards in Nuneaton links with the Transforming Nuneaton scheme. The timescales involved in that scheme justify replacement of the non-functioning bollards as an immediate priority.

The bollards do not have an existing highways maintenance capital allocation as they are considered as part of town centre street furniture rather than a highways asset. Currently no budget is held within the capital programme for such works.

2.6. **Extension of Small Capital Grants Scheme**

2.7. Description

WCC has been delivering a successful capital grants programme for small businesses across Warwickshire and since September 2015 we have awarded over £1.93 million to 91 businesses.

This has helped to create over 172 new jobs, with a further 133 to follow. WCC's investment has unlocked private sector investment of over £3.35 million. The scheme has helped to increase business output, growth & productivity, through the introduction of new

processes and machinery and investment in premises and by the number of new jobs created, supporting the local economy

A further investment of £0.750 million will help ensure that the Warwickshire economy is vibrant and supported by the right jobs. Supporting a further phase of WCC's successful capital grants programme for small businesses by extending the current programme and introducing two new areas identified as part of the immediate foundation and consolidation stages of WCC's emerging economic recovery plan it will:

- Extend the current small capital grants programme for small businesses with growth plans.
- Establish a new investment fund for retail and other town centre businesses to support the reset and recovery of these sectors.
- Establish a Covid-19 recovery fund in support of WCC's new "Survive, Sustain and Grow" programme.

The two new Covid-19 funds will only be available to businesses with clear plans for recovery and future growth and they will only support specific capital investments.

The proposal will support WCC's emerging economic recovery plan and WCC's new Economic Growth Strategy (2020-2025) by supporting Warwickshire's priority sectors including sectors such as retail which have been most affected by the Covid-19 crisis. It will fill identified gaps in the access to finance market (where the private sector is unwilling to invest) and complement other publicly funded grant schemes (the European Regional Development Fund, for example, cannot support capital investments in retail businesses). It will also complement the Government's current economic recovery package which are about immediate injections of cash by supporting businesses with their plans for reset, recovery and growth.

The overall proposal will support 109 small businesses, safeguard 120 jobs, unlock £0.83 million of private sector investment and create 20 new jobs for Warwickshire residents.

2.8. Technical Panel Findings

The panel scored the bid as follows:

Delivery of the Strategic Objective (Out of 10)	8.0
Alignment with the investment criteria of the capital strategy (Out of 40)	32.8
Achievability, quality of evidence base, rational evaluation and challenge of options, financial viability and risk (Out of 40)	28.8
Sustainability, climate change and environmental impact (Out of 10)	4.6
Total Score	<u>74.2</u>

The following key points were raised by the panel:

There are already due diligence measures in place relating to the existing Small Capital Grant process and these will be in place for these new grants too. This include checks on

the business and procurement requirements which have been agreed with WCC Procurement and are periodically reviewed. As part of the offer to businesses, legal clauses will be put in place to claw back or rescind the grant offer if the business is found to be acting fraudulently. State Aid rules will also be considered as part of this due diligence.

Where possible, WCC will avoid duplicating Government support. However, there can also be some support at national level but which doesn't have the reach required or might not meet the potential need and demand in Warwickshire.

In order to track the success of the scheme, WCC will capture feedback from businesses via ongoing evaluation. Also, an impact report will be produced as part of the linked "Survive, Sustain and Grow" programme.

Social media will be used in a number of ways to promote WCC's wider business support programmes, of which these grants will be part of.

Officers will be looking to spread grants equitably across the county based on the size of the business base across the county. The fund will probably have a larger uptake in some areas than others due to the county demographic; however all applicants will be evaluated fairly and with impartiality.

While this grant is not specifically aimed at 'green' projects, officers will encourage sustainability and keep in mind minimising negative environmental impacts when awarding grants.

2.9. **A3400 Birmingham Road Corridor Improvements, Stratford-upon-Avon**

2.10. Description

The 'Stratford-upon-Avon Gateway to Business and Culture: A3400 Birmingham Road Growth Corridor' proposal was successful in securing full funding (£3.5 million) from an earlier round of WCC's CIF. A subsequent successful bid for £2.4 million from central government's National Productivity Investment Fund reduced the CIF allocation requirement to £1.1 million. The proposal has progressed well and is nearing completion of the detailed design stage. However higher than anticipated utility costs (£3.0 million rather than the £0.65 million) has meant that the proposal now faces a shortfall in funding of £2.35 million. The opportunity to make some enhancements to the proposal is also being sought, adding an additional £0.675 million to the overall cost (the enhancements are outlined below in the scheme description).

The purpose of this submission is to bid for the £3.025 million shortfall in funding to enable the proposal to commence construction in 2021, supporting WCC's COVID recovery plan. Supporting this bid will provide an opportunity to kickstart and accelerate the delivery of a project that will help invest in our economy. This is particularly important as Stratford-upon-Avon has been identified as one of the hardest hit local authorities in terms of reduction in economic output due to the COVID-19 crisis.

The aim of the project is to improve transport infrastructure along the principal arterial route linking Stratford Town Centre and the A46 Stratford northern bypass. The improved

infrastructure will help to address existing congestion issues along the route that are damaging to local productivity and undermine the arrival experience for the town's tourist and visitor economy. The improvements will also help unlock planned housing and employment sites and support the tourist economy.

The project comprises a number of transport improvements to:

- Manage the flow of traffic along the corridor
- Improve conditions for pedestrians, cyclists and enhancing the overall public realm
- Improve connectivity to the corridor from within Stratford town

2.11. Technical Panel Findings

The panel scored the bid as follows:

Delivery of the Strategic Objective (Out of 10)	6.8
Alignment with the investment criteria of the capital strategy (Out of 40)	22.4
Achievability, quality of evidence base, rational evaluation and challenge of options, financial viability and risk (Out of 40)	16.0
Sustainability, climate change and environmental impact (Out of 10)	3.2
Total Score	<u>48.4</u>

The following key points were raised by the panel:

The need for a scheme to address the congestion issues is widely acknowledged and has the support of local members, the MP and the local community. The scheme's governance arrangements includes regular reporting of progress to the Communities Directorate Major Schemes Board (MSB), with representatives including senior officers and the Portfolio Holder for Transport.

The project is requesting additional funding as utilities costs were not factored in last time funding was awarded. The panel were not confident that the costs will not continue to increase as the explanations and evidence on how the costs increased were not sufficiently robust. However, significant contingency has now been built into the additional bid to deal with any further cost increases.

The modelling data has been used to forecast two future year scenarios for road use – 2023 and 2031. The growth assumptions used in these forecasts are based on pre-COVID 19 growth levels. However these are still considered valid in the Birmingham Road corridor. Traffic levels in the town have already returned to near normal levels due to the influx of domestic tourists to the area and this is expected to continue. The town does not have a high level of office based commuters and associated high level of commuter traffic on the corridor. A potential drop in travel demand due to a shift to home working for office staff has not therefore been experienced on the Birmingham Road corridor.

In terms of other solutions to solving the problem of congestion on the corridor, the bid demonstrated how difficult it is to find a solution that satisfies all the different demands. The

approach taken is therefore to adopt a multi-modal strategic approach as follows:

- 1) Encourage tourists destined for the town centre to utilise the Park & Ride. There is less demand for the Park & Ride to serve destinations on the Birmingham Road as the outlets on the corridor that have a catchment beyond the town centre (and could therefore be intercepted by Park & Ride) do not lend themselves to bus based trips e.g. DIY outlets, furniture shops and supermarket etc.
- 2) Encourage local residents to choose walking and cycling if undertaking trips in the corridor, including to access the retail offer in the corridor itself and for town centre trips. The improvements to walking and cycling infrastructure are designed to encourage this mode shift;
- 3) Manage the demand for people accessing the various retail outlets by tackling known local congestion hotspots.

The scheme has already secured £2.4 million from Department for Transport. The possibility of funding from Stratford District Council's Community Infrastructure Levy fund is being explored. If successful, this is likely to contribute a further £0.5 million of funding towards the overall cost, with the equivalent amount being returned to the CIF.

2.12. **A446 Stonebridge/ Birmingham Rd Junction Improvement**

2.13. Description

This is an application for £2 million of Capital Investment Funding (CIF) to form part of the overall funding required to deliver modal improvements, by creating safer pedestrian and cycle infrastructure, and improvements to A446 Stonebridge/ Birmingham Rd Junction. The scheme will include two staggered toucan crossings for crossing the A446, which would allow access to employment, leisure and religious centres for pedestrians and cyclists. The project will include improvements to the footway to allow a more sustainable connection to Coleshill. As part of the junction improvements, two traffic signals additional to the toucan crossings are being considered in the roundabout. These will allow traffic to be moderated and optimise flows, which will reduce congestion in the town centre and will deliver further benefits to road safety and air quality, improvements required to enable Local Plan growth, increase the efficiency of the highway network by facilitating economic recovery post-Covid 19 while contributing to a greener, more sustainable Warwickshire

This scheme was identified as the second phase for the Greenman junction improvement project in Coleshill. The Greenman scheme has been funded through a road safety allocation in the CIF (2019) and this submission forms part of the overall transport strategy for Coleshill, mitigating the impact of release of traffic following the Green Man junction improvements.

2.14. Technical Panel Findings

The panel scored the bid as follows:

Delivery of the Strategic Objective (Out of 10)	8.0
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Alignment with the investment criteria of the capital strategy (Out of 40)	32.0
Achievability, quality of evidence base, rational evaluation and challenge of options, financial viability and risk (Out of 40)	27.2
Sustainability, climate change and environmental impact (Out of 10)	8.4
Total Score	75.6

The following key points were raised by the panel:

The main issue being addressed in this project is that there is no safe crossing points for pedestrians and cyclists at the junction, which prevents the use of sustainable transport in the area.

It is too early to draw any conclusions around the future of traffic growth as a result of COVID19. The A446 corridor is part of the Major Route Network and expected to experience significant growth in the next few years based on multiple development proposals located just to the north in the vicinity of M42 J9. This is recognised by the fact that there is currently a cross authority (Birmingham City Council, WCC, Homes England and North Warwickshire Borough Council) study looking into the implications of the significant growth proposals. Transport Planning is developing a Transport Strategy dealing with the knock-on impact of releasing traffic from this location.

There are no anticipated impacts from COVID-19 at this point in time in terms of programme delivery. Recent recruitment of additional staff to address some capacity issues and resource has been identified to support the delivery of this and other transport infrastructure projects coming forward through CIF and other funding sources.

Concern was raised around the risk of local commercial developments not proceeding due to the current economic climate and the subsequent loss of s.106 contributions. Emerge Surf is the development that generates the highest volume of trips and therefore, the one with the higher contribution. The developers responsible for Emerge Surf continued with their planning application during the lockdown and the development was approved on 27/07/20.

The bid contained a detail of associated cost assumptions including a 40% contingency for utilities/statutory diversions. This is considered appropriate given the nature of the scheme.

2.15. **A429 Coventry Road Corridor Scheme**

2.16. Description

This is an application for £4.7 million of Capital Investment Funding (CIF) to form part of the overall funding required to deliver capacity improvements and provision of improved pedestrian and cycle infrastructure on the Coventry Road Corridor. The improvements will facilitate a modal shift and encourage more trips within the Warwick Air Quality Management Area to be made by sustainable modes of transport by releasing the potential for bus priority measures and improving pedestrian and cycle infrastructure. This will deliver further benefits to road safety and air quality, improvements required to enable Local Plan growth, increase the efficiency of the highway network by accelerating capital schemes for

post-Covid 19 economic recovery while contributing to a greener, and more sustainable Warwickshire. This proposal seeks to facilitate Local Plan growth through delivery of capacity improvements at key pinch points along the route and a high-quality, segregated, cycle route connecting Warwick, Kenilworth and Coventry. Therefore, as part of a corridor improvement strategy, which aligns with other transport network improvements in Warwick Town Centre and the Emscote Rd corridor. WCC is planning to implement the following junction and sustainable transport improvements:

Coventry Road Cycle Route:

The delivery of an off-carriage way cycle route linking the cycle network north of Spinney Hill, south to St Johns junction, improving access to the town centre, housing and Warwick Hospital. The proposal is complementary to, and provide continuity with, the recently funded wider Warwick Town Centre sustainable transport improvements (including the recently delivered A445 Priory Road cycle routes which connects directly into the town centre) and the part funded Emscote Rd cycle corridor improvements, along with the wider existing and proposed cycle network.

Spinney Hill Roundabout:

- The addition of a Toucan crossing on Primrose Hill to allow a safer crossing for pedestrians and cyclists in the North/ South directions and providing continuity for the cycle routes which are part of the National Cycle Route.
- Bus priority on Coventry Road approached to facilitate public transport flows.
- The four exit arms all widened to accommodate 2 lanes before merging into one lane, retaining the bus stops at each exit on Coventry Road and Primrose Hill extended to Montague Road in both directions providing right turning bays.

St Johns junction improvements:

A fully funded junction improvement which forms a key intersection for 3 high quality off-carriageway cycle routes (Coventry Rd -St Johns, Emscote Rd- Leamington Town Centre and Priory Rd which provides a direct connection to Warwick Town Centre). This signalisation and junction improvement scheme are identified in the WDC IDP and helps to address the existing and forecast congestion issues entering and exiting Warwick town centre. This element of the scheme has been through significant development work, consultation and stakeholder engagement and is programmed for delivery in 2021.

Technical Panel Findings

The panel scored the bid as follows:

Delivery of the Strategic Objective (Out of 10)	5.2
Alignment with the investment criteria of the capital strategy (Out of 40)	30.4
Achievability, quality of evidence base, rational evaluation and challenge of options, financial viability and risk (Out of 40)	19.2
Sustainability, climate change and environmental impact (Out of 10)	8.6
Total Score	63.4

The following key points were raised by the panel:

This bid grouped three separate projects into one which meant they were scored as a whole rather than on their individual merits. The projects could be delivered separately if required, however there are economies of scale resulting from delivering schemes as a package. Another consideration for delivering as a package is the disruption during construction which is being looked to be minimised. All sections of the scheme identified for the Coventry Road Corridor are interdependent. Meaning that the delivery of one single section without the other one, will represent an impact on their benefits.

Coventry Road shows to be among the highest demanded routes for cyclists and it is expected that cyclists will embrace any new infrastructure. As cycle use growth is significant along with multiple other cycle bids being undertaken to complete networks, cycling should be continuing to be promoted as a sustainable transport alternative to cars.

The Spinney Hill Roundabout section represents 71% of the total scheme costs for the corridor, which corresponds to a multimodal project where improvements will benefit vehicular and public transport movements through the junction with the new/upgraded toucan crossings for the national cycle network. The junction is under pressure already in the current scenario and the road usage growth expected indicates that it will require improvements. The scheme is included in the local Infrastructure Delivery Plan which is informed by the Local Plan and is evidenced through the Strategic Transport Assessment (undertaken by WCC). Therefore, the scheme is considered essential.

The cost estimates might vary due to location, concepts and complexity of the area and are based on conceptual layouts produced at the time of the estimation. A more detailed estimate will be produced with the final designs, which is considered as part of the costs and programme. The scheme is yet to undergo detailed design so may influence cost but has built in contingencies for utilities and traffic management.

The scoring was impacted by the uncertainty around Community Infrastructure Levy (CIL) funding from Warwick District Council (WDC). The amount WDC receives in CIL depends on developments coming forward and this relates back to the economic uncertainty surrounding COVID-19. If the full CIL amount of £1.239 million were not to materialise, it is likely a further CIF bid would be made to cover the shortfall to complete the scheme. This could be paid back if the remaining CIL funding came through at a later date. A letter from WDC confirming £0.373 million of the contribution has been received, with a further £0.866 million approved by WDC Full Council on 23 July 2020. There remains a risk of not securing all external funding, however WDC has given there is no indication at this stage that this risk will materialise or that the CIL funding will not be available.

2.17. **Supporting Evidence Led Decision Making in tackling the Climate Emergency and Air Quality**

2.18. Description

This is an application for £1.9 million of Capital Investment Funding (CIF) to fund 3 projects to support evidence-based decision making in the County's approach to tackling climate impacts and air quality management:

- 1) A strategic asset management review and replacement programme – focusing on cycle counters, Air Quality Management Area traffic counters and cordon monitoring sites with the option of considering wider replacement of survey infrastructure. To include the purchase or renting of equipment to monitor vehicle (including cycle) and pedestrian activity and social distancing
- 2) Air Quality (AQ) modelling software to support scheme development, facilitate option assessments and prioritisation, and to inform development assessments and wider Local Plan AQ assessments.
- 3) The purchase of region wide Mobile Network Data to analyse travel behaviours, inform traffic model development and undertake targeted sustainable travel initiatives

The project is required to:

- monitor the economic impacts of Covid-19
- understand the economic recovery rate
- monitor the effectiveness of social distancing initiatives in town centres
- monitor behavioural changes in terms of choice of travel mode and frequency of travel that will result from social distancing (e.g. increased propensity for home working)
- make best use of new types of monitoring using existing network of on-street comms linked to WCC's Telensa enabled streetlights
- provide support for local businesses, particularly in town centre areas, through the provision of data on traffic flows and pedestrian footfall

2.19. Technical Panel Findings

The panel scored the bid as follows:

Delivery of the Strategic Objective (Out of 10)	7.0
Alignment with the investment criteria of the capital strategy (Out of 40)	36.0
Achievability, quality of evidence base, rational evaluation and challenge of options, financial viability and risk (Out of 40)	29.6
Sustainability, climate change and environmental impact (Out of 10)	9.0

Total Score 81.6

The following key points were raised by the panel:

Available options were thoroughly explored based on advice and recommendations from the Procurement Team. In this case, 32 sensors and equipment have been already purchased through COVID-19 Emergency fund and WCC has the option to procure more equipment from the current supplier which will meet consistency requirements.

This project benefits from enabling WCC to implement a way to collect data that can be used to evaluate situations in real time. The project follows a good strategy and the IT architecture is considered robust, a lot of evidence was presented to the panel to prove that this scheme could work very well.

There may be opportunities to sell some of the data collected however WCC cannot begin selling data purely for profit. Therefore, the data will not be sold at more than the cost of

collection. Income only offsets that cost and helps to keep the service running. However, the Warwickshire Property Company may be a vehicle in future which can be explored to begin selling data for profit.

A Privacy Impact Assessment (PIA) was produced in 2019 for surveys collected by WCC or any third-party collecting data for WCC. Another PIA was produced in 2020 to cover AI Monitoring Sensors and Software before the deployment of the 30 first sensors which are already operating. Both PIAs have been approved by WCC Legal. However, there may need to be some public relations considerations once installed to alleviate the perception of a 'big brother' environment.

An analysis of leasing against purchasing the AI Monitoring sensors was undertaken before making the recommendation. The analysis showed leasing the equipment would be more expensive if we intended to use them for more than 2 years.

3. Financial Implications

- 3.1. As part of the 2020/21 Budget Resolution approved by Council in February 2020, £24.914 million per annum was added to the 2020-25 Medium Term Financial Strategy for the Capital Investment Fund. The drawdown from the CIF for this proposal can be accommodated within the existing 2020/21 CIF budget allocation.
- 3.2. The available CIF balance available over the period of the 2020-25 Medium Term Financial Strategy currently sits at £129.788 million and is included in the current Capital Programme, the recommendations in this report result in a call on this pot of £16.474 million. Therefore, the remaining unallocated CIF balance is £113.314 million.

4. Environmental Implications

- 4.1. Environmental implications of these recommendations are:
 - The highways schemes within this report focus on a model change in road use, promoting more sustainable transport such as public transport and cycling
 - The Supporting Evidence Led Decision Making in tackling the Climate Emergency and Air Quality scheme will equip WCC with the data to improve intelligence on where to target future investment in reducing car journeys

5. Background Papers

None

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

Cllrs Butlin, Boad, Warwick, Chilvers, O'Rourke, Adkins, Roodhouse, Singh Birdi

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Cabinet

10 September 2020

Revenue Investment Funds 2020/21 Quarter 1 Report

Recommendations

That Cabinet:

- 1) Approves a £0.150m allocation from the Place Shaping and Capital Feasibility Fund to the Art Challenge for Economic Recovery project.
- 2) Supports the progress made on the Economic Recovery Strategy with four projects approved by Corporate Board under the under the authorisation delegated to Chief Executive at a total cost of £0.458m.
- 3) Authorises the Strategic Director for Communities to procure and enter any agreements to give effect to the proposals in 1 and 2 on terms and conditions acceptable to the Strategic Director for Resources.

1. Purpose of the report and context

- 1.1. As part of the 2020/21 budget, Council approved the creation of four Revenue Investment Funds, with a total allocation of £20m, to provide opportunities to run initiatives to meet objectives of tackling climate change, investing in commercialism, sustaining prevention of demand within communities and investment in place shaping including scoping capital and development opportunities for better value service provision. The indicative allocation of the resources between the funds was then updated by Cabinet in June 2020 to reflect the increased need to invest in economic recovery post Covid-19. The breakdown of these funds is below:

Council Investment Funds	Total £000s
Sustaining Prevention Fund – A fund to pump-prime upfront investment in demand management and early intervention initiatives prior to the financial benefits accruing.	5,000
Climate Change Fund – A fund to invest in priorities flowing from the Climate Change Task and Finish Group and Council Plan 2025	4,000
Commercial Fund – A fund to deliver commercial investment in outcomes for Warwickshire arising from the commercial strategy.	3,500

Place Shaping and Capital Investment Fund – A fund to support capital feasibility work, investment in place and to improve delivery.	7,500
Total MTFS Allocation	20,000

- 1.2. The funds are outside of core budgets, and members approved a four-stage approval process for projects seeking funding:
- Stage 1: A project proposal document is developed and reviewed by Gateway Group/Corporate Board as to the strategic fit with the priorities in the Council Plan;
 - Stage 2: The business case for the project is then prepared and an Investment Panel, made of representatives from Finance, Project Management Office and managers from services across the organisation, provides a technical evaluation and commentary on the proposal;
 - Stage 3: Gateway Group use this technical evaluation alongside their own analysis of project governance and feasibility, to recommend the projects to Corporate Board if under £0.1m per project, or Cabinet if over this value for approval; and
 - Stage 4: Cabinet approve/reject the allocations over £0.1m and note the projects under this value approved by Corporate Board. If the project is approved, funding is transferred to the service, and if savings have been identified flowing from the investment these are built into the medium-term financial strategy.
- 1.3. The schemes detailed in this paper are all part of the Economic Recovery Programme supported in principle by Cabinet in June 2020, on the basis that individual projects within the programme would go through the governance arrangements set out above. Subject to Cabinet's decision today a total of five projects will be funded from the Place Shaping and Capital Feasibility fund, leaving £6.892m in this fund for further initiatives across the next five years.
- 1.4. Section 2 details the 5 bids submitted to Investment Panel, three are for information as the value means the Chief Executive has approved under delegated authority for use of funds under £0.1m; one (Survive, Sustain, Grow) has already been approved by the Leader on 7th August 2020 prior to Investment Panel; one (Art Challenge) requires Cabinet approval through this paper.

2. Description of the Schemes

Art Challenge for Economic Recovery

- 2.1. Cabinet are recommended to approve £150,000 funding from the Place Shaping and Capital Feasibility Fund to deliver the Art Challenge for Economic Recovery, with the project sponsor being the Assistant Director, Strategic Commissioning for Communities.
- 2.2. The project aims to enliven and provide creative ways to support safe movement, social distancing and community confidence around our town centres and outdoor spaces, to encourage shoppers and visitors back to the high street and to support active travel. The project will also create linkages with initiatives being delivered as part of Coventry City of Culture, strengthening Warwickshire's contribution to 2021 and to the celebration of art and culture in public spaces. Creative place curators will be commissioned to deliver a £194k Government capital grant, through the Coventry and Warwickshire Local Enterprise Partnership, for art and culture based public realm regeneration in the north of the county as well as to deliver art interventions elsewhere across the county.
- 2.3. During its evaluation, the panel requested additional thought is given to working closely during planning stage with the Council's Public Health team, and to developing an exit strategy if lockdown measures are reintroduced, making the initiative unfeasible. Both of these features will be incorporated into the delivery of the project.

Employee Assistance for Economic Recovery

- 2.4. Corporate Board have approved £8,300 from the Place Shaping and Capital Feasibility Fund for the Employee Assistance for Economic Recovery Project, with the project sponsor being the Assistant Director, Strategic Commissioning for Communities.
- 2.5. This project focusses on a Mental Health and Wellbeing support offer to independent micro high street businesses, through expanding the WCC Employee Assistance Provision. It will provide a paid for support mechanism which allows for staff from these businesses to access counselling and other resources which would not normally be available to them.
- 2.6. During its evaluation the panel requested more thought be given to engagement with Public Health and how this would fit with wider regional and national mental Health initiatives. This will be incorporated into the delivery of the project.

Marketing and Promotion for Economic Recovery

- 2.7. Corporate Board have approved £75,000 from the Place Shaping and Capital Feasibility Fund for the Marketing and Promotion for Economic Recovery project, with the project sponsor being the Assistant Director, Strategic Commissioning for Communities.
- 2.8. The funding is to support an enhanced marketing campaign to promote Warwickshire as an open and safe tourism destination, to include support for existing Destination Management Organisation activity, additional targeted collective marketing, and support for small independent tourism businesses. The focus will be on promoting rural tourism to relevant domestic markets. It will require a coordinator, a commissioned consultant, to steer and deliver the work, liaising with multiple local, regional and national partners.
- 2.9. During its evaluation the panel suggested delivery would be strengthened with a sensitivity analysis of the expected benefits, and with consideration of an exit strategy to minimise losses if the campaign cannot go ahead due to Covid-19 restrictions. This feedback has been incorporated into the final proposals.

Tech Challenge for Economic Recovery

- 2.10. Corporate Board have approved £80,000 from the Place Shaping and Capital Feasibility Fund for the Tech Challenge for Economic Recovery project, with the project sponsor being the Assistant Director, Strategic Commissioning for Communities.
- 2.11. The funds will be used on the two winning ideas from a competition to encourage projects and ideas to come forward that can help support the retail and cultural sectors with solutions to the challenges they face. The aim is to encourage businesses to adapt to the Covid-19 crisis, ensuring jobs are retained, whilst adopting a more digital approach and increasing skills levels and confidence of introducing digital capabilities into their business.
- 2.12. During its evaluation, the panel highlighted the enhanced benefits this scheme could have if it focused on technology to help the community engage with business rather than just helping businesses.

Survive, Sustain, Grow

- 2.13. £295,118 has been previously agreed by the Leader to be allocated to this project, from the Place Shaping and Capital Feasibility Fund, with the project sponsor being the Assistant Director, Strategic Commissioning for Communities.

- 2.14. The funding will be used for an intensive business survival programme for businesses most affected by Covid-19. Specialist advisors will work with business owners on a bespoke, 1:1 basis to review the business and its financial position, explore diversification and growth options, and to help them develop an action plan. The programme will focus on sectors most affected (retail, tourism & leisure, and manufacturing). It will be complemented by existing/ new finance support including new CIF retail and Covid-19 recovery grants.

3. Financial Implications

- 3.1. The cost of the projects are limited to the amounts detailed above. The Investment Panel have highlighted exit strategies to ensure further funding is not committed without prior approval being sought. The anticipated financial benefit from the investments is to mitigate the impact of Covid-19 on longer term business rate and council tax income through maintaining a vibrant economy.

4. Environmental Implications

- 4.1. There are no environmental issues or concerns arising from the initiatives proposed in this document.

5. Background Papers

None

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This report was circulated to the following members prior to publication:
Cllr Peter Butlin

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Cabinet

10 September 2020

Customer Service Excellence Standard Reaccreditation

Recommendations

That Cabinet:

1. Considers and comments on the outcome of the Customer Service Excellence Standard Reaccreditation which took place during January 2020.
2. Agrees the actions to address the partial compliances and the areas for improvement as outlined in Appendix 3.
3. Acknowledges the Compliance Plus and Areas of Good Practice as detailed in Appendix 4.

1. Executive Summary

1.1 The Reaccreditation

The Warwickshire County Council (WCC) Customer Service Excellence Reaccreditation took place over a 4-week period during January this year. The audit included an assessment of several customer journeys from each Directorate and a ten-day on-site visit from the Assessor and one day off-site undertaking telephone calls to customers, complainants and partners.

- 1.2 The customer journeys were identified by the individual Services. During this time the Assessor met with staff, partners and customers to check that we are working on the areas for improvement highlighted in the previous review, that we still comply with the elements of the Standard and that we continue to maintain our high standards of customer care.
- 1.3 Details of the content of the review can be found at Appendix 2. The 2 partial compliances and the 7 areas for improvement from the 2019 Review were signed off.

2. Supporting Information

- 2.1 The Customer Service Excellence Standard focuses on person-centred services with the emphasis on developing customer insight, understanding the user's experience and measuring service satisfaction.
- 2.2 The ethos of the standard supports our vision and desired outcomes which

are articulated in our Customer Experience Strategy. The Standard allows us to measure our success in achieving these whilst also identifying any areas which may require further attention.

2.3 Outcome of the Reaccreditation

The Assessor's recommendation was the renewal of WCC's Customer Service Excellence Standard which was ratified in February.

The review identified:

- 8 elements at compliance plus (Appendix 4)
- 18 areas of good practice (Appendix 4)
- 5 elements at partial compliance (Appendix 3)
- 14 areas for improvement (Appendix 3)

2.4 The Assessors full report can be found at Appendix 1.

3. Timescales associated with the decision and next steps

3.1 The Standard requires annual reviews which check compliance against the Standard, including progress on the previous compliance framework, levels of complaints, customer satisfaction with service delivery and service developments in those areas highlighted for improvement.

3.2 The WCC annual review is scheduled for mid-January/early February 2021.

3.3 Subject to Cabinet approval WCC lead officers within each directorate will subsequently develop a schedule of customer journeys for the Assessor to review.

3.4 Additionally, the responses to the elements found as partially complaint and those areas highlighted as requiring improvement, detailed in appendix 3 will be presented to the Assessor for reassessment within the review.

4. Financial Implications

4.1 There are no financial implications

5. Environmental Implications

5.1 There are no environmental implications

Appendices

1. Appendix 1 – Warwickshire County Council Final Report
2. Appendix 2 – Recertification 2020 review details
3. Appendix 3 – Partial Compliances and Areas for Improvement

4. Appendix 4 – Areas of Compliance Plus and Areas of Good Practice

Background Paper

Customer Service Excellence Standard

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The report was not circulated to the following members prior to publication:

Local Member(s): None

Other Members: Councillors: Warwick, Singh Birdi, O'Rourke, Boad, Falp.

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Assessment Report

CUSTOMER SERVICE EXCELLENCE

Warwickshire County Council

Renewal
January 2020





1. EXECUTIVE SUMMARY

Following the assessment, Warwickshire County Council were found to have a deep understanding of, and commitment to, Customer Service Excellence. The commitment was displayed from Senior Management levels through to operations and front-line staff.

I would like to take this opportunity to thank those people involved in the overall assessment process. It has been a pleasure meeting with your team and having the opportunity to observe your service in action.

The outcome of the assessment was –

“Renewal of the Customer Service Excellence Standard has been recommended”

Address:	Shire Hall, Market Place Warwickshire CV34 4RL		
Standard(s):	Customer Service Excellence	Accreditation Body(s)	UKAS
Representative:	Mrs Maureen Oakes		
Site(s) assessed:	11	Date(s) of audit(s):	07-01-2020, 09-01-2020, 13-01-2020, 15-01-2020, 16-01-2020, 20-01-2020, 21-01-2020, 22-01-2020, 23-01-2020, 27-01-2020, 29-01-2020, 30-01-2020
Lead Assessor:	Di Smith	Additional team member(s):	
Type of Assessment:	Renewal		
Review of Certification Claims	Claims are accurate and in accordance with SGS guidance		



2. CONTEXT

Warwickshire County Council (WCC) is the authority for the county of Warwickshire in the West Midlands with a diverse demography. The county town is Warwick, home to the Shire Hall, although the largest town is Nuneaton. The county is divided into five districts of North Warwickshire, Nuneaton & Bedworth, Rugby, Warwick and Stratford-on-Avon serving large areas of population and many rural communities and Parish Councils. Warwickshire also has 'transient' residents as it is a tourist area and there is a network of rivers and canals across the county. The mid 2018 population estimate is over 571,000 people.

WCC currently employs approximately 4,500 people (excluding schools) and has 109 sites. The budget responsibility in 2020/21 before income, including revenue spending and capital investment excluding schools is £748 million. It works with other public, private and voluntary bodies to deliver the One Organisational Plan which outlines their vision.

'To make Warwickshire the best it can be, sustainable now and for future generations.'

These are two priority 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

These are supported by a third outcome 'Making the best use of resources'.

Its statutory responsibilities are to provide: -

- Schools and other educational opportunities
- Social care services for young and older people
- Libraries, Museums and other cultural activities
- Registration Service
- The Fire and Rescue Service
- The Trading Standards service
- Highways and other public rights of way
- Planning advice as the strategic planning authority and determining planning applications for minerals and disposal activities.

Many other services are provided through partnerships including with the five District and Borough councils, NHS and the Voluntary Sector.



Since the 2018 audit WCC has been in a period of transformation which has continued apace throughout 2019. They are now moving into a period of sustained change with a new organisational structure and new operational systems.

There are still three directorates and now there are 12 Assistant Directors with services being split between Strategy and Commissioning and Service Delivery.

In the light of increasing demand and reducing resources WCC via the transformation programme of work, 'Doing things better' is focusing on using resources differently and transforming the way services are delivered and commissioned.

The objective is to deliver to the Council Plan 2020 -2025 and improve customer experience and future proof services to meet current challenges. These challenges include aiming to ensure increasing self -service as first choice for most customers as more and more interactions are encouraged to be via digital channels, changes to service delivery and budgetary and resource constraints. They continue to face the challenge of achieving savings of £33 million by 2025 and deliver their Core purpose of making Warwickshire the best it can be.

Warwickshire – 'Being the best it can be'



3. METHOD OF ASSESSMENT

The assessment was undertaken in two stages; the first was a review of your self-assessment submission. This review enabled the assessor to gain an understanding of how the organisation has met the requirements of the Customer Service Excellence standard.

The next stage was to review the actual service delivered on-site. This was conducted through reviewing practice as well as speaking to staff, partners and customers. This included following customer journeys through your processes and how these aligned with customer insight.

During the assessment process the criteria are scored on a four-band scale:

COMPLIANCE PLUS - Behaviours or practices which exceed the requirements of the standard and are viewed as exceptional or as exemplar to others, either within the applicant's organisation or the wider customer service arena.

COMPLIANT - Your organisation has a variety of good quality evidence which demonstrates that you comply fully with this element. The evidence which reflects compliance is consistent throughout and is embedded in the culture of the organisation.

PARTIAL COMPLIANCE - Your organisation has some evidence but there are significant gaps. The gaps could include:

- Parts of the applicant's organisation which are currently not compliant and/or
- Areas where the quality of the evidence is poor or incomplete and/or
- Areas which have begun to be addressed and are subject to significant further development and/or
- Areas where compliance has only been evident for a very short period of time

NON-COMPLIANT - Your organisation has little or no evidence of compliance or what evidence you do have refers solely to a small (minor) part of your organisation.

The current scheme allows applicants a maximum number of partial compliances, equating to a pass mark of 80% for all criteria.



4. OPENING MEETING

The on-site assessment commenced with an opening meeting.

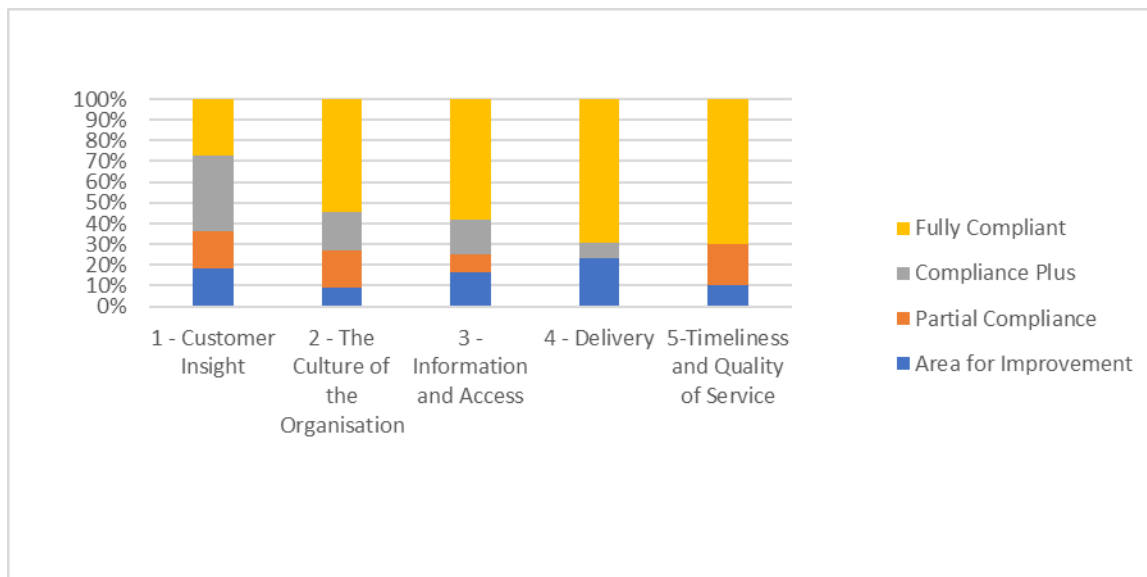
The assessment activity and the partial compliances were discussed. The itinerary had been agreed with Warwickshire County Council in advance. The organisation was informed that all information obtained during the assessment would be treated as strictly confidential.

The scope of Assessment was confirmed as: Warwickshire County Council

5. ON-SITE ASSESSMENT

I was accompanied throughout the assessment by Maureen Oakes and other personnel within the organisation were involved when assessing activities within their responsibility.

The assessment resulted in the raising of a number of partial compliances and several observations which are listed in Section 6 and 7 of this report.



Number of good practices awarded during the assessment	18
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Have the partial compliance(s) raised at the last assessment been closed?	Yes
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6. AREAS OF PARTIAL COMPLIANCE

CRITERION 1

1.3.4 *We set challenging and stretching targets for customer satisfaction and our levels are improving.*

You are in a period of major change in service delivery and the systems you use for reporting. Although you have some areas where you can evidence improved satisfaction this is not yet consistent.

For example: -

- Those customers being signposted to partners to seek solutions- e.g. Adult Social Care CSC- you have no measure of customer satisfaction with the service delivered. The Customer Relationship Management tool is good but this aspect of completing the circle to understand outcomes is not available.
- The move to digital applications for school transport. You claim you have improved the customer experience, but you cannot evidence this. The customer feedback on site was that although the digital application was good there are ongoing issues with some aspects. These include refunds 'taking a long time' and responses to requests being delayed.
- There was little meaningful evidence on satisfaction and timeliness of the CAHMS referral process, yet customers and stakeholders interviewed felt it was an area of concern for them.

CRITERION 2

2.2.1 *We can demonstrate our commitment to developing and delivering customer focused services through our recruitment, training and development policies for staff.*

There is evidence of you having customer focus at the heart of the business case for change. It is understandable at this stage in the Transformation agenda that the results of your staff survey do show some downward trends. Staff morale is still reflecting the findings of the staff survey. Members of staff, not just at the focus group, but at other times during the assessment saying they do not feel valued and having an anxiety around their future opportunities for development. Staff are committed to their service and to good customer experience for both internal and external customers.



The key areas of anxiety are

1. The perceived enforcing of generic job descriptions.
2. 'Downgrading' of some lower tier management posts.
3. Late communication to individuals during their consultations.
4. Too much change all at once.
5. How these changes will impact on their customers.

You may wish to consider fully who your customers are as this will include the traditional customers, stakeholders, volunteers and employees. It is important that external and internal customers have a good customer experience.

It should be stated that this is a partial compliance because of where you are in the changes and therefore there is an inconsistency against this criterion. On the last day of the assessment you announced the reinvigorating of the Employee Forum which is a positive step.

CRITERION 3

3.3.2 We evaluate how customers interact with the organisation through access channels and we use this information to identify possible service improvements and offer better choices

There are many individual examples of where this does happen. However, on looking at the key point of access being promoted – the website - an issue on feedback was identified. The most prominent feedback request point is the 'Was This Information Useful' button. This is intended to capture feedback about the web page, but this is not clear to customers. It transpired that some users send service request and feedback via this link which then may not be seen by the appropriate team for a week or more.

Some customers interviewed reported having to chase requests and responses and be proactive in seeking answers -this may be related to this.

Because of the importance of website interactions this is a partial compliance

CRITERION 4

No partial compliances identified



CRITERION 5

5.1.1 We set appropriate and measurable standards for the timeliness of response for all forms of customer contact including phone calls, letters, e-communications and personal callers

As some customer contacts into the website are potentially going to the wrong place and customers reported having to chase responses this is a partial compliance (see 3.3.2)

5.2.3 We promptly share customer information with colleagues and partners within our organisation whenever appropriate and can demonstrate how this has reduced unnecessary contact for customers

There is some evidence of teams who do share, and it can result in reduced customer contacts and swifter interventions e.g. Warwickshire Fire and Rescue Service (WFRS) community prevention projects and MASH. These cross-team approaches are a good start but there are other areas where the 'silo' effect, or just the lack of awareness of what other teams are working on may be marring progress in sharing information and best practice.

The understanding of the CSE standard is not consistent across teams and you may wish to consider developing champions in teams as this could assist with that understanding and help 'silos' engage perhaps by sharing departmental briefings, vlogs and blogs etc.

Some previous internal connections may need reinvigorating too for example mobile libraries using the WFRS as an information link.



7. OBSERVATIONS

During the site assessment the following general observations were made. These include positive areas scored as Compliance Plus; areas of good practice; areas for improvement identified throughout the entire assessment process, as listed below.

Areas for Improvement

- The Adoption Central England (ACE) is new and the relationship between the potential parents, adoption office and social workers is described as excellent. However, there is a willingness for all families met to be engaged with the team to develop information and guidance e.g. on the Letterbox system- especially in complex cases and foster to adopt, a new process. You may also wish to consider engaging with parents and staff to develop guidance. (1.2.1)
- The parents from the Flexible Learning Team (FLT) who attended the focus group are keen for more engagement and networking. You may wish to consider enabling this. (1.2.1)
- The calls on the calls management screen in the CSC is not easily visible for all agents, you may wish to consider where it could be best located to support all agents and therefore customer demand. (2.1.6)
- You do share good news stories and pride in awards and successes. The internal impact of your sharing is limited and patchy. You may wish to review how you raise employee awareness of the good stories and celebrate together (2.1.6)
- The CSE Hallmark is used in some places and the certificate is displayed however you may wish to consider how you could make more of this achievement as something for the whole organisation to be proud of as 'one team'. (2.1.6)
- The recent shift to Microsoft 365 is a positive move. However, you may wish to consider ongoing training and shared learning as teams were reporting some reporting issues and 'loss' of data. (3.2.2)
- Although there are no metrics to evidence these aspects, there is a lot of 'noise' around the organisation's performance on Education, Health and Care plans- which can unlock other eligibilities- and CAHMs (a national issue too). Customers noted that there was some inconsistency in understanding the information on eligibility criteria around EHCP's and they did not find your website information to be clear. (3.2.2)



- The first responder's initiative brought positives to your communities. You may wish to look to reinvigorating the partnership with the ambulance service to support the first responder's initiative again. (3.4.2)
- You have many strong partnerships with Health and Education. The comparatively new structure of the CCG's and some parts of Education appear to bring some challenges. You may wish to consider if you can further build these relationships to support the needs and demands of your customers. (3.4.2)
- There is also 'noise' around school admissions and the number of students not yet placed in school, but the data available did not seem to reflect the concerns raised. You may wish to consider reviewing the information you provide to ensure that it is meaningful to your customers. (4.1.2)
- You may wish to consider if you can evidence that services are customer focused and right first time in most instances and if the methods of reporting are still meaningful to the public, considering the amount of change that has been and is being implemented. (4.2.2)
- You are committed to building Community Capacity and may wish to consider metrics to show that increase and the Social value impact. (4.2.2)
- There is some evidence of reporting and capturing evidence of improvements from informal complaints. You may wish to consider how to make this consistent across the organisation. (4.3.4)
- The 'conversation' and strength-based approach in the CSC is becoming embedded. However, you may wish to consider a supporting 'checklist' to ensure the 'conversations' do not inadvertently miss any crucial steps which a scripted call may have captured. (5.2.2)

Areas of Good Practice

- You have developed strong partnerships and networks across the county and region. These include
 1. the WFRS work in partnership with NHS on the Hospital to Home and the follow up Safe and Well visits. This approach meets the demands of the Functional Operational Model (FOM) with good outcomes and tangible impacts on other services
 2. The Brexit forum is a good example of your partnership working and leading on the Resilience Team across the region sharing best practice and assessing risk for your citizens
- The way you have developed the services in line with the 2025 Plan to enable the key objectives to be supported -for example Demand delivery with a strength-based approach, the Building Community Capacity agenda.



- The development of the Fitter Futures-portal to improve referral pathways and capture appropriate data.
- The work WFRS are doing to develop processes to gain meaningful feedback jointly working with the customer services team.
- The new Customer Relationship Management tool in Adult Social Care – Mosaic appears to have good integration with FirmStep thus achieving a comprehensive contextual history of the customer supporting good customer communication.
- The Family Information Service (FIS) change to delivery and outreach with restorative practice for Children and families is with earlier intervention and triage which is freeing up Social Worker hours for the more specialist areas at a time of severe pressure.
- The council office reception at Kings House in Bedworth is now modern and welcoming to visitors following a facelift.
- The new draft Complaints policy in its infancy and it is good that the drivers for this were a response to improve performance monitoring and learning following last year's assessment.
- The development of a Customer Experience Strategy High Level Action Plan is good practice.
- Your open and honest engagement with your staff following the staff survey via blogs and vlogs acknowledging the areas for improvement is good practice.
- The Commercial Strategy is a fresh approach at challenging the traditional approach to local government finances and maximizing value.
- Your approach to volunteering is proactive in many different services. The volunteers delivered Home Library Service for the isolated and housebound is being viewed as best practice by other local authorities.
- The hub and spoke approach to the service FLT is enabling the demand on social worker hours to be eased a little in this time of pressure.
- This year the students of the FLT have had their own ProMax and Craft Fayre which is innovative and good practice.
- The library team has great insight into its customers for the residential homes and housebound. This is evidenced with the care taken in selecting bespoke reading lists and the provision of dementia boxes as required by individuals and nursing homes.
- The engagement by Children's service to 'bespoke' the style of their web page is innovative and in step with their customer needs rather than the corporate style which may be modern but not necessarily customer friendly for those accessing information.
- The achievement over the past 5 years resulting in 53% reduction of CO2 omissions exceeds your customer promise target
- The use of Peer group sessions by the Physical Disability and Sensory Services team is a totally customer and solution focused approach to



meeting the excessive demand on their services due to an increase in those accessing their service on top of their traditional customers This increase appears to be due to a change in legislation and the grey areas between health and social responsibilities

Areas of Compliance Plus

1.1.2 We have developed customer insight about our customer groups to better understand their needs and preferences.

The outstanding example of this, and other aspects of the Customer Excellence Standard, observed during the assessment, is the work of the 'Bridges Team'. The projects at Clopton Bridge and the Westgate repair were exemplar in the way they approached the needs and aspirations of all customers, stakeholders and partners. They used informal and formal consultation and had an end to end approach of the customer experience of these projects. They actively sought the opinions of all and adjusted their plans to best meet customer needs based on the insight gained. They incorporated the historical importance that emerged and delivered the projects on time.

These considerations included

- The re-routing of a diversion to better accommodate mobility scooter users.
- Amending timings to support commercial activity.
- Engaging with a local school to ensure they experienced the historical value of the project and burying time capsules.
- Developing a multiagency group to capture information from all. (Reinvigoration of the cross-county Vale of Evesham Freight Partnership).
- Prioritising communication -especially important as some aspects changed during the projects.
- Liaison with film crews working in Warwick to minimise inconvenience to all.

One interviewee said 'I work with many local authorities planning teams and have never encountered an approach as good as this experience. Both community and business needs are embraced as the norm. The team were commercially and customer focused and went over and above to ensure their project was completed but all stakeholder views and requirements were taken into consideration.'



This is compliance plus

1.1.3 We make particular efforts to identify hard to reach and disadvantaged groups and individuals and have developed our services in response to their specific needs.

There are many examples across the council where this is evidenced

- Your engagement on the Council Plan including 9 roadshows held across the county and an online survey provided a broad geographic and demographic representation of views. Additionally, the views of the Youth Parliament were sought. You were also responsive to a key theme obtained from the engagement exercise by increasing the profile of Climate Change in your offer as a key council commitment.
- The FLT approach is outreach based and reaches the people furthest away from the services
- Family Centers are a focus for service delivery aimed at specific needs. Your outreach works ensure the people most in need are referred into and have access to this wonderful service.
- The interagency work from WFRS to seek opportunities to develop services in the community.
- You have engaged many citizens in a variety of stakeholder groups, and these include a youth parliament and smaller young people's groups specific to services e.g. Flexible Learning and young carers.

This is compliance plus

1.3.5 We have made positive changes to services as a result of analysing customer experience, including improved customer journeys

You use customer journey mapping in service improvement, planning and delivery Some examples are: -

- the development of the Customer Experience Strategy.
- The cultural changes in the WFRS to proactively seek community opportunities to employ their services in a different way. The safe and well checks following hospital to home referrals further strengthens this service and early results are showing reduced readmissions, improved sign



posting to other support and therefore efficiencies for both them and health.

- the person-centered strength-based triage which has replaced scripting at the Adult Social Care CSC
- The Road Safety Team have developed the Warwickshire Road Safety Club since analysing feedback from teachers via a satisfaction survey. You have developed a modern and effective approach which is appealing to the audience and has a strong message. The use of Makaton to reinforce the messages to reception age children is laudable.
- Children and Family Centres, Early Help and Family Support use a range of mechanisms to evaluate the effectiveness of services and support. The voice of the child and parent are captured through a range of mechanisms such as parent/carer representatives on the Advisory Board, captured in action plans and online Parent Voice Group – established and consulted on all developments of the service
- The Early help application process was streamlined in line with customer feedback

This is compliance plus

2.1.3 We have policies and procedures which support the right of all customers to expect excellent levels of service.

You have a suite of policies and key performance information which set out what people can expect from your services. You have developed the new Council plan until 2025 and incorporated commitments based on feedback from your consultation. These are now underpinned by the Customer Experience strategy which evidences your culture of embedding a positive customer experience for all customers both internal and external.

This is compliance plus

2.2.4 We can demonstrate how customer-facing staffs' insight and experience is incorporated into internal processes, policy development and service planning.

There are many examples of how you meet this criterion. Some key examples are: -

- WFRS community diversification projects including the consideration being given to regain services lost to competition under previous regional policies to deliver efficient services to the Council and wider. Also, the exploration of new offers e.g. 'control' service for other organisation such as monitoring lone workers.



- Safe and Well visits
- The introduction of the strengths-based approach to 'triage' in social services
- The development of Volunteer support and signposting to third sector providers for some interventions.
- Your approach to the climate change emergency.
- The changes to the Family Information Service to better support the families and the Social Worker Team

3.4.1 We have made arrangements with other providers and partners to offer and supply co-ordinated services, and these arrangements have demonstrable benefits for our customers.

Across the council there are examples which meet this criterion and the following examples are of note: -

- The Warwickshire Fire & Rescue Service brand and unique strengths is being used to provide opportunities to make huge contributions in the community. You are providing services in people's homes, schools and businesses in the course of your statutory duties. The evaluation of the Hospital to Home service and Safe and Well checks evidence the huge benefits to the people of Warwickshire and the health providers you coordinate the work with. You have further coordinated with the charity Edible Links to enable those arriving home alone to have basic sustenance to get them settled back in after illness.
- The Veterans Contact Point Charity project is evidence of the council being part of a coordinated service. The commitment to the Armed Forces Covenant here means that they have not just 'adopted it' but they have enabled the charity to establish itself and supported it too to enable services to be offered for those in need. Other 'real' actions include fast tracking MOD personnel on issues such as mental health and employment and offering support in recruitment to employment with the council.
- Your coordinated delivery of reuse centers with Age UK at your household waste sites has demonstrable benefits. It generates income, meets the core climate change agenda and puts money back into services at the heart of your community.
- The Voluntary and Community Sector Strategy, which defines relationships and shows added value, underpins the strength agenda and pulls together the social inclusion and social value aspects. It is dependent on coordinated services.
- The County Record Office offer many facilities including access to Ancestry databases and working with other teams and organisation's including Shakespeare's birthplace, education and events



(Commonwealth games 2022). There are many legacy projects which require coordinated delivery e.g. Warwickshire Bytes. The benefits are tangible in both the capture of accessible local history and the support for volunteers, many of whom, see their role as a way to stop them being isolated.

Visitors and volunteers on site described the office as ‘the best in the country’

This is compliance plus

3.4.3 We interact within wider communities and we can demonstrate the ways in which we support those communities.

Your community interactions are well evidenced. For example

- Your work with Volunteers is extensive across many services
- The Veterans Contact Point project and provision of an appropriate community facility
- The home library service for those who are housebound or isolated
- The Children and family centres at the heart of your communities.
- Your liaison with HS2 and local areas to use monies to be spend on Road Safety in developing areas.
- Voluntary and Community Sector Strategy
- The staff engagement in national and local charitable initiatives e.g. Macmillan and support for local charities with the 4 annual fundraising days.

4.2.4 We have developed and learned from best practice identified within and outside our organisation, and we publish our examples externally where appropriate

Adoption Central England (ACE) launched in February 2018 and as a new service are constantly reviewing their practices. You have developed the service and learned best practice by embracing the Dyadic Developmental Psychotherapy (DDP) approach.

This has brought tangible changes to the service delivery. In particular, the new way the staff treat one another, as well as their approach to customers, has been commented upon by customers, partners and stakeholder as being a huge positive. The DDP training and approach enables staff to feel valued, supported and resilient in a traditionally stressful role.

The service leads have been guest speakers at national conference on the methodology of DDP and the impacts it has had.

This is compliance plus



8. ACTION PLANNING & NEXT STEPS

The achievement of Customer Service Excellence is an ongoing activity and it is important that Warwickshire County Council continues to meet the elements of the criteria throughout the three years the hallmark is awarded for. Efforts must be made by Customer Service Excellence holders to continually improve their service.

We recommend that you develop an action plan based on the findings of this report. The action plan does not need to be a separate document and is likely to be more effective if the actions are embedded in your normal improvement and service developments plans.

We will undertake an annual review that will look at your continued compliance with the Customer Service Excellence. As part of the review we will also look at progress on any findings of the previous assessments.

In addition to reviewing progress outlined above, we will also review the services delivery, done so by following customer journeys.

For more information on the annual review please refer to our document “Building on your Customer Service Excellence success – Preparing for the annual review”.

Holders must inform SGS of any major changes in the service provision covered by the scope of the certificate. This includes reorganisation or mergers.

In addition, SGS must be informed should the certified service experience a significant increase in customer complaints or critical press coverage.

If you are in doubt at any stage, we strongly recommend contacting the Customer Service Team for advice on the significance of any service or organisational change, or issues surrounding customer complaints.

SGS will visit within the next 12 months for the annual review.

SGS recommends that Warwickshire County Council retains a copy of this report to aid continuous improvement, and as a reference document for future assessment reviews.

Appendix 2

Customer Service Excellence Reaccreditation 2020

The reaccreditation audit focused on the following:

Directorate	Customer Journeys Assessed	Discussion Topics
Communities	Digitisation of specific transport services	Digitisation of services including: 1. Upgrade of school transport management system 2. New online application forms 3. New direct debit payment scheme 4. New photocard bus passes (with future upgrade planned for smartcards)
	Bridge Maintenance in Warwickshire	Introduction to the day to day Bridge Maintenance Service Response provided to significant unplanned events including working with stakeholders, the public West Gate Restoring Clopton Wall
	Flexible Learning	The role of Flexible Learning - helping Children and Young People who cannot attend School. The expected outcomes and what support is provided including reference to Case Studies. Family experience of the service
	Road Safety	We provide a balance between adult-led and child-initiated learning and experiences, incorporating Kagan cooperative learning strategies to engage and enthuse all learners. Children are fully supported in their learning and provided with opportunities for play and exploration. interactive 30-minute circus themed assembly teaches key road safety messages and scooter skills to Year 2 children, including: The Road Safety Code to Think, Stop,

Directorate	Customer Journeys Assessed	Discussion Topics
		<p>Look & Listen, Think and Cross safely. The scooter safety check and how to dress safely. Balance control and braking. Demonstrating how to scoot safely and introducing pavement politeness.</p>
	Home to School Transport	<p>Applications for home to school transport - the journey of families including those with additional needs. Coordination of different services involved with this customer journey.</p>
Fire and Rescue Service	Fire Prevention - Hospital to home followed by Safe and Well visit	<p>The hospital to home initiative was introduced in August 2018 and is managed by our fire prevention team. This activity is a great example of WFRS working with partners, in the local community to support vulnerable residents as they are discharged from hospital. Safe and Well visits are a key fire prevention activity and will demonstrate how WFRS actively supports and advises vulnerable residents on fire risk, wellbeing etc. In addition to fire prevention this activity supports public health outcomes and is another good example of partners working together to deliver community safety/fire prevention outcomes</p>
	Fire Prevention - School visit (Key stage 2)	<p>Visiting schools is a key part of the fire prevention activity undertaken by WFRS. This will be an example of a typical visit to demonstrate community safety and fire prevention engagement with some of the younger residents and their teachers</p>
People	Adoption Central England (ACE)	<p>Adopter journeys: 1. Prospective adopters to approval</p>

Directorate	Customer Journeys Assessed	Discussion Topics
		<p>and beyond</p> <ol style="list-style-type: none"> 2. Families requesting support 3. Adopted adults 4. Birth families. <p>Governance arrangements and interface with key partners. Performance and outcomes for adopters and children.</p>
	ACE	<p>Details of the therapeutic programme and Dyadic Developmental Practice (DDP) certification process. Video of impact of dyadic developmental practice on the service of ACE. Demonstration of adopters' experience through virtual headsets to develop their understanding of the child's experience.</p>
	Lillington Children and Family Centre	<p>A tour of the Centre with discussion as to how the Children and Family Centre (CFC) engages parents in service development. All aspects of the customer journey, service satisfaction and observation of activities.</p>
	Targeted support meeting	<p>The process of multi-agency support for the family and an overview of the Early Help process.</p>
	Physical Disability and Sensory Services Team.	<p>Observe a Daily Practitioner Group Meeting where discussions take place between practitioners regarding customers and recommendations on how outcomes can be met based on customer needs and wishes.</p>
Resources	Customer Service Centre Supporting People	<p>The new ASC process including:</p> <ol style="list-style-type: none"> 1. Changes to process 2. Benefits to customers

Directorate	Customer Journeys Assessed	Discussion Topics
	New ASC process	<p>3. Staff training to implement new process</p> <p>4. Feedback received from both customers and staff</p>
	Council Plan 2025	The development process for the plan Methods of customer engagement and how this has influenced the plan
	Information and Advice Project	<p>How the project will address the Council's objectives:</p> <ul style="list-style-type: none"> • Enable people to support themselves in the community, without the need to contact health and social care services • Enable staff through asset based approaches to support people to make use of community resources <p>The outcomes desired:</p> <ul style="list-style-type: none"> • An approach to provide information and advice that is sustainable • Meet the needs of people wanting to support themselves • Meet the needs of the way we want to work with people in the community • Provide the platform to enable social prescribing • Inform prevention and early intervention work <p>Social Prescribing and how it links with Information and Advice and early help and prevention.</p> <p>Council objective to manage demand effectively to assist the Council community capacity agenda.</p>
	Customer Feedback (Complaints)	<p>Planned changes to the customer feedback process:</p> <ul style="list-style-type: none"> • New complaints policy • New complaints management system • Refreshed guidance (internal and

Directorate	Customer Journeys Assessed	Discussion Topics
		external) <ul style="list-style-type: none"> • A commitment to following best practice in relation to Children's Services complaints • Clearer written communications.
	Heritage and Culture County Record Office	<ul style="list-style-type: none"> • Warwickshire's Heritage and Culture Strategy 2020-2025 • The service to the Public • Conservation Service • Compliance • Warwickshire Bytes • The customer journey - Find family history to discover medical history (particularly important for those who have been adopted)
	Library and Information Service Home Delivery Service	Home Delivery Service customer journey
	Fitter Futures	The single point of access for public health services to support people across Warwickshire to improve their health. Including case studies from different providers and the customer journey

The following items were also discussed whilst the Assessor was onsite:

1. Climate Change emergency - The Council has declared a climate emergency and will focus on what it can do to meet the goal of carbon neutrality to protect our environment now and for future generations.
2. Family Information Service - The reason and impact of the Family Information Service move into Children and Families Service Area. To include the focus of work for FIS and Social Workers and the Unit costings report.
3. Brexit - An overview of the organisation's planning for Brexit including the management of impact across business, community and business continuity. This is a live and fast-moving agenda. The session provided the latest position and activity update.
4. Warwickshire Fire and Rescue Service Transformation - The strategic priorities and vision of Warwickshire Fire & Rescue Service as a more integrated part of Warwickshire County Council.

5. Road Safety Team - National Road Safety Conference - Kagan Cooperative learning Style and Arility (Augmented Reality Learning App) Resource.
6. Hospital to Home evaluation - focus on the evaluation on the Hospital to Home Service report.
7. Commercial Strategy - The discussion focused on the development and implementation of the strategy and specifically its impact on customers both internal and external and partners.
8. Lunch with the volunteers from the County Record Office - Experience of working for the authority as a volunteer.
9. Building Community Capacity -
 - a. Connecting Communities - The Voluntary and Community Sector Strategy 2020 - 2025: meeting the objectives of the Council Plan and the implementation and development of the delivery plan.
 - b. Community Capacity Contracts. - Community development in targeted neighbourhoods and Community capacity building projects.
 - c. Veterans Contact Point: an example of public / private / voluntary sector collaboration.
10. Customer Feedback via the website - Process for leaving feedback via the website.
11. Corporate Board –
 - a. The culture of the organisation and how it may be changing as a result of the Transformation Programme.
 - b. How the Council will move from transformation into a period of ‘sustained change’ following the appointment of the Change Programme Director.
 - c. How the transition from transformation to change is being managed and implemented.
 - d. The challenges for the Council going forward.
 - e. How the Customer Experience Strategy will impact customers, staff and partners.
12. Implementation of the change programme.
13. ACE Social workers –
 - a. Experience of working in a regional service.
 - b. Training, support, supervision and career development opportunities.
 - c. Working and engagement with families.
14. Information evening - prospective adopters who have made their first enquiry attended an information meeting – Assessor observed the experience of adopters' first direct contact with the service, the provision of information and the pathway towards future engagement with the service.

The Assessor also undertook site visits to:

- St. Francis R.C. School Bedworth
- King's House, Bedworth
- County Record Office, Warwick
- Bedworth Fire Station
- Oakfield Park, Rugby

Appendix 3

Customer Service Excellence Standard Recertification 2020

Partial Compliance

Ref	Element	Assessor Comments	Recommended responses
1.3.4	We set challenging and stretching targets for customer satisfaction and our levels are improving	<p>You are in a period of major change in service delivery and the systems you use for reporting. Although you have some areas where you can evidence improved satisfaction this is not yet consistent. For example: -</p> <ul style="list-style-type: none"> • Those customers being signposted to partners to seek solutions- e.g. Adult Social Care CSC- you have no measure of customer satisfaction with the service delivered. The Customer Relationship Management tool is good but this aspect of completing the circle to understand outcomes is not available. • The move to digital applications for school transport. You claim you have improved the customer experience, but you cannot evidence 	<p>Historically and currently, the CSC focuses on customer satisfaction relating to the quality of information and advice given by advisers and not specific outcomes, as the premise of the front door service is to enable people to take control of, and make well-informed choices about, their care and support. As part of the implementation of the Customer Experience Strategy and related Customer Promise, we will organisationally be looking at customer satisfaction and failure demand (where failure to do something right for the customer causes the customer to make another demand on the system) and review metrics and relevant analysis of outcomes within the CSC and wider.</p> <p>We can demonstrate that the time taken to complete digital applications has reduced dramatically. In 2018, we received 500</p>

Ref	Element	Assessor Comments	Recommended responses
		<p>this. The customer feedback on site was that although the digital application was good there are ongoing issues with some aspects. These include refunds 'taking a long time 'and responses to requests being delayed.</p> <ul style="list-style-type: none"> • There was little meaningful evidence on satisfaction and timeliness of the CAHMS referral process, yet customers and stakeholders interviewed felt it was an area of concern for them. 	<p>applications in a week. In 2019, we received the same amount on day one. The forms are easy to complete, and parents can submit them quickly and we are able to respond to them in a timely manner.</p> <p>During COVID19 more of the transactions for Education Services have been undertaken on-line and remotely.</p> <p>The Navigation Hub is the initial point of contact for professionals around referrals. Clinicians review every referral, gather relevant clinical information, and decide what further action is needed whether this is a routine, urgent or emergency referral.</p> <p>There were 4657 referrals into the Navigation Hub between February 2019 and January 2020. Of these referrals 52.5% (2447) required specialist CAMHS.</p> <p>The national guidance for Referral to Treatment Time (RTT) is that individuals need to be seen within 18 weeks of the initial referral. The Warwickshire target is 95%. Between February 2019 and January 2020 this target has been consistently attained for those referred into specialist CAMHS services.</p> <p>Over the last year, Rise has reported the average referral to treatment waiting time (RTT) for those waiting for routine appointments, as being an</p>

Ref	Element	Assessor Comments	Recommended responses
			<p>average of between 6 and 8 weeks, well within the 18 targets.</p> <p>With follow- up appointments we have a local target of 12 weeks; however, this target has not been met. Nevertheless, there has been considerable and sustained progress in reducing the longest waiters and increasing the proportion of those seen within 12 weeks. The average wait to follow up appointment in November 2019 was 13 weeks.</p> <p>Across Warwickshire, the number of children and young people waiting over 36 weeks for a follow up appointment reduced each year; from 64 in August 2017 to 23 in November 2018 and has further reduced to 9 in October 2019.</p>
2.2.1	We can demonstrate our commitment to developing and delivering customer focused services through our recruitment, training and development policies for staff	<p>There is evidence of you having customer focus at the heart of the business case for change. It is understandable at this stage in the Transformation agenda that the results of your staff survey do show some downward trends. Staff morale is still reflecting the findings of the staff survey. Members of staff, not just at the focus group, but at other times during the assessment saying they do not feel valued and having an anxiety around their future opportunities for development. Staff are committed to their service and to good customer experience for both internal and external customers.</p> <p>The key areas of anxiety are</p>	<p>The majority of service redesigns have been paused by Corporate Board pending the removal of the COVID-19 lockdown.</p> <p>The learning from COVID19 may have an impact on future redesigns of some services</p> <p>However, where service redesigns have been implemented final redesigns have taken onboard feedback following consultation with staff. For example, the Business Support revised proposals include the retention of a grade which was initially proposed for removal.</p> <p>Furthermore, we have undertaken a staff survey to gauge how the changes to working practices as a result of the lockdown are affecting staff. The weekly broadcasts from the Chief Executive and</p>

Ref	Element	Assessor Comments	Recommended responses
		<p>1. The perceived enforcing of generic job descriptions.</p> <p>2. 'Downgrading' of some lower tier management posts.</p> <p>3. Late communication to individuals during their consultations.</p> <p>4. Too much change all at once.</p> <p>5. How these changes will impact on their customers.</p> <p>You may wish to consider fully who your customers are as this will include the traditional customers, stakeholders, volunteers and employees. It is important that external and internal customers have a good customer experience.</p> <p>It should be stated that this is a partial compliance because of where you are in the changes and therefore there is an inconsistency against this criterion. On the last day of the assessment you announced the reinvigorating of the Employee Forum which is a positive step.</p>	<p>the Strategic Directors are being valued by staff as evidenced by the FAQs on the intranet.</p>
3.3.2	<p>We evaluate how customers interact with the organisation through access channels and we use this information to identify possible service improvements and offer better choices</p>	<p>There are many individual examples of where this does happen. However, on looking at the key point of access being promoted – the website - an issue on feedback was identified. The most prominent feedback request point is the 'Was This Information Useful' button. This is intended to capture feedback about the web page, but this is not clear to customers. It transpired that some users send service request and feedback via this</p>	<p>Currently, comments are received via the 'Was this information useful?' option at the bottom of every page which are checked weekly. We propose increasing this to a daily task, with focus on identifying comments that constitute enquiries.</p>

Ref	Element	Assessor Comments	Recommended responses
		<p>link which then may not be seen by the appropriate team for a week or more.</p> <p>Some customers interviewed reported having to chase requests and responses and be proactive in seeking answers -this may be related to this.</p> <p>Because of the importance of website interactions this is a partial compliance</p>	
5.1.1	We set appropriate and measurable standards for timeliness of response for all forms of customer contact including telephone calls, letters, email communications and personal callers	As some customer contacts into the website are potentially going to the wrong place and customers reported having to chase responses this is a partial compliance (see 3.3.2)	Response as above.
5.2.3	We promptly share customer information with colleagues and partners within our organisation whenever appropriate and can demonstrate how this has reduced unnecessary contact for customers	<p>There is some evidence of teams who do share, and it can result in reduced customer contacts and swifter interventions e.g. Warwickshire Fire and Rescue Service (WFRS) community prevention projects and MASH. These cross-team approaches are a good start but there are other areas where the 'silo' effect, or just the lack of awareness of what other teams are working on may be marring progress in sharing information and best practice. The understanding of the CSE standard is not consistent across teams and you may wish to consider developing champions in teams as this could assist with that understanding and help 'silos' engage perhaps by sharing departmental briefings, vlogs and blogs etc. Some previous internal connections may need reinvigorating too for example mobile libraries using the WFRS as an information link</p>	During the last consultation/engagement exercise WFRS worked with the library network to promote and communicate the consultation details. It is planned that WFRS will consider ways to utilise the mobile libraries as an information link for its prevention activities.

Areas for improvement

Ref	Assessor Comments	Response/Recommendation
1.2.1	The Adoption Central England (ACE) is new and the relationship between the potential parents, adoption office and social workers is described as excellent. However, there is a willingness for all families met to be engaged with the team to develop information and guidance e.g. on the Letterbox system- especially in complex cases and foster to adopt, a new process. You may also wish to consider engaging with parents and staff to develop guidance.	We will take the suggestion to the Adopter Stakeholder Group. We will also invite potential adopters to be included in a group which will focus on service developments and guidance. Currently we are in the process of adopting a regional approach to the letterbox scheme and this will also be co-produced with this group.
1.2.1	The parents from the Flexible Learning Team (FLT) who attended the focus group are keen for more engagement and networking. You may wish to consider enabling this.	It is planned for meetings to be arranged on the following basis: <ul style="list-style-type: none"> • Meetings will be held every 6 weeks • Attendees will include all parents and young people involved with Flexible Learning, School leaders and/or Special Educational Needs Coordinators • The meeting will be a round table discussion to provide advice and support • WCC will facilitate networking with this group via the Flexible Learning Hubs • The outcome for families will be the opportunity to meet other families in similar situations. Where necessary advice and support will be provided. Families will be able to take away lessons learnt about how WCC can support parents and young people more appropriately. • For WCC we will be able to assess how we can provide better care and a better service.
2.1.6	The calls on the calls management screen in the CSC is not easily visible for all agents, you may wish to consider where it could be best located to support all agents and therefore customer demand.	Currently wall space is limited in both offices and screens are placed in the best practical spaces. If advisers are based in the office, they are not tied to their desks so have opportunity to see wider statistics throughout the day. All advisers, wherever their work location (office or home), can see calls on the icebar (CSC telephony software) via their computers, and therefore calls queuing for their service and customer demand. As part of the review looking at the best

Ref	Assessor Comments	Response/Recommendation
		<p>use of office space in the CSC, we will consider whether the screens can be better placed or if additional screens can be practically added.</p> <p>As part of managing services during COVID19 staff are now working remotely from home. As part of the recovery work post COVID19 discussions are taking place re how services will be delivered in the future</p>
2.1.6	<p>You do share good news stories and pride in awards and successes. The internal impact of your sharing is limited and patchy. You may wish to review how you raise employee awareness of the good stories and celebrate together</p>	<p>We are reviewing content of our internal publications to increase sharing good news among staff. This will include an imminent staff campaign focused on celebrating how staff have responded to the coronavirus pandemic. We will be taking forward things that have worked well.</p> <p>During COVID19 all Strategic Directors weekly live broadcasts have a section called 'shout outs' to celebrate good work/say thank you to individuals/teams.</p>
2.1.6	<p>The CSE Hallmark is used in some places and the certificate is displayed however you may wish to consider how you could make more of this achievement as something for the whole organisation to be proud of as 'one team'.</p>	<p>We are currently reviewing our approach to branding including the inclusion of the Customer Service Excellence Standard hallmark to ensure consistency of approach across the council.</p>
3.2.2	<p>The recent shift to Microsoft 365 is a positive move. However, you may wish to consider ongoing training and shared learning as teams were reporting some reporting issues and 'loss' of data.</p>	<p>The move to Microsoft was part of our wider transformation programme and thus was widely communicated to all members of staff. This was done through emails from a specific Microsoft Updates inbox, messages from Corporate Board and regular articles on the Intranet and in W4W</p> <p>The Learning Portal was created which members of staff are still regularly signposted to. This provides user guides, FAQs and instructions on how to use tools within MS 365. There are also several videos. https://warwickshiregovuk.sharepoint.com/sites/WCCOffice365Training</p> <p>The same process was followed with the roll out of the Surface Pro devices. As part of our wider How We Will Work programme there were four campaigns designed to support change and adoption of both MS 365 and the Surface Pros. This has changed since Covid-19 has forced everyone to work from home and support is now very much about how staff continue working with the tools they have from home.</p>

Ref	Assessor Comments	Response/Recommendation
		<p>There are regular updates to the Learning Portal and regular communications are delivered via the intranet, through W4W and through Corporate Board. At the moment the focus is on regular collaboration with colleagues and making the use of some of the tools staff may not be aware of such as the Whiteboard. There is also a huge focus on the use of Teams.</p> <p>During COVID19 the staff wellbeing check in survey respondents (2101 staff responded) were generally positive about the news ways of working, 89%are working from home, 79% keeping connected via virtual team meetings – staff confidence in using technology has increased significantly as has the use of the technology:</p> <ul style="list-style-type: none"> • 87.7% agreed or strongly agreed that we are adapting well to the new ways of working. • 83.1% agreed or strongly agreed that they were able to access the systems and technology needed to work at home effectively. • 75.3% agreed or strongly agreed that they had what they needed to work from home effectively. <p>There is daily support available to help staff who are not confident in the use of technology.</p>
3.2.2	<p>Although there are no metrics to evidence these aspects, there is a lot of ‘noise’ around the organisation’s performance on Education, Health and Care plans- which can unlock other eligibilities- and CAHMs (a national issue too). Customers noted that there was some inconsistency in understanding the information on eligibility criteria around EHCP's and they did not find your website information to be clear.</p>	<p>We have worked with partners, including parent and carers, to improve the timeliness of our EHC assessment and plan processes. The latest data shows that 88% of EHC plans were issued within 20 weeks (the statutory timescale), a significant improvement on previous years and above the averages of national and statistical neighbours.</p> <p>Each year we run a local survey with parents regarding their experience of the EHC plan process. We share the findings of the survey with the Parent Carer Forum at one of our half termly meetings and agree actions (e.g. targeting training in certain teams). 61% of parents reported that they felt their views were included in the process (up from 38% the year before).</p> <p>We regularly update the content of our SEND webpages in response to feedback. We recently commissioned a review of these webpages to see if we need more substantial changes are required. A project proposal is being prepared as a result of this.</p>
3.4.2	<p>The first responder’s initiative brought positives to your communities. You may wish to look to reinvigorating the partnership with</p>	<p>The current Covid 19 crisis has seen excellent examples of collaborative working with partners. The first responders’ initiative has been paused and we are currently looking at opportunities to re-engage with West Midlands Ambulance Service (WMAS). WFRS operational</p>

Ref	Assessor Comments	Response/Recommendation
	the ambulance service to support the first responder's initiative again.	personnel are all trained to meet the highest first responder standards and are all equipped to perform this role.
3.4.2	You have many strong partnerships with Health and Education. The comparatively new structure of the CCG's and some parts of Education appear to bring some challenges. You may wish to consider if you can further build these relationships to support the needs and demands of your customers.	<p>Adult Social Care is working closely with the three CCGs covering the Warwickshire population to streamline processes and to ensure consistency across the footprint.</p> <p>One process is the Continuing Health Care (CHC) to ensure there is consideration of joint funding care arrangements where someone is assessed as not meeting full Continuing healthcare criteria.</p> <p>A working group is in place, and progress has been made to agree processes for joint funding arrangements. It will mean that joint funding is considered as part of the CHC process and not separately or for the customer to go through another assessment.</p> <p>Alongside this guidance for practitioners and managers is being developed which is in draft form currently and being updated following initial comments by all parties.</p> <p>This also includes work with education colleagues for our young people eligible for education, health and social care. There is already a panel in place to look at education and social care funding. The joint funding processes and guidance aims to ensure that education, health and social care funding streams are considered at the right time, providing a more seamless outcome for customers.</p>
4.1.2	There is also 'noise' around school admissions and the number of students not yet placed in school, but the data available did not seem to reflect the concerns raised. You may wish to consider reviewing the information you provide to ensure that it is meaningful to your customers.	<p>The children in question are being picked up in a cell called Children not on a school roll (NOASR).</p> <p>A team of professionals are reviewing the situation every week and providing support and guidance to mitigate the risks.</p>
4.2.2	You may wish to consider if you can evidence that services are customer focused and right first time in most instances and if the methods of reporting are still meaningful to the public,	The Customer Experience Strategy sets out our commitment to enhancing the services we provide for our customers. We have a vision to achieve a step change in the customer experience the county council delivers to its customers. We will embed across the council, a more consistent customer experience based on a clear, simple customer promise.

Ref	Assessor Comments	Response/Recommendation
	considering the amount of change that has been and is being implemented.	<p>In delivering our Customer Experience Strategy, we will raise the profile of the “customer” throughout the organisation and ensure that our plans, decisions, actions and overall culture, are customer centric and by working together, we can ensure that we make Warwickshire the best it can be.</p> <p>Within the Strategy there are several actions during the next 5 years to ensure implementation. Initially work has to be undertaken to ‘Understand baseline performance in order to be able to later evaluate impact of activity across organisation.’ By understanding the initial position and developing a performance framework WCC will be able to evidence the changes that have been undertaken and the outcome from these changes.</p>
4.2.2	You are committed to building Community Capacity and may wish to consider metrics to show that increase and the Social value impact.	<p>Community Capacity</p> <p>The delivery plan for our new Warwickshire County Council Voluntary and Community Sector Strategy (Connecting Communities) will include impact measures around how we can demonstrate increased community capacity under the 6 priority areas of:</p> <ul style="list-style-type: none"> • strength-based working • promoting social action and volunteering • community engagement • effective partnerships • self-help, early intervention and prevention • investment in local communities <p>A first draft of this delivery plan was produced for initial comment at the end of February 2020. A revised version will be developed once the current crisis has been resolved. We anticipate that some of the current actions within this plan will be revised, or additional actions added as a result of this. We will be exploring how the significant community response to the current situation can be supported and developed to increase resilience and help manage future demands.</p> <p>Social Value</p> <p>A key theme of the Warwickshire County Council Voluntary and Community Sector Strategy is the desire to embed social value into the operation and delivery of all county council services</p>

Ref	Assessor Comments	Response/Recommendation
		(internally, externally and commissioned). As a result, a number of the actions within the draft delivery plan outline how we will seek to achieve this.
4.3.4	There is some evidence of reporting and capturing evidence of improvements from informal complaints. You may wish to consider how to make this consistent across the organisation.	<p>The new customer feedback case management system, now rescheduled for implementation in Q2 of 2020-21, will enable us to better capture themes and trends. It will allow us to be more detailed in understanding people's complaints (i.e. will allow more than one complaint type to be input) and similarly, will allow more detailed outcomes to be recorded. Reports from the system will be easier to access and will allow for both clearer overviews of complaints but also give the ability for deeper dives on themes, trends and specific areas.</p> <p>Also, the new Complaints Policy, which has recently been agreed by Cabinet will provide a clearer framework to underpin the way we approach complaints/feedback and will therefore improve consistency.</p> <p>There is also a complaints investigation e-learning currently being developed (the content is written, and it is being translated into the right format), which will reinforce staff's approach and the importance of learning from each piece of feedback.</p>
5.2.2	The 'conversation' and strength-based approach in the CSC is becoming embedded. However, you may wish to consider a supporting 'checklist' to ensure the 'conversations' do not inadvertently miss any crucial steps which a scripted call may have captured.	<p>The strength-based approach has been in place within the Supporting People team since September 2019. Using a checklist would revert to a scripted process which goes against this new style of approach whereby advisers have an open and fluid conversation supporting customers to source own support and focus on strengths.</p> <p>Specific actions are already in place to ensure that crucial steps are not being missed. This is under regular review in collaboration with Adult Social Care and is currently working well.</p> <ul style="list-style-type: none"> • frequent quality audits with team leaders • a feedback mechanism with Adult Social Care on quality of referrals and highlighting of any issues that need addressing • defined pathways for each process to support advisers and • a structured and comprehensive training programme

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Appendix 4

Areas of Compliance Plus Reaccreditation 2020

Element - 1.1.2 We have developed customer insight about our customer groups to better understand their needs and preferences.

The outstanding example of this, and other aspects of the Customer Excellence Standard, observed during the assessment, is the work of the 'Bridges Team'. The projects at Clopton Bridge and the Westgate repair were exemplar in the way they approached the needs and aspirations of all customers, stakeholders and partners. They used informal and formal consultation and had an end to end approach of the customer experience of these projects. They actively sought the opinions of all and adjusted their plans to best meet customer needs based on the insight gained. They incorporated the historical importance that emerged and delivered the projects on time.

These considerations included

- The re-routing of a diversion to better accommodate mobility scooter users.
- Amending timings to support commercial activity.
- Engaging with a local school to ensure they experienced the historical value of the project and burying time capsules.
- Developing a multiagency group to capture information from all. (Reinvigoration of the cross-county Vale of Evesham Freight Partnership).
- Prioritising communication -especially important as some aspects changed during the projects.
- Liaison with film crews working in Warwick to minimise inconvenience to all.

One interviewee said 'I work with many local authorities planning teams and have never encountered an approach as good as this experience. Both community and business needs are embraced as the norm. The team were commercially, and customer focused and went over and above to ensure their project was completed but all stakeholder views and requirements were taken into consideration.'

Element - 1.1.3 We make particular efforts to identify hard to reach and disadvantaged groups and individuals and have developed our services in response to their specific needs.

There are many examples across the council where this is evidenced:

- Your engagement on the Council Plan including 9 roadshows held across the county and an online survey provided a broad geographic and demographic representation of views. Additionally, the views of the Youth Parliament were sought. You were also responsive to a key theme obtained from the engagement exercise by increasing the profile of Climate Change in your offer as a key council commitment.
- The FLT approach is outreach based and reaches the people furthest away from the services.
- Family Centres are a focus for service delivery aimed at specific needs. Your outreach works ensure the people most in need are referred into and have access to this wonderful service. The interagency work from WFRS to seek opportunities to develop services in the community.

- You have engaged many citizens in a variety of stakeholder groups, and these include a youth parliament and smaller young people's groups specific to services e.g. Flexible Learning and young carers.

Element - 1.3.5 We have made positive changes to services as a result of analysing customer experience, including improved customer journeys

You use customer journey mapping in service improvement, planning and delivery Some examples are: -

- The development of the Customer Experience Strategy.
- The cultural changes in the WFRS to proactively seek community opportunities to employ their services in a different way. The safe and well checks following hospital to home referrals further strengthens this service and early results are showing reduced readmissions, improved sign posting to other support and therefore efficiencies for both them and health.
- The person-centred strength-based triage which has replaced scripting at the Adult Social Care CSC
- The Road Safety Team have developed the Warwickshire Road Safety Club since analysing feedback from teachers via a satisfaction survey. You have developed a modern and effective approach which is appealing to the audience and has a strong message. The use of Makaton to reinforce the messages to reception age children is laudable
- Children and Family Centres, Early Help and Family Support use a range of mechanisms to evaluate the effectiveness of services and support. The voice of the child and parent are captured through a range of mechanisms such as parent/carer representatives on the Advisory Board, captured in action plans and online Parent Voice Group – established and consulted on all developments of the service
- The Early help application process was streamlined in line with customer feedback

Element - 2.1.3 We have policies and procedures which support the right of all customers to expect excellent levels of service.

You have a suite of policies and key performance information which set out what people can expect from your services. You have developed the new Council plan until 2025 and incorporated commitments based on feedback from your consultation. These are now underpinned by the Customer Experience strategy which evidences your culture of embedding a positive customer experience for all customers both internal and external.

Element - 2.2.4 We can demonstrate how customer-facing staffs' insight and experience is incorporated into internal processes, policy development and service planning.

There are many examples of how you meet this criterion. Some key examples are: -

- WFRS community diversification projects including the consideration being given to regain services lost to competition under previous regional policies to deliver efficient services to the Council and wider. Also, the exploration of new offers e.g. 'control' service for other organisation such as monitoring lone workers.
- Safe and Well visits
- The introduction of the strengths-based approach to 'triage' in social services
- The development of Volunteer support and signposting to third sector providers for some interventions.

- Your approach to the climate change emergency.
- The changes to the Family Information Service to better support the families and the Social Worker Team

Element - 3.4.1 We have made arrangements with other providers and partners to offer and supply co-ordinated services, and these arrangements have demonstrable benefits for our customers.

Across the council there are examples which meet this criterion and the following examples are of note: -

- The Warwickshire Fire & Rescue Service brand and unique strengths is being used to provide opportunities to make huge contributions in the community. You are providing services in people's homes, schools and businesses in the course of your statutory duties. The evaluation of the Hospital to Home service and Safe and Well checks evidence the huge benefits to the people of Warwickshire and the health providers you coordinate the work with. You have further coordinated with the charity Edible Links to enable those arriving home alone to have basic sustenance to get them settled back in after illness.
- The Veterans Contact Point Charity project is evidence of the council being part of a coordinated service. The commitment to the Armed Forces Covenant here means that they have not just 'adopted it' but they have enabled the charity to establish itself and supported it too to enable services to be offered for those in need. Other 'real' actions include fast tracking MOD personnel on issues such as mental health and employment and offering support in recruitment to employment with the council.
- Your coordinated delivery of reuse centers with Age UK at your household waste sites has demonstrable benefits. It generates income, meets the core climate change agenda and puts money back into services at the heart of your community.
- The Voluntary and Community Sector Strategy, which defines relationships and shows added value, underpins the strength agenda and pulls together the social inclusion and social value aspects. It is dependent on coordinated services.
- The County Record Office offer many facilities including access to Ancestry databases and working with other teams and organisation's including Shakespeare's birthplace, education and events (Commonwealth games 2022). There are many legacy projects which require coordinated delivery e.g. Warwickshire Bytes. The benefits are tangible in both the capture of accessible local history and the support for volunteers, many of whom, see their role to stop them being isolated. Visitors and volunteers on site described the office as 'the best in the country'

Element - 3.4.3 We interact within wider communities and we can demonstrate the ways in which we support those communities.

Your community interactions are well evidenced. For example

- Your work with Volunteers is extensive across many services
- The Veterans Contact Point project and provision of an appropriate community facility
- The home library service for those who are housebound or isolated
- The Children and family centres at the heart of your communities.
- Your liaison with HS2 and local areas to use monies to be spend on Road Safety in developing areas.
- Voluntary and Community Sector Strategy

- The staff engagement in national and local charitable initiatives e.g. Macmillan and support for local charities with the 4 annual fundraising days.

Element - 4.2.4 We have developed and learned from best practice identified within and outside our organisation, and we publish our examples externally where appropriate

Adoption Central England (ACE) launched in February 2018 and as a new service are constantly reviewing their practices. You have developed the service and learned best practice by embracing the Dyadic Developmental Psychotherapy (DDP) approach. This has brought tangible changes to the service delivery. In particular, the new way the staff treat one another, as well as their approach to customers, has been commented upon by customers, partners and stakeholder as being a huge positive. The DDP training and approach enables staff to feel valued, supported and resilient in a traditionally stressful role. The service leads have been guest speakers at national conference on the methodology of DDP and the impacts it has had.

Areas of Good Practice

1. You have developed strong partnerships and networks across the county and region. These include
 - The WFRS work in partnership with NHS on the Hospital to Home and the follow up Safe and Well visits. This approach meets the demands of the Functional Operational Model (FOM) with good outcomes and tangible impacts on other services
 - The Brexit forum is a good example of your partnership working and leading on the Resilience Team across the region sharing best practice and assessing risk for your citizens •
2. The way you have developed the services in line with the 2025 Plan to enable the key objectives to be supported -for example Demand delivery with a strength-based approach, the Building Community Capacity agenda.
3. The development of the Fitter Futures-portal to improve referral pathways and capture appropriate data.
4. The work WFRS are doing to develop processes to gain meaningful feedback jointly working with the customer services team.
5. The new Customer Relationship Management tool in Adult Social Care – Mosaic appears to have good integration with FirmStep thus achieving a comprehensive contextual history of the customer supporting good customer communication.
6. The Family Information Service (FIS) change to delivery and outreach with restorative practice for Children and families is with earlier intervention and triage which is freeing up Social Worker hours for the more specialist areas at a time of severe pressure.
7. The council office reception at Kings House in Bedworth is now modern and welcoming to visitors following a facelift.
8. The new draft Complaints policy in its infancy and it is good that the drivers for this were a response to improve performance monitoring and learning following last year's assessment.
9. The development of a Customer Experience Strategy High Level Action Plan is good practice.
10. Your open and honest engagement with your staff following the staff survey via blogs and vlogs acknowledging the areas for improvement is good practice.

11. The Commercial Strategy is a fresh approach at challenging the traditional approach to local government finances and maximizing value.
12. Your approach to volunteering is proactive in many different services. The volunteers delivered Home Library Service for the isolated and housebound is being viewed as best practice by other local authorities.
13. The hub and spoke approach to the service FLT is enabling the demand on social worker hours to be eased a little in this time of pressure.
14. This year the students of the FLT have had their own ProMax and Craft Fayre which is innovative and good practice.
15. The library team has great insight into its customers for the residential homes and housebound. This is evidenced with the care taken in selecting bespoke reading lists and the provision of dementia boxes as required by individuals and nursing homes.
16. The engagement by Children's service to 'bespoke' the style of their web page is innovative and in step with their customer needs rather than the corporate style which may be modern but not necessarily customer friendly for those accessing information.
17. The achievement over the past 5 years resulting in 53% reduction of CO2 omissions exceeds your customer promise target.
18. The use of Peer group sessions by the Physical Disability and Sensory Services team is a totally customer and solution focused approach to meeting the excessive demand on their services due to an increase in those accessing their service on top of their traditional customers This increase appears to be due to a change in legislation and the grey areas between health and social responsibilities

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Customer Service Excellence

The Government Standard



The Government Standard



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What is Customer Service Excellence?

The Government wants public services for all that are efficient, effective, excellent, equitable and empowering – with the citizen always and everywhere at the heart of public service provision. With this in mind Customer Service Excellence was developed to offer public services a practical tool for driving customer-focused change within their organisation.

The foundation of this tool is the Customer Service Excellence standard, which tests in great depth those areas that research has indicated are a priority for customers, with particular focus on delivery, timeliness, information, professionalism and staff attitude. There is also emphasis placed on developing customer insight, understanding the user's experience and robust measurement of service satisfaction.

How does it work?

Customer Service Excellence is designed to operate on three distinct levels:

- 1. As a driver of continuous improvement.** By allowing organisations to self-assess their capability, using our online self-assessment tool, in relation to customer-focused service delivery, identifying areas and methods for improvement.
- 2. As a skills development tool.** By allowing individuals and teams within the organisation to explore and acquire new skills in the area of customer focus and customer engagement, thus building their capacity for delivering improved services.

- 3. As an independent validation of achievement.** By allowing organisations to seek formal accreditation to the Customer Service Excellence standard, demonstrate their competence, identify key areas for improvement and celebrate their success.

Who can apply?

Customer Service Excellence aims to provide public services with a practical tool for driving customer-focused change and we recognise that in the new delivery landscape such providers can come from the public, private and the third sectors.

Any organisation should be able to choose Customer Service Excellence, and therefore no restrictions on eligibility have been imposed. Those organisations in the UK that want to achieve Customer Service Excellence through formal assessment, whether

they are in the public, private or third sectors, are able to do so.

Getting started

Here are some useful tips to set your organisation on the road to achieving Customer Service Excellence.

- Read and familiarise yourself with the criteria of the Customer Service Excellence standard. Get together with your colleagues to plan how you could use the standard and discuss with them how to take this forward.
- Visit our website at www.cse.cabinetoffice.gov.uk to learn more about Customer Service Excellence and to register for our free online self-assessment tool. The self-assessment tool also offers a Glossary of Terms which you may find useful as you work through the standard and the tool.

- Investigate our formal assessment route. In order for your organisation to be recognised as achieving Customer Service Excellence you must be successfully assessed against the criteria of the standard by one of our licensed certification bodies. Visit our website to find out more.
- To complement the standard we have developed an Information Hub which aims to provide an online resource centre, built around the concepts that underpin the standard, allowing you easy access to the latest thinking in the field. The Information Hub can be found on our website.



Customer Service Excellence standard

Criterion 1: Customer Insight



This criterion focuses on the importance of developing an in-depth understanding of your customers. This includes consulting customers and using the information you receive to design and provide services. It also covers the importance of monitoring the outcomes of your services and whether customers are satisfied with them.

Understanding customers in this way is essential for public services. Organisations that provide public services have raised their standards and levels of service and continue to build on this success. Effectively identifying your customers, consulting them in a meaningful way and efficiently measuring the outcomes of your service are a vital part of this approach. It is not just about being able to collect information. It is about having the ability to use that information, and developing a culture within your organisation that values this kind of understanding and constantly looks to improve.

1.1 CUSTOMER IDENTIFICATION			
	Element	Guidance	
1.1.1	We have an in-depth understanding of the characteristics of our current and potential customer groups based on recent and reliable information.	<ul style="list-style-type: none"> • A profile of the organisation's main customer groups and their characteristics. • Details of how these groups were segmented and classified. 	<ul style="list-style-type: none"> • Details on the frequency and reliability of the research to identify customer groups.
1.1.2	We have developed customer insight about our customer groups to better understand their needs and preferences.	<ul style="list-style-type: none"> • Methods and approaches used for developing understanding, such as focus groups, one-to-one interviews, surveys, observation, customer journey mapping and other ways of collecting information about customers. 	<ul style="list-style-type: none"> • Details of how you improved your services as a result of the understanding you gained into your customers' needs.
1.1.3	We make particular efforts to identify hard-to-reach and disadvantaged groups and individuals and have developed our services in response to their specific needs.	<ul style="list-style-type: none"> • Methods used to consult and involve hard-to-reach and disadvantaged groups and individuals, particularly people who have a number of different needs and customers whose views you rarely hear. 	<ul style="list-style-type: none"> • Examples of how you identified needs that you were not meeting and the changes you made to avoid excluding or under-representing certain people.

1.2 ENGAGEMENT AND CONSULTATION		
	Element	Guidance
1.2.1	We have a strategy for engaging and involving customers using a range of methods appropriate to the needs of identified customer groups.	<ul style="list-style-type: none"> • Policies, strategies and leadership for engaging, consulting and involving customer groups. • Evidence of how you use a wide range of tools, including feedback from customers and staff (letters, e-mails, comments, complaints, forums, focus groups and so on) as well as research.
1.2.2	We have made the consultation of customers integral to continually improving our service and we advise customers of the results and action taken.	<ul style="list-style-type: none"> • Findings and analysis of engagement activity, consultation exercises and other methods for capturing feedback. • Details of actual improvements, with evidence of how these are directly linked to the ways you consulted and involved customers. • Examples of how you involved customers in designing and providing services (for example, through allowing them to take part). • Information on how you tell customers about the changes you make as a result of their involvement. • Current service improvement and development plans showing that your policies, projects and activities are shaped by how you consult and involve customers.
1.2.3	We regularly review our strategies and opportunities for consulting and engaging with customers to ensure that the methods used are effective and provide reliable and representative results.	<ul style="list-style-type: none"> • Outcome of reviews on the effectiveness of engagement and involvement, showing levels of participation, assessment of how representative the results are, and quality of information collected. • How mechanisms, processes and approaches are adapted to respond to emerging issues, service priorities, demographic changes etc. • Examples of innovation, learning from best practice or benchmarking, staff suggestions etc.

1.3 CUSTOMER SATISFACTION			
	Element	Guidance	
1.3.1	We use reliable and accurate methods to measure customer satisfaction on a regular basis.	<ul style="list-style-type: none"> • Methods used would in most cases include survey work and other forms of feedback and qualitative information. • Information on survey methodology, for example sample sizes, potential biases, margins of error and any advice taken on design. 	<ul style="list-style-type: none"> • Reasons for the decisions you made on how to measure customers' satisfaction. • Details on how often you collected information.
1.3.2	We analyse and publicise satisfaction levels for the full range of customers for all main areas of our service and we have improved services as a result.	<ul style="list-style-type: none"> • Assessment and analysis of satisfaction within all groups (identified). • If you provide a range of different services, you should assess how satisfied customers are with all of them. • Evidence of any differences in levels of satisfaction between groups, or any unexpected outcomes. 	<ul style="list-style-type: none"> • Published information about the action you plan to take or have taken as a result of measuring customers' satisfaction with your service. • Examples of other methods you used.
1.3.3	We include in our measurement of satisfaction specific questions relating to key areas including those on delivery, timeliness, information, access and the quality of customer service, as well as specific questions which are informed by customer insight.	<ul style="list-style-type: none"> • Satisfaction surveys and other ways of gathering feedback that include these specific questions. • Evidence of investigation into customers' priorities and local key drivers of satisfaction. 	

1.3	CUSTOMER SATISFACTION (continued)	
	Element	Guidance
1.3.4	We set challenging and stretching targets for customer satisfaction and our levels are improving.	<ul style="list-style-type: none"> • Satisfaction levels of all customer groups for all the main areas of your service, and the targets you want to achieve. • Evidence of how levels of satisfaction have improved over time.
1.3.5	We have made positive changes to services as a result of analysing customer experience, including improved customer journeys.	<ul style="list-style-type: none"> • Examples of how you analyse customers' experience. • Specific information on how you map customers' journeys and the steps you have taken to improve these (for example, through limiting the amount of unnecessary contact they have with people in your organisation). • Any evidence of savings or reinvestment (or both) as a result of making your systems and processes more efficient.

Customer Service Excellence standard

Criterion 2: The Culture of the Organisation



The transition to a customer-focused culture can be challenging but at its core is a business model based on a detailed understanding of customers. In building a customer-focused culture, organisations look at how those who work within the organisation demonstrate the necessary values and understanding as well as how the operations and procedures meet customer needs and expectations.

This criterion is therefore concerned with the support for customer-focused approaches throughout the organisation so that excellent service is delivered to all customers. Also included here are two of the key drivers relating to staff behaviour – professionalism and attitude. These have been brought together and reinforced by a requirement that this approach is fully supported by the leadership team.

Taken together these elements should help to build and develop a customer-focused culture that supports improved service delivery.

2.1	LEADERSHIP, POLICY AND CULTURE	
	Element	Guidance
2.1.1	There is corporate commitment to putting the customer at the heart of service delivery and leaders in our organisation actively support this and advocate for customers.	<ul style="list-style-type: none"> • Corporate vision and values statements. • Examples of how your organisation's leaders have shown that they recognise the importance of customer focus and actively promote activities that allow your organisation to gain an understanding of its customers.
2.1.2	We use customer insight to inform policy and strategy and to prioritise service improvement activity.	<ul style="list-style-type: none"> • Customers' and staff's views on how your knowledge of customer groups informs your policies. • Examples of how customer insight drives your policies, and how this influences the way in which you design your services.
2.1.3	We have policies and procedures that support the right of all customers to expect excellent levels of service.	<ul style="list-style-type: none"> • Customer care, equal opportunities, disability and other policies and procedures relating to fair treatment. • Information you provide to customers on what they are entitled to.

2.1	LEADERSHIP, POLICY AND CULTURE (continued)	
	Element	Guidance
2.1.4	We ensure that all customers and customer groups are treated fairly and this is confirmed by feedback and the measurement of customer experience.	<ul style="list-style-type: none"> • Evidence from mystery shoppers (where this is relevant and appropriate). • Customers' and staff's testimony and other feedback.
2.1.5	We protect customers' privacy both in face-to-face discussions and in the transfer and storage of customer information.	<ul style="list-style-type: none"> • Procedures for making sure you protect customers' privacy, including having secure computer systems and making checks on customers' identity. • Policies on data protection and staff guidance on this.
2.1.6	We empower and encourage all employees to actively promote and participate in the customer-focused culture of our organisation.	<ul style="list-style-type: none"> • Examples of customer and staff testimony about their involvement and empowerment. • Staff policies and procedures manuals. • Examples of your approaches to promote customer focus throughout the organisation.

2.2 STAFF PROFESSIONALISM AND ATTITUDE	
Element	Guidance
2.2.1 We can demonstrate our commitment to developing and delivering customer-focused services through our recruitment, training and development policies for staff.	<ul style="list-style-type: none"> • Job specifications and recruitment procedures. • Details of the training you have provided to all your employees, and the opportunities for them to develop further.
2.2.2 Our staff are polite and friendly to customers and have an understanding of customer needs.	<ul style="list-style-type: none"> • Customer service policies and staff guidance. • Evidence from mystery shoppers (where relevant) and internal monitoring. • Customers' views and other feedback, including comments on the service provided by individual members of staff.
2.2.3 We prioritise customer focus at all levels of our organisation and evaluate individual and team commitment through the performance management system.	<ul style="list-style-type: none"> • Examples of how customer feedback is linked to your assessment of staff. • Include staff recognition and reward schemes, if relevant and appropriate.

2.2	STAFF PROFESSIONALISM AND ATTITUDE (continued)	
	Element	Guidance
2.2.4	We can demonstrate how customer-facing staff's insight and experience are incorporated into internal processes, policy development and service planning.	<ul style="list-style-type: none"> • Ways in which staff give their views and details on how you use their feedback. • Details of improvements that you have made as a result of staff feedback. • Examples of how you have improved the processes for passing on customers' information throughout your organisation.
2.2.5	We value the contribution our staff make to delivering customer-focused services, and leaders, managers and staff demonstrate these behaviours.	<ul style="list-style-type: none"> • Examples of how your organisation values the role of customer service staff, by recognising and rewarding the contributions of individual members of staff and teams. • Evidence that providing customer-focused services is a priority at all levels of the organisation, from the front line (members of staff who deal with the public) to senior managers and all levels in between.

Customer Service Excellence standard

Criterion 3: Information and Access



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We know that information is vital to customers. They particularly value accurate and detailed information, and this criterion aims to make sure that we have this in mind in everything we do. As a result, we need to focus on making sure that we consider this as part of an effective communication plan for consulting and involving customers, rather than seeing communications as a one-off exercise. Customers also tell us that one of the most frustrating parts of public services is not being kept informed about what is happening. Because of this, we ask you to particularly look at this part of your communication policy.

Putting customers first can be an important first step towards providing effective communication.

3.1	RANGE OF INFORMATION	
	Element	Guidance
3.1.1	We make information about the full range of services we provide available to our customers and potential customers, including how and when people can contact us, how our services are run and who is in charge.	<ul style="list-style-type: none"> • Examples of contact and service information, for the range of communication methods used.
3.1.2	Where there is a charge for services, we tell our customers how much they will have to pay.	<ul style="list-style-type: none"> • Published information about any charges for services. • Details of how and when customers can make payments.

3.2 QUALITY OF INFORMATION		
	Element	Guidance
3.2.1	We provide our customers with the information they need in ways that meet their needs and preferences, using a variety of appropriate channels.	<ul style="list-style-type: none"> • Guidance to staff about clear communication, including testing information with customers. • Customers' views on the communication methods you use.
3.2.2	We take reasonable steps to make sure our customers have received and understood the information we provide.	<ul style="list-style-type: none"> • Details of how you check that individual customers have received and understood the information. • Examples of the changes you make to your communication methods to meet customers' needs.
3.2.3	We have improved the range, content and quality of verbal, published and web-based information we provide to ensure it is relevant and meets the needs of customers.	<ul style="list-style-type: none"> • Examples of changes to the way you provide information after receiving feedback. • Schedule for when you review the information you provide.
3.2.4	We can demonstrate that information we provide to our customers is accurate and complete, and that when this is not the case we advise customers when they will receive the information they requested.	<ul style="list-style-type: none"> • Customers' views and feedback on the accuracy of the information. • Details of the service standards for responding to customers' enquiries. • Complaints and comments from customers. • Examples of when you have provided the wrong information and how this was rectified.

3.3 ACCESS		
	Element	Guidance
3.3.1	We make our services easily accessible to all customers through provision of a range of alternative channels.	<ul style="list-style-type: none"> • Details of the range of options available for contacting the organisation. • Different ways of communicating and specific arrangements and sample materials.
3.3.2	We evaluate how customers interact with the organisation through access channels and we use this information to identify possible service improvements and offer better choices.	<ul style="list-style-type: none"> • Details of how you have reviewed services to make life easier for people. • Outcomes of reviews and the improvements you planned and made as a result.
3.3.3	We ensure that where customers can visit our premises in person facilities are as clean and comfortable as possible.	<ul style="list-style-type: none"> • Data and analysis relating to channel usage and action taken to improve services as a result. • Details of how you use information to improve the choice of services.
		<ul style="list-style-type: none"> • Information on how you have reviewed the physical environment of your premises, arrangements for maintaining quality and details of any recent improvements you have made.

3.4 CO-OPERATIVE WORKING WITH OTHER PROVIDERS, PARTNERS AND COMMUNITIES			
	Element	Guidance	
3.4.1	We have made arrangements with other providers and partners to offer and supply co-ordinated services, and these arrangements have demonstrable benefits for our customers.	<ul style="list-style-type: none"> Formal and informal partnerships and plans for improving access and services. Information on the success of joint working arrangements, including improvements you have made to services as a result. 	<ul style="list-style-type: none"> Customer feedback on the services provided through partnerships, including the quality and range of services and how these are tailored to the individual customer's needs.
3.4.2	We have developed co-ordinated working arrangements with our partners that ensure customers have clear lines of accountability for quality of service.	<ul style="list-style-type: none"> Information on how you monitor and assess services you provide in partnership with other organisations. Evidence of any service level agreements, particularly handover arrangements and other measures that make sure that the customer receives a 'seamless' service. Details of how customers can complain about the services you provide in partnership with other organisations. 	<ul style="list-style-type: none"> Details of how you publicise joint working arrangements, including clear information for customers on who is responsible. Examples of how you help customers to access services, where appropriate.
3.4.3	We interact within wider communities and we can demonstrate the ways in which we support those communities.	<ul style="list-style-type: none"> Information on how your organisation works with and contributes to the wider community, beyond the direct service it provides to customers. 	

Customer Service Excellence standard

Criterion 4: Delivery



A vital part of any organisation is how successfully it achieves its main business aims. This is, of course, also very important to the customers of those organisations. As a result this criterion relates to how you carry out your main business, the outcomes for the customer, and how you manage any problems that arise.

Research shows that many customers are satisfied with the outcome of their contact with public services but fewer are satisfied with the way the service kept promises and handled any problems. Handling problems in particular often receives one of the lowest ratings out of all the different areas measured. Other research has shown that learning from mistakes is an important way for public services to gain trust from their customers. Listening to, and asking for, comments, feedback and complaints about your service can be a great way to make small adjustments to the way your organisation runs, and both formal and informal feedback can be equally important.

4.1 DELIVERY STANDARDS			
	Element	Guidance	
4.1.1	We have challenging standards for our main services, which take account of our responsibility for delivering national and statutory standards and targets.	<ul style="list-style-type: none"> • Details of all standards, performance indicators and targets set for main services. • Include national, statutory and local standards and targets. 	
4.1.2	We monitor and meet our standards and key departmental and performance targets, and we tell our customers about our performance.	<ul style="list-style-type: none"> • Details of how often you monitor your performance and the methods you use. 	<ul style="list-style-type: none"> • Current performance against all standards, key departmental standards, statutory inspections and audits and internal performance targets for the last full year.
4.1.3	We consult and involve customers, citizens, partners and staff on the setting, reviewing and raising of our local standards.	<ul style="list-style-type: none"> • Methods you use to consult and involve customers and others about local standards and targets. • Outcomes of your consultation on standards and targets. 	<ul style="list-style-type: none"> • Information showing past and present standards and targets that you can use to compare your performance with previous years.

4.2 ACHIEVED DELIVERY AND OUTCOMES		
	Element	Guidance
4.2.1	We agree with our customers at the outset what they can expect from the service we provide.	<ul style="list-style-type: none"> Show that you use the promises and aims to make appropriate commitments to each customer.
4.2.2	We can demonstrate that we deliver the service we promised to individual customers and that outcomes are positive for the majority of our customers.	<ul style="list-style-type: none"> Customers' views and feedback on their experience of the service. Include responses to specific survey questions and information and figures for positive outcomes.
4.2.3	We can demonstrate that we benchmark our performance against that of similar or complementary organisations and have used that information to improve our service.	<ul style="list-style-type: none"> Information from benchmarking exercises (where this information is available). Exercises can include comparing functions as well as whole services. <ul style="list-style-type: none"> Evidence of peer reviews, discussion groups, taking part in forums or other methods for comparing your performance with other organisations.
4.2.4	We have developed and learned from best practice identified within and outside our organisation, and we publish our examples externally where appropriate.	<ul style="list-style-type: none"> Show how you share and apply best practice within your organisation and how you apply best practice examples from outside the organisation. Examples of best practice you have published recently.

4.3 DEAL EFFECTIVELY WITH PROBLEMS			
	Element	Guidance	
4.3.1	We identify any dips in performance against our standards and explain these to customers, together with action we are taking to put things right and prevent further recurrence.	<ul style="list-style-type: none"> • Outcomes of monitoring processes. • Details of any action you have taken. • Examples of how you explain dips in performance to customers. 	<ul style="list-style-type: none"> • Examples of effective procedures you have put in place to keep customers informed during exceptional circumstances such as emergencies.
4.3.2	We have an easy-to-use complaints procedure, which includes a commitment to deal with problems fully and solve them wherever possible within a reasonable time limit.	<ul style="list-style-type: none"> • Customer complaints procedure as provided for use by customers. 	
4.3.3	We give staff training and guidance to handle complaints and to investigate them objectively, and we can demonstrate that we empower staff to put things right.	<ul style="list-style-type: none"> • Complaints policy. • Guidance and training you give staff in how to respond to and deal with complaints. 	<ul style="list-style-type: none"> • Assessment of how effective your complaints handling training is. • Examples of where staff have been given the authority to resolve complaints.

4.3 DEAL EFFECTIVELY WITH PROBLEMS (continued)		
	Element	Guidance
4.3.4	We learn from any mistakes we make by identifying patterns in formal and informal complaints and comments from customers and use this information to improve services and publicise action taken.	<ul style="list-style-type: none"> Records of formal and informal complaints and comments relating to problems. Information you regularly publish showing trends in complaints, both formal and informal, and the action you have taken as a result.
4.3.5	We regularly review and improve our complaints procedure, taking account of the views of customers, complainants and staff.	<ul style="list-style-type: none"> Customer and staff feedback on the effectiveness of the complaints procedure. Process for reviewing your complaints procedure and the improvements you have made.
4.3.6	We ensure that the outcome of the complaints process for customers (whose complaint is upheld) is satisfactory for them.	<ul style="list-style-type: none"> Feedback from customers on the outcome of complaints processes. Details of procedures for staff and feedback processes.

Customer Service Excellence standard

Criterion 5: Timeliness and Quality of Service



This criterion looks in more detail at the standards you have relating to how you carry out your main business. It draws heavily on what public service users have identified as the most important factors in excellent customer service. Separating customer service standards from the main business standards makes the requirements for setting and monitoring standards in these areas much more important and visible. This plays a major part in developing the customer-focused culture discussed in Criterion 2.

What is covered here is not meant to be a full list of every factor that affects how you run your service. Clearly, local factors will also be important but we know from research that the speed of your initial contact with the customer and your ability to keep to agreed timescales are vital. However, because organisations can sometimes focus on providing a speedy service while forgetting to also consider quality, we have combined both these factors here.

5.1 STANDARDS FOR TIMELINESS AND QUALITY		
	Element	Guidance
5.1.1	We set appropriate and measurable standards for the timeliness of response for all forms of customer contact including phone calls, letters, e-communications and personal callers.	<ul style="list-style-type: none"> • Details of standards and targets set for timeliness of response to customer contact for all access channels.
5.1.2	We set comprehensive standards for all aspects of the quality of customer service to be expected in all dealings with our organisation.	<ul style="list-style-type: none"> • Full customer service standards – including the quality of your response to phone calls, letters, e-communications and personal callers – for all stages of the customer journey.

5.2 TIMELY OUTCOMES		
	Element	Guidance
5.2.1	We advise our customers and potential customers about our promises on timeliness and quality of customer service.	<ul style="list-style-type: none"> Published information and all methods for advising customers and potential customers of standards for timeliness and quality of customer service.
5.2.2	We identify individual customer needs at the first point of contact with us and ensure that an appropriate person who can address the reason for contact deals with the customer.	<ul style="list-style-type: none"> Examples of the processes you use when you first have contact with the customer – for example, interview techniques, mapping customer journeys, reviewing information you already hold about the customer. Show an understanding of how customers are using the different methods to contact you, and the problems you face in providing a successful service.
5.2.3	We promptly share customer information with colleagues and partners within our organisation whenever appropriate and can demonstrate how this has reduced unnecessary contact for customers.	<ul style="list-style-type: none"> Processes you have in place to make sure that complete information is transferred promptly and to all relevant people within and outside the organisation. Examples of how you have shared information promptly and in a useful and appropriate way, while keeping to the regulations on data protection and confidentiality. Examples of where you have shared information about customer groups (for example, with service managers, front-line staff and partners) to provide more efficient services.

5.2	TIMELY OUTCOMES (continued)	
	Element	Guidance
5.2.4	Where service is not completed at the first point of contact we discuss with the customer the next steps and indicate the likely overall time to achieve outcomes.	<ul style="list-style-type: none"> • Customers' views that show how the service has been tailored to consider their individual circumstances. • Details of how you have communicated the likely timescales with customers.
5.2.5	We respond to initial enquiries promptly, and if there is a delay we advise the customer and take action to rectify the problem.	<ul style="list-style-type: none"> • Information on wait times for initial responses to telephone, e-mail, text and personal callers. • Information on your procedures to tell customers about any problems.

5.3		ACHIEVED TIMELY DELIVERY	
	Element	Guidance	
5.3.1	We monitor our performance against standards for timeliness and quality of customer service and we take action if problems are identified.	<ul style="list-style-type: none"> • Methods used for monitoring performance in relation to standards for timeliness and quality of customer service. • Steps taken to address timeliness of delivery where this does not meet customer expectations. 	
5.3.2	We are meeting our current standards for timeliness and quality of customer service and we publicise our performance against these standards.	<ul style="list-style-type: none"> • Current actual performance against all standards and targets for timeliness and quality of service and evidence of publication. 	<ul style="list-style-type: none"> • Customer feedback on achievement of service delivery within agreed timescales. • Examples of 'mystery shopper' evidence, where relevant.
5.3.3	Our performance in relation to timeliness and quality of service compares well with that of similar organisations.	<ul style="list-style-type: none"> • Comparative performance data relating to timeliness and quality of customer service obtained from benchmarking exercises. 	

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Cabinet

10 September 2020

Local Digital Declaration

Recommendations

That Cabinet:

1. Agrees that Warwickshire County Council signs up to the Local Digital Declaration.
2. Endorses the proposed next steps in benefiting from being signatories to the Declaration.

1. Executive Summary

- 1.1 The Local Digital Declaration is an initiative led by the Local Digital Collaboration Unit at the Ministry for Housing, Communities and Local Government (MHCLG), in partnership with the Government Digital Service (GDS), and a collection of local authorities and sector bodies from across the UK. Signatories subscribe to five principles and a number of activities, set out [here](#) (five-page document).
- 1.2 The original declaration was co-authored in 2018 by 45 organisations including more than 20 local authorities. It calls on the sector to take collaborative actions to improve local services for users, support more diversity and competition in the public sector IT market, and offer better value for money by building reusable patterns and standards. The Declaration has to date been endorsed by more than one third of English principal local authorities, and each signatory has committed a ['first action'](#) in support of the movement.
- 1.3 This paper sets out the various benefits that can be derived from signing up to the declaration, along with an assessment of the limited number of risks it might present. In terms of resource commitments, this can be at our discretion and is likely to be a case of the more effort we put towards the initiative, the greater the potential benefits.
- 1.4 In summary, this is a low-risk commitment that is complementary to our existing strategic objectives. It will provide tangible evidence of our desire to be keeping pace with developments in digital and Cabinet is recommended to support this initiative.

2. Supporting Information

2.1 More information on the Local Digital Declaration (LDD) can be found here: <https://localdigital.gov.uk/declaration/>

2.2 The LDD Principles are set out below and are in line with our organisational and ICT strategies.

2.3 LDD Principles

- We will go even further to redesign our services around the needs of the people using them. This means continuing to prioritise citizen and user needs above professional, organisational and technological silos.
- We will 'fix our plumbing' to break our dependence on inflexible and expensive technology that doesn't join up effectively. This means insisting on modular building blocks for the IT we rely on, and open standards to give a common structure to the data we create.
- We will design safe, secure and useful ways of sharing information to build trust among our partners and citizens, to better support the most vulnerable members of our communities, and to target our resources more effectively.
- We will demonstrate digital leadership, creating the conditions for genuine organisational transformation to happen, and challenging all those we work with to embrace this Local Digital Declaration.
- We will embed an open culture that values, incentivises and expects digital ways of working from every member of our workforce. This means working in the open wherever we can, sharing our plans and experience, working collaboratively with other organisations, and reusing good practice.

2.4 Benefits

- Provides access to the £7.5m [Local Digital Fund](#) and one-off funding opportunities like the [Local Digital C-19 Challenge](#)
- Provides access to free Government Digital Service (GDS) Academy [training](#)
- Creates opportunities for collaboration with other local authorities and partners, including organisations regarded as innovative in this field such as Essex, Hackney, GMCA
- Shows progressive thinking and wanting to keep pace with new developments; encourages experimentation
- Access to peers via a useful online forum where ideas and innovations are shared
- Being more aware of and applying good practice from elsewhere should reduce effort and potentially lead to cost savings for example through joint procurement

- Promotes the use of open standards, reusable components and modularity (i.e. developing digital solutions in line with existing good practice, provides the opportunity to implement solutions developed elsewhere and to share our solutions with others)
- We would be joining Rugby BC as a local signatory to the declaration
- Our sub-regional partners, Coventry and Solihull, are already signatories and this would provide another formal route to collaboration with them.

2.5 Risks

- Greater transparency will invite more scrutiny and challenge in our approach to digital (not necessarily a bad thing, but we will need to be receptive to challenge)
- Would require greater 'working in the open' and may require a greater willingness to acknowledge 'failure' (again, this might bring benefits rather than present risk)
- May introduce some limited overheads such as a commitment to blogging and sharing experiences (although this might be encouraged as part of staff development and raising WCC's profile)
- May, over the medium-term, push us towards changing our resource profile through needing to upskill staff so that we can adopt best practice approaches
- Co-producing with other local authorities will introduce more complexity and governance issues, with an impact on delivery timescales.

2.6 Requirements

- Committing to a ['first action'](#), which would involve completing a project in line with the Declaration principles
- Committing to more external communication and sharing of experiences, such as blogging e.g. <https://dataingovernment.blog.gov.uk/>
- Visibly demonstrating a commitment to the principles behind the Declaration; WCC is already working to these principles in many respects and signing up to the declaration will not need a radical change of direction
- Providing staff with the time and space to engage with wider communities and explore opportunities.

2.7 Next Steps

- Corporate Board has already endorsed this as an approach. With Cabinet approval, the next step is to sign the declaration. The Strategic Director for Resources will be the formal signatory with the Service Manager for Business Intelligence as the day-to-day contact with MHCLG and wider network

- Establish a task and finish group to complete the following activities:
 - Issue some internal communications and raise awareness of the declaration
 - Identify and agree proposals for a 'first action' project, to be approved and overseen by the Data & Digital Board (some potential areas are listed in the appendix).

3. Financial Implications

- 3.1 There is no direct financial cost in signing up to the declaration.
- 3.2 There may be resource implications as the working group identifies potential projects to fulfil our commitment to a 'first action'. These should not be significant and would be aligned with activity the council would want to deliver anyway in line with our change portfolio and would therefore be delivered through existing service or transformation funding.
- 3.3 Although not an explicit objective, there may be commercial opportunities if WCC develops digital products that have value to other local government organisations.

4. Environmental Implications

- 4.1 No direct environmental implications, although there may be opportunities to learn from digital projects elsewhere that have delivered environmental benefits.

5. Timescales associated with the decision and next steps

- 5.1 There is no deadline we need to meet in order to be signatories to this initiative, but the sooner we sign up the sooner we can benefit from the opportunities it presents. The formalities of signing up to the LDD can be completed within a month of Cabinet approval.

Background Papers

None

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

Local Member(s): N/A

Other members: Lead Scrutiny Members

Appendix - Potential 'first actions'

WCC would need to commit to a 'first action' project, involving partners. Some illustrative examples are listed below. The working group would evaluate these and other opportunities and bring proposals through appropriate governance arrangements.

- Support our work on economic recovery - capturing data from the local economy to enable us to support with greater insight, more dynamic understanding of specific local issues and operate more proactively rather than assume businesses will approach us to gain support and advice (e.g. 'smart outbound messaging').
- Explore opportunities to capture better insight from the local VCS sector and charities, in support of our VCS Strategy and the re-commissioning of our VCS services in 2021.
- Digital/data apprenticeship academy and remote working experience with various councils (Hackney are looking for partners on this).
- Mapping of businesses and community assets (Huntingdon are seeking partners on this).
- Delivering public consultations and engagement in an increasingly virtual environment (Kingston/ Sutton/ Cambridgeshire/ Northamptonshire all looking for partners on this and it would align with our emerging Participation & Engagement Framework).

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Cabinet

10 September 2020

Home to School Transport Policy

Recommendation

That Cabinet endorses the following revision to the Home to School Transport policy:

- The definition of a pupil's qualifying school is altered to mean *either the closest qualifying school* to the pupil's home address, with places available, that provides education appropriate to the age, ability and aptitude of the pupil and takes in account any special educational needs that pupil may have, *or the priority area school in which the pupil resides*. This change would be implemented from publication of the Home to School Transport Policy

1. Executive Summary

- 1.1 There is no universal entitlement to free travel for every learner to and from any educational establishment. Parents have a legal duty to make necessary arrangements to ensure that pupils of compulsory school age receive full time education and, if registered at a school, that they attend regularly.
- 1.2 The local authority is required to provide transport assistance to children resident within the administrative area of Warwickshire County Council who are entitled under the law and the home to school transport policy. The criteria for eligibility are contained in section 3 of the draft policy in Appendix 1.
- 1.3 Warwickshire County Council is proposing a single change to the definition of a pupil's Qualifying School (contained in paragraph 2.3 of the draft policy in Appendix 1). In all other material aspects, the policy remains unchanged.
- 1.4 In January 2018, as part of addressing non-statutory duties, Cabinet endorsed a number of changes to the home to school transport policy including the current definition of a pupil's qualifying school, removing priority area school from the criteria.
- 1.5 At the moment, a pupil's qualifying school is defined by Warwickshire County Council to mean only the pupil's closest school to home with a space available for the pupil by the shortest available route (this will be a driving route if the journey is over the statutory walking distance or a walking route if the journey is less than the statutory walking distance). This may not be the priority area

school (sometimes referred to as 'catchment school') but will be the one physically closest to the student's home address.

- 1.6 Following a review of this change in the definition of nearest qualifying school, it is proposed to change the definition to reintroduce the priority area school. A number of factors contributed to the decision to propose the change to definition of a pupil's qualifying school:
 - 1.6.1 The revision to the definition in January 2018 was part of addressing non-statutory duties, wide priority areas and the removal in some instances of priority areas altogether. The County Council recognise that the number of schools removing priority areas remains small and that within the wide, largely rural, priority areas the revision created a divide in transport assistance eligibility within certain localities and villages where the nearest school can differ by marginal distances.
 - 1.6.2 By not aligning with priority areas, the current definition has also distanced itself from the school admissions process consequently creating confusion and can prove complex to understand for parents and carers when making a school place application with one priority school and multiple nearer schools.
- 1.7 Therefore, it is proposed to change the definition of qualifying school for a pupil to mean either the closest qualifying school (see paragraph 2.2 of the draft policy) to the pupil's home address, with places available, that provides education appropriate to the age, ability, and aptitude of the pupil and takes into account any special educational needs that the pupil may have, or the priority area school in which the pupil resides. This means that some children will have two qualifying schools.
- 1.8 The calculation of the qualifying school for a pupil who has gained a place at a selective school will remain unchanged and will include non-selective comprehensive schools which provide schooling for those of all ability levels. As such transport to selective schools will only be provided if it is the closest qualifying school to the child's home, taking into account all relevant secondary schools. The distance from home to school will also need to exceed the relevant statutory walking distance.
- 1.9 Similarly, the calculation of qualifying school for a pupil who has gained a place at a faith school remains unchanged and will include non-faith schools which provide schooling for those of all faiths. As such transport to faith schools will only be provided if it is the closest qualifying school to the child's home, taking into account all relevant schools. The exception to this will be when the pupil is of secondary school age and qualifies under the extended eligibility criteria (see section 3.3). The distance from home to school will also need to exceed the relevant statutory walking distance.
- 1.10 Where changes are proposed to the local policy on transport arrangements, Local Authorities are required to consult on these changes for at least 28 working days during term time.

- 1.11 A public consultation took place between Monday 8th June and Friday 17th July 2020 using WCC's consultation platform and social media to communicate the consultation with the various stakeholders. Consultation documentation is provided in Appendix 2.
- 1.12 418 responses were received during the consultation period. A summary of the responses is provided in Appendix 3.
- 1.13 Respondents were asked to the extent to which they agreed or disagreed with the proposal. 67% of respondents agreed or strongly agreed with the proposed change, 26% disagreed or strongly disagreed, and 7% neither agreed nor disagreed with the proposal.
- 1.14 Analysis of the open-ended responses to the questions that allowed the opportunity to provide further comments about the proposal identified a number of key themes. Almost a third of respondents who provided comment indicated that this change would have a positive impact on pupils and families, providing a fairer approach and more choice for families. A number of respondents also mentioned the proposal benefiting those whose nearest school is not their priority area school and having a positive impact on rural communities. Some respondents (10%) felt that the policy would still disadvantage those pupils that attend selective education and similarly, a number of respondents felt that the policy change would still disadvantage those families wanting to attend a faith-based school. A number of respondents, the majority of who disagreed with the proposed change, felt that transport should be free to whichever school a pupil chooses to attend to support parental choice and provision that is best suited to the individual pupil.

2. Financial Implications

- 2.1 The Medium-Term Financial Strategy (MTFS) proposed an additional £7.6million to the Home to Transport revenue budget by 2024/25. This includes an additional £2.037million in 2020/21 in order to address estimated growth and balance the budget.
- 2.2 With the current home to school transport policy still in a transition stage the transport network is predominantly operating on the previous definition of a pupil's qualifying school (which included priority area). Therefore, the operational impact of altering the definition (for example to reintroduce the catchment area school) is expected to be minor.
- 2.3 The MTFS outlines proposed savings of £0.279m for 2020/21 increasing by a further £0.295m in 2021/22, with a further £0.399m by 2024/25. It is not anticipated that the proposed change to the definition of a pupil's qualifying school will have an impact on these efficiency savings.
- 2.4 It should be noted that the service is currently reviewing, as part of the MTFS refresh, both the additional allocations and efficiency savings which are

subject to revision and will form part of the overall Council MTFS refresh to be approved by Council in February 2021.

- 2.5 The January 2018 Cabinet report recommending a number of policy changes, including the change to the current definition of nearest qualifying school. Estimated savings were attached to these policy changes. Therefore, a reversal of the policy decision to change the definition of nearest qualifying school will result in the service being unable to achieve the estimated saving of between £31,000 and £44,000 which was based on assumptions surrounding potential additional income from paid transport (ie those that were eligible under the previous policy taking up the option of paid transport where available). If there is a resulting overspend from this proposed policy change further areas for potential savings will be explored.
- 2.6 It should also be noted that the 2018 policy change to the definition of a pupil's qualifying school significantly increased the number of transport appeals received by WCC. If the policy was to continue with the current definition additional officer capacity within the Education Transport Team would need to be sought, together with the associated additional revenue expenditure, in order to process the transport appeals within the stipulated time frames.

3. Environmental Implications

- 3.1 Including the priority area school (often the preferred school of choice), within the nearest qualifying school criteria could increase the eligibility for transport assistance in certain areas but at the same time provide the option of a more sustainable mode of transport. Retaining the current definition could lend itself to an increase in the number of individual cars used to transport learners to the school of choice where transport assistance is not available.

4. Supporting Information

None

5. Timescales associated with the decision and next steps

- 5.1 It is intended that the proposed change would be implemented for new transport applications from publication of the revised Home to School Transport Policy

Appendices

1. Appendix 1 – Draft Home to School Transport Policy
2. Appendix 2 - Consultation Documentation
3. Appendix 3 – Summary of responses to consultation

Background Papers

1. Equality Impact Assessment

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

Local Member(s): N/A

Other members: Councillors Hayfield, Dahmash, P.Williams, C Davies and Skinner

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Home to School/College
Transport Policy

DRAFT



*Working for
Warwickshire*

COMMUNITIES GROUP

HOME TO SCHOOL / COLLEGE TRANSPORT POLICY

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1 INTRODUCTION.

The following document aims to provide guidance for parents/carers, young people and young adults on the Education Transport Policy adopted by Warwickshire County Council (“the local authority”) and approved by elected members. This document sets out Warwickshire’s Education Transport Policy and describes how the Council fulfils its duties and exercises its discretionary powers as required under the Education Act 1996 and subsequent legislation.

The purpose of this comprehensive guidance is to incorporate all education transport assistance into one key policy for pupils aged 3 to 25 years of age.

There is no universal entitlement to free travel for every child or student to and from any school. Parents and post-16 students are strongly advised to consider how pupils and students will get to an education establishment before applying for a place.

Support from the Local Authority (LA) for travel to and from education will not necessarily be in the form of a vehicle to transport a child. It may be by enabling the child to walk to and from education through Independent Travel Training where the child may otherwise not have been capable of doing so. This does not affect any statutory right to free transport.

Where there is no entitlement to support from the LA, parents and students can seek assistance from educational institutions which are able to use some of their own funds to support transport where they feel this is appropriate. Where support from Warwickshire is not free, it may not be the cheapest option for an individual to take up a vacant seat on the LA’s transport network and commercial options should be explored.

Parents have a legal duty and a responsibility to make necessary arrangements to ensure that their statutory aged children attend school regularly. The local authority is required to provide transport assistance to children resident within the administrative area of Warwickshire County Council who are entitled under the law and this policy.

Transport policy will often influence a parent’s decision when choosing a school but the two policies are not intrinsically linked.

The following policy will outline in detail the key aspects of applications received for consideration under the heading of Eligible Children, it aims to provide clarity and understanding of criteria for eligibility and the process when a child is refused free travel. The policy will also outline any discretionary arrangements for specified groups and will explain travel arrangements for non-eligible travellers.

The Policy contains supplementary information within the appendices attached. The content of these are updated regularly and are subject to change without consultation.

Following consultation on the proposed change to the Policy, if approved it is proposed that the contents of the new policy are effective from the date of publication.

2 DEFINITIONS

2.1 Eligibility for travel assistance

To qualify for free home to school transport the pupil must meet all of the criteria listed below;

A	The pupil must be resident in Warwickshire
B	The pupil must be attending their qualifying school (see section 2.3)
C	The pupil must be of compulsory school age. This includes all pupils from the start of the academic year in which they turn 5 until the end of the academic year in which they turn 16. Transport assistance is not provided to Nursery settings (exceptions to this rule are in section 3.6)
AND either D or E	
D	The pupil must live more than the statutory walking distance from their qualifying school (see section 2.4) OR have a route to school which is less than the statutory walking distance but deemed unsafe to walk (see section 3.4)
E	The pupil must be unable to walk the statutory walking distance to their qualifying school because of their special educational need, disability or mobility difficulties (subject to an assessment of their needs)

2.2 A **qualifying school** falls within one of the categories set out below:

- (a) a community, controlled, foundation or voluntary aided school
- (b) a community or foundation special school
- (c) a non-maintained special school
- (d) a pupil referral unit (PRU)
- (e) a free school
- (f) a maintained nursery school
- (g) a City Technology College (CTC), College, Career & Technology Academy (CCTA) or Academy
- (h) an independent school if named in a child's EHCP

- 2.3 The **qualifying school for a pupil** is either the closest qualifying school (see 2.2) to the pupil's home address, with places available, that provides education appropriate to the age, ability, and aptitude of the pupil and takes into account any special educational needs that pupil may have, or the priority area school (as defined by Warwickshire County Council [here](#)) in which the pupil resides. Priority areas for faith and selective schools are not included within this definition. This means that some children will have two qualifying schools. Parents who choose a different school or unit will not normally qualify for transport assistance, except where agreement is reached under the rules set out in *Dudley MBC v Shurvington* (2012).

A calculation for the closest qualifying school is undertaken on the basis of what school is closest to home by the shortest available walking route with spaces available in the pupil's year group. If there is no such school within statutory walking distance (see 2.4 for definition) then a new calculation will take place on the basis of the shortest motorised route to calculate the qualifying school.

The calculation of qualifying school for a pupil who has gained a place at a selective school will include non-selective comprehensive schools which provide schooling for those of all ability levels. As such transport to selective schools will only be provided if it is the closest qualifying school to the child's home, taking into account all relevant secondary schools. The distance from home to school will also need to exceed the relevant statutory walking distance.

Similarly, the calculation of qualifying school for a pupil who has gained a place at a faith school will include non-faith schools which provide schooling for those of all faiths. As such transport to faith schools will only be provided if it is the closest qualifying school to the child's home, taking into account all relevant schools. The exception to this will be when the pupil is of secondary school age and qualifies under the extended eligibility criteria (see section 3.3). The distance from home to school will also need to exceed the relevant statutory walking distance.

The qualifying school for a pupil attending a special school or specialist unit will be the nearest appropriate special school or unit that can meet their needs. Parents who choose a different school or unit will not qualify for transport assistance.

Where a special school or unit is named in the pupil's EHCP because of parental preference, free transport will not normally be provided if it is not deemed to be the nearest school able to meet the pupil's needs.

- 2.4 The **statutory walking distance** is:
- (a) two miles for pupils under eight.
 - (b) two miles for pupils aged 8-16 from a low-income family (see 2.6).
 - (c) three miles for other pupils aged 8-16.

The measurement of the walking distance is not necessarily the shortest distance by road. It is measured by the shortest route along which a

child, accompanied as necessary, may walk in reasonable safety. As such, the route measured may include footpaths, bridleways, and other pathways, as well as recognised roads.

Walking Distance will be measured from the home boundary to the nearest school gate. This may not be main school gate, but may be the closest access point.

- 2.5 **Motorised Routes** are those passable by using a suitable motorised vehicle. Paths and roads not passable by motorised transport will not therefore be considered. Measurements will be made by the Authority's Education Transport Office using Google Maps or other appropriate measurement system used by the Authority at that time.

Motorised routes will be used to calculate the distance from home to school when there is no qualifying school within statutory walking distance of the child's home.

- 2.6 **Low-income families;** pupils shall be considered to be from a low-income family if they are entitled to free school meals, or if a parent with whom they are ordinarily resident are in receipt of their maximum level of Working Tax Credit. Proof will be required.

For pupils granted free transport on the grounds of entitlement to free school meals, or their parent's receipt of the maximum level of Working Tax Credit, eligibility will need to be confirmed during each academic year.

Where pupils are granted free school meals on a non-statutory basis, or if parents are unable to prove they are in receipt of their maximum level of Working Tax Credit, the pupils shall not be considered to be from a low-income family for transport purposes.

3 ELIGIBLE PUPILS.

3.1 Background.

Under Section 508B Education Act 1996, the Authority must provide certain categories of pupils with free home school transport. The following groups of pupils are currently considered eligible for free transport if they are resident in Warwickshire.

Unless eligible under section 3.3 of this policy, pupils should be attending their qualifying school to qualify for free transport (see sections 2.2). Section 3 applies only to children of compulsory school age and does not provide any entitlement to those aged under 5 or those who are 16 or over and are no longer of compulsory school age.

3.2 Pupils living outside Walking Distance

Statutory walking distance is a threshold which determines whether the responsibility for travel sits with the Council or with the child's parent. It

does not mean that pupils must walk the distance. It is the responsibility of parents who live under the qualifying distance to decide how to get their child(ren) to and from school.

Free home to school transport assistance will be available to pupils attending their qualifying school, where the distance from home to school by the shortest available walking route exceeds:

- (i) Two miles for pupils under the age of 8 years
- (ii) Three miles for pupils aged 8 – 16

Where a pupil qualifies for Home to School Transport under the age of 8 due to the distance being more than 2 miles but less than 3 miles, transport assistance will continue until the end of the academic year in which they turn 8 years old.

3.3 Pupils from low-income families:

Where a pupil is considered to be from a low-income family free Home to School Transport assistance will be provided:

- (a) To pupils aged 8-11, attending their qualifying school, if more than two miles from their home by the shortest available walking route.
- (b) To pupils aged 11-16, attending one of their three nearest qualifying school, provided it is more than two miles (by the shortest available walking route), but not more than six miles (by motorised route) from their home.
- (c) To pupils aged 11-16, attending the nearest qualifying school which accords with the parents' religion or belief, provided it is more than two miles (by the shortest available walking route), but not more than fifteen miles (by motorised route) from their home.

Where an application for transport is made on grounds of religion or belief, the Authority will require written evidence to support that application. It is the applicant's responsibility to provide this information. This may include written confirmation from third parties supporting the religion or belief claimed. Providing such evidence is no guarantee of free transport, as the final decision as to whether the application meets the criteria for being based on grounds of religion or belief will sit with the local authority.

3.4 Pupils unable to walk in safety to school because of the nature of the route.

Where pupils live within the statutory walking distance of their qualifying school, and the pupil attends that school, the local authority may, in certain circumstances, be under a duty to make travel arrangements.

These include where the nature of the route is such that a pupil cannot reasonably be expected to walk, accompanied as necessary, in reasonable safety. (See 'Accompaniment' Appendix B & section 3.14),

and no alternative suitable route of under statutory walking distance exists.

The Council has a detailed policy for carrying out route assessments. Further information is provided in Appendix A.

Where a parent believes that the route from home to school is not safe they can request that the route is assessed. The route will then be assessed by the local authority if, it has not been assessed in the last 3 years or if the parent provides evidence that circumstances on the route have changed since the last assessment. Parents will need to complete the request form which can be obtained from the Education Transport department directly, using the contact details in section 12.

3.5 Pupils with an Education Health & Care Plan (EHCP)

Entitlement to free school transport assistance for a pupil with special educational needs and/or a disability who has an EHCP is based on the following criteria. Where a parent chooses to send their pupil to a more distant school or specialist provider, even though their qualifying school is able to meet the pupil's needs, they will normally assume responsibility for the provision of transport and any associated costs, subject to the rules set out in *Dudley MBC v Shurvington (2012)*:

- **The pupil is a Warwickshire resident**
- **The pupil holds an Education Health & Care Plan (EHCP) or is accessing a placement for continuous assessment such as;**
 - A designated speech and language unit
 - A specialist nursery
- **The pupil is attending their qualifying school**

The **qualifying school** for a pupil is a school which meets the definition in Paragraph 2.2 that provides education appropriate to the age, ability, and aptitude of the pupil, and taking into account the child's special educational needs. For most children this is still likely to be their nearest mainstream school, or the child's priority area school.

In the case of a pupil whose needs cannot be met in mainstream but which can be met in a generic Warwickshire special school, this is likely to be the school which serves that area of the County. Further details are available in Appendix C (this will be updated annually or as and when required). It could also be another school if closer to home by the shortest available route.

If the child's needs cannot be met in either mainstream or in a generic special school, their qualifying school would depend on the specific requirements of the pupil. This could be a specialist special school, satellite provision or resourced provision within mainstream

schools (please see Appendix C for full details), or provision made through the Flexible Learning Team as written into the child's EHCP.

Where a parent chooses to send their pupil to a more distant school or specialist provider, even though their qualifying school is able to meet the pupil's needs, they assume responsibility for the provision of transport and any associated costs. Such circumstances will be noted on the EHCP.

- **Distance**
EITHER
- **The Pupil has been assessed as having mobility difficulties or health and safety issues related to a disability or special educational needs that makes it impractical to safely walk to school, even if accompanied.**

OR

- **The Pupil lives over the statutory walking distance from the school**

Upon application from the parent who considers that their child has mobility difficulties or health and safety issues related to a disability or special educational needs that makes it impractical to safely walk to school, even if accompanied, that County Council will arrange for an assessment of their needs to determine whether transport assistance is necessary to facilitate access to school. The pupil's individual needs will be taken into consideration as well as the nature of the route to/from school. The pupil's EHCP may be used to obtain information about their specific needs.

Please see Appendix D for a list of the assessment criteria and the supplementary information that may be required to support the application. All applications will be considered on an individual basis, in line with any relevant law or legislation. The type of transport assistance offered may vary depending on the pupil's individual needs. Independent Travel Training will be considered an appropriate form of assistance where the pupil has been assessed as being suitable (see section 5.1/5.3). Refusal to engage in the training may result in no further transport assistance being offered.

If the pupil lives over the statutory walking distance from the school and all other criteria are fulfilled then transport will be provided without a need for a full assessment of the child's needs.

3.6 Pupils with special educational needs attending a specialist Nursery

Free transport will be provided to children in early years where:

- They are resident in Warwickshire;

- The pupil is attending the nearest appropriate specialist nursery provision and has a place confirmed by IDS (Integrated Disability Service); and
- The pupil is aged 3 or 4 years old

3.7 Children Looked After

Arrangements for children who have been placed with foster carers may differ slightly, as the school attended by the child may be set by the Local Authority, which would make that school their qualifying school, but the Local Authority is clear that this policy applies to all Looked After Children. Foster carers should agree arrangements for the provision of transport to school with the child's social worker prior to placement.

3.8 Managed Moves

Pupils placed by the Local Authority into a school as a managed move may qualify for transport assistance. This would normally be funded by the Area Behaviour Partnership (ABP) and will depend on the circumstances of the case.

3.9 Fair Access Protocol (FAP)

Where a pupil has been placed at a school by the Local Authority under the FAP, they may receive transport to facilitate their attendance, should it be considered necessary to do so.

3.10 Pupils unable to walk to school by reason of their medical needs

Where a pupil (up to 16 years of age) has a disability, mobility issues or short or long-term medical needs, which prevent them from walking to school, transport assistance will be considered.

A pupil of compulsory school age will be eligible for free home to school transport, if they attend their qualifying school and if they cannot reasonably be expected to walk to that school because of their disability or mobility problems.

Evidence of any conditions or difficulties will be required from relevant professionals. Applications under this criterion must evidence that the pupil's disability prevents him or her from walking the statutory walking distance to school, even if accompanied by a responsible adult.

Eligibility will be assessed using the information provided on the application form. Parents / carers will be responsible for providing supporting evidence and it may be necessary to seek guidance from relevant professional agencies. Evidence may be a letter from a paediatrician or a consultant psychologist, for example.

Should transport assistance be agreed, it will normally be on a time- limited basis. Transport assistance for those with short term medical

problems will be agreed for up to 8 weeks, subject to review at the end of the period if necessary. Long term medical conditions will normally be agreed for the academic year, with a new application required for the following academic year.

Parents should apply using the 'Transport Assistance for Pupils on Medical Grounds' application form. This can be found at <http://www.warwickshire.gov.uk/educationmedicaltransport> or requested from Education Transport by using the contact details in section 12.

Students over the age of 16 should apply either under the 16-19 transport policy (section 10) or under the 16-25 policy (section 11). If the student has an EHCP or learning difficulties / disabilities. They should not apply for transport assistance using the 'Medical Grounds' application form.

3.11 Pupils Educated Outside of Year Group/Deferment

Occasionally, pupils may be placed in a year group below their chronological year group assumed by their date of birth. Deferred entry to school would also mean that a pupil is educated outside of their normal year group.

Pupils who are legally entitled to free transport assistance would continue to receive assistance until the end of the academic year in which they reach the age of 16. Transport assistance after this time would depend on the Post-16 policy and become chargeable, further details of which can be found in section 10 of this policy.

3.12 Accompaniment

It is the responsibility of those with parental responsibility to make suitable arrangements to ensure that their child is accompanied on walking routes to school, if it is considered by the parents that the child's age, ability and levels of understanding make this necessary. The Authority will therefore not provide transport solely because parents have not made such arrangements, unless exceptional circumstances apply. Such circumstances may include where disability means that no parent is available to accompany the pupil along a walking route to school. In circumstances such as this, parents will be responsible for providing supporting evidence and it may be necessary to seek guidance for relevant professional agencies.

Production of evidence is no guarantee of free transport and each case will be assessed on an individual basis. It is the general position of Authority that parents are expected to manage ensuring that their children are accompanied to school alongside any work commitments that they may have. Details on the law can be found in Appendix B.

4 GENERAL PRINCIPLES APPLYING TO TRANSPORT PROVISION UNDER THIS POLICY FOR THOSE OF COMPULSORY SCHOOL AGE.

4.1 Eligibility.

The Education Transport section will establish eligibility for free transport. This will take place on application once places at schools have been allocated, and accepted by the parents. Only one application may be made per academic year (unless there is a significant material change of circumstances such as a house or school move).

Warwickshire County Council only provides free home to school transport to Warwickshire residents. However, non-Warwickshire residents may apply for transport assistance under the Council's Vacant Seats Scheme. (See section 8.2).

By law, a pupil is not entitled to free transport until he / she reaches statutory school age (at the beginning of the first term to start after the child's fifth birthday). Since Warwickshire's policy is to admit pupils from the start of the academic year in which they become five, transport provision will normally be made from the time of their admission. Transport assistance will not be provided before this time except in accordance with section 3.6.

Parents have the opportunity to express a preference for the pupil to attend any school. However, when pupils do not attend their qualifying school, there is no requirement to provide transport, unless eligible under a relevant section of this policy.

If parents have been unable to secure a place for the pupil at their nearest or priority area school, free transport assistance will normally be provided to the next nearest qualifying school if this is above the statutory walking distance.

However, where the pupil initially attends their qualifying school, and then transfers to another school, free transport will only be provided if the new school is considered the nearest qualifying school, or priority area school, at the time of application and the journey from home to school is over the statutory walking distance. If the school being applied for is further away than the child's initial setting then, unless it is the child's priority area school, it is unlikely that transport assistance would be provided, unless evidence exists to confirm that the child's initial setting is not a suitable school for them.

The route used for determining eligibility for free transport will be that which is the nearest available to a child, accompanied as necessary, to walk along with reasonable safety to school. (See 2.3 / 3.4)

4.2 Divorced / Separated Parents

Where parents are divorced or separated and the pupil spends time living with each parent at different addresses, eligibility for free transport

will depend on the qualifying school (see section 2.3 for definition) for each of the parent's addresses.

If the pupil's qualifying school would be the same school from both parent's addresses, then free transport will normally be provided from each address (dependent on the usual eligibility criteria).

However, where the chosen school is only deemed to be the nearest qualifying from, or priority area school for, one parent's address, transport would only be provided from this address (subject to the normal eligibility criteria).

A vacant seat may be purchased to facilitate travel from the alternative address provided a seat is available (see section 8.2 for further details).

4.3 Review of Entitlement (for pupils with an EHCP)

The pupil's entitlement to free transport will be considered following each annual review of their EHCP and should be discussed at each annual review meeting for children currently in receipt of transport assistance. The outcome of these reviews will include whether the pupil still qualifies for free transport assistance, if transport needs to continue and if so, what provision is most appropriate. Options for independent travel, and independent travel training, will be explored where possible.

4.4 Withdrawal of Transport.

All Warwickshire County Council services are reviewed on a regular basis.

The local authority reserves the right to withdraw free transport if a pupil ceases to be eligible, or if it is discovered that transport has been granted in error. One term's notice will be given. Where it is established that parents have fraudulently applied for transport the Local Authority reserves the right to withdraw free transport immediately and to recoup the costs of transport provided to date.

Occasionally, the local authority may decide that a service is no longer financially viable. This is normally when few or no entitled students are travelling. In these cases, all passengers will be given a minimum of one term's notice. Any eligible students will be accommodated on alternative provision whilst vacant seat / post 16 students will be required to make their own arrangements.

4.5 Behaviour

Warwickshire County Council expects all pupils to behave in a considerate way when travelling on transport either provided, or arranged, by the local authority.

Further details on the standard of behaviour expected can be found on the application form for transport assistance. Parents / Carers, and

students of secondary school age will be required to accept the relevant Terms and Conditions of Travel.

The Authority reserves the right to withdraw a pupil's entitlement to free home school transport without notice if a pupil misbehaves whilst on transport provided under this policy.

For serious breaches of the Terms and Conditions of Travel, the Authority reserves the right to permanently withdraw transport. Parents will then be responsible for transporting the pupil to school although a direct travel payment may be paid (see 5.2).

For pupils with an EHCP, where behavioural problems may be the result of an additional need, alternative transport may be procured in exceptional circumstances where problems exist on the current provision. This will be the last resort after all other solutions have been explored. Alternative transport can take up to 15 working days to arrange.

4.6 Parent's Responsibilities

Parents are responsible for ensuring that the pupil reaches the pick-up point and that they board the vehicle safely. They should also ensure that the pupil is aware of the need to fasten their safety belt (where provided) and to not move around the vehicle during the journey.

Parents should also ensure that a responsible adult is there to meet the pupil at the drop-off point at the end of the school day, or that the pupil is able to make their way home by other means.

If a pupil's parents are not at home when they are brought home / to a drop-off point, any additional costs, e.g. waiting time, extra mileage, will be met by the parents. In such circumstances, it may be necessary to take the pupil to the local police station, and / or seek guidance from social services. In the case of repeat incidents, the local authority reserves the right to withdraw / amend the transport provision. A direct travel payment may be offered in lieu of free transport (see 5.2).

5 PROVISION OF TRANSPORT FOR THOSE OF COMPULSORY SCHOOL AGE.

5.1 Transport Arrangements

Transport assistance provided may include (but is not limited to) dedicated school bus services, public buses, specialist vehicles, or an appropriate combination. Direct travel payments may be provided, with parental agreement, under the scheme in section 5.2.

Independent travel training (section 5.3) is offered to pupils with SEN who have been assessed, by a professional advisor, as being suitable. Pupils will be expected to participate unless they have been assessed, by a professional advisor, as being unlikely to benefit from such training.

If your child has been successfully trained to travel independently, it will be expected that they will then take up a suitable alternative form of transport (such as a bus pass or by walking/cycling). Refusal to accept this alternative will be deemed as declining the Local Authority's offer of travel assistance and no alternative assistance will be provided.

Transport arrangements will be made by the Transport Operations department within the local authority's Communities Group to ensure the most effective and efficient use of resources. Dependant on the arrangements required, this may take up to 15 working days to arrange. The offer will be the most cost effective from a range of options and will be offered based on an individual consideration of the safety of the pupil. The Council reserves the right to change the offer at any point during the year, if necessary.

Where eligible, free transport will be provided for one return journey per day, for arrival at school prior to the beginning of the normal school day, and departure from school after the end of the normal school day, to and from a pick-up / drop-off point at or near the child's home address (taking into account Section 4.2).

No transport assistance will be offered to enable children to attend wrap-around provision, breakfast clubs, paid employment, extra-curricular activities or any other provision which exists outside of normal school hours. Similarly, no transport will be provided to any site other than the school's main campus. No transport assistance will be provided to college day release programmes, to attend an induction or taster day at another school/college, work experience or other school sites

Eligibility for travel assistance will be reviewed annually or when there is a change in circumstances. For pupils with an EHCP, this will be done following the annual review of the EHCP. Any changes will be implemented from the start of the next school term or sooner if mutually agreeable.

Costs incurred by parents will not be reimbursed unless an application has been rejected in error.

In the case of adverse weather, if the school is open, the Operator may still decide that road conditions are too treacherous to be able to run the service. Unfortunately, in such circumstances Warwickshire County Council is unable to give any refunds / reimbursement.

On occasions, it may be necessary to transfer pupils to an alternative service. While as much notice as possible will be given, the safety of passengers may necessitate changes at short-notice.

Pupils will be expected to make their own way, accompanied as necessary, to a pickup point which is within one mile of the home address, except where for reasons related mobility or special educational needs this is not practical.

As a general rule, no pupil should be on a vehicle for longer than 75 minutes one way, if aged 11 or over, or 45 minutes if under the age of 11. This will not however be possible in all circumstances, and the local authority reserves the right to offer transport assistance with longer journey times if this is unavoidable.

Passenger assistants will not be provided on vehicles transporting pupils to schools unless there is a need related to a pupil's special educational needs or disability, or in other very exceptional circumstances.

Where it is necessary for a passenger assistant to be provided for a particular contract, the operator will ensure the presence of an assistant who is familiar with the operation of any equipment e.g. safety belts and harnesses, and will ensure their proper use.

The Local Authority's policy is that all vehicles transporting pupils to primary school should be fitted with seatbelts. All transport assistance provided under arrangements made by the Local Authority will be in accordance with legal requirements. Provided that the additional cost is not excessive, when letting contracts to transport pupils to secondary school, preference will be given to tenders that will provide transport fitted with seat belts.

If parents make any changes to transport arrangements, e.g. by contacting an operator directly, no additional costs will be met by the local authority, unless by prior agreement with Education Transport.

In addition, any cancellations to transport provision must be made at least 24 hours in advance (except in unavoidable situations such as illness). Persistent cancellations which do not meet this timescale may result in transport being withdrawn and a direct travel payment offered in its place (see 5.2).

5.2 Direct Travel Payments

Where transport does not currently operate, in the first instance, parents will be given the opportunity to convey the pupil themselves or to make their own arrangements and to receive a direct travel payment (DTP). DTPs will not be provided unless agreed by the pupil's parents.

DTPs will be calculated based on two return journeys from home to school per day and are paid half-termly in advance. The amount paid per mile is reviewed annually. Parents will be informed of the current rate at the time of application. Enhanced travel payments may be agreed in exceptional circumstances.

Direct travel payments will only be given when financially viable and when no existing transport is in place. Should a more cost effective method of transport become available, the Local Authority reserves the

right to withdraw the DTP. Should a parent decide they can no longer accept a DTP, they must give at least 14 days' notice.

DTP payments are subject to audit, and the Local Authority reserves the right in all cases to demand to see evidence that payments made have been spent solely on transporting the pupil to and from school. Should evidence exist that payments have been used for other purposes then the Local Authority would immediately terminate the arrangements and begin proceedings to recover the amounts in question.

If, due to periods of absence or otherwise, not all of the amounts paid to a parent have been necessary for the purposes of funding home-to- school transport, the Local Authority reserves the right to reduce future payments or to demand repayment of unused amounts. The Local Authority also reserves the right to gain access to a child's attendance register record in order to check levels of attendance, and to speak with school staff and others in order to gain information about a child's home- to-school travel arrangements.

Full terms and conditions can be found on our website:
<http://www.warwickshire.gov.uk/direct-travel-payments>

5.3 Independent Travel Training (for pupils with SEN)

Where appropriate, the local authority will identify pupils suitable for travel training to encourage independent travel. Upon completion of training, it will generally be expected that pupils will use more sustainable modes of transport to get to/from school (such as school/public buses or walk) in place of specialist transport. The local authority will make arrangements accordingly, taking into account an assessment of the pupil's abilities and on-going needs. For more information about travel training, please contact Education Transport using the contact details in Section 12.

5.4 Ad-hoc/Emergency Travel Provision (for pupils with SEN)

When a request for an emergency change to transport is made, supporting information may be requested from third parties (such as contract operators or schools) before a decision can be reached.

These arrangements will normally be time-limited; the end date will be communicated to parents at the time of agreement.

Requests will be taken to Moderation (a meeting of SEN Officers to discuss complex cases and transport requests) by officers from Education Transport for consideration. Transport may be arranged for up to 5 working days in the interim period.

6 HOW TO APPLY FOR TRANSPORT FOR THOSE OF COMPULSORY SCHOOL AGE.

6.1 The Application Process.

Parents / Carers should complete the 'Application for Transport Assistance for Pupils of Statutory School Age (Up to 16 years)' form. This can be found online at <http://www.warwickshire.gov.uk/transporthehelpunder16> or by contacting the Education Transport department directly (see section 12).

For pupils with an EHC Plan the 'Application for Home to School Travel Assistance for Pupils with Special Educational Needs & Disabilities (SEND)' should be completed. This can be found online at <http://www.warwickshire.gov.uk/travelhelpunder16> or by contacting SENDAR (see section 12).

Submission of the application form is taken as agreement to the conditions of travel.

If the form is not fully completed, it will not be possible to process the application, and the form will be returned.

If the application is based on the grounds of religion or belief (in accordance with Section 3.3), or to a school which is not the nearest qualifying establishment, parents should supply as much information as possible. The Local Authority will require written evidence to support applications for transport made on religious grounds. Further information may be requested by the Education Transport department if considered necessary to correctly assess the application.

All applications will be processed as quickly as possible. However, no travel costs incurred whilst waiting for a decision on Home to School Transport will be reimbursed.

Completed Application Forms should be sent to the Education Transport Department or to SENDAR for those with an EHC Plan. Contact Details can be found in section 12.

6.2 Replacement Passes.

If a pass has been lost, stolen, damaged or confiscated, it needs to be replaced. Pupils who attempt to board a service without a valid bus pass may be refused access to transport, or, may be required to pay a daily fare. Any costs incurred whilst waiting for a replacement pass are non-refundable.

A new pass will be issued upon payment of the appropriate administration fee. Passes are issued as quickly as possible, after payment has been received.

The replacement pass fee is payable in all cases where a pass is to be reprinted. (This includes requests to change services, change of name etc.)

Payment, along with a completed Replacement Pass Application Form, should be sent to the Education Transport Office at the address shown in section 12. Alternatively passes may be ordered and paid for over the phone.

For replacement commercial passes (such as Stagecoach), a higher administration fee will normally be charged. These prices are set by the individual company.

6.3 Temporary Passes.

Some schools operate a temporary pass scheme which may be available if a pupil loses a pass during the school day. These passes allow the pupil to travel home from school and from home to school the following day. Along with the temporary pass, pupils will be issued with a replacement pass form. This needs to be returned to the school the following day along with the appropriate payment. The school will then issue pupils with a further temporary pass, valid for a fixed period, and will send the replacement pass form to the Education Transport section. A new pass will then be issued.

Not all schools operate a temporary pass scheme and pupils / parents should contact schools directly for further details.

7 APPEALS.

7.1 Introduction.

A parent who applies for free home to school transport under this policy, and who is refused any such assistance, has the right of appeal. The Strategic Director for the Communities Group or officers nominated by him/her have via the appeals process the power to authorise the provision of free or assisted transport and / or waive any charges in whole or in part in exceptional circumstances.

Parents are able to appeal to challenge the local authority's decision about the following:

- The transport arrangements offered;
- Their child's eligibility;
- The distance measurement in relation to statutory walking distances; and
- The safety of the route

For any other issues not set out above, please follow the local authority's complaints procedure which can be found on the website by visiting <http://www.warwickshire.gov.uk/councilcomplaints>

7.2 How to Appeal.

Stage one: Review by a senior officer

Parents must submit their request for a review of the decision to refuse transport assistance by completing the 'Appeal Request Form' (available online or through Education Transport - see section 12). This should be sent to the Lead Officer for Education Transport (either by email or post) within 20 working days from receipt of the decision. Please note that the decision will be deemed served 2 working days from the date of posting, if sent by first class post, or on the day if sent via email. Appeal requests received outside of this timeframe will be rejected.

The written request should detail why the parent believes the decision should be reviewed and give details of any personal and/or family circumstances that the parent believes should be considered when the decision is reviewed, as well as providing any relevant evidence

Consideration will be given to the views of the parent, the student and those of Headteachers and other professionals/agencies as provided by the parent or consulted as part of this process (where relevant).

Within 20 working days of receipt of the parent's written request the Lead Officer for Education Transport (or another senior officer in their absence) will review the original decision and send the parent a detailed written notification of the outcome of the review.

Please note stage one appeals for students with an EHCP will be considered by a moderation panel and the outcome conveyed to parents in accordance with the timescales above.

Stage two: Review by an independent appeal panel

Parents have 20 working days from receipt of the local authority's stage one written decision to make a written request to escalate the matter to stage two. As stated above, the decision will be deemed served 2 working days from the date of posting if sent by first class post, or on the day of sending if sent via email. Appeal requests received outside of this timeframe will be rejected.

Within 40 working days of receipt of the request, an independent appeal panel considers written and verbal representations from both the parent and officers involved in the case (including all past correspondence in relation to the stage 1 appeal) and gives detailed written notification of the outcome including the information considered and the rationale behind the decision (within 5 working days of the review meeting)

The members of the panel will be independent of the original decision making process but are not required to be independent of the local authority. They will be suitably trained to ensure a balance is achieved between meeting the needs of the parents and the duties and responsibilities of the local authority, and that road safety requirements are complied with so that no child is placed at unnecessary risk.

Once the date of the meeting is set, parents will be given a deadline for the submission of any supporting evidence. Late evidence submitted may mean that the meeting has to be adjourned to enable the panel to consider it.

Successful Appeals

If an appeal for transport is successful at either stage, and a decision is taken to provide transport as an exception to the home to school transport policy, the decision will only apply to the student in question. Transport applications for siblings, or any existing transport arrangements for siblings will be assessed in line with the relevant sections of this policy.

For the avoidance of doubt, any transport costs incurred by the family between the initial decision and the outcome of the appeal will not be reimbursed.

Unsuccessful Stage Two Appeals

Where a parent believes the local authority has failed to comply with the procedural rules or if there are any other irregularities in the way the appeal was handled they have the right to complain to the Local Government Ombudsman. If a parent considers the decision of the independent panel to be flawed on public law grounds namely illegality, irrationality and procedural impropriety, they may apply for judicial review.

Parents of students with special educational needs who require support for this process are advised to contact SENDIAS (Special Educational Needs & Disability Information, Advice and Support) for assistance. Contact details can be found in section 12.

8 TRAVEL ARRANGEMENTS FOR NON-ELIGIBLE CHILDREN OF COMPULSORY SCHOOL AGE & STUDENTS AGED 16-19

8.1 Introduction

The local authority has discretion to make travel arrangements for pupils of compulsory school age who do not meet the criteria for free transport and for young people over the age of 16 continuing in education or training.

If, after entitled pupils have been accommodated, spare places still exist on contracted vehicles, these may be offered to pupils in exchange for a contribution towards transport costs, subject to the eligibility criteria in section 8.2. Students will normally be provided with a bus pass. This is valid for one return journey per day, at the times shown on the timetable included with the pass.

Where there is no suitable transport, Warwickshire parents/students may be entitled to claim direct travel payments (16-19 students only – see section 8.5).

Applications should be made as early as possible. Full reimbursement of payments can be made should plans change prior to the start of the autumn term. Applications received after the deadline are not guaranteed to be processed in time for the start of term.

8.2 Paid Transport

Spare seats will be allocated to pupils based on the categories below. The categories are listed in order of priority (highest first):

- 1) Pupils who have travelled on the bus service they are applying for in the previous academic term.
- 2) Warwickshire residents who have not previously travelled under the scheme, or who are applying for a different service
- 3) Non-Warwickshire residents who have not previously travelled under the scheme, or who are applying for a different service

Seats will be allocated subject to the following conditions:

- 1) A pass will be withdrawn if;
 - The place is required for an entitled traveller,
 - the service is withdrawn, or
 - the route is altered

One term's notice will be given, except for pupils travelling by taxi, where a minimum of one week's notice will be given.

- 2) Where a pass is withdrawn after payment has been made, a refund will be made based on the number of days travelled.
- 3) Passes are not available on public transport services.
- 4) Seats can only be allocated once all entitled travellers have been accommodated. Parents should therefore make alternative arrangements until they have received confirmation that a seat is available.
- 5) A parental contribution is required for the scheme. If the contribution is not received, pupils will not be able to travel.
- 6) Passes can only be used at the start and end of a school day at normal school hours. Timetables are normally supplied with bus passes but are also available on our website;
<http://www.warwickshire.gov.uk/schoolbustimetables>.

7) You must wait for the pass to arrive before attempting to use the bus. If the bus pass cannot be presented to the driver when requested, travel will be refused.

8) Vehicles will not be re-routed to accommodate pupils under the scheme, nor will extra/larger vehicles be provided to increase the availability of seats.

8.3 Replacement Passes

If a pass is lost or stolen a charge will be made for a replacement. Any costs incurred whilst waiting for a replacement pass will not be reimbursed. (See 6.2)

8.4 Refunds

Where a parental contribution is received and transport assistance is no longer required, a refund may be issued once the pass has been returned, strictly at the County Council's discretion. Any refund will be made on a pro-rata basis and no refunds will be available if the pass is not returned.

8.5 Direct Travel Payments – Post 16 Students Only

Direct travel payments are only offered to Warwickshire residents when there is no suitable Warwickshire County Council or commercial transport available between home and school/college. If this is the case you will receive a letter advising you of this.

To qualify, students should be:

- (a) Studying at the nearest suitable school, college or local authority funded training provider offering the qualification of choice* for the young person;
- (b) Studying a full-time course (at least 540 guided learning hours per year).
- (c) Travelling more than 2 miles to the nearest pick up point

*When considering whether a qualification is "the qualification of choice for the young person", we take into account the end qualification awarded (not the individual units taken, or the name of the course), the training provider having a place available to offer on that course, and that the students meet the entry requirements demanded by the training provider;

Parents / students may use their own vehicle or public transport to get to school/college. Applicants entitled to a direct travel payment will be sent three claims forms (one for each term) to claim back £110 per year (or £220 if in receipt of a qualifying benefit*). Students who receive a direct travel payment can then also apply to travel on a Warwickshire County Council service (normal terms and conditions then apply).

Those in receipt of direct travel payments under the 16-19 scheme will have to show receipts which illustrate that at least the amount being claimed back has been spent by the family on transporting the student to

and from college before payments will be made. Additional evidence may be demanded by the County Council.

*A qualifying benefit can be one of the following; Income Support, Income Based Job Seekers Allowance (or equal based Income based & Contribution based JSA), The Guarantee Element of State Pension Credit, Income related Employment & Support Allowance (or equal based Income based & Contribution based ESA), The Maximum Level of Working Tax Credit, Child Tax Credit (with an income not exceeding £16,190), Support under Part VI of the Immigration and Asylum Act 1999 or Universal Credit (with an annual income of £7,400 or less).

8.6 How to Apply.

Parents / Carers should complete the 'Application for Paid Transport' form and return it to the Education Transport office. Address details can be found in section 12, and on the application form. The application form is also available online; <http://www.warwickshire.gov.uk/schooltravel>

Full details of the terms and conditions of the scheme are included as an appendix to the application form, including details of the cost for the current academic year.

Warwickshire County Council's Cabinet agreed in October 2015 that the charges associated with the scheme will increase each year based on the Council's annual income inflation rate.

As seats can only be issued once all entitled travellers have been accommodated, it is often not possible to confirm the availability of a seat until after the start of the academic year. Parents will be therefore responsible for arranging interim transport to and from school and for any costs incurred. These will not be reimbursed.

Please note: The fee payable will depend on the distance from home to school not the distance from the bus stop.

9 RESPITE/FAMILY LINK TRANSPORT.

The Local Authority may also provide transport assistance to pupils with a an EHCP accessing respite care, to travel between school and the respite setting. This support will only be available to pupils who are either "Eligible Pupils" within section 3.5 above or who are accessing post-16 provision at a special school under section 11 of this policy.

Applications should be made using the 'Application for Transport Assistance for Students Accessing Respite Care' form.

For further details of the assistance available and to obtain the application form, please contact the Education Transport Office. Contact details can be found in section 12.

10 TRANSPORT FOR STUDENTS AGED 16-25 WITH AN EHCP, LEARNING DIFFICULTIES AND / OR DISABILITIES

10.1 Limited Free Post-19 Transport Assistance Availability

For learners with an EHCP or learning difficulties and/or disabilities, free transport assistance will be provided for those beginning new courses after their 19th birthday. This will only be provided if it is considered necessary by the Local Authority for the young person to attend the course, and also necessary for the Local Authority to facilitate attendance at the place of education or training.

In deciding whether it is necessary for the Local Authority to provide free transport assistance in these circumstances, the authority would generally require young people to meet all of the following criteria, in that they should be:

- Resident in Warwickshire;
- Aged 19 or over but under 25 at the start of the academic year in which the course begins*;
- Holding an EHCP or have provided proof of a learning difficulty and/or disability;
- Starting a new course of study for a higher level qualification than has previously been studied for**;
- Attending a full-time course of at least 540 guided learning hours per academic year;
- Unable to travel to the place of education without transport assistance, and with no support available from members of the household in which they reside, other family members, or from personal assistants.***;
- Studying at the nearest suitable school, college or Local Authority funded training provider offering the qualification of choice for the young person. When considering whether a qualification is “the qualification of choice for the young person”, we take into account the end qualification awarded (not the individual units taken, or the name of the course), the training provider having a place available to offer on that course and that the students meet the entry requirements demanded by the training provider;
- Travelling further than the statutory walking distance of 3 miles by the shortest available route or, due to the young person’s special educational needs, disability and/or mobility problems, they cannot reasonably be expected to walk to the place of education, accompanied as necessary; and
- Attending during the normal school/college day and during term time only

*This provision will not be available for anyone beginning a new course of study before their 19th birthday, and will not be available for anyone after the end of the academic year which includes their 25th birthday.

**For the purposes of deciding whether to provide free transport the Local Authority would not consider it necessary, other than in exceptional circumstances, for a young adult learner to attend an additional Further Education course at the same level or equivalent where the learner had previously attended and completed a course at an establishment within the Further Education sector.

*** If the young person is in receipt of the higher rate mobility component of the Personal Independence Payment or Disability Living Allowance, the purpose of which is to assist those who have mobility problems, with severe difficulty walking or who need help getting around outside, it would normally be expected that this benefit will be fully utilised before assistance under this section is sought. Similarly, if the young person has access to a 'Motability' vehicle, of which the student may or may not be the driver, then we would normally expect the carer/student to make their own appropriate transport arrangements.

Transport will only be provided to the main campus of the young person's registered educational placement. Transport to any other address or setting will be the responsibility of the educational establishment, the young person's parents or the young person themselves.

Transport assistance may also be provided in exceptional cases where the above criteria are not all met. In those circumstances the Local Authority would have regard, non-exclusively, to:

- 1) the young person's age, ability and aptitude;
- 2) any learning difficulties the young person may have;
- 3) the locations and times at which the education or training is provided;
- 4) the nature of the route, or alternative routes, which the learner could reasonably be expected to take;
- 5) the ability of other members of the young person's household to transport the learner to and from the educational placement; and
- 6) the ability of the young person to travel independently.

The type of transport assistance offered will be determined by the Local Authority and will be one of the following:

- Direct travel payments made to the parent/carer;
- Independent travel training for the young person;
- A bus or train pass;
- A specialist vehicle (as a last resort, only when absolutely necessary)

If the Local Authority deems that the student does not qualify for free transport assistance, transport would remain the responsibility of the young person or their Parent/Carer. There is no option to pay for transport provision under these circumstances.

10.2 Contributory Transport for Learners Aged 16-19

In addition to transport offered under section 10.1, support with transport may be considered for students who meet the following criteria:

- resident in Warwickshire on the 1st September prior to the beginning of the course;
- agrees (or family agree) to pay a flat rate charge as a contribution towards the cost of transport;
- has a current EHCP or has provided proof of learning difficulties and/or disabilities;
- is aged over compulsory school age and under 19 years on the 31st August before the course starts;
- is attending a full-time course (over 540 guided learning hours per year);
- is attending the nearest qualifying special school*, sixth form or the nearest college offering the qualification of choice** for the young person; and
- has a journey from home to school or college which is more than three miles measured by the shortest available route to the place of study or, following consideration of the student's special educational needs and/or disabilities, the Local Authority has concluded that they would be unable to get to the establishment unless transport assistance was provided.

*A student's qualifying school is either the nearest establishment that can provide education appropriate to their age, ability, and aptitude, whilst taking into account any special educational needs that they have, or their priority area school. The qualifying school will be calculated with reference to section 2.3 of this policy.

**When considering whether a qualification is "the qualification of choice for the young person", we take into account the end qualification awarded (not the individual units taken, or the name of the course), the training provider having a place available to offer on that course, and that the students meet the entry requirements demanded by the training provider.

The Local Authority encourages young people to travel independently. Direct travel payments are available when no existing Local Authority transport is operating. For more information, please contact us using the details found in section 12 of this document.

Transport is procured for the start/end of the school day although reasonable adjustments will be made to provide transport which accommodates student's individual timetables. However, when considered necessary and reasonable, students may be required to wait at college at the beginning or end of the day.

The Local Authority will seek advice from relevant professionals if there is any dispute over the nature of transport requested / required.

A bus pass for travel during off-peak hours may be available through the England National Concessionary Travel Scheme which the Local Authority

operates on behalf of central Government. Please contact the Concessionary Travel Team via www.warwickshire.gov.uk/freebustravelfordisabledpeople or call 01926 359180 for further details.

10.3 How to Apply

Parents / Carers should complete the relevant application form, and return it to the Education Transport office. Address details can be found in section 12, and on the application form. The application form can be found online <http://www.warwickshire.gov.uk/travelhelpover16> or by contacting the Education Transport department directly.

Full details of the terms and conditions of Transport Assistance for Students Aged 16-25 are included on the application form, including details of the parental contribution for the current academic year.

Warwickshire's Cabinet agreed in October 2015 that the charges associated with Post 16 transport will increase each year based on the Local Authority's annual income inflation rate.

11 CONTACT DETAILS

11.1 **Education Transport** (For all questions about eligibility, policy, refunds, replacement passes and the application process).

Post: Education Transport
Communities Group
Saltisford Office Park
Ansell Way
Warwick, CV34 4UL

Telephone: 01926 412929 (Option 1, Option 1)
(Mon – Thu 8.30 – 5.00, Fri 8.30 – 4.30).

Email: educationtransport@warwickshire.gov.uk

11.2 **Transport Operations** (For all questions about routes, timetables and any service queries).

Post: Transport Operations
Communities Group
PO Box 43
Shire Hall
Warwick, CV34 4SX

Telephone: 01926 412929 (Option 1, Option 2)
(Mon – Thu 8.30 – 5.30, Fri 8.30 – 5.00).

Email: busservices@warwickshire.gov.uk

11.3 **SENDAR** (For questions about transport for children with EHC Plans attending schools).

Post: SENDAR
Communities Group
Saltisford Office Park
Ansell Way
Warwick, CV34 4UL

Telephone: 01926 742160
(Mon – Thu 9.00 – 5.00, Fri 9.00 – 4.30).

Email: Sendtravelapplications@warwickshire.gov.uk

11.4 School Admissions (For all questions about admission to primary school, secondary school and questions on priority areas).

Post: School Admissions
Communities Group
Saltisford Office Park
Ansell Way
Warwick, CV34 4UL

Telephone: 01926 414143
(Mon – Thu 8.30 – 5.00, Fri 8.30 – 4.30).

Email: admissions@warwickshire.gov.uk

11.5 SENDIAS (SEND Information, Advice & Support Service)

Post: SENDIAS
Canterbury House
Exhall Grange Campus
Easter Way
Ash Green
Coventry
CV7 9HP

Telephone: 02476 366054
(Mon - Fri 9.15 - 2.30)

Email: dawn.rowley@family-action.org.uk

Appendix A

Walking Route Assessment Process

Please note that the current process of assessment is under review and is subject to change.

Background

Where a child lives within the “statutory walking distance” of their qualifying school, transport assistance will be provided if the Local Authority considers the route to school is such that a child accompanied by an adult could not walk it in reasonable safety.

The measurement of the “statutory walking distance” is not necessarily the shortest distance by road. It is measured by the shortest route along which a child, accompanied as necessary, may walk with reasonable safety. As such, the route measured may include footpaths, bridleways and other pathways, as well as recognised roads.

National guidance on the identification of hazards and the assessment of risk of walked routes to school published by Road Safety Great Britain (RSGB) recommends that a route be designated “**unacceptable**” if a child, accompanied as necessary, cannot walk the route in reasonable safety. Whether this is the case in any particular circumstances will be determined by a detailed assessment carried out by Warwickshire County Council staff or their representatives in accordance with national guidance and this policy.

Where parents believe the walk from home to school is unacceptable they can request that the route is assessed. This request should be made by using the form which can be obtained directly from the Education Transport department.

The Local Authority will also periodically review routes currently considered unacceptable ensuring they are assessed against the relevant process.

Principles of Assessment

1. Consideration is given only to relevant highway and traffic conditions and not for personal safety, security or behavioural reasons (which are the responsibility of the parent/carer).
2. It is assumed that children will be accompanied as necessary by a responsible parent or other responsible person appointed by a person with parental responsibility
3. Each route will be considered objectively and on its own merits.
4. The route will be assessed in both directions in the morning and afternoon school run times, and sections considered unacceptable by parents will be walked in both directions.
5. Where a footway or roadside strip of reasonable width and condition exists or a suitable/adequate public footpath or bridleway is available, this will be considered an acceptable route for that part of the journey.

6. Where a suitable verge exists on a lightly or very lightly trafficked road, which can be stepped onto by the child and accompanying person when vehicles are passing, it will be considered an acceptable route for that part of the journey.
7. Many routes lie along roads having neither footway nor verge. On such roads consideration should be given to the width of the carriageway, traffic speed and composition (such as frequent HGV's) and to visibility (ie. sharp bends with high hedgerows or banks or other obstructions to visibility).
8. Consideration should be given to the relevant injury collision record of the route for the latest 3 year period.
9. Where road crossings are necessary, the availability of facilities to assist such crossings should be taken into consideration. Where no crossing facilities exist an assessment of the risks which may be generated by crossing the road (bearing in mind traffic speeds and flows, sight lines etc) will be made using current guidance laid down in the approved published Road Safety GB Guidelines. Any updated or superseding publication will be considered and adopted where appropriate.
10. It will be assumed that any crossing facilities (zebra, toucan, pelican crossing or other) will be used where they are provided. If such facilities are not provided and the pedestrian is required to cross the road, the "gap time" of passing vehicles will be assessed to determine a safe crossing point.
11. An accurate plan showing the length of the route will be attached to the assessment and retained on file. Acceptable lengths and crossing points will be marked in green and unacceptable lengths and crossing points marked in red.
12. In reaching a decision the officers concerned will make a critical judgement based on whether the route affords sufficient opportunity for pedestrians and vehicle drivers to avoid dangerous conflict while progressing normally along it.
13. The assessment will be carried out by appropriately trained staff either employed by Warwickshire County Council or commissioned to carry out the assessment.
14. Once the assessment is complete a panel of officers will meet to consider the recommendation. The panel will consist of a Head of Service from Communities Group and two other officers. A majority decision is required. A representative from the Traffic and Road Safety Group will attend to provide advice and support to the panel.
15. If the route is considered acceptable then staff within Education Transport will notify the parent / carer.
16. If the route is considered unacceptable then staff within Education Transport will notify the parent / carer and Transport Operations.
17. There is no right of appeal.
18. Routes will only be reassessed upon request if three years have passed since a previous assessment, or if evidence is presented to suggest a significant change in the safety of the route. The nature of the reassessment will depend on whether or not there have been any significant changes to the route or developments in the vicinity.

Route Assessment Summary

For a route to be classified as “acceptable” there needs to be both:

- A continuous adequate footway on roads which have high or medium traffic flow;

or

- Step-offs on roads which have a light volume of traffic but have adequate sight lines to provide sufficient advance warning;

or

- on roads with a very light traffic flow, no step-offs but sufficiently good sight lines to provide adequate advance warning.

AND

- if there is a need to cross roads there must be sufficient gaps in the traffic flow and sight lines to allow enough opportunities to cross safely, or one or more of the following must be provided:
 - Crossing facilities (zebra, pelican or puffin crossings)
 - Pedestrian phases at traffic signals (including necessary refuges)
 - School Crossing Patrols
 - Traffic calming (sufficient to enable safe road crossing)
 - Pedestrian refuges

Frequently Asked Questions

National guidance - what is it?

National guidance is provided by RSGB* for those tasked with assessing the safety of 'walked routes to and from schools' to determine the provision of free school transport for persons under the Education Act 1996 (as amended).

*RSGB (Road Safety Great Britain) - A national road safety organisation that represents local government road safety teams across the UK

Guidelines - What are the scope of the guidelines?

The scope of the guidelines is limited to the risks resulting from the interaction between pedestrians and traffic and does not consider personal security.

Child accompaniment - Does the assessment assume a child is accompanied as necessary?

Yes, and case law makes clear that the decision as to whether an individual child needs to be accompanied, as well as provision of a person to do so, is the responsibility of the child's parents. It also considers that the child and parent will be wearing fluorescent and reflective jackets, particularly on roads with no street lighting, and will be carrying torches.

Street lighting - Does the assessment consider the absence of street lighting?

The presence or absence of street lighting on a route is not considered to be a factor, and torches are expected to be taken if considered by the child's parents to be necessary.

Footway - If part or the entire route has no footway, how is this assessed?

If there is no provision of a footway then an assessment is first made of the traffic flow. A road with heavy or medium traffic flow must have continuous adequate footway provision. Roads with light traffic flow must have adequate step-offs with good sightlines. Roads with very light traffic flow do not require step-offs, but should have sufficiently good sightlines.

Step-offs - What are they?

The term step-off refers to the facility for pedestrians to easily be able to step off the roadway onto reasonably even and firm surface.

Traffic flow - What constitutes a high traffic flow?

Roads that have a traffic flow in excess of 840 vehicles in a one hour period.

Traffic flow - What constitutes a medium traffic flow?

Roads that have a traffic flow of 400 to 840 vehicles in a one hour period.

Traffic flow - What constitutes a light traffic flow?

Roads that have a traffic flow between 100 and 400 vehicles in a one hour period.

Traffic flow – What constitutes a very light traffic flow?

Roads that have a traffic flow below 100 vehicles in a one hour period.

Crossing the road - Does the assessment consider difficulty in crossing roads?

Yes, the difficulty in crossing the road is assessed by applying a gap analysis.

Gap analysis - What is it?

A gap analysis records the number of gaps in traffic flow in a 5 minute period, which is greater than the road crossing time. Four such gaps in a 5 minute period are considered acceptable. Where there is a formal way of crossing the road (zebra, pelican or puffin crossing) this will negate the need for a gap analysis.

How is the road crossing time calculated?

This is calculated using a crossing speed of three feet per second.

Collision history - Does the assessment consider this for the route?

Yes, a three year collision history is provided for the complete route and forms part of the overall assessment.

Vehicle speed - Does the assessment consider this?

If the initial assessment of the route and collision history indicates there is a possible speeding issue and assuming there is sufficient vehicle flow in order to assess traffic speeds, then a traffic speed survey will be undertaken.

School run times – When are they?

For the purposes of this document school run times are considered to be 08.00 to 09.00 and 15.00 to 16.30.

Appendix B

Accompaniment

Below is set out advice about the accompaniment of a child/young person from paragraphs 17-19 of the DfE Home to School Travel and Transport Guidance, July 2014.

17. In determining whether a child cannot reasonably be expected to walk for the purposes of 'special educational needs, a disability or mobility problems eligibility' or 'unsafe route eligibility', the LA will need to consider whether the child could reasonably be expected to walk if accompanied and, if so, whether the child's parent can reasonably be expected to accompany the child. When considering whether a child's parent can reasonably be expected to accompany the child on the journey to school a range of factors may need to be taken into account, such as the age of the child and whether one would ordinarily expect a child of that age to be accompanied.

18. The general expectation is that a child will be accompanied by a parent where necessary, unless there is a good reason why it is not reasonable to expect the parent to do so.

19. LAs should, however, promote and ensure equality of opportunity for disabled parents. For example, if a parent's disability prevents them from accompanying their child along a walking route which would otherwise be considered unsafe without adult supervision, a reasonable adjustment might be to provide free home to school transport for the child in question.

Appendix C

Special Educational Needs Provision

Generic Special Schools

The following schools cater for a range of special educational needs but all have consistent focus on pupils who are significantly below expected levels in cognition and learning and whose progress is significantly delayed compared to others with the same starting point.

Name	Address	Area of County
Brooke School	Overslade Lane, Rugby CV22 6DY	Eastern
Welcombe Hills School	Blue Cap Road, Stratford Upon Avon CV37 6TQ	Southern
Ridgeway School	Deansway, Warwick CV34 5DF	Central
Round Oak School	Brittain Lane, Warwick CV34 6DX	Central
Oak Wood Primary	Morris Drive, Nuneaton CV11 4QH	Nuneaton/Bedworth
Oak Wood Secondary	Morris Drive, Nuneaton CV11 4QH	Nuneaton/Bedworth
Woodlands School	Packington Lane, Coleshill B46 3JE	Northern

Specialist Special Schools

The following schools cater for children and young people who are able to access the mainstream curriculum with the appropriate specialist support.

Name	Address
Exhall Grange Specialist School & Science College	Easter Way, Ash Green, Coventry CV7 9HP
Discovery Academy	MacIntyre Academies, Vernons Lane, Beaumont Road, Nuneaton CV11 5SS
Quest Academy	Anderson Avenue, Rugby, CV22 5PE
Arden Fields School	Stratford Road, Henley in Arden, B95 6AD

Satellite Provision

These bases are operated by Special Schools off-site and provide for a range

of different needs.

Name	Address
Rokeby Brooke Partnership & Harris Brooke Partnership	Brooke School, Overslade Lane, Rugby CV22 6DY
Exhall Grange Learning Pod	Exhall Grange Specialist School & Science College, Easter Way, Ash Green, Coventry CV7 9HP

Resourced Provision within Mainstream Schools

These specialist bases are integrated within mainstream schools and provide for a range of communication and interaction needs.

Name	Address
Maple Class – Lillington Primary School	Cublington Road, Leamington Spa CV32 7AG
The Bridge – Middlemarch School	College Street, Nuneaton, CV10 7BQ
Evergreen – Water Orton Primary School	Attleborough Lane, Water Orton, Coleshill, Birmingham B46 1SB
The Haven – Stockingford Academy	Cross Street, Stockingford, Nuneaton, CV10 8JH
The Harbour – Studley Infant School	High Street, Studley, B80 7HJ
The Launchpad – Boughton Leigh Junior School	Wetherell Way, Hollowell Way, Rugby, CV21 1LT
Bluebells – Outwoods School	Southlands, Atherstone, CV9 1EH
Peter's Place – Trinity Catholic School	Guy's Cliffe Avenue, Leamington Spa CV32 6NB

Appendix D

Exceptions & Assessment Criteria (Section 3.5)

- The pupil is non ambulant (not capable of walking independently) and/or

- The pupil's main area of need is stated as Profound Multiple Learning Difficulties (PMLD) or Severe Learning Difficulties (SLD) and/or
- Pupils unable to walk in safety to school because of the nature of the route (see section 3.6)
- Other than those covered above, if free transport is considered to be necessary because a pupil's special needs or health equipment/medical requirements make it impossible for them to travel safely to school by any other means and prevents them from walking safely to school, even when accompanied by a responsible adult, further information is required;

A report from an appropriate specialist (e.g. a Paediatrician or an Educational Psychologist. A GP letter in isolation would not be considered sufficient) giving details of the complexity of need, the pupil's vulnerability, any physical disability or sensory impairment and how this affects the pupil's journey to school.

(This information can be included in reports submitted as part of the EHC Needs Assessment or EHCP annual review).

The report should provide evidence stating that the pupil's disability prevents him/her from walking the statutory distance to school, even if accompanied by a responsible adult or travelling to school independently. (Advice re 'Accompaniment' included as Appendix B.)

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Home to School Transport Consultation

Overview

The Home to School Transport Policy aims to provide guidance for parents/carers, young people and young adults on transport assistance available for pupils aged 3 -25 years of age.

Why are we consulting?

Where Local Authorities are proposing key changes to their local policy on school travel arrangements, a consultation with interested parties should be undertaken

What is the proposed key change to the policy?

Warwickshire County Council is proposing the following change to the definition of a **pupil's Qualifying School (contained in paragraph 2.3 of the draft policy attached below)**. **In all other material aspects, the Policy remains unchanged.**

At the moment, a pupil's qualifying school is defined by Warwickshire County Council to mean only the pupil's closest school to home with a space available for the pupil by the shortest available route (this will be a driving route if the journey is over the statutory walking distance or a walking route if the journey is less than the statutory walking distance). This may not be the priority area school¹ (sometimes referred to as 'catchment school') but will be the one physically closest to the student's home address.

The County Council are proposing to change the definition of qualifying school for a pupil to mean either the closest qualifying school (see paragraph 2.2 of the draft policy) to the pupil's home address, with places available, that provides education appropriate to the age, ability, and aptitude of the pupil and takes into account any special educational needs that the pupil may have, **or** the priority area school in which the pupil resides. This means that some children will have two qualifying schools.

Low-income families would continue to benefit from extended rights eligibility criteria.

The definition for a pupil's qualifying school will continue to take into account any special educational needs that the pupil may have.

The calculation of the qualifying school for a pupil who has gained a place at a selective school will remain unchanged and will include non-selective comprehensive schools which

¹ [Priority area maps for schools](#)



provide schooling for those of all ability levels. As such transport to selective schools will only be provided if it is the closest qualifying school to the child's home, taking into account all relevant secondary schools. The distance from home to school will also need to exceed the relevant statutory walking distance.

Similarly, the calculation of qualifying school for a pupil who has gained a place at a faith school remains unchanged and will include non-faith schools which provide schooling for those of all faiths. As such transport to faith schools will only be provided if it is the closest qualifying school to the child's home, taking into account all relevant schools. The exception to this will be when the pupil is of secondary school age and qualifies under the extended eligibility criteria (see section 3.3). The distance from home to school will also need to exceed the relevant statutory walking distance.

Subject to approval following consultation, it is proposed that this change would be effective from the date the new policy is published (anticipated September/October 2020).

Why is the policy being changed?

A number of changes were endorsed by Cabinet in January 2018 including a revision of the definition of the qualifying school for a pupil ('the nearest qualifying school'). From 1st September 2019 the definition of a pupil's qualifying school was altered to include only the school closest to the pupil's home by the shortest route with a pupil place available, in line with statutory requirements. However, it may not be the school in whose priority area the pupil resides (their 'catchment school') if there is another school closer to home by the nearest available walking route. Previous criteria encompassed the priority school or the nearest school with places available.

Following a review of this change in the definition of a pupil's qualifying school, it is proposed to change the definition to reintroduce the priority area school. A number of factors contributed to the decision to review and propose a change to the definition the qualifying school for a pupil including:

- The revision to the definition in January 2018 was part of addressing non-statutory duties, wide priority areas and the removal in some instances of priority areas altogether. Following the review, the County Council recognise that the number of schools removing priority areas remains small and that within the wide, largely rural, priority areas the revision created a divide in transport assistance eligibility within



certain localities and villages where the nearest school can differ by marginal distances.

- The unalignment from priority areas has created confusion and can prove complex to understand for parents when making a school place application with one priority area school and multiple nearer schools.

When will the consultation take place?

The consultation will run for six weeks from Monday 8 June 2020 to Friday 17 July 2020.

The full timeline is set out in the table below:

Activity	Date
Portfolio Holder Decision to go to public consultation	Thursday 28 May 2020
Public consultation start (6 weeks)	Monday 8 June 2020
Public consultation end	Friday 17 July 2020
Cabinet	September 2020

How can I take part in the consultation?

You can take part in the public consultation in the following ways:

- **Online:** by completing the consultation survey <https://ask.warwickshire.gov.uk/>
- **By Email:** transportconsultation@warwickshire.gov.uk
- **In writing:** School Organisation & Planning, Saltisford Building 3, Warwickshire County Council, Ansell Way, Warwick, CV34 4UL.

You can request a paper copy of the survey by telephone (01926 742058) or email (transportconsultation@warwickshire.gov.uk) and return it to the postal address above. You can also request an alternative format or language this way.

The closing date for responses to the consultation is midnight on Friday 17 July 2020.

Following the end of the consultation we shall publish the results and this may include quotes of comments which will be anonymous. If you reply to an anonymous survey then no personal details will be captured. If you would like further information, visit our website: www.warwickshire.gov.uk/privacy or contact our Customer Service Centre on 01926 410410

Frequently Asked Questions

Definition of a Pupil's Qualifying School (refer to paragraph 2.3 of the draft policy)

At the moment, a pupil's qualifying school is defined by Warwickshire County Council to mean only the pupil's closest school to home with a space available for the pupil by the shortest available route (this will be a driving route if the journey is over the statutory walking distance or a walking route if the journey is less than the statutory walking distance). This may not be the priority area school (sometimes referred to as 'catchment school') but will be the one physically closest to the student's home address.

The County Council are proposing to change the definition of the qualifying school for a pupil to mean either the closest qualifying school (see paragraph 2.2 of the draft policy) to the pupil's home address, with places available, that provides education appropriate to the age, ability, and aptitude of the pupil and takes into account any special educational needs that the pupil may have, **or** the priority area school in which the pupil resides. This means that some children will have two qualifying schools.

Low-income families would continue to benefit from extended rights eligibility criteria.

The definition for the qualifying school for a pupil will continue to take into account any special educational needs that the pupil may have.

For those pupils who have achieved the relevant entry criteria for a selective school, the policy remains unchanged and that school will only be considered as their qualifying school if it is the closest qualifying school to the pupil's home address and there are no nearer non-selective schools capable of educating the child.

Similarly, transport to faith schools will only be provided if it is the closest qualifying school to the child's home, taking into account all relevant schools. The exception to this will be when the pupil is of secondary school age and qualifies under the extended eligibility criteria (see section 3.3).

Subject to approval following consultation, it is proposed that this change would be effective from the date the new policy is published (anticipated September/October 2020).

Q – My child currently receives free transport to school, will this affect me?

A – No, not unless your child’s circumstances change, such as a change in address, and you reapply for transport on or after the publication of the new policy. The assessment of your application would be against the new policy.

Q – My child has an EHCP and attends a special school, will these proposals affect me?

No, transport will continue to be provided to the nearest suitable school as named on the EHCP or as identified by SENDAR.

Q – What about transport to selective schools?

Currently, transport is not automatically provided to those attending a grammar school. It must be the closest qualifying school to the home address, and non-selective schools are taken into consideration when assessing what the closest qualifying school is for each pupil. Under the new proposal this will not change.

Q- Would you consider an out of county school to be my child’s qualifying school?

We wouldn’t ordinarily consider out of county schools during the assessment process, however if your child has gained a place at a school outside of Warwickshire then we would provide transport to this school if it was the closest qualifying school to your child’s home address.

Q – My child is due to start school in September 2021, does this change apply to them?

A – Yes, this policy change could be applicable if transport assistance is required to your child’s school

Q- What if I can’t get my child into the closest school?

A - If your closest school has no spaces then we would consider the next nearest school with spaces to be your closest qualifying school.

Q – What happens if I move house after the publication of the new policy?

A – Anyone who has a change in circumstances on or after the publication of the new policy (such as a house move) would be subject to a re-assessment. Therefore, if the school your child attends is no longer considered to be the closest school with space available or your new address is not located in your child’s school priority area then free transport would cease.

Change to Home to School Transport Policy – Scenarios

Definition of a Pupil's Qualifying School (refer to paragraph 2.3 of the draft policy)

At the moment, a pupil's qualifying school is defined by Warwickshire County Council to mean only the pupil's closest school to home with a space available for the pupil by the shortest available route (this will be a driving route if the journey is over the statutory walking distance or a walking route if the journey is less than the statutory walking distance). This may not be the priority area school (sometimes referred to as 'catchment school') but will be the one physically closest to the student's home address.

The County Council are proposing to change the definition of the qualifying school for a pupil to mean either the closest qualifying school (see paragraph 2.2 of the draft policy) to the pupil's home address, with places available, that provides education appropriate to the age, ability, and aptitude of the pupil and takes into account any special educational needs that the pupil may have, **or** the priority area school in which the pupil resides. This means that some children will have two qualifying schools.

Low-income families would continue to benefit from extended rights eligibility criteria.

The definition of a pupil's qualifying school will continue to take into account any special educational needs that the pupil may have.

For those pupils who have achieved the relevant entry criteria for a selective school, the policy remains unchanged and that school will only be considered as their qualifying school if it is the closest qualifying school to the pupil's home address and there are no nearer non-selective schools capable of educating the child.

Similarly, transport to faith schools will only be provided if it is the closest qualifying school to the child's home, taking into account all relevant schools. The exception to this will be when the pupil is of secondary school age and qualifies under the extended eligibility criteria (see section 3.3).

Subject to approval following consultation, it is proposed that this change would be effective from the date the new policy is published (anticipated September/October 2020).

Todd is 7 and attends his local primary school, which is further than the statutory walking distance (2 miles). As this is the nearest school to Todd, Todd is still entitled to transport assistance.

This policy change does not affect Todd.

Martha will start secondary school in September 2021. Martha is within the admissions priority area for School X, but actually lives closer to School Y which is the closest school to Martha's home address. Both schools are over the statutory walking distance. Martha would receive transport assistance to either School X or School Y.

This policy change means that Martha will be entitled to free transport assistance to School X or School Y.

Carlos is 11 and attends his local special school, which is further than the statutory walking distance (3 miles). As the nearest appropriate school to Carlos, as stated on his EHC plan, Carlos is still entitled to transport assistance.

This policy change does not affect Carlos.

Amanda is 14 and currently receives free transport to her priority area secondary school. Her family plan to move house in October 2021 but will still be in the priority area for her school. However, there is a closer school to her home address with space in her year group.

As there has been a change in Amanda's circumstances she is now reassessed under the new criteria. She will remain entitled to free transport assistance due to the new address being in the priority area for her school.

This policy change means that Amanda will remain entitled to free transport assistance to her current school as it is her priority area school.

James is due to start secondary school in September 2021. His priority area school is under the statutory walking distance and deemed safe to walk. James would not be entitled to free transport assistance to his priority area school.

This policy change does not affect James

Kate is 13 and currently receives free transport to her priority area secondary school (which is also the closest school to her home address). Her family plan to move house in January 2021 after the publication of the new policy to an address outside of her current school's priority area.

As there has been a change in Kate's circumstances she will need to be reassessed under the new criteria. She may no longer be entitled to free transport assistance if the new address is not in the priority area for her current school and/or her current school is not the closest qualifying school to her new address with space in her year group.

This policy change does not affect Kate

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Home to School Transport Consultation Results

July 2020

1. Background

The Warwickshire 'Home to School Transport Policy' consultation took place between Monday 8th June 2020 and Friday 17th July 2020 using Warwickshire County Council's (WCC) consultation platform, service newsletters and social media to communicate the consultation with the various stakeholders. The online survey received 416 responses with a further two comments received by email.

In the online survey, respondents were asked for their level of agreement for the proposed change to the definition of a pupil's qualifying school. Respondents were also asked if there were any specific impacts they considered this proposal may have or if they would like to provide any further comments to the proposed change in question.

2. Key Messages

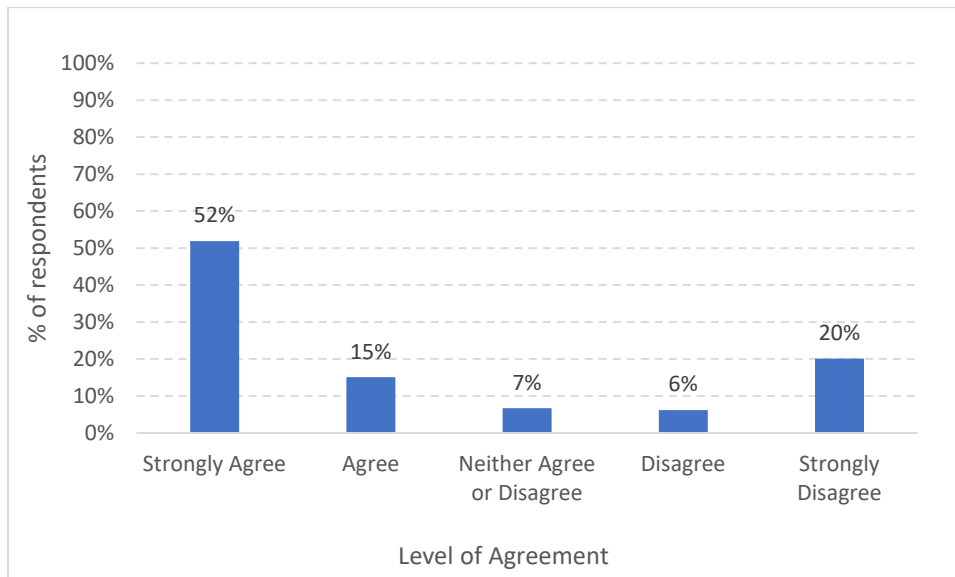
- The majority of respondents (67%) supported the proposed change to the definition of a pupil's qualifying school
- Of those respondents who provided further comment, almost a third commented that this change would have a positive impact on pupils and families, providing a fairer approach and more choice for families.
- A number of respondents mentioned the proposal benefiting those whose nearest school is not their priority area school and having a positive impact on rural communities.
- Across the various levels of agreement respondents felt that the policy would still disadvantage those pupils that attend selective education.
- Comments from those respondents opposed to the change included the opinion that the policy would still disadvantage those pupils that attend selective education and those families wanting to attend a faith-based school. A number of respondents felt that transport should be free to whichever school a pupil chooses to attend to support parental choice and provision that is best suited to the individual pupil.

3. Survey responses

3.1 Respondents were asked 'to what extent do you agree or disagree with the proposed change to the definition of the qualifying school for a pupil'?

The majority of respondents (67%) supported ('strongly agree' combined with 'agree') the proposed change to the definition of a pupil's qualifying school. Conversely, just over a quarter (26%) of respondents were opposed ('strongly disagree' combined with 'disagree') to the proposal (Figure 1).

Figure 1 Levels of agreement for proposed change to the definition of a pupil's qualifying school



3.2 Respondents were asked to provide further comments in relation to the proposed change

A total of 236 respondents chose to leave a response to this question. The open-ended responses have been analysed to draw out key themes. A full list of all the themes identified can be found in Figure 2.

- Almost a third of respondents commented that this change would have a positive impact on pupils and families, providing a fairer approach and more choice for families.
- A number of respondents mentioned the proposal benefiting those whose nearest school is not their priority area school and having a positive impact on rural communities.
- Some respondents (10%) felt that the policy would still disadvantage those pupils that attend selective education
- Similarly, a number of respondents felt that the policy change would still disadvantage those families wanting to attend a faith-based school
- A number of respondents, the majority of who disagreed with the proposed change, felt that transport should be free to whichever school a pupil chooses to attend to support parental choice and provision that is best suited to the individual pupil.
- Across the various levels of agreement there was concern regarding the cost of transport for low income families.

Figure 2 Key Themes derived from comments made in relation to proposed change

Comment Theme	Count	%
Positive Impact/Fairer/increase choice	75	32%
Nearest School not catchment school	29	12%
Still disadvantages those attending selective education	24	10%
Transport should be free to all schools	20	8%
Aligns with Admissions Policy	15	6%
Transport to Faith Schools/Consideration of Faith	14	6%
Will benefit rural communities	14	6%
Need to consider low income families	11	5%
Reduce Traffic/Car use/Supports sustainable travel	11	5%
Transport to non secular education	10	4%
Need to ensure siblings can attend same school	9	4%
An Increase in Traffic	7	3%
Low income families attending selective education	5	2%
Post 16 Eligibility	5	2%
SEND Pupils	5	2%
Unclear on what is being proposed/why change is being proposed	5	2%
Financial cost	4	2%
Continuation of eligibility for current pupils	3	1%
Rural villages negatively impacted by proposals	3	1%
Single parent families/shared arrangements	3	1%
Impact on vacant seat scheme	2	1%
Transport for out of county residents	2	1%
Consider travel time rather than distance	1	0%
County border villages and out of county schools	1	0%
Ethnicity	1	0%
Method of assessment of places available	1	0%
Removes Choice	1	0%
Vulnerable children	1	0%

(Base = 236 respondents who provided comment)

3.3 Some quotations from respondents related to the top three themes

Positive Impact/Fairer/increase choice

“More positive choices for disabled pupils or those with SEND needs”

“Parents will now not have to choose between non secular education or paying unaffordable transport costs”

“More options for parents. The cost of transport should not be the deciding factor for parents when deciding on their child’s school. This has a negative effect on hard working low income families.”

“Fairer access to transport for all pupils to their school instead of penalising them if it not their geographical nearest”

Nearest School not catchment school

"Your current policy discriminates against those in the most isolated locations who are more likely to have a catchment school which is not physically closest."

"It means people who can't afford £800 for a bus pass can send their children to the same school as their friends instead of having to go to the closer school because it's cheaper."

"The current policy makes no sense to provide free transport to the nearest qualifying school when children are likely to go to the priority school and are also unlikely to gain a place at the nearest school, which is not the priority school. Also, the nearest school does not provide transport which again makes the policy irrelevant."

"It would be much fairer and sensible to change the policy to include transport to the priority school, which is where children are likely to go to. The policy needs to reflect the school admissions criteria."

Still disadvantages those attending selective education

"Excluding transportation to selective schools continues to be discriminatory"

"You are still discriminating kids from non affluent families that study hard to get I to selective schools therefore reducing social mobility."

"I would love to see this change extended to include selective schools - these are part of the state school system, are provided or supported by the local authority, are applied to through the local authority"

3.4 Respondent Profile

As illustrated in Figure 3, the majority of respondents to the survey were female (72%), of White British ethnicity (80%) and aged between 30-59 years (83%). The largest proportion of respondents were resident in Warwick District (44%) and Stratford on Avon District (28%).

Figure 3: Respondent Profile		Count	%
Gender	Female	300	72%
	Male	73	18%
	Non-binary	2	0%
	Prefer not to say	34	8%
	Not Answered	7	2%
Age in years	Under 18	2	0%
	18 – 29	8	2%
	30 – 44	198	48%
	45 – 59	145	35%
	60 – 74	23	6%
	75 +	2	0%
	Prefer not to say	32	8%
	Not Answered	6	1%
Long standing illness or disability	No	339	81%
	Yes	25	6%
	Prefer not to answer	45	11%
	Not Answered	7	2%
Ethnicity	White British	332	80%
	Other White background	15	4%
	White Irish	7	2%
	Asian or Asian British - Indian	6	1%
	Mixed - White and Black Caribbean	4	1%
	Black or Black British - African	2	0%
	Other Asian Background	1	0%
	Mixed - White and Asian	1	0%
	Gypsy or Traveller	1	0%
	Chinese	1	0%
	Arab	1	0%
	Prefer not to say	37	9%
	Not Answered	8	2%
Religion	Christian	184	44%
	No religion	163	39%
	Any other religion or belief	4	1%
	Hindu	3	1%
	Sikh	3	1%
	Spiritual	2	0%
	Buddhist	1	0%

	Muslim	1	0%
	Prefer not to say	48	12%
	Not Answered	7	2%
Sexuality	Heterosexual / straight	338	81%
	Bi / bisexual	5	1%
	Other	2	0%
	Prefer not to say	61	15%
	Not Answered	10	2%
District/Borough	North Warwickshire Borough	9	2%
	Nuneaton & Bedworth Borough	15	4%
	Rugby Borough	77	19%
	Stratford on Avon District	115	28%
	Warwick District	183	44%
	Non-Warwickshire resident	14	3%
	Other	3	1%

(online survey base count of 416)

Cabinet

10 September 2020

Establishment of a Framework Agreement for Children's Therapeutic Services and Interventions

Recommendations

- 1) Cabinet approves proceeding with an appropriate procurement process for the provision of a Children's Therapeutic Interventions Framework on behalf of Adoption Central England.
- 2) Cabinet approves and authorises the Strategic Director for People to enter into all relevant contracts for the provision of Children's Therapeutic Interventions Framework on terms and conditions acceptable to the Strategic Director for Resources.

1. Executive Summary

- 1.1 The regionalisation of the adoption services and the creation of Adoption Central England (ACE) was not only concerned with ensuring a wider pool of prospective adopters for those children who need a permanent family and improving the timeliness of adoption for children, it also sought to improve post adoption support services to adoptive families.
- 1.2 Many children who are adopted will experience early life trauma and ongoing trauma as a result of this. This is like the experiences of children and young people who remain looked after. This was recognised by the Government that set up the Adoption Support Fund in 2015. For adoptive families requiring therapeutic services for themselves and their adopted children, an assessment of need is completed through ACE who will then process appropriate applications through the Adoption Support Fund. Some therapeutic interventions can be delivered through ACE, however the majority are commissioned and delivered by external providers. To date ACE has put in place commissioning arrangements with approximately 100 providers ranging from individuals to larger private organisations. The proposal to establish a Framework Agreement, led by Warwickshire County Council as the host agency, will strengthen commissioning and quality assurance arrangements ensuring the best possible outcomes for children and families.
- 1.3 ACE secured £1.3 million funding for therapeutic interventions in 2018-2019 and 561 adoptive families received services as a result. In 2019-2020 the claims against the Adoption Support Fund amounted to just over one million pounds and 607 adoptive families received therapeutic interventions consequently.

- 1.4 The fund is also available to households where the formerly looked after child is now subject to a special guardianship order. Their experiences and needs are very similar to those children who are adopted however nationally this group of carers are recognised as being *'older, poorer, less healthy and less well educated than adopters, they often have life changing decisions thrust on them with little preparation, assessments are often rushed, driven by the court 26-week deadline'*. Further, the impact of early trauma (on children) is not felt in a predictable or linear way but can emerge at any time across the life span especially at key transition points such as moving to secondary school or during adolescence. (Adoption and Special Guardianship Leadership Board).
- 1.5 Applications to the Adoption Support Fund on behalf of special guardianship households have been significantly less and it is proposed that the Framework Agreement for Therapeutic services is applicable to this group of children/carers also. There will also be occasions where local authorities might wish to access services through the Framework Agreement for other children who have been assessed as in need.
- 1.6 Historically services were obtained through a Coventry City Council led JETS framework which ended in August 2018. Currently ACE, in theory can access providers through a dynamic purchasing process managed by Worcestershire County Council. However, this arrangement is not meeting the needs or demand of the adoptive families across the region and following discussions with procurement officers in the ACE local authorities, it is considered appropriate for Warwickshire County Council to set up a framework agreement for providers.
- 1.7 Due to the potential demand and value of the commissioned services, Cabinet approval is sought in order to progress this work.

2. Background

- 2.1 Children who are placed for adoption, and those placed usually with relatives under a special guardianship order arrangement, have invariably been the subject of safeguarding and legal proceedings as a result of abuse.
- 2.2 The Adoption Support Fund has been available since May 2015. The Department of Education (DfE) commissioned an 'Evaluation of the Adoption Support Fund (August 2017)'. This included
 - an online survey to adopters across the UK
 - a longitudinal postal survey of adoptive parents accessing the fund
 - a sample of local authority case studies, and
 - longitudinal in-depth interviews with adoptive families tracing their journeys and experiences.
- 2.3 The evaluation found that:
 - children using the Fund showed substantially higher levels of emotional, behavioural and development needs than both children in

- the general population and compared to looked after children, and showed a very high level of predicted psychiatric disorders
- family functioning and parent-child relationships within the families using the Fund were found to be very challenging, and
 - the mental health and wellbeing of adoptive parents accessing the Fund was substantially poorer than the wider adult population.
- 2.4 The same evaluation also found that *‘the market for independent post adoption support services expanded in response to the increased funding available ... though was not yet sufficiently developed to meet the rapid and substantial increase in demand. Key challenges to growth of local markets to meet the demands are lack of trained therapists ... the necessary supervision required to practice effectively... quality concerns about the market that is exacerbated by the stretched capacity of the independent providers struggling to meet the sudden demand’.*
- 2.5 Adoptive parents did report high levels of satisfaction with various aspects of support offered, however a concern was the timeliness of the service and how quickly they receive support.
- 2.6 ACE was set up on 1 February 2018 and in two and half years over 1,200 applications have been made to the Adoption Support Fund with a value exceeding £2.3 million. The primary interventions required and received have been:
- Complex multi-disciplinary assessments
 - Dyadic Developmental Psychotherapy (DDP), and
 - Play therapy.
- 2.7 The maximum fund allowed for each child per year, subject to assessment, is £2,500 for a complex assessment and £5,000 for therapeutic intervention. Within this financial envelope the travelling costs of the therapists are met along with their clinical supervision.
- 2.8 ACE is working closely with a range of providers who can meet the growing need; however, this is not sufficient and not all providers are registered on the Worcestershire (Dynamic Purchasing System) DPS and many are independent practitioners where ACE undertakes preliminary checks and assurances. To access the Worcestershire DPS all providers must be asked to take part in a further competition which is awarded solely on price – the lowest priced bid will be successful. This does not allow for parental choice of the therapist or the type of therapy offered.
- 2.9 The Evaluation also found *‘regardless of the size of the adoption support team, the case studies indicate that upskilling of social workers in therapeutic knowledge is improving the efficiency and quality assessment, liaison with clinicians and appropriate commissioning of external providers to be good practice’.*
- 2.10 ACE is investing in its own service and is progressing certification as a DDP centre. Other therapies and interventions offered are therapeutic parenting,

Non-Violent Resistance (NVR) training and a parent-child attachment programme. ACE social workers can access DDP informed and NVR clinical supervision. However, the demand for adoption support is exceptionally high and some adoptive placements are deemed to be very vulnerable requiring greater and easier access to a range of more locally based providers.

- 2.11 The establishment of a Warwickshire led framework agreement would meet this need and extend the range of available support services to special guardianship families.
- 2.12 Warwickshire County Council hosts the regional adoption agency and as the lead agency will be responsible for entering into the Framework Agreement and any applicable call-off contracts on behalf of ACE. The ACE Executive Board members were notified of the proposal on 15 June 2020 and have given it their support. Further they have agreed the appointment of a contracts officer to support Framework, whose role would be to address any provider issues or concerns.
- 2.13 Any liabilities arising from the Framework Agreement would be jointly owned and shared by the five constituent local authorities in accordance with the agreed proportions as outlined in the ACE Partnership and Hosting Agreement. Also, the costs arising from the procurement exercise will be met from the ACE budget.

3. Advantages of the Therapeutic Interventions Framework Agreement for Children

- 3.1 The following advantages have been identified:
 - Unlike the DPF, factors other than cost can be taken into consideration in determining the preferred provider such as adopter choice, geographical location of the provider, suitability of the therapy and availability to deliver an intervention in a timely way.
 - The framework agreement would allow adoptive families to access details of providers so that they can express choice in selecting the provider they would look to work with.
 - The administration of the process is more straightforward and selective as we will be able to make a direct award to a suitable provider.
 - Warwickshire is central in the ACE region and is more likely to attract new providers from a wider geographical area. It will also build on existing established relationships with current providers so that services can be developed that complement each other to meet unmet need.
 - Commissioning practices will be strengthened, and quality assurance of awarded contracts will be strengthened.
 - Other children and families known to the local authorities will be able to access the services, such as children subject to special guardianship orders and other children in the community who are assessed as vulnerable and in receipt of early help services.

- 3.2 The future of the Adoption Support Fund appears secure at the present time with flexibilities being introduced during the Covid-19 period to extend the range of support services to adopters and special guardians. The fund is administered centrally at the present time and there is a possibility that this might change in the future with funding being allocated and aligned to the regional adoption agencies.
- 3.3 The ACE Executive Board, at its meeting on 6 February 2020, agreed the appointment of a contracts officer, funded through the ACE shared budget, who will oversee the administration of placements ensuring compliance with procurement and contract management requirements. They will be the main point of contact with the providers ensuring effective working relationships and quality assurance.

4. Financial Implications

- 4.1 There are no financial implications arising from this proposal as the Framework Agreement does not place upon ACE or the local authorities including Warwickshire any guarantee to spend to any providers on the Framework. Any liabilities regarding finance relating to ACE are shared across all local authorities within as previously agreed within the ACE Hosting & Partnership Agreement and when there is a call off from the framework will that cost be met from the Adoption Support Fund.
- 4.2 The advantage of the Framework Agreement is that it should hopefully attract therapeutic providers from across the region, making them more accessible to families. This could have the effect of reducing the amount of adoption support fund monies spent on travel, potentially increasing the amount funding that can then be used for direct therapeutic interventions.

5. Environmental Implications

- 5.1 There are no adverse environmental implications. Having a wider range of therapeutic providers across the region should reduce travel for both the providers and families, which would be positive for environment.

6. Timescales and implementation plan

Complete Service Specification	June 2020
Other local authorities approve service specification	July 2020
Warwickshire Corporate Board	15 July 2020
Cabinet decision	10 September 2020
Tender preparation commences	23 October 2020
Advertising	3 November 2020
Response period, evaluations and selection	18 December 2020
Approval period	13 January 2021

Award	1 March 2021
Framework Commences	1 March 2021

7. Summary

- 7.1 Both the national research and evidence shows that adoptive children and their parents need and value therapeutic interventions that both support the child's development and ensures the stability of adoptive placements. This can equally apply to children subject to special guardianship orders and other vulnerable children in the community.
- 7.2 The current arrangements for accessing therapeutic interventions could be improved and be more inclusive of adoptive parents. Also, the current providers are biased toward the south of the ACE region.
- 7.3 It is therefore recommended that Warwickshire County Council leads in the establishment of a framework agreement for therapeutic interventions for children. This approach has the support of commissioners within the other local authority areas covered by ACE. The action will also place ACE in a good position should the administration and arrangements for the use of the Adoption Support Fund, in future be delegated to the regional adoption agencies.

8. Background papers

There are no background papers.

Report Author	Brenda Vincent Lead Manager - ACE	brendavincent@aceadoption.com
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Portfolio Holder	Cllr Jeff Morgan	jeffmorgan@warwickshire.gov.uk

This report was circulated to the following members:

Local Members: None

Other Members: Councillors Yousef Dahmash, Pam Williams, Dominic Skinner, Corrine Davies and Jonathon Chilvers

Cabinet

10 September 2020

Warwickshire Foster Carer Association

Recommendations

That Cabinet:

1. Supports the Warwickshire Foster Carer Association (WFCA) applying for charitable status.
2. Approves and authorises the Strategic Director for People to provide the Warwickshire Foster Carer Association with £15,000 towards their set up costs for establishing the charity for the financial year 2020/21 and to make a further payment of £10,000 to the charity for the year 2021/22, subject to terms and conditions acceptable to the Strategic Director for Resources.

1. Executive Summary

- 1.1 The purpose of a foster carer association is to promote partnership between Warwickshire County Council foster carers, the Warwickshire County Council fostering team and other relevant agencies, to improve the outcomes for children in care. Historically Warwickshire has had a foster carers' association, but this disbanded a several years ago following a large number of resignations.
- 1.2 In March 2019 the fostering team and WFCA considered a number of WFCA models. The chosen model based on experience in other West Midlands local authorities consists of a local charity set up and facilitated by foster carers which is commissioned by the Local Authority. From research there are over 17 fostering associations in England with local authorities which have charitable status. The amount of money the charities raise and how much the local authority commits from their budget varies considerably. The WFCA and fostering team believe that applying for charity status will allow WFCA to fund raise independently and consequently offer more support to foster carers and children in care.
- 1.3 The Warwickshire Foster Carer Association is now active and meets regularly, it gives foster carers a collective voice, increased participation and partnership working with the Fostering Team and Service as a whole. They are becoming more involved in recruitment events and are holding formal and informal coffee/support groups across the county. The support the

association has offered to carers during the Covid 19 pandemic has been invaluable in helping to keep carers informed and supporting them in gaining appropriate advice and guidance.

2. Financial Implications

2.1 The Fostering Team will allocate £15,000 from its current budget to meet the year one costs of the WFCA. The WFCA will apply for charity status enabling it to fund raise and apply for grants. The fostering team will supply an additional small budget of £10,000 in 2021/22 to the association to meet the cost of social activities for foster carers and children in care including support groups and review this annually for 2022/23 and 2023/24. This costing can be met within the fostering budget. An agreement with the charity setting our terms and conditions for the grant being made will be established between the local authority and the WFCA.

3. Environmental Implications

3.1 None

4. Supporting Information

4.1 The Warwickshire Foster Carer Association is active. They have their own Facebook pages and are increasing the number of their committee members. We are increasing partnership working with WFCA and they are offering formal and informal support to other foster carers and ultimately improving outcomes for children in care.

4.2 The next development is for the WFCA to apply for charity status, to allow them to fund raise independently and have a small budget from WCC. This will enable the charity to develop and implement its business plan and to develop its mentoring and support to foster carers whilst also building a social community for foster carers, their families and children in care. The WFCA will sit independently from the Fostering Team and will apply for their own charitable status.

4.3 The association completes the following activities and support for carers and children:

- Inform carers about developments in fostering within Warwickshire as well as nationally.
- To provide social support and advice on all issues relating to fostering for carers, their families and all CLA. Including a range of support groups, activities and outings.
- Run drop in mornings and workshops
- Offer support to prospective foster carers before, at and after fostering panel.
- Meet on a regular basis as a committee and with the fostering team.
- Facilitate the foster carers support line- an out of hours service offered to foster carers currently facilitated through EDT.

- Provide articles for the quarterly newsletter
- Support foster carers when they are experiencing an allegation or cause of concern.
- Contribute to the training of foster carers and social workers.
- Support the recruitment activities/events.
- Act as an official channel to scrutinize and advise on policy change
- Consideration could also be given to supporting SGO carers with this model.

4.4 Benefits of the WFCA have been considered, these include:

- Foster carer led service which promotes foster carers' voices and acknowledges their experiences in developing the services
- Increases support to foster carers.
- Potential to improve recruitment and retention.
- Support line and support groups being operated by peers increased confidence for foster carers. Releasing some Family Support Worker time to deliver direct work, delivering targeted intervention.
- Empowers foster carers, increased visibility in the service and helps them to feel valued.
- Improved partnership working and ability to influence the service.
- Ability to raise additional funds through charity status.

4.5 Risks for the County Council and WFCA include:

- Lack of future funding from the authority and from charity applications.
- Commitment to the objectives and ethos of the Warwickshire Foster Carers Association.
- Stability and consistency of the core members of the group.
- Issues in ensuring true representation of Warwickshire Foster carers.
- Potential inability to meet the level of support that is required.
- Lack of engagement from foster carers.
- Commitment required from all levels within the service to work in partnership.

5. Timescales associated with the decision and next steps

Decision	Timescale
Enhance WFCA presence to all relevant services	From October 2020 - ongoing
Apply for charity status	By December 2020
Charity to draw up and implement the business plan with cost implications	By November 2020
Regular consultations and review of the effectiveness of the group	Every 6 months

Appendix

WFCAs Annual Report

Background Papers

None

	Name	Contact Information
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Lead Director	Nigel Minns	nigelminns@warwickshire.gov.uk
Portfolio Holder for Children's Services	Cllr Jeff Morgan	cllrjeffmorgan@warwickshire.gov.uk

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

Local Member(s): Cllr Pam Williams, Elected Member appointed to Fostering Panel.

WFCA Fostering Together – Annual Report 2020

Members

During this last year WFCA has gained many more members. Our facebook private group now has 78 members. All of these are approved foster carers for Warwickshire, including connected persons carers. We have 57 households in total as members.

Types of support given to foster carers

- We provide regular email updates to our carers about events that we have going on.
- We facilitate coffee mornings on a regular basis to carers from all over the county and have trialled these in various locations including carers homes, garden centres, and parks.
- We organised a Christmas meal out for foster carers, without children.
- WFCA do a live stream on a Friday night on the private Facebook group to provide more personalised support especially during COVID-19. We address carers issues and questions and carers can participate via live online messages.
- WFCA give 1:1 support to carers in a variety of ways ie, online messenger, text, email, virtual face to face chats and telephone calls.
- WFCA provide a 24 hour a day phone number that members can call for guidance and advise.
- Buddying system - WFCA has enabled carers to forge new networks of support and use our buddying system when they need it and with carers that they have a relationship with and hopefully the children and young people also know.

Types of support given to fostering families.

- We have organised picnics together with both CLA and birth children.
- WFCA have organised and facilitated craft events with CLA and birth children, for instance making Christmas cards, tree decorations and cake making.
- We have regular social get togethers at the local trampoline centre with CLA and birth children.
- WFCA have organised a social event at Hatton Country World for a Halloween event.
- WFCA organised a bowling social event for the whole family.
- We organised several family meals out in various locations across the county

Support given to fostering department

- WFCA have helped to support the recruitment teams on recruitment events.
- WFCA have been on hand to offer opinion on policy reviews when asked and to participate where appropriate in these reviews.
- WFCA have advocated to all carers to work with the fostering department and their fostering social workers during this time of crisis and worked with the fostering department on ways to facilitate a personalised approach for communication between the senior leadership and foster carers.

- WFCA have provided information to prospective carers that the recruitment team have sent our way. Often people want to speak to someone doing the job and this seems to be proving really useful and hopefully another way for WFCA to help to promote fostering.
- WFCA have joined the senior leadership team on their carers forums.

Training

WFCA have started to provide some forms of informal training help for members. I.e, workshops to help with tax self-assessment return, and recording practise for foster carers. Currently these have to take the form of a TEAMS session or simply a Webinar. Previous to COVID-19 we held a face to face workshop on tax self-assessment.

Moving Forward

We would like to see WFCA become a registered charity in this year and to grow our membership even further. We envisage reintroducing coffee mornings, once it is safe to do so and to carry on with our expansion of these to cover more areas in the county and to include as many carers as we can.

We aim to start a support group solely for connected persons carers alongside mainstream WFCA.

We aim to provide specialised support for SGO carers alongside our mainstream support.

We will be organising many more social events, again, once it is safe to do so, making efforts to plan more diverse/different events to appeal to more age groups and interests.

We would like to work more with the fostering department to increase to easy flow on communication and practise between carers and the department.

WFCA would like to become increasingly involved in the training of both fostering social workers and children's social workers.

We envisage a much closer working relationship with the recruitment and assessment team and also being part of the induction process for new foster carers.

Through continuing with the live feeds and Facebook page carers are able to find for themselves people whom they feel are like minded and can find people who are more like minded rather than being budding up with someone you may / may not get along with.

To continue to work to provide support for our birth children in a variety of imaginative ways and to provide a voice for our "kids that foster together". I.e, promotion of the kids that foster together private facebook group.

What do our members say

“It makes me feel part of something special, something that not only brings people together socially but support and helps those who need it”

“The WFCA has brought carers together in a way that hasn't been done before”

“To understand a foster carer, you have to be one, this is where WFCA comes in.”

“Over the past year the WFCA has provided brilliant support both via the Facebook page and organising events. So far I have attended morning coffee groups at a location near home; I have also attended events organised such as a summer picnic, playing at Jump In trampoline centre and a craft session at Kyla & Clive's home. The Facebook page has been transformative in feeling less isolated as a single carer. I have been able to post questions, request advice and contribute advice and support to other carers when required. The best people in a position to support carers is other carers, thus sharing experiences has been an invaluable aspect of the WFCA and I feel incredibly indebted to that support.”

“It's a great place to get help, support, information or just a friendly ear for a chat.”

“Pooling resources and hard-earned experiences to improve the outcomes of the young people in our care. Supporting new foster carers to deal with the unknown and scary early months”

“WFCA has been a great way for us to feel part of a team especially in the current situation. In this together. Thank you x”

“WFCA has brought Warwickshire carers together and increased their support network The knowledge that there are cares so close and able to give help support and non judgmental advice in a click of a button is invaluable and it's managed by a wonderful management team who give up so much time in an already hectic work/life day”

“I've not been a member for long and already have found it to be extremely helpful. I got a response immediately and was given good advice. The follow up call/message made me feel that people do care about what your going through. The weekly talks are also fun but informative and It gives me something to look forward to. Thank you for all you do”

“WFCA is the unification of south and north Warwickshire foster carers bringing us altogether to work with and support one another. Being part of WFCA means you are never alone and there is always someone to talk to or get advice from someone who understands and lives the day to day challenges we are faced with. WFCA is a unification of children's services as a corporate body and the foster carers, giving us access to the senior leadership team to address any issues we may face and to give us a voice as foster carers. Being part of. WFCA has brought friendship and togetherness for the foster carers and the children we care for in a what can be isolating world. WFCA uses the strengths of each individual person and enables us to share this with other carers to help each other during more challenging times. Therefore making each of us a better foster Carer and to help each other through. This in turn increases the skill set we have to pass onto our looked after children and the service as a whole. WFCA has been a great way of keeping us all united and sane over the COVID outbreak in what has been one of the most isolating periods of our lives! WFCA enables us to share the laughter and tears that comes with being a foster Carer.”

“WFCA has been a great support for me as well as old and new foster carers. I now feel that foster carers have a voice and are listened to a lot more then before.”

“From my point of view its really great to finally see foster carers in Warwickshire coming together with the same voice and supporting each other. WFCA unites us and I don't think that's ever been achieved before or certainly I haven't felt like it has. Fostering has always felt quite isolating but through the events and fb page and everything else WFCA is doing foster carers seem to be talking to each other more than before and working together to bring about some really positive changes”

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Cabinet

10 September 2020

Proposal to Establish Specialist Resourced Provision at Paddox Primary School, Rugby

Recommendation

That Cabinet approves the establishment of specialist resourced provision at Paddox Primary School

1. Executive Summary

- 1.1 Over the past five years, the growth in places at special schools in Warwickshire has significantly outstripped that in mainstream schools. There has been significant growth in both generic and specialist special schools. The main growth and investment has been in specialist provision for pupils with communication and interaction needs and social, emotional and mental health (SEMH) difficulties. The demand for specialist educational provision is expected to continue to rise, with the level of demand anticipated to be highest in Nuneaton & Bedworth and Rugby.
- 1.2 Establishing resourced provision is a key project within the SEND & Inclusion Change Programme (part of the SEND & Inclusion Strategy and DSG Recovery Plan). It allows learners with SEND to attend local settings and provides a bridge between mainstream and specialist provision.
- 1.3 There are currently 7 resourced provisions attached to mainstream primary schools in Warwickshire – 2 in North Warwickshire, 2 in Nuneaton & Bedworth, 1 in Rugby, 1 in Warwick and 1 in the Stratford on Avon area. As part of meeting forecast demand and building on the local offer of specialist provision the local authority is continuing the development of resourced provision across the county whereby pupils, who are able to access a mainstream curriculum, can have their needs met and benefit from being located within a mainstream school environment.
- 1.4 Warwickshire County Council is proposing to establish a specialist provision at Paddox Primary School for up to 10 pupils, principally in Reception, Year 1 and Year 2, with an Education, Health, and Care Plan (EHCP) where SEMH is the primary need. If approved the provision would be implemented during academic year 2020/21.
- 1.5 Paddox Primary School is a 3 form entry primary school with 630 places for children aged 4-11 years, with an Ofsted rating of 'Good'.

- 1.6 Pupils in the specialist resourced provision will benefit from accessing education at a mainstream primary school through a flexible approach, tailored and adapted to their needs.
- 1.7 Planning permission has been obtained for a stand-alone, single storey unit in proximity to the mainstream setting so that the children can also access the facilities of the school. The unit will comprise of 2 teaching areas, 2 group rooms, a sensory room, toilets, a social area and a staffroom. An external area will be adapted to the needs of the children, who will be provided with a protected area to play.
- 1.8 The children who will attend the setting will be on a different timetable from the main school, arriving at 9.15am and leaving at 2.15pm (pupils at the main school building arrive at 8.45am and finish at 3.15 and 3.20pm). Therefore, due to the differences in scheduling the additional vehicles generated by the proposal will have limited impact on traffic and parking on and around the site at the start or the end of the main school day.
- 1.9 The establishment of the specialist resourced provision will not impact on the school's current published admission number of 90. Admissions to the specialist resourced provision follow a different procedure from that operating for the rest of the school. Admissions into the specialist resourced provision will be through the Warwickshire County Council process for specialist admissions. The proposal is for the specialist resourced provision to cater for up to 10 pupils initially. This number may be reviewed in the future.
- 1.10 The provision is principally for pupils in reception, year 1 and year 2 with the intention to help pupils in Key Stage 1 gradually increase their time in mainstream lessons until they can attend with lower levels of support. By the end of year 2, a decision will be made as to whether they can successfully transition into mainstream or continue to need to be supported by the resourced provision. Alternatively, it may be decided that their needs can be best met in a different setting such as another mainstream school or special school.
- 1.11 In accordance with statutory guidelines, a public consultation took place between 15th June 2020 and 10th July 2020. Details were published in the local press and on the WCC website. Proposals were sent to the parents and carers of pupils at the school, other schools in Rugby and democratic representatives in the area. Feedback was collated and evaluated. A summary of the responses is attached in Appendix 1. 29 people responded in writing to the consultation, and overall feedback was supportive of proposals with 72% in support and 21% against (7% of respondents neither agreed nor disagreed with the proposal).

2. Financial Implications

- 2.1 Pupil places in the resourced provisions are funded (from the Dedicated Schools Grant (DSG) High Needs Block) at an appropriate rate so that a

pupil's additional learning needs can be met. The level of funding will be broadly in line with how pupils are funded in the County's special schools. A service level agreement between WCC and the school will confirm the exact arrangements and expectations.

- 2.2 Education capital funding would be used to fund the required capital works. Cabinet approval on 9th July 2020 increased the funding available to provide the single storey modular accommodation to £696,819.
- 2.3 The establishment of resourced provision is part of the DSG Recovery & Sustainability Plan (Intervention 1) allowing learners to be placed in more cost effective provision, reducing the pressure on in county specialist provision and reducing the need to place learners in more expensive independent specialist provision.. The establishment of resourced provision across the county increases the range of SEND provision available to meet the needs of children, particularly those children with significant additional needs but able to access a mainstream curriculum.

3. Environmental Implications

- 3.1 Increasing development of resourced provision aims to provide more 'local' education provision and reduce journey times for the learner.
- 3.2 The additional accommodation requirements of a small modular building of a modern method of construction are anticipated to have minimal environmental implications.

4. Supporting Information

- 4.1 The July 9th Cabinet paper – [DSG Recovery & Sustainability Plan](#)

5. Timescales associated with the decision and next steps

- 5.1 Approval by Cabinet will enable the provision to be implemented during academic year 2020/21

6. Background Papers

Equality Impact Assessment

7. Appendix

Summary of responses to consultation

	Name	Contact Information
Report Author	Emma Basden-Smith, Steve Pendleton	emmabasdensmith@warwickshire.gov.uk, stevependleton@warwickshire.gov.uk
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Lead Member	Portfolio Holder for Education & Learning	colinhayfield@warwickshire.gov.uk

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

Local Member: Councillor Jerry Roodhouse

Appendix: Summary of Consultation Responses

Table 1: Summary of support or opposition for the proposal

Response	Number	%
Agree/Strongly Agree	21	72%
Disagree/Strongly Disagree	6	21%
Neither Agree nor Disagree	2	7%
Total	29	100%

Table 2: Summary of comments/concerns

Agree/Strongly Agreed/Neither Agree nor Disagree	
Comment	WCC Response
Excellent Idea	
The provision is strongly needed in Rugby	
Interaction of specialist provision with the mainstream school will need to be managed without causing disruption or upset to the children in either facilities.	
What are the plans for Key Stage 2?	When pupils approach the end of year 2 a decision will be made as to whether they should stay in the school or move to different provision
How are the benefits of integration and inclusion realised using a separate building	The separate building is a safe base where children can be supported to feel safe before venturing into the main school

Disagree/Strongly Disagree	
Comment	WCC Response
Paddox primary is the wrong location. Schools catering for children with semh needs need to be small. If the aim is for provision for years R -2 surely this would be better in an infant school?	The provision is for 10 pupils. Pupils in an infant school would need to make a transition at the end of Y2 pupils which may hamper their progress
Concern that the school will not be able to meet the needs of the SEND children	The school is fully committed to this work and will be supported to develop all the skills required to meet the children's needs
Concern regarding the safety/wellbeing of existing children and take away from the resources allocated to them	The provision is sufficiently funded so that no resources will need to be diverted from main school budgets. The allocated funding ensures that the learners, their needs and any behaviours that may challenge can be managed by high staffing ratios within the dedicated accommodation. Risk assessment is undertaken by the school with respect to the new provision on the school site and the pupils from the resourced provision accessing facilities in the main school.
The new accommodation will take over some playground space utilised by current children	There is adequate playground space for all pupils
School site and area over developed lending itself to further increase in traffic	Planning permission has been given to the development. The provision is for a small number of additional pupils and staff. The traffic impact will be minimised with the resourced provision having different start and finish times to the rest of the school.

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Cabinet

10 September 2020

Local Government & Social Care Ombudsman – Annual Review and Summary of Upheld Complaints

Recommendation

That Cabinet receive and comment on the annual review and summary of upheld complaints issued by the Local Government and Social Care Ombudsman for the financial year 2019/20.

1. Executive Summary

- 1.1 Each year the Local Government and Social Care Ombudsman (LGSCO) produces a review letter which contains a summary of statistics on the complaints made about the Council for the year ended 31 March.
- 1.2 This report attaches a copy of the LGSCO's letter for the year 2019/20 (Appendix) and provides more detail in relation to the themes identified by the upheld cases and action the Council is taking to target key areas (section 4).

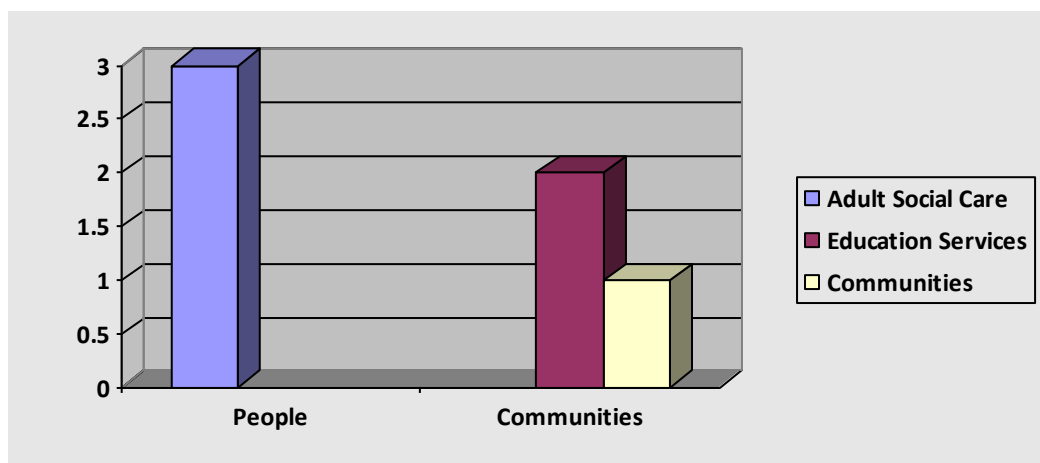
2. Upheld decisions in 2019/20 and completion of remedies

- 2.1 In the financial year 2019/20, 47 complaints and enquiries were received by the LGSCO in respect of Warwickshire County Council. The breakdown of the areas these related to was as follows:
 - 2.1.1 Adult Social Care = 17
 - 2.1.2 Corporate & other services = 5
 - 2.1.3 Education & Children's Services = 17
 - 2.1.4 Environmental Services & Public Protection & Regulation = 1
 - 2.1.5 Highways & Transport = 5
 - 2.1.6 Planning & Development = 1
 - 2.1.7 Other = 1
- 2.2 In this period the LGSCO made 46 decisions (which includes a number of decisions in respect of complaints received by the LGSCO in the previous year). Of these 46 decisions, the LGSCO decided that:

- 2.2.1 1 complainant was given advice and signposted back to complaint handling;
- 2.2.2 1 complaint was incomplete or invalid;
- 2.2.3 20 complaints were referred back to the Council for local resolution;
- 2.2.4 16 complaints were closed after initial enquiries were made with the Council; and
- 2.2.5 8 complaints were the subject of full LGSCO investigations.

2.3 Of the 8 cases investigated, 6 complaints were upheld and 2 were not upheld, giving the Council an uphold rate of 75%. This is higher in percentage terms than the average for similar local authorities in this period (66%) but appears to be much lower in terms of the actual number of upheld decisions (the range for similar authorities being 12-26). The upheld rate should also be viewed in the context of the overall number of decisions made by the LGSCO in this period and the method of calculation. The LGSCO figure of 75% calculates the percentage against the number of complaints investigated (i.e. 6 upheld from 8 investigated). Whereas, the percentage of upheld decisions calculated in respect of **all** decisions made in respect of Warwickshire by the LGSCO was 13% for Warwickshire (6 upheld and 40 no adverse findings) out of 46 decisions made).

2.4 The table below illustrates the breakdown of complaints upheld by area:



2.5 The LGSCO’s Review of Local Government Complaints 2019-20 which was published at the end of July 2020 reports that across Local Government:

- 2.5.1 They are finding fault more often: they upheld 61% of complaints that were investigated in detail, up from 58% last year.
- 2.5.2 They uphold the highest proportion of complaints about education and children’s services (72%).
- 2.5.3 Councils are putting things right more often. In 13% of upheld cases, the LGSCO found that councils had already offered a suitable remedy, up from 11% last year.

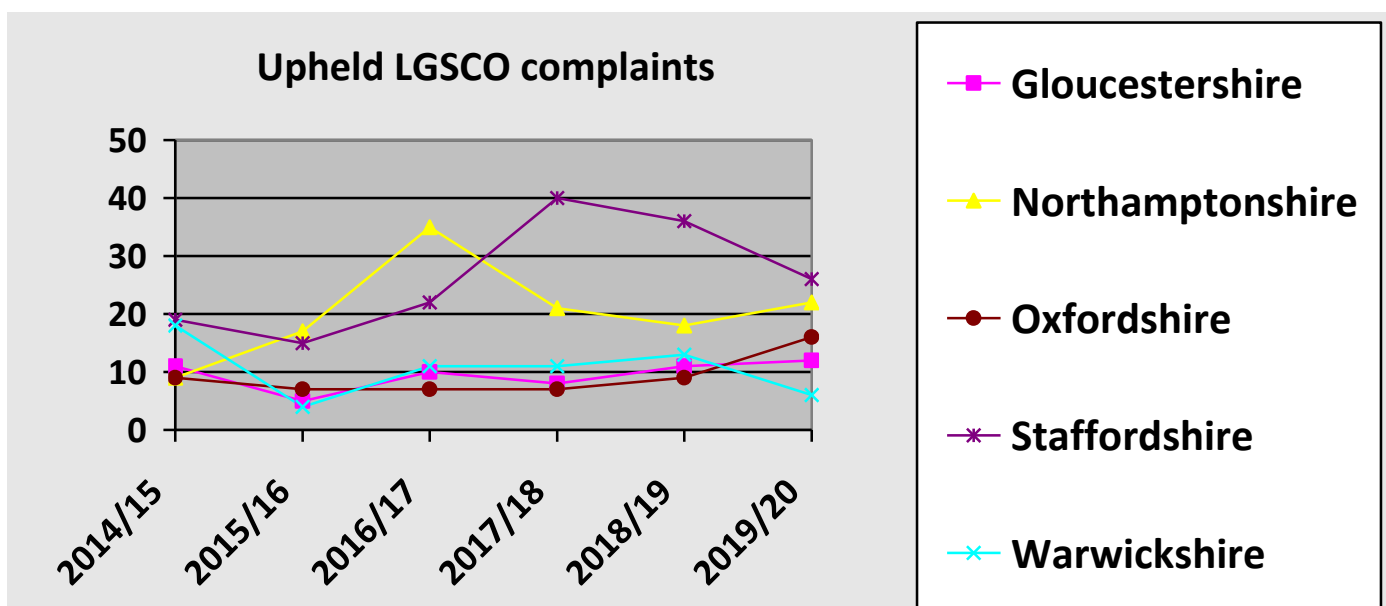
- 2.5.4 They recommended 1,629 service improvements, up 12% on the previous year.
- 2.5.5 Compliance with their recommendations remains high at 99.4%.
- 2.6 The Review also highlights that the LGSCO published 63 public interest reports during the year 2019/20 and that over a third of these reports were about education and children's services, with several demonstrating failings across the sector to properly provide Education, Health and Care (EHC) plans. In response to the significant number of investigations the LGSCO has carried out and the uphold rate in relation to this area (sitting at 91% for the year) they published a third focus report on the issue. This urges all councils with responsibilities for EHC plans to learn from the experiences of the families and children highlighted in the report. The focus report has been shared with relevant colleagues in Education Services. Only one of the complaints notified to the Council in 2019/20 related to an EHC plan and a final decision is still to be made by the LGSCO on this complaint. None of the complaints that were upheld in 2019/20 related to EHC plans.
- 2.7 The Review also confirms the LGSCO's view that fixing complaints one by one is short-sighted and ultimately serves as a lost opportunity to spot wider lessons and do better, noting that single complaints offer great potential to prevent problems reoccurring and to improve services for others - hence their recommendations focus both on remedying individual injustice and achieving wider service improvements. The LGSCO made 12% more service improvement recommendations across Local Government in 2019/20.
- 2.8 In terms of the actions that this Council agreed to take to remedy fault found by the LGSCO in 2019/20:
- 2.8.1 In 4 cases a financial remedy has been agreed. The total of the payments made in respect of all four cases was £8,492.75
- 2.8.2 In 2 cases the Council agreed to issue guidance to staff to ensure they are properly following the School Admissions Code and government guidance when determining applications for summer-born children to be educated outside of their normal age group. The Council also agreed to review other cases to ensure they had been made in accordance with government guidance and if not to re-make those decisions. The Council has completed both of these actions although is having ongoing correspondence with the LGSCO about this matter.
- 2.8.3 In 1 case the Council agreed to provide training to social care staff on the Mental Capacity Act. This action is currently being progressed.
- 2.8.4 In 1 case the Council agreed to write off some social care charges totalling £104.15.
- 2.9 The LGSCO's Annual Letter includes details about compliance with agreed remedies. This shows that out of the 6 compliance outcomes for the period between 1 April 2019 to 31 March 2020, the Council has a compliance rate of 100%.

2.10 Officers in Legal Services monitor the implementation of remedies and continue to work closely with the implementing officers to encourage timely completion of remedies. Where it is not possible to do so because of events outside of our control, the Council communicates with the LGSCO to see whether the agreed remedy, or the timescale, can be reviewed. This has sometimes been necessary during the emergency period caused by the covid-19 pandemic due to the pressure on workloads of those involved in preparing the responses.

3. Comparison to previous years and other local authorities

3.1 By way of comparison to last year, the number of upheld complaints has decreased by 7 and no formal Reports were issued against the Council in 2019/20.

3.2 Whilst there will be various reasons for the year on year variation in the number of upheld complaints, this data can be useful as a general guide to see how the Council is performing when it comes to complaints. The number of upheld complaints in previous years can be seen on the graph below and includes those for other similar size County Councils as a comparison:



3.3 Earlier this year, the LGSCO paused all case work in response to the exceptional operational challenges faced by local authorities and care providers as a result of the Covid-19 pandemic. Without a clear end point to the pandemic in sight, the LGSCO now acknowledges that services must adapt and continue to be delivered within this new reality. Following consultation with local authorities, the LGSCO has resumed its casework and is now taking new complaints again. To support local authorities the LGSCO has issued guidance on good administrative practice and handling complaints during the Covid-19 crisis.

4. Themes from upheld complaints and actions being taken to target key areas

- 4.1 The largest number of upheld complaints in any single area for WCC were in relation to Adult Social Care where there were 3 upheld complaints. All 3 complaints related to issues with care packages arranged by the Council. This included issues about:
- 4.1.1 The actions of the commissioned provider and how they had dealt with a complaint made on behalf of a customer;
 - 4.1.2 Miscommunication about the cost of a short-term care package; and
 - 4.1.3 Not considering a customer's capacity when arranging a care package and whether they would benefit from the support of an advocate throughout the support planning process.
- 4.2 The service area with the second highest number of upheld complaints was Education Services, where the LGSCO upheld 2 complaints. Both of the upheld complaints related to the way the Council considered applications for summer-born children to be educated outside of their normal age group.
- 4.3 The remaining upheld complaint related to the way the Council dealt with a Penalty Charge Notice.
- 4.4 Following last year's LGSCO review letter, work was undertaken to improve the way that adult social care complaints are dealt with and improvements had been made to the process around Education Health and Care Plans. Although there were upheld complaints in both Adult Social Care and Education Services, they were much lower in number to the previous year and not specifically in those areas where improvements had been made. Given the nature of these cases and the fact that many can be reported in one year and determined in the next, it is also possible that some of the determinations made this year relate to incidents that occurred before the improvements were made.
- 4.5 Colleagues from Legal Services and the Customer Relations Team continue to work on an action plan to ensure that the Council learns from complaints and acts pro-actively in response to LGSCO complaint outcomes, Focus Reports and Annual Reports. Work on this has been delayed during the Covid-19 pandemic. However, this work will recommence shortly, and the plan will be shared with Corporate Board.

5. Reporting upheld complaints

- 5.1 Performance in relation to LGSCO complaints is one of the Council's Corporate Health Measures. For 2019/20 we had a target of no more than 13 upheld decisions (which included upheld Information Commissioner/Tribunal decisions and Judicial Reviews). This target was not exceeded in 2019/20. There were 6 upheld LGSCO complaints and 1 partially upheld Information

Commissioner Office's decision. There were no adverse Judicial Review decisions.

- 5.2 For 2020/21 the target has been reduced to no more than 10 adverse decisions either from the LGSCO, the Information Commissioner/Information Tribunal or a court in a Judicial Review case. It is considered important that the Council continues to improve and thus the target has been lowered from last year, whilst taking into account that the Covid pandemic is likely to have had a perceived effect upon service delivery in some sectors in the short term which may translate into additional complaints. In setting the target, whilst we look at how many upheld decisions there were in previous years, there is recognition that the level can vary from year to year and therefore whilst we have lowered it to reflect the improvement we recognise that it could be unrealistic to lower it too much. Looking at figures from other County Councils, the number of upheld complaints for Warwickshire in 2019/20 was low.
- 5.3 As at the end of Q1 there has been one upheld decision in the financial year 2020/21 which is in relation to the Children & Families service area. At the time of writing there is also 1 draft decision from the LGSCO upholding a complaint in relation to Education Services. In addition to the number of upheld complaints, in 2020/21 the percentage of remedies completed to the satisfaction of the LGSCO is also being reported, with the target being 100%. This target is being met as at the end of Q1.
- 5.4 In addition to this annual report to Cabinet, individual cases where there has been a significant finding of maladministration (usually by way of a formal Report from the LGSCO) are also reported to Cabinet on an individual basis. There were no such reports issued in 2019/20.
- 5.5 Separately, where there are recommendations of ex gratia payments to be made above £1000, there is a requirement under the Constitution for approval from the Regulatory Committee. There was one case falling into this category in 2019/20.

6. Looking to the future

- 6.1 In his Annual Letter the LGSCO states that whilst his office has not investigated many complaints against this Council this year, there has been delay in responding to almost three quarters of the LGSCO's enquiries by the Council (five out of seven cases). He has asked the Council to reflect on this and take steps to improve its response times.
- 6.2 The Council does not currently collect data on response times to the LGSCO as these vary from case to case and the wide variety of timescales set make it impractical to do so. We are also not provided with details from the LGSCO about which specific matters the referenced delays relate to, so it is difficult to review instances of delay. However, officers dealing with LGSCO complaints

will be reminded to ensure that timescales are adhered to where possible and where not, ensure the LGSCO investigator is kept up to date and new timescales are agreed.

- 6.3 Officers in Legal Services who coordinate responses to the LGSCO and assist with the agreement of remedies and report on the implementation of them will continue to work with implementing officers across the Council to improve our practices in this area. In addition, as mentioned above, an action plan is being developed to ensure that the Council continues to learn from its complaints.

7. Financial Implications

- 7.1 Financial implications of the decisions have been included within the body of the report.

8. Environmental Implications

- 8.1 None

Appendix

LGSCO Annual Letter and appendices

Background Papers

None

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

Local Member(s): None

Other members: Cllrs Warwick, Singh Birdi, Falp, Boad and O'Rouke

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22 July 2020

By email

Ms Fogarty
Chief Executive
Warwickshire County Council

Dear Ms Fogarty

Annual Review letter 2020

I write to you with our annual summary of statistics on the decisions made by the Local Government and Social Care Ombudsman about your authority for the year ending 31 March 2020. Given the exceptional pressures under which local authorities have been working over recent months, I thought carefully about whether it was still appropriate to send you this annual update. However, now, more than ever, I believe that it is essential that the public experience of local services is at the heart of our thinking. So, I hope that this feedback, which provides unique insight into the lived experience of your Council's services, will be useful as you continue to deal with the current situation and plan for the future.

Complaint statistics

This year, we continue to place our focus on the outcomes of complaints and what can be learned from them. We want to provide you with the most insightful information we can and have made several changes over recent years to improve the data we capture and report. We focus our statistics on these three key areas:

Complaints upheld - We uphold complaints when we find some form of fault in an authority's actions, including where the authority accepted fault before we investigated. A focus on how often things go wrong, rather than simple volumes of complaints provides a clearer indicator of performance.

Compliance with recommendations - We recommend ways for authorities to put things right when faults have caused injustice. Our recommendations try to put people back in the position they were before the fault and we monitor authorities to ensure they comply with our recommendations. Failure to comply with our recommendations is rare. An authority with a compliance rate below 100% should scrutinise those complaints where it failed to comply and identify any learning.

Satisfactory remedies provided by the authority - We want to encourage the early resolution of complaints and to credit authorities that have a positive and open approach to resolving complaints. We recognise cases where an authority has taken steps to put things right before the complaint came to us. The authority upheld the complaint and we agreed with how it offered to put things right.

Finally, we compare the three key annual statistics for your authority with similar types of authorities to work out an average level of performance. We do this for County Councils, District Councils, Metropolitan Boroughs, Unitary Councils, and London Boroughs.

This data will be uploaded to our interactive map, [Your council's performance](#), along with a copy of this letter on 29 July 2020, and our Review of Local Government Complaints. For further information on how to interpret our statistics, please visit our [website](#).

Although we have not investigated many complaints against your Council this year, there has been delay in responding to almost three quarters of our enquiries (five out of seven cases). Delays by the Council add to the frustration experienced by complainants and can cause further avoidable distress and uncertainty. I ask the Council to reflect on this and take steps to improve its response times.

Resources to help you get it right

There are a range of resources available that can support you to place the learning from complaints, about your authority and others, at the heart of your system of corporate governance. [Your council's performance](#) launched last year and puts our data and information about councils in one place. Again, the emphasis is on learning, not numbers. You can find the decisions we have made, public reports we have issued, and the service improvements your Council has agreed to make as a result of our investigations, as well as previous annual review letters.

I would encourage you to share the tool with colleagues and elected members; the information can provide valuable insights into service areas, early warning signs of problems and is a key source of information for governance, audit, risk and scrutiny functions.

Earlier this year, we held our link officer seminars in London, Bristol, Leeds and Birmingham. Attended by 178 delegates from 143 local authorities, we focused on maximising the impact of complaints, making sure the right person is involved with complaints at the right time, and how to overcome common challenges.

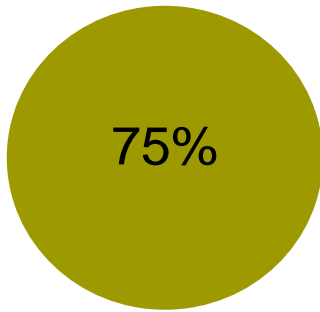
We have a well-established and successful training programme supporting local authorities and independent care providers to help improve local complaint handling. During the year, we delivered 118 courses, training more than 1,400 people. This is 47 more courses than we delivered last year and included more training to adult social care providers than ever before. To find out more visit www.lgo.org.uk/training.

Yours sincerely,



Michael King
Local Government and Social Care Ombudsman
Chair, Commission for Local Administration in England

Complaints upheld



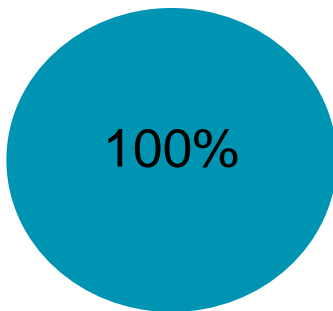
75% of complaints we investigated were upheld.

This compares to an average of **66%** in similar authorities.

6
upheld decisions

Statistics are based on a total of 8 detailed investigations for the period between 1 April 2019 to 31 March 2020

Compliance with Ombudsman recommendations



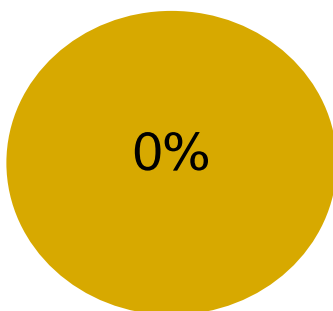
In **100%** of cases we were satisfied the authority had successfully implemented our recommendations.

This compares to an average of **100%** in similar authorities.

Statistics are based on a total of 6 compliance outcomes for the period between 1 April 2019 to 31 March 2020

- Failure to comply with our recommendations is rare. An authority with a compliance rate below 100% should scrutinise those complaints where it failed to comply and identify any learning.

Satisfactory remedies provided by the authority



In **0%** of upheld cases we found the authority had provided a satisfactory remedy before the complaint reached the Ombudsman.

This compares to an average of **9%** in similar authorities.

0
satisfactory remedy decisions

Statistics are based on a total of 8 detailed investigations for the period between 1 April 2019 to 31 March 2020

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