Cabinet

Date: Tuesday 7 December 2021
Time: 1.45 pm
Venue: Committee Room 2, Shire Hall

Membership

Councillor Isobel Seccombe OBE (Chair)
Councillor Margaret Bell
Councillor Peter Butlin
Councillor Andy Crump
Councillor Andy Jenns
Councillor Kam Kaur
Councillor Jeff Morgan
Councillor Wallace Redford
Councillor Heather Timms

Items on the agenda: -

1. **General**

    (1) Apologies

    (2) Disclosures of Pecuniary and Non-Pecuniary Interests

    (3) Minutes of the Previous Meeting   To Follow
    To approve the minutes of the meeting held on 25 November 2021.

    (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. **2022/23 Budget and 2022-27 Medium Term Financial Strategy –**   5 - 82
    Background Information and Options
    This report makes available, for Elected Members, the latest financial
    information that will underpin the 2022/23 budget and MTFS and the
    views of Corporate Board on that information.

    Portfolio Holder – Councillor Peter Butlin

Warwickshire County Council

10. Reports Containing Exempt or Confidential Information

To consider passing the following resolution:

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

11. Exempt Minutes of the 25 November 2021 Meeting of Cabinet   To Follow

To consider the exempt minutes of the 25 November 2021 meeting of Cabinet.

12. All Age Carers Support   769 - 792

This report informs Cabinet about the approach to support carers of all ages and seeks approval to procure services to support carer health and wellbeing.

Portfolio Holders – Councillors Margaret Bell and Jeff Morgan

Monica Fogarty
Chief Executive
Warwickshire County Council
Shire Hall, Warwick

Warwickshire
County Council

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- Declare the interest if they have not already registered it
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- Leave the meeting room until the matter has been dealt with
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Non-pecuniary interests relevant to the agenda should be declared at the commencement of the meeting.

The public reports referred to are available on the Warwickshire Web
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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 that features on the agenda. 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.

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Cabinet

7 December 2021

2022/23 Budget and 2022-27 Medium Term Financial Strategy – Background Information and Options

Recommendations

Cabinet is recommended to:

(1)   Develop their draft 2022/23 Budget and 2022-27 Medium Term Financial Strategy proposals, taking into account the information and advice presented in this report; and

(2)   Authorise Corporate Board to begin any preparatory work necessary to deliver the budget proposals, prior to the final decision on the budget on 8 February 2022.

1.   Introduction and Background

1.1.   The Council's financial strategy requires the annual budget to be set in conjunction with a 5-year Medium Term Financial Strategy (MTFS), aligned to the Authority's Council Plan. This rolling approach to resourcing services allows longer term issues and objectives to be catered for financially at the same time as balancing funding with the immediate budget pressures and delivery requirements.

1.2.   At the meeting on 8 July 2021, Cabinet considered a report entitled "A Financial Framework for the 2022/23 MTFS Refresh" alongside a report on the Council Plan and Integrated Planning 2022-26. The report outlined the emerging financial position within which the 2022/23 budget and 2022-27 MTFS would be developed and approved the approach and framework within which the necessary work would be undertaken.

1.3.   This report is the next step in the process of setting the 2022/23 budget and the framework for the 2022-27 MTFS. It makes available, for Elected Members, the latest financial information that will underpin the 2022/23 budget and MTFS and

the views of Corporate Board on that information in an approach that will enable the Council to respond effectively to changing circumstances while maintaining a longer-term focus on the Council's financial sustainability. The report, in effect, sets out the process that will lead to the agreement of the budget and the setting of the 2022/23 council tax in February 2022.

1.4.   The information presented in this report is structured over the following areas:
- The financial context within which the budget and MTFS will be agreed (section 2);
- The strategy recommended by Corporate Board (section 3);
- The proposed permanent and time-limited revenue funding allocations (section 4);
- The sustainability of spend funded from the Dedicated Schools Grant for providing support for pupils with special educational needs and disabilities and the consequent impact on the MTFS (section 5);
- The resultant proposals for balancing the revenue budget and MTFS (section 6);
- The level of the authority's reserves and the scope for the effective use of those reserves to support the delivery of the MTFS (section 7);
- The proposals for the realignment of the Revenue Investment Funds to the Council Plan (section 8);
- The summary revenue budget position and any remaining flexibility (sections 9);
- The proposed capital strategy and resultant capital programme (section 10);
- The residual financial risks and uncertainties (section 11); and
- The requirements on the organisation to deliver a balanced budget in 2022/23 (section 12).

1.5.   The report will then go on to consider the timetable and next steps between now and when the final decision on the 2022/23 budget is made on 8 February 2022.

2.   Context

2.1.   The context in which the 2022/23 MTFS refresh is happening continues to be dominated by Covid. The Spending Review, announced in October 2021, gave us an initial indication of the Government's approach, over the medium term, to reducing the levels of additional borrowing at the same time as meeting ongoing need to invest in recovery to achieve the growth required to repay the deficit. Added to this there are significant uncertainties around Government policy in terms of the Local Government Finance Settlement and funding reforms, which is expected in December and may cover another single year rather than three

years, the potentially major reforms to the funding of adult social care and White Papers on Levelling Up and planning reform as well as the roll out of the Government's proposals around levelling up and the UK Shared Prosperity Fund. Other key elements of the national policy context relevant to the MTFS include the Government's Net Zero strategy and *Build Back Better: Our Plan for Health and Social Care*, which sets out the Government's plans for healthcare, adult social care and additional funding via a new health and social care levy.

2.2. The economic situation remains hugely challenging with the added growing inflationary risk as a result of supply/labour shortages and the demand for services rising more quickly than our resources. The direct and indirect impacts of these factors on the County Council, as well as our partners, are unknown and continue to be highly volatile. Added to the mix, we have dealing with the on-going financial impact of Covid-19 and delivering on the Authority's ambition to invest in recovery.

2.3. In this context, the County Council needs to achieve a balance of ambition, prudence and robustness in setting this MTFS. There are clear differences between ensuring that there is a robust base budget and having sufficient reserves. Reserves can only be spent once, save where the Authority decides to use an investment approach to reserves by recycling savings so they can be reinvested again for the benefit of those who live in, work in and visit Warwickshire. A more commercial approach to such investments will help deliver financial improvements and release resources to deliver the Authority's core priorities.

2.4. The Spending Review 2021 (SR21) included a number of announcements that provide updates to the resource forecast used as the basis of the July Cabinet report. These are:
   • Core council tax referendum limits to remain at 2% each year;
   • A new option to levy an additional 1% adult social care precept in each of the next three years (2022/23 to 2024/25), in addition to the 2% flexibility the Authority carried forward from Spending Review 2020 (SR20);
   • £1.5bn of new grant funding for local government to cover increased inflationary, pay and national insurance and demand pressures; and
   • The maintenance of the Public Health Grant in real terms over the SR21 period.

2.5. Table 1 below sets out our base revenue resource forecasts through to 2026/27. By 2026/27 the Council is estimated to have £565.785m revenue resource available to support the budget, including a starting assumption of a 2% annual increase in council tax, taking the 2% adult social care levy carried forward from SR20 in 2022/23 and then taking the 1% additional adult social care levy

flexibility in the following two years. This approach has been adopted because of the financial position in which the Authority finds itself post Covid-19 and is in line with the MTFS agreed in February 2021, but in doing so recognises that setting the council tax is a political decision. The Council does have the option of taking a further 1% adult social care levy in 2022/23, which would increase resources by a further £3.904m over the period of the MTFS. The report comes back to the issue of council tax increases when considering Corporate Board's recommended budget strategy in Section 3 and when considering the options for balancing the budget in Section 6.

2.6.   The assumptions underpinning the figures in Table 1 and detailed in **Appendix A** are therefore:

- A 2% annual increase in the main element of the council tax;
- Taking the remaining flexibility to raise a further 2% social care levy in 2022/23 and the additional 1% flexibility in 20023/24 and 2024/25;
- The Better Care Fund, the Improved Better Care Fund and other longstanding government grants continue to be received at their current, levels over the medium term;
- Public Heath grant increases at 2% per annum;
- The Council receives £6.750m as our share of the additional £1.5bn additional grant announced in SR21; and
- No additional government funding for the impact of Covid-19 on tax collection in 2022/23 with the impact manageable through the application of reserves set aside and government grants received specifically for this purpose in previous years.

Table 1: Revenue Resource Forecasts 2022-27					
	2022/23 £m	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
Council tax (2% annual increase plus adult social care levy of 2% 2022/23 and 1% in 2023/24 and 2024/25)	339.977	357.168	375.230	390.370	406.131
Business rates	73.635	75.108	76.609	78.142	79.705
Better Care Fund, iBCF and other social care grants	39.162	39.162	39.162	39.162	39.162
Public Health Grant	24.083	24.564	25.056	25.056	25.056
Share of £1.5bn additional government grant	6.750	6.750	6.750	6.750	6.750
Other Government Grants	9.600	8.869	8.981	8.981	8.981
Total Base Resource Level	493.207	511.621	531.788	548.461	565.785

2.7.   These resource forecasts represent an increase in resources of £7.561m in 2022/23, increasing to £16.681m by 2026/27, from those in the July report.

2.8.   There are no further changes to the figures summarised in the table anticipated at this stage, although they will be subject to confirmation as part of the provisional 2022/23 Local Government Finance Settlement (due in mid/late-December) and the final taxbase figures will be provided by the Districts/Boroughs by the end of January 2022.

2.9.   The scenario used for the model of resource forecasting used for the MTFS is for a one-year gradual recovery through to the end of 2022. However, the level of uncertainty means we need to recognise that plans may need to be adapted for a range of potential resource scenarios. Appendix A therefore also includes the resource implications of two alternative scenarios are broadly based on:

- Best Case – minimal recession, return to previously levels of activity by April 2021 and maintaining government investment in local authority services in real terms; and
- Worst Case – medium term recession lasting whole of MTFS period with reduced funding for local government as part of an overall strategy to reduce the deficit in the public finances.

3.   Corporate Board's Proposed Budget Strategy

3.1.   It is within this context that the budget for 2022/23, as the first year of a 5-year rolling MTFS, will align the resources of the Authority to the objectives and ambitions set out in the Council Plan.

3.2.   Warwickshire remains a robust sustainable and financially resilient authority. Our strong financial position is driven by:

- A balanced budget with no unidentified savings targets;
- Healthy reserves to manage financial risk/shocks and invest in the future; investing to return to a growing local economy, resulting in buoyant local taxbases;
- No cashflow problems with high levels of liquidity;
- Relatively low levels of borrowing compared to our asset base giving a strong balance sheet; and
- A strategy in place to deliver a financially sustainable Warwickshire over the longer term.

3.3.   Our strong position meant we were able to respond to the uncertainty and financial commitments created by Covid-19 and look forward to the future with confidence. The decisions taken to address the short-term challenges we faced have not undermined our financial sustainability over the medium term. However, difficult decisions and choices will still need to be made as part of agreeing the 2022/23 budget and 2022-27 MTFS refresh. The guiding principle

continues to be to balance the MTFS without oversteering, maintaining flexibility to invest/transform and deal with future pressures.

3.4. Reflecting this approach, Corporate Board's recommended budget strategy is to:

- Remain robust, ambitious and prudent in setting the MTFS, given the current economic uncertainties that will persist;
- Integrate the budget and MTFS with the Council Plan through the integrated planning approach which has been adopted to ensure the direction set out in the Council Plan translates into a sustainable financial strategy;
- As far as possible maintain the capacity to invest by retaining the capital and revenue investment funds, continuing to push outcome-focussed activity in specific and limited areas, and investing in climate change mitigation;
- Sustainably tackle the major financial/demand challenges we face, particularly special educational needs and disabilities (SEND), support for children and families, including children with disability, and home to school transport;
- Ensure there is sufficient capacity to invest in ways to be more efficient and effective in maximising outcomes from local and national taxpayers' money, by driving savings/headcount reduction through digital, data and automation and setting financial return and pay-back periods for invest-to-save proposals; and
- Be flexible to the changing economic and political environment to both seize opportunities and deal with pressures, ensuring there is reasonable flexibility in future years to handle most plausible scenarios, whilst recognising it is impossible to guarantee this.

3.5. There remains a significant degree of uncertainty about the level of resources estimated for next year and over the medium term. It is estimated that next year 69% of our core funding (excluding Dedicated Schools Grant) will come from council tax and therefore the decisions around the level of increase in council tax (including the adult social care levy) are central to remaining a financial resilient and sustainable authority. SR21 confirmed the Government anticipates all local authorities raising the maximum core council tax each year of 2% and the additional 1% adult social care levy for the next three years. In addition to these increases in council tax the County Council retains the capacity to levy an additional 2% adult social care levy carried over from last year, meaning we could levy a maximum council tax of 5% in 2022/23 (2% core council tax and 3% adult social care levy). With inflation forecast to be 4% next year and in line with the MTFS approved in February 2021, the starting point for the options in this report is a 4% council tax increase in 2022/23 (2% core plus 2% adult social

care levy) but then taking the additional flexibility allowed in SR21 in each of the next two years.

3.6. Corporate Board is strongly of the view that council tax increases at this level would place the authority in the strongest possible financial position and to ensure sustainable services over the medium term, whilst recognising the impact on taxpayers of an above average inflation increase. Absorbing the impact of not taking the increase in council tax permitted would not be prudent and presents too high a risk given the level of uncertainty.

3.7. The importance of the decision on the level of council tax increase was reinforced on 9 November 2021 when Michael Gove MP, the Communities Secretary told the House of Commons Housing, Communities and Local Government Committee that the Government had abandoned plans to allow councils to retain 75% of their business rates as it conflicted with the Government's levelling-up agenda and instead committed to looking at the mechanism for redistributing funding to authorities most in need. As one of the authorities with a resilient council tax and business rates taxbases, this represents an increased financial risk and suggests the Authority may need to become increasingly self-sufficient. By the end of the MTFS period it is forecast that the proportion of our core funding (excluding Dedicated Schools Grant) from council tax will have increased from 69% to 72%.

3.8. Table 2 below shows the additional income that would be generated or lost by reducing the council tax.

Table 2: Resource Impact of Changing the Increase in the Council Tax					
	2022/23 £m	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
Council tax (4% in 2022/23, 3% in 2023/24 and 2024/25 and 2% thereafter)	339.977	357.168	375.230	390.370	406.131
Potential additional resources from taking the extra 1% adult social care levy in 2022/23	+3.262	+3.425	+3.593	+3.747	+3.904
Potential additional resources from an extra 1% annual increase	+3.262	+6.928	+10.999	+15.392	+20.145
Potential loss of resources from a reduction of 1% in the annual increase	-3.262	-6.869	-10.799	-14.945	-19.376
Potential loss of resources from a 0% annual increase	-13.066	-23.719	-35.112	-43.449	-52.272

4. Proposed Revenue Funding Allocations

4.1. In developing these proposals Corporate Board have been guided by the following priorities for the 2022/23 budget to:

- Ensure the budget proposals deliver the long-term financial sustainability of services;
- Continue to drive forward the implementation of the Council's change agenda to ensure our core services, infrastructure and resources can be used flexibly and effectively to meet future challenges and deliver for residents, businesses and communities; and
- Deliver investment in projects and programmes that will support the ambitions and objectives set out in the Council Plan.

Inflationary Costs

4.2. The MTFS approved in February 2021 provided for an annual general inflationary uplift to ensure budgets remain sustainable in real terms of a 2% increase in pay, prices and contract costs partly offset by assuming an equivalent increase in all fees and charges. This provision was in line with the medium-term target rate set by the Government for the Bank of England.

4.3. However, as the economy has reopened there has been increased inflationary pressure across all sectors. The forecasts for inflation, as set out in SR21, are for an average of 4% in 2022 before settling to around 2% (the Government's target) by 2024. Forecasts at this level are significantly above the 2% assumed in the MTFS. With the level of budget reductions already required to balance the MTFS it is the view of Corporate Board that it is not possible for Services to generate sufficient additional efficiencies to absorb the increased inflationary cost. Therefore, an additional 1% provision for non-pay inflation should be made in 2022/23 at an additional cost to the Authority of £3.203m. This is still 1% below the Chancellor's forecast for the next two years and therefore it remains a risk as to whether it will lead to additional budget pressures in future years. This risk will be managed in 2022/23 through reserves (see Section 7).

4.4. Services have included, within their savings proposals, options for contract management savings, reductions in third party spend and the delivery of small-scale efficiencies to absorb the impact of inflation on their budgets. Therefore, in making this inflation provision it is acknowledged that the allocation to Services for inflation is an approximate cost, recognising that some costs will increase above the standard rate and some below and that once the overall allocation has been agreed a Service should retain the opportunity to allocate the funding provided to reflect where inflation will impact at a local level.

4.5. There are areas of the Authority's activity where it is known the provision for general price inflation will be insufficient. There are three service areas where contractual commitments above this level are known to exist. These are:
- Street lighting energy;
- Waste contracts; and
- Provider costs in adult social care which are also particularly impacted by the 6.6% increase in the National Living Wage from April 2022.

Combined with the provision for a 3% general inflationary impact the total provision for price inflation in 2022/23 in the MTFS is £13.307m, bringing the total indicative inflation provision for price inflation over the period of the MTFS to £46.081m.

4.6. In addition to price inflation the MTFS also needs to include a sustainable provision for pay inflation. The effect of Covid-19 on average earnings and on wages and salaries has been significant. Wages and salaries are expected to recover significantly in 2021 and 2022 with average earnings increasing by 5.0% and 3.9%. Given the Chancellor's stated expectation that public sector pay is expected to maintain broad parity with the private sector over the next three years, forecasts at this level are significantly above the 2% assumed in the MTFS in February 2021. It is the view of Corporate Board that a provision for pay inflation of 4% in 2022/23 and 3% in 2023/24, again 1% below the expectations in SR21, is required to ensure the MTFS remains robust and sustainable. However, pay levels for the Authority's workforce are dependent on the outcome of a number of different national pay negotiation arrangements and therefore Corporate Board recommend that this provision is held centrally in the first instance. This will ensure any unused provision can be redirected to support the delivery of the MTFS in future years. The impact of this increase in the provision for pay inflation is £6.667m in 2022/22 and a total indicative provision over the MTFS period of £24.160m.

4.7. The final inflationary cost on pay is the impact of the 1.25% increase in National Insurance contributions from April 2022 for the Council's direct employees. This is expected to cost the Authority an additional £1.284m per annum.

Other Permanent Revenue Budget Adjustments
4.8. Corporate Board have identified five areas where additional budget allocations are required to meet known spending pressures to ensure services' financial position at the end of the MTFS period is sustainable.

4.9. The five areas where additional budget allocations are required are:
- Right-sizing budgets to correct for current structural overspends, primarily in relation to children's social care placements, supported accommodation for children leaving care, support for children with disabilities and strategic asset management;

- Allocations to meet the continued growth in demand for services as a result of both demographic change and housing growth. The main areas of demand growth are:
  - The adult population requiring care as well as increases in the complexity of need;
  - Placements and support for children who are looked after, at risk and children with disabilities;
  - The increased cost of waste management as a result of housing growth;
  - The provision of home to school transport, particularly in relation to children with SEND; and
  - The impact of the need for additional capacity in support services as a result of the growth in demand
- Increased capacity required in services following the full implementation of the new operating model;
- Additional activity required as a result of legislative/statutory and other externally driven changes including subject access requests, complaints, audit and the preparation of the statement of accounts, insurance and the coroner's service; and
- Investment to maintain the core operational infrastructure of the Authority.

4.10. As well as those areas where additional allocations are required there are a number of investments brought forward for consideration, totalling £0.897m, where there is a choice for Members as to whether to support them.

4.11. In addition to the specific allocations Corporate Board are also recommending an allocation is set aside as a provision of £1.000m in 2022/23, £9.000m for the following two years and then £7.500m for the last two years of the MTFS for future currently unknown and unquantified spending need, including increases in the National Living Wage and extra pay and price inflation. Such a provision will mitigate the need to identify further options for balancing the books as new spending requirements are identified over the period of the MTFS and provide further resilience in a highly uncertain context. Any of these provisions not required can be released in future years.

4.12. The additional permanent spending allocations identified total £23.052m for 2022/23 and a further £72.576m for indicative allocations over the remainder of the MTFS period, bringing the total permanent allocations proposed to £95.628m. **Appendix B** provides brief details of the proposed permanent budget allocations recommended for approval. All allocations beyond 2022/23 are indicative at this stage and will be subject to review as part of the rolling MTFS.

Time-Limited Revenue Allocations

4.13. Time-limited investment in key projects provides the opportunity for the Council to be ambitious in its plans whilst not risking the overall financial sustainability of the Council as well as pump priming the investment in change needed to deliver budget reductions. There are also a number of one-off costs the Council needs to fund to ensure the continued effective delivery of services.

4.14. Corporate Board have identified four areas where additional time-limited allocations are required to meet known spending pressures to ensure services' financial position at the end of the MTFS period is sustainable.

4.15. The four areas where additional time-limited allocations are required are:
- The up-front investment needed to deliver budget reductions included in the MTFS, the key investments being the SEND Change and Inclusion Plan and Digital Roadmap;
- The provision of temporary capacity to fund the on-going impact of Covid-19 on services including waste disposal costs, business support and cleaning;
- Investment required to meet the action plans resulting from the recent Fire and Rescue inspection and other external/independent reviews; and
- The need to fund a range of costs that will impact on the Authority as a result of past decisions and previously agreed approaches such as the resourcing of the DSG deficit and the maintenance of the core IT infrastructure of the Authority.

4.16. Corporate Board are recommending that the time limited allocations of £20.607m in 2022/23 and a further £20.332m over the remainder of the MTFS period are funded, a total of £40.939m.

4.17. As well as those areas where additional allocations are required there are a number of investments brought forward for consideration, totalling £1.142m, where there is a choice for Members as to whether to support them.

4.18. **Appendix C** provides brief details of these proposed time-limited spending budget allocations.

Future Government Grants

4.19. Spending announcements made as part of SR21 included a number of areas where some, or all, of the resulting activity will be delivered by and through local authorities. At this point we do not know how much, if any of this funding the County Council will receive.

4.20. However, given the tightness of the Authority's overall financial position, Corporate Board are recommending that a clear position about how any additional funding received will be managed is set out in advance.

4.21. The proposed approach is:
- There is no presumption that new grant funding will be automatically be allocated to services;
- As far as possible any grants received should fund activity we are already planning to do, that has been funded through the MTFS or through allocations from the Investment Funds; and
- If additional spending has to be incurred to deliver new activity, the priority is to direct resources at activities that drive progress in the Delivery Plans or deliver future MTFS savings.

Summary Spending Need

4.22. Bringing all these elements together indicates that the Authority has a spending need of £529.443m to be financed in 2022/23, increasing to £631.296m by 2025/26. A breakdown of this is shown in Table 3 below.

Table 3: Summary of 2022-27 Spending Need					
	Allocation	Cumulative Indicative Allocations in Future Years			
	2022/23 £m	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
Base Budget	464.103	464.103	464.103	464.103	464.103
Inflation	21.258	34.819	46.820	59.021	71.525
Additional Permanent Spending Need	22.308	40.067	56.445	78.981	94.731
Additional Time-Limited Spending Need	20.607	10.754	9.578	-	-
Total Spending to be Financed	**528.276**	**549.743**	**576.946**	**602.105**	**630.359**
Choice Permanent Spending Allocations	0.744	0.897	0.897	0.897	0.897
Choice Time-Limited Spending Allocations	0.423	0.293	0.223	0.163	0.040
Total Spending Need	**529.443**	**550.933**	**578.066**	**603.165**	**631.296**

5. Sustainability of Spend Funded from the Dedicated Schools Grant

5.1. At the same time as the Local Government Finance Settlement is announced the Department for Education are expected to also announce details of the Dedicated Schools Grant (DSG) for 2022/23 to provide funding for services to schools and pupils. A full report seeking approval for the allocation of the DSG will be brought to Cabinet for consideration in January 2022 and any decisions

made will need to be included as part of the budget resolution to be agreed by Council in February.

5.2. However, over the last two years Members have received a number of reports outlining the extent of the estimated structural deficit in the High Needs DSG and the Special Educational Needs (SEND) and Inclusion Change Programme required to bring about required change to delivering statutory duties within allocated resources. The magnitude of the numbers means that the impact of the SEND forecast deficit on the overall financial sustainability of the Council's finances has to be considered as integral to the Council's budget proposals.

5.3. At the end of each financial year any gap between the grant funding and the level of spend creates a deficit for the individual local authority, which shows up as a negative (or overdrawn) reserve on our balance sheet. The Government has introduced a statutory override, in place until the end of 2022/23, which means currently local authorities are not required to resource the deficit.

5.4. It is the professional advice of the Strategic Director for Resources, supported by Corporate Board, that the Authority does not follow this approach for two reasons:

- The statutory override only lasts until the end of 2022/23, after which authorities will need to resource, in full, any deficit accumulated up to that point, which is forecast to be £22.160m by the end of 2022/23; and
- As a matter of principle and proper accounting practice to accumulate an unsatisfied (and growing) debt is unsustainable without guarantees of additional funding from Government or plans in place to fully bring spend back into line with the resources.

The advice from Corporate Board is that to ensure the Authority remains financially sustainable funding should be set aside to make good the deficit.

5.5. As a result of the need to ensure we do not have an unfinanced debt the Authority, based on the latest forecasts, will need to set aside £7.972m in 2022/23, increasing to £32.397m by 2026/27. These figures are included in the spending allocations needed over the MTFS period shown in Table 3. A further update of this table and the implications for the MTFS more generally, reflecting the latest information on the expected level of funding and the final decisions around the allocation of the DSG across wider schools and pupil-related services, will be included in the Budget Update report to Cabinet in January 2022.

Table 4: DSG Forecast 2022-27	2022/23 £m	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
Estimated spend in-year	87.050	92.275	96.944	101.054	104.818
Impact of SEND and Inclusion Change Plan	(1.510)	(3.200)	(5.158)	(6.865)	(8.040)
SEND DSG Spend to be financed	**85.540**	**89.075**	**91.786**	**94.189**	**98.778**
Expected DSG funding	(77.568)	(84.220)	(85.794)	(87.400)	(91.989)
In-year deficit	**7.972**	**4.855**	**5.992**	**6.789**	**6.789**
Cumulative deficit to be funded		**12.827**	**18.819**	**25.608**	**32.397**

5.6.   The £32.397m additional deficit over the 2022-27 MTFS period is in addition to the £14.188m deficit expected to have accrued by the end of 2021/22. Whilst this represents the biggest single allocation in the MTFS it should be recognised that the SEND Change and Inclusion Plan and additional national funding in recognition of the magnitude of the structural deficit in SEND across local government means, on a comparable basis, the additional allocations are £2.977m less than included indicatively in the MTFS approved in February 2021. It is for this reason Corporate Board and Members will need to maintain their close scrutiny of SEND activity and spend as well as looking to extend the SEND and Inclusion Change Plan to move the service towards a balanced position and to continue to make the Government aware of the need for additional funding.

6.   Options for Balancing the Budget

6.1.   As we have progressed through the last 18 months of the Pandemic it has become clear that the negative financial impact of Covid-19 would extend beyond the current financial year, into 2022/23 and beyond. The impact would be felt in terms of the demand for services and, more critically, the impact growing inflationary risk. The result is the need to identify significant levels of additional savings proposals that could balance the budget on top of those already included in the February 2021 MTFS.

6.2.   The focus remains on the identification and quantification of options that would allow services to residents to be broadly maintained, and where possible even improved, through better procurement, improvements in efficiency, increased income and reductions in demand. However, the level of savings needed meant that some service reductions would also be needed.

6.3.   Proposals totalling £66.794m have been identified as being deliverable over the next five years. The cumulative impact of these on an annual basis are summarised in Table 5 below, with further detail shown in **Appendix D.**

Table 5: Summary of Proposals for Balancing the Books 2022-27						
	2022/23 £m	Extra in 2023/24 £m	Extra in 2024/25 £m	Extra in 2025/26 £m	Extra in 2026/27 £m	Share of Total Saving
Better procurement	1.239	1.567	1.526	0.396	-	7%
Demand management	2.890	7.917	8.334	6.975	5.533	47%
Income generation	1.519	1.905	3.614	1.046	0.589	13%
Further rightsizing of budgets	1.339	0.175	0.097	0.095	0.379	3%
Service delivery redesign	3.262	3.641	4.168	5.230	0.740	26%
Service reductions	0.115	0.368	1.408	0.727	-	4%
In-year Savings Options	**10.364**	**15.573**	**19.147**	**14.469**	**7.241**	
Cumulative Savings Options	**10.364**	**25.937**	**45.084**	**59.553**	**66.794**	

6.4.   The detailed work on these proposals will continue in the run-up to February with Corporate Board focussed on the pace of delivery to ensure any capacity is released at the earliest opportunity and that there is no overlap/duplication, which is good practice to ensure the robustness of the overall proposals. Any changes identified as a result of this work will be reported to Cabinet in January in the 2022/23 Budget and MTFS Update report.

6.5.   Almost half of the budget reductions are to be delivered through demand management. The maintenance of pace, the on-going focus on the transformation of services as well as the investment in digital/automation opportunities and the impact of community powered Warwickshire initiatives are essential if the required momentum shift in demand is to be achieved. This will need to be the focus of Members and Corporate Board's attention moving forward. The utilisation of performance information, to monitor trends and identify any areas of concern at the earliest opportunity, will be critical.

6.6.   These options include a level of service reductions and it is recognised that the list includes some difficult decisions. Corporate Board will continue to work to identify further transformation and digital/automation opportunities, to identify opportunities for additional income generation as part of taking forward outcome-driven investments, including those driving economic growth, in the run-up to the February budget and throughout 2022/23 that will provide additional options and flexibility should circumstances change. However, in order to present Members with options that would deliver a sustainable and balanced MTFS it is necessary to recognise the savings may be needed unless alternatives can be identified.

7. Flexibility in the Budget – Reserves

7.1. The Authority has a robust reserves position, with reserves in the latest monitoring report to Cabinet forecast to be £225.615m at the end of 2021/22. As part of the MTFS agreed in February 2021 Council reconfirmed its reserves strategy with the objective of ensuring we are using all our resources effectively, providing increased transparency and accountability around reserves and ensuring the framework is in place to align decision-making around the use of reserves with the Council Plan.

7.2. The primary purpose for holding reserves is to manage financial risk and promote financial sustainability. In developing the new reserves strategy this principle remained at the heart of the approach developed. However, it is recognised that there is a need to control the amount of scarce resources held in reserves and ensure this is both sufficient and reasonable. Therefore, as required by the strategy over the last few months a targeted review of reserves has been undertaken.

7.3. The outcomes from the review are that it is recommended:
- £9.890m of specific project/volatility reserves can be closed; and
- The Resources Directorate risk reserve should be reduced from 3% to 2%, to reflect that many of the Directorate's services are less demand-driven, than the other two Directorates, although the level of resource this could release will be determined at the end of the financial year.

7.4. Releasing reserves at this level is not without financial risk over the medium term. In particular, £5.435m is due to the release of the interest rate volatility reserve. This reserve is held to manage the impact of changes in interest rates on our cost of borrowing, recognising that the impact of any change could be material in-year. However, the level of cash balances currently held mean we will not need to borrow externally until 2025/26 to fund the capital programme at its current level and therefore the reserve would remain untouched on the balance sheet until this time. When we do need to borrow as an Authority towards the end of the MTFS there is a risk that the cost will be higher than currently estimated and with no reserve to smooth the impact this will be a first call on the provision for indicative pressures.

7.5. The proposals in this report are that the reserves released should be set aside to support the timing differences between spending need and the delivery of savings over the MTFS period or to provide the invest-to-save resources needed to kickstart the delivery of the future savings proposals (see Section 8).

This will minimise the extent to which the MTFS will diminish the Revenue Investment Funds.
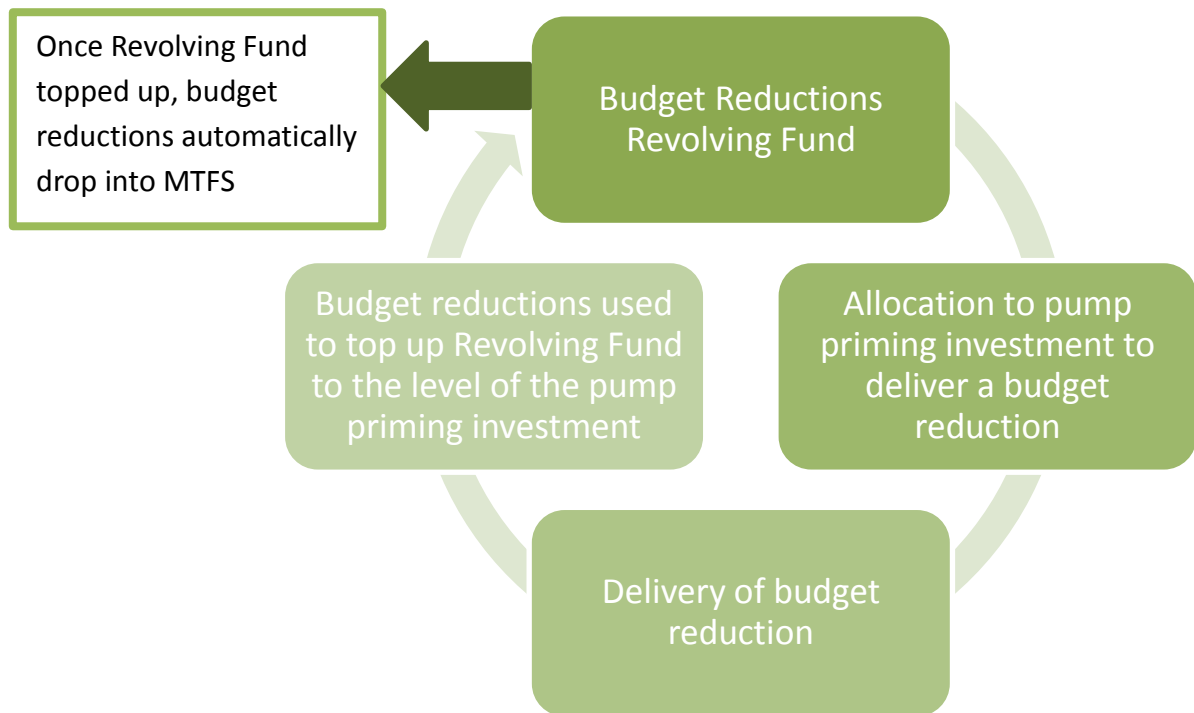
7.6.   Table 6 below shows how the Authority's reserves align to the updated reserves strategy. The proposed reserves strategy itself is attached at **Appendix E** and the Authority's latest reserves flowing from the strategy are attached at **Appendix F**. The figures in the table and in Appendix F reflect the reserves position forecast as at the end of November 2021. The figures will be updated to reflect the Quarter 3 position in the budget report to Cabinet in January 2022.

Table 6: Analysis of Forecast County Council Reserves at 31 March 2022	£m
Earmarked	
Schools	22.194
External funding conditions	8.732
Total Earmarked Externally	**30.926**
Investment Funds Subject to Annual Review	
Policy Decisions	12.241
Specific Investment Projects	12.935
Total Subject to Annual Review	**25.176**
Revenue Investment Funds	**31.988**
Management of Financial Risk	
General Reserves – minimum corporate risk assessment	25.253
Directorate Risk Reserves	11.410
Volatility Risk	55.645
Total Management of Risk Reserves	**92.308**
Reserves Available for Investment and to Support the MTFS	**45.217**
Total Forecast Reserves at 31 March 2022	**225.615**

7.7.   The result of the proposals outlined above and the impact of spend in 2021/22 means, as shown in the table, there is £45.217m reserves available to support investment and the delivery of the MTFS. Using the available resource to support the MTFS allows the organisation time and capacity to make the 'right' savings that support the delivery of the Council Plan and do not stifle recovery. Without using the capacity in this way there will be a need to make short-term reductions in services just to deliver a balanced budget in 2022/23.
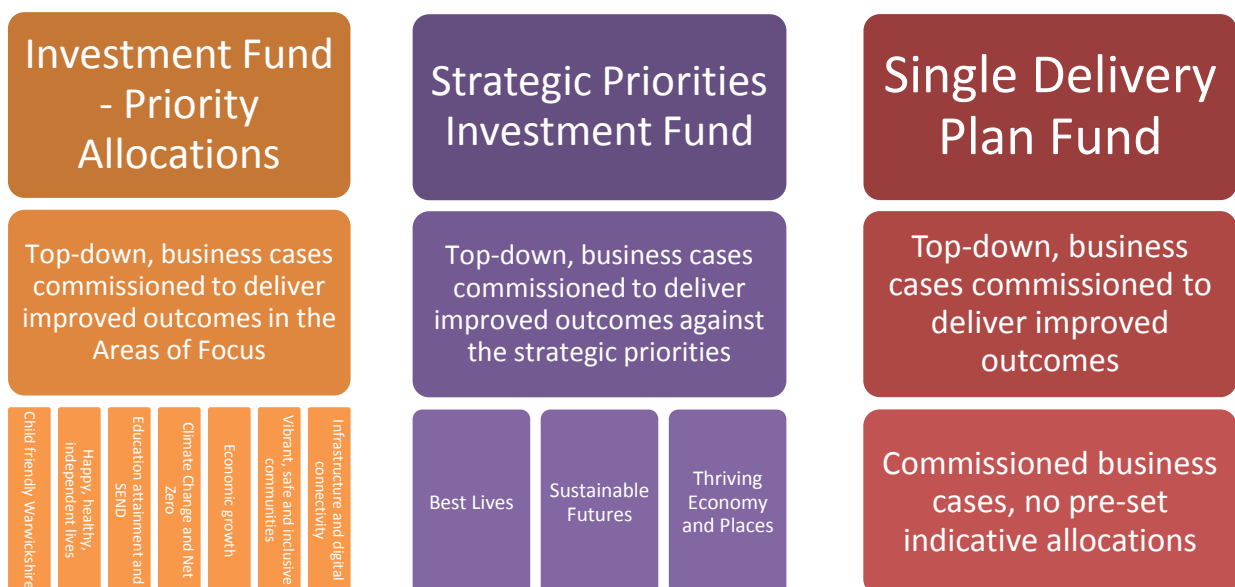
8.   Revenue Investment Funds

8.1.   As shown in Table 6 the Revenue Investment Funds at the 31 March 2022 are forecast to be £31.988m. However, included within this are a number of projects that have already been approved where spend, of £16.206m, will be incurred over the medium term. As a result, there is £15.782m of the Revenue Investment Funds currently unallocated to projects and potentially available for allocation to support the delivery of the Council's ambitions over the next five years.

8.2.   Having reviewed the operation of the Revenue Investment Funds in light of the new approach to integrated planning Corporate Board are recommending three changes to the operation of the Revenue Investment Funds:

- A move to commissioned business cases for use of the Revenue Investment Funds. The business cases would be commissioned based on the development of an investment pipeline flowing from the Delivery Plans to be approved by Cabinet once the Council Plan is agreed in February 2022;
- The creation of a revolving fund specifically to support the delivery of future budget reductions; and
- The creation of an IT System Replacement Fund to ensure the investment in the maintenance, upgrading and future replacement of our core IT systems can be planned and managed through a phased approach.

8.3.   The permanent revenue allocations in Appendix B include £0.500m that will create the Systems Replacement Fund. Based on current planned work this funding will be sufficient in 2022/23 and no additional top-slice from the Revenue Investment Funds will be needed. However, this will be kept under review and any changes brought forward as part of the MTFS refresh for 2023/24.

8.4.   The Revolving Fund for the delivery of future budget reductions will need an initial injection of funding, after which it should be self-sustaining. The objective of the fund is the creation of a pipeline of future MTFS savings/budget reductions. The approach proposed is shown in the diagram below. Corporate Board's proposal is that initial funding of £5m is set aside, recognising that the delivery of budget reductions to replenish the initial outlay may take several years and a number of projects will be underway at any one time.

Once Revolving Fund topped up, budget reductions automatically drop into MTFS

Budget Reductions Revolving Fund

Allocation to pump priming investment to deliver a budget reduction

Delivery of budget reduction

Budget reductions used to top up Revolving Fund to the level of the pump priming investment

8.5.   Outside of these two specific proposals, the structure of the Investment Fund/s will partly be determined by the decisions made on balancing the MTFS and the level of reserves used to achieve that. The diagram below shows the three options available:

- A single investment fund;
- A single fund with a series of indicative allocations based around the strategic priorities; or
- A single fund with a series of indicative allocations based around the areas of focus in the draft Council Plan.

Investment Fund - Priority Allocations

Top-down, business cases commissioned to deliver improved outcomes in the Areas of Focus

Child Friendly Warwickshire | Happy, healthy, independent lives | Education attainment and SEND | Climate Change and Net Zero | Economic growth | Vibrant, safe and inclusive communities | Infrastructure and digital connectivity

Strategic Priorities Investment Fund

Top-down, business cases commissioned to deliver improved outcomes against the strategic priorities

Best Lives | Sustainable Futures | Thriving Economy and Places

Single Delivery Plan Fund

Top-down, business cases commissioned to deliver improved outcomes

Commissioned business cases, no pre-set indicative allocations

8.6.   The desire to ensure the use of the Investment Funds is more aligned to the priorities for the Authority and the move towards commissioned business cases would lend itself to indicative allocations based around the strategic priorities or areas of focus. It would also ensure resources remain available for areas of activity where commissioned business cases will take longer to come forward for approval.

8.7.   The level of resources likely to be available for the Investment Funds is considered in Section 9, as it is dependent on decisions made about "choice" spending allocations, whether to take forward all of the options for budget reductions and decisions around the level of council tax.

9.   Summary Revenue Position

9.1.   This section of the report brings all the elements of the budget and MTFS outlined above together to provide a summary position which provides clarity of the decisions needed to ensure the 2022/23 budget is balanced and 2022-27 MTFS is sustainable and robust.

9.2.   Table 7 shows that, with a 4% council tax increase in 2022/23, 3% for the next two years and 2% thereafter, taking advantage of the additional adult social care levy flexibility in two of the three years and the use of at least £46.468m of reserves, the Authority is estimated to have a balanced budget for 2022/23 and for the period of the MTFS providing all the savings proposals are approved and delivered at the level and pace set out in Appendix D. The level of headroom available to Members is £2.220m, if none of the choice allocations are taken forward.

9.3.   By taking advantage of the flexibility offered by taking the adult social care levy the Authority is committing to increase the resources available to deliver adult social care by at least the amount raised from the levy. The options set out in this report for 2022/23 and the subsequent two years deliver on this commitment.

9.4.   The reliance on one-off funding, particularly over the early years of the MTFS means Corporate Board will continue to seek to identify further invest-to-save proposals and opportunities to bring the delivery of the savings forward. This will allow some of the reserves currently needed to balance the MTFS to be used to invest in services and delivery of the ambitions of the Council Plan and provide Members with a greater degree of choice about which savings to take forward. The drive to bring savings forward also emphasises the importance of the creation of the Revolving Fund to ensure there is a pipeline of future savings under development.

Table 7: Summary Revenue Budget Position 2022-27					
	2022/23 £m	2023/24 £m	2024/25 £m	2025/26 £m	2026/27 £m
Spending to be Financed (non-choice) (Table 3)	528.276	549.743	576.946	602.105	630.359
Less:					
Reserves used of fund one-off spending	(20.607)	(10.754)	(9.578)	-	-
Options for Balancing the Books (Table 5)	(10.364)	(25.937)	(45.084)	(59.553)	(66.794)
Total Spend to be Resourced	**497.305**	**513.052**	**522.284**	**542.552**	**563.565**
On-going resources available (Table 1)	(493.207)	(511.621)	(531.788)	(548.461)	(565.785)
(Surplus)/Shortfall assuming only unavoidable spending and all savings taken forward	**4.098**	**1.431**	**(9.504)**	**(5.909)**	**(2.220)**
Choice spending allocations	1.167	1.190	1.120	1.060	0.937
Reserves used of fund one-off spending	(0.423)	(0.293)	(0.223)	(0.163)	(0.040)
(Surplus)/Shortfall after taking forward all choice spending allocations	**4.842**	**2.328**	**(8.607)**	**(5.012)**	**(1.323)**

9.5. The headroom of £2.220m provides a degree of flexibility in the allocations/budget reductions they take forward. However, any use of this flexibility in the first two years will increase the level of reserves needed to balance the MTFS.

9.6. To arrive at the headroom of £2.220m impact of the budget options set out in this report requires the use of £46.468m reserves. This is above the £45.217m of reserves identified as being available to support the MTFS. Therefore, £1.251m of the uncommitted resources in the Investment Funds will need to be used to balance the MTFS. This would reduce the Investment Funds to £14.351m, of which £5.000m is recommended to be set aside to create the Revolving Fund to deliver future budget reductions; leaving £9.531m available to support investment in the Council's priorities and ambitions over the next five years, before Members take decisions to use any of the headroom.

9.7. The reserves figures, and the consequent impact on the resources available for the Investment Funds will be updated in the January report when the Quarter 3 budget monitoring is available.

10. Capital Strategy

10.1. Each year Council is required to approve a capital strategy as part of its budget proposals. Much of the content is specified, however the strategy is an important document in setting out the Council's ambition to ensure capital and revenue spending on the asset portfolio is directed efficiently and effectively.

10.2. As a suite of documents, the capital strategy sets out:
- Our strategic intent – the aspiration and direction for our capital investment, defining the outcomes we are seeking to achieve through investment (why);
- The draft programme – the activity programmes and projects funded from our capital investment (what); and
- The governance framework – the way we will manage capital spend and the capital programme (how). It is this technical appendix that ensures we meet with statutory guidance. It also sets out how we will optimise delivery by strengthening of performance, adopting commercial principles and practice and robust benefits realisation.

10.3. A draft of the refreshed Capital Strategy (our strategic intent) is attached at **Appendix G**. It has been updated to reflect the ambitions and priorities of the State of Warwickshire report, the Council Plan strategic priorities and the Areas of Focus. It has also been updated to reflect CIPFA policy requirements, the management of risk, and the WRIF and WPDG.

10.4. An update of the strategy will be brought to Cabinet in January 2022 along with the accompanying Technical Annex and draft capital programme once these have been updated for Quarter 3 monitoring the refreshed WRIF and WPDG business plans and the consideration of the draft Council Plan, elsewhere on today's agenda.

11. The Need for a Balanced Budget

11.1. In putting forward their proposals, Members are reminded that local authorities are required by law to set a balanced budget. An intention to set a deficit budget is not permitted. However, what is meant by 'balanced' is not defined in law. A prudent definition of a sustainable balanced budget is a financial plan based on

sound assumptions which shows how income will equal expenditure over the short- and medium-term, acting in a way that considers both current and future local taxpayers.

11.2. If the budget is unbalanced then the Chief Finance Officer, supported by Corporate Board, would have to consider issuing a Section 114 notice. Such a notice is only given in the gravest of circumstances, as during that time spending and other financial activity is suspended, the External Auditors would investigate and publicly report on the circumstances and the Department for Levelling Up, Housing and Communities (DLUHC) may take over the running of the Authority.

11.3. Because Members decide on the council tax before the year begins and cannot increase it during the year, there is a need to consider risks and uncertainties that might force them to spend more on their services than they planned. Allowance is made for these risks by making prudent allowance in the estimates for services; and ensuring that there are adequate reserves to draw on if the service estimates turn out to be insufficient.

11.4. To avoid setting an unbalanced budget the Local Authority has to be financially resilient. Setting a clear MTFS helps clarify expected income and expenditure. Awareness of the funding available in the forthcoming years means the Council stands a better chance of balancing the budget. Reserves are a useful option for balancing the budget in the short-term. However, reserves should not be used to pay for day-to-day expenditure, and it is important that they are replaced when the short-term need has passed. Therefore, the MTFS needs to be fully balanced on an ongoing basis, with no ongoing spending funded from one off resources meaning the Council Plan starts from a deficit position.

11.5. It is important that the Authority complies with its obligations under the Equalities Act 2010 - the Public Sector Equality Duty (PSED) - to promote equality and to reduce discrimination in relation to any of the nine 'protected characteristics' (age; disability; gender reassignment; pregnancy and maternity; marriage and civil partnership; race; religion or belief; sex; and sexual orientation). The Council must have 'due regard' to the PSED when taking any decisions on service changes whilst recognising that local authorities have a legal duty to set a balanced budget. Similarly, if proposals are likely to have adverse impacts on customers, public consultation should be undertaken before any final decisions are made and consideration given to the outcomes of those consultations. This may mean that some proposals are not implemented, and alternative solutions may need to be sought. Legal challenges to local authority budget setting processes have tended to turn on whether the authority has complied with these duties.

11.6. Using the information contained in this report, Cabinet are asked to develop their 2022/23 Budget resolutions for recommendation to Council on 8 February 2022.

12. Timescales and Next Steps

12.1. An effective MTFS ensures the Authority has the financial strategies, plans and financial decision-making framework in place that will deliver a financially resilient and sustainable Authority over the short, medium and long-term. The key components of the MTFS are:

- A 5-year Revenue Plan to balance annual funding and expenditure;
- A Capital Strategy and Capital Investment Programme to optimise the way in which we generate, manage and allocate the capital funds at our disposal;
- A Reserves Strategy and an associated programme of reserves reviews to make sure the money we hold is effectively managed to meet the financial risks and uncertainties; and
- Treasury Management and Investment Strategies that govern how, and to what extent, we can use our cash reserves and balance sheet strength to invest in the Council's priorities and plans. Draft strategies will form part of January's Cabinet agenda, alongside the 2022/23 Budget Update report, and will come to Council for approval alongside the budget.

12.2. The timetable for agreeing the 2022/23 budget and 2022-27 MTFS is set out in Table 8.

Table 8: Timetable for Agreeing the 2022/23 Budget and 2022-27 MTFS	
7 December 2021	Report to Cabinet from Corporate Board on the budget options
Mid December 2021	Provisional 2022/23 Local Government Finance Settlement
25 January 2022	Report to Cabinet outlining the final information to be used in setting the budget
By 28 January 2022	Cabinet release Conservative Groups 2022/23 budget resolution(s)
31 January 2022	Statutory deadline for receipt of council tax and business rates information from the districts/boroughs
Week beginning 31 January 2022	Opposition Group's release any amendments/alternatives to the Conservative's proposals
4 February 2022	Comparison of budget resolutions released
8 February 2022	Council agree the 2022/23 budget and council tax

13. Financial Implications

13.1. There are no direct financial implications for the Authority arising from this report. The report is part of a series of reports that will culminate in Council agreeing the 2022/23 budget and council tax at their meeting on 8 February 2022.

14. Environmental Implications

14.1. There are no immediate environmental implications for the Authority from this report. There will be environmental implications that flow from the individual allocations and proposals agreed as part of the Council's approved budget and these should be considered by Members as part of reaching their decisions.

15. Background Papers

15.1. None

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

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Appendix A

Resource Scenarios and Underlying Assumptions

Assumption	Best Case			Most Likely			Worst Case		
	Description	Variation from "Most-Likely" Scenario		Description	Resources		Description	Variation from "Most-Likely" Scenario	
		2022/23 £m	2026/27 £m		2022/23 £m	2026/27 £m		2022/23 £m	2026/27 £m
Council tax - annual increase	2% per annum plus 2% adult social care levy in 2022/23	n/a	n/a	2% per annum plus 2% adult social care levy in 2022/23	n/a	n/a	2% per annum plus 2% adult social care levy in 2022/23	n/a	n/a
Council tax taxbase	1.5% in 2022/23, thereafter 2%	1.683	9.123	1% growth in 2022/23, thereafter 2%	339.977	398.304	0% in 2022/23, thereafter 1%	(3.366)	(19.182)
Council tax - flexibility	Additional 1% per annum for three years including 2022/23	3.262	3.904	Additional 1% adult social care flexibility taken for 2 of the 3 years announced in SR21)	0.000	7.827	1% lower increase per annum for period of MTFS including 2022/23	(3.262)	(19.231)
Deficit on council tax collection	No deficit on collection, government resources can be released, phased over two years to support the MTFS	8.146	11.146	Deficit can be managed from within the Government grant provided, no resources to release to support the MTFS	0.000	0.000	Government grant to cover deficits insufficient, deficit to be funded of £1m per annum	(1.000)	(1.000)
Business rates income	Annual 1% growth in taxbase (excluding top-up), deficits met from NNDR appeals reserve, 2% inflationary uplift	0.323	5.176	Flat taxbase, NNDR appeals reserve used to fund any deficits, 2% inflationary uplift	73.635	79.705	5% reduction in taxbase in 2022/23, flat thereafter, NNDR appeals reserve used, 2% inflationary uplift	(1.614)	(8.401)
Better Care Fund, iBCF funding and other social care grants	All social care grants continue for MTFS period, 2% annual increase	0.783	4.075	All social care grants continue for MTFS period, cash limited to 2021/22 level	39.162	39.162	1% annual reduction	(0.392)	(1.920)

Resource Scenarios and Underlying Assumptions

Assumption	Best Case			Most Likely			Worst Case		
	Description	Variation from "Most-Likely" Scenario		Description	Resources		Description	Variation from "Most-Likely" Scenario	
		2022/23 £m	2026/27 £m		2022/23 £m	2026/27 £m		2022/23 £m	2026/27 £m
Public Health grant	4% increase in 2022/23, 3% in 2023/24 and 2% thereafter	0.472	1.784	2% annual increase for period of SR21, cash flat thereafter	24.083	25.056	1% annual reduction	(0.708)	(2.602)
Share of £1.5bn grant announced in SR21	In proportion to our share of adult social care needs assessment	7.064	7.064	In proportion to our share on the Settlement Funding needs assessment	6.750	6.750	In proportion to our share on the Settlement Funding needs assessment	0.000	0.000
New Homes Bonus	2022/23 Grant reflects one year plus one year top-up, 2023/24 gain reduces to one year only. Future changes to the system matched by benefit elsewhere to equal loss of grant.	0.000	0.000	2022/23 Grant reflects one year plus one year top-up, 2023/24 gain reduces to one year only. Future changes to the system matched by benefit elsewhere to equal loss of grant.	1.901	0.963	2022/23 Grant reflects one year plus one year top-up, 2023/24 gain reduces to one year only. Future changes to the system means resources are lost.	0.000	(0.963)
Other Government Grants	Grant cash limited to 2021/22 level with SR21 uplift where known	0.000	0.000	Grant cash limited to 2021/22 level with SR21 uplift where known	7.699	8.018	1% annual reduction	(0.077)	(0.352)
Total		**21.733**	**42.272**		**493.207**	**565.785**		**(10.419)**	**(53.651)**

Appendix B

Permanent Revenue Allocations 2022/23 to 2026/27

Description		2022/23 £'000	Indicative Additional Allocation in Future Years			
			2023/24 £'000	2024/25 £'000	2025/26 £'000	2026/27 £'000
Education Service						
SEND home to school transport - An allocation to meet the demand for home to school transport for pupils and students; thereby ensuring that eligible children have a seat to get to and from school.	Unavoidable	1,288	1,453	1,400	1,500	-
Placements for children with disabilities - An allocation to continue to support current placements and to meet the expected demand for future placements. This will ensure looked after children are in appropriate specialist places to meet their need.	Unavoidable	464	418	201	222	236
Children with disabilities alternative provision - An allocation to reflect unit cost increases and the number of children with disabilities looked after by the Council. The alternative provision includes supported living, supported accommodation and spot contracts.	Unavoidable	1,424	187	122	132	142
Mainstream home to school transport - A allocation to reflect increased cost caused by the implementation of Public Sector Vehicle Accessibility Regulations (2020), continued demand for taxi service and medical transport following Covid-19, increases in pupil numbers and the breadth of the network to be covered.	Unavoidable	1,000	-	-	-	-
SEND mediation - An allocation to ensure compliance with The School and Early Years Finance (England) Regulations 2020, where the cost of medication can no longer be charged to the Dedicated Schools Grant.	Unavoidable	113	-	-	-	-
SEND Service Review - An allocation to meet the cost of changes to SEND Assessment and Review Service following SEND Ofsted inspection and implementation of the SEND functional operating model	Unavoidable	1,021	123	-	-	-
Direct payments for children with disabilities - An allocation to continue to support the children and young people with disabilities who already receive a direct payment and to reflect the continuing growth in overall numbers.	Unavoidable	-	76	33	35	38
Education sub-total		**5,310**	**2,257**	**1,756**	**1,889**	**416**

Permanent Revenue Allocations 2022/23 to 2026/27

Description		2022/23 £'000	Indicative Additional Allocation in Future Years			
			2023/24 £'000	2024/25 £'000	2025/26 £'000	2026/27 £'000
Environment Services						
Vehicle activated signs- An allocation for the repair and preventative maintenance of ageing vehicle activated signs.	Choice	80	-	-	-	-
Gulley cleansing - An allocation to support the increase in frequency of gulley cleansing, particularly in known flood areas.	Unavoidable	200	-	-	-	-
Forestry - An allocation to provide for an increase in capacity in the Forestry Team to meet the increase in demand and provide resilience to support emerging climate change initiatives (tree planting schemes).	Choice	40	40	-	-	-
Transport Delivery - An allocation to implement the recommendation of the SEND Transport Review including a enhanced focus on vehicle inspections, safeguarding, quality assurance and contract management. This investment provides the capacity to deliver the reduced SEND and home to school transport costs included in the options for budget reductions.	Unavoidable	75	75	-	-	-
Environment Services Sub-total		**395**	**115**	**0**	**0**	**0**
Fire and Rescue						
Day crew plus fatigue mitigation - An allocation to fund the fatigue risk posed by the day-crewed-plus crewing system. This allocation is part of a change that delivers a saving of £140,000 a year after reflecting for this allocation.	Unavoidable	230	-	-	-	-
Fire and Rescue sub-total		**230**	**0**	**0**	**0**	**0**

Appendix B

Permanent Revenue Allocations 2022/23 to 2026/27

Description		2022/23	Indicative Additional Allocation in Future Years			
			2023/24	2024/25	2025/26	2026/27
		£'000	£'000	£'000	£'000	£'000
Strategic Commissioner for Communities						
Waste management - An allocation to address the increased waste management costs being incurred as a result of housing and population growth within the county and as set out in the District and Borough Council Local Plans.	Unavoidable	300	300	300	300	-
Transport planning capacity - An allocation to provide additional capacity to meet the demand for transport planning and the ability to be able to respond at pace.	Choice	207	-	-	-	-
Strategic Commissioner for Communities sub-total		507	300	300	300	0
Communities Directorate		6,442	2,672	2,056	2,189	416
Adult Social Care						
Care demand - An allocation to meet the cost of increase in demand for adult social care due to population growth, the increased length of support and intensity of care need as a result of increased life expectancy and the estimated reduction in people who can fund their own care over time.	Unavoidable	3,680	4,000	4,000	3,800	3,800
Adult Social Care sub-total		3,680	4,000	4,000	3,800	3,800

Permanent Revenue Allocations 2022/23 to 2026/27

Description		2022/23 £'000	Indicative Additional Allocation in Future Years			
			2023/24 £'000	2024/25 £'000	2025/26 £'000	2026/27 £'000
Children and Families						
Child allowances - An allocation to meet the costs of increased demand for Special Guardianship Orders, Residential Orders and Child Arrangements Orders to support children to leave or avoid care through allowances for extended family members caring for children.	Unavoidable	125	125	191	55	65
Children leaving care supported accommodation - An allocation to fund the increased cost of supported accommodation for those aged 16 plus, particularly care leavers, due to continued increases in the complexity of placements driving cost increases.	Unavoidable	589	216	106	112	118
Children's placements (exc. children with disabilities) - An allocation to meet the impact of fostering/placements framework contracts and changes to the placement mix on costs.	Unavoidable	5,666	1,676	930	1,216	1,301
Parent and baby placements - An allocation due to the increasing trend in court orders placing parents with babies in family residential placements.	Unavoidable	253	-	-	-	-
Children and Families capacity - An allocation to provide increased capacity in the service to meet the increase in demand and the service improvement needs identified by the 2020 Ofsted inspection.	Unavoidable	1,586	-	-	-	-
Children and Families sub-total		**8,219**	**2,017**	**1,227**	**1,383**	**1,484**

Permanent Revenue Allocations 2022/23 to 2026/27

Description		2022/23 £'000	Indicative Additional Allocation in Future Years			
			2023/24 £'000	2024/25 £'000	2025/26 £'000	2026/27 £'000
Strategic Commissioner for People						
Advocacy - An allocation to meet increased costs due to updated legislation and the increase in demand for mental health services post pandemic.	Unavoidable	75	-	-	-	-
Fluoridisation - An allocation to meet the increase in fluoridisation cost, due to very restricted market for purchase of chemicals.	Unavoidable	70	-	-	-	-
Integrated sexual health service - An allocation to meet the increased cost of the service as a result of retendering and reflecting the increased demand for the service.	Unavoidable	500	-	-	-	-
Dementia - An allocation of funding to support the development and implementation of the 'Living well with Dementia' strategy	Choice	60	-	-	-	-
Public health contract management - An allocation to meet the on-going cost of the new system for the management of public health contracts.	Unavoidable	-	60	-	-	-
Strategic Commissioner for People sub-total		**705**	**60**	**0**	**0**	**0**
People Directorate		**12,604**	**6,077**	**5,227**	**5,183**	**5,284**
Business and Customer Support						
Management of complaints - An allocation to provide the increased capacity needed to manage stage 2 complaints across the Authority in accordance with the statutory requirements.	Unavoidable	60	-	-	-	-
Business support capacity - An allocation to provide increased capacity to support those services, particularly children, education and adults, responding to increased demand.	Unavoidable	175	-	-	-	-
Business and Customer Support sub-total		**235**	**0**	**0**	**0**	**0**

Permanent Revenue Allocations 2022/23 to 2026/27

Description		2022/23 £'000	Indicative Additional Allocation in Future Years			
			2023/24 £'000	2024/25 £'000	2025/26 £'000	2026/27 £'000
Commissioning Support Unit						
Business analyst capacity - An allocation to increase the Authority's business analyst capacity by recruiting 3 permanent analysts instead of using fixed term contracts or agency staff as and when required. Half of the cost would be funded from time limited/third party resources on a project by project basis.	Choice	120	-	-	-	-
Climate change programme – An allocation to provide funding for the current capacity on a permanent basis.	Choice	70	-	-	-	-
Consultation and engagement - An allocation to enhance the current consultation and engagement offer, including the Voice of Warwickshire.	Choice	-	60	-	-	-
Commissioning Support Unit sub-total		190	60	0	0	0
Enabling Services						
Microsoft licence and cloud costs - An allocation to meet the additional licence and cloud costs to reflect the capacity required across the organisation and the continued transition to cloud based solutions.	Unavoidable	300	-	-	-	-
Income replacement for the salary sacrifice scheme - An allocation to offset the loss of income due to legislative changes reducing National Insurance savings through the take-up of child care vouchers. The saving was used to cover staff costs in the service which are now unfunded.	Unavoidable	53	-	-	-	-
Enabling Services sub-total		353	0	0	0	0
Finance						
Adult Social Care Financial Assessments - An allocation to provide capacity to undertake the increased numbers of social care financial assessments and the collection of income as a consequence of the demographic growth and increased demand in adult social care.	Unavoidable	32	-	-	-	-
Finance sub-total		32	0	0	0	0

Permanent Revenue Allocations 2022/23 to 2026/27

Description		2022/23	Indicative Additional Allocation in Future Years			
			2023/24	2024/25	2025/26	2026/27
		£'000	£'000	£'000	£'000	£'000
Governance and Policy						
Graduate scheme - An allocation to extend the graduate scheme to provide capacity and capability across all priority outcomes.	Choice	167	53	-	-	-
Strategic asset management rightsizing - An allocation to resource Authority's strategic asset management function as a result of the full implementation of the service redesign.	Unavoidable	521	-	-	-	-
Subject access requests - An allocation to provide sufficient capacity to deliver the council's statutory responsibilities for information governance, particularly in relation to subject access requests.	Unavoidable	150	-	-	-	-
Governance and Policy sub-total		838	53	0	0	0
Resources Directorate		1,648	113	0	0	0
Corporate Services						
Insurance - An allocation to meet the additional cost of the Council's insurance as a result of schools moving to a nationally administered scheme reducing economies of scale.	Unavoidable	647	-	-	-	-
Coroner - An allocation to meet the increase in post mortem and area coroner costs (shared with Coventry) and to resource the phased transfer of staff into the Council from Warwickshire Police to align service provision with national norm.	Unavoidable	50	50	95	75	50
Audit fees and valuations - An allocation to meet the increased cost of audit fees and valuations driven by increasingly complex reporting requirements as well as the increase in the complexity of the Council's financial activities.	Unavoidable	161	-	-	-	-
Core IT system replacement fund - An allocation to create a corporate IT Systems Replacement Fund that will provide investment capacity to update and replace the Council's core IT systems on a phased basis.	Unavoidable	500	-	-	-	-
DSG deficit offset funding - An allocation to ensure that the Authority's overall financial position is sustainable over the medium term by setting aside sufficient resources to fund the structural deficit in the DSG High Needs budget.	Unavoidable	-	-	-	6,789	-

Permanent Revenue Allocations 2022/23 to 2026/27

Description		2022/23 £'000	Indicative Additional Allocation in Future Years			
			2023/24 £'000	2024/25 £'000	2025/26 £'000	2026/27 £'000
Capital financing costs - An allocation to meet the additional capital financing costs the Authority will be required to fund, based on planned borrowing requirement of the capital programme.	Unavoidable	-	-	-	800	2,500
Provision for future indicative spending pressures - A provision for future unknown and unquantified spending need to mitigate future potential costs as part of ensuring the Council's services are sustainable over the medium term.	Unavoidable	1,000	9,000	9,000	7,500	7,500
Corporate Services sub-total		2,358	9,050	9,095	15,164	10,050
Corporate Services		2,358	9,050	9,095	15,164	10,050
Total Annual Additional Permanent Allocations		23,052	17,912	16,378	22,536	15,750
Total Cumulative Additional Permanent Allocations		23,052	40,964	57,342	79,878	95,628
Total Unavoidable Annual Allocations		22,308	17,759	16,378	22,536	15,750
Total Choice Annual Allocations		744	153	0	0	0

Appendix C

Time Limited Revenue Allocations 2022/23 to 2026/27

Description		2022/23 £'000	Indicative Allocation in Future Years			
			2023/24 £'000	2024/25 £'000	2025/26 £'000	2026/27 £'000
Education						
Specialist Provision in Nuneaton and Bedworth (Warwickshire Academy) - A time-limited allocation to increase state-funded specialist education provision in Warwickshire to meet population growth. This provides for short-term funding for the Dedicated Schools Grant place funding lag.	Invest-to-save	200	797	539	-	-
Outdoor Education Capacity Building - A two-year allocation to support the development, implementation and embedding of the Outdoor Education and Learning Strategy.	Choice	50	50	-	-	-
SEND and Inclusion Change Programme - An allocation to support the implementation of Phase 2 and 3 of the SEND and Inclusion Change Programme	Invest-to-save	1,531	899	-	-	-
Trading income - An allocation to support a research project aiming to explore additional trading opportunities to enable the generation of further revenue income.	Choice	50	-	-	-	-
Early Years Transformation - An allocation to invest in early years workforce development to improve outcomes for children by direct intervention when an early years provider is judged by Ofsted to 'require improvement' or below.	Choice	120	140	120	60	40
Synergy Maintenance delivery team - A two year allocation to support the ongoing delivery of education management information system for a further two financial years.	Unavoidable	160	165	-	-	-
Education sub-total		**2,111**	**2,051**	**659**	**60**	**40**
Fire and Rescue						
Implementation of the HMICFRS Action Plan - A two year allocation to review current strategies and processes for prevention activity and identification of high risk premises as well as the promotion of equality, diversity and inclusion in the workplace.	Unavoidable	775	775	-	-	-
Fire and Rescue sub-total		**775**	**775**	**0**	**0**	**0**

Time Limited Revenue Allocations 2022/23 to 2026/27

Description		2022/23 £'000	Indicative Allocation in Future Years			
			2023/24 £'000	2024/25 £'000	2025/26 £'000	2026/27 £'000
Strategic Commissioner for Communities						
Waste management - A time-limited allocation to reflect the increased domestic waste generated due to the shift to hybrid/homeworking following the pandemic.	Unavoidable	950	700	450		
HS2 - An annual allocation to continue work to mitigate the impacts of HS2 on Warwickshire residents and communities, maximising contributions from HS2.	Choice	103	103	103	103	-
City of Culture - Final year of a four-year allocation to meet the Council's commitments to invest in the City of Culture to deliver economic benefits to Warwickshire's communities and businesses.	Unavoidable	250	-	-	-	-
Cycle-racing - Second year of a two-year allocation to continue to provide funding to support the cycling events.	Choice	100	-	-	-	-
Strategic Commissioner for Communities sub-total		1,403	803	553	103	0
Communities Directorate		4,289	3,629	1,212	163	40
Adult Social Care						
Winter pressures - A provision, at the level the grant funding, to support adult social care activities over the winter period.	Unavoidable	2,300	-	-	-	-
Adult Social Care sub-total		2,300	0	0	0	0
Children and Families						
Recruitment - A two year allocation to meet the contract fees for external support for the recruitment of permanent staff in the service thereby reducing the reliance on, and cost of, agency staff.	Unavoidable	200	100	-	-	-
Children and Families sub-total		200	100	0	0	0
People Directorate		2,500	100	0	0	0

Appendix C

Time Limited Revenue Allocations 2022/23 to 2026/27

Description		2022/23 £'000	Indicative Allocation in Future Years			
			2023/24 £'000	2024/25 £'000	2025/26 £'000	2026/27 £'000
Business and Customer Support						
Complaints management - A two-year allocation to temporarily increase capacity to work with services, aiming to improve how complaints are managed in the early stages to avoid escalation to more formal processes.	Unavoidable	74	74	-	-	-
Customer Service Centre - A two year allocation to increase capacity to meet increased demand as a result of the pandemic.	Unavoidable	77	77			
Business support capacity - A two-year allocation to reflect the current levels of business support needed in response to the demand pressures in children and families, education and adult social care support. The spending need is time limited reflecting that some of the demand is covid-related and may not be required over the longer term.	Unavoidable	625	625	-	-	
Business and Customer Support sub-total		776	776	0	0	0
Commissioning Support Unit						
Paper storage - A two year allocation to meet the cost of additional paper storage costs from the rationalisation of Warwick-based office accommodation whilst the review of the long term need for paper-based storage is determined.	Invest-to-save	50	50	-	-	-
Vehicle management strategic approach - A three year allocation to deliver a project that will realise savings from the consolidation of spares, parts and tyres spend, changes to delivery models and reducing demand on fuel.	Invest-to-save	56	56	56	-	-
Off-contract spend consolidation - A allocation to fund the enabling cost of realising the savings options from the reduction in non-contract third party spend across the organisation.	Invest-to-save	252	-	-	-	-
Commissioning Support Unit sub-total		358	106	56	0	0

Appendix C

Time Limited Revenue Allocations 2022/23 to 2026/27

Description		2022/23	Indicative Allocation in Future Years			
			2023/24	2024/25	2025/26	2026/27
		£'000	£'000	£'000	£'000	£'000
Enabling Services						
Cleaning costs - a three year allocation to provide for a sustained increase in cleaning costs as a result of Covid for a further three years.	Unavoidable	200	200	200	-	-
HR and payroll system - An allocation to fund the contract signing fee resulting from G-cloud procurement.	Unavoidable	325	-	-	-	-
Recruitment - An increase in capacity to manage the complexity and growth in demand for recruitment support.	Unavoidable	106	141	141	-	-
Digital roadmap - A three year programme of investment in digital technology and automation. Individual projects within the programme will require business cases to demonstrate the resulting savings prior to the investment being made.	Invest-to-save	1,825	1,100	2,100	-	-
Enabling Services sub-total		**2,456**	**1,441**	**2,441**	**0**	**0**
Finance						
Invest to save for redesign - A time-limited allocation to provide additional capacity for process redesign and to implement new digital and automation technologies including IT systems investment costs. This investment is required to support the delivery of the Finance Service savings proposals.	Invest-to-save	100	100	100	-	-
Finance sub-total		**100**	**100**	**100**	**0**	**0**
Governance and Policy						
Legal capacity - An allocation to provide capacity for clearing the backlog of children's safeguarding cases caused by the closure of the courts during covid. The costs represents the additional cost of locums to carry out/support the work.	Unavoidable	120	-	-	-	-
Governance and Policy sub-total		**120**	**0**	**0**	**0**	**0**
Resources Directorate		**3,810**	**2,423**	**2,597**	**0**	**0**

Time Limited Revenue Allocations 2022/23 to 2026/27

Description		2022/23	Indicative Allocation in Future Years			
			2023/24	2024/25	2025/26	2026/27
		£'000	£'000	£'000	£'000	£'000
Corporate Services						
DSG deficit offset funding - A time-limited allocation to ensure that the Authority's overall financial position is sustainable over the medium term by setting aside resources on an annual basis to meet the forecast deficit until a sustainable solution is put in place.	Unavoidable	7,972	4,855	5,992	-	-
Coroner - A time-limited allocation to fund additional post mortem costs due to all post mortems remaining high risk (and higher cost) due to pandemic.	Unavoidable	75	40	-	-	-
Insurance - A one-off allocation to increase to Insurance Reserve to reflect the increased insurance risk the Authority is carrying. The required level of the Fund has been determined independently and reflects the level of self-insurance and claims.	Unavoidable	1,300	-	-	-	-
Warwickshire Property and Development Group - A time-limited allocation to provide sufficient funding to meet the cost to the Authority in the second year of the company's operation. *(This figure will be reviewed alongside the updated WPDG business plan due to be considered by Cabinet in January 2022.)*	Unavoidable	1,084	-	-	-	-
Corporate Services sub-total		**10,431**	**4,895**	**5,992**	**0**	**0**
Corporate Services		**10,431**	**4,895**	**5,992**	**0**	**0**
Total Annual Time Limited Allocations		**21,030**	**11,047**	**9,801**	**163**	**40**
Total Cumulative Time Limited Allocations						**42,081**
Total Unavoidable Allocations		**16,968**	**8,899**	**7,322**	**0**	**0**
Total Invest-to-save Allocations		**3,639**	**1,855**	**2,256**	**0**	**0**
Total Choice Allocations		**423**	**293**	**223**	**163**	**40**

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Options for Budget Reductions 2022/23 to 2026/27

Description	Type	2022/23	Indicative Additional Reduction in Future Years			
			2023/24	2024/25	2025/26	2026/27
		£'000	£'000	£'000	£'000	£'000
Education						
NEETs contract - An efficiency through the more effective contracting of the service to support those not in employment, education of training.	Better Procurement	(10)	(35)	(10)	(10)	-
SEND Home to school transport - A reduction in the cost of the service as a result of service/route redesign and the positive impact of the SEND Change and Inclusion Programme on both demand and the length of journeys.	Service redesign	(386)	(1,272)	(1,811)	(893)	-
Attendance service - Review of delivery of the pupil attendance statutory services.	Better Procurement	-	(10)	-	-	-
Savings on third party spend - Review of services purchased from third parties to ensure value for money.	Better Procurement	(66)	(74)	(34)	-	-
Traded income - Increase traded income from Governor and Attendance service as well as review and modernise music services.	Income Generation	(10)	(12)	-	-	-
Vacancy management - A reduction in staffing budgets through recognising natural underspends from staff turnover.	Rightsizing	(100)	-	-	-	-
Education sub-total		**(572)**	**(1,403)**	**(1,855)**	**(903)**	**0**

Options for Budget Reductions 2022/23 to 2026/27

Description	Type	2022/23	Indicative Additional Reduction in Future Years			
			2023/24	2024/25	2025/26	2026/27
		£'000	£'000	£'000	£'000	£'000
Environment Services						
Traded income - An expansion of traded income across the service including improving efficiencies and increasing income from external contracts, new future external contracts and MOT sales to public, enforcement income from network management, ecology surveys and the forestry service.	Income Generation	(360)	(285)	(80)	(80)	(40)
Savings on third party spend - Review of services purchased from third parties to ensure value for money and management of the budgeted cost increases of externally purchased services.	Better Procurement	(351)	(529)	(431)	(197)	-
Management of highways maintenance costs - Review of highways maintenance spend, road conditions survey work and capitalisation of contract overheads.	Rightsizing	(575)	-	-	-	-
Trading standards - Delivery of efficiencies in trading standards community safety provision.	Service Reduction	-	(45)	-	-	-
Winter gritting service - Review of the operation of the winter gritting service to reduce expenditure through more efficient delivery of services. This saving does not change the network coverage of the service.	Service redesign	-	-	(250)	-	-
Environment Services sub-total		**(1,286)**	**(859)**	**(761)**	**(277)**	**(40)**
Fire and Rescue						
Fleet transport savings - Revenue savings from purchase of Fire transport vehicles, ending lease agreements	Service redesign	-	(60)	-	-	-
Savings on third party spend - Review of services purchased from third parties to ensure value for money	Better Procurement	(43)	(50)	(71)	-	-
Fire Training - Income generation from taking advantage of commercial training opportunities linked to completion of new training facilities.	Income Generation	-	-	(100)	(100)	-
Fire and Rescue sub-total		**(43)**	**(110)**	**(171)**	**(100)**	**0**

Options for Budget Reductions 2022/23 to 2026/27

Description	Type	2022/23	Indicative Additional Reduction in Future Years			
			2023/24	2024/25	2025/26	2026/27
		£'000	£'000	£'000	£'000	£'000
Strategic Commissioning for Communities						
Country parks income review - Apply commercial approach to Country Parks income streams.	Income Generation	(30)	(45)	(25)	-	-
Savings on third party spend - Review of services purchased from third parties to ensure value for money.	Better Procurement	(258)	(90)	(59)	-	-
Income from S106 - Ensure S106 contributions are efficiently and effectively generated and collected.	Rightsizing		(25)	-	-	-
Business centres portfolio - Increased income generation through the introduction of virtual office space so that businesses can use mail, phone, meeting space facilities at business centres, without renting a unit.	Income Generation	(100)	-	(50)	-	-
Parking - Implementation of business parking permits from 2023/24.	Income Generation	-	(445)	-	-	-
Further service redesign - A restructuring of teams across Communities (Strategy & Commissioning) enabling resources to be better focussed on key priority areas and to exploit opportunities to lever in external funding.	Service redesign	-	(285)	-	-	-
Road safety advice - Maximising income opportunities from the provision of road safety advice.	Income Generation	(100)	(100)	-	-	-
Waste strategy - Estimated reduction in cost as a result of the implementation of the Government's resource and waste strategy. The cost of this up-front investment will be determined as the detail of the strategy becomes clearer.	Service redesign	-	-	(1,000)	(2,000)	-
Waste management - Reduction in residual waste and an increase in recycling as a result of the waste collection changes in Stratford and Warwick District, starting August 2022.	Service redesign	(290)	(334)	-	-	-
Strategic Commissioning for Communities sub-total		**(778)**	**(1,324)**	**(1,134)**	**(2,000)**	**0**
Communities Directorate		**(2,679)**	**(3,696)**	**(3,921)**	**(3,280)**	**(40)**

Options for Budget Reductions 2022/23 to 2026/27

Description	Type	2022/23	Indicative Additional Reduction in Future Years			
			2023/24	2024/25	2025/26	2026/27
		£'000	£'000	£'000	£'000	£'000
Adult Social Care						
Commissioning for younger adults - Redesign the commissioning approach to ensure a more efficient arrangement and improved brokerage function.	Service redesign	(300)	-	-	-	-
Savings on third party spend - Review of services purchased from third parties to ensure value for money.	Better Procurement	(228)	(255)	(204)	-	-
Housing with support for older people - Further develop the housing with support offer to reduce reliance on residential provision for all ages; including consideration of capital investment to secure revenue savings.	Demand Management	(500)	(500)	(500)	-	-
Management of cost of adults service provision - Management of the budgeted cost increases of externally commissioned care.	Demand Management	(1,000)	(1,499)	(2,000)	(2,064)	
Prevention and self-care - Develop and implement a prevention and self care strategy and invest in programmes, projects and services that reduce people's reliance on paid care and support.	Demand Management	-	(334)	(167)	-	-
Reduce demand for adult social care support - Implementing the service change and transformation activities underway 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.	Demand Management	(800)	(1,000)	(1,539)	(935)	-
Integrated commissioning with Health - Efficiencies through joint working and increased purchasing power for externally commissioned care. Arrangements will form part of the Coventry and Warwickshire Integrated Health and Care Partnership and associated system plan.	Service redesign	-	(200)	(200)	(267)	-
Reprofiling care demand - Rephasing the demand and cost pressures for adults social care based on expected growth as informed by national and local data.	Demand Management	(490)	(1,500)	(1,000)	(2,000)	(4,000)
Increase in client income - Increase in income as a result of taking into account expected growth of adult social care services.	Income Generation	(201)	(300)	(250)	(400)	(500)
Adult Social Care sub-total		**(3,519)**	**(5,588)**	**(5,860)**	**(5,666)**	**(4,500)**

Appendix D

Options for Budget Reductions 2022/23 to 2026/27

Description	Type	2022/23	Indicative Additional Reduction in Future Years			
			2023/24	2024/25	2025/26	2026/27
		£'000	£'000	£'000	£'000	£'000
Children and Families						
Savings on third party spend - Review of services purchased from third parties to ensure value for money.	Better Procurement	(107)	(118)	(52)	-	-
House project - Review accommodation solutions for young people to reduce reliance on more expensive fostering and supported accommodation though the expansion of the House project.	Service redesign	-	(200)	-	-	-
Manage demand for children's services - Implementing the service change and transformation activities underway across Children's Services, aimed at a reduction in the number of children needing care, single assessments and Children in Need.	Demand Management	-	(2,984)	(3,128)	(1,976)	(1,533)
Maximise income and contributions to care packages - Efficient collection of health contributions to children in care placements and income from safeguarding training.	Income Generation	(300)	(250)	-	-	
New ways of working - Expected reductions in staff travel, room hire, client travel and expenses from new ways of working post-Covid.	Service redesign	(56)	(92)	-	-	-
Rightsize Children's and Families budgets - Remove contingency budget for Early Help and replace boarding school budget with existing budget in Children's Services.	Rightsizing	(10)	(14)	-	-	-
Adoption - Agreed education in the Authority's Adoption Central England contribution.	Better Procurement	(48)	-	-	-	-
Children and Families sub-total		**(521)**	**(3,658)**	**(3,180)**	**(1,976)**	**(1,533)**

Options for Budget Reductions 2022/23 to 2026/27

Description	Type	2022/23	Indicative Additional Reduction in Future Years			
			2023/24	2024/25	2025/26	2026/27
		£'000	£'000	£'000	£'000	£'000
Strategic Commissioning for People						
Health, wellbeing and self-care - Rationalise the public health offer, preserving budgets for mandated public health functions, and rationalising the non-mandated public health offer and consolidating use of the Warwickshire Cares Better Together Fund.	Rightsizing	(177)	(163)	(73)	(50)	(335)
Maximise income and contributions to care packages - Ensure partner contributions are efficiently and effectively generated and collected.	Income Generation	(100)	-	-	-	-
Housing related support - Further decommissioning of the housing related support service offer. £1.000m was approved in February 2021, £1.112m is additional.	Service Reduction	-	-	(1,385)	(727)	-
Community meals service - Review subsidy of non-statutory community meals for residents.	Service Reduction	-	(160)	-	-	-
Domestic Abuse and Substance Misuse Detox Framework - Increase partner contributions to multi agency risk assessment conference in line with the national approach. The Public Health England contribution to inpatient detox will reduce current funding requirement.	Rightsizing	(36)	(50)	-	-	-
Co-production - saving once co-production framework embedded.	Rightsizing	-	-	-	-	(40)
Strategic Commissioning for People sub-total		**(313)**	**(373)**	**(1,458)**	**(777)**	**(375)**
People Directorate		**(4,353)**	**(9,619)**	**(10,498)**	**(8,419)**	**(6,408)**

Appendix D

Options for Budget Reductions 2022/23 to 2026/27

Description	Type	2022/23 £'000	Indicative Additional Reduction in Future Years			
			2023/24 £'000	2024/25 £'000	2025/26 £'000	2026/27 £'000
Business and Customer Support						
Business and customer process efficiencies - Efficiencies through ongoing service redesign and automation.	Service redesign	-	-	-	(200)	-
Community development - Efficiencies in the delivery of the internal community development function.	Service redesign	-	(20)	-	-	-
Customer support service redesign - Review and rationalisation of the organisation's approach to customer support.	Service redesign	(266)	(94)	-	-	-
Savings on third party spend - Review of services purchased from third parties to ensure value for money.	Better Procurement	(114)	(23)	(23)	-	-
Reduced use of printing and stationery - Future reductions in spend on printing and stationery predicated on digitisation work.	Demand Management	(100)	(100)	-	-	-
Library Service - Continue the covid-led trend of rebalancing the provision of library services, for example through increasing the use of drop off book boxes.	Service redesign	(50)	(50)	-	-	-
Registration Service - Increase registration revenue through the optimisation of service delivery locations.	Income Generation	-	(13)	(28)	-	-
Customer journey - As the customer experience programme beds down, the requirements to improve customer journey in isolation diminishes, enabling a redesign of the service offer.	Service redesign	(10)	(50)	(50)	(49)	(51)
Business and Customer Support sub-total		**(540)**	**(350)**	**(101)**	**(249)**	**(51)**

Options for Budget Reductions 2022/23 to 2026/27

Description	Type	2022/23 £'000	Indicative Additional Reduction in Future Years			
			2023/24 £'000	2024/25 £'000	2025/26 £'000	2026/27 £'000
Commissioning Support Unit						
Commercial approach to contracting - Securing rebates due to the Council through commercial contracting.	Better Procurement	-	-	(148)	(148)	-
Savings on third party spend - Review of services purchased from third parties to ensure value for money and management of the budgeted cost increases of externally purchased services.	Better Procurement	(44)	(47)	(26)	(19)	-
Commissioning Support Unit sub-total		(44)	(47)	(174)	(167)	0
Enabling Services						
Enabling Services delivery review - Review of expenditure on staffing, expenses and projects in Enabling Services.	Service redesign	(1,092)	(40)	(50)	(150)	-
Facilities management - Facilities management and maintenance cost savings linked to asset rationalisation	Service redesign	(148)	(213)	(109)	(417)	(100)
ICT applications migration and rationalisation - Migrating workloads to Azure to derive efficiencies from ICT application management alongside an on-going focus on the rationalisation of applications to reduce licence and maintenance costs.	Service redesign	(120)	(50)	-	-	-
ICT Service delivery review - Review past ICT budget growth and focus on efficiencies through development projects.	Service redesign	(69)	(240)	(208)	(90)	-
Savings on third party spend - Review of services purchased from third parties to ensure value for money and management of the budgeted cost increases of externally purchased services.	Service redesign	(126)	(139)	(445)	(12)	-
Pro-active use of apprenticeships - Closer integration of apprentices into service workforce structures.	Service redesign	-	-	-	(165)	-
Property service delivery review - Ensure effective mix of staff and agency use, drive efficiencies in facilities management resource spend and maintenance budget.	Service redesign	(50)	(95)	(32)	(90)	-
Review of maintenance and engineering work profile - Drive efficiencies in the work planning and prioritisation across maintenance and engineering.	Service redesign	(70)	-	-	-	-

Options for Budget Reductions 2022/23 to 2026/27

Description	Type	2022/23 £'000	Indicative Additional Reduction in Future Years			
			2023/24 £'000	2024/25 £'000	2025/26 £'000	2026/27 £'000
ICT Development - Release of capacity from the current ICT development budget and re-purpose this as the seed corn funding for the Systems Development Fund.	Rightsizing	(500)	-	-	-	-
Devices - continue to review the most cost effective device to meet the organisational and staff need at the end of the lease, subject to options appraisal and due diligence.	Better Procurement	-	(150)	-	-	-
Enabling Services sub-total		**(2,175)**	**(927)**	**(844)**	**(924)**	**(100)**
Finance						
Finance process efficiencies - Efficiencies through ongoing service redesign, automation, AI and self-service.	Service redesign	(25)	(50)	(75)	(25)	(25)
Savings on third party spend - Review of services purchased from third parties to ensure value for money and management of the budgeted cost increases of externally purchased services.	Better Procurement	(29)	(21)	(16)	(10)	-
Procurement cards - Rebates from extended use of procurement cards (based on increasing spend through p-cards from £1.5m to £12.5m pa)	Income Generation	(25)	(25)	(25)	-	-
Finance sub-total		**(79)**	**(96)**	**(116)**	**(35)**	**(25)**

Options for Budget Reductions 2022/23 to 2026/27

Description	Type	2022/23	Indicative Additional Reduction in Future Years			
			2023/24	2024/25	2025/26	2026/27
		£'000	£'000	£'000	£'000	£'000
Governance and Policy						
Electronic record keeping - Reduced storage requirements as a result of the move to electronic record keeping.	Service redesign	(10)	(10)	(10)	-	-
Savings on third party spend - Review of services purchased from third parties to ensure value for money and management of the budgeted cost increases of externally purchased services.	Better Procurement	(33)	(47)	(9)	-	-
Legal services trading income - Additional surplus from external trading with other local authorities and public sector bodies.	Income Generation	(40)	(60)	(60)	(15)	(25)
Paper free meetings - Reduction in the cost of printing as a result of moving to paper free meetings.	Service redesign	(10)	(10)	-	-	-
Vacancy management - Recognise natural underspends from staff turnover and operating under-capacity.	Rightsizing	(45)	(45)	(45)	(45)	-
Consultancy - Reduction in commissioning budget held for external consultancy and external support.	Rightsizing	-	(20)	-	-	(4)
Governance and Policy sub-total		**(138)**	**(192)**	**(124)**	**(60)**	**(29)**
Resources Directorate		**(2,976)**	**(1,612)**	**(1,359)**	**(1,435)**	**(205)**

Options for Budget Reductions 2022/23 to 2026/27

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Description	Type	2022/23	Indicative Additional Reduction in Future Years			
			2023/24	2024/25	2025/26	2026/27
		£'000	£'000	£'000	£'000	£'000
Corporate Services						
Savings on third party spend - Review of services purchased from third parties to ensure value for money.	Service redesign	(101)	(1)	-	(200)	(100)
Insurance - Savings arising as a result of a higher level of self insurance. *(Delivery will be the responsibility of the Assistant Director - Finance).*	Service redesign	(2)	(25)	(173)	(334)	(464)
Early Invoice Payment Rebates - Increased take-up of early invoice payment offer. *(Delivery will be the responsibility of the Assistant Director - Finance).*	Income Generation	(68)	(2)	(3)	(2)	-
Treasury Management - A target to increase returns on investment by 10 basis points based on a more pro-active approach to treasury management. *(Delivery will be the responsibility of the Assistant Director - Finance.)*	Income Generation	(185)	(242)	(121)	-	-
Warwickshire Property and Development Group - Forecast income stream from the successful delivery of the company business plan. *(To be updated WPDG business plan due to be considered by Cabinet in January 2022.)*	Income Generation	-	(126)	(2,856)	(433)	-
Digital roadmap - Savings as a result of a three year programme of investment in digital technology and automation. *(Delivery will be the responsibility of the Assistant Director - Enabling Services.)*	Service redesign	-	(250)	(200)	(350)	-
Capital Financing Costs - Reduction in the Authority's borrowing costs as a result of using capital receipts from the sale of surplus assets. *(Delivery will be the responsibility of the Assistant Director - Governance and Policy).*	Income Generation	-	-	(16)	(16)	(24)
Corporate Services sub-total		**(356)**	**(646)**	**(3,369)**	**(1,335)**	**(588)**
Corporate Services		**(356)**	**(646)**	**(3,369)**	**(1,335)**	**(588)**
Annual Budget Reductions Total		**(10,364)**	**(15,573)**	**(19,147)**	**(14,469)**	**(7,241)**
Cumulative Budget Reductions Total		**(10,364)**	**(25,937)**	**(45,084)**	**(59,553)**	**(66,794)**

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Reserves Strategy 2022-27

Introduction

Councillor Peter Butlin
Deputy Leader and Portfolio Holder for Finance and Property

I am delighted to be able to endorse this reserves strategy. It provides a clear framework for making sure the 'rainy-day' money we hold is effectively managed to meet the financial risks and uncertainties we face whilst enabling us to hold less overall and providing capacity for investing in the delivery of the Council Plan.

It faces head-on Members' concerns about the number of reserves, the amount of money tied up and the lack of clarity about how specific financial risks are being managed. Most importantly it supports the building of a common understanding that balances ensuring we remain a financially resilient authority with identifying whether resources could be released for investment in the objectives we are working towards.

Rob Powell
Strategic Director for Resources

Part of my role, as Strategic Director for Resources and the Council's s151 officer, is to report on the adequacy of the Authority's financial reserves and that they are sufficient to ensure the Authority remains financially sustainable and resilient over the medium-term.

This reserves strategy sets out why effective management of reserves is important, how we make decisions about the level of reserves to hold and how our approach enables us to deliver on this.

Our approach will be a success if across the Council it is understood that the money we have in reserves is proportionate to the risks and uncertainties we face, promotes financial resilience and is actively managed to identify where one-off resources that can be invested in support of our outcomes and key objectives.

Section 1: The Purpose of our Reserves Strategy

What are Reserves?

Reserves are revenue resources we have accumulated over time and set aside for a particular purpose as part of an integrated approach to the financial management of the Authority over the short, medium and long-term.

What is a Reserves Strategy?

A reserves strategy sets out the choices we make in relation to the level and purposes for which we hold the reserves we have accumulated. It is made up of three key elements:

1. Our strategic intent – what we are seeking to achieve through holding reserves;
2. Our programme – the level of reserves we hold and our plans for their use over the period of the 2022-27 Medium Term Financial Strategy (MTFS); and
3. Our framework – the way we will determine the level of reserves we need, manage those reserves and plan for their use in line with best practice and statutory requirements.

Together these elements set out our ambition for reserves, the nature of that ambition and how we provide assurance.

Why do we need a Reserves Strategy?

We plan over the short term and medium term how we will use the resources we are allocated and raise to deliver services for and to the residents and communities of Warwickshire. As a large, complex organisation there will always be variations between our actual spending/income and our plans due to variations in demand, demographic change, changes in costs and funding decisions of third parties as well as needing to deliver projects and investments spanning more than one financial year.

To ensure we can manage these financial risks whilst being able to maintain services requires that the Authority holds funds in reserve to meet these costs as and when they arrive. A reserves strategy enables us to do this in a planned way.

How does it fit with our other strategies?

The reserves strategy is part of a suite of supporting strategies that supplement the 2022-27 Council Plan and MTFS. All the supporting strategies are aligned to the Council Plan and MTFS and provide an additional level of granularity that help create a bridge between the high-level over-arching plan and operational delivery. As such it forms part of a collective accountability framework for the management of the Authority's financial resources.

Maintaining the current high standards of financial management across the organisation is critical to the successful delivery of the 2022-27 Council Plan and MTFS. Any weakening of financial management has a direct impact on the level of reserves needed to offset the risk of services overspending and/or the non-delivery of savings targets. The central role in the management of the Authority's reserves lies with Strategic Directors, both individually and collectively, with support and advice from Finance.

Section 2: Our Reserves

Our drivers for holding reserves are to:

   a)   Manage financial risk so that the risk materialising does not undermine the Authority's overall financial position or impact on service delivery;
   b)   Plan for the effective use of project resources over time;
   c)   Ensure we meet funding conditions in our use of any available resources; and
   d)   Retain any other accumulated underspends prior to decisions on their use.

We will always need to retain reserves for each of these reasons. All reserves that do not fall into categories a) to c) automatically fall into category d).

Our reserves are forecast to be £225.6 million at the end of 2021/22. We are holding the £225.6m for the following reasons:

   a)   £92.3 million to manage financial risk, including volatility;
   b)   £57.2 million for investment in projects to drive forward the delivery of the Council's objectives;
   c)   £30.9 million to meet externally set funding conditions; and
   d)   £45.2 million available for investing to pump-prime the delivery of the Council's key objectives
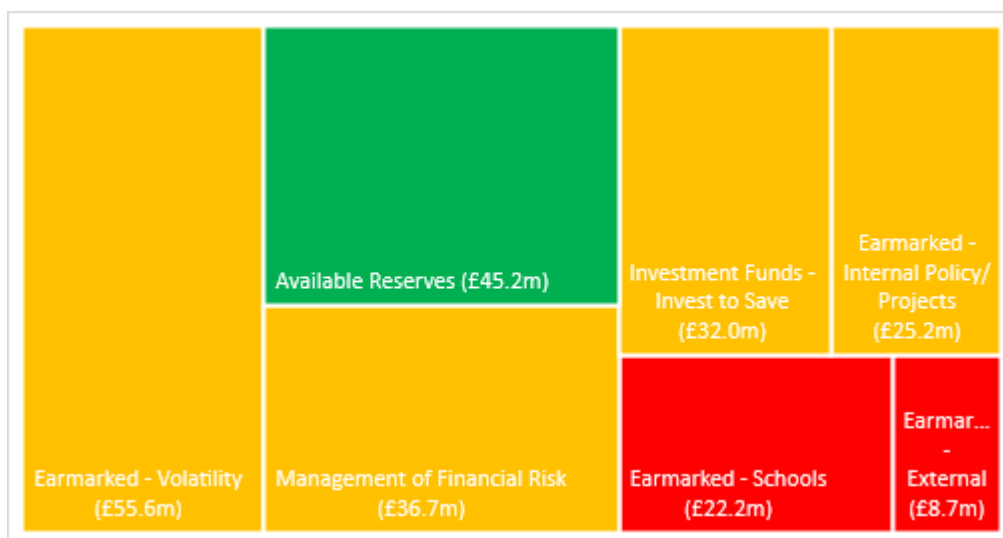
Key	
Not available for use	🟥
To be reviewed on an annual basis	🟧
Available for investment	🟩

Section 3: Our Reserves Framework

The Reserves Framework sets out our accountability and governance arrangements around the retention and use of reserves. In doing so it balances speed of decision-making with Member oversight and accountability for decisions about the effective use of the Council's resources.

Guiding principles for managing and using Reserves

Our guiding principles for managing and using reserves are:

- The primary purpose is to manage financial risk and promote financial sustainability.
- Subject to meeting this requirement we will:
    - Maximise the ability to use reserves flexibly to deliver the organisation's priorities;
    - Control the amount of scarce resources held in reserves; and
    - Hold reserves at a corporate/directorate level unless there is a business/technical reason for not doing so.
- The planned use of reserves, for the following financial year, will be agreed as part of the annual budget setting and medium-term financial planning process. Other than in exceptional circumstances the planned use of reserves is only expected to change in year as a result of:
    - Delivery Plan Investment and Invest-to-Save projects approved by Corporate Board/Members; and
    - Adjustments to reflect the impact of the previous year's outturn that were not known at the time the budget for the year was agreed where this aligns with the approved Delivery Plan or is an invest-to-save project.
- Service risk reserves will be held at Directorate level to manage in-year financial risk and to cover any over/underspends across the Directorate at the end of the year.
- All reserves will be subject to a year-end review to ensure the reason for holding the reserve and the plans for its use aligns with the approved Delivery Plan, MTFS and this strategy.
- Reporting on each reserve and seeking approval for any variations or to create a new reserve will form part of the quarterly monitoring report to Corporate Board and Cabinet.

Year-end review of reserves

All reserves will be subject to a year-end review by the relevant Strategic Directors in conjunction with the Assistant Director - Finance. At the end of each financial year for each reserve a delivery plan will be prepared that sets out:

- Plans for use of the reserve including sunset clauses/closure dates; and
- Benefits to be delivered from the investment.

Without an approved delivery plan in place a reserve cannot be accessed.

The outcome of this review will be a report to Cabinet in June each year seeking approval for further use of reserves in the current financial year and to identify where there are additional reserves to support the MTFS roll-forward.

Governance Framework

Managment of Financial Risk - Corporate

- Level of reserve set by the Strategic Director for Resources (as Section 151 officer) as the minimum amount required, based their assessment of the financial risks facing the orgnaisation and the extent to which these are covered elsewhere
- Allocations approved by full Council based on a recommendation from Cabinet or the Strategic Director for Resources
- Any approved use to be replenished up to the minimum level as part of setting the Council's budget for the following financial year

Management of Financial Risk - Directorate

- To manage in-year financial variations e.g. fluctuations in demand, financial risks associated with the delivery of the savings plan and to manage any overspend
- Maximum of 3% of the Directorate net revenue budget (max. 2% for Resources)
- Held at Directorate level with the Strategic Director accountable
- Decisions and proposals reported to Cabinet as part of the outturn report each year with any use replenished as part of setting the Directorate's financial planning for the following financial year

Volatility

- To manage areas of spending where cost in any one year is variable and unpredictable but where annual fluctuations are averaged out over the medium-term
- The continued need for and level of all volatility funds will be subject to an annual review. Held at both Directorate and Corporate level with accountability at Assistant Director level
- In-year governance arrangements approved by the Strategic Director as part of the Council's scheme of delegation

Earmarked

- To manage external funding received for specific purposes where the decsions on how the funding is used is not wholly within the control of the Council
- Held at Service level with accountability at Assistant Director level
- Governance arrangements agreed as part of the approval process for setting up the reserve, but will be determined by the requirements of the individual ring-fence

Investment Funds

- Funds set up to provide pump-priming investment to deliver on the Council's key objectives
- Held at Service level with accountability at Assistant Director level
- Governance arrangments agreed as part of the approval process for the investment if the project plan is to straddle more than one financial year
- All Investment Fund reserves expected to be time-limited and subject to annual review

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Appendix F

Reserves Schedule

Service	Description	Reserves as at 31 March 2021	Approved 2021/22 MTFS commitment	Approved movement in year	Effect of 2021/22 outturn	Impact of Reserves Review	Forecast Reserves at 31 March 2022
		£'000	£'000	£'000	£'000	£'000	£'000
	Earmarked - Schools Reserves						
Education Services	DSG Reserve - County Council spend	(8,271)		(2,405)	(3,512)		(14,188)
Finance	School Absence Insurance Equalisation Reserve	924			(69)		855
Corporate Services	School Balances	21,325					21,325
	Contingency to cover DSG Overspend	12,314		1,364	510		14,188
	Loans To Schools	14					14
	Total Earmarked Schools Reserves	**26,306**	**0**	**(1,041)**	**(3,071)**	**0**	**22,194**
	Earmarked - External						
Education Services	School Improvement Monitoring & Brokering Reserve	748					748
Fire and Rescue	Emergency Service Network	832					832
Environment Services	Proceeds of Crime	217					217
	S38 Developer Funding	601					601
Strategic Commissioning Communities	Speed Workshops	863			(51)		812
	Rural Growth Network	242			(134)		108
Children and Families	Adoption Central England	934		(460)	167		641
	Controlling Migration Fund	285		(285)	101		101
Adult Social Care	BCF System Development Fund	1,000					1,000
Strategic Commissioning People	Social Care & Health Partnership	866			(308)		558
Business and Customer Services	Museum, Records and Libraries Trust Funds and Bequests	340					340
Finance	LA Counter Fraud Fund Grant	16					16
Governance and Policy	One Public Estate	335			(15)		320
Corporate Services	NNDR Pool Surplus Reserve	2,438					2,438
	Total Earmarked External Reserves	**9,717**	**0**	**(745)**	**(240)**	**0**	**8,732**

Appendix F

Reserves Schedule

Service	Description	Reserves as at 31 March 2021	Approved 2021/22 MTFS commitment	Approved movement in year	Effect of 2021/22 outturn	Impact of Reserves Review	Forecast Reserves at 31 March 2022
		£'000	£'000	£'000	£'000	£'000	£'000
	Internal Policy						
Children and Families	Priority Families Reserve	1,201	(430)		117		888
Strategic Commissioning People	Domestic Abuse Safe Accommodation	0			1,251		1,251
Business and Customer Services	Warwickshire Local Welfare Scheme	582			7		589
Governance and Policy	Going for Growth Apprenticeship Scheme	297					297
Corporate Services	LATC Operational Reserve	248				(248)	0
	Local Resilience Forum - Brexit funding	463				(200)	263
	Corporate Apprenticeship Fund	861			(97)		764
	Redundancy Fund	7,036		(298)			6,738
	Schools in Financial Difficulty	1,752		(91)	(210)		1,451
Total Annual Review - Internal Policy		**12,440**	**(430)**	**(389)**	**1,068**	**(448)**	**12,241**
	Specific Investment Projects						
Education Services	Virtual School for children looked after	145			166		311
	Education management information system	44					44
Environment Services	Flood Management Reserve	506					506
Fire and Rescue	Vulnerable People Earmarked Reserve	127					127
Strategic Commissioning for Communities	Kenilworth Station	552					552
	Skills Delivery for Economic Growth	139				(63)	76
	European Match Funding	166					166
Business and Customer Services	Corporate Customer Journey Programme	210				(112)	98
Enabling Services	HR - Service Improvement Projects	60					60
Corporate Services	Unringfenced Government Grants	3,287				(3,287)	0
	Covid Grants Ringfenced	9,405			(9,405)		0
	Covid Grants Unringfenced	15,040		200	(4,245)		10,995
Total Annual Review Specific Investment Projects		**29,681**	**0**	**200**	**(13,484)**	**(3,462)**	**12,935**

Reserves Schedule

Service	Description	Reserves as at 31 March 2021	Approved 2021/22 MTFS commitment	Approved movement in year	Effect of 2021/22 outturn	Impact of Reserves Review	Forecast Reserves at 31 March 2022
		£'000	£'000	£'000	£'000	£'000	£'000
	Volatility Reserves						
Environment Services	Domestic Homicide Reviews	78				(78)	0
Fire and Rescue	Pensions Reserve	182			(29)		153
Children and Families	Youth Justice Remand Equalisation	661			29		690
Corporate Services	Financial Instruments Reserve	3,731					3,731
	Insurance Fund	8,578					8,578
	Capital Fund	759					759
	NNDR Appeals Reserve	19,249					19,249
	Pensions Deficit Reserve	466				(466)	0
	Quadrennial Elections	926			(155)		771
	Audit Fee Reserve	172			(70)		102
	IT Sinking Fund	2,773					2,773
	Commercial Risk Reserve	0	7,500				7,500
	Schools Liabilities	500					500
	Interest Rate Volatility Reserve	5,436				(5,436)	0
	Tax Volatility (Covid)	0			10,839		10,839
	Total Annual Review Volatility	**43,511**	**7,500**	**0**	**10,614**	**(5,980)**	**55,645**
	Revenue Investment Funds						
Corporate Services	Fire Transformation Fund	767		(93)			674
	Children's Transformation Fund	9,458		(5,885)	968		4,541
	Council Change Fund	9,098		(2,297)	1,703		8,504
	Revenue Investment Funds	20,009		(2,394)			17,615
Education Services	Education Transformation Fund	1,176		(386)	(136)		654
	Total Invest to Save Funds	**40,508**	**0**	**(11,055)**	**2,535**	**0**	**31,988**

Reserves Schedule

Service	Description	Reserves as at 31 March 2021	Approved 2021/22 MTFS commitment	Approved movement in year	Effect of 2021/22 outturn	Impact of Reserves Review	Forecast Reserves at 31 March 2022
		£'000	£'000	£'000	£'000	£'000	£'000
	Management of Financial Risk						
Corporate Services	Directorate Risk Reserve	5,355		(1,759)	(1,597)		1,999
	Directorate Risk Reserve	10,477		(449)	(4,008)		6,020
	Directorate Risk Reserve	2,954		(1,332)	1,769		3,391
	General Reserves	21,417			3,836		25,253
	Total Management of Financial Risk	**40,203**	**0**	**(3,540)**	**0**	**0**	**36,663**
	Available for Use						
Corporate Services	Available for Use	42,028	(6,305)		(396)	9,890	45,217
	Total Available for Use Reserves	**42,028**	**(6,305)**	**0**	**(396)**	**9,890**	**45,217**
							0
	Total	**244,394**	**765**	**(16,570)**	**(2,974)**	**0**	**225,615**

Investing in Warwickshire –

Capital Strategy 2022-32

Contents

2

Introduction

Investing in Warwickshire is a fundamental part of our role as a County Council. We want Warwickshire to be the best it can be, sustainable now and for future generations.

As a county, we boast a broad range of strengths that make Warwickshire a great place to be. We benefit from a buoyant economy, significant business and housing growth, considerable community capital, much valued natural environment and town centres that are a vital part of local life. But looking ahead, we also face significant challenges, including the impact of Covid-19, demographic pressures and climate change.

As an organisation, we are equally well placed but face uncertainty over future funding levels and our ability to meet growing demand for the services we provide.

Together, these factors influence our approach to capital investment. To respond effectively, we need to take a strategic and holistic approach to the use of our capital investment fund and assets to deliver our key priorities and to ensure all Warwickshire residents share in the County's economic success.

Our Capital Strategy 2022-23 aims to optimise the way in which we generate, manage and allocate the capital funds at our disposal.

It forms a critical part of our policy and financial planning process. It is an integral part of the Medium Term Financial Strategy to help deliver our Council Plan.

Our approach aims to maximise the use of capital resources to continue to make Warwickshire an attractive place to live, work, visit and do business, ensuring good stewardship and opportunities for sound investment when they arise.

This capital strategy has been developed to ensure that our long-term approach to investment takes proper account of prudence, value for money, risk, sustainability and affordability. It is supported by a robust delivery and governance framework to guide expenditure and investment decisions; performance will be monitored at overall, programme and project levels to track progress and achievements against priorities.

Together these ensure compliance with the CIPFA Prudential code.

We recognise the lasting impact and legacy of good, evidence-based capital investment and the Capital Strategy 2021-31 sets out our approach to making this happen in and for Warwickshire.

3

Policy Context

Legislative background and the CIPFA Professional Codes

In 2004, local authorities were provided with the flexibility to make their own capital investment decisions. Legislation, guidance and professional codes of practice were introduced to support decision making and ensure investment and borrowing is prudent, sustainable and affordable.

Local Government Act 2003 (power to borrow, affordable borrowing limits, power to invest)

CIPFA Professional Codes (Prudential Code, Trasury Code of Practice)

WCC Strategic Framework
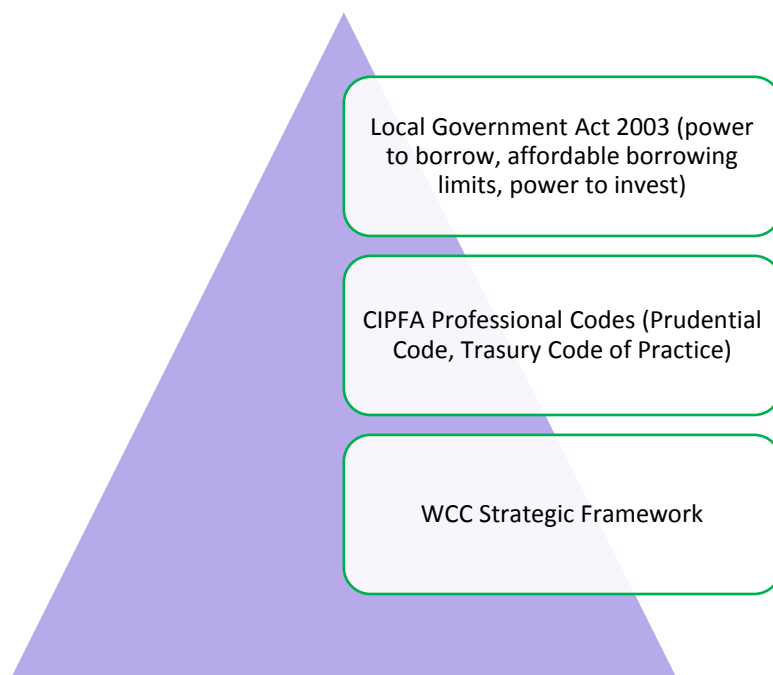
The 2017 edition of the CIPFA Prudential Code for Capital Finance in Local Authorities introduced the requirement for authorities to produce a capital strategy. This was updated in 2021 with additional capital strategy guidance.

The purpose of the capital strategy is to place decisions about borrowing in the context of the overall longer- term financial position of the authority and to provide improved links between the revenue and capital budgets.

The guidance is not prescriptive and allows the capital strategy to be tailored to the individual authority's circumstances. The Council has adhered to this guidance in this Capital Strategy.

Internal Policy Framework

The capital strategy is a key part of our strategic framework and a critical element of our Medium Term Financial Strategy (MTFS), which is in turn aligned to the Council Plan. It sets out the choices we make in relation to the amount and nature of the capital investment we make and provide a link between capital and revenue budgets.

The Strategy is made up of three key elements:

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- Strategic context – Sets out the aspiration and direction for our capital investment within the context of the Council Plan and longer term social, demographic and economic trends (Why).

- Programme – Sets out the capital programme funded by our investment; the key governance and decision-making framework with consideration to risk (What).

- Framework – Sets out the way we plan and prioritise investments; manage capital spend and the capital programme in line with best practice and statutory requirements; and how we fund this strategy within a balanced medium term financial strategy (How).

Whilst the MTFS covers a rolling 5-year period, the capital strategy reflects the long-term nature and benefit of capital investment and is fixed over a longer timeframe and addresses how we intend to pay for our capital investments and activities.

Our approach to capital investment is informed by a number of existing strategies within the Council's policy framework as detailed in the technical annex, with the key ones shown as below. The Council is committed to the development of its Climate Change and Infrastructure Strategies, these will provide further insight and direction for the Capital Strategy.

The desired outcomes of the Capital Strategy are aligned to the core strategies to influence wider agendas and partnership working such as the Warwickshire Property and Development Group, the Warwickshire Recovery Investment Fund, the Health and Wellbeing Partnership, the West Midlands Combined Authority, the Coventry and Warwickshire Local Enterprise Partnership, the City of Culture, the Commonwealth Games and other local authorities in the region.

5

Strategic Context

The intent of the Capital Strategy is to support the vision for Warwickshire as set out in the Council Plan: To make Warwickshire the best it can be, sustainable now and for future generations.

In order to achieve this the Strategy aims to create the infrastructure that will enable, encourage and support:

-A county with a vibrant economy and places with the right jobs, skills, and infrastructure;

- A place where people can live their best lives; where communities and individuals are supported to live safely, healthily, happily and independently;

- A place with sustainable futures which means adapting to and mitigating climate change and meeting net zero commitments; and

- A Council to make the best use of its resources.

In addition to delivering the above priorities the Capital Strategy also need to remain flexible to be able to address the challenges presented by the ever-changing environment the Council operates in: including local and national politics, macroeconomic trends, socials and technological changes all set in the context of climate change and post Brexit and post-Covid recovery. The key themes that drive our capital strategy are highlighted below:

Social changes – a growing and aging population

Warwickshire continues to be an attractive place to live, work and visit, which is forecast to experience significant population and housing growth. Population growth is forecast to increase by at least 19,000 dwellings by 2025 and may well exceed this in view of housing development trends.

The fastest growth is expected to take place in older age groups: those aged 70 and over are projected to increase by almost 14% by 2025 and those aged 85 plus will increase by 22% over the same period. By 2025 there will be an estimated 4,300 residents in care homes aged over 65, which represents a 20% increase from the 2019 estimate.

A growing ageing population is likely to see increases in those living with disabilities and other long-term health conditions. The current forecasts indicate a 17% increase in residents living with dementia. This will lead to additional demand pressures on public services including health, social care and fire to protect, prevent and support vulnerable people.

This will require us to work differently; to invest in early interventions, demand management encourage service innovation, reduce costly care packages and enable more self-help and resilience in our communities.

The number of Children Looked After by the Council is projected to continue to rise, reflecting population increases and national trends.

Our school age population is projected to increase by 9% by 2025 but this will then slow down by 2041. There is an estimated need for an additional 6,000 school places by 2025.

The growth in population and households will mean a need for additional infrastructure requirement, particularly transport, waste and school places including special education needs.

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Technology and automation – 'the fourth industrial revolution'

Technological advances and changes in the way customers interact with service providers, will lead us to maximise the use of digital and other technologies across our services.

The current phase of automation is multi-dimensional and includes the use of robotics/drones, AI & AR (Artificial Intelligence & Augmented Reality), 3D printing through to new uses of database and information analysis in terms of blockchains. Each individual element is transformational on its own and together will bring revolutionary change to how we provide services.

The Climate Change Emergency

The UK Government has committed to Net Zero by 2050 and has undertaken a process of extensive policy development and new legislation. These policies and new laws will impact on Warwickshire businesses, public services and communities.

Every aspect of life is expected to be impacted by climate change from how our energy is produced through to how we preserve local biodiversity, from how we encourage new green economic sectors and retrain people for a rapidly changing green economy, to supporting the retrofitting of homes with green technology like replacing gas boilers with ground source heat pumps.

The Council has declared a climate change emergency and is developing an action plan in recognition of its role as community leader, service provider and estate manager.

Economic recovery

The impact from the Coronavirus pandemic has had significant impact on the UK, its businesses and its communities. The sudden impact of the pandemic caused GDP to drop by over 19% during 2020. Even though the economy has returned to some level of growth, most economic sectors remain below their February 2020 peak.

Despite Warwickshire's strong economic foundations, the impact of the Covid-19 pandemic presents challenges for our key sectors. The automotive and advance manufacturing sectors face short-term impacts in terms of disruption to work and supply chains, whilst our tourism sector faces significant pressures which could see unemployment rise as government support schemes come to an end.

The capital strategy can play a key role in supporting the recovery of key sectors such as construction, as well as playing a role working with partners such as the Coventry and Warwickshire Local Enterprise Partnership to invest in projects and infrastructure which will give the local economy the confidence and certainty to invest and grow. It will do this through the prioritised allocation of resources to initiatives which best meet the recovery outcomes.

Our longer term (post Covid recovery) ambitions for Warwickshire are being driven through our place-based programme which will identify specific opportunities and needs to be addressed.

Financial sustainability

We need to work in different and innovative ways to reduce costs and optimise use of our assets to aid our sustainability in the face of growing demand and an uncertain financial climate for local authorities.

There are opportunities and challenges to leverage external contributions (grants, developer contributions etc.) for our capital programme.

We need to optimise our commercial approach and activities to generate income and grow the tax base in order to deliver wider outcomes for Warwickshire.

International, national, and local disruptions in supply chain and increasing inflation will make it more challenging to deliver our capital ambition within available resources

Population growth, whilst brings its own challenges, will help increase the Council tax base and positively impacts on our ability to borrow for capital investment.

Asset Management Planning

The Capital Strategy at Warwickshire is more than a plan for investment; it incorporates a comprehensive and funded plan for maintaining, replacing and improving the assists the Council controls.

The Council has responsibility for assets used in service delivery including property, highway infrastructure (roads, footpaths, structures, lighting) and other types of assets. It is essential to understand the need, utilisation, condition and the investment and operating cost requirements of assets, whether owned or leased.

When prioritising investment, it is key to understand the long-term cost of maintaining and operating existing assets and their fitness for purpose, having consideration of which are deemed essential in continued service delivery or which can be considered for alternative uses.

Maintenance > Replacement > Investment
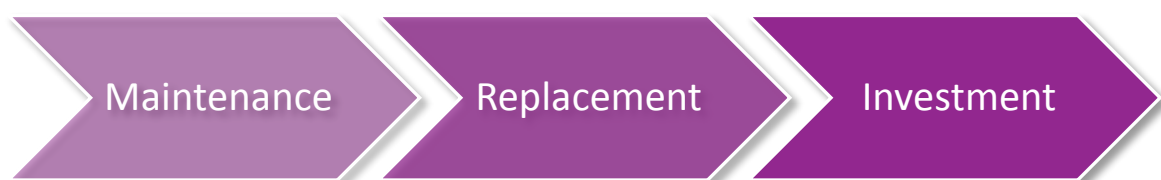
A funded programme of planned replacement of assets underpins the Council's capital investment strategy, aids business continuity and reduces operational risk.

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Risk Appetite

In undertaking complex projects, decision making will continue to be supported by proportionate business cases in line with best practice covering strategic, economic, financial, commercial and management cases. For large complex projects, professional external advice and services would be sourced to undertake due diligence to understand risks and inform decision making.

Capital investments can be broadly split into four types:

1. Expenditure on existing assets to ensure they meet the requirements of service delivery, are fit for purpose, meet health and safety guidance, and reduce future costs.
2. Expenditure on specific projects to meet strategic objectives.
3. Expenditure on non-treasury investments to meet strategic aims. Non treasury investments could include loans or equity towards capital expenditure incurred by external bodies, Council subsidiaries or joint ventures.
4. Expenditure to enable the organisation to save revenue resources.

The Council recognises that achieving these aims could require consideration of alternative delivery structures and of all forms of funding including additional borrowing. Capital investment funded by borrowing will be undertaken in priority areas to meet our capital ambition, whilst at all times clearly understanding how the affordability of such expenditure can be managed over the longer term supported by robust due diligence, business cases, risk management and monitoring.

Non treasury investment funded by additional borrowing would only be undertaken after:

- Cabinet approval of a robust business case supported by independent advice;

- Consideration of the legal basis on which the expenditure is being incurred;

- Affordability and risk assessment of such expenditure over the longer term; and

- Assurance the proposal is in line with HM Treasury rules on financing our borrowing and the CIPFA Prudential code

Governance and Decision Making

Capital Programme approval process

The capital programme is developed in line with the Medium-Term Financial Strategy and approved as part of the Capital Budget Resolution by Full Council in February each year.

Corporate Board review the draft future capital programme, consider its affordability and make recommendations to Cabinet. Cabinet is responsible for considering the capital programme, along with recommendations on how it should be financed as a whole, its affordability and priorities, and will recommend a revenue budget and a capital programme to Full Council for approval.

A pipeline of potential future capital projects provides insight so priorities can be weighted across the organization and geographical area of Warwickshire.

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Project approval

Capital projects will be brought to Members for approval throughout the year, and approved projects will become part of the capital programme.

The governance arrangements and approval limits are detailed in the Finance Rule for Capital Additions.

Financial Monitoring

The technical appendix sets out how the capital programme is monitored to ensure that our capital spending is effectively managed to deliver value for money, together with the capital governance framework.

Capital Programme

The Council maintains an approved rolling capital programme, that covers a 5-year period, which is subject to an annual update as part of the budget process.

The capital programme incorporates:

Roll forward of existing approved capital

Annual 'rightsizing' of approved capital budgets to ensure optimal allocation of corporate resources and review of lending profile to WPDG and WRIF

Allocations for rolling, annual maintenance programmes and review of inflation

Allocations for business-a-usual replacements

A prioritised Capital Investment Fund for new investment

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The current Capital Programme is summarised in the table below:

Capital Programme 2022-2023 to 2026-27
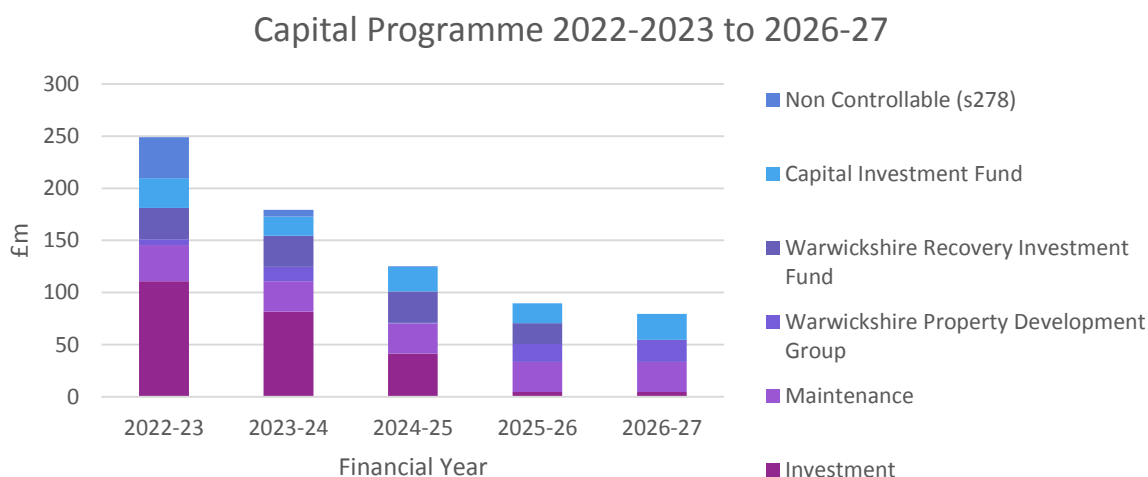
In comparison, actual capital expenditure in 2020/21 was £100 million and projected capital expenditure in 2021/22 is £168 million.

Funding the Strategy

Our main capital resources are service specific grants, third- party contributions, capital receipts, contributions from revenue and borrowing. When assessing the level of planned capital investment to undertake, we make a judgement about the level of capital resources that are likely to be available over the period of the programme. We aim to optimise the use of all other available sources before using borrowing to fund our capital programme. The funding of the capital programme is outlined in the chart below:

Capital Financing 2022-23 to 2026-27
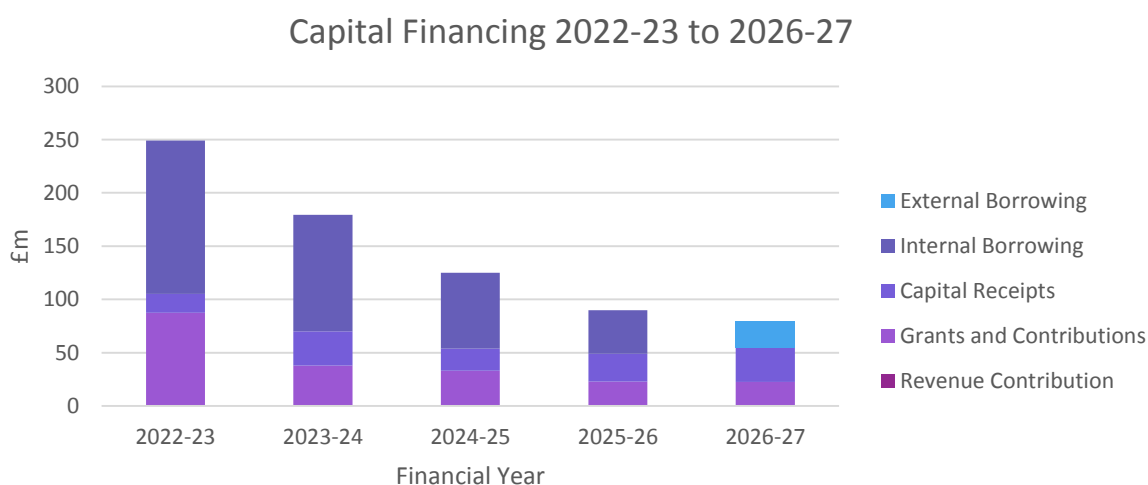
Based on current estimates, WCC is expecting to spend £751.5m capital over the next 5 years. A breakdown of the capital programme is attached to the capital budget resolution and analysis of the

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allocations is included in the technical appendix. Future capital priorities not yet included in the capital programme are included in Annex D to the technical appendix.

The Council's strategy for its borrowing is set out in the Treasury Management Strategy and takes account of factors such as interest rates and the spreading of loan repayment dates to reduce risk. The technical appendix outlines the approach taken to assessing sustainability and affordability of the capital programme and illustrates the effect of borrowing decisions on the revenue budget. Prudential indicators will be approved as part of the Treasury Management Strategy.

The basis for the delivery of the overall capital programme is subject to Member approval:

•   £35.600 million new borrowing annually, funded as part of the revenue proposals for the 2022-27 Medium Term Financial Strategy.

•   £12.185 million of maintenance allocations funded from a top slice of this borrowing and are strictly cash limited.

•   £2.515 million to fund business as usual replacement of assets funded from a top slice of the annual borrowing.

•   The balance of the £35.600 million annual borrowing (£20.900 million) will be allocated to the Capital Investment Fund where services will be invited to submit business cases relating to pipeline projects to bid for funding throughout the year.

•   All capital receipts (excluding those from the disposal of schools) are used to offset the need for additional borrowing. Exceptions to this policy are only considered when as part of an invest-to-save project such that investing the capital receipt will result in larger levels of offsetting additional borrowing or greater revenue savings than would have been achieved by simply offsetting planned debt (or if previously agreed by Members as being earmarked for a particular purpose).

•   The disposal profile of capital receipts will be used to inform the MTFS and revenue savings targets by offsetting the revenue cost impact of new borrowing.

•   The base level of investment in the school stock is fixed at the level of government capital grant for schools plus receipts generated from the sale of school assets and developer contributions. Circa £3 million of the government grant forms an annual contribution to the cost of school maintenance. The remainder of funding is used to invest in the provision of additional places.

•   The base level of investment in the maintenance of Warwickshire's highways and street lighting and casualty reduction is fixed at the level of government grant for this purpose.

•   Contributions from developers are maximised and applied to appropriate schemes ahead of Council resources whenever possible.

Managing the Borrowing Requirement

The Council's Treasury Management Strategy considers how the cash requirements arising from the Council's Capital Strategy and detailed investment programme are managed by external borrowing and the timing of any such borrowing.

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Where capital expenditure has been incurred without a resource to pay for it i.e. when proposed to be paid for by borrowing, this will increase what is termed the Council's Capital Financing Requirement (CFR) which is the Council's underlying need to borrow. The Council is required to make a prudent provision for the repayment of historic capital expenditure from its revenue budget in line with its agreed policy. This reduces the CFR.

Future projections of the CFR based on the Capital investment programme and resources deemed available to fund it are shown in the table below. Forecasts are subject to the timing of capital expenditure and receipt of funding sources.

Capital Financing Requirement 2022/23 - 2026/27

■ Existing External Borrowing   ■ New borrowing - internal   ■ New borrowing - external
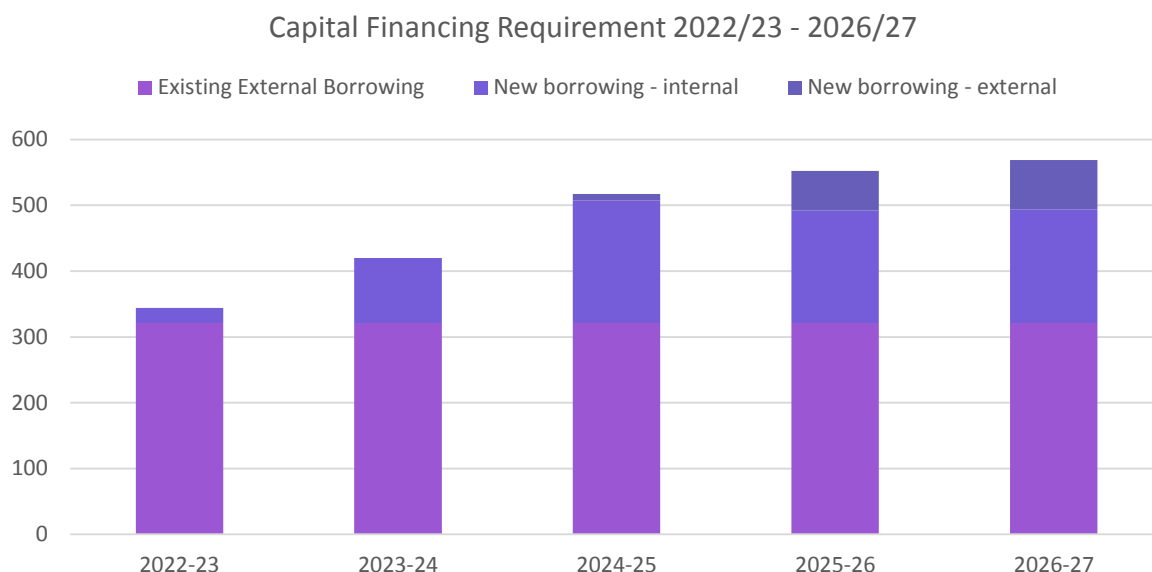
By 2026/27 the CFR is forecast to increase to £549m. This would place Warwickshire in the upper quartile of shire counties but remain within its debt capacity. The MTFS projections include the costs of servicing the borrowing requirement. The Treasury Management Strategy addresses how the Council will meet the borrowing requirement including any external borrowing. The Council can consider various debt instruments, with the main source of long-term borrowing for local authorities historically being the Public Works Loan Board.

However, alternative options could be considered for specific council projects. Advantages and disadvantages of such products, supported by external advice in respect of different options, would need to be considered including risks, track record and cost of issuance.

Best treasury management practice is that loans are not taken on a project-by-project basis and our treasury management practices are aligned with this.

Affordability

The fundamental objective in the consideration of the affordability of the authority's capital plans is to ensure that the level of investment in capital assets proposed means that the total capital investment of the authority remains within sustainable limits.

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Capital investment undertaken historically, and the proposed Capital Programme, form an integral part of the Council's revenue budget and MTFS. The revenue impact of capital schemes for Council Tax include:

- The costs of operating / maintaining new assets.

- The capital financing costs of servicing any borrowing required to pay for investment (interest and prudent provision for repayment of capital investment paid for by borrowing). Where capital expenditure is paid for using borrowing, the Council has a statutory duty to charge an amount to future revenue budgets for the eventual repayment of that expenditure. This spreads the cost of capital expenditure incurred now, and historically, to future revenue budgets. The manner of spreading these costs is through an annual Minimum Revenue Provision (MRP). Our MRP policy is included in the Treasury Management Strategy and details about its impact on the MTFS are provided in the technical annex.

- The revenue costs of preparing and delivering projects.

- Abortive costs required to be charged to revenue budgets if schemes do not proceed.

Some or all costs of investments may be offset by financial and non-financial benefits such as income, cost avoidance and importantly improved outcomes for residents of the county.

It is recognised that the Council cannot afford to do everything, however where revenue resources are deemed available to increase the level of Council borrowing, where it needs to do so, this will be considered.

The percentage of the Council's revenue budget that is committed to capital financing costs is increasing in the long term due to the recent expansion of the capital programme through the Capital Investment Fund and the creation of Warwickshire Property and Development Group and the Warwickshire Recovery & Investment Fund.

A detailed review of our debt capacity has been undertaken and it found that Warwickshire has sufficient scope to increase borrowing and fund the increased borrowing cost within the revenue budget as set out in the MTFS.

Future Strategy Development

At the time of writing this strategy the Council Plan was under public consultation, with the Delivery Plans underpinning the focus areas still to be developed.

As the Council Plan and Delivery Plans will drive the allocation of funding from the Capital Investment Fund any unforeseen changes may have an impact on the detailed framework of capital prioritisation outlined in the technical annex of this strategy.

An objective for future strategy development is to ensure the optimum alignment of the strategic objectives, focus areas, delivery plans and the detailed capital framework at a more granular level.

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Cabinet

Developing Our Council Plan 2022

7 December 2021

Recommendation(s)

1. Cabinet considers the messages from the Public Engagement exercise and the State of Warwickshire reports as presented in this report, and from the Covid 19 Recovery Closure report presented to the same agenda in relation to the development of the Council Plan and Medium-Term Financial Strategy

2. Cabinet considers the draft Council Plan 2022-2027 attached at Appendix 1, endorses the proposed Areas of Focus, and supports the next steps for finalising the Council Plan as set out in this report.

1. Background

1.1 The Council Plan sets our ambition, direction, and strategy for both Warwickshire and the County Council.

1.2 The current Council Plan was agreed in February 2020 and has been in place for 18 months. Shortly after the Plan was approved, the Covid19 Pandemic struck and necessitated the development of our Recovery Plan.

1.3 Following an intense period of Covid response beginning in March 2020, a recovery approach was developed over the Summer with input from cross-party member working groups. Cabinet subsequently approved the Council's Covid-19 Recovery Plan in September 2020. Progress on the Recovery Plan has since been reported to Cabinet and to all Overview & Scrutiny Committees (OSCs).

1.4 The planned refresh of the Council Plan in February 2021 was therefore postponed to allow a substantive review over 2021/22.

1.5 At its meeting of 8 July 2021, Cabinet approved the approach to this redevelopment of the Council Plan 2022-2027 as part of a comprehensive Integrated Planning approach. At this meeting Cabinet also supported the top-level vision and strategic priorities for the Council as set out at **paragraph 3.8** below and included in the draft Council Plan 2022 - 2027 attached to this report.

1.6   Subsequently, work has been underway to develop the Plan and all associated elements. This has included the Member Working group on the new Performance Management Framework; public and partner engagement on the proposed Areas of Focus and analysis of the Covid Recovery Plan and the aligned work supporting the development of the Medium-Term Financial Strategy (MTFS).

1.7   This report brings these elements together and presents Cabinet with:

- The draft Council Plan 2022-27 (Appendix 1)
- The draft State of Warwickshire evidence base (Appendix 2
- The analysis of the public engagement exercise (Appendix 3) Link here

1.8.   The report should be read alongside the separate reports on the Medium-Term Financial Strategy and Covid 19 Recovery Plan Closure.

2.   Our Approach

2.1   Our approach to developing the new Council Plan this year is fully integrated and can be described as - *One Council, One Plan, One Budget.*

2.2   Our Council Plan will communicate our priorities over the next 5 years. It will do this with simplicity, making sense of the complexity of all the connected issues and ensuring flexibility in approach to respond to changing external conditions.

2.3   Our Medium-Term Financial Strategy (MTFS) will translate the direction set out in the Councill Plan into a sustainable financial strategy.

2.4   These two key products will be supported by:

- The **State of Warwickshire** evidence base and look ahead to 2050
- A rolling two-year **Delivery Plan** which builds upon the Covid 19 Recovery Plan and sets out specific and trackable actions, and which will provide the public with a clear programme of deliverables against the strategic ambitions set out in the Council Plan, improving transparency and accountability
- A suite of **Integrated Business Frameworks** covering Risk, Performance Management, Business Planning, Consultation & Engagement, and our Strategies

2.5   The following sections of the report present Cabinet with the latest position on these.

3. Our Council Plan

3.1 The purpose of the Council Plan is to set out the top-level strategic direction of the Council and to articulate the Council's vision and ambition for Warwickshire.

3.2 Our new Council Plan and Medium-Term Financial Strategy (MTFS) is responding to:

- A changeable and uncertain external environment.
- National policy drivers relating to Climate change, the forthcoming Levelling Up White Paper and Health & Social Care reform.
- The pressing issues and concerns of residents and businesses as highlighted through our public engagement survey (see Section 4.0)
- The Council's climate emergency declaration and our commitments and aspirations in relation to climate change.
- The ongoing focus on maintaining and supporting our recovery from Covid.
- Reducing resources, increasing demand and cost pressures and supply challenges.

3.3 Our new Council Plan and Medium-Term Financial Strategy (MTFS) reflects:

- Strong foundations and a continuation of work we have started
- Joining up, connecting, and working as One Council to focus our collective efforts
- A renewed focus on prioritisation as the way to balance demand with available resource and funding
- Our commitment to working with partners and communities to identify solutions to the challenges we face; to build on existing strengths and successes and to learn and improve from our experiences.

3.4 Our Vision, high-level strategic priorities and Areas of Focus are set out in the box below.

3.5 The Vision and Strategic Priorities were reaffirmed by Cabinet in July, adding a new priority focusing specifically on sustainability and our response to climate change.

3.6 The Areas of Focus are presented today following public and partner engagement and significant discussion within the organisation. The presents a distilled and simplified version of the original 18 on which we engaged publicly, reflecting the feedback we received and further consideration and refinement by the Leadership Team. The resulting Areas of Focus reflect a commitment to produce a sharp and focused Council Plan for 2022-27 which sets out our organisational priorities and which is built on simplicity and clarity.

3.7 Reflecting changes and developments at an international, national, regional level we have strengthened and integrated the focus on climate change, community power and levelling up as the foundational themes of the plan.

Our Vision:

To make Warwickshire the best it can be, sustainable now and for future generations.

Our Strategic Priorities:

- **Vibrant Economy & Places:** *Right jobs, training, future skills, education, infrastructure and places.*
- **Best Lives:** *Communities and individuals supported to live safely, healthily, happily and independently; and*
- **Sustainable Futures:** *Adapting to and mitigating climate change and meeting net zero commitments.*

Our priorities will be supported by seven areas of focus:

Our Areas of Focus

1. Create vibrant places with safe and inclusive communities
2. Deliver major infrastructure, digital connectivity and improved transport options
3. Promote inclusive, sustainable economic growth, successful business and future skills
4. Tackle Climate Change and deliver on our commitment to net zero
5. Deliver our Child Friendly Warwickshire Strategy– Happy, healthy, safe children
6. Enable and support children and young people to have a high-quality education to achieve their potential and transform our Special Educational Needs and Disabilities provision.
7. Support people to live healthy, happy, and independent lives and work with partners to reduce health inequalities

We will deliver our priorities by being a **Great Council and Partner** - enabled by our use of resources, people, customer experience, data, digital and innovative ways of working.

a) Harnessing Community Power
b) Our people and the way we work
c) Using and data and digital solutions to improve service delivery

3.8 These Areas of Focus have been shaped and supported by the following three key elements that are also presented to Cabinet today with **Appendices 2 and 3** Link here and in the associated reports.

State of Warwickshire

o The State of Warwickshire report has been designed to provide the evidence base to the Council Plan, based upon the Strategic Priorities and Areas of Focus above.

o It reflects a broad range of data and analysis related to our priorities as well as beginning to look towards 2050 and future scenarios.

o A full draft is available as a linked document as part of the Council Plan papers presented in **Appendix 2.**

o Summary of the key challenges and opportunities will be included on the final version of the Council Plan.

Feedback from public engagement exercise

o In September 2021 we issued the public engagement on the Council Plan content and the detailed future focus of the Council.

o Following development with the Council's Leadership Team over the Summer, 18 potential Areas of Focus were presented within the questionnaire that was shared with the public, partners, and staff.

o The majority of respondents felt that all proposed strategic objectives were either important or very important. This strongly supports and reinforces the overall shape of the plan, but feedback also stressed the importance of clarity, simplicity and focus which has led to a change in approach and the proposed combination of the objectives into seven Areas of Focus for the plan.

o The full report, referred as **Appendix 3** is accessed Here and feedback summarised below:

o There was some variation in views in relation to specific themes as set out below. However, it should be noted that these are relative comparisons and overall, all the proposed themes were important.

▪ Within the 'Vibrant Economy' priority, respondents were most likely to say educational attainment was important and least likely to say a connected county was important.
▪ In terms of the 'Best Lives' priority, respondents felt safe communities was the most important theme, while developing

the conditions for a community powered Warwickshire was the least important.

- Within the 'Sustainable Futures' priority, respondents felt biodiversity was the most important theme while being a net zero council was the least important.

o The survey also identified the specific actions respondents felt the Council should prioritise to help achieve the priorities.

- Within the 'Vibrant economy and places' priority, the most common responses related to investment in and improvement of sustainable (public) travel and transport options (e.g. walking, cycling) and access to quality education (including good schools, learning, development and training opportunities).
- In terms of 'Best lives, the most common responses related to promotion/support for health and wellbeing initiatives (e.g., physical exercise, mental health) and investment in/support for children/young people (youth service provision).
- When considering 'Sustainable Futures', respondents feel the actions Warwickshire County Council should focus on included investment in/improvement of sustainable or 'green' (public) travel and transport options (e.g. walking, cycling); general environmental concerns (e.g. importance of green spaces, wildlife, cleanliness, pollution concerns); and focus on/support for/investment in renewable energy schemes/initiatives.

o We also took the opportunity to ask what respondents felt should be the Council's priorities over the longer term, specifically 'what three things do you think could improve life in Warwickshire for future generations'. The most common response was around investment in/improvement of sustainable 'green' (public) travel and transport options (e.g. walking, cycling). Other frequently mentioned themes included: general environmental-related concerns (e.g., importance of green spaces, wildlife, cleanliness, pollution concerns), and the importance of education and skills (including good schools, learning, development and training opportunities).

Messages from Covid Recovery Programme

o The detailed Covid 19 Recovery Closure Report is presented separately to Cabinet on the same agenda.

o This summarises the achievements and progress made and highlights where the work will continue into the new Delivery Plan to ensure we continue to address the needs of Warwickshire and its residents in relation to Covid 19.

o A summary will be included in the final Council Plan.

4   Our supporting elements

4.1   There are a number of integrated and supporting products in development that will accompany and support the Council Plan. Progress against each is set out below:

Medium Term Financial Strategy (MTFS) -The emerging MTFS is presented to Cabinet in a separate report on this agenda. This provides the detailed phasing for funding and resourcing our priorities**.**

Delivery Programme - The intention is to create a single integrated delivery programme for the next two years, combining the key service deliverables and change projects necessary to deliver the prioritised key areas of focus linked more closely to the outcomes described in the performance framework. In a climate where resources are constrained, prioritisation will be key, and the single integrated delivery programme will need to align closely with the affordability of the MTFS and capital strategy/programme. We are a proposing a key change by creating a single delivery programme with no distinction between major change programmes and core service delivery. This should help mainstream and embed continuous improvement and effective change management. It should also align the whole organisation behind a simple, clear and prioritised programme of work, and improve our impact and performance. Work on the delivery programme is progressing and will be finalised for Cabinet approval following approval by full Council of the Council Plan.

Key Business Frameworks – As part of our integrated approach we are reviewing all our key business frameworks to ensure they support delivery of our Council Plan. This review includes frameworks such as risk management, performance and business planning, change, consultation & engagement and the strategy framework. These are at different places in their development and will continue to be progressed consistently and as part of an integrated suite.

Performance Management Framework - Members have been engaged, through a cross-party working group, in the development of a refreshed Performance Management Framework. The new framework will include three interconnected levels of measures that together will help assessthe delivery of the Council Plan,   whether our performance is improving in areas relevant to the Plan and give assurance on future trajectories. The development of the Performance Management Framework is progressing to agreed timescales and all Services are engaging with the piece of work to ensure the PMF fully supports the Council Plan.

Strategic Risk Management Framework – The Framework was approved by Cabinet in April 2021 and articulates the Council's risk appetite across a range of risk areas. It also offers a consistent and integrated approach to identifying and assessing risks associated with delivering the Council's priorities.

Community Engagement – We will be enhancing the opportunities we have to capture feedback and ideas from our stakeholders. For example, a new

residents' panel, called the Voice of Warwickshire, is being trialled. This will involve a representative group of up to 1,000 residents from across the county who will be invited to participate in engagement activities on a range of policy issues. In addition, we are enabling the opportunity for more interactive, discussion-based engagement through an improved Ask Warwickshire platform. We will also continue to use existing engagement opportunities to talk to specific groups such as the Youth Council and our work with the voluntary sector. Together, these mechanisms will provide a robust, blended approach to engagement where we can use the right tools at the right times with the right audiences. All these developments will be described and supported through a new Consultation & Engagement Framework.

Staff engagement - The public engagement exercise has been shared with staff internally through briefings and internal publications. Further engagement with staff forums on the emerging Areas of Focus is planned for early in the new year on the detailed shape of the Council Plan and Delivery Plan.

Trade Union Engagement – Development of the Council Plan and the MTFS has been a standing agenda item on the regular meetings we have with Trade Union representatives over recent months. This dialogue and engagement will continue up to the point that the Council Plan and MTFS are approved by Council in February. Thereafter engagement will continue but will revert to more standard items of business.

4.2   This is a new and enhanced approach by the Council to integrated planning and it is anticipated that it will develop, iterate, and mature over several cycles. The work we are doing this year sets a strong foundation and direction for work in future planning cycles.

5.   Financial Implications

5.1   The financial implications of the Council Plan will be addressed by the Medium-Term Financial Strategy, emphasising the importance of an integrated approach. Our ongoing work to support the preparation of the 2022-23 budget and MTFS refresh will continue to emphasise the link between available resources, priorities and pressures on both supply and demand.

6.   Environmental Implications

6.1   The Environmental Implications of the emerging Council Plan are a key consideration and are reflected in the revision of the Council's strategic priorities to include 'Sustainable futures. This will translate through the Areas of Focus and the supporting Delivery Plan.

7.   Timescales associated with the decision and next steps

7.1   Final versions of the Council Plan and the MTFS will be considered by Cabinet at its January meeting and by Full Council for approval in February 2022.

7.2   Members views on the Council Plan will continue to be sought via Member Briefings which have been scheduled in w/c 29th November and the work on the Performance Management Framework we will brought back to Cabinet in February.

7.3   Staff engagement will continue in parallel as will engagement with stakeholder and partner groups and Trade Unions as we continue to refine proposals as the feedback from the public consultation is analysed.

7.4   Looking beyond agreement of the Council Plan, the Overview and Scrutiny Committees (OSC) will play a critical role in monitoring and scrutinising performance against the Delivery Plans as a key component of the new Performance management Framework. This work will need to be scheduled into the OSC work programmes at regular intervals.

Appendices
1.   Appendix 1 – Draft Council Plan
2.   Appendix 2 – State of Warwickshire Report
3.   Appendix 3 Link here – Public Engagement feedback

Background Papers
1.   Council Plan and Integrated Planning 2022 – 2026, Cabinet – 8 July 2021

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

Local Member(s):
Other members:

Council Plan 2022 - draft

Welcome

Welcome to the Warwickshire County Council Plan.

The Council's vision is for **Warwickshire to be the very best it can be, sustainable now and for future generations.**

So regardless of whether you live, work or study in the county we want you to understand that we want the very best for you and your family, your places and our shared environment. We are determined to help you live your best lives, to spread opportunity and to protect future generations by tackling climate change.

In early 2020 we launched an ambitious five-year plan. We had engaged extensively with residents, partners, businesses, voluntary groups and charities asking what issues they felt were most important to them.

And then the pandemic struck. Our primary focus shifted to the immediate challenge of tackling the virus. Working closely with partners, we established a COVID-19 recovery plan to ensure we did not lose sight of what we needed to do to emerge from this period in as strong a position as possible. Our Recovery Plan set out priority actions for recovery from COVID-19 while at the same time laying the foundation for the future.

Key achievements

We have delivered strongly against our recovery priorities, for example:

- Progressing our Child Friendly Warwickshire and Special Educational Needs and Disabilities Change and Inclusion programmes.
- Our work with partners to develop the new Integrated Care System in Warwickshire.
- Our Green Shoots community climate change fund and development of an ambitious climate change programme.
- Creation of our Warwickshire Property and Development Group company.
- Launching the Warwickshire Recovery and Investment Fund which will invest up to £140m in the local economy over the next five years; and
- Public consultation and engagement on a new Local Transport Plan; and
- Developing our Community Powered Warwickshire programme to harness the power of our communities to tackle inequality and social inclusion.

As we step forward, and build on these foundations, this new plan sets out our refreshed strategic priorities and areas of focus for the coming five years.

Our ambitions for change demand bold and radical action to ensure Warwickshire's children, and theirs, have better opportunities and more inclusive lives and a more sustainable future.

Covid-19 has exacerbated existing inequalities, which we need to tackle across the County. This requires us to build a strong, growing and future-focused economy as we transition to net zero and respond to the challenges and opportunities of automation.

And the urgency of tackling climate change has never been clearer. This has led to the addition of our new, third strategic priority, 'sustainable futures', so that the current generation ensures future generations can live well and reap the benefits of a sustainable and thriving Warwickshire.

Throughout the pandemic we saw many examples of people doing their best for each other and looking out for each other. Keeping this spirit alive by building a community-powered Warwickshire is central to this plan. It will require new ways of thinking and working for the Council, and in closer engagement with residents, particularly our children and young people, businesses, partners and the voluntary sector.

This plan seeks to harness the power, energy and collective endeavour of that community spirit as we look to the next five years in which we will write the next chapter of our shared story.

Cllr Izzi Seccombe / Monica Fogarty

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Our Approach

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One Council, One Plan, One Budget

- Our ambition will focus on improving outcomes for Warwickshire.
- We will prioritise and deliver on those actions that will make the most difference.
- We will make investment decisions and use our resources to achieve the best outcomes

</div>

How will we manage our Plan?

- Our Council Plan is a *5-year directional strategy* supported by our *Medium-Term Financial Strategy* (MTFS)

- A suite of *key thematic strategies* underpins our ambitions

- A rolling two-year *Single Integrated Delivery Plan* brings together specific, easily trackable actions and drives our delivery

- Our plan is supported by an *evidence base on the State of Warwickshire* which we will continue to refresh to make sure we have the best possible insight to underpin our decision making

- Progress against our Plan is monitored by a *Performance Management framework* so we can track whether we are on target and take action where needed

- We will take decisions informed by a *considered and balanced approach to risk*

- We will keep our Delivery Plan and Finances under review to make sure our *actions and investment are current, relevant and affordable*

- The delivery of the Council Plan will be informed through ongoing engagement with our communities, partners, and stakeholders, in particular our new **Voice of Warwickshire** residents' panel and our **Youth Council**

Our ambition for Warwickshire

Warwickshire is a fantastic, historic county with so much to offer. This Council Plan is all about stepping forward from COVID-19 and building a happier, healthier, more prosperous, and sustainable future for you and your families, for the county's businesses and for our environment.

Our county has a great tradition of stepping up to meet big challenges. The last year has been no different. Thousands of people and organisations have worked together to tackle COVID and protect those at greatest risk. We have challenged inequalities and social disadvantage, protected the economy, and looked out for each other's physical and mental wellbeing.

Collectively, we have found new ways to solve problems and make a positive difference.

There are still big challenges ahead: getting people back into work, tackling climate change, improving living standards by addressing inequalities, prioritising wellbeing, and keeping our communities healthy, safe, and green.

We all need to work together to tackle these key aspects of levelling up across our county. We all have a stake in the county and our futures and by working together, sharing our ideas and solving problems together we stand a far greater chance of making that ambition a reality.

This Council Plan sets out our three strategic priorities to make Warwickshire the best it can be, sustainable now and for future generations:

> We want Warwickshire to have a vibrant economy and places that have the right jobs, skills, education, and infrastructure.

> We want to be a county where all people can live their best lives; where communities and individuals are supported to live safely, healthily, happily and independently.

> We want to be a place with a sustainable future which means adapting to and mitigating climate change and meeting net zero commitments.

Delivering on our strategic priorities in the light of the financial pressures we face, and the increasing demand for services, will require new ways of doing things. We will continue to deliver, support and improve those key services on which so many of us rely. We will continue to develop digital solutions, improve value for money and find new, better ways to do things, working with our partners. We want you to work with us to help shape services and help develop solutions to the challenges we face.

Now is the time for us to step forward and meet those challenges together with the same energy, common purpose and commitment that characterised our response to the pandemic. We want to see strong local leadership and we will work with communities to help to create and enhance a real sense of pride in our places.

Coming together across Warwickshire's diverse communities – those who live, work and study in the county, Warwickshire's businesses, our public services, and community groups will keep the community spirit of the last two years alive.

Our Evidence Base

Our Council Plan, and the priorities we will deliver against, have been informed by a range of different sources. These have been brought together to ensure that our Plan is evidence-based and will achieve the right things:

State of Warwickshire

To help inform our priorities over the next five years, we have assessed Warwickshire's performance against a broad range of social, economic and environmental datasets. In many areas, Warwickshire performs very well and we have many strengths to be proud of. There are, however, areas where we want to help make improvements. The analysis, presented in our State of Warwickshire Report, identifies a number of key challenges that have helped shape our priorities in this plan. Some of the data we have access to has a delay and may not reflect the very latest situation (for example the full impact of COVID-19) but we will keep the data under review throughout the lifetime of the Council Plan and respond as new information becomes available.

- ❖ **Inequalities**: Although Warwickshire is one of the least deprived local authorities in England and on the whole performs well across many measures there are inequalities within the county. Parts of the north of the County and particularly Nuneaton and Bedworth Borough do not perform as well as other parts of Warwickshire in some measures. In addition, Nuneaton and Bedworth Borough has five lower super output areas (LSOAs) ranked in the top 10% most deprived LSOAs nationally compared to one in North Warwickshire Borough and none in the other districts and boroughs

- ❖ **An older and ageing population**: Warwickshire currently has an older population profile than England, with 20.8% of the population being aged 65 or over in Warwickshire compared to 18.5% in England. Population projections suggest that, by 2043, almost a quarter of the population in Warwickshire will be 65 or over and 13.9% will be aged 75 or over. This increase will not only have an impact on health and social care services but will influence housing, transport, and other service needs.

- ❖ **Impact of COVID-19**: the pandemic has impacted on health, wellbeing and the economy, and also patterns of service use. Not all data will reflect the true impact due to lags in publication of data and we will need to pay close attention to new intelligence as it emerges.

- ❖ **Economic Health**: the emergence of new business enterprises in Warwickshire has generally decreased since 2016 whereas business deaths have increased. Warwickshire's business start-up rate in 2019 was 11.3%, lower than the equivalent West Midlands rate (15.0%) and national rate (13.2%). The newly born enterprise 5-year survival rate in Warwickshire in 2019 was one of the lowest amongst all English county local authorities

(18th out of 24). In 2021, 3.8% of 16/17-year-olds in Warwickshire were not in education, employment, or training; this was lower than the West Midland and national average but 5th highest amongst all English county local authorities.

❖ **Physical Health**: Warwickshire, in 2019/20, had the 9th highest proportion of adults classified as overweight or obese across all English counties. A higher proportion of adults were overweight or obese in the north of Warwickshire compared to the south. We also had the 9th highest prevalence of overweight and obesity in year 6 children. The prevalence of overweight and obesity in year 6 pupils in Nuneaton and Bedworth Borough (40.4%) was significantly worse than the England average (35.2%), whereas in Stratford-on-Avon District (29.9%) and Warwick District (26.2%) it was significantly better.

❖ **Mental Health**: we have seen a deterioration in many mental health indicators during the pandemic but there were already concerns prior to this, particularly in our younger age groups. Hospital admissions as a result of self-harm in 10-24 year-olds have been increasing and in 2019/20 were significantly higher than the rate in England and the West Midlands (577 per 100,000). Hospital admissions for mental health conditions in young people under 18 years of age have increased over the past decade, the rate in Warwickshire (127 per 100,000) is now significantly higher than the rate in England and the West Midlands.

❖ **CO^2 Emissions**: Warwickshire had the 3rd highest CO^2 emissions per capita of all English county local authorities in 2019. This is made up of many different elements (industrial, transport, domestic etc.) and levels vary across the county.

We will continue to monitor these, and other, indicators through our new Performance Management Framework so that we know are making a positive difference.

Learning from COVID-19 and our Recovery Plans

The Council's Covid19 Recovery Plan was approved by Cabinet in September 2020 to provide a focus to the activities needed to navigate and emerge strongly from the pandemic.

The actions taken across the county have spanned all aspects of the Council's services and the collaborative efforts between the Council, the NHS, partners, businesses, voluntary and care sectors and residents have been significant to support the needs of the County during the pandemic.

The Recovery Plan highlighted several key underpinning principles and themes which are important to focus on to ensure the longer-term recovery for the Council, communities, and the economy.

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.

These themes from the Covid19 Recovery work remain key. They have also informed what we should be focusing on and will be embedded into the Areas of Focus in this Council Plan:

- ❖ Addressing health inequalities and preventative measures, supporting mental health and wellbeing.
- ❖ Maintaining a focus on delivering our Adults and Children & Families transformation plan; Delivering our Child Friendly Warwickshire strategy.
- ❖ Enabling Educational attainment and progressing our SEND transformation programme
- ❖ Creating a Community Powered Warwickshire and enhancing our Voluntary, Community approaches; implementing our Tackling Social Inequalities strategy.
- ❖ Developing our infrastructure and assets and sustainable transport.
- ❖ Pro-actively supporting and facilitating economic recovery and growth.
- ❖ Supporting the development of future growth sectors, and ensuring we have the workforce with the necessary skills.
- ❖ Supporting the development and growth of the low carbon economy.

- ❖ Place-shaping and the creation of diverse and prosperous town centres and local economies.
- ❖ Delivering on our Net zero commitments.
- ❖ Our continuing approach to ensuring we develop our people, have effective ways of working and have supportive policies.
- ❖ Continue to develop our strategies for digital, data and performance management.

Specific actions from our recovery work that require an ongoing focus will now be included in our integrated Delivery Plan rather than through a separate Recovery Plan as we start to "learn to live" with Covid19.

Engagement with our Communities

To help us develop this Plan, we asked our residents, partners (including voluntary organisations) and local businesses through a public consultation to tell us what their priorities are. We shared our initial ideas on the areas we thought might be most important to our communities, using the three Strategic Priorities as the basis for this engagement. The feedback we received broadly confirmed the areas we need to focus on. We heard the following key messages:

Vibrant Economy and Places

- ❖ Investment in and improvement of sustainable travel and transport options.
- ❖ Access to quality education including good schools, learning, development and training opportunities.
- ❖ The importance of green spaces, wildlife, cleanliness, addressing pollution concerns.
- ❖ Improvement to and investment in local infrastructure such as road maintenance, access to local services, facilities, and amenities.

Best Lives

- ❖ Promoting and supporting health and wellbeing initiatives such as physical exercise and mental health.
- ❖ Providing support for children and young people such as youth service provision, access to a good education and quality education/career opportunities; and
- ❖ Focusing on safety and security issues such as working with community safety partners like Warwickshire Police, tackling speeding, violence and anti-social behaviour.

Sustainable futures

- ❖ Investing in and improving sustainable or 'green' travel and transport options such as walking and cycling.
- ❖ The importance of green spaces, wildlife, cleanliness and addressing pollution concerns, and
- ❖ Supporting renewable energy initiatives.

We have listened to your feedback and used these results to ensure our priorities are focused on the things that are important to you. We will also use the information you have given us to help shape our delivery plan.

We will continue to engage with our residents, businesses, partners and stakeholders, voluntary and community sectors including through our new Voice of Warwickshire Residents' Panel and Youth Council, to make sure we continue to gather input and ideas throughout the life of our delivery plan.

Looking ahead to the longer term

Our County and communities will continue to evolve and change. Looking back 30 years we have experienced huge changes in the way we live. Looking ahead we can anticipate a similar level of change and transformation. Our Council Plan focus is on the medium term - the next 5 years.

Whilst we cannot predict what Warwickshire will look like in 2050, we can be sure that the changes we will experience in future will be closely linked to key transitions and shifts in the way we live. As a leader of Warwickshire as a place, we want to be 'alive' to the bigger changes in our society and be able to make sense of these for the way we work. Both our priorities and areas of focus reflect this link to major changes and trends, and we will build out capability to continually look to the long term to ensure we are relevant, innovative and offering the very best service we can for Warwickshire residents.

Our financial context

To be added

Our Areas of Focus

Listening to the feedback you have given us about being clear on what we intend to deliver, our three priorities "Vibrant Economies and Places, Best Lives and Sustainable Futures" will be supported by seven succinct areas of focus. These seven areas set out what we will focus on over the next five years. They are a simple and clear articulation of what we will do, and they will drive both our delivery planning and our prioritisation of resources.

There are many other activities and services that we will continue to provide to our residents and communities. Just because we may not mention everything in our Council Plan doesn't mean it isn't important to us or to you.

However, these seven areas are where we are looking to make a positive difference and deliver significant improvements. They will enable us to be more focused on driving the changes you want us to address and to make a transformative change to our county.

We will ensure our key strategies help to deliver our Council plan. Where we already have these in place, they have informed our thinking and we have referenced them. We have more work to do to refresh some of our strategies and there may be areas where we will need to create new strategies.

Areas of Focus

We will……Create vibrant places with safe and inclusive communities

Why this is important

We know from our public survey on the Council Plan and other engagement work, that community safety is important to our residents, and we want Warwickshire people to feel and be safe.

During our Covid-recovery work, we heard from our businesses and communities who all want Warwickshire's town centres to remain viable, and flourish.

We recognise that residents have a strong sense of belonging to their neighbourhoods, that green spaces are highly valued and that active neighbourhoods play a vital role in supporting wellbeing and generating stewardship at a local level.

We will achieve this by………

❖ Working with our communities and partners to develop our town centres and neighbourhoods as vibrant, quality places that enhance people's lives, strengthen their sense of belonging and generate pride.

❖ Promoting safety and working with partners to reduce crime and anti-social behaviour across Warwickshire.

❖ Reducing domestic abuse and violence and supporting victims.

❖ Developing and embedding joined-up approaches to fire prevention, protection and response through transforming our Fire & Rescue Service and implementing the outcomes of the Fire Inspection report.

❖ Promoting road safety and reducing the level of fatalities and serious injuries.

❖ Building our Covid response by working with partners to create and embed volunteering opportunities.

Our strategies that support this Area of Focus:

Core strategies	Supporting Strategies
• Voluntary & Community Sector • Fire & Rescue Integrated Risk Management Plan	• Community Safety Agreement • Youth Justice Plan • Safe Accommodation • Heritage & Culture • Waterways & Canal

What this will mean for you……

❖ You will feel an increased sense of belonging to your community, feeling safe and supported and not isolated.

❖ Having pride in the place that you live, you will see a focus on developing and improving the areas of our county that need it the most.

❖ You will have the opportunity to give your views and provide feedback on what is important to you.

❖ Your communities can tackle local issues and develop solutions that work for them.

❖ You will have access to information and services on how to keep yourself, your family, your home, and workplace safe.

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

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

❖ You will see a reduction in crime, domestic abuse, child exploitation and youth violence across the county.

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

We will……. Deliver major infrastructure, digital connectivity, and improved transport options

Why this is important

Having an integrated view on the infrastructure needs and priorities across the County will enable us to deliver against what will make the most difference to our communities.

Having sufficient affordable housing and tackling homelessness has been a key long-standing concern; we will continue to work with our partners to support this through our strategic role on highways, planning, school sufficiency and through our enabling role.

Transport affects all our lives and plays a key role in supporting the environment, wellbeing, and our economy, as confirmed by residents in the consultation on renewing our Local Transport Plan.

Ensuring that Warwickshire has an integrated and sustainable transport network is one of our key responsibilities and our Local Transport Plan helps drive our actions on this.

In a modern world, digital connectivity is revolutionising the way we live, do business, learn, and socialise, which is why we will continue to help Warwickshire to become better connected, particularly in areas with poor broadband access.

We will achieve this by……

❖ Create an integrated Infrastructure strategy to enable us to deliver a joined-up approach to long term infrastructure and development needs across the County.

❖ Creating opportunities for investment to provide homes, places of employment and infrastructure that supports the needs of our county through the new Warwickshire Property Development Group.

❖ Investing in key priorities that will make a difference through our Warwickshire Recovery and Investment Fund.

❖ Maintaining and enhancing our transport network and renewing our local transport plan that supports health, well-being and sustainability, including creating active travel, implementing electric vehicle technology and refreshed public transport options for our residents.

❖ Rolling out Full Fibre and 5G connectivity across Warwickshire with a priority focus on the areas that are hard to reach.

❖ Encouraging the growth of a green economy and sectors, including prioritising renewable energy and infrastructure.

Our strategies that support this Area of Focus:

Core strategies	Supporting Strategies
• Local Transport Plan 4	• Local Transport Plan sub strategies-Rail, Bus, EV charging, Stratford

What this will mean for you….

❖ You will see infrastructure plans coming together to support the needs of our county, allowing for the additional housing and population growth predicted for future years.

❖ You will be able to use a transport network that is fit for purpose, well connected, in a good condition, utilises green technology and is safe for users.

❖ It will be easier for you to make more sustainable journeys (cycling, walking, using public transport).

❖ There will be more opportunities to take advantage of green technology, and make choices that support the environment.

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

We will……. Promote inclusive, sustainable economic growth, successful business, and future skills

Why this is important

Warwickshire has benefited from strong economic growth, as measured by GVA, during the last decade, but we face several challenges because of Covid-19 and changing and uncertain national and international economic conditions.

The County has a strong business presence in the automotive, technology and creative digital sectors, a world-class University and important Research and Development presence. The County also benefits greatly from its tourism industry which is a significant economic activity.

Sustaining our GVA growth and economic success will require our key sectors to innovate and adapt and for us to attract inward investment.   This will include the growth of new high-value and green-related sectors. The county is already benefitting from new businesses in these areas.

Warwickshire has some localities that are relatively more deprived than others, with lower economic growth and higher unemployment, including amongst young people. We will continue to address regeneration and seek ways to narrow these gaps.

We also need to ensure that Warwickshire has the right skills to support future growth and to future proof how the economy might develop as a result of new technologies and changing societal trends.

We will achieve this by………

❖ Supporting investment and growth in sustainable economies through leveraging our Warwickshire Recovery and Investment Fund.

❖ Maintaining forward momentum to support future economic shifts and build on opportunities such as the move to green technologies, developments in automation

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and anticipating future societal trends.

❖ Working with our partners and businesses to transition towards a goal of decarbonising the Warwickshire economy.

❖ Creating the conditions to ensure there are well-paid jobs in the County and developing the future skills that our priority sectors need to be successful.

❖ Attracting inward investment and promoting Warwickshire nationally and internationally as a great partner and place to do business.

❖ Promoting financial and digital inclusion, targeting help to those most economically vulnerable.

❖ Attracting tourism and maximising the benefits of Warwickshire's magnificent heritage, culture and visitor economy.

❖ Promoting and supporting regeneration to create prosperity and opportunities for growth for all areas of the county.

Our strategies that support this Area of Focus:

Core strategies	Supporting Strategies
• Economic growth strategy	• Rural growth • Tourism • CWLEP Economic Growth • Coventry & Warwickshire Skills

What this will mean for you….

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

❖ There will be more high- quality jobs paying good salaries.

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

❖ You will see a focus on forward thinking and investment that develops the future economies and skills that we need in Warwickshire to power economic growth.

❖ You will have access to the skills and digital capability you need to find the work that you want within the county.

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

We will……. Tackle climate change and deliver on our commitment to Net Zero

Why this is important

We have declared a Climate Emergency and are committed to tackling this critical global priority. We know that there is also strong support and commitment across the county to address climate change too.

We want to reduce the Council's carbon footprint to net zero and want to work with all our partners and residents in Warwickshire to support the County to do the same.

Our residents also want us to support biodiversity and environmental sustainability, and this is also an important part of our climate change programme.

We will achieve this by………

❖ Continuing to Implement our Climate Emergency declaration and become a net zero Council by 2030.

❖ Enabling a community powered approach to work with and support partners, residents, communities, businesses, voluntary and public sector bodies to decarbonise and change behaviour towards becoming a net zero county by 2050.

❖ Providing the cross-county mechanisms to convene District and Borough Councils, other public sector partners, businesses and the voluntary sector to create a county-wide approach to amplify and integrate our climate change efforts.

❖ Promoting Biodiversity and the safeguarding of natural species, habitats and areas in our County including implementing our commitment to tree planting.

- ❖ Embedding a decarbonisation focus across our Council Plan and linking with our plans on a sustainable economy and transport system.

- ❖ Creating opportunities for "Green Shoots" investment in local initiatives to contribute to mitigating the climate emergency.

- ❖ Engaging creatively with the public on our collective responsibility to address the climate emergency through citizens' panels and other approaches.

- ❖ Supporting the UN Sustainable Development Goals by embedding those areas relevant to us in our Climate Action Plan and how we track our progress.

Our strategies that support this Area of Focus:

Core strategies	Supporting Strategies
• Local Transport Plan & related (Rail, Bus, EV Charging etc)	• Waste strategy, • Flood Risk Management

What this will mean for you….

- ❖ We will reduce our carbon footprint within the Council and our impact on the environment.

- ❖ Working with partners, we will provide information so you can understand how you can play your part in tackling climate change.

- ❖ You will see more local community-based activity playing a part in mitigating the effects of climate change.

- ❖ You will have more opportunities to make green choices supported by infrastructure to support new technologies (such as electric vehicles and renewables) and ways to support you to actively decarbonise your daily lives.

- ❖ We will increase the reuse, composting and recycling rate by at least x% each year to achieve an overall rate of y% of all domestic waste by [date].

- ❖ Our environmental stewardship and focus on biodiversity will provide you with pleasant green spaces to enjoy across the County as well as contributing to achieving and offsetting our net zero targets.

❖ We will be open and transparent on our collective progress towards our net zero targets both within the Council and with our work with partners across the county.

We will… Deliver our Child Friendly Warwickshire strategy - Happy, healthy, safe children

Why this is important

We have an important and key role in supporting children and young people to get the best outcomes in life, particularly those who are most vulnerable and at risk.

We have more children in care than other similar areas and want to reduce this. We have a rise in the numbers of year 6 pupils who are obese, higher levels of children and young people needing Tier 4 mental health support compared to other similar areas, and an increase of children with an Education, Health and Social Care Plan.

Children and young people in Warwickshire have told us the issues that are important to them: places to play, a clean environment, good schools, enough food and housing for everyone and for them to be involved in important decisions. Our Children and Young People's strategy will help deliver on all of these.

We will achieve this by………

❖ Supporting children and young people to remain happy, healthy and resilient by promoting physical and mental wellbeing.

❖ Ensuring children and young people are safe from harm and the most vulnerable are protected.

❖ Supporting families to make positive changes so that children have better lives/outcomes.

❖ Supporting children to achieve at all levels of learning and have skills for life.

❖ Supporting young people to be heard, be active citizens and contribute to adult life.

Our strategies that support Area of Focus:

Core strategies	Supporting Strategies
• Warwickshire Children & Young People Strategy • Education Strategy	• Early Help Strategy • Social Inequalities strategy

What this will mean for you….

❖ More children will live safely at home with their families.

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

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

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

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

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

We will……. Enable and support children and young people to have a high-quality education to achieve their potential and transform our Special Educational Needs and Disabilities provision.

Why this is important

There is a strong link between education attainment, life expectancy and health/wellbeing, which is reflected in our Council Plan priority of 'Best Lives'.

We are committed to fulfilling our duties to ensure there are sufficient school places in Warwickshire, to promoting high standards and enabling fair access to education and training, so that every young person gets the education and skills they need for a successful future.

We do this by working in partnership with schools and education providers and specifically, will continue to support efforts to narrow the attainment gap and enable covid catch-up for vulnerable groups of learners.

We are committed to deliver our duties for children and young people with Special Education Needs through a clear offer of support to them and their families.   As part of this and responding to the 2021 SEND Inspection report, we are implementing a change programme to make the necessary improvements, including better and more inclusive services to deliver better outcomes for these children.

We will achieve this by………

- ❖ Improving education attainment by focusing on achievement gaps and by supporting those with special educational needs to fulfil their potential, particularly in areas of the County where educational attainment is lower

- ❖ Helping our children and young people catch-up on their education post-covid

- ❖ Transforming our Special Educational Needs and Disabilities provision and universal offer to schools and learners, implementing the actions from our recent inspection.

- ❖ Support early years providers to enable all young children to be ready for school and achieve their potential

- ❖ Fostering children's love of learning from birth through early childhood into starting school so that all young children are ready for school and achieve their potential

- ❖ Ensuring that we have sufficient early years and school places to meet the demographic needs of the County

Our strategies that support this Area of Focus:

Core strategies	Supporting Strategies
• Education Sufficiency • Education Strategy • SEND	• Nuneaton Education Strategy • Autism • Outdoor Education

What this will mean for you….

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

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

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

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

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

We will……. Support people to live healthy, happy, and independent lives and work with partners to reduce health inequalities

Why this is important

Supporting residents to stay healthy and well is key to improving their quality of life and tackling inequality of life expectancy. Although life expectancy at birth in Warwickshire is better than the average in England, we have seen a reduction in the period 2018-20.

However, life expectancy at birth is markedly lower in the most deprived areas of the County.

Working with our partners and the NHS, our health and wellbeing strategy aims to improve health outcomes for all our residents, and we want to address inequalities that prevent people from living their "Best Lives".

We want our residents, particularly our most vulnerable, to age well, to live independently and be in good health and we will continue to deliver our responsibilities to safeguard and support them when needed.

Warwickshire has a growing elderly population, which has major implications for services, carers and our economy. A significant proportion of requests for adult social care services from those aged 65 or over is because of a discharge from hospital, which is a key challenge us and partners we are addressing.

We will achieve this by………

- ❖ Supporting the most vulnerable and disadvantaged adults to live independently, and in good health by building on their strengths, while reducing the need for hospital or long-term care.

- ❖ Supporting and safeguarding of those in care, ensuring the health and social care system helps Warwickshire contain COVID-19 as we learn to live with it, and helps people's recovery and access to services.

- ❖ Homelessness – working with partners and communities to support people who are homeless and to improve access to services.

- ❖ Reducing inequalities in health outcomes by acting on the wider determinants of health, targeting support for healthy, physically active lifestyles where it is most needed.

- ❖ Targeting action towards areas with the highest gaps in life expectancy.

- ❖ Ensuring sustainable access to services and support for those who need it the most such as addressing food poverty through the Warwickshire Food Forum.

- ❖ Helping people improve their mental health and well-being.

- ❖ Working with our partners to deliver an integrated approach to health and social care within communities and across the county in line with the implementation of the new Integrated Care System in Warwickshire

Our strategies that support this Area of Focus:

Core strategies	Supporting Strategies
Health & wellbeing strategy ASC Commissioning Intentions	• Adult Joint Carers • Suicide prevention • Dementia

What this will mean for you….

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

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

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

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

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

❖ You will have easy access to accurate information to enable you to maintain your independence.

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

❖ You will see the County Council and NHS working together with you so you experience seamless support and can proactively manage your own health and well-being.

❖ You will see increased support in the community to address food poverty and tackling inequalities.

Being a Great Council and Partner

Why this is important

We are a strong Council, performing well in most areas and financially resilient, despite demand for services continuing to increase beyond our resources.

Our previous change programme put us in good shape to meet the challenges of Covid-19. The lessons of the pandemic have fundamentally altered our service delivery models; how we work with partners to support, engage and communicate with our communities; and our organisational culture, how we use our buildings and how our staff want to work.

As we step forward, increases in demand will continue and remain significant. This requires new ways to do things to maintain value for money and financial resilience. We need to deal effectively with key transitions: rapid social and technological shifts, particularly automation and the changing nature of work; using digital solutions to provide the simple, effective

service delivery options you expect; and getting our data right so that we can best target resources and activity to address growing inequalities.

We know that change will be a constant. To remain fit for the future, and to be a great Council and partner, we want to be known for three things in delivering our priorities:

1. **Harnessing Community Power**

As we step forward, the Council will harness the power of communities to tackle inequality and social inclusion through a community-powered approach. This requires us to work differently with residents, communities, and partners. We will build on their strengths and assets and keep the community spirit, so powerful before and during Covid, alive.

This will change our relationships and requires new ways of communicating and engaging with citizens and communities. We will change from 'what will the Council do' to 'what do we want to do together, and how could the Council support the community to deliver it?'

We will achieve this by………

* ❖ Working with our partners and communities to develop a simple 'Community Powered Warwickshire pledge' to embed our community-powered approach.
* ❖ Running innovative projects to test, and embed, our community power model.
* ❖ Developing an evaluation framework to track progress against the Community Powered Warwickshire pledge, and an annual 'big conversation' with communities and partners to keep our momentum up.
* ❖ Refresh our approach to communications and engagement to support community powered approaches, including our new 'Voice of Warwickshire' residents' panel.

2. **Using our data and digital solutions to improve service delivery**

We have made huge progress developing our digital services, infrastructure and data. This capability enabled the Council to move overnight to hybrid working. Our data capability has helped us target activity, track our progress, and improve customer services.

We will build on this strong foundation through enhancements to our digital infrastructure and redesigning customer services so that they are simple, fast and effective. We will transform our data to help us target resources where they will make the biggest impact.

We will achieve this by………

* ❖ Through our customer experience programme, redesigning services to focus on prevention, improved outcomes and reduced cost.
* ❖ Developing and delivering our 'customer promise', making it easy for you to access our information and services, and giving positive customer experience.
* ❖ Using evidence, data and insight to target resources and maximise performance.

❖ Using simple, clear and integrated digital technologies to improve service delivery.

3. Our people and the way we work

Our people strategy aims to make the Council a great place to work where diverse and talented people are enabled to be their best. We have made great progress on this vision.

Changes in how we work bring opportunity to reduce our estate and carbon footprint, and improve value for money. We will continue to focus on building an inclusive and diverse organisation, promoting staff well-being and developing our leadership and culture.

We will achieve this by………

❖ Delivering our Equality, Diversity, and Inclusion programme so staff feel able to bring their whole selves to work.
❖ Being a great employer with the right culture and leadership, recruiting and developing a talented, diverse and resilient workforce, and supporting their wellbeing.
❖ Investing in modern ways of working and redesigned core work settings.
❖ Developing the right skills and culture to support innovation, continuous improvement, our net zero ambitions and community-powered ways of working.

Our strategies that support Being a Great Council and Partner

Core strategies	Supporting Strategies
• Digital and Data Strategy • Customer Experience Strategy • Our People Strategy • MTFS, Capital & Treasury/Investment Strategies	• Property Strategy • Commercial Strategy

Making the Plan work

Delivery Programme - Our plan will be supported single integrated delivery programme for the next two years, combining the key service deliverables and change projects necessary to deliver the prioritised key areas of focus linked more closely to the outcomes described in the performance framework. We are a proposing a key change by creating a single delivery programme with no distinction between major change programmes and core service delivery. This will help mainstream and embed continuous improvement and effective change management.

Key Business Frameworks – We have reviewed all our key business frameworks to ensure they support delivery of our Council Plan, including frameworks such as risk management, performance and business planning, change, consultation & engagement and the strategy framework.

Performance Management Framework - Through a cross-party working group we have development of a refreshed Performance Management Framework. The new framework will include three interconnected levels of measures that together will align with an emphasis on assessing the delivery of the strategic objectives and ensuring we monitor the measures that most accurately reflect whether our performance is improving in areas relevant to the Plan and give assurance on future trajectories.

Community Engagement – In support of the Plan and Delivery Plan we will be enhancing the opportunities we have to capture feedback and ideas from our stakeholders. For example, a new residents' panel, called the Voice of Warwickshire, is being trialled. This will involve a representative group of up to 1,000 residents from across the county who will be invited to participate in engagement activities on a range of policy issues. In addition, we are enabling the opportunity for more interactive, discussion-based engagement through an improved Ask Warwickshire platform. We will also continue to use existing engagement opportunities to talk to specific groups such as the Youth Council and our work with the voluntary sector. Together, these mechanisms will provide a robust, blended approach to engagement where we can use the right tools at the right times with the right audiences. All of these developments will be described and supported through a new Consultation & Engagement Framework.

State of Warwickshire 2022

Version: Draft 3

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Intro & Executive Summary

Summary/ Intro

The State of Warwickshire provides an in-depth snapshot of Warwickshire as a County. Made up of different places across the five boroughs and districts the County has many strengths and opportunities which will shape its future.

Across the different partners and bodies in Warwickshire there is an ambition to make each place the best it can be, in a way that is sustainable and supportive of its households, communities and diverse places.

The following executive summary summarises the main issues, trends and challenges which Warwickshire faces and also provides an overview of some of the main changes which we think are important in future.

Warwickshire's Economy

Warwickshire has had a strong Gross Value Added (GVA) growth prior to the COVID-19 pandemic. The per head GVA rates was £34,302 per year which was £4,063 higher than across England, and £9,959 higher compared to the West Midlands.

Our economy is driven by some key sectors, namely: Manufacturing, Wholesale & Retail, Real Estate and Construction. This is reflected in the key employment sectors across the districts:

North Warwickshire Borough	Nuneaton & Bedworth Borough	Rugby Borough	Stratford-on-Avon District	Warwick District
• Wholesale & Retail Trade; Repair of Motor Vehicles & Motorcycles (20.8%) • Transportation & Storage (16.7%) • Manufacturing (14.6%)	• Wholesale & Retail Trade; Repair of Motor Vehicles & Motorcycles (17.4%) • Human Health & Social Work Activities (17.4%) • Manufacturing (10.9%)	• Wholesale & Retail Trade; Repair of Motor Vehicles & Motorcycles (14.3%) • Transportation & Storage (12.2%) • Manufacturing (10.2%) • Professional, Scientific & Technical Activities (10.2%)	• Manufacturing (18.1%) • Wholesale & Retail Trade; Repair of Motor Vehicles & Motorcycles (13.9%) • Accommodation & Food Service Activities (11.1%)	• Wholesale & Retail Trade; Repair of Motor Vehicles & Motorcycles (16.3%) • Professional, Scientific & Technical Activities (11.6%) • Human Health & Social Work Activities (10.5%)

The strength of our economy has been central to the overall advance in pay growth within Warwickshire. Although significant progress has been made in recent years, in terms of both GVA and pay growth across Warwickshire, ongoing work is needed to continue to reduce the gap between different places within Warwickshire.

Looking ahead, the challenges we face stem from how these different sectors continue to recover from the COVID-19 pandemic and how export-focused sectors can adapt to changes in trading systems

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after Brexit. Finally, as we move towards a net zero future, how Warwickshire's different economic sectors will adapt and change, including changes in jobs, will have major impacts for local households.

Early Years, Education & Skills

The Early Years stage, specifically the first 1001 days after birth, are a critical stage in every person's development. Early Years policy is increasingly important, with the Government particularly interested in supporting people through their 'Start for Life' approach. Again, in general, Warwickshire performs well in terms of initial health visits and support.

Warwickshire has a generally good base around its education and skills. However, it varies between different places with some areas with much better education and skills outcomes compared with others. Around 95% of pupils in Warwick, Stratford and North Warwickshire are attending schools rated Good or Outstanding by Ofsted. This compares with 78% in Rugby and 77% in Nuneaton.

One of the challenges which affects schools are decisions made around national funding. Funding levels for schools are expected to return to levels like 2009-10 in 2021-22. Although the government has committed to more resources for education, the challenge for local schools is how these increases in funding impact on local outcomes.

Beyond the school system, Warwickshire, in general, has a reasonably high level of skills. One of the challenges is to increase the number of adults with at least a level 3 qualification. Currently some areas, such as North Warwickshire Borough and Nuneaton and Bedworth Borough, have reasonably high levels of adults without any qualifications, and large numbers of the workforce have little more than level 2.

Financial Resilience

Despite the strengths of our local area, the reality is that there are still households across Warwickshire which face precarity and lack financial resilience. Increases in the cost of living, uncertainty about the economic prospects for some groups, and changes in the welfare system create a mixture of those who will benefit and those that will struggle to maintain their standard of living.

We know that groups which have low levels of financial resilience are often the first to need support when things suddenly change; the effect of increases in the cost of the weekly food shop to a loss of working hours can impact on some households in an extensive way and this impacts on education and early years development.

Whilst Warwickshire is relatively 'well-off' compared to many areas in the country, there are still households which face the uncertainties of increased precarity.

Health & Social Care

In general, Warwickshire has broadly good health and care outcomes. However, even in terms of life expectancy there are differences. Residents in Nuneaton and Bedworth Borough and North Warwickshire Borough have a lower life expectancy at birth compared to the national average.

One of the big challenges is addressing health inequalities and ensuring that people live healthy and active lifestyles. The COVID-19 pandemic has once again highlighted the array of challenges faced by people from different communities and sections of society, including how unequal health outcomes can be.

The numbers of adults needing long term support varies through the year: at the end of the financial year 2020/21, 3,805 people over 65, and 2,140 aged 18-64 accessed long term support in

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Warwickshire. Among the 18-64 age group around 54% received support for Learning Disabilities, whilst 63% of over 65's received physical support for access and mobility.

Most people who receive long term support do so in the community; in 2020/21 in the 65 and over age group around 29% were in residential care, and 8.5% were in nursing homes.

Future developments

Looking ahead, Warwickshire in future will be different from the Warwickshire we have now. An ageing population, climate change and developments around automation are factors that will need monitoring to see how these will impact on Warwickshire, its places and communities.

Automation (using artificial intelligence, 3D printing and robotics) is not a new thing in the economy, but the development of technology to make use of these more accessible within the economy could lead to major changes in how we work and how our businesses produce.

Closely related to this is the effect of adapting to climate change and transitioning to a net zero economy. The direct effects of climate change on our local area are likely to increase in time with warmer winters, wetter conditions overall, and more extreme weather events. At the same time, the need to create a net zero economy will change many industries, create new jobs, and have major implications for how we work, travel and live.

Finally, as noted above, Warwickshire's population is ageing. This is part of a global trend in countries like the United Kingdom and the impact which this has will also have implications for Warwickshire. From people working longer (including those aged 60 and over), through to the need to focus more services on those in need of support, an ageing population presents a variety of challenges which will shape what Warwickshire looks like in future. This includes focusing on how the need for people to remain at work will require older workers to have adaptable skills, the access to information and support to maintain their health and the ability to maintain their income in later stages of their working lives.

Warwickshire – the Place

Warwickshire lies to the south and east of the West Midlands conurbation and has established links with Coventry, Birmingham and Solihull in the West Midlands region, but also with the South East. Despite the focus of population within the main towns of the county, a third of Warwickshire is rural in nature (19% classed as rural town/fringe and 14% rural village/dispersed). Warwickshire lies at the heart of Britain's transport network and several key strategic routes pass through the county.

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

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

Since 1st April 2021 there has been one Clinical Commissioning Group (CCG) that covers Warwickshire – Coventry and Warwickshire CCG. The CCG is responsible for securing, planning, designing and paying

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for NHS services in Coventry and Warwickshire, including planned and emergency hospital care, mental health services, rehabilitation and community services.

Four 'places' have also been developed across Coventry & Warwickshire (Warwickshire North, South Warwickshire, Rugby and Coventry) as well as 22 Joint Strategic Needs Assessment (JSNA) areas to further understand and articulate Warwickshire as a place.

Warwickshire – the population

In 2020, the estimated usual resident population of Warwickshire was 583,786 persons, of whom 288,334 were males and 295,452 females[1]; this is an 8.9% increase in the population since 2010. Compared to England, Warwickshire currently has an older population profile, with 20.8% of the population being aged 65 or over in Warwickshire compared to 18.5% in England (Figure X). Within Warwickshire, this varies, with the more rural areas having older populations (Table X).

Figure X: Population estimates for males and females in 2020 for Warwickshire and England
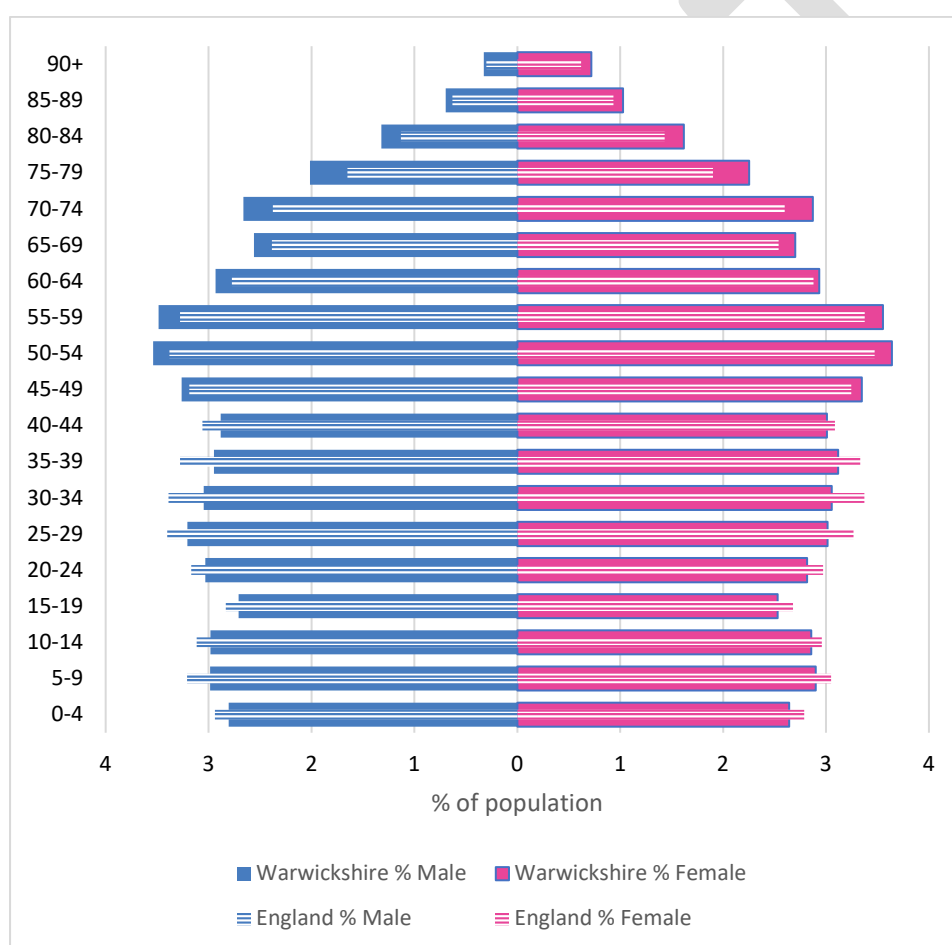
Table X-Percentage of population by age group, districts and boroughs in Warwickshire

Age group	Percentage of population (%)					
	Warwickshire	North Warwickshire	Nuneaton & Bedworth	Rugby	Stratford-on-Avon	Warwick
0-15	18.3	17.5	19.7	20.3	16.7	17.2
16-64	61.0	60.7	61.0	60.8	57.9	64.0
65+	20.8	21.8	19.3	18.9	25.4	18.8

Source: ONS (2021), Mid-year population estimates 2020

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The population estimates help with service planning but are estimates and become less accurate the further away from a population census they are. The 2021 Census results will help us re-base these estimates and give us a more accurate 'count' of the population.

Population growth

The mid-2020 population estimates indicated that growth in the population since the mid-2019 population estimates was due to internal migration (5,329 persons, responsible for 83.3% of the population growth) and international migration (1,027 persons, responsible for 16.1% of the population growth). Internal migration has been responsible for the largest proportion of the population growth between 2017 and 2020; prior to this, between 2014 and 2016 international migration was responsible for the highest proportion of population growth. In 2020, the contribution of natural change to population growth in Warwickshire was negative with deaths (6,351) outweighing births (5,808); however, this was only the case in North Warwickshire Borough and Stratford-on-Avon District. Figure X provides further detail on migration.

Figure X – Population migration into and out of Warwickshire between 2019 and 2020

Population on the move...

Moves in from UK authorities: 28,461

Moves out to UK authorities: 23,132

International moves in: 2,887

International moves out: 1,860
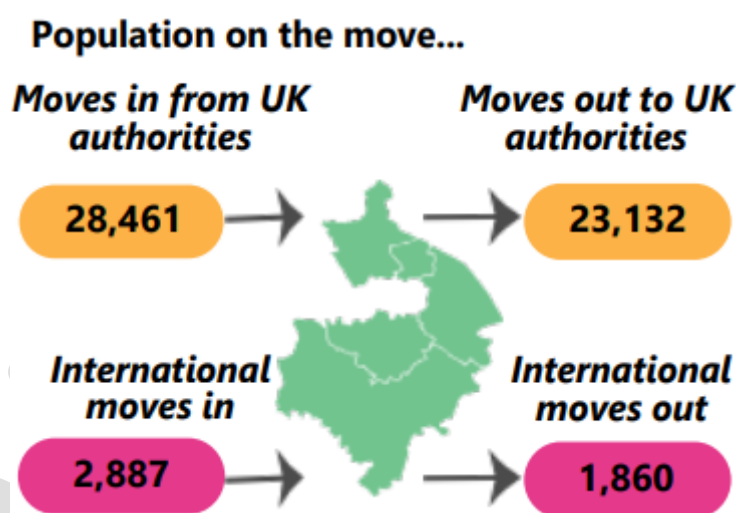
By 2043, the population of Warwickshire is projected to increase to 684,310 persons[2], an increase of 14.7%, with the largest increase being in those aged 75 and over (Figure X). The areas in Warwickshire with the largest projected percentage growth are Stratford-on-Avon District (19.6%) and North Warwickshire Borough (17.3%).

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Figure X - Projected population growth between 2020 and 2043
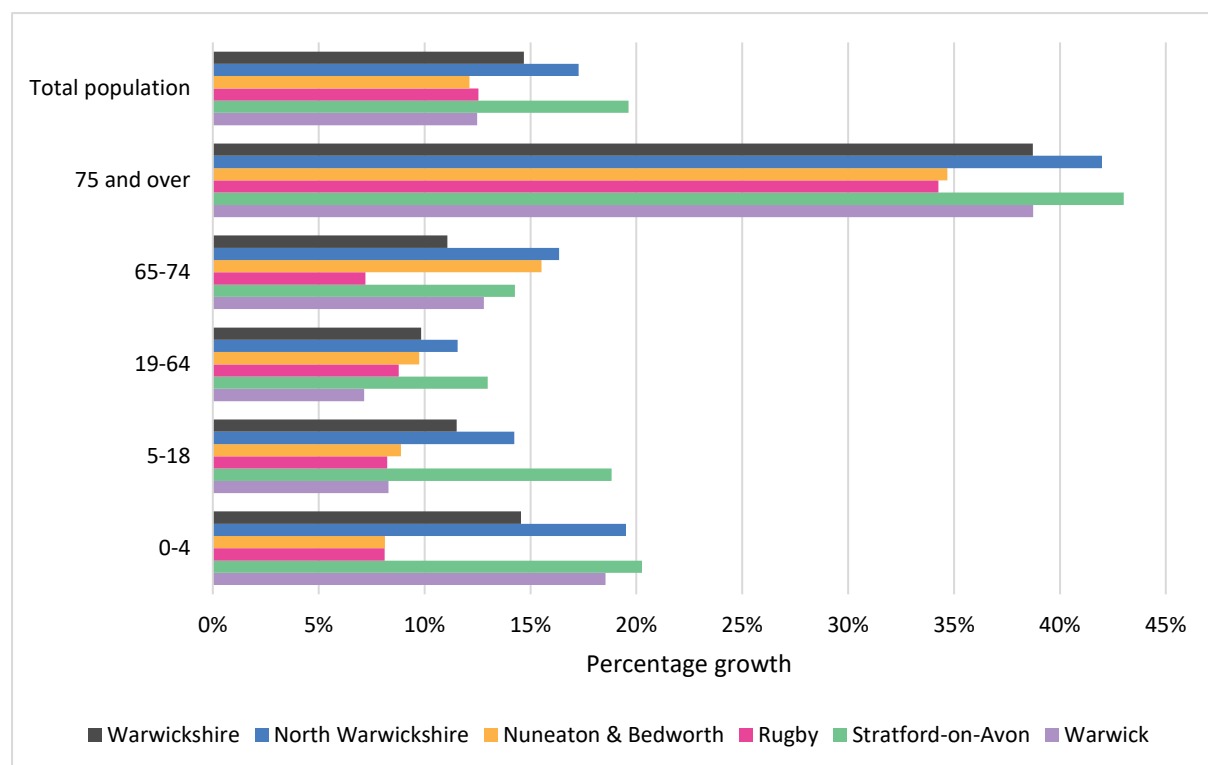
Source: ONS (2019), 2018-based population projections and ONS (2021), mid-2020 population estimates

The shape of the population is projected to change with a higher proportion of the population made up of persons aged 75 and over (Figure X).

Figure X Population estimates for males and females in 2020 and 2043 for Warwickshire
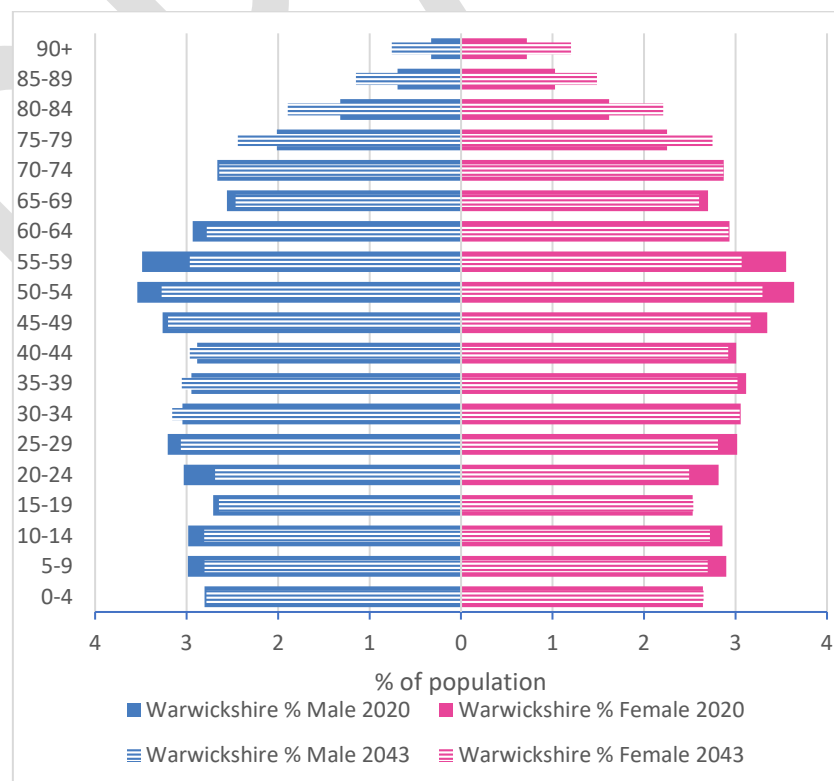
Source: ONS (2019), 2018-based population projections and ONS (2021), mid-2020 population estimates

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Population Characteristics

Our main source of information on the characteristics of the population in Warwickshire is population census data. Information from the census carried out in 2021 is not being published until Spring 2022 so the majority of data that provides a picture of Warwickshire is from the 2011 census.

Country of birth: It is estimated that 89.1% of the population in Warwickshire in 2020 were born in the United Kingdom compared to 84.4% of the population in England and 85.9% of the population in the West Midlands.[3] There was a noticeable reduction in residents born in the European Union living in Warwickshire between 2019 and 2020 (Table X). Most residents born in Asia were from the South Asia region.

Table X- Country of birth of Warwickshire residents 2019 and 2020

Year	All residents	Country of Birth				
		United Kingdom	EU	Other Europe	Asia	Rest of the World
2020	560,000	499,000 (89.1%)	30,000 (5.4%)	2,000 (0.4%)	17,000 (3.0%)	12,000 (2.1%)
2019	558,000	486,000 (87.1%)	42,000 (7.5%)	2,000 (0.4%)	19,000 (3.4%)	10,000 (1.8%)

Source: ONS (2021), Population of the UK by country of birth and nationality

Ethnicity: In 2011, 88.5% of the population in Warwickshire were described as White British, compared to 79.8% in England and 79.2% in the West Midlands. Other white (3.2%) and Indian (3.0%) made up the next highest proportions of the population.

Figure X: Detailed ethnicity groups – Warwickshire, West Midlands and England (2011)

Source: ONS – 2011 Census

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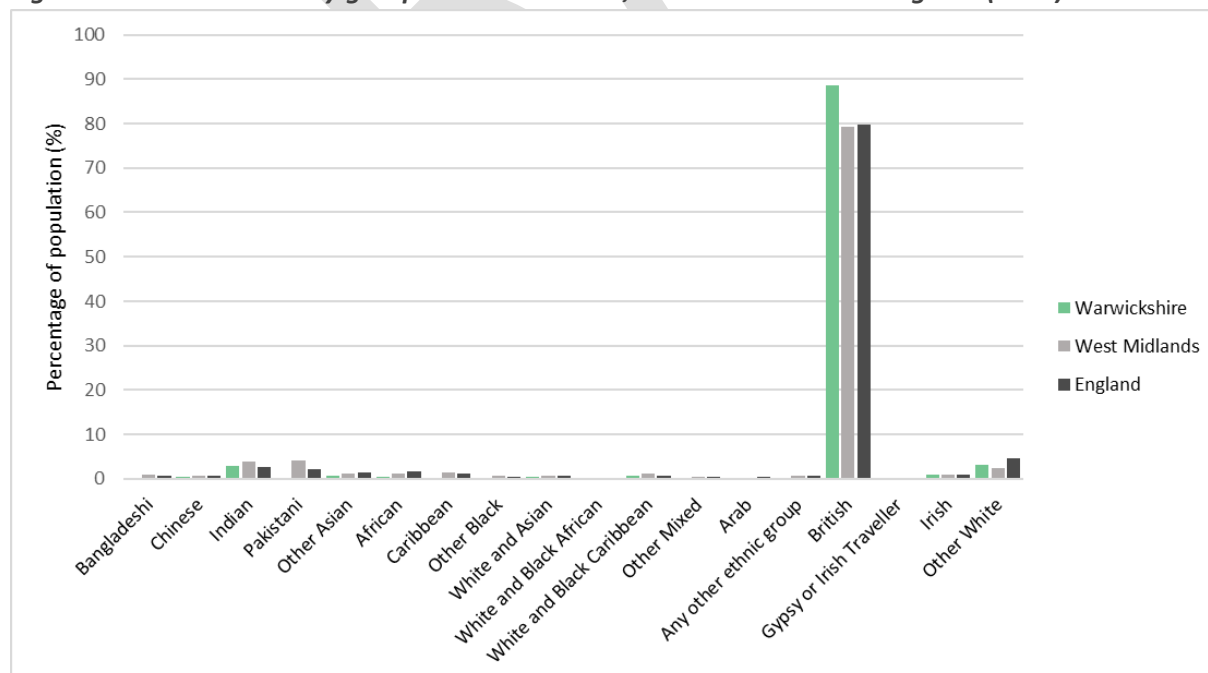
Main language: The main language spoken by 95.7% of residents in Warwickshire in 2011 was English. This compared to 92.0% speaking English in England and 92.8% in the West Midlands. Other languages spoken by more than one percent of the population in Warwickshire were 'Other European language (EU)' – 1.7% and 'South Asian language' – 1.3%.

Religion: In 2011, 64.5% of the population of Warwickshire were Christian compared to 59.4% of the population in England and 60.2% of the population in the West Midlands. A further 24.1% of the population in Warwickshire had 'no religion' whilst 1.7% were Sikh and 1.1% were Muslim.

Household composition: In Warwickshire in 2011, 36.2% of households were classified as being one family only with a couple who were married or in a same-sex civil partnership. Of these 36.2%, almost half (44.4%) had dependent children. Warwickshire had a higher proportion of households that were 'One family only: Married or same-sex civil partnership couple' and 'One family only: All aged 65 and over' than England and the West Midlands (Figure X).

Figure X – Household composition of households in Warwickshire (2011)
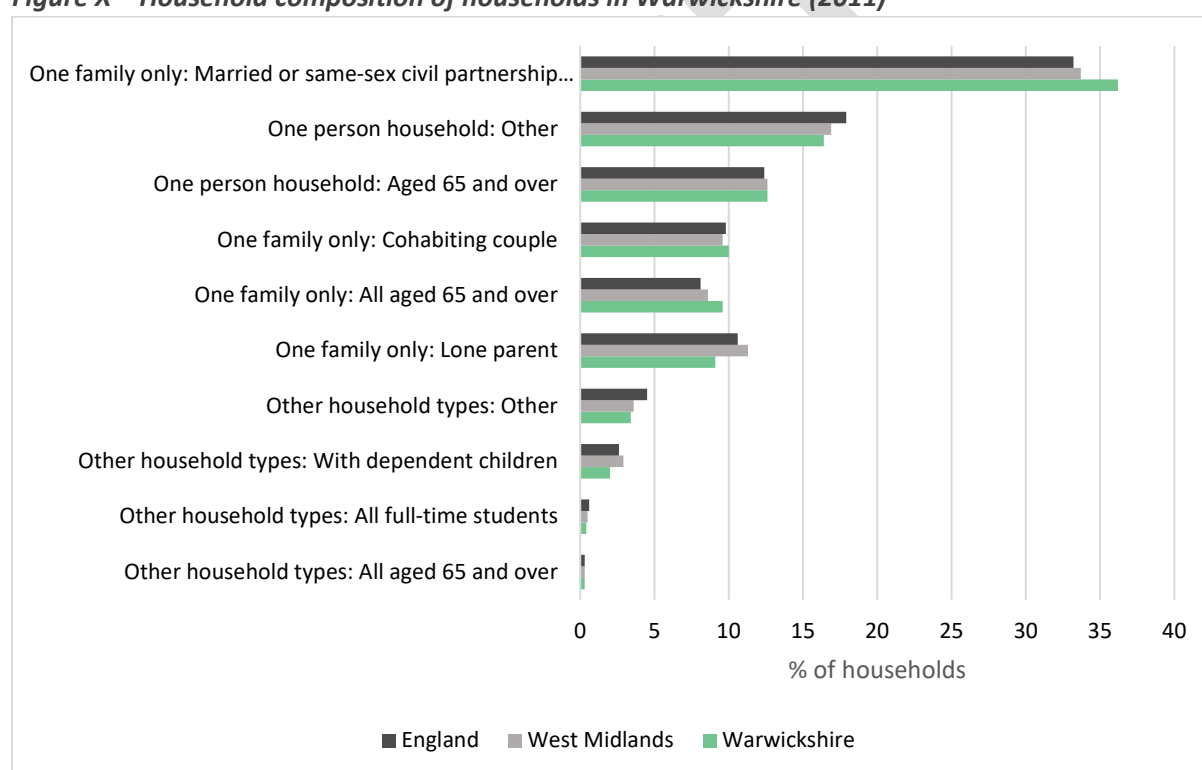
Source: ONS (2011) Census

Disability: In Warwickshire in 2011, 17.1% of the population said their day-to-day activities were either limited a lot or a little by a health problem. This was slightly lower than the West Midlands (19.0%) and England (17.6%) averages.

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Experian Mosaic Profile To be updated with 2021 data

Mosaic is a profiling tool which uses a wide range of data to allocate households into similar groups and types based on likely common characteristics. Figure X shows the proportion of Warwickshire households within each Mosaic Group.[4] Across Warwickshire, the most prominent group is '*Aspiring Homemakers*' with 12% of households belonging to this group. The least prominent group is '*City Prosperity*' with only 1 % of households belonging to this group.

Figure X – Mosaic profile of Warwickshire
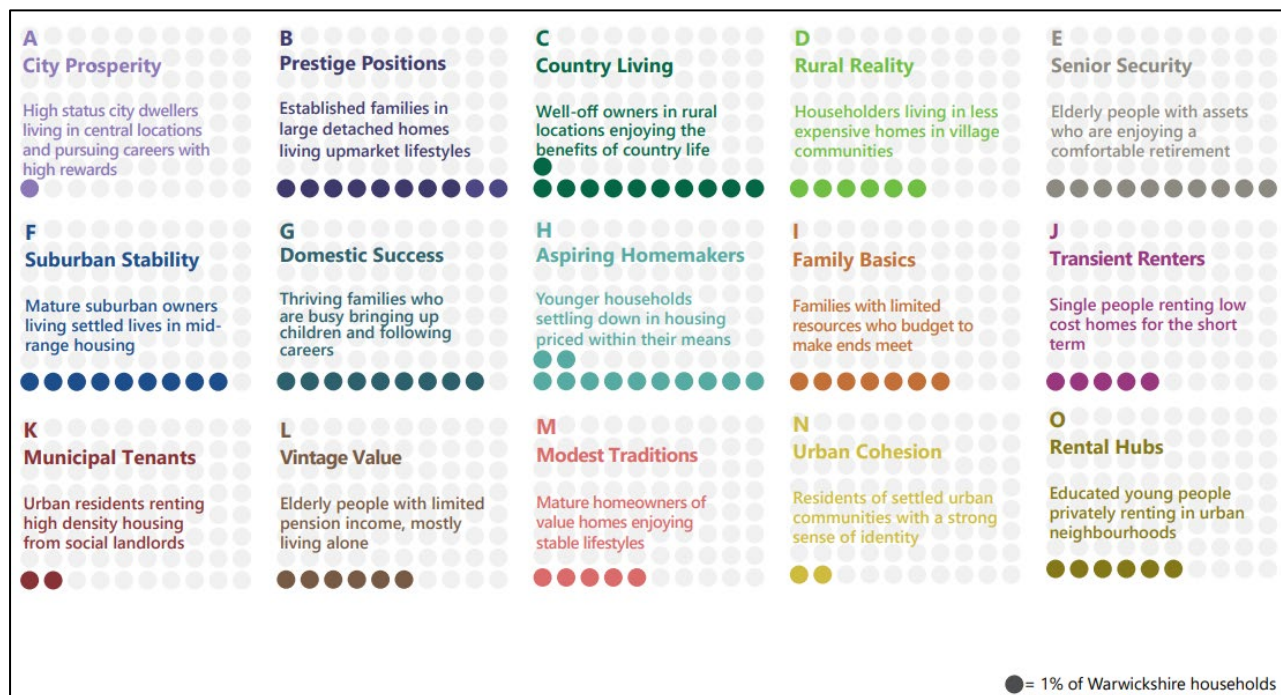
Source: Experian 2019

The Mosaic profile of the districts and boroughs in Warwickshire vary considerably (Table X). The shaded cells show the Mosaic groups that have the greatest proportion of households. The high proportion of households classed as 'Country Living' and 'Rural Reality' in North Warwickshire Borough and Stratford-on-Avon District reflects the predominantly rural geography of those areas. Whereas the high proportion of households classed as rental hubs in Warwick District reflects the high population of students and young professionals.

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Table X: Mosaic profile by district and borough

		Warwickshire	North Warwickshire Borough	Nuneaton & Bedworth Borough	Rugby Borough	Stratford-on-Avon District	Warwick District
	Total no. of households	**261,440**	**28,578**	**58,122**	**48,361**	**61,017**	**65,362**
A	City Prosperity	0.9%	0.0%	0.0%	0.2%	0.5%	3.0%
B	Prestige Positions	10.1%	5.1%	5.1%	7.8%	12.2%	16.5%
C	Country Living	10.9%	12.6%	0.1%	9.4%	27.9%	4.8%
D	Rural Reality	6.0%	12.5%	0.1%	4.2%	15.1%	1.3%
E	Senior Security	9.8%	9.3%	12.4%	10.3%	8.0%	9.1%
F	Suburban Stability	8.6%	12.9%	12.5%	9.8%	4.4%	6.4%
G	Domestic Success	8.8%	6.2%	6.7%	9.8%	7.7%	11.9%
H	Aspiring Homemakers	11.7%	11.3%	14.1%	14.8%	8.6%	10.5%
I	Family Basics	6.9%	6.7%	14.2%	6.9%	2.3%	4.9%
J	Transient Renters	5.0%	5.4%	8.7%	9.6%	1.6%	1.5%
K	Municipal Tenants	2.2%	1.9%	4.4%	2.3%	0.6%	1.6%
L	Vintage Value	5.7%	5.1%	8.5%	5.8%	4.4%	4.6%
M	Modest Traditions	5.2%	8.9%	11.9%	4.5%	1.2%	2.0%
N	Urban Cohesion	1.9%	0.1%	0.3%	1.0%	1.5%	5.0%
O	Rental Hubs	6.3%	1.8%	1.0%	3.7%	4.2%	16.7%

Source: Experian 2019

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SUMMARY INFOGRAPHIC Warwickshire as 100 people:

0-15	18	ONS, mid-2020 estimates
16-64	61	ONS, mid-2020 estimates
65+	21	ONS, mid-2020 estimates
Male	49	ONS, mid-2020 estimates
Female	51	ONS, mid-2020 estimates
White	93	Census 2011
Asian/Asian British	5	Census 2011
Black/African/Caribbean/ Black British	1	Census 2011
Mixed/Multiple Ethnic/Other	2	Census 2011
Day to-day activities not limited	83	Census 2011
Day to-day activities limited a little	9	Census 2011
Day to-day activities limited a lot	8	Census 2011
IMD Decile 1-3	14	IMD 2019
IMD Decile 4-7	45	IMD 2019
IMD Decile 8-10	41	IMD 2019

TO be displayed as:

If the Twitter community was 100 people...

20 dead (empty accounts)

only 5 with more than 100 followers

50 lazy not tweeted in the last week

5 loud mouths creating 75% of the tweets

16
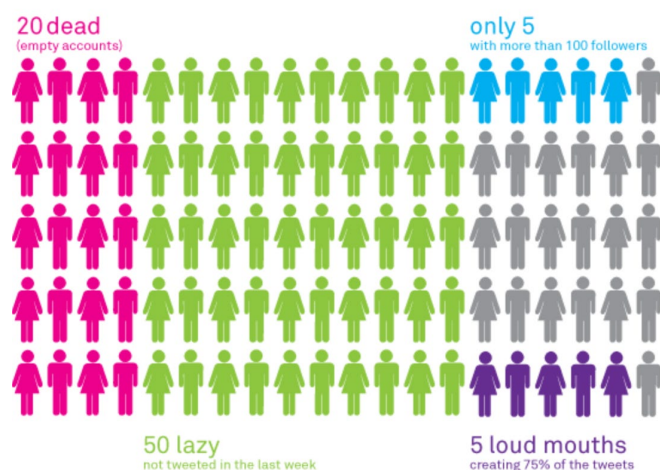
The impact of COVID-19 on Warwickshire

This section explores a range of data and research into the impact of COVID-19 on Warwickshire residents over the last year, as well as its continuing future impacts.

Impacts on health, well-being, and care

Incidence of COVID-19 cases and deaths

TO DO

Long COVID

TO DO

Mental health and wellbeing

TO DO

Exercise

TO DO

Screening

TO DO

Other impacts – to refer to Warwickshire Health Impact Assessment

Clinically extremely vulnerable residents

TO DO

Add information on impact of shielding and demographics of those shielding

COVID Recovery Survey

TO DO

Economic impacts

The COVID-19 pandemic had major impacts on the ability of some businesses to operate and of people to work.

Employment

TO DO

Economic Outlook

To add further data from Economic Recovery dashboard

Impacts on education

To Do

Impacts on community and place

To Do

Environmental impacts

To Do

Our Priorities

The State of Warwickshire provides a high-level view of Warwickshire as a county and where possible the broughs and districts within Warwickshire. The information and evidence in the following pages will act as a point of reference to local communities, businesses, and local partners as well as different teams within the council to help shape the work we do and the approach which can be taken to improve the lives of people within Warwickshire.

The information on Warwickshire is presented in three main sections that align with Warwickshire County Council's outcomes that Warwickshire is:

- a county with a **vibrant economy and places** with the right jobs, skills, and infrastructure;
- A place where people can live their **best lives**, where communities and individuals are supported to live safely, healthily, happily, and independently; and
- a place with **sustainable futures,** which means adapting to and mitigating climate change and meeting net zero commitments.

Each of the following sections reflects an overview of the insights and data which we have about each of these areas. These form the baseline from which the state of Warwickshire can be judged and help to inform the solutions. At the end there is a section which looks further ahead to outline the challenges and opportunities which will shape Warwickshire's future.

The information within the following sections is taken from publicly available sources and in some cases local research. It provides a reference point about the different issues we face. The complexity of these issues can be understood in different ways, and have different solutions presented. The following data and information create a clear set of indicators which will help in the development of solutions but also support communities to identify the challenges and issues which they can address.

Data and evidence is updated regularly; for the most up to date information on the majority of the data presented in this report please refer to Warwickshire Insights - https://data.warwickshire.gov.uk/ or one of the suite of dashboards produced by the Business Intelligence Service (businessintelligence@warwickshire.gov.uk).

Vibrant Economy and Places

Introduction

Having a vibrant economy and places reflects the critical elements which underpin the strength and resilience of local areas where our families, communities and businesses live and grow.

This means how the local economy can grow, creating jobs which are paid well and reflect the skills and strengths of individuals. These things rely upon areas like education and the skills system, the work done around economic development and inward investment. Yet it also means other things like housing and the different modes of transport which in turn create the opportunities and strengths for businesses to grow.

Although there is much more to our local places than jobs and businesses, the strength of our local economy is the basis of giving people confidence to open new local businesses in their places; ensures a steady stream of visitors to our attractions, parks and museums; and gives our communities the confidence and resilience which comes from better paid, secure employment.

Warwickshire's economy, pre-COVID-19 pandemic, had many strong foundations and opportunities which formed the basis of the recovery strategy put in place in 2020 in response to the COVID-19 pandemic. Much of the discussion around the economy is how it is anticipated to change and develop in the medium-term both because of COVID-19 but also in response to policy, climate change and new technologies.

Looking to the next five years, to ensure Warwickshire has a vibrant economy and places, made up of the right jobs, skills, and infrastructure the key elements are:

- Investment, growth and jobs: Develop a sustainable economy by focusing on productivity; targeting inclusive economic growth; and attracting investment and jobs into the county.
- Future skills: Work with business and partners to inform the key skills requirements and provision now and for the future.
- Developing place: Develop attractive, accessible, safe, prosperous, inclusive, sustainable places where people want to live, work and visit.
- Connected county: Encourage the creation of infrastructure that will support strong, prosperous, and accessible places and economy with improved transport, active travel, energy and digital (fibre and mobile) connectivity.
- Educational attainment: Enabling an inclusive, high quality education for all children and young people within Warwickshire with a particular focus on vulnerable groups.

The data and evidence set out within this section provides an overview of state of Warwickshire around key areas such as economic growth, employment, skills, education, key sectors/ businesses, investment, digital connectivity and transport.

Key sectors and businesses in Warwickshire

In 2019, there were an estimated 301,400 employee jobs in Warwickshire, of which 204,500 (67.8%) were full-time and 97,000 (32.2%) part-time.[5] Just over 10% (34,900) of these jobs were in the public sector, with higher proportions of public sector jobs in Nuneaton & Bedworth Borough (20.7% of all jobs) and Warwick District (14.2% of all jobs).

The greatest number of employee jobs by industry in Warwickshire were in the broad category 'Wholesale and retail trade; repair of motor vehicles and motorcycles' with around 50,000 (16.6%) of jobs. Industrial groups where there were higher proportion of employee jobs than in Great Britain were manufacturing (12.0% vs 8.0%), and transportation and storage (8.3% vs 4.9%) (Figure X)

Figure X: Employee jobs by broad industrial groups (2019)

Employee Jobs by Industry	Warwickshire (Employee Jobs)	Warwickshire (%)	West Midlands (%)	Great Britain (%)
B: Mining and quarrying	225	0.1%	0.1%	0.2%
C: Manufacturing	36,000	12.0%	11.7%	8.0%
D: Electricity, gas, steam and air conditioning supply	4,000	1.3%	0.4%	0.4%
E: Water supply; sewerage, waste management and remediation activities	1,500	0.5%	0.8%	0.7%
F: Construction	13,000	4.3%	4.5%	4.9%
G: Wholesale and retail trade; repair of motor vehicles and motorcycles	50,000	16.6%	16.1%	15.0%
H: Transportation and storage	25,000	8.3%	6.0%	4.9%
I: Accommodation and food service activities	26,000	8.6%	7.4%	7.7%
J: Information and communication	10,000	3.3%	2.65	4.3%
K: Financial and insurance activities	6,000	2.0%	2.4%	3.5%
L: Real estate activities	4,000	1.3%	1.7%	1.7%
M: Professional, scientific and technical activities	27,000	9.0%	6.4%	8.8%
N: Administrative and support service activities	23,000	7.6%	9.5%	8.9%
O: Public administration and defence; compulsory social security	9,000	3.0%	3.7%	4.4%
P: Education	21,000	7.0%	8.9%	8.7%
Q: Human health and social work activities	30,000	10.0%	13.4%	13.1%
R: Arts, entertainment and recreation	8,000	2.7%	2.3%	2.5%
S: Other service activities	7,000	2.3%	2.0%	2.0%

Source: ONS (2020) Business Register and Employment Survey

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The broad industrial groups providing employment varies across in districts and boroughs within Warwickshire (Table X).

Table X- Main employee jobs by broad industrial groups (2019) by districts and boroughs

North Warwickshire	Nuneaton & Bedworth	Rugby	Stratford-on-Avon	Warwick
• Wholesale & Retail Trade; Repair of Motor Vehicles & Motorcycles (20.8%) • Transportation & Storage (16.7%) • Manufacturing (14.6%)	• Wholesale & Retail Trade; Repair of Motor Vehicles & Motorcycles (17.4%) • Human Health & Social Work Activities (17.4%) • Manufacturing (10.9%)	• Wholesale & Retail Trade; Repair of Motor Vehicles & Motorcycles (14.3%) • Transportation & Storage (12.2%) • Manufacturing (10.2%) • Professional, Scientific & Technical Activities (10.2%)	• Manufacturing (18.1%) • Wholesale & Retail Trade; Repair of Motor Vehicles & Motorcycles (13.9%) • Accommodation & Food Service Activities (11.1%)	• Wholesale & Retail Trade; Repair of Motor Vehicles & Motorcycles (16.3%) • Professional, Scientific & Technical Activities (11.6%) • Human Health & Social Work Activities (10.5%)

Source: ONS Business Register and Employment Survey (2020)

Between April 2020 and March 2021, the highest proportion of those in employment in Warwickshire were in professional occupations (28%). This group of occupations usually require a degree or equivalent qualification, with some occupations requiring postgraduate qualifications and/or a formal period of experience-related training.

Table X: Occupation of those in employment

Occupation (SOC2010)	% of all in employment (April 2020-March 2021)							
	Warwickshire	North Warwickshire	Nuneaton & Bedworth	Rugby	Stratford-on-Avon	Warwick	Great Britain	West Midlands
1: managers, directors and senior officials	13.6	10.4	11.6	16.8	16.0	12.6	11.1	10.7
2: professional occupations	28.8	16.9	25.1	24.5	34.3	35.4	23.1	21.7
3: associate prof & tech occupations	11.9	14.1	10.7	11.8	11.0	12.9	15.5	13.6
4: administrative and secretarial occupations	9.8	16.3	7.8	13.2	8.5	7.7	10.2	10.2
5: skilled trades occupations	5.8	3.4	7.2	6.9	4.5	5.9	8.9	9.0
6: caring, leisure and other service occupations	8.3	13.8	10.4	8.4	3.2	8.4	9.0	9.8
7: sales and customer service occupations	6.4	1.5	7.7	4.2	6.2	8.9	7.1	6.6
8: process, plant and machine operatives	5.7	9.7	8.0	4.8	6.6	2.0	5.7	7.1
9: elementary occupations	9.6	13.2	11.6	9.5	9.9	6.3	9.1	11.1

Source: ONS (2021) Annual Population Survey

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The Economic Impact of Tourism – Warwickshire 2019 report,[6] stated that there were 16,384,000 trips (day and staying) to Warwickshire in 2019. This was an increase of 979,000 (or 6.4%) since 2017. The report went on to estimate that visitors to Warwickshire spent an estimated £968 million in 2019, suggesting that the value of tourism to the county was approximately £1.32 billion, around 6.7% of the total GVA. Furthermore, Visit Britain data on international visitors suggests that there were 453,000 international visitors to the county in 2019, an increase of 8.7% on 2018.[vii] International visitors were estimated to have spent £262 million on their visit to Warwickshire in 2019. The COVID-19 pandemic is likely to have impacted on figures in 2020 and 2021.

Economy – productivity, growth and investment

Gross value added (GVA)

GVA is a measure of the increase in the value of the economy due to the production of goods and services. It is measured at current basic prices, excluding taxes (less subsidies) on products (for example, Value Added Tax). The GVA for all industries in Warwickshire in 2019 was £19,823 million.[7] The greatest contributors by broad industrial groups were manufacturing; wholesale and retail trade, repair of motor vehicles; and real estate activities. Figure X shows GVA between 2009-2019 for industries contributing over £1,000 million to GVA.[8]

Figure X- GVA per broad industry group (industries over £1,000 million)
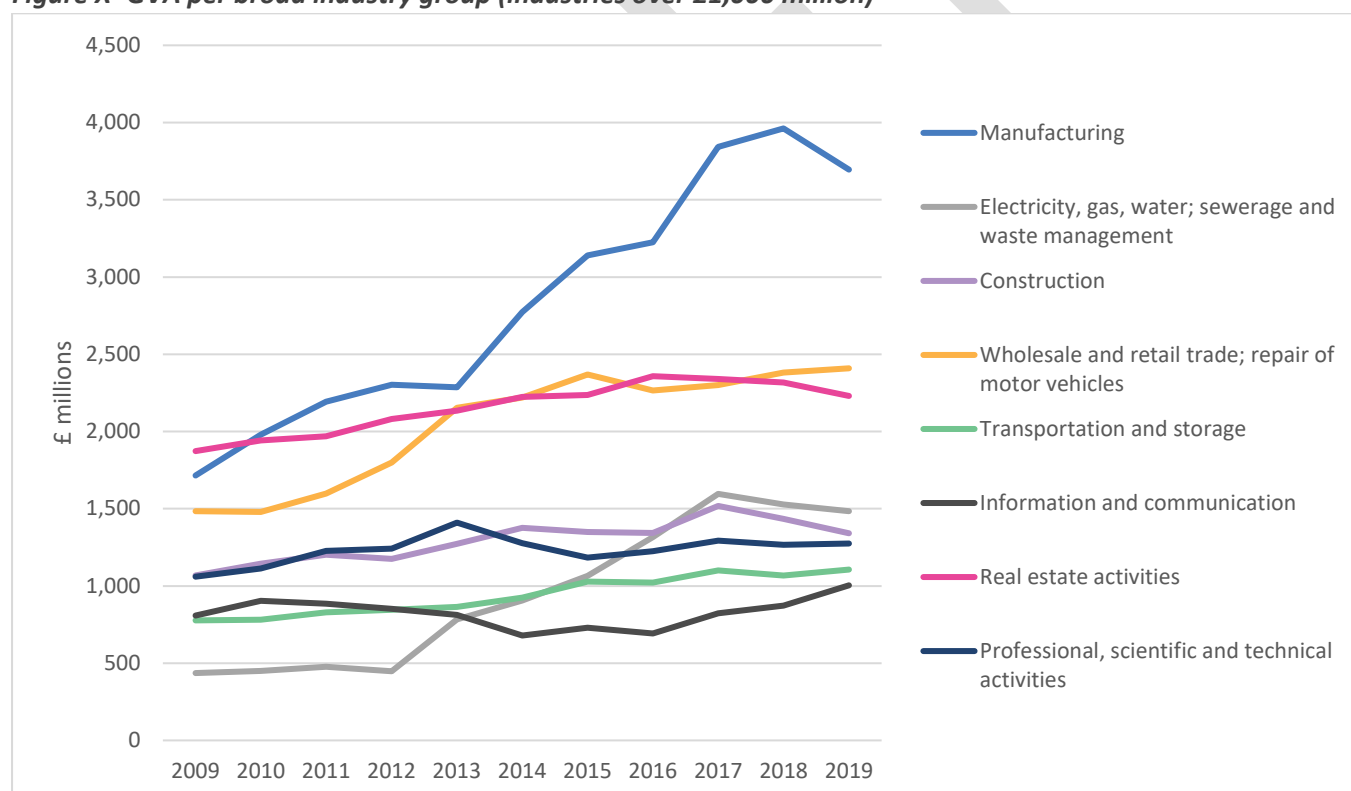
Source: ONS (2021), Regional gross value added by industry: all ITL regions

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GVA per head is a useful way of comparing areas of different sizes but is not a measure of an area's productivity. Annual estimates of gross value added (GVA) per head of population (at current basic prices) was £34,302 for Warwickshire in 2019.[9] As Figure X below shows, Warwickshire's GVA per head of population is higher than both the regional and national equivalent, £4,063 higher than the England figure and £9,959 higher than the West Midlands GVA in 2019 and, has pulled away from the England average over the last ten years.[10] D&B breakdown of GVA per head to be added

Figure X. Gross Value Added (balanced) per head of population at current basic prices, 1998-2019
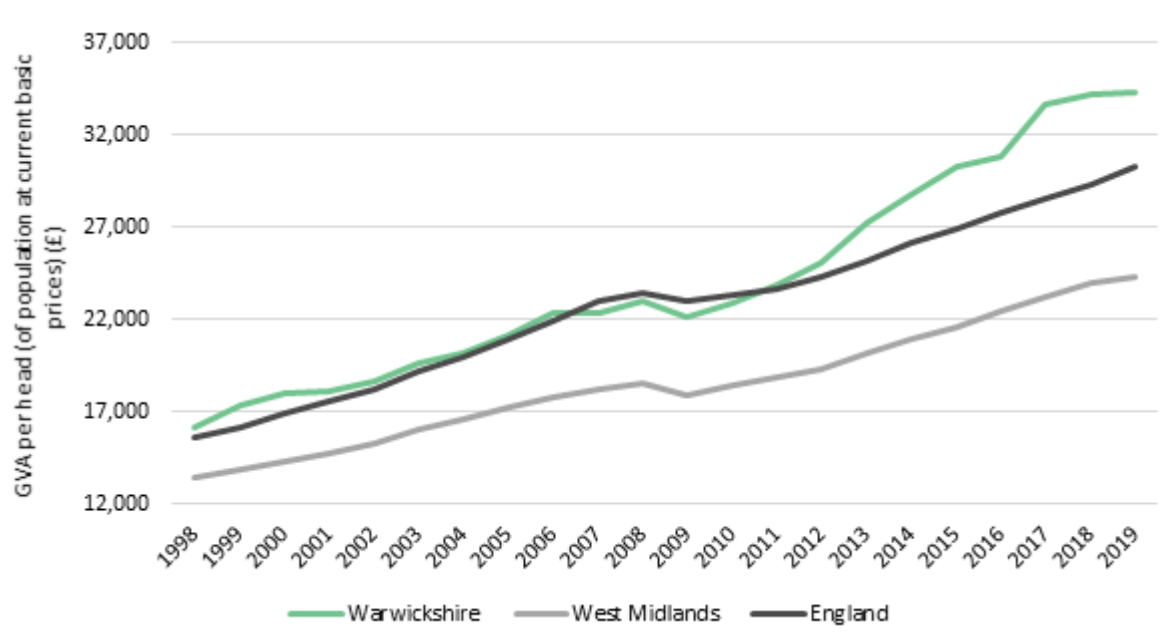
Source: ONS (2021), Regional gross value added (balanced) per head and income components

In terms of GVA per hour worked, ONS data at Local Authority level shows that Warwick District (£43.03) and Stratford-on-Avon (£40.20) had a higher GVA per hour than the other districts and boroughs in 2019.[11] However, Nuneaton & Bedworth Borough (£26.71) has a GVA per hour that is considerably lower than the West Midlands (£31.27) and England average (£35.69) in 2019 (Figure X).

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Figure X. Nominal (smoothed) GVA per hour worked (£) by Local Authority District, 2004-2019
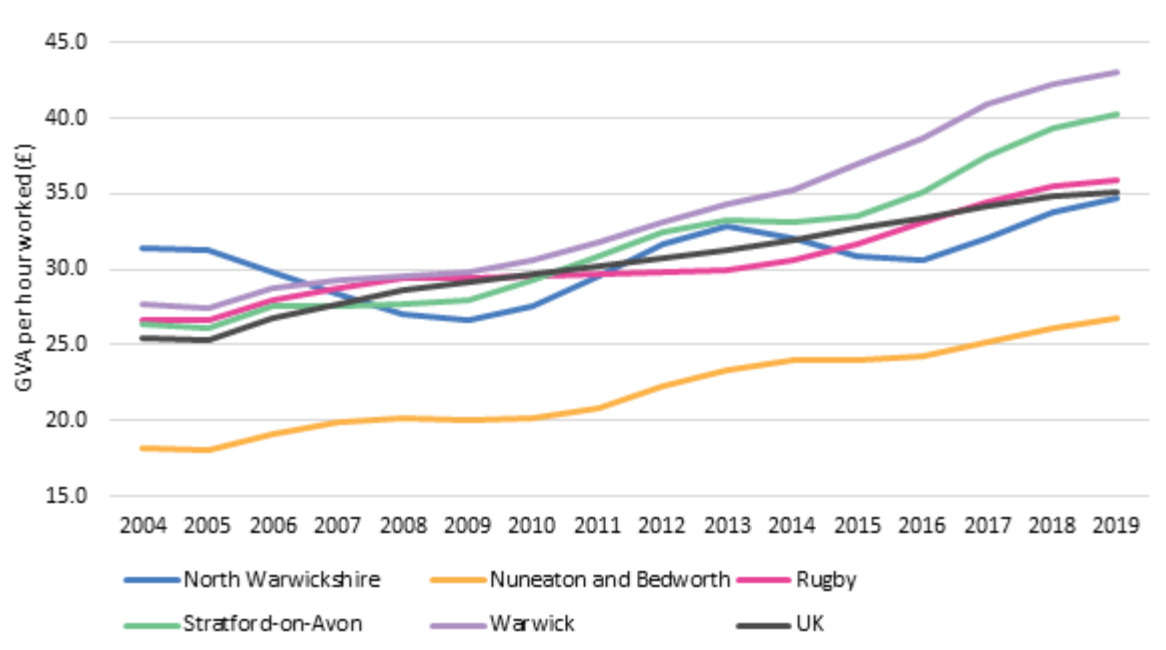
Source: ONS (2021), Subregional productivity

GVA per filled job can be used as a proxy for productivity; for Warwickshire in 2019 the nominal (smoothed) GVA per job filled was £59,296.[12] This was higher than the equivalent figures for both West Midlands (£50,083) and England (£57,583) suggesting higher productivity in Warwickshire. Figure X shows the nominal (smoothed) balanced GVA per job filled indices for each of the districts and boroughs within Warwickshire over a 17-year period.[13] This shows a downward trend for North Warwickshire from well above the UK average to in-line with the UK average, above UK GVA for Stratford-on-Avon District and Warwick District, and a much lower GVA per job filled in Nuneaton and Bedworth Borough.

Figure X: Nominal (smoothed) balanced GVA per filled job indices; by Local Authority District, 2002 – 2019
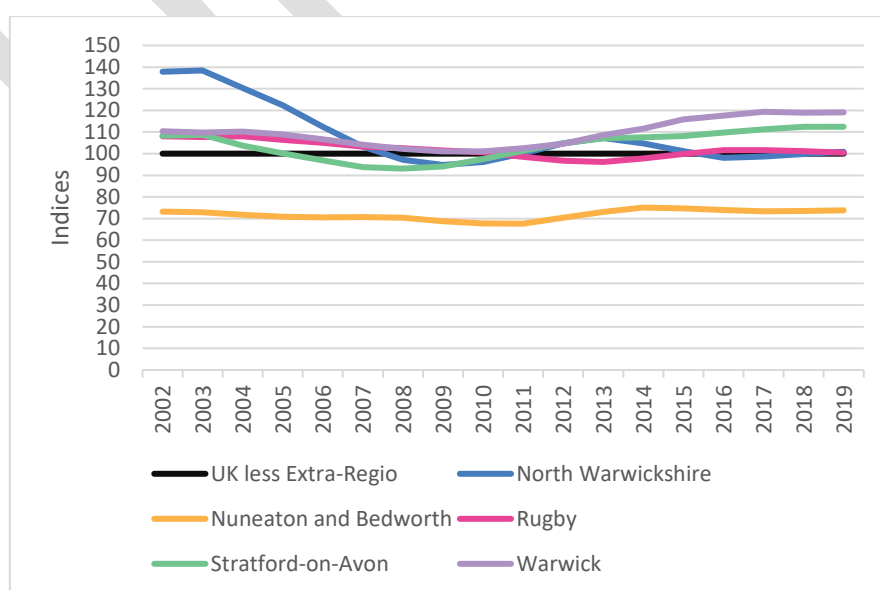
Source: ONS (2021), Subregional Productivity July release

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Business demography

In Warwickshire, there were 3,390 new business enterprises in 2019 that did not exist in the previous two years (business births).[14] This was a rate of 71.8 births of new enterprises per 10,000 population aged 16 and above. In contrast, there were 3,145 business that no longer existed in 2019 that had existed in 2017 and 2018 (business deaths); a rate of 66.6 per 10,000 population aged 16 and above. Figure X shows business enterprise births in the Warwickshire districts and boroughs for the period 2014-2019. Over the last six years, there were more births of businesses in Warwick District than any other district or borough. Indeed, Warwick District saw an increase of 9.9% in births between 2018 and 2019. In contrast, there were 14.7% fewer business births in 2019 than 2018 in Nuneaton & Bedworth Borough.

Figure X. Business enterprise births, 2014-2019
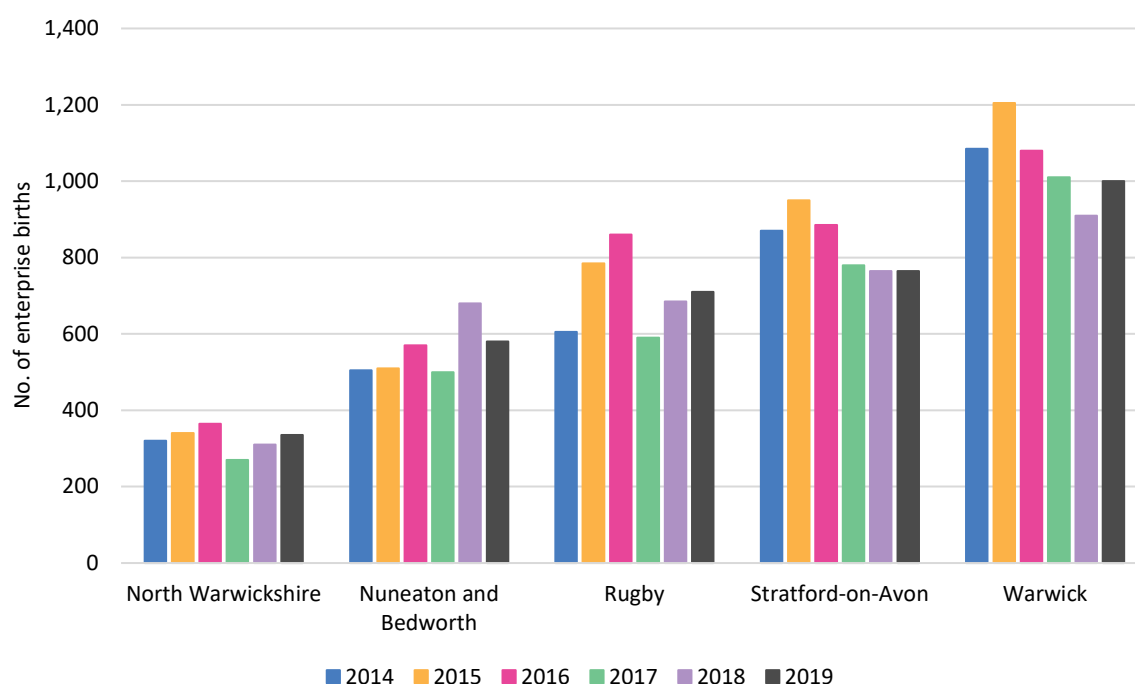
Source: ONS (2019), Business Demography

When comparing business births with business deaths, in 2019 births outweighed deaths in all Local Authorities apart from Stratford-on-Avon District (where there were 10 more business deaths than there were business births). In Rugby Borough in 2019, there were 125 more business births than there were business deaths.

Warwickshire's business start-up rate (total number of enterprises divided by the total number of newly born enterprises) in 2019 was 11.3%. This was slightly lower than the equivalent regional (West Midlands: 15.0%) and national (England: 13.2%) rate. Business start-up was lowest in Stratford-on-Avon – a rate of 9.0% - and highest in Nuneaton & Bedworth (13.4%).

Of those 3,385 newly born enterprises in Warwickshire in 2014, 1,515 (or a survival rate of 44.8%) were still active businesses five years later (in 2019). Of the 3,760 newly born enterprises in Warwickshire in 2016, 2,180 (or 58.0%) were surviving 3 years later. The most recent data shows that there were 3,350 newly born enterprises in Warwickshire in 2018 and 91.5% were still active businesses 1 year later. The 5-year, 3-year and 1-year survival rates for each Warwickshire local authority is presented in Figure X below.

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As Figure X shows, 93.5% of all newly born enterprises in North Warwickshire survive one year (the highest rate of Warwickshire's districts and boroughs). However, just 40.6% survive five years (the lowest rate of Warwickshire's districts and boroughs). Indeed, businesses in Rugby Borough are most likely to survive five years (47.1%). The enterprise survival rates across all time periods are in line with both regional and national figures.

Figure X. Newly born enterprise survival rates, 1-year to 5-years, 2014-2019
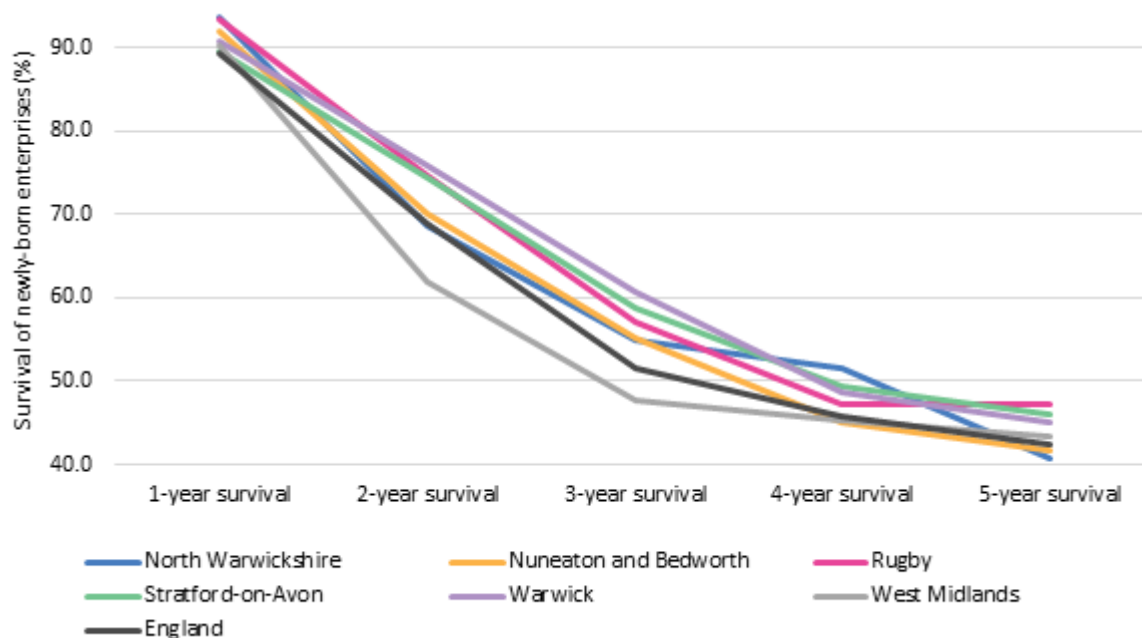
Source: ONS (2019), Business Demography

Warwickshire's Workforce

Employment

For Quarter 1 (first quarter 2021), Warwickshire's overall employment rate (those aged 16-64) was 78.7%.[15] For comparison, the mean for all English county local authorities was 76.8% and the equivalent figure for the West Midlands region was 73.7%. Figure X below shows the overall employment rate (aged 16-64) for the last eight quarters for each of the Warwickshire district and boroughs, alongside both the West Midlands region and England average. Each district and borough has had a higher employment rate than both the regional and national average since 2019 quarter three. Indeed, Nuneaton & Bedworth Borough's employment rate increased by six percentage points between Q2 2019 and Q3 2020. The impact of COVID-19 on the employment rate in Rugby Borough and Stratford-on-Avon District can be seen in Q1 2021.

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Figure X. Overall employment rate (aged 16-64) from 2019 Q2 to 2021 Q1
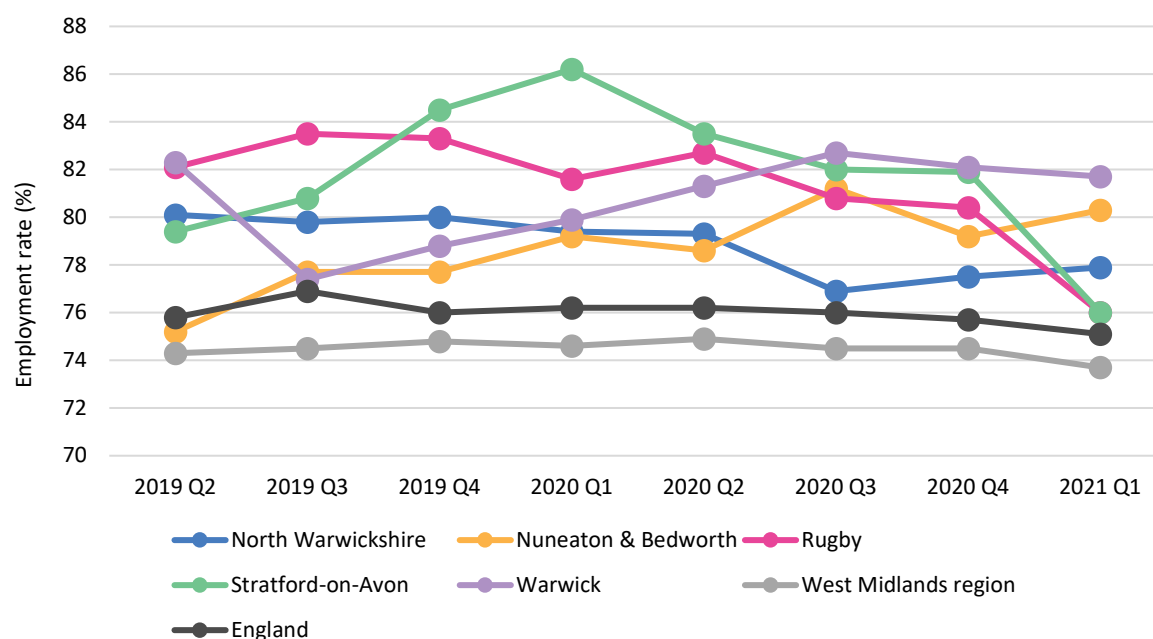
Source: LG Inform (2021), Overall employment rate (aged 16-64)

According to estimates from the Labour Force Survey for the period January to March 2021, 76.0% of people who were aged 16-64 and identified themselves as 'White' were employed during this time period. The equivalent employment rate for those identifying as other ethnic groups (includes all people stating their ethnicity as 'Mixed/ multiple ethnic groups', 'Indian', 'Pakistani', 'Bangladeshi', 'Chinese', 'Black/ African/ Caribbean/ Black British' or 'Other') was 67.5%.[16] The only ethnic group with a rate higher than those identifying as 'White' was those who identified as 'Indian' – this ethnic group had an employment rate of 77.4% in January-March 2021. Data at a West Midlands or Warwickshire-level is not available for comparison.

Pay and conditions

In 2021, the median gross annual pay for full-time employee jobs whose home was in Warwickshire was £32,750.[17] This was a 1.7% increase on the previous year (£32,193). The Annual Survey of Hours and earnings (ASHE) splits by resident and workplace and it's usually the case that people who live in Warwickshire have higher median annual earnings than those that work in Warwickshire. In 2020, the equivalent median annual pay for Warwickshire workplaces was £31,003.

Figure X below shows the median gross annual pay for full-time employees for each of the Warwickshire district and boroughs between 2011 and 2021. The general trend over the last ten years has been a steady increase across Warwickshire, as per regional and national trends. The largest increase over the last five years was in Warwick District – a 12.0% increase in the median annual gross pay for full-time employees between 2017 and 2021.

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Figure X. Median gross annual pay for full-time employees, 2011-2021
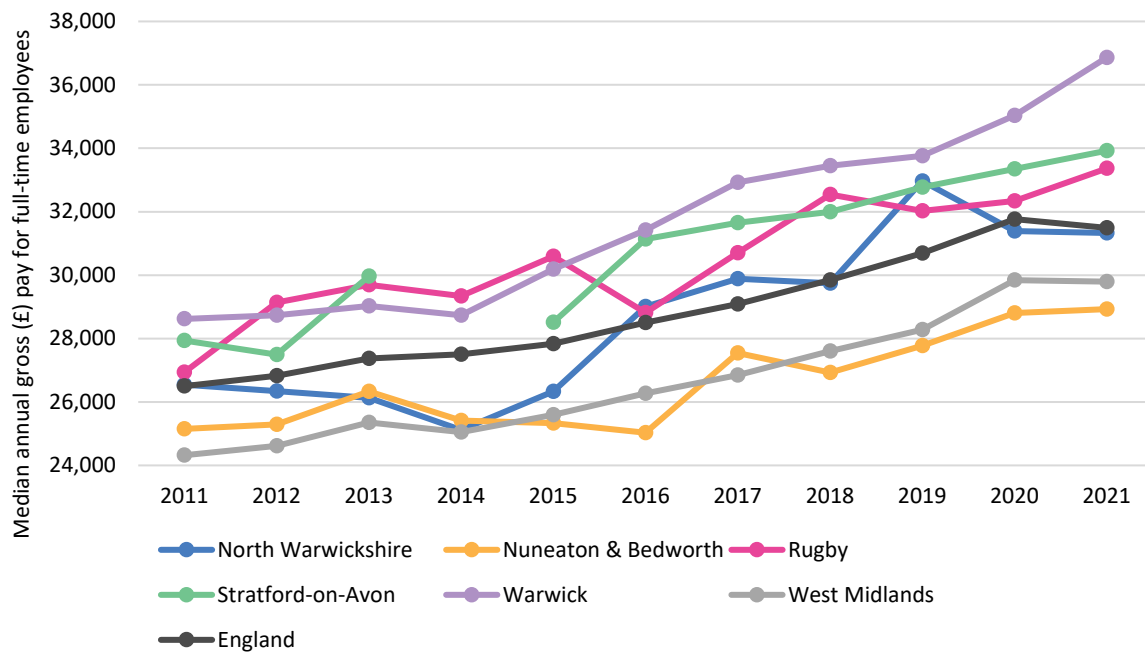
Source: ONS ASHE (2011-2021 (provisional)), Earnings and hours worked

As Figure X shows, in all Warwickshire districts and boroughs the median annual gross pay for male full-time workers is higher than the female equivalent (data for Stratford-on-Avon males for the year 2020 is not available due to unreliable estimates). [18] The overall gap for Warwickshire is 24.6%, slightly higher than the England average (males earn, on average, 22.0% more than females). The largest gap in earnings is in North Warwickshire where, on average, males earn 61.3% more than females.

Figure X. Median annual gross pay for full-time workers: males and females, 2020
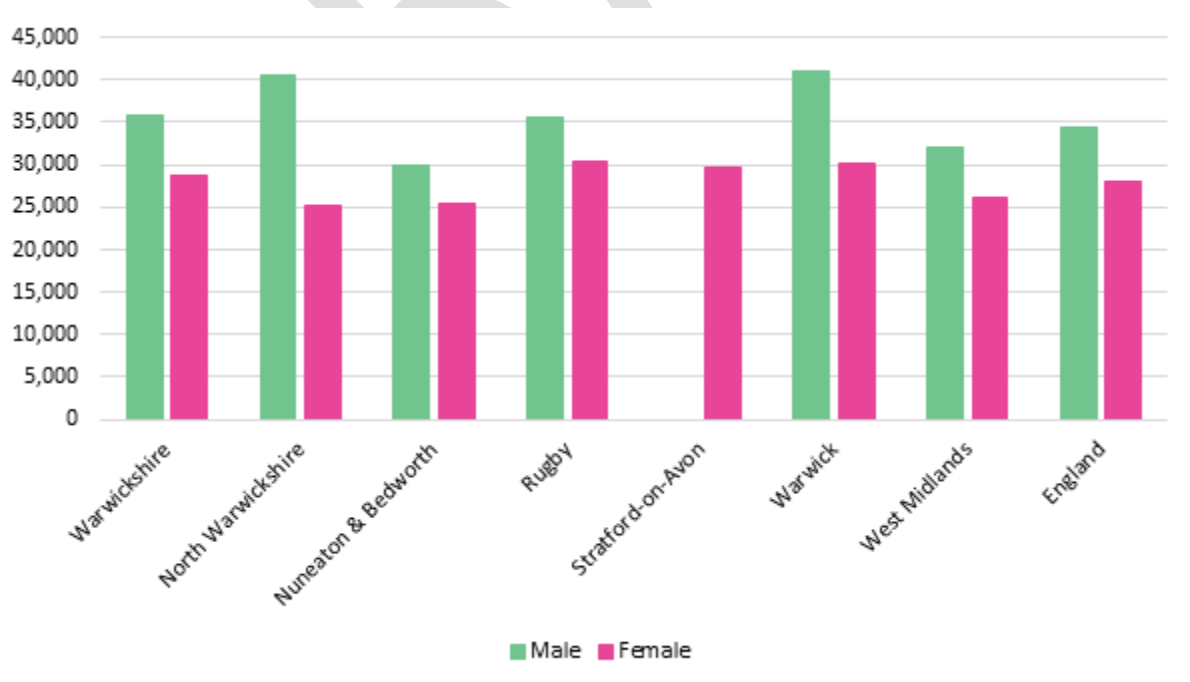
Source: NOMIS (2020), Annual survey of hours and earnings – resident analysis

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Annual estimates of the number of jobs paid below the minimum wage suggest that, in the West Midlands region, 3.0% of all jobs were below the National Minimum Wage (NMW) (excluding furloughed employees at reduced rates of pay).[19] If including all furloughed employees, the 2020 figure for the West Midlands is 7.9%. For comparison, in 2017 the estimate of jobs paid below the NMW was 1.8%, 1.9% in 2018 and 1.6% in 2019 – this suggests the COVID-19 pandemic has had a profound effect on both employment and earnings.

According to the ONS, 66.1% of residents who are employees in England felt they were in 'quality work' in 2018. In comparison, 33.9% stated they were not in quality work.[20] Employees who are not in quality work had at least one of the following characteristics:

- Receiving low pay
- Working more than 48 hours (including overtime) in a typical week
- Underemployed
- Did not have a permanent contract because they could not find permanent employment

In England in 2018, 68.4% of females and 64.2% of males were in quality work, whilst 31.6% of females and 33.9% of males were not in quality work. Data at a Warwickshire or Local Authority-level is not available.

Unemployment (To be updated before publication – figures published monthly)

The claimant count refers to the number of Universal Credit (UC) and Job Seekers Allowance (JSA) claimants who are required to seek work to qualify for benefits – combining UC and JSA identifies all people claiming benefit principally for the reason of being unemployed, therefore the claimant count can act as a proxy for local unemployment levels.[21] In terms of youth claimants (those aged 18-24), between July 2018 and March 2020 (pre-COVID pandemic) there were an average of 1,136 youth claimants in Warwickshire. However, in August 2020 the number of youth claimants rose to 3,390 – a 154% increase since March 2020. By August 2021, numbers of youth claimants had fallen to 2,375, but this was still double pre-pandemic numbers.

The overall claimant count (those aged 18-64) follows a similar pattern. Figure X shows the total number of claimants in each Warwickshire district and borough between July 2018 and August 2021. The chart highlights relatively stable numbers prior to the pandemic, with significant increases between March 2020 and August 2020 – the largest being a 200% increase in Stratford-on-Avon district during this time period – before the potential signs that the number of claimants across all Warwickshire districts and boroughs appear to be decreasing since April 2021.

In August 2021, 3.8% of the resident population in Warwickshire aged 16 and over were claiming UC or JSA compared to 6.3% in the West Midlands and 5.3% in Great Britain.[22]

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Figure X. Overall claimant count (aged 18-64) July 2018-August 2021, Warwickshire districts and boroughs
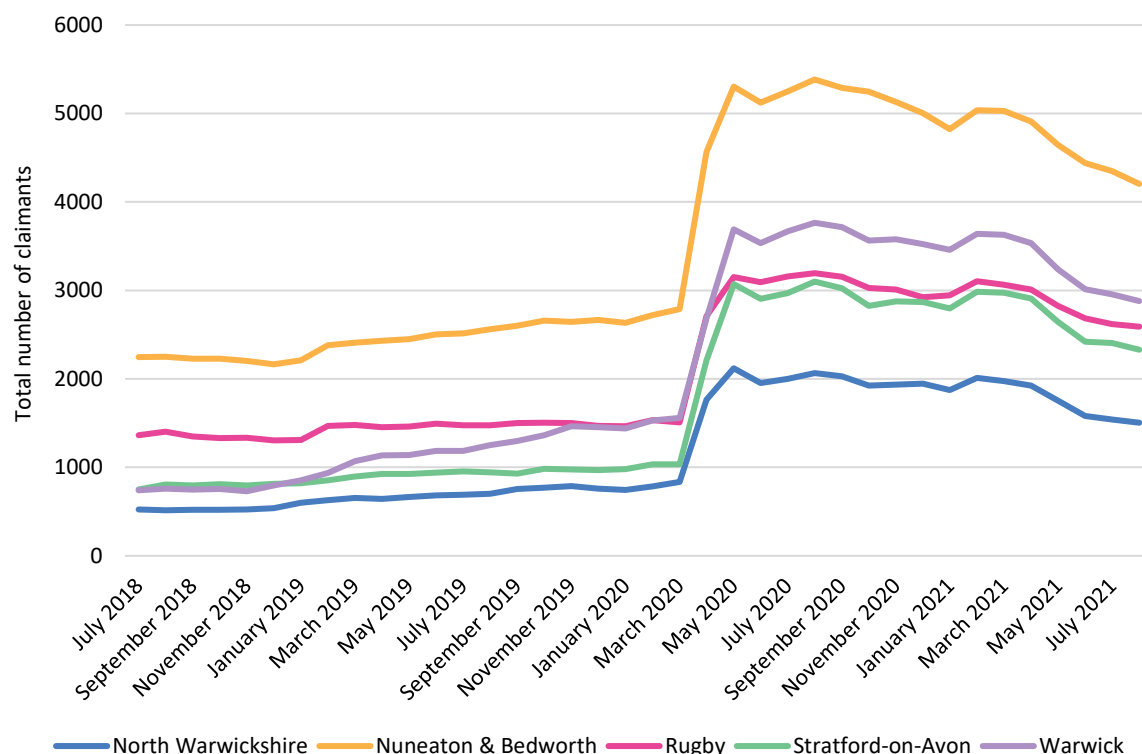
Source: ONS, Claimant count by age

Economic inactivity

In Warwickshire in the year April 2020 – March 2021, there were an estimated 60,700 (17.8%) persons aged 16-64 classed as economically inactive; slightly lower than proportion of the economically inactive in the West Midlands (21.9%) and England (21.3%) populations.[23] Around 25.1% of those who were economically inactive were classed as long-term sick, a further 25.8% were students, 15.9% were retired, and 15.6% were looking after family or the home.

Economic inactivity varies across the districts and boroughs in Warwickshire reflecting the demographics of the resident population (Figure X). Of those economically inactive in Warwickshire, 20.8% want a job. Again, this differs across the districts and boroughs with 13.1% wanting a job in Rugby Borough, 16% in Stratford-on-Avon District, and 27.7% in Warwick District.

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Figure X: Percentage of the population aged 16-64 who are economically inactive and want a job
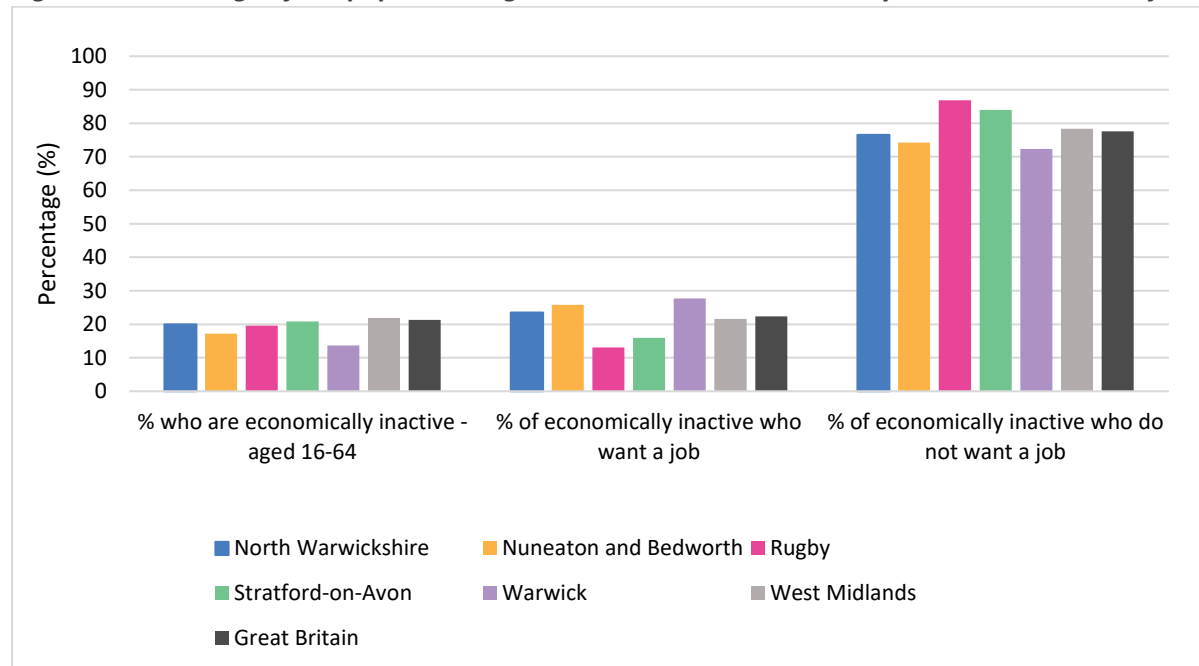
Source: ONS (2021), Annual Population Survey, April 2020-March 2021

Job Vacancies

The number of job vacancies in an area is an indicator of labour market demand. Figure X shows the number of job vacancies in each of the districts and boroughs in Warwickshire between October 2019 and September 2021.

Figure X: Total number of job vacancies in Warwickshire (October 2019-September 2021)
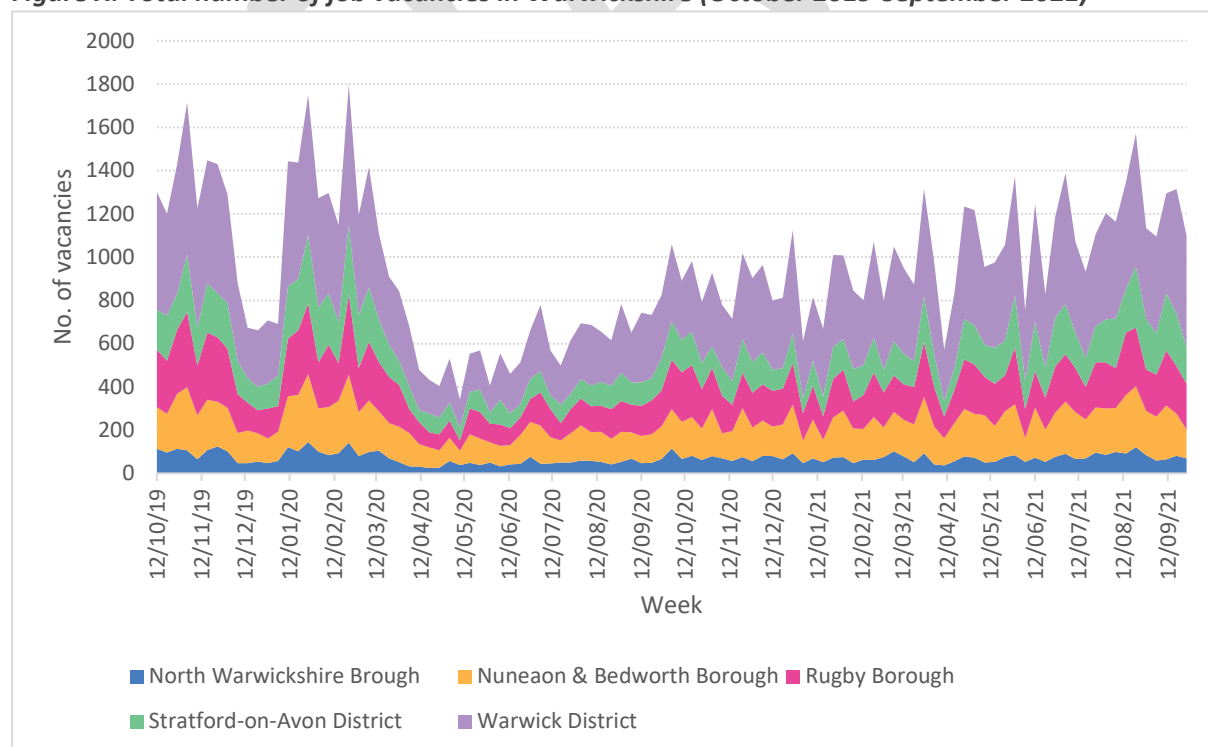
Source: Labour Market Insight (2021)

Further details on Warwickshire's workforce can be accessed via the Coventry and Warwickshire LEP dashboard

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Education and Skills

School Attainment

Assessments and examinations were cancelled due to the COVID-19 pandemic in 2020 and 2021, so comparable data is only available up until 2019. Whilst some limited Key Stage 4 (KS4) data was published in 2020 and will be published later in 2021, the Department for Education (DfE) has stated that this data cannot be compared with previous years.

In terms of attainment, the proportion of children achieving a good level of development at the Early Years Foundation Stage (reception year) in Warwickshire in 2019 was 71.8%.[24] Indeed, over the last four years, the Warwickshire figure has been over 70% (71.0% in 2016, 72.6% in 2017, 72.4% in 2018) – generally slightly above the national equivalent figures. Figure X shows the proportion of all children achieving a good level of development at Early Years stage over the last four years in each of the district and boroughs. Nuneaton and Bedworth Borough has consistently achieved below the national average over the last four years. In 2019, Rugby Borough also saw a substantial decrease in achievement of the good level of development measure, however, remained just above the national average figure.

Figure X. Early years – proportion of all children achieving a good level of development, 2016-2019
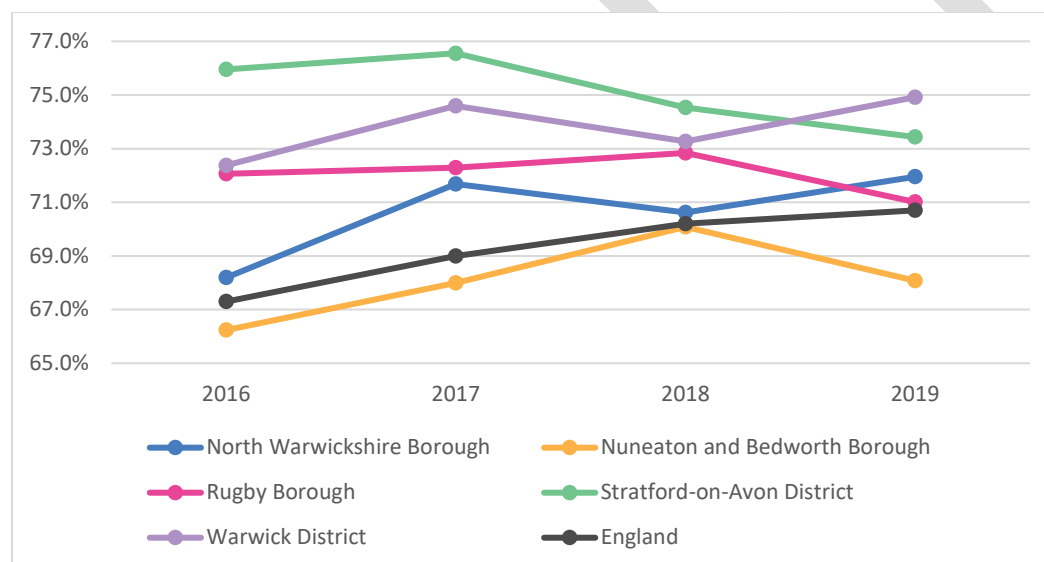
Source: Borough/District data from school EYFSP returns, England as published by DfE (2019)

For primary school attainment (Key Stage 2 / KS2), the proportion of pupils reaching the expected standard in reading, writing and mathematics combined in Warwickshire in 2019 was 65.7%. This was down on the previous year (67.2%), but an increase on the 2016 equivalent figure (57.3%) – generally in line or slightly above the national equivalent figures.

Figure X below shows the proportion of children achieving the expected standard in reading, writing and mathematics at KS2 over the last four years for each of the districts and boroughs. In 2019, North Warwickshire Borough and Nuneaton and Bedworth Borough had a figure lower than the national average. This has been the case over the last four years. The dip in attainment for Rugby Borough and Warwick District in 2018 was due to poor achievement in Mathematics for that year.

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Figure X. Key Stage 2 – proportion of children achieving the expected standard in Reading, Writing and Mathematics, 2016-2019
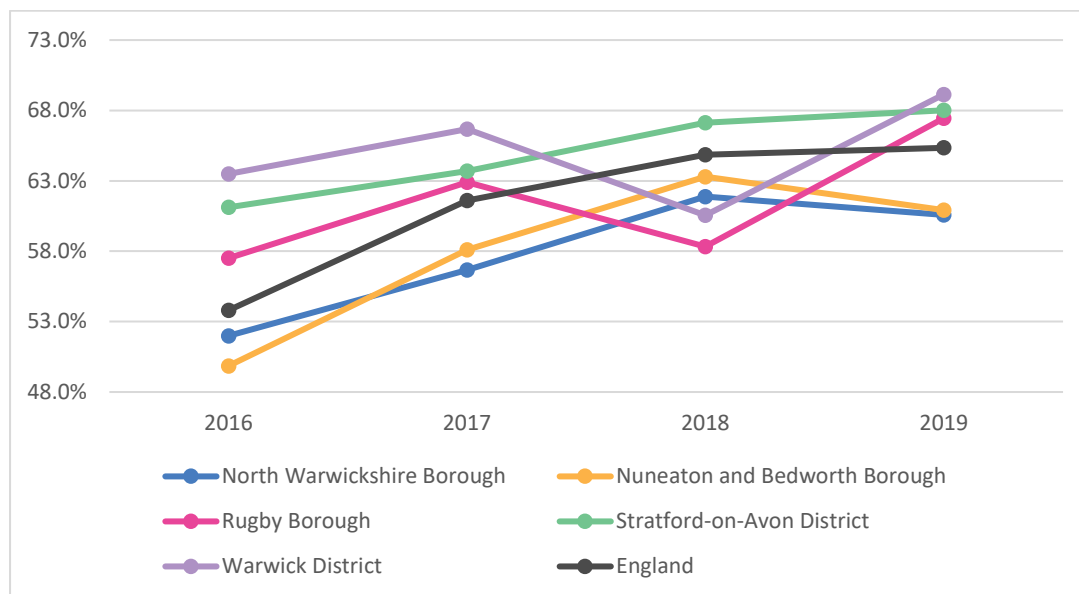
Source: DfE (2019). Based on district of pupil residence

For secondary school attainment (Key Stage 4 / KS4), the proportion of pupils achieving grades 5 or above in English and Mathematics GCSEs in Warwickshire in 2019 was 49.5%. This was an increase on both 2017 (48.1%) and 2018 (48.7%) and the Warwickshire figure has been approximately four to five percentage points higher than the England average over the last three years.

Figure X below shows the proportion of children achieving grades 9 to 5 (strong pass) in English and Mathematics over the last three years for each of the districts and boroughs. In 2019, Nuneaton and Bedworth Borough (37.7%) and North Warwickshire Borough (40.7%) had a figure lower than the national average (43.4%).

Figure X. Key Stage 4 – proportion of children achieving grades 9 to 5 (strong pass) in English and Mathematics, 2017-2019

Source: DfE (2019). Based on district of pupil residence

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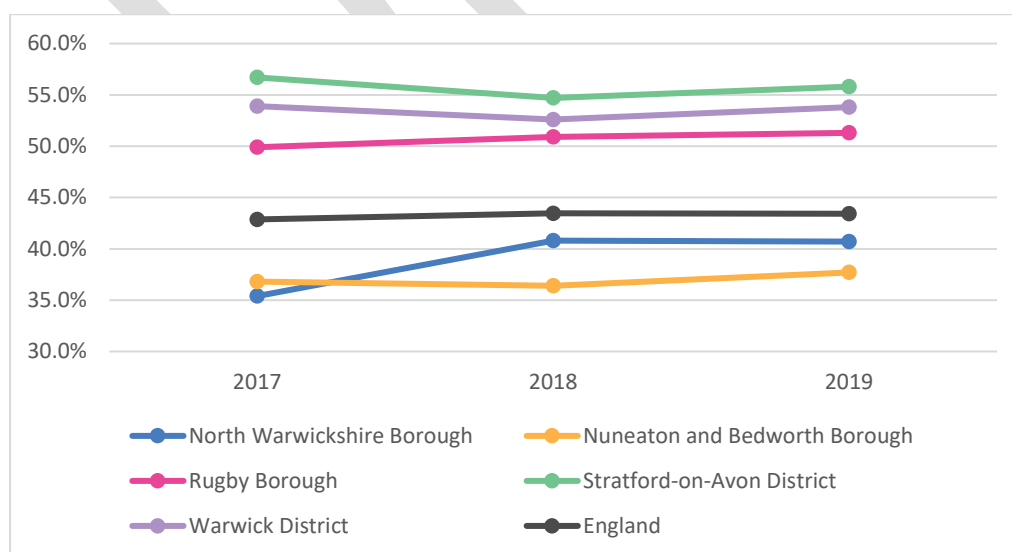
School ratings

In Warwickshire in 2019, 87.0% of pupils were attending an Ofsted rated good or outstanding school – this was three percentage points higher than the equivalent England figure (84.0%).[25] Figure X below shows the proportion of pupils attending an Ofsted judged good or outstanding school for each of the Warwickshire districts and boroughs. Nuneaton & Bedworth Borough and Rugby Borough had a lower proportion than the national average in 2019. North Warwickshire Borough has seen a steady increase – from 74.4% of pupils at a good or outstanding school in 2016 to 89.0% in 2019. Warwick District has also seen an increase since 2017 with 96.5% of pupils attending a good or outstanding school in 2019.

Figure X. Proportion of pupils attending an Ofsted judged 'good' or 'outstanding' school
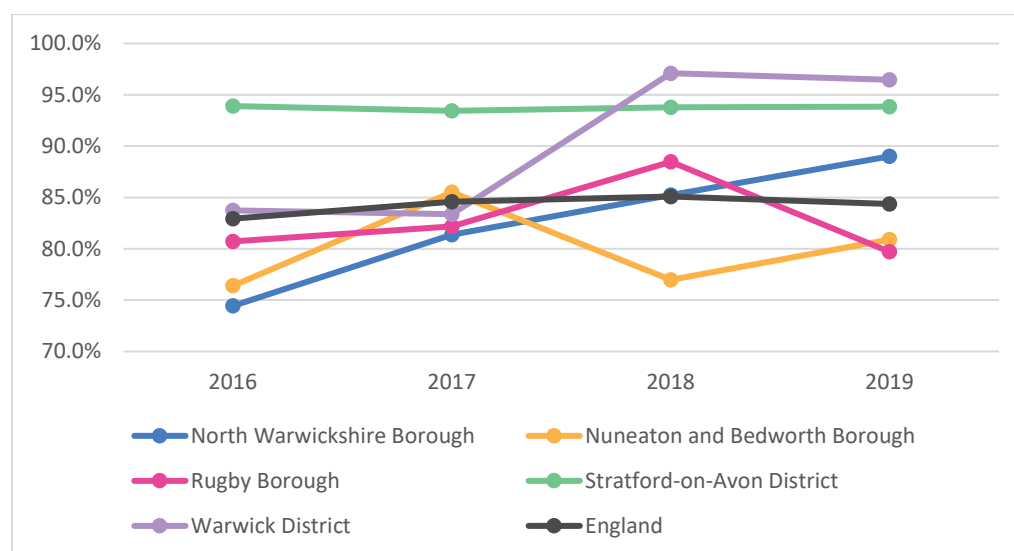
Source: DfE (2019). Based on district of school.

School absence and exclusions

In Warwickshire, in 2019, 10.1% of pupils missed 10%+ days of possible school sessions (this is also known as persistent absence).[26] The equivalent figure for England was 10.8%. Figure X below shows the proportion of persistent absence for each of the districts and boroughs for the period 2017 to 2019. Nuneaton and Bedworth Borough (12.0%) and North Warwickshire Borough (11.8%) both had persistent absence rates in 2018/19 that were higher than the national average.

In Warwickshire in the 2019/20 academic year, there were a total of 55 permanent exclusions from all schools (special, state-funded primary, and state-funded secondary,) a decrease from 67 exclusions in 2018/19.[27] In 2019/20, just over a third (36.4%, n=20) of the permanent exclusions were from schools in Nuneaton & Bedworth Borough. In 2019/20, there were also 2,897 suspensions in Warwickshire – almost a third of these (31.1%, n=900) were at schools in Nuneaton & Bedworth Borough (the suspension rate for this borough was 4.86%).

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Figure X. Proportion of pupils missing 10%+ of possible school sessions, 2017-2019
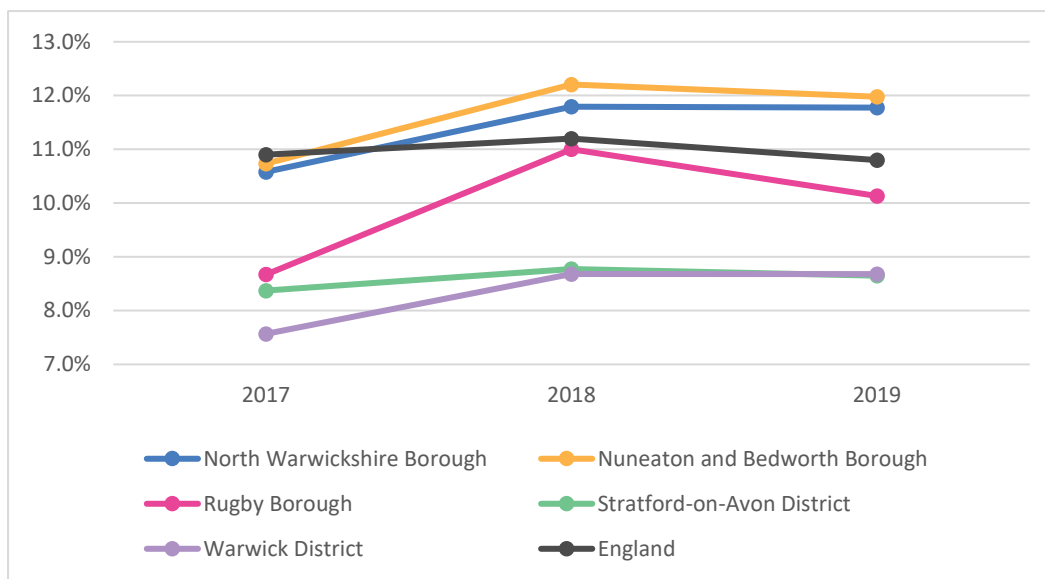
Source: DfE (2019). Based on district of pupil residence.

Not in education, employment or training (NEET)

The proportion of 16/17 year olds in Warwickshire recorded in education and training in March 2021 was 94.7%. At the end of 2020, 3.8% (n=430) 16/17 years olds were not in education, employment or training (NEET) or whose activity was not known in each local authority.[28] Figure X below shows the proportion of 16/17 year olds recorded in education and training over the last five years. The Warwickshire figures are higher than the equivalent regional and national figures each year, although Warwickshire experienced a slight decrease in 2021.

Figure X. Proportion of 16/17 year olds recorded in education and training, 2017-2021 (March)
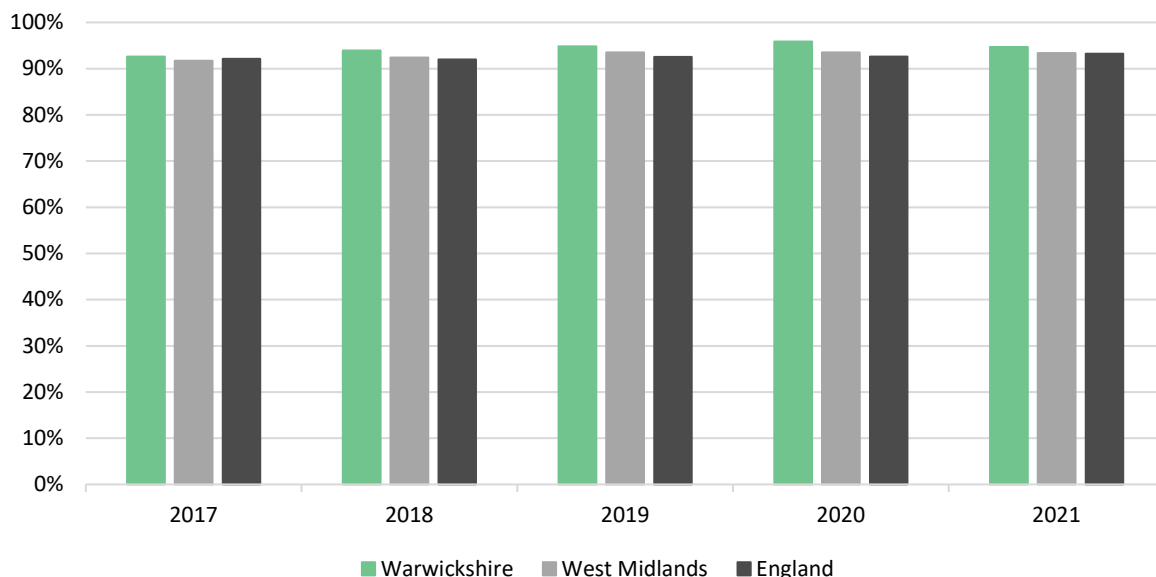
Source: Department for Education (2021), NEET and participation: local authority figures.

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Qualifications

The percentage of people studying at the age of 16 (academic age 15) who attain a Level 3 qualification[1] by the age of 19 in Warwickshire for the 2019/20 academic year was 58.4%.[29] This was slightly higher than the mean for all English county authorities (57.3%).

For the period January 2020-December 2020, 4.5% of the population aged 16-64 had no formal qualifications (Figure X). This figure was lower than both the equivalent West Midlands (8.2%) and England average (6.2%). North Warwickshire Borough had the highest proportion of people aged 16-64 with no qualifications (8.2%) and Warwick District had the lowest (1.4%). In contrast, 46.9% of Warwickshire's population were qualified to at least Level 4 or higher in 2020 – this was slightly higher than both the West Midlands (37.1%) and England equivalent figure (42.8%). Again, North Warwickshire Borough had the lowest proportion qualified to Level 4 or higher (25.5%) and Warwick District had the highest (63.9%).

Figure X. Qualifications - proportion of population aged 16-64, year ending December 2020
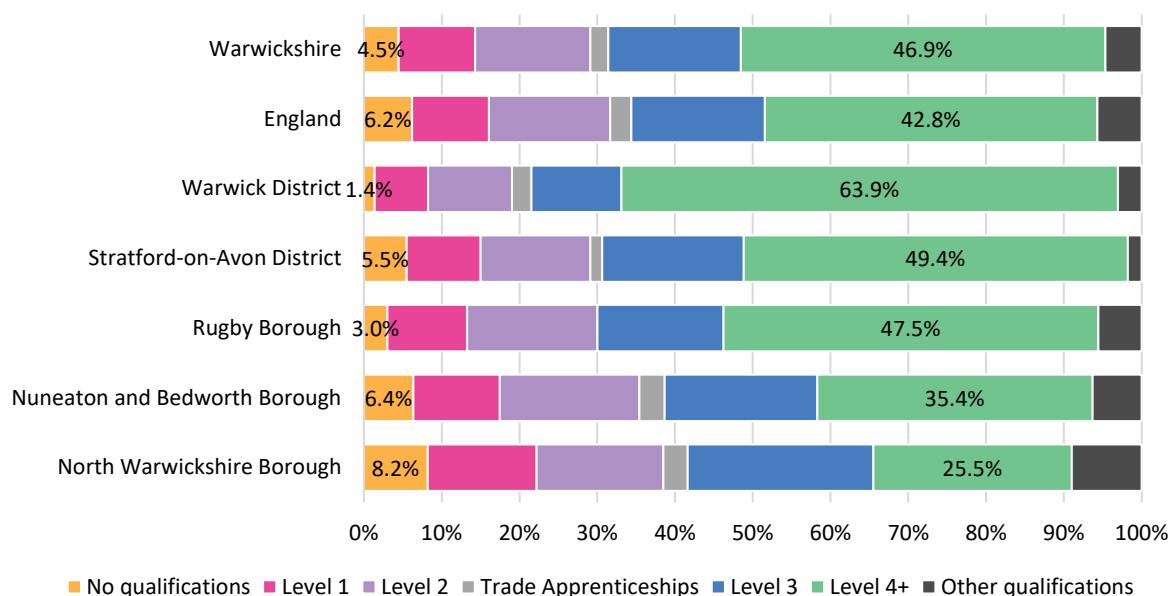
Source: ONS Annual Population Survey (2020), Qualification by age Jan 2020-Dec 2020

Apprenticeship starts

For the period 2019/20 (August to April) there were a total of 2,700 apprenticeship starts in Warwickshire. Almost half of these (44.4%, n=1,200) were advanced apprenticeships, 770 were intermediate apprenticeships and 720 were higher apprenticeships.[30]

Infrastructure

Digital

According to OFCOM, 96.6% of Warwickshire premises were able to receive Superfast Broadband (30Mbit/s or more) in September 2020;[31] 98% of urban premises and 81% of rural areas. Figure X

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[1] Level 3 equates to achievement of 2 or more A-levels or equivalent qualifications

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shows the proportion of premises in each of the districts and boroughs within Warwickshire with coverage by type of broadband.

Data for Warwickshire identifies North Warwickshire Borough and Stratford-on-Avon District as being below average in terms of ultrafast broadband coverage and with a greater percentage of premises being below the Universal Service Obligation[2] (Table X). In September 2020, 55.2% of Warwickshire premises were able to receive Gigabit (Fibre) broadband. The median download speed (Mbit/s) was 59.8.

Figure X: Coverage availability by type broadband, September 2020
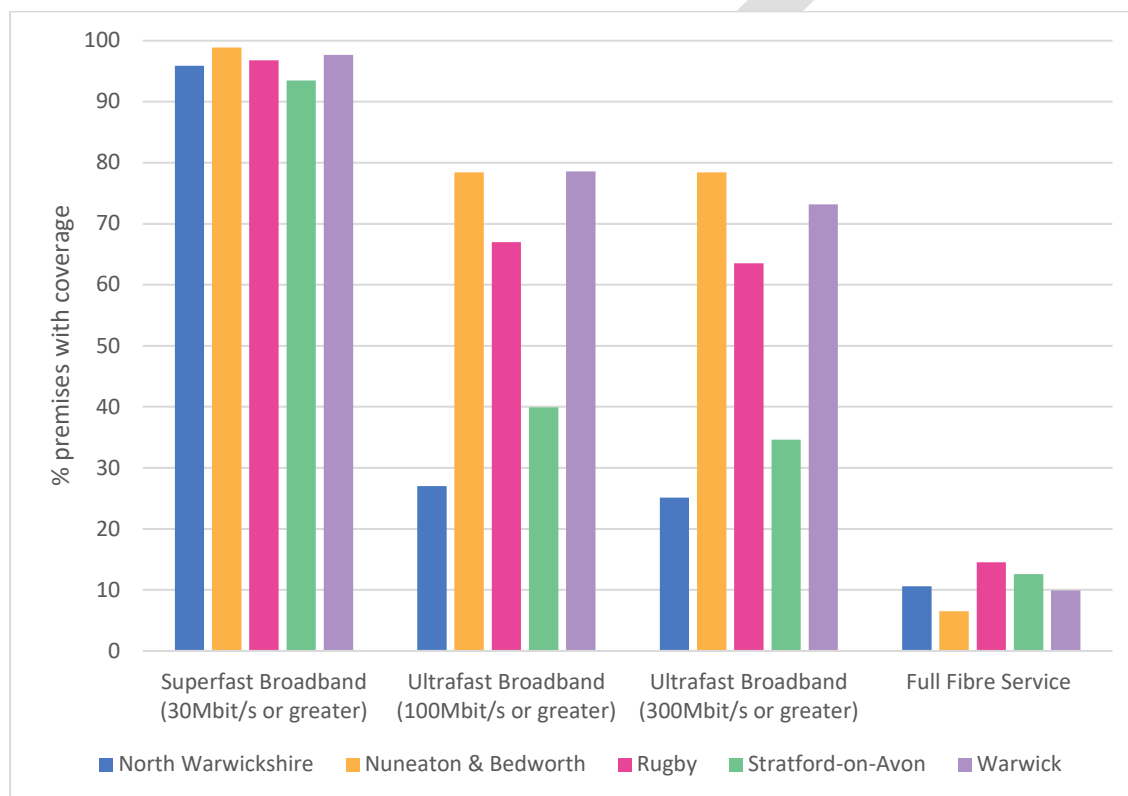
Source: OFCOM (2021), Connected Nations

Table X – Percentage of premises below the Universal Service Offer, September 2020

District/Borough	% of premises	
	Unable to receive 10Mbit/s	Below the Universal Service Offer
North Warwickshire	1.5	0.3
Nuneaton & Bedworth	0.2	0.1
Rugby	0.9	0.3
Stratford-on-Avon	1.9	0.7
Warwick	0.8	0.2

Source: OFCOM (2021), Connected Nations

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[2] The Universal Service Obligation (USO) for broadband is a UK-wide measure intended as a "safety net" to deliver broadband to those premises that do not have access to a decent and affordable connection. The Government have defined a decent connection as one that can deliver 10 megabits per second (Mbps) download speed and 1 Mbps upload speed. Ofcom has defined an affordable connection as one that costs less than £45 per month.

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Internet usage

Internet usage has increased over time. In the last year, the use of digital tools and services has moved from being an advantage to a necessity and has consequently led to an increase in users.[32] The estimated percentage of adults aged 16 and over within Warwickshire that have used the internet in the last 3 months has increased over time and in 2020 was above the UK and West Midlands average at 96%[33] (Table X).

Table X – Internet users in the last 3 months (2014-2020)

	% Used in the last 3 months						
	2014	**2015**	**2016**	**2017**	**2018**	**2019**	**2020**
Warwickshire	**83.1**	**90.7**	**90.8**	**89.6**	**89.4**	**88.0**	**96.0**
West Midlands	82.2	85.1	85.7	86.4	88.7	88.7	90.9
UK	85.0	86.2	87.9	88.9	89.8	90.8	92.1

Usage varies with the characteristics of the population. In the UK, in 2020:

- almost all adults aged 16 to 44 years were recent internet users (99%), compared with 54% of adults aged 75 years and over
- those with a disability were less likely to have used the internet in the last 3 months, 81.4% compared to 95.7% who were not disabled
- ethnic groups 'White', 'Pakistani' and 'Bangladeshi' were more likely to have never used the internet compared to the other ethnic groups
- those who were retired (28.9%), unpaid family workers (6.5%) and those deemed economically inactive (9.5%) were more likely to be internet non-users.

Barriers to being an internet user include lack of interest, privacy/security concerns, worries about identity being taken, the ways organisations use data, and it being too complicated.

Roads in Warwickshire

The total road length in Warwickshire in 2020 was 4,249km. Of this, 242km (5.7%) were trunk roads, 395km (9.3%) were principal roads and the remaining 85.0% (3,613km) were minor roads.[34]

According to the 2020 National Highways and Transport (NHT) Satisfaction Survey[3], Warwickshire was named the UK's joint top performing county council for highway maintenance for the second year in a row.[35] Warwickshire came out top for public satisfaction amongst county councils for highway maintenance, dealing with potholes, and undertaking cold weather gritting. The council also ranked amongst the best in other areas, including condition of pavements, speed of repair to damaged roads, keeping drains clear, and speed of repair to streetlights.

In Warwickshire for the period 2018/19, 2.7% of the total 'A' roads were undergoing strengthening (includes reconstruction and overlay) (0.2%), resurfacing (2.4%), and surface dressing (includes thin surfacing) (0.2%). Similarly, 2.8% of Warwickshire's total minor roads ('B', 'C', and 'U') required treatment.[36]

Use of transport

Google COVID-19 Community Mobility reports (monitoring movement over time in Warwickshire across different categories of places using aggregated and anonymised data from products such as Google Maps), shows that use of parks (192%) and residential spaces (48%) were higher in October 21

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[3] The National Highways and Transport (NHT) Satisfaction Survey is carried out annually by Ipsos Mori and is the largest survey of local opinion about transport and highways in the UK

than the baseline figure.[37] At the height of the COVID-19 pandemic (week commencing 30th March 2020), use of transit stations (-393%), workspaces (-68.5%), and retail and recreation spaces (-460%) were significantly down from baseline figures.
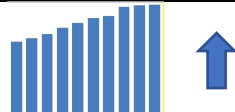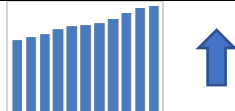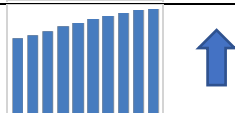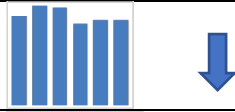
The Department of Transport produce a range of data estimates of the vehicle miles travelled. In 2020 in Warwickshire, a total of 7,747 million vehicle kilometres were travelled.[38] This was down from 10,096 million vehicle kilometres in 2019 – no doubt an effect of the Coronavirus pandemic and associated restrictions. The biggest decrease was car vehicle traffic – this dropped to levels lower than 1993 (Figure X).
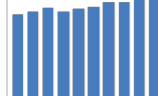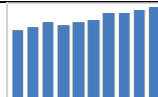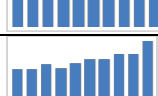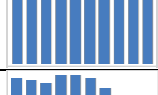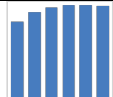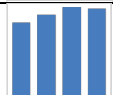
Figure X. Motor vehicle traffic (vehicle kilometres) travelled in Warwickshire, 1993-2020
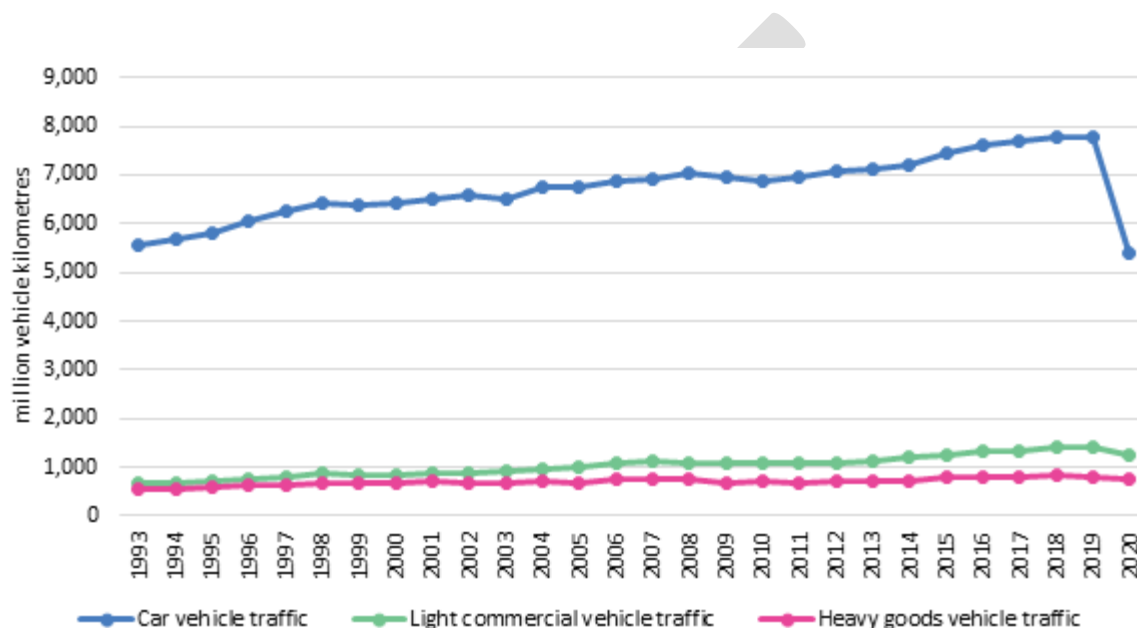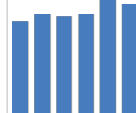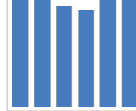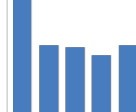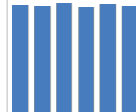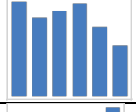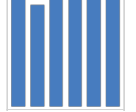
Source: Department for Transport (2020), Road traffic statistics (TRA - Traffic by local authority)

Summary of Key Measures

Measure	Latest data	Latest value			Rank compared to all 24 English county LAs 1 is high 24 is low	Trend
		Warwickshire	West Midlands	England		
GVA all industries	2019	£19,823m	£144,455m	£1,702,078m	10th (High good)	
GVA (balanced) per head of population	2019	£34,302	£24,343	£30,239	Not available	
Nominal (smoothed) GVA per hour worked	2019	£37.39	£31.27	£35.69	Not available	
Nominal (smoothed) GVA per filled job (£)	2019	£59,296	£50,083	£57,583	Not available	
Birth of new enterprises per 10,000 aged 16+	2019	71.8	75.5	76.9	5th (High good)	
Deaths of enterprises per 10,000 aged 16+	2019	66.58	56.24	65.96	4th (Low good)	
Business start-up rate (%)	2019	11.3%	15.0%	13.2%	9th	Not available

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Newly-born enterprise 5-year survival rates (%)	2019	44.8%	43.4%	42.5%	18th (High good)	Not available
Employment rate (%)	Q1 2021	78.7%	73.7%	76.8%	5th (High good)	
Median gross annual pay for full-time employees by residence	2020	£32,193	£29,481	£31,766	8th (High good)	
Median gross annual pay for full-time employee jobs - male	2020	£35,852	£31,972	£34,325	Not available (High good)	
Median gross annual pay for full-time employee jobs - female	2020	£28,774	£26,202	£28,090	Not available (High good)	
Overall claimant count rate (aged 18-64 year olds)	Aug 2021	3.8%	6.3%	5.3%	12th (Low good)	
Economically inactive (aged 16-64 years)	Apr 20-Mar 21	17.8%	21.9%	21.3%	4th (Low good)	
Proportion of children achieving a good level of development	2018/2019	71.8%	70.1%	72.0%	16th (High good)	
Proportion of pupils reaching the expected standard in reading, writing and mathematics (KS2)	2018/2019	65.7%	63%	65.0%	6th (High good)	
Proportion of children achieving grades 9 to 5 (strong pass) in English and Mathematics (KS4)	2018/2019	49.5%	46.7%	43.0%	3rd (High good)	

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Proportion of pupils missing 10%+ of possible school sessions (primary)	2018/19	7.7.%	8.6%	8.2%%	14th (Low good)		↑
Proportion of pupils missing 10%+ of possible school sessions (secondary)	2018/19	12.6%	13.7%	13.7%	5th (Low good)		↑
Proportion of 16/17 year olds NEET	2021	3.8%	5.7%	5.5%	5th (Low good)		↓
Percentage of people studying at the age of 16 who attain a Level 3 qualification by the age of 19	2019/20	58.4%	55.5%	57.3%	10th (High good)		→
% of people aged 16-64 with no qualifications	2020	4.5%	6.2%	8.2%	6th (Low good)		↓
% of people aged 16-64 qualified to at least Level 4 or higher	2020	46.9%	37.1%	42.8%	4th (High good)		↑
% of premises able to receive Superfast Broadband (30M/bits or more)	2020	96.6%		99.5%	Not available	Not available	

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Best Lives

Our aim is to ensure people in Warwickshire can live their best lives, and are supported to live safely, healthily, and independently. To do this we believe that the following will be key priorities:

- Child Friendly Warwickshire: a county where all young people get the best start in life
- Develop the conditions for a Community Powered Warwickshire: enable strong, connected, inclusive, and active communities
- Safe communities: help people and our communities to feel safe by tackling the causes and impact of crime, promoting fire safety, and preventing harm from fire
- Healthy, happy, and independent lives: promote health and well-being, and support independent living by understanding inequalities and preventing their causes

Whilst the level of inequality within Warwickshire is less than some inner-city areas, the nature of inequality is that it is present, to some extent, in every location. The recent ten-year update to the Marmot Review (2020) has highlighted how health, reductions in public spending, and the longer trends in inequality have deteriorated since 2011.

The effect of the Covid-19 Pandemic has been to make this situation worse, not only in terms of the direct impacts on people's health and well-being, but also from the effects of lockdowns and economic uncertainty on households. The overall effect is that across society, from the most deprived to those better off, the effects on health, mental health, and relative prosperity have been significant. This national picture builds on a much more significant growth in the numbers of children and young people in need of help and support.

Inequalities

Index of Multiple Deprivation

The Index of Multiple Deprivation (IMD) is the official measure of relative deprivation for small areas in England. The 2019 version replaces the IMD 2015. The IMD ranks every Lower Super Output Area (LSOA) in England from 1 (most deprived) to 32,844 (least deprived). These ranks are based on the combined scores across seven domains of deprivation. In addition, there are two supplementary indices covering income deprivation among children (IDAC) and older people (IDAOP).[39]

The county of Warwickshire ranks 121 out of 151 Local Authorities in England (1 most deprived, 151 least deprived; Warwickshire is therefore one of the 20% least deprived local authorities in England) using the 'rank of average score' measure in 2019 – slightly higher than in 2015 when Warwickshire's national ranking was 124 out of 151.

At local authority level and using the 'rank of average score', Stratford-on-Avon District ranked 266 least deprived out of 317 local authorities in 2019. In contrast, Nuneaton & Bedworth Borough ranked 96 out of 317. In 2019, Nuneaton & Bedworth Borough had five LSOAs ranked in the top 10% most deprived LSOAs nationally – this is one fewer than in 2015. North Warwickshire Borough had one LSOA in the 10% most deprived nationally in 2019. Stratford-on-Avon District had one LSOA in the top 30% most deprived nationally (it had none in 2015). Only Warwick District in 2019 had fewer LSOAs in the 30% most deprived nationally compared to 2015. Overall, in Warwickshire there are six more LSOAs in the 30% most deprived nationally in 2019 than in 2015. Figure X shows the IMD 2019 deciles for LSOAs in Warwickshire.
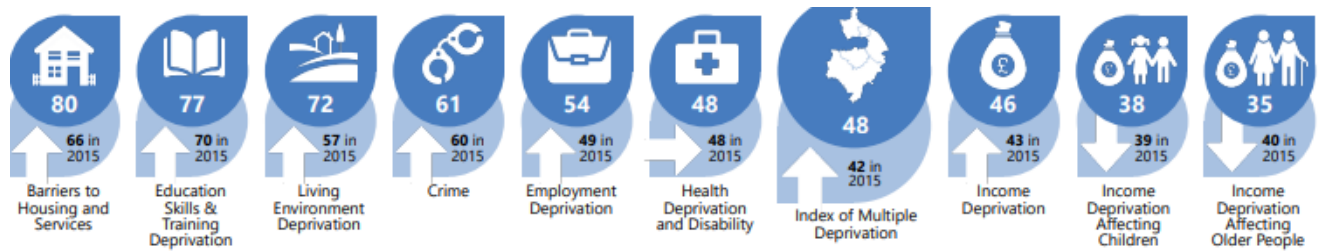
Figure X. Index of Multiple Deprivation (IMD 2019) – LSOA deciles

Index of Muliple Deprivation deciles
- 1 = Most deprived
- 2
- 3
- 4
- 5
- 6
- 7
- 8
- 9
- 10 = Least deprived
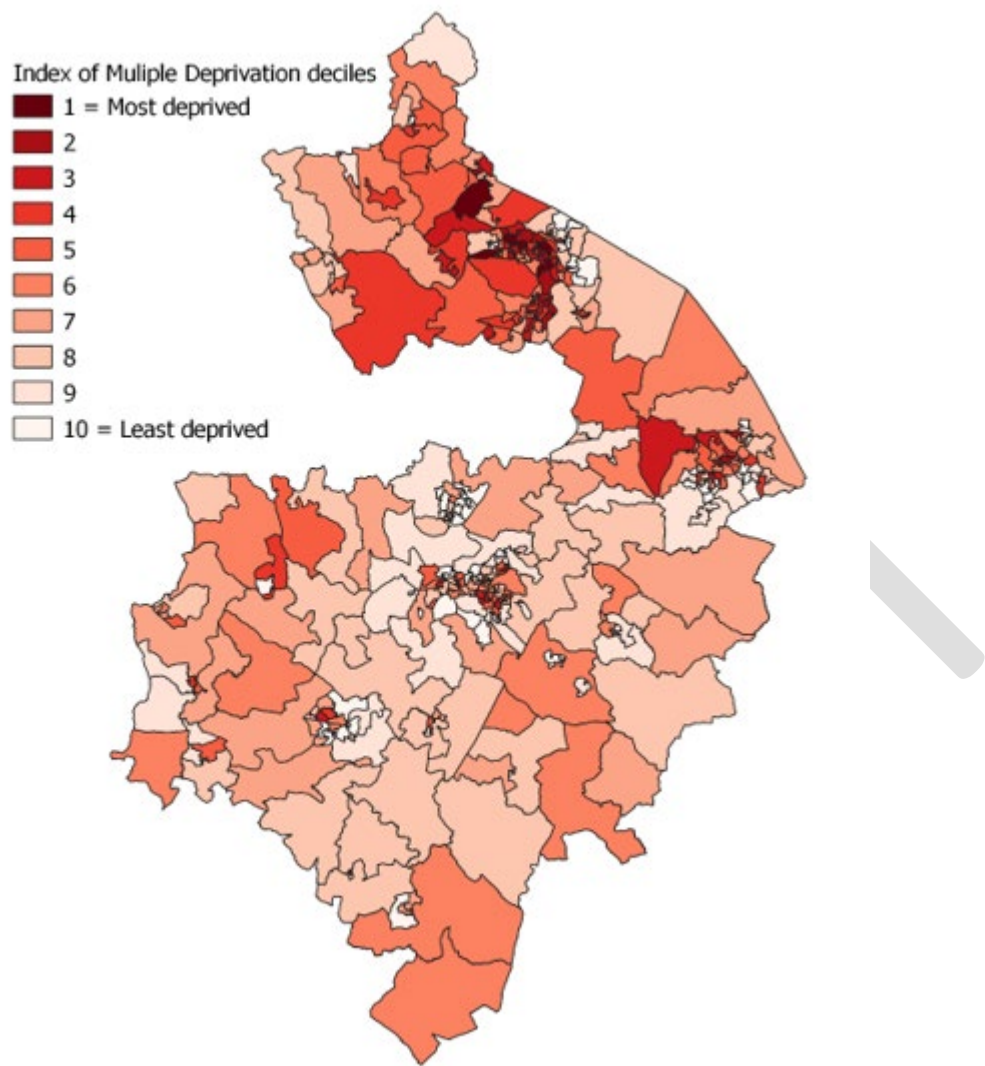
Source: ONS (2019)

Figure X shows the total number of LSOAs in Warwickshire which are in the 30% most deprived LSOAs in England in 2019 for each domain and the IMD. It also shows the change since 2015. The domains of 'Barriers to Housing and Services', 'Education Skills & Training', and 'Living environment deprivation' have the highest number of LSOAs in the 30% most deprived nationally.

Figure X

Barriers to Housing and Services	Education Skills & Training Deprivation	Living Environment Deprivation	Crime	Employment Deprivation	Health Deprivation and Disability	Index of Multiple Deprivation	Income Deprivation	Income Deprivation Affecting Children	Income Deprivation Affecting Older People
80	77	72	61	54	48	48	46	38	35
66 in 2015	70 in 2015	57 in 2015	60 in 2015	49 in 2015	48 in 2015	42 in 2015	43 in 2015	39 in 2015	40 in 2015

Financial Resilience

Due to the COVID-19 pandemic, many areas in the UK are facing significant challenges as a result of rising unemployment rates and uncertainty around economic recovery. To help predict the impact of these challenges on local communities and target support, Experian has created a Financial Resilience model.[40] This helps local authorities to identify those areas in which people are 'just about managing' and who would be most severely impacted if their financial position was to change for the worse, which could result in rising Universal Credit claims, rent arrears, and potentially even homelessness.

Financial resilience is a modelled score incorporating multiple Experian socioeconomic and wider UK economic variables to present a score of resilience against financial stress. Each postcode in the UK is given a score and all postcodes are split into ten decile bands (1 = less resilient; 10 = more resilient) and takes a multi-faceted approach, looking at the level of work, level of assets, level of education, and level of indebtedness/access to credit.

As of September 2021, there were 205 postcode areas in Warwickshire (equivalent to 5,615 households) that were in decile band 1 'less resilient'. Of these, 166 (81.0%) were postcodes located in Nuneaton & Bedworth Borough. In contrast, there were 2,950 postcodes (or 32,434 households) in Warwickshire in September 2021 that were in decile band 10 'more resilient'. The majority of these were in Stratford-on-Avon District (1,427 postcodes / 14,598 households) and Warwick District (1,026 postcodes / 13,977 households). There were just five postcode areas in Nuneaton & Bedworth Borough in decile 10 'more resilient'. Analysis also shows that Experian Mosaic 7 Groups K Municipal Tenants and I Family Basics are the least financially resilient groups in September 2021.

Disposable income

Gross disposable household income (GDHI) is the amount of money that all of the individuals in the household sector have available for spending or saving after they have paid direct and indirect taxes and received any direct benefits. GDHI is a concept that is seen to reflect the "material welfare" of the household sector. It should be noted that GDHI per head are estimates of values for each person, not each household. Figure X below shows the GDHI per head of population at current basic prices for each of the Warwickshire districts and boroughs between 1997 and 2019.[41]

Figure X shows that since 1997, Stratford-on-Avon District and Warwick District had the highest GDHI of the Warwickshire districts and boroughs and Nuneaton & Bedworth Borough had the lowest. In 2019, both Nuneaton & Bedworth Borough (£18,636) and North Warwickshire Borough (£20,109) had GDHI per head per population lower than the England figure (£21,978), but all Warwickshire local authorities had a higher number than the West Midlands figure in 2019 (£18,350).

Figure X. Gross Disposable Household Income (GDHI) per head of population at current basic prices, 1997-2018
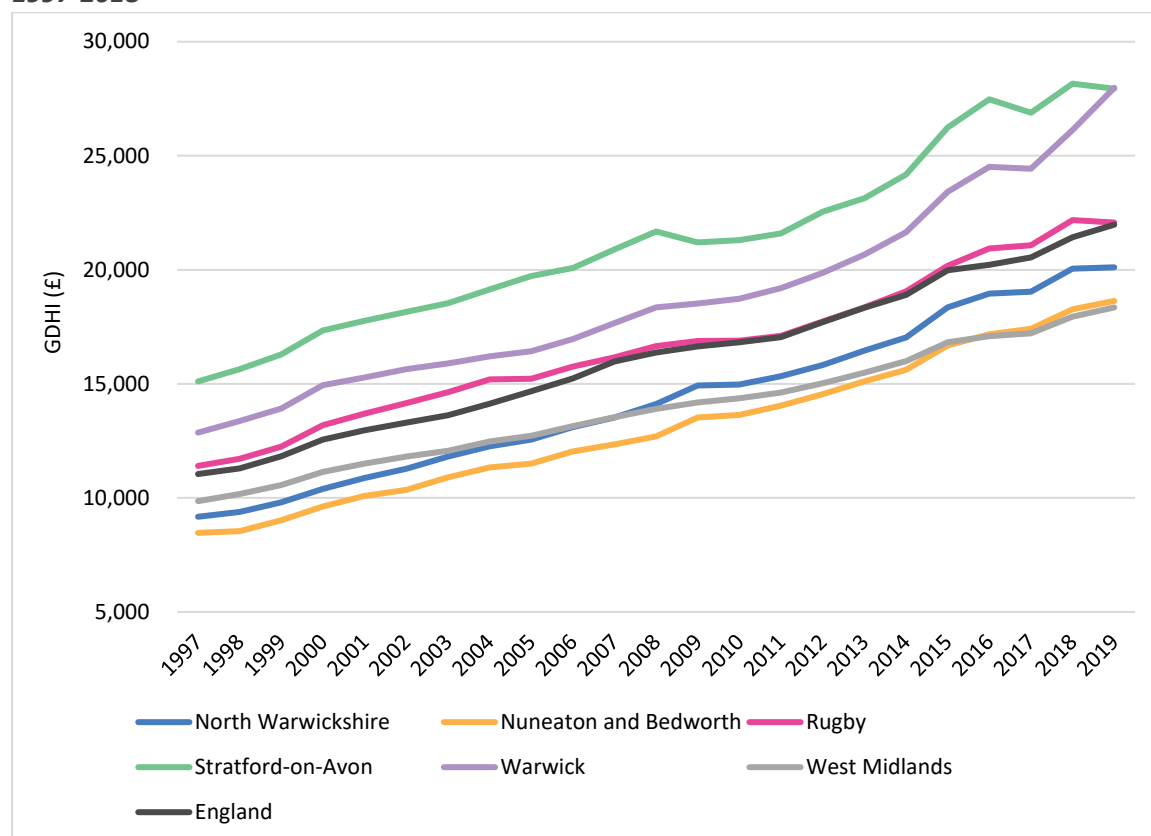
Source: ONS (2021), Regional gross disposable household income by ITL1 region – 2019 data is provisional

Figure X shows annual growth in GDHI per head of population in each Warwickshire district and borough alongside West Midland and England figures between 1998 and 2019.[42] Annual growth for 2019 in Warwickshire as a whole was 2.1% – slightly lower than the equivalent England (2.5%) and West Midlands (2.2%) figures. Within Warwickshire, annual growth in GDHI was highest in Warwick District at 7.1%. In contrast, Stratford-on-Avon District saw a decline in annual growth in GDHI of - 0.8%.

Figure X. Annual growth in GDHI per head of population, 1998-2019
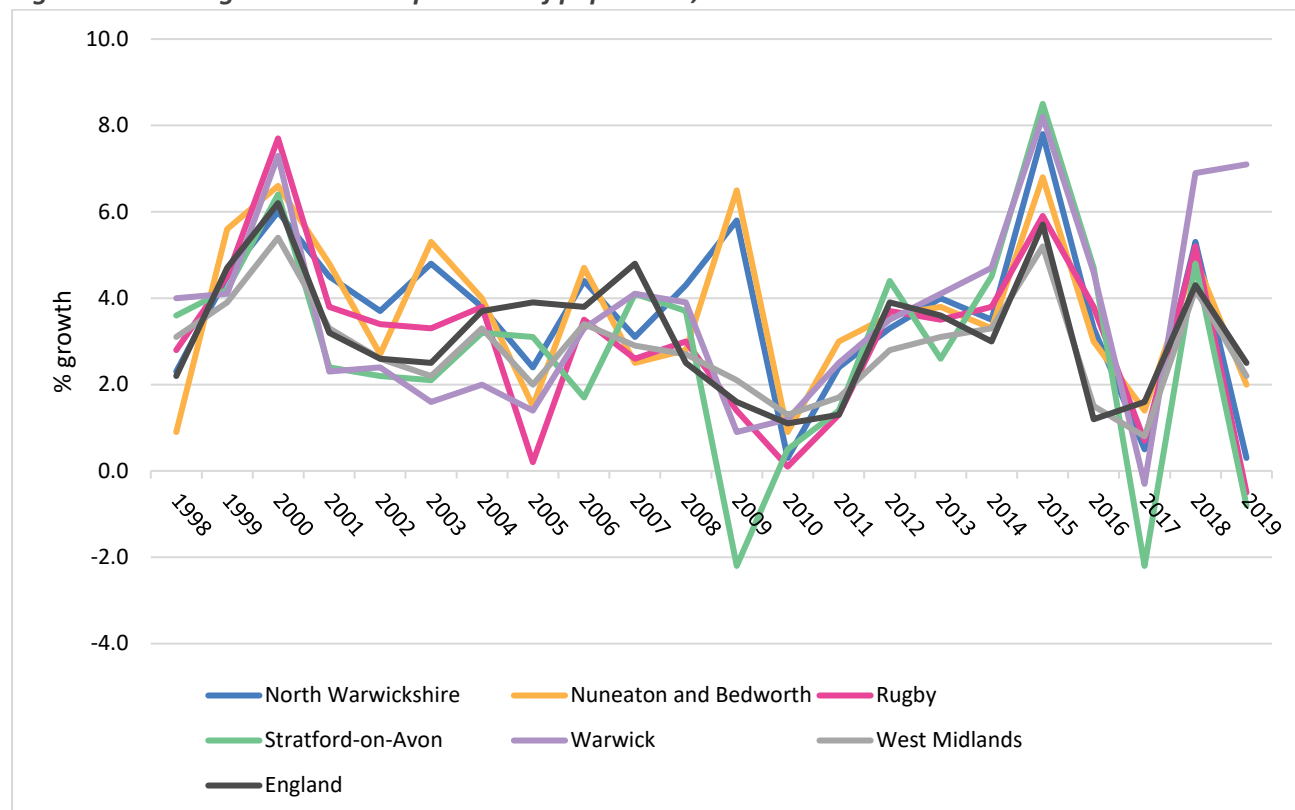
Source: ONS (2021), Regional gross disposable household income: local authorities by ITL1 region – 2019 data is provisional

Fuel poverty

The Department for Business and Energy produces data on the proportion of households classed as fuel poor.[43] In 2019, 14.5% of households in Warwickshire were classed as fuel poor. This was a higher figure than the national average (13.4% for England), but lower than the West Midlands average (17.5%). Of the districts and boroughs, North Warwickshire Borough and Nuneaton and Bedworth Borough had 16.2% and 16.1% of their households classed as fuel poor respectively, whilst Warwick district had the lowest proportion at 13.0% (this was the only district or borough with a figure lower than the England average).

Figure X shows the proportion of households classed as fuel poor over time. Prior to 2018, fuel poverty was measured using the low-income high-costs indicator. For 2019, fuel poverty has been measured as low-income low-energy efficiency (LILEE). Under the LILEE indicator, a household is considered to be fuel poor if:

- they are living in a property with a fuel poverty energy efficiency rating of band D or below, and,
- when they spend the required amount to heat their home, they are left with a residual income below the official poverty line

There are three important elements in determining whether a household is fuel poor: household income, household energy requirements, and fuel prices. The change in the way a household is classified has resulted in an increase in the proportion of households classed as fuel poor in all districts and boroughs in 2019.

Figure X. Proportion of households classed as fuel poor, 2011-2019
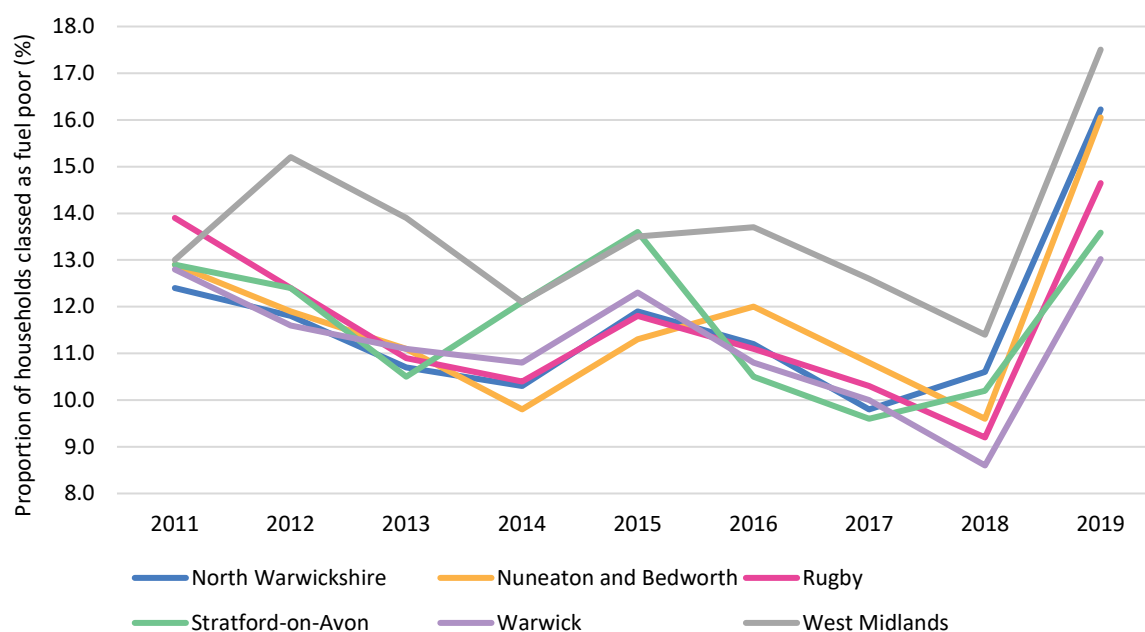
Source: DfBEIS (2021), Fuel poverty statistics

Children in low-income families

In Warwickshire in 2019/20, there were 18,829 children living in relative low-income families. This was an increase of 1,923 compared to the previous year. Relative low-income is defined as a family in low income before housing costs (BHC) in the reference year. A family must have claimed one or more of Universal Credit, Tax Credits, or Housing Benefit at any point in the year to be classed as low income in these statistics. Children are dependent individuals aged under 16; or aged 16 to 19 in full-time non-advanced education. Figure X below presents the number of children living in relative low-income families in each of the Warwickshire districts and boroughs over the last six years. In absolute numbers, Nuneaton & Bedworth Borough accounts for almost a third (32.9%, n=6,186) of Warwickshire's children living in relative low-income families.

Figure X. Number of children in relative low-income families, 2014/15-2019/20
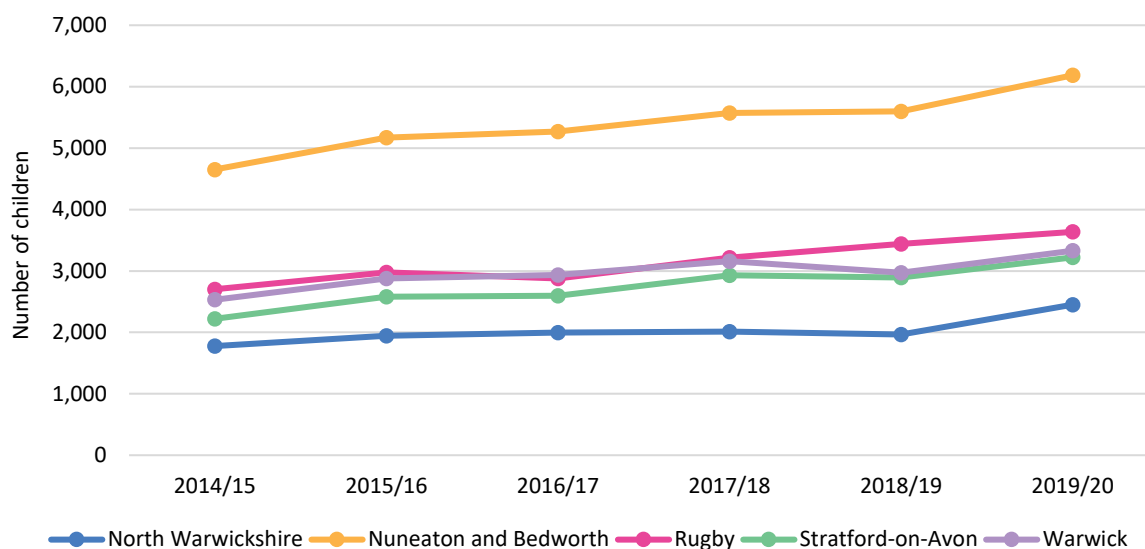
Source: DWP (2021) Children in Low Income Families: local area statistics, United Kingdom: 2015 to 2020

Free school meals

For the autumn term academic year 2020/21, 15.8% of children in Warwickshire were eligible for Free School Meals (FSM).[44] The Warwickshire figure has remained below both the regional and national equivalent figure over the last six years (see Figure X below).

*Figure X. Proportion of children eligible for Free School Meals, 2015/16-2020/21*
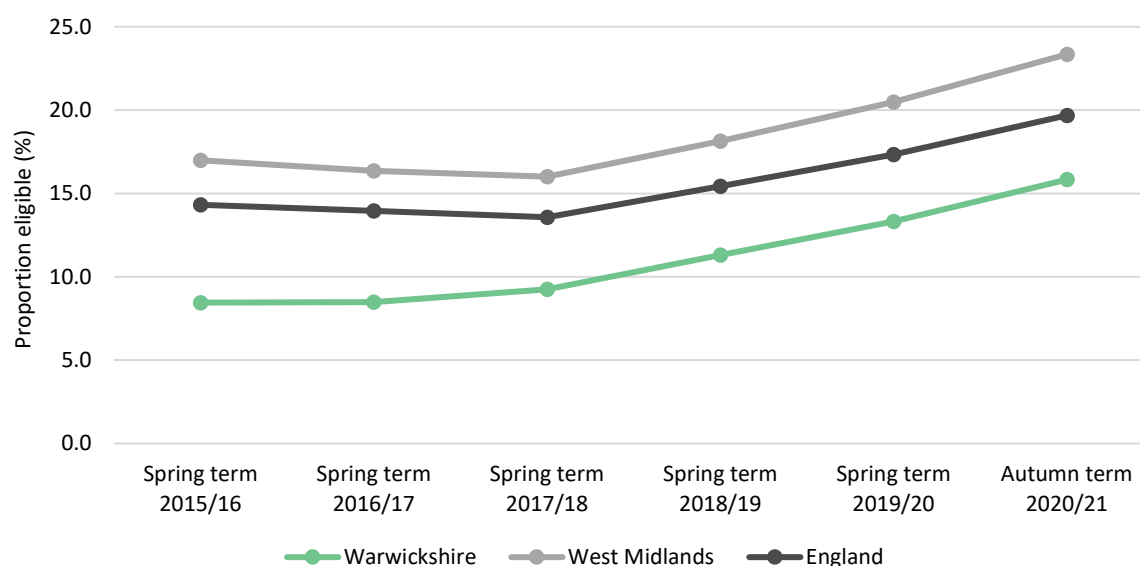
Source: Department for Education (2021)

Nationally, there was a 2.4 percentage point increase in the proportion of children eligible for FSM in October 2020 (during the COVID-19 pandemic) compared with January of the same year (pre-COVID-19 pandemic). However, the percentage of pupils eligible for free school meals had been increasing prior to the COVID-19 pandemic – Warwickshire follows this trend.

Access to gardens and public green space

Ordnance Survey (OS) have produced data on access to private gardens, public parks and playing fields.[45] For all property types (houses and flats) the proportion of addresses with private outdoor space in Warwickshire was 90.8% in 2020. This is slightly higher than both the regional average (90.0%) and national average (88.4%). Figure X gives a breakdown of the proportion of addresses with private outdoor space in each of the districts and boroughs. As the chart shows, North Warwickshire Borough (93.8%) and Nuneaton and Bedworth Borough (93.6%) have the largest proportion of addresses with access to private outdoor space across all property types. In contrast, Rugby has the fewest – 88.8% - although this is still just above the England figure of 88.4%.

Figure X. Proportion of addresses (houses and flats) with private outdoor space, 2020
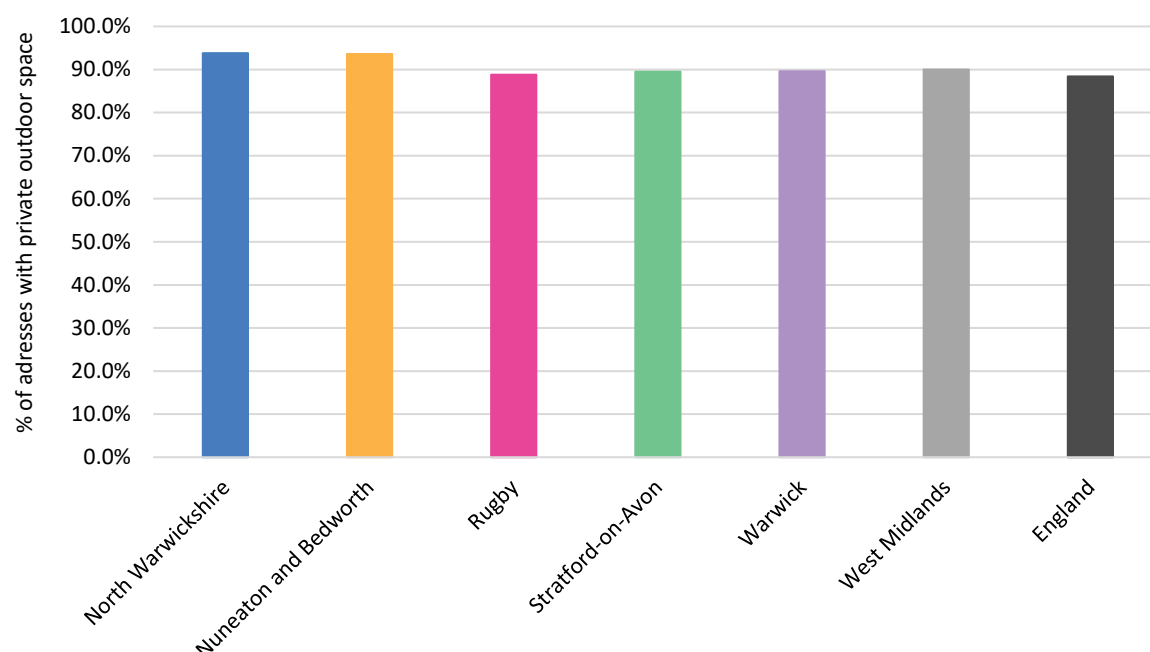
Source: Ordnance Survey (2020)

Further to this, data on access (distance, size, and number) to public parks, public gardens, or playing fields at local authority level is also available for 2020.[46] As Figure X shows, Warwick District has an average of 4.82 parks, public gardens or playing fields within a 1,000m radius. In contrast, the equivalent figure for North Warwickshire Borough is 2.41. However, Stratford-on-Avon District has the furthest average distance (611.34m) to the nearest park, public garden, or playing field. In Warwick District, the average distance is almost half this – 320.46m.

Figure X. Average distance to, size of, and number of parks, public gardens or playing fields, 2020

|	North Warwickshire	Nuneaton & Bedworth	Rugby	Stratford-on-Avon	Warwick
Average distance to nearest Park, Public Garden or Playing Field (m)	384.25	321.43	421.88	611.34	320.46
Average size of nearest Park, Public Garden or Playing Field (m²)	96,142.7	57,183.5	61,692.3	26,958.1	69,499.6
Average number of Parks, Public Gardens or Playing Fields within 1,000m radius	2.41	4.47	3.70	2.66	4.82
Average combined size of Parks, Public Gardens or Playing Fields within 1,000 m radius (m²)	275,124.3	237,342.3	176,432.5	57,907.9	386,870.0

Source: Ordnance Survey (2020)

Health & Wellbeing

Personal wellbeing

ONS personal wellbeing measures ask people to evaluate, on a scale of 0 to 10, how satisfied they are with their life overall, whether they feel they have meaning and purpose in their life (worthwhile), and about their emotions (happiness and anxiety) during a particular period. Nationally, data is available quarterly and the latest data shows that all measures of personal wellbeing significantly worsened in Quarter 2 (Apr to June) 2020 compared with the same quarter in 2019; a similar picture emerged comparing Quarter 3 (July to Sept) 2020 with the same quarter in the previous year.

At a local authority level data is available annually. The latest data available (2020/21) reflects a similar downturn in all measures of personal wellbeing since 2019/20. Figure X shows the trend in each of the four measures between 2011-12 and 2020-21 for Warwickshire, the West Midlands and England. Despite all average scores decreasing, residents in Warwickshire in 2020-21 give higher average scores for life satisfaction, happiness, and the extent they feel that the things they do in their life are worthwhile (0 is not at all, 10 is completely). However, Warwickshire residents scored similarly to residents in the West Midlands and England for anxiety in 2020-21 (where 0 is "not at all anxious" and 10 is "completely anxious"); levels of anxiety have increased in all areas since 2019-20.

Figure X –Average personal wellbeing estimates 2011/12 to 2020/21

Life satisfaction

Worthwhile
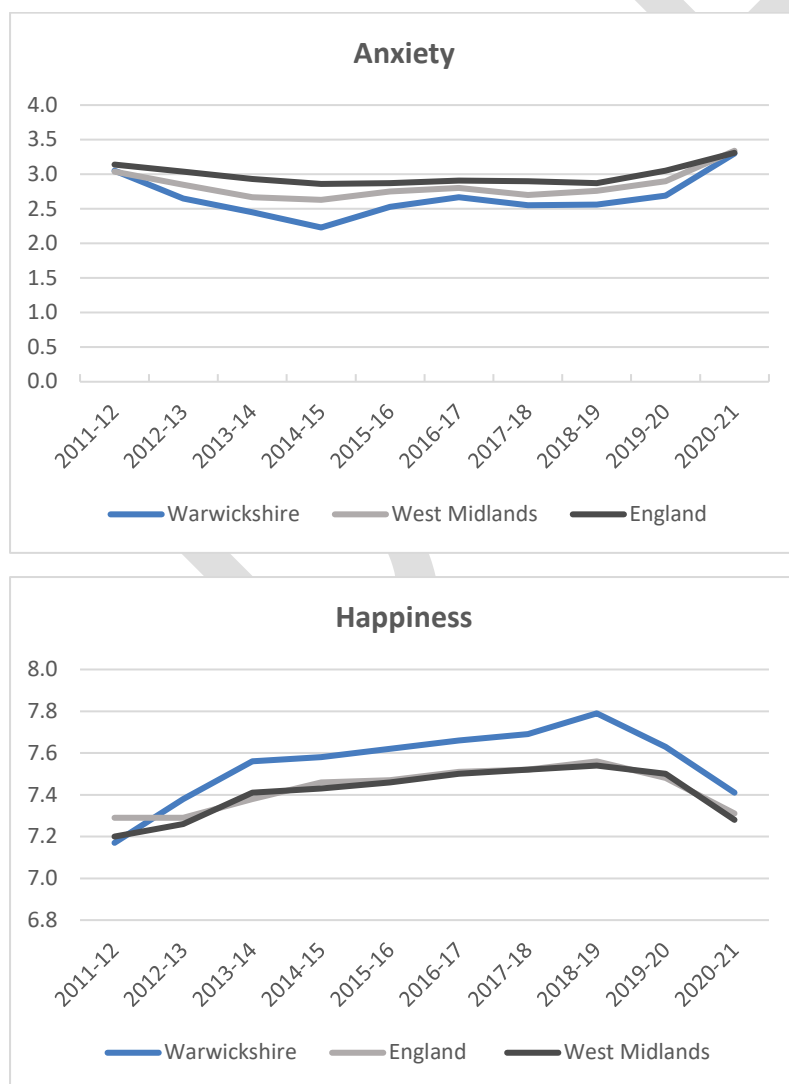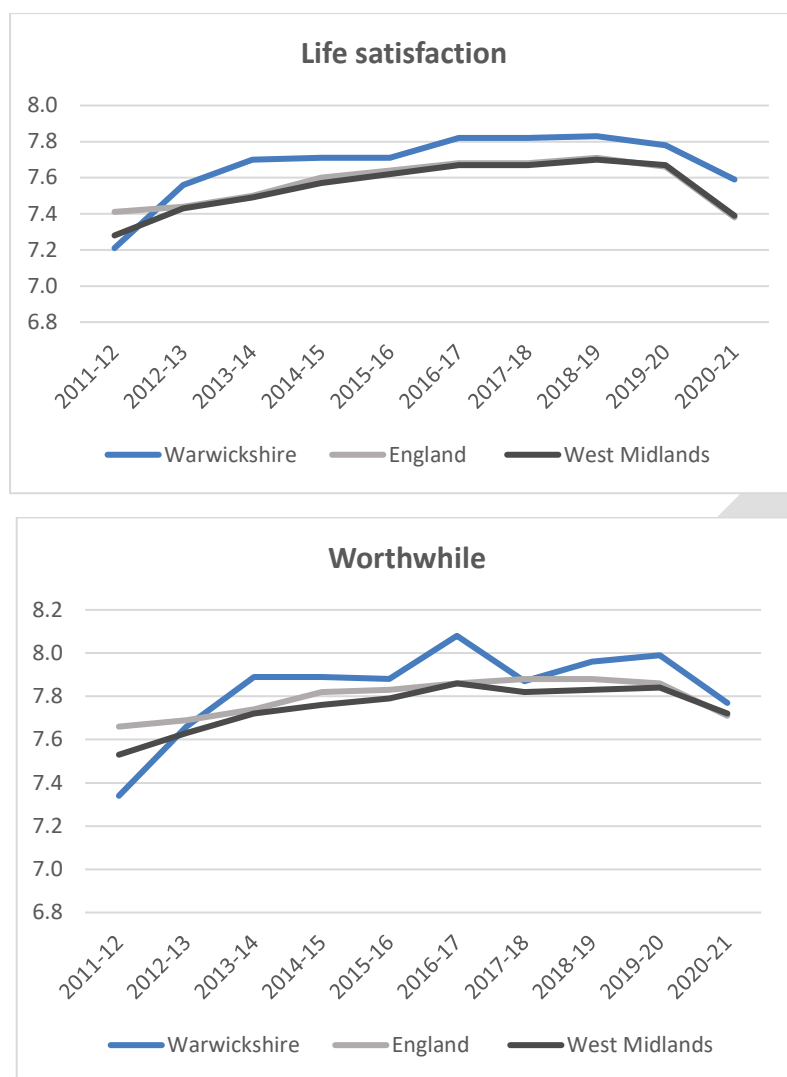
*Source: ONS (2021), Personal Wellbeing estimates by local authority*

Measures of wellbeing are also available at district and borough level, albeit with wider confidence intervals. In 2020-21. Anxiety scores were higher in residents in North Warwickshire Borough (3.55) and Warwick District (3.45) than the Warwickshire (3.3) and England (3.31) average. Happiness scores were higher in Nuneaton and Bedworth Borough (7.62) than the Warwickshire (7.41) and England (7.31) average. Life satisfaction scores were higher in Rugby Borough (7.72) than the Warwickshire (7.59) and England (7.38) average; as were 'Worthwhile' scores (Rugby Borough 8.09, Warwickshire 7.77 and England 7.71). None of these differences are statistically significant.

Life expectancy at birth

Life expectancy at birth is an estimate of how many years a newborn baby might be expected to live. In Warwickshire, for the period 2018-2020, the life expectancy at birth for males was 79.70 years and for females 83.43 years. Figures X and X below show life expectancy for males and females in the district and boroughs in Warwickshire for the period 2001-2003 to 2018-2020. In line with the national trend, there was a reduction in life expectancy in 2018-2020 compared to the previous period (2017-2019), which in some districts and boroughs is particularly noticeable. In the period 2018-2020, both males and females had a longer life expectancy than their counterparts in the West Midlands (78.54 years males; 82.51 years females) and England (79.40 years males; 83.14 females).[47]

Figure X. Female life expectancy at birth, 2001-2003 to 2018-2020
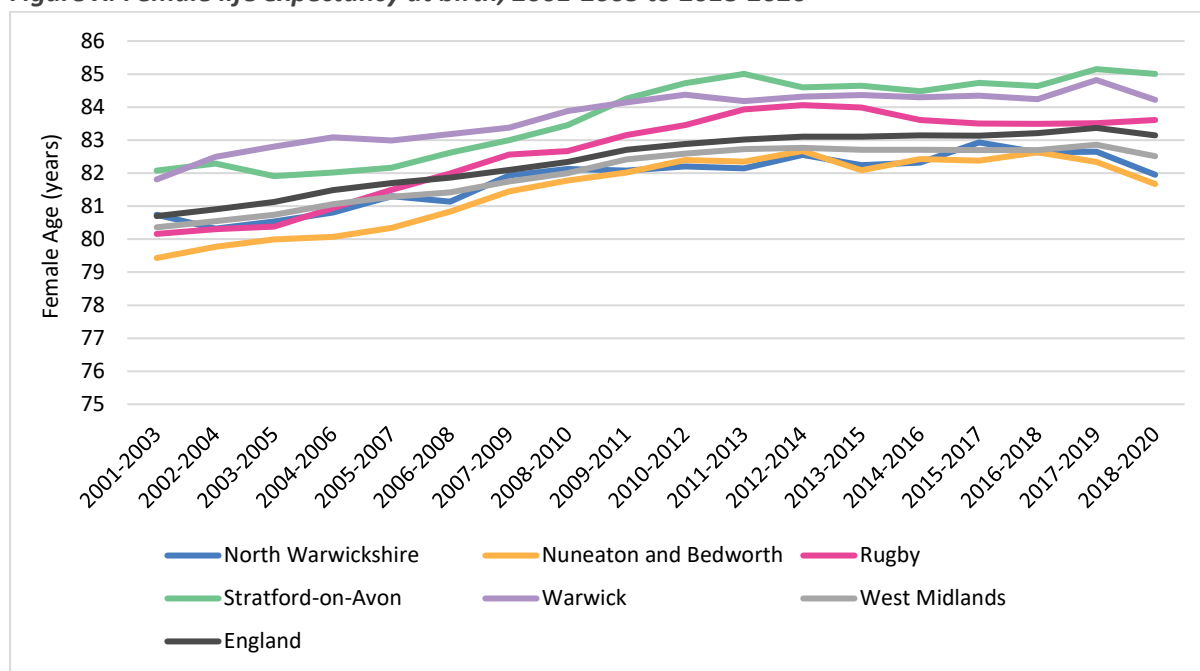
Source: ONS (2021) Life expectancy estimates, all ages, UK

Figure X. Male life expectancy at birth, 2001-2003 to 2018-2020
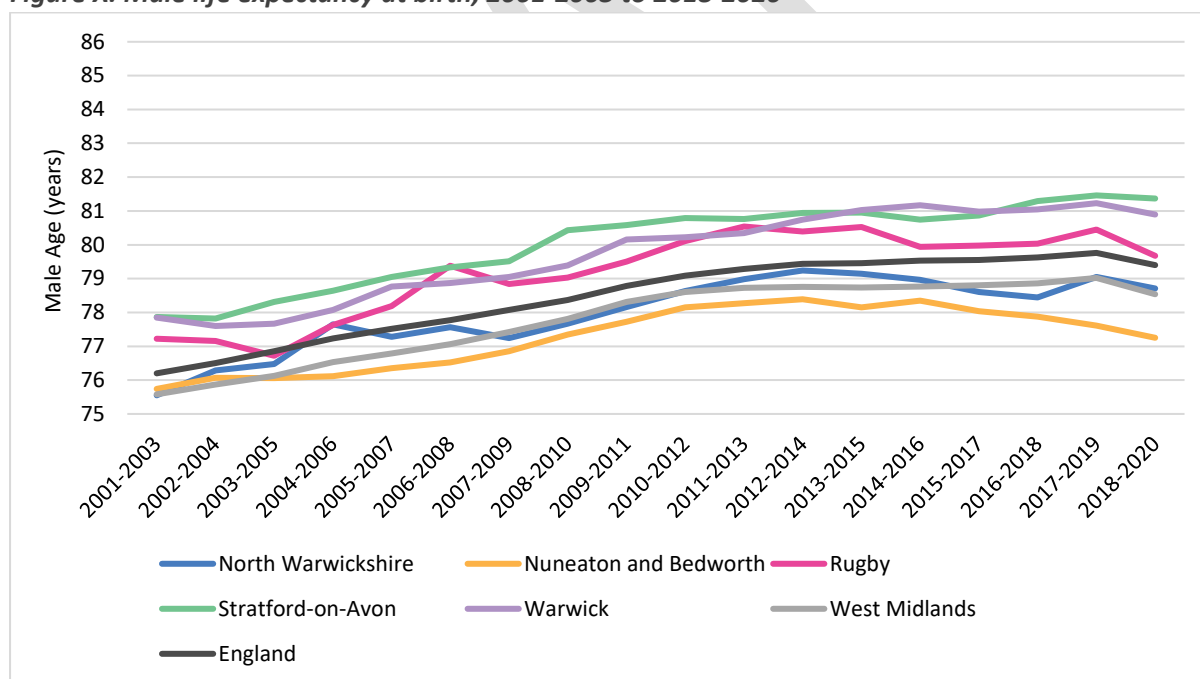
Source: ONS (2021) Life expectancy estimates, all ages, UK

Figures X and X show that, for both males and females in Stratford-on-Avon District, Warwick District, and Rugby Borough life expectancy has been above the national average over the last ten years. In contrast, life expectancy for residents in North Warwickshire Borough and Nuneaton & Bedworth Borough has, generally, remained below the England average throughout this period.

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Healthy Life Expectancy

In addition to life expectancy, it is important to consider healthy life expectancy: this is a measure of the average number of years a person would expect to live in good health based on contemporary mortality rates and prevalence of self-reported good health. In Warwickshire, for the period 2017-2019 healthy life expectancy at birth for males was 64.6 years and for females was 64.1 years. These figures are better than the national averages (63.2 years for males; 63.5 years for females) and West Midlands averages (61.5 years for males; 62.6 years for females).

The difference between life expectancy at birth and healthy life expectancy at birth indicates years that are spent in less than good health. Figure X shows life expectancy and healthy life expectancy for 2015-17 to 2017-19 for both males and females in Warwickshire. Despite females living longer they are spending more of their life in poor health (19.8 years compared to 15.5 years in males in the period 2017-2019). In addition, time spent in poor health has increased for females and sightly decreased in males over the three time periods.

Figure X Difference between life expectancy and healthy life expectancy in males and females in Warwickshire 2015-17 to 2017-19

Source: ONS (2021), Life expectancy estimates, all ages, UK and PHE, Fingertips

Life expectancy at 65

Life expectancy at 65 can also be considered. In terms of life expectancy at 65, a male in Warwickshire could expect to live for another 19.2 years and a female 21.6 years. However, a male in North Warwickshire Borough could expect to live a further 18.3 years beyond 65 and a male in Nuneaton & Bedworth Borough 17.9 years. These figures are below the national average (18.7 years). This is similar for females – a female in North Warwickshire Borough could expect to live a further 20.7 years and 20.3 years for those in Nuneaton & Bedworth Borough – the England figure in 2017-2019 is 21.3 years.

The Slope Index of Inequality (SII) is a measure of the difference in life expectancy between the most and least deprived sections of the local population – a larger number means a larger gap. In Warwickshire for the period 2009-2013, males had a SII of 6.2 years (this is considered significantly lower than the England male SII equivalent) and females had a SII of 4.9 years.[48]

Physical activity

For the period 2019/20, 69.4% of Warwickshire adults were classed as being physically active. This was significantly higher than both the regional (63.1%) and national (66.4%) equivalent figures.[49] In contrast, 20.1% of adults in Warwickshire were physically inactive – a significantly better proportion than the West Midlands (25.3%) and England (22.9%).

Figure X. Proportion of adults classed as physically active and physically inactive, 2019/20
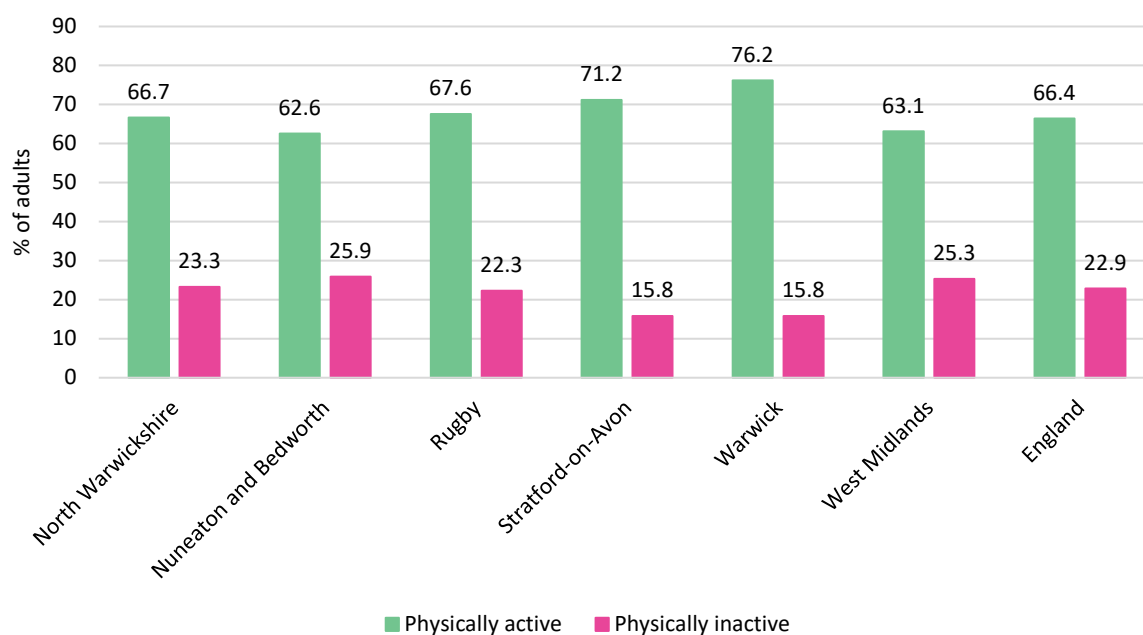
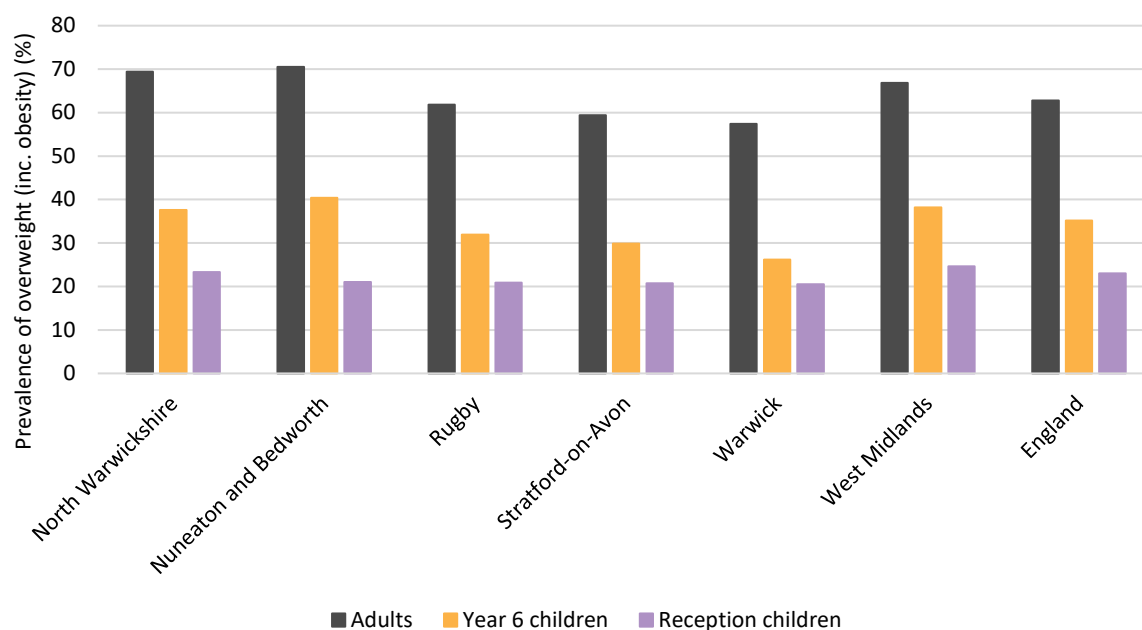*Source: Public Health England (2020)*

Figure X shows that Nuneaton & Bedworth Borough has a slightly higher proportion of physically inactive adults (25.9%) and a slightly lower proportion of physically active adults (62.6%) than the equivalent England figures. In contrast, both Stratford-on-Avon District and Warwick District are significantly better for both indicators than the national average.

Overweight and obesity

In Warwickshire in 2019/20, 63.0% of adults (aged 18+) were classified as being overweight or obese. This figure was statistically similar to the England figure of 62.8%, and significantly better than the West Midlands region average of 66.8%.[50] Figure X below shows the proportion of adults, Year 6

children, and Reception children classed as overweight or obese for 2019/20. Adults in North Warwickshire Borough (69.4%) and Nuneaton and Bedworth Borough (70.5%) have significantly worse levels of overweight and obesity compared to the England average, whereas in Warwick District levels are significantly better (57.4%). In addition, in 2019/20 the prevalence of overweight and obesity in year 6 pupils in Nuneaton and Bedworth Borough (40.4%) was significantly worse than the England average (35.2%), whereas in Stratford-on-Avon District (29.9%) and Warwick District (26.2%) it was significantly better.

Figure X. Proportion of adults (aged 18+), Year 6 children and Reception children classified as overweight or obese, 2019/20

Source: Public Health England (2021)

In Warwickshire, smoking prevalence in adults (aged 18+ years, current smokers) was 13.3% in 2019, in line with the national figure of 13.9%.[51] All districts and boroughs had a smoking prevalence figure in line with the England proportion in 2019: North Warwickshire Borough 15.1%, Nuneaton & Bedworth Borough 14.5%, Rugby Borough 14.3%, Stratford-on-Avon District 11.8%, and Warwick District 12.1%.

In 2018/19, there were 675 per 100,000 admission episodes for alcohol-related conditions in Warwickshire.[52] This is in line with the England average of 664 per 100,000 population. Interestingly, for females in Warwickshire, the figure of 525 admission episodes for alcohol-related conditions was considered significantly worse than the England average (494 per 100,000).

The recorded prevalence of depression (in those aged 18+) in 2019/20 in Warwickshire was 12.1%. This figure was in line with both the West Midlands (12.1%) and England (11.6%) figures.[53]

Suicide rate

For the period 2018-20, Warwickshire had a suicide rate of 9.2 per 100,000 population (age 10+).[54] This figure was lower but statistically similar to both the West Midlands (10.5%) and England (10.4%) figures. This rate has decreased in recent time periods from a high of 12.2 per 100,000 in 2014-16.

Suicide rates are higher in males than females (14.8 per 100,000 compared to 4.1 per 100,000 in 2018-2020). Rates also vary between the districts and boroughs in Warwickshire, but in 2018-2020 all were

considered to be statistically similar to the England average (10.4 per 100,000): Nuneaton & Bedworth Borough (9.2 per 100,000), Stratford-on-Avon District (8.4 per 100,000), North Warwickshire Borough (11.0 per 100,000), Warwick District (8.9 per 100,000), and Rugby Borough (8.9 per 100,000).

Figure X- Suicide rate per 100,000 persons, 2009-11 to 2018-20
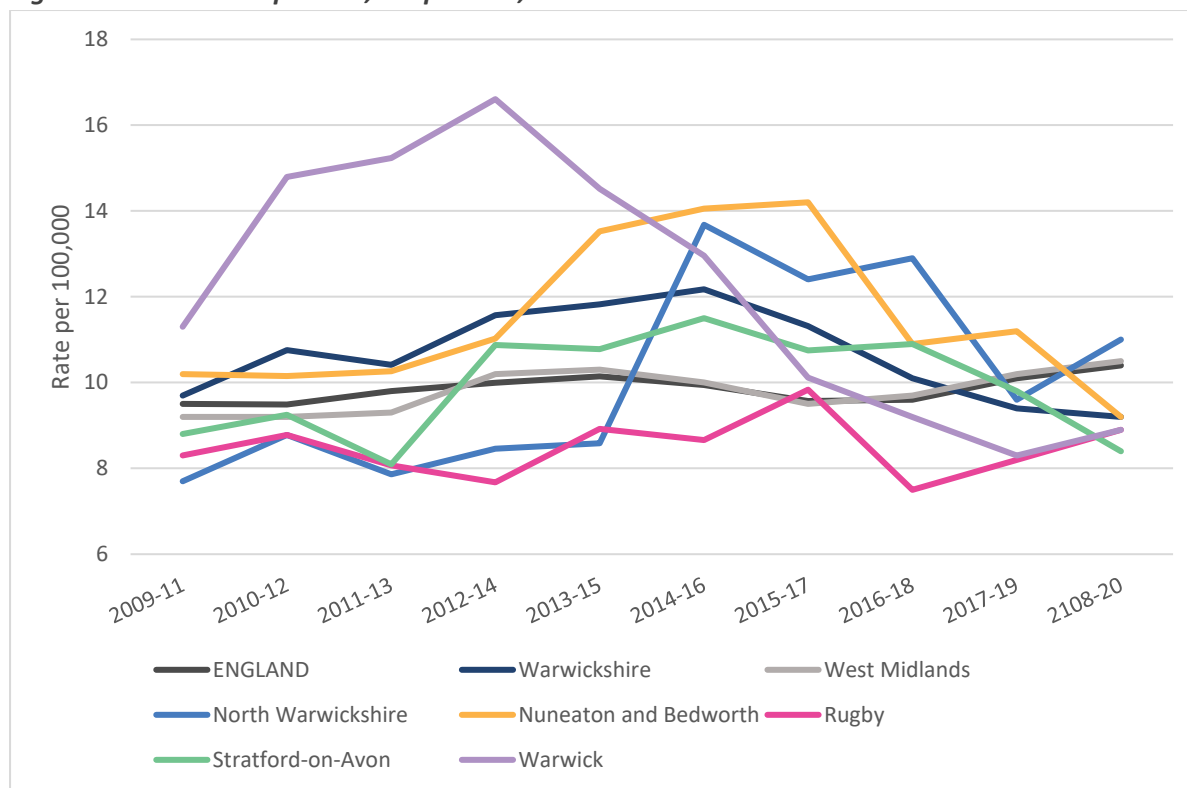

Source: Public Health England (2021)

Children and young people

Children's Social Care

Referrals to Children's Social Services

A referral is defined as a request for services to be provided by children's social care and is in respect of a child who is not currently in need. A referral may result in an assessment of the child's need; the provision of information or advice; referral to another agency; or no further action. If a child is referred more than once in the year, then each referral is counted in the figures. A re-referral is where a child has been referred within 12 months of a previous referral.

There were 5,525 referrals to children's social services in Warwickshire in 2020/21, a rate of 463.7 per 10,000 of the under 18 population. This is greater than 2019/20 when it was 428.6 per 10,000. In 2020/21, the rate for Warwickshire was greater than all English county local authorities average of 418.4 per 10,000 and less than all English authorities average of 513.0 per 10,000. (Figure X)

Figure X Rate of referrals to children's social services, 2018/19-2020/21
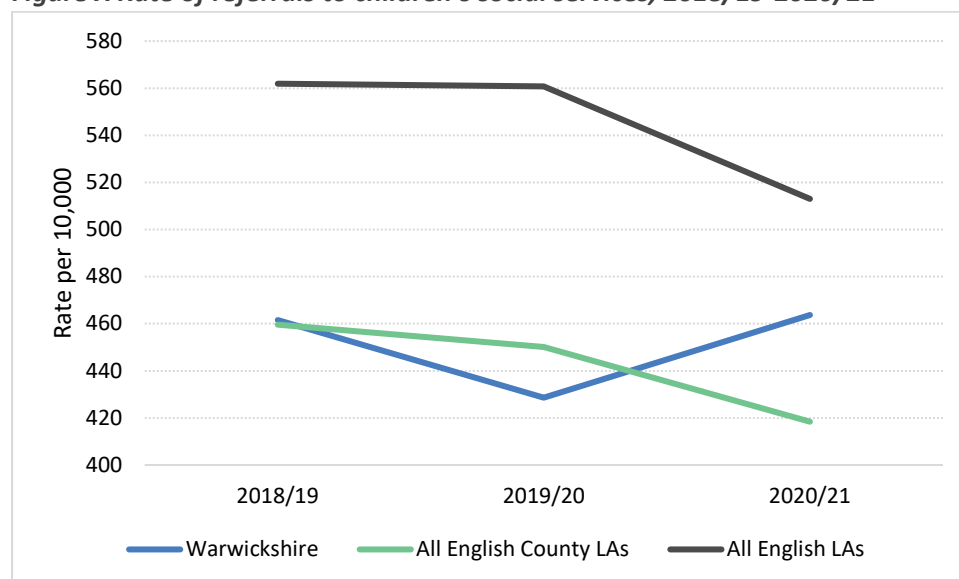
Source:

A breakdown shows that of the referrals within Warwickshire in 2020/21:

- 1,159 (21%) were referrals to social care within 12 months of an earlier referral, greater than the previous period (970, 19.2%).
- 2,628 (47.6%) resulted in an assessment in which the child was assessed not to be in need, greater than the previous period (2,031, 40.2%).

Assessments

Under the Children Act 1989, local authorities are required to provide services for children in need for the purposes of safeguarding and promoting their welfare. Local authorities undertake assessments of the needs of individual children to determine which services to provide and what action to take.

There were 6,213 assessments completed by Warwickshire during 2020/21, which is greater than the previous period (5,427). The rate of assessments completed by Warwickshire is 521 per 10,000 children, which is greater than the previous period (461 per 10,000) and greater than the current average for all English County Local Authorities (436 per 10,000), but less than the average for all English Authorities (552 per 10,000).

Children in Need

A child in need is defined under the Children Act 1989 as a child who is unlikely to achieve or maintain a reasonable level of health or development, or whose health and development is likely to be significantly or further impaired, without the provision of services; or a child who is disabled. In Warwickshire there were 6,386 children in need during the financial year 2020/21, a decrease since the previous period when there were 6,644; 2,894 children started an episode of need during the period and 2,221 ended an episode.

There were 4,165 children in need on 31 March for the financial year 2020/21, a rate of 349.6 per 10,000 children, an increase since the previous period and greater than the current rate for All English County Local Authorities of 265.6 per 10,000 children. This was similar to the rate for All English Local Authorities of 353.3 per 10,000 (Figure X).

Figure X Rate of children in need per 10,000 aged under 18, 2016/17-2020/21
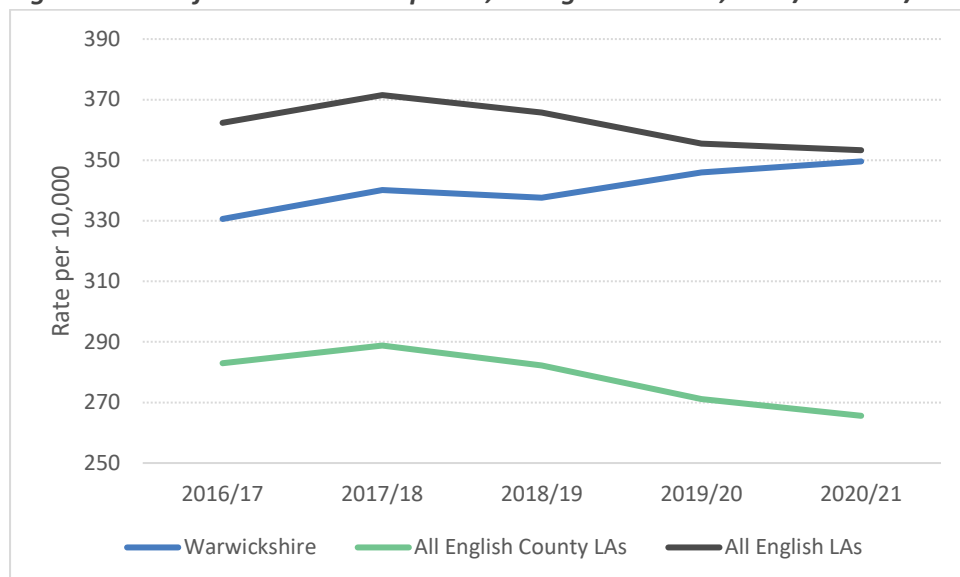
Source: Department for Education (2021)

Section 47 enquiries and Initial Child Protection Conferences (ICPCs)

If the local authority identifies there is reasonable cause to suspect the child is suffering, or is likely to suffer significant harm, it will carry out an assessment under section 47 of the Children Act 1989 to determine if it needs to take steps to safeguard and promote the welfare of the child. If concerns are substantiated and the child is judged to be at continuing risk of harm, then an initial child protection conference should be convened within 15 working days.

The rate of children subject to section 47 enquiries is 124.4 per 10,000 children aged under 18 for 2020/21, an increase since the previous period (101.9 per 10,000 children), greater than the average for All English County local authorities (116.1 per 10,000 children) but less than the average for All English Authorities (159.5 per 10,000 children) (Figure X).

**Figure X Rate of children subject to section 47 enquiries per 10,000 aged under 18, 2016/17-2020/21**
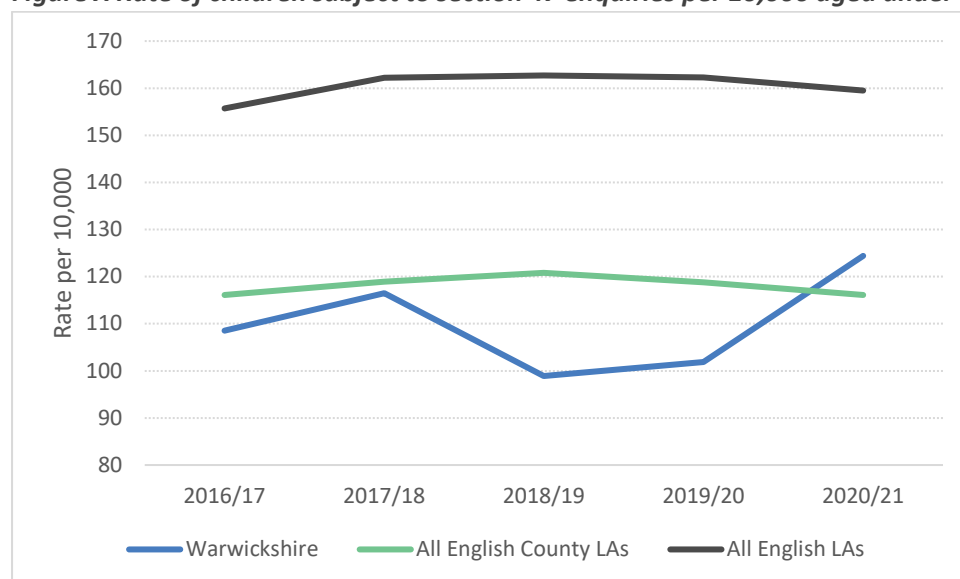
Source: Department for Education (2021)

The rate of children subject to an ICPC in Warwickshire was 44.1 per 10,000 aged under 18 in 2020/21. This was a slight increase on the previous period (40.7 per 10,000) and less than the average for All English County Local Authorities (50.7 per 10,000) and All English Local Authorities (65.8 per 10,000).

Child Protection Plans

The aim of the child protection plan is to ensure the child is safe from harm and prevent him or her from suffering further harm; promote the child's health and development; and support the family and wider family members to safeguard and promote the welfare of their child, provided it is in the best interests of the child.

- **Number of children subject to a CPP:** There were 349 children subject to a child protection plan on 31 March 2021 in Warwickshire, an increase since the previous period of 2019/20 when the rate was 295.

- **Rate of children subject to a CPP:** The rate of children subject to a child protection plan per 10,000 children aged under 18 was 29 in Warwickshire on 31 March 2021, an increase since the previous period of 25 per 10,000. This is less than the all English County Local Authorities rate of 35 per 10,000, and the All English Local Authorities rate of 46 per 10,000 (Figure X)

- **Number of children who became subject to a CPP during the year:** There were 480 children that became subject to a children protection plan during 2020/21 in Warwickshire. Of these, 132 (27.5%) children were subject to? a plan for a second or subsequent time, greater than the All English County Local Authorities average of 23.8% and the All English Local Authorities average of 21.1%.

- **Rate of children who became subject to a CPP during the year:** The rate of children subject to a child protection plan during 2020/21 in Warwickshire was 40 per 10,000 children aged under 18. This was lower than the all English Local Authorities average of 58 per 10,000

Figure X: Rate of child protection plans on 31 March per 10,000 aged under 18, 2016/17-2020/21
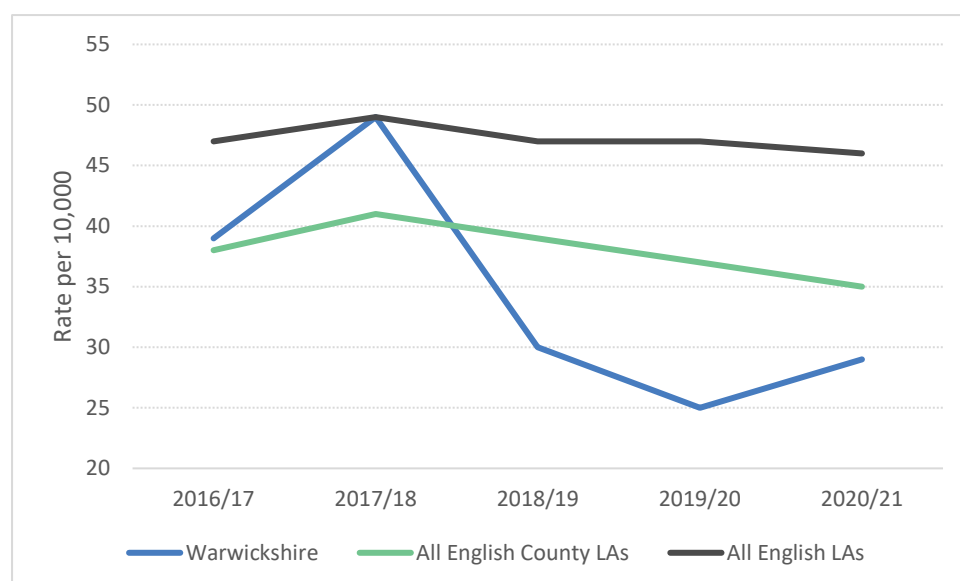
Source: Department for Education (2021)

When a child becomes the subject of a plan, the initial category of abuse is recorded. Table X shows the initial category of abuse in 2020/21, in Warwickshire emotional abuse made up nearly half of all initial categories of abuse.

Table X Proportion of initial categories of abuse for CPPs 2020/21

|	**Warwickshire**	**All English County authorities**	**All English authorities**
Emotional abuse	49	36	41
Neglect	22	50	46
Physical abuse	5	5	8
Sexual abuse	3	4	4

Source: Department for Education (2021)

Children Looked After

Under the Children Act 1989, a child is looked after by a local authority if he or she falls into one of the following: is provided with accommodation, for a continuous period of more than 24 hours; is subject to a care order; and is subject to a placement order.

In Warwickshire, on 31st March 2019/20, the rate of children looked after (CLA) was 64 per 10,000 children aged under 18, an increase since the previous period of 2018/19 when the rate was 62 per 10,000 children. The rate was greater than the all English County Local Authorities rate of 54 per 10,000 and less than the all English Authorities average of 74 per 10,000 (Figure X).

In Warwickshire, 15% of CLA on 31/3/2020 had been in three or more placements during the year, this is greater than the all English County Local Authorities average and all English Authorities average of 11% for the same period.

Figure X Rate of Children Looked After per 10,000 population under 18, 2015/16-2019/20
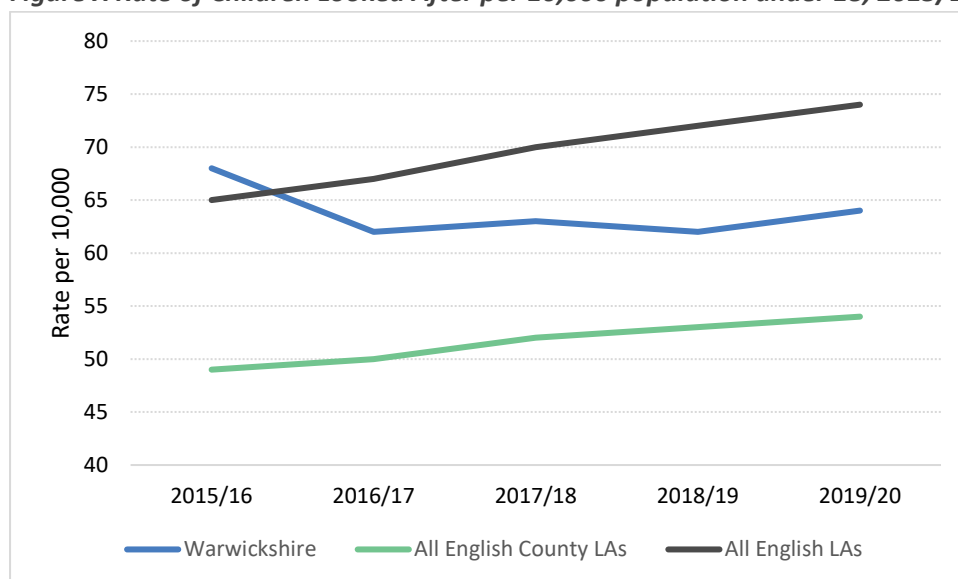
Source: Department for Education (2021)

Care Leavers

Local Authorities are required to ensure care leavers are given the same level of care and support that their peers would expect from a reasonable parent, and that they are provided with the opportunities and chances needed to help them move successfully into adulthood. Figure X shows the percentage of care leavers in education, employment, or training (EET) aged 19, 20 or 21 from 2015/16 to 2019/20. In Warwickshire, the percentage of care leavers in EET has increased since 2015/16 but was still below the average for all English Local Authorities in 2019/20.

Figure X – Percentage of care leavers in education, employment or training aged 19, 20 or 21 (2015/16 - 2019/20)
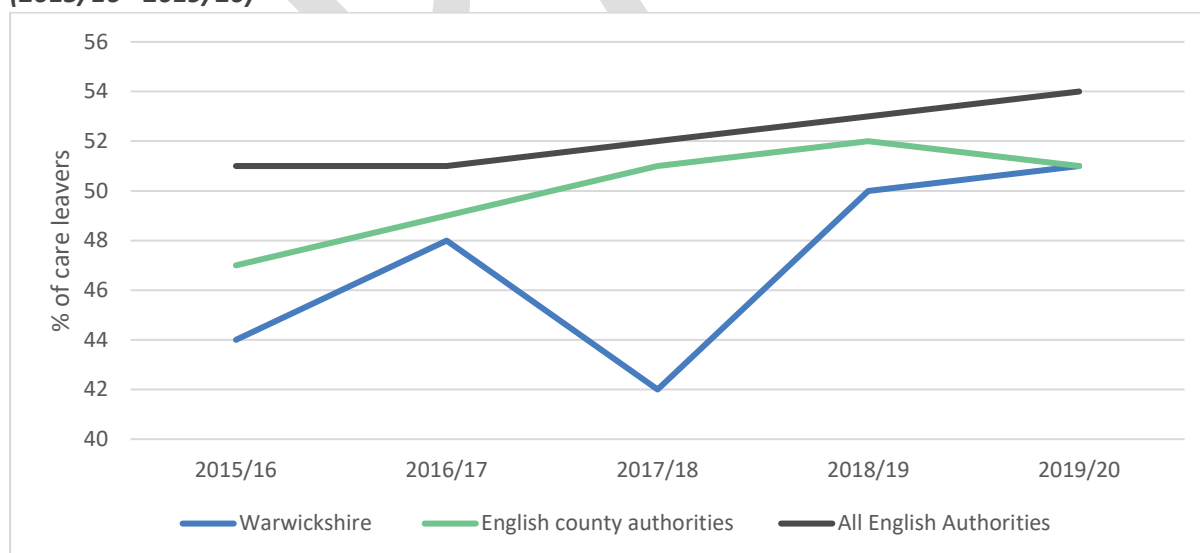
Source: Department for Education (2021)

The percentage of care leavers aged 19, 20 and 21 in suitable accommodation has also increased since 2015/16. In 2019/20, 83% of care leavers were in suitable accommodation. This was just under the average for all English County Local Authorities (85%) and all English Authorities (86%).

Special educational needs and disabilities (SEND)

Part of the Children and Families Act 2014 was the move from statements of SEN to education, health and care (EHC) plans. EHC plans ensure that a young person's needs are assessed in a coherent way across education, health, and social care services.

In 2020, **97.8%** of children and young people in Warwickshire assessed were issued with an EHC plan for the first time, compared with an average of **95.3%** for all English Authorities and average of **94.7%** for all English County Local Authorities.

Regulations set out that the overall time it takes from the local authority receiving a request for an assessment and the final EHC plan being issued (if required) should be no longer than 20 weeks. In Warwickshire, **90.0%** were issued within 20 weeks, excluding exceptional cases where LAs are allowed to exceed the 20-week time limit, compared to the all English Authorities average of **66.4%** and the all English County Local Authorities average of **60.8%.**

Statement, EHC Plans and SEN Support

In the 2020/21 academic years, 15.4% of pupils attending schools in Warwickshire had a statutory plan of SEN (either a statement or education, health and care (EHC) plan) or were receiving SEN support (previously school action and school action plus).[55] This compares to an average of 15.9% across all English Local Authorities and 15.3% of all County Local Authorities. The proportion of pupils with statements or EHC plans in Warwickshire schools has increased in recent years (Table X) and in 2020/21 was slightly below the average in all English Authorities. The percentage of pupils with SEN support in all schools in Warwickshire has remained similar since 2017/18 (11.8% in 2020/21) and has been slightly lower than the English average.

Table X- Percentage of pupils with statements or EHC Plans and SEN support in Warwickshire and English Authorities 2017/18 – 2020/21

	% of pupils with statements or EHC plans (All schools)			% of pupils with SEN Support (All schools)		
	Warwickshire	English LAs	English county LAs	Warwickshire	English authorities	English county LAs
2017/18	3.1	3	2.8	11.6	11.9	11.4
2018/19	3.1	3.2	2.9	11.5	12.1	11.4
2019/20	3.3	3.4	3.2	11.9	12.2	11.8
2020/21	3.6	3.8	3.5	11.8	12.2	11.8

Source: Department for Education (2021), Special Educational Needs in England

Figure X shows that the proportion of looked after children (LAC) and children in need (CIN) In Warwickshire, in 2019/2020, who had a statement of SEN or EHC plan was higher than the average in All English Authorities whereas the proportion of CIN with SEN support was slightly lower. There were a higher proportion of LAC with SEN without a statement than in all English authorities.

Figure X Percentage of looked after children (LAC) and children in need (CIN) in Warwickshire, who were on SEN support, or had a statement of SEN or EHCP compared to all English authorities (2019/2020).
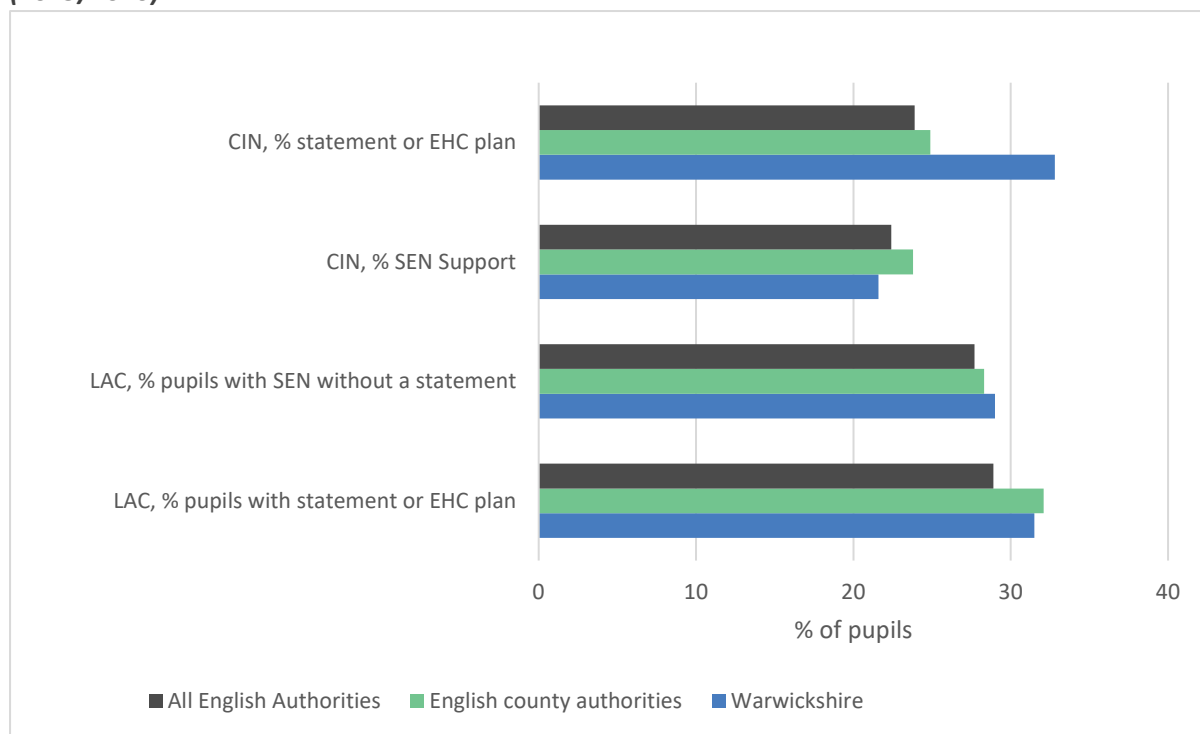
Source: Department for Education, 2021

Primary need

A child or young person has SEN if they have a learning difficulty or disability which calls for special educational provision to be made for them. All pupils with SEN have an assessment of their primary need. In Warwickshire there are a higher proportion of SEN pupils with a moderate learning disability in mainstream primary schools than in All English Local Authorities (24.8% vs 17.1%) and a higher proportion of SEN pupils with a severe learning disability in mainstream secondary schools (27.3% vs 19.3%).

Table X: % of SEN pupils with primary need by school type (2020/21)

	Primary		Secondary		Special	
	Warwickshire	All English authorities	Warwickshire	All English authorities	Warwickshire	All English authorities
Moderate learning difficulty	24.8	17.1	18.3	19.2	1.5	1.8
Severe learning difficulty	0.7	0.6	27.3	19.3	11.8	10.7
Profound & multiple learning difficulty	0.2	0.2	0.4	0.4	30.6	21.3
Social, emotional and mental health	21.5	16.4	0.1	0.1	4.2	6.8
Speech, language and communications needs	26.7	33.4	21.8	21.5	10.9	11.6
Hearing impairment	1.2	1.7	6	12.5	0.4	1
Visual impairment	1.3	0.9	1.7	2.2	1.7	0.6

Multi-sensory impairment	0.4	0.3	1	1.3	3	2.7
Physical disability	3.3	2.6	0.3	0.3	25.9	31.9
Autistic spectrum disorder	9.3	9.3	2.9	2.9	1.1	2.1
Other difficulty/disability	2.2	3.4	5	5.3	0	0
No specialist assessment of type of need	2.2	4.3	1.8	3	0.1	0.2
Specific learning difficulty	6.2	9.2	13.5	11.4	8.9	7.9

Source: LG Inform, Local Area SEND Report Warwickshire

Youth justice system

Youth Justice statistics show that, in Warwickshire in 2019, there were 62 youth first time entrants to the youth justice system.[56] This number of first-time youth entrants to the youth justice system in Warwickshire have been steadily decreasing over the last ten years (517 in 2009 to 62 in 2019). Figure X below shows the rate of youth first time entrants to the youth justice system over the last ten years, alongside the equivalent regional and national figures. Since 2018, the Warwickshire rate has been lower than both the regional and national equivalent – in 2019 the Warwickshire rate was 123 per 100,000 of the 10-17 year old population, West Midlands 235 per 100,000 and England 208 per 100,000.

Figure X. Rate of youth first time entrants to the youth justice system (per 100,000 of the 10-17 year old population), year ending December 2009 to 2019
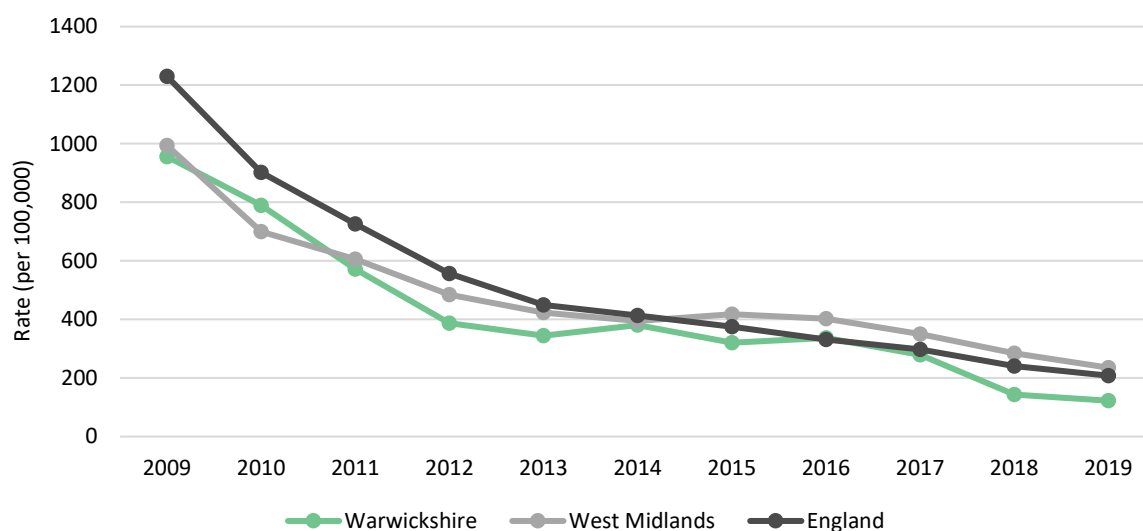
Source: Criminal Justice Statistics Quarterly, Police National Computer, Ministry of Justice

Unintentional and deliberate injuries

There were 99.3 per 10,000 hospital admissions caused by unintentional and deliberate injuries in children (aged 0-14 years) in Warwickshire for the period 2019/20.[57] This was significantly higher than the equivalent England figure of 91.2 per 10,000. Of the Warwickshire districts and boroughs, Rugby Borough had the highest rate of 130.5 per 10,000 whilst Nuneaton & Bedworth Borough had the lowest rate of 76.6 per 10,000. Similarly, when looking at hospital admissions caused by unintentional

and deliberate injuries in children (aged 0-4 years), Rugby Borough also has a rate (167.3 per 10,000) significantly higher than the national average (117.0 per 10,000). The rate for Warwickshire was 122.4 per 10,000, similar to national rates.

Figure X. Hospital admissions caused by unintentional and deliberate injuries in children (aged 0-14 years), 2019/20
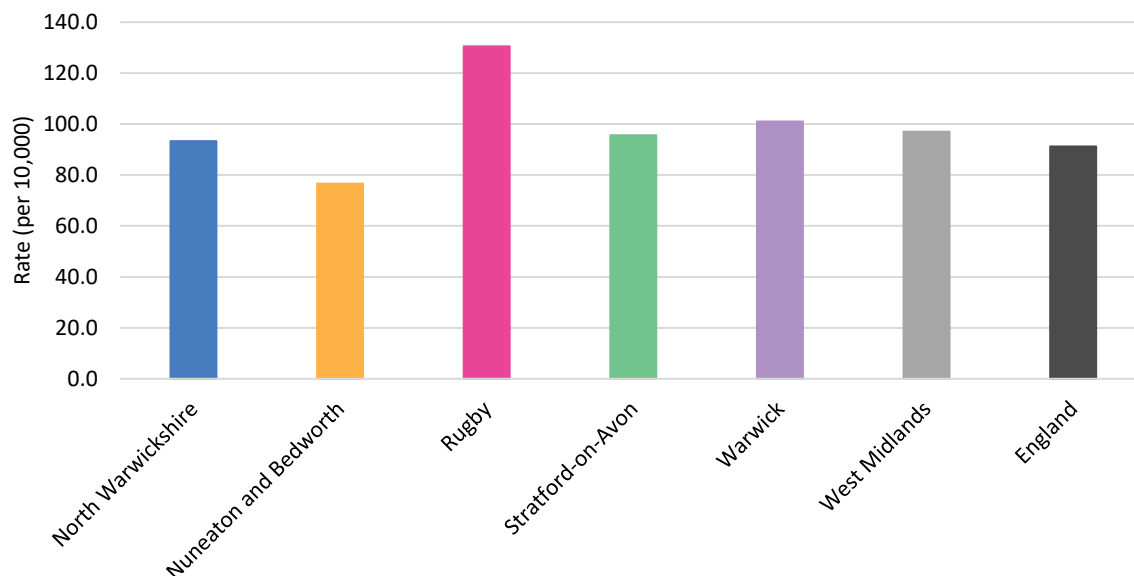
Source: Public Health England (2021), Fingertips

==To add data on admissions due to self-harm and mental health conditions. Significantly higher than West Midlands and England average.==

Health visiting (To be reviewed and updated)

There are 5 mandated health and wellbeing reviews for early years, which are offered to all families:

- a contact or telephone call before the baby is born, usually when the mother is more than 25 weeks pregnant
- a contact and check when the baby is 11-14 days old
- a contact at 6-8 weeks with the health visitor alongside the review at 6-8 weeks with the GP
- a 9-month health review - usually carried out by a Nursery Nurse
- a 2-2 ½ year review, usually carried out by a nursery nurse

When looking at health visits to pregnant women, children, and their families during pregnancy and early childhood, Public Health England data shows that, in Warwickshire in 2019/20, 2,280 mothers received a first face-to-face antenatal contact with a health visitor at 28 weeks or above.[58]

In total, 96.2% of face-to-face New Birth Visit (NBVs) were undertaken in Warwickshire in 2019/20. This was similar to the England equivalent figure (97.5%). The percentage of infants who received a 6–8-week review by the time they were 8 weeks in Warwickshire in 2019/20 was 82.9% (the England equivalent figure was 85.1%). The percentage of children who received a 12-month review by the time they turned 12 months was 81.1% in Warwickshire in 2019/20 (77.0% for England). The percentage of children who received a 2- 2½ year review in Warwickshire in 2019/20 was 79.0% (the England figure was 78.6%).
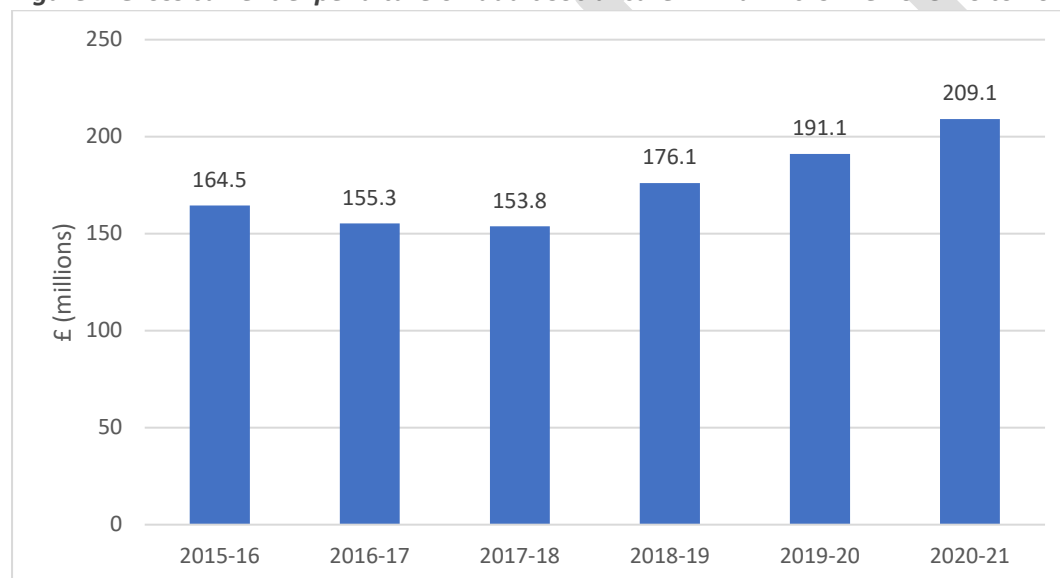
Adult Social Care

Local authorities provide data to NHS Digital on different aspects of adult social care via a number of annual collections including Short- and Long-Term Support (SALT), Adult Social Care Activity and Finance Report (ASC-FR), and the Adult Social Care Outcomes Framework (ASCOF). A selection of data is presented in this section but further information can be found in the Adult Social Care: Overview by Region and Local Authority – Interactive Report.

Gross current expenditure

In 2020/21 the gross current expenditure on adult social in Warwickshire was £209.1 million, this was an increase of £18 million from the previous year (Figure X). Similarly, cross current expenditure per 100,000 adults increased from £41.5 million to £45.0 million. The same was true across England and the West Midlands region (Figure X). Expenditure on adult social care in Warwickshire follows a year-on-year increasing trend since 2017-18. However, some of the spending in 2020-21 does not directly relate to people whose care is supported by the local authority, and so overall totals are not directly comparable. This is influenced by an increase in government funding in 2020-21 specifically to support the adult social care sector during the COVID-19 pandemic.

Figure X Gross current expenditure on adult social care in Warwickshire 2015-16 to 2020-21

Source: NHS Digital, Adult social care activity and finance reports

Figure X Gross current expenditure on adult social care per 100,000 adults, 2015-16 to 2020-21
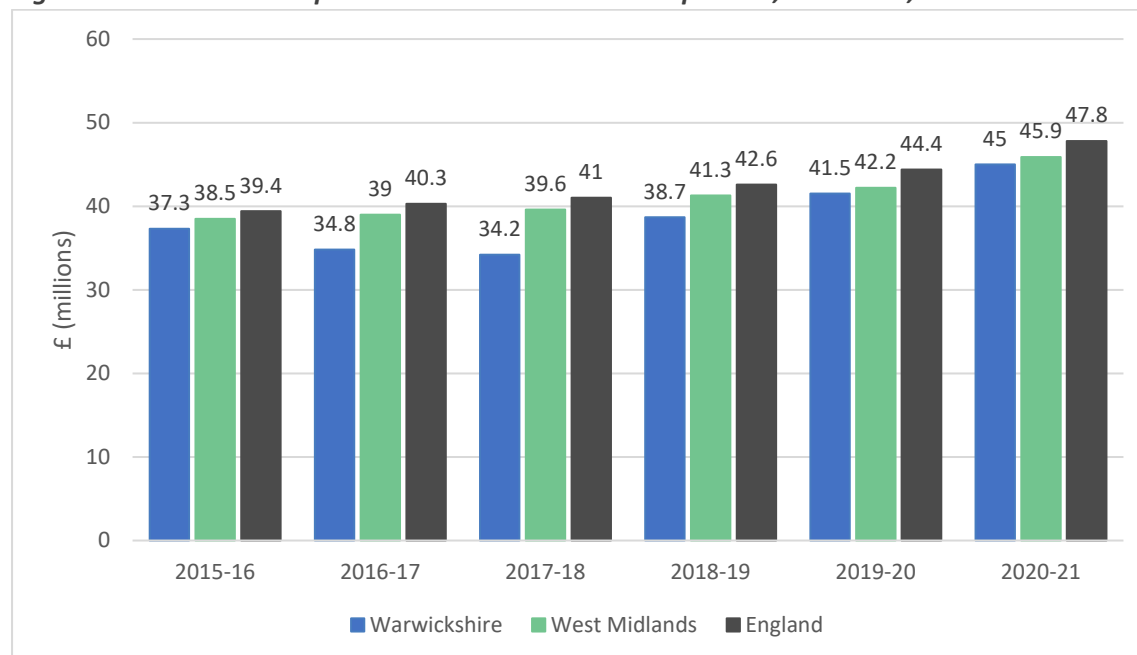
Source: NHS Digital, Adult social care activity and finance reports

Long term support

Long term care is provided to clients on an ongoing basis and varies from high intensity provision such as nursing care, to lower intensity support in the community such as the provision of direct payments to arrange regular home care visits. Of the gross current expenditure on adult social services in Warwickshire in 2020-21, 73.9% (£154.5 million) was spent on long term support.

During 2020-2021, 8,435 adults accessed long-term support; 2,425 aged 18-64 years and 6,010 aged 65 years and over (Table X). This was an increase on the previous year for the 18–64 –year old age group but a decrease for the 65 years and over age group.

Table X – Numbers and clients per 100,000 adults accessing long term support during the year in Warwickshire, 2018-19 to 2020-21

Age group	2018-19		2019-20		2020-21	
	Number	Per 100,000	Number	Per 100,000	Number	Per 100,000
18-64	2435	720	2280	670	2425	705
65+	6135	5190	6320	5255	6010	4960

Source: NHS Digital, Adult social care activity and finance reports

Table X shows the number of clients in Warwickshire accessing long term support during 2020-21, and at the end of the financial year, by support setting. Clients aged 65 years and over are more likely to be supported by nursing and residential care than those aged 18-64 years, whereas 18-64 year olds are more likely to be supported in the community. For both age groups the most common support setting was in the community with a CASSR (Council with Adult Social Services Responsibility) managed personal budget (i.e the personal budget allocation is held by the local authority and they arrange the services agreed in an individual's care and support plan on their behalf).

Table X Number of clients accessing long term support in Warwickshire, by age band and support setting, 2020-21

	During 2020-21		At the end of the year 2020-21	
	18-64 No. (%)	65+ No. (%)	18-64 No. (%)	65+ No. (%)
Nursing	95 (3.9)	550 (9.2)	85 (4.0)	325 (8.5)
Residential	335 (13.8)	1,740 (29.0)	300 (14.0)	1,105 (29.0)
Community Direct Payment Only	620 (25.6)	315 (5.2)	570 (26.6)	245 (6.4)
Community Part Direct Payment	165 (6.8)	85 (1.4)	115 (5.4)	45 (1.2)
Community CASSR Managed Personal Budget	1,210 (49.9)	3,320 (55.2)	1,070 (50.0)	2,085 (54.8)
Total	2,425	6,010	2,140	3,805

Source: NHS Digital, Adult social care activity and finance reports

Table X shows the number and proportion accessing long term support at the end of the year by primary support reason. The majority (83.3%) of clients aged 65 years and over are accessing long term support for physical support (access and mobility only) or support with memory and cognition, whereas clients aged 18-64 years old are most likely to be accessing long term support for a learning disability or physical support (access and mobility only); 77.1% of clients in total.

Table X Number and proportion of clients in Warwickshire accessing long term support at the end of the financial year, by age band and primary support reason, 2020-21

Primary Support Reason	18-64 years		65+ years	
	No.	%	No.	%
Physical Support Access and Mobility Only	500	23.4	2,385	62.7
Physical Support Personal Care Support	65	3.0	235	6.2
Sensory Support Support for Visual Impairment	15	0.7	15	0.4
Sensory Support Support for Hearing Impairment	10	0.5	15	0.4
Sensory Support Support for Dual Impairment	10	0.5	10	0.3
Support with Memory and Cognition	80	3.7	785	20.6
Learning Disability Support	1,150	53.7	165	4.3
Mental Health Support	295	13.8	170	4.5
Social Support Support for Social Isolation/Other	15	0.7	30	0.8
Total	2,140	100.0	3,805	100.0

Source: NHS Digital, Adult social care activity and finance reports

New requests for support

In Warwickshire during 2020-21 there were 12,080 new requests for adult social care support in adults aged 65 or over, this is equivalent to 9,965 requests per 100,000 adults. Figure X shows that since 2018-19 in Warwickshire the rate of new requests has almost doubled, although still below the West Midlands and England rates. The fluctuations in the numbers of new requests for support reflect improvements in data quality and clarification in the definition of a request for support as much as any genuine changes in the volume at the front door. The message behind these trends will become clearer as more data is collected and the system becomes more acquainted with the methodology

Figure X
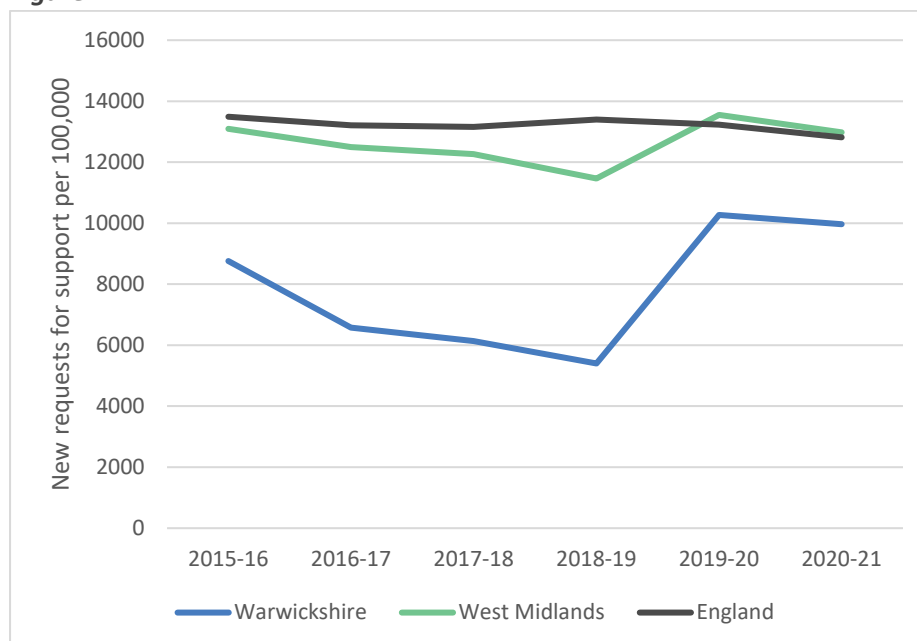
Source: NHS Digital, Adult social care activity and finance reports

Of those requests for support in 2020-21, in those aged 65 years and over, 41.9% came via a discharge from hospital and 57.7% came from the community or other route. Of the 12,080 new requests, 2,935 (24.3%) received universal services or were signposted to other services; 2,115 (17.5%) went on to long term care (nursing (120), residential (440), community (1,555)); and 1,700 (14.1%) went on to short term care, mainly to maximise independence. No services were provided to 5,270 individuals (43.6%).
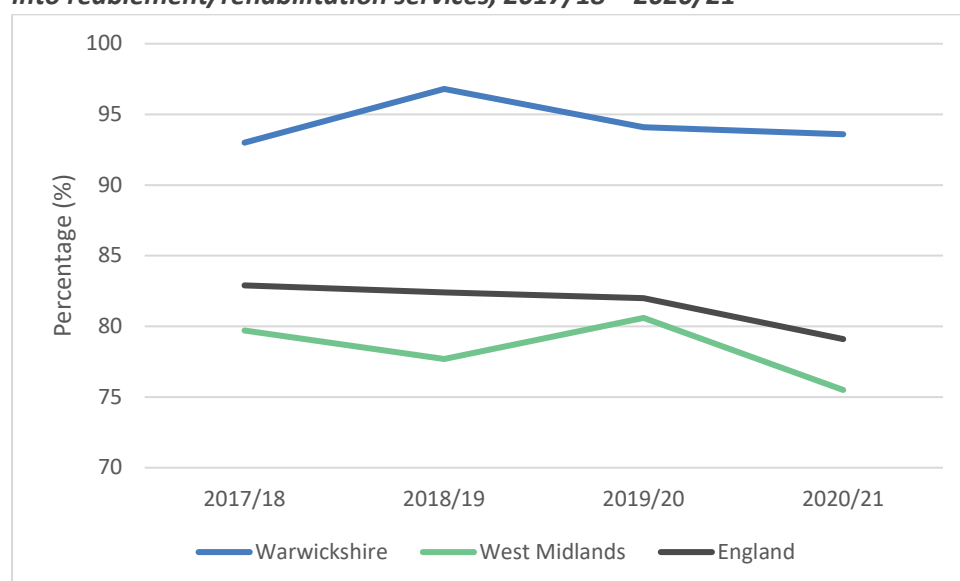
Adult Social Care Outcomes Framework

The Adult Social Care Outcomes Framework (ASCOF) measures how well care and support services achieve the outcomes that matter most to people. The ASCOF is used both locally and nationally to set priorities for care and support, measure progress and strengthen transparency and accountability. Further details can be found at https://digital.nhs.uk/data-and-information/publications/statistical/adult-social-care-outcomes-framework-ascof

Delaying and reducing the need for care and support

Nationally, the proportion of older people (aged 65 and over) who were still at home 91 days after discharge from hospital into reablement/rehabilitation services (measure 2B1) fell from 82.0 per cent in 2019-20 to 79.1 per cent in 2020-21. In Warwickshire, the proportion of older people still at home 91 days after discharge has been consistently higher than the West Midlands and England average and in 2020/21 was 93.6% (Figure X). Warwickshire is ranked 7 nationally for this indicator, where 1 is the highest-ranking authority.

Figure X - Proportion of older people who were still at home 91 days after discharge from hospital into reablement/rehabilitation services, 2017/18 – 2020/21

Source: NHS Digital (2021), Measures from the Adult Social Care Outcomes Framework

The proportion of older people who were offered reablement/rehabilitation services following discharge from hospital (measure 2B2) has been consistently lower than the national and regional average since 2017/18 (Figure X). In 2019, Warwickshire County Council were ranked 118 nationally for this indicator with only 1.9% offered reablement/rehabilitation services following discharge from hospital.

Figure X - The proportion of older people who were offered reablement/rehabilitation services after discharge from hospital, 2017/18-2020/21
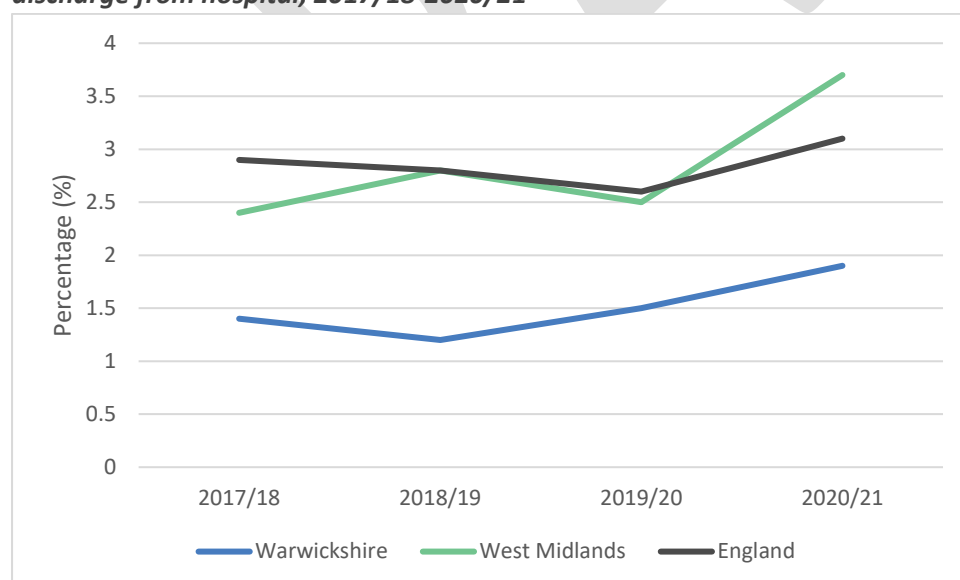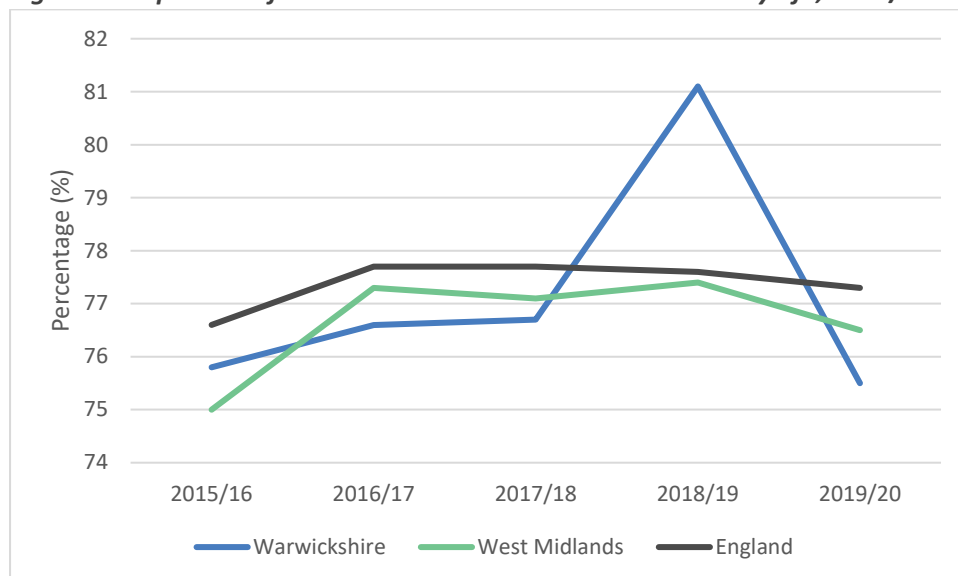

Source: NHS Digital (2021), Measures from the Adult Social Care Outcomes Framework

Enhancing the quality of life for people with care and support needs

The proportion of clients in Warwickshire who have control over their daily life has generally been lower than the national and regional average since 2016/17, although in 2018/19 increased to 81.1%

(Figure X). This measure is collected via the Adult Social Care Survey which was voluntary in 2020/21 so data is not available for the latest year.

Figure X Proportion of clients who have control over their daily life, 2015/16-2019/20

Source: NHS Digital (2021), Measures from the Adult Social Care Outcomes Framework

The proportion of adults with a learning disability in paid employment (measure 1E) was consistently higher than the regional and national average between 2017/18 and 2019/20 (Figure X). In 2020/21 the proportion fell by almost 50% from 10.7% in 2019/20 to 5.7%, slightly above the England average. Warwickshire County Council ranked 51 for this indicator in 2020/21.

Figure X - The proportion of adults with a learning disability in paid employment, 2017/18-2020/21
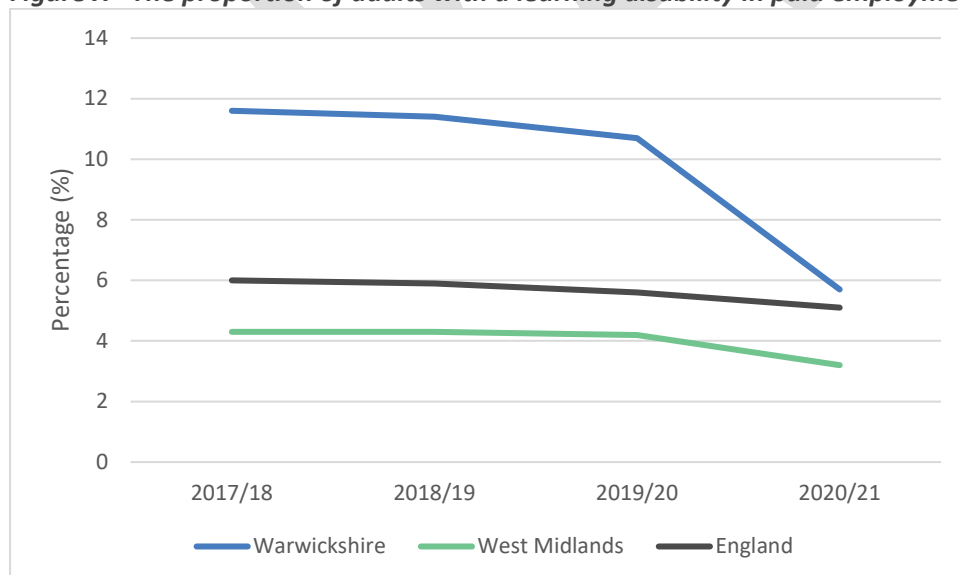
Source: NHS Digital (2021), Measures from the Adult Social Care Outcomes Framework

In 2020/21, the proportion of adults in contact with secondary mental health services in paid employment in Warwickshire was 12%, compared with 7% in the West Midlands and 9% in England. Warwickshire was ranked 26 nationally for this indicator.

The proportion of adults with learning disabilities who live in their own home or with their family (measure 1G) in Warwickshire has been consistently lower than the national average since 2017/18

and in 2020/21 fell below the West Midlands average. In 2020/21, 69.6% of adults with learning disabilities lived in their own home or with their family, meaning Warwickshire County Council was ranked 136 nationally for this indicator.

Figure X Proportion of adults with learning disabilities who live in their own home or with their family, 2017/18-2020/21
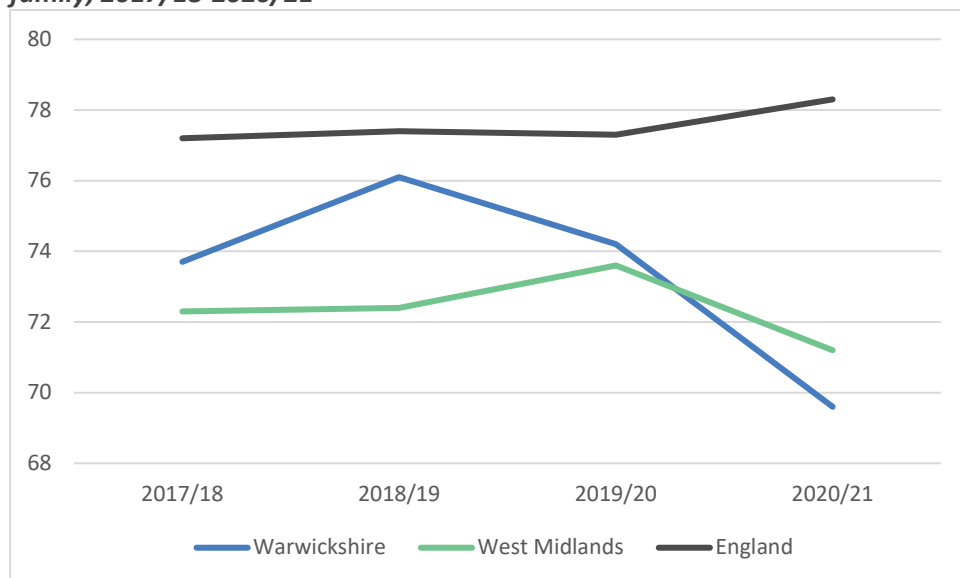

Source: NHS Digital (2021), Measures from the Adult Social Care Outcomes Framework

In 2020/21, 62% of adults in contact with secondary mental health services lived independently, with or without support. This compared to 58% in the West Midlands and 48% in England. Warwickshire County Council was ranked 79 nationally for this indicator.

A higher number of older adults per 100,000 population have their long-term support needs met by admission to residential and nursing care in Warwickshire than in the West Midlands and England. In 2020/21, the admission rate in Warwickshire decreased to 595.5 per 100,000 from 715.9 per 100,000 in 2019/20 (Figure X). Warwickshire was ranked 98 nationally for this indicator (2A2) in 2020/21.

Figure X Long-term support needs of older adults met by admission to residential and nursing care homes per 100,000, 2017/18-2020/21
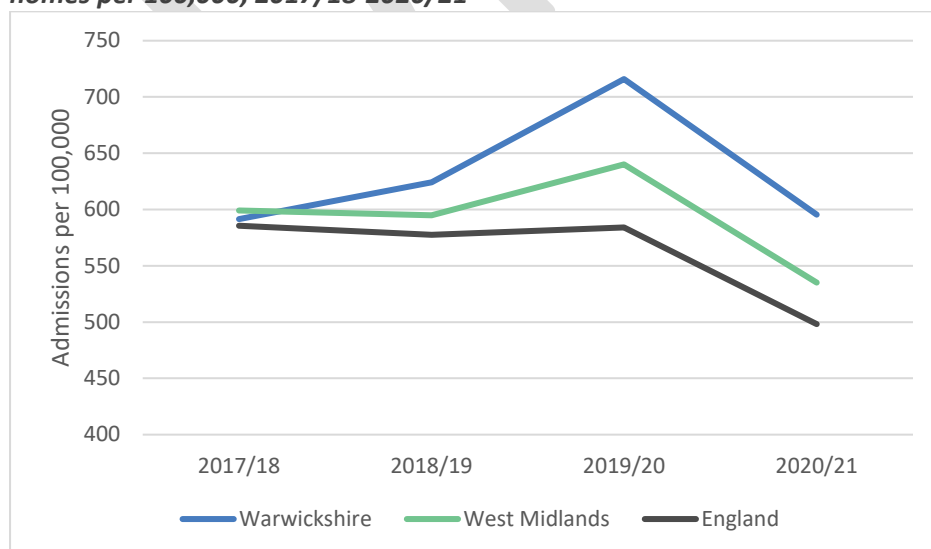
Source: NHS Digital (2021), Measures from the Adult Social Care Outcomes Framework

Ensuring that people have a positive experience of care and support

Due to the impact of COVID-19, the 2020-21 Adult Social Care Survey was voluntary with only a small number of councils participating. Therefore, the aggregated ASCOF outcomes were not calculated for this year and are only presented to 2019-20. Generally, in Warwickshire, overall satisfaction with adult social care and support (measure 3A) has been above the national and regional average in both the 18-64 years and 65 years and older age categories. However, in 2019-20 the percentage of satisfied clients in the 18-64 year old age group reduced to 61.2% from 71.8% the previous year. Conversely, the percentage of satisfied clients in the 65+ age group increased to 67.3% from 65.6% the previous year.
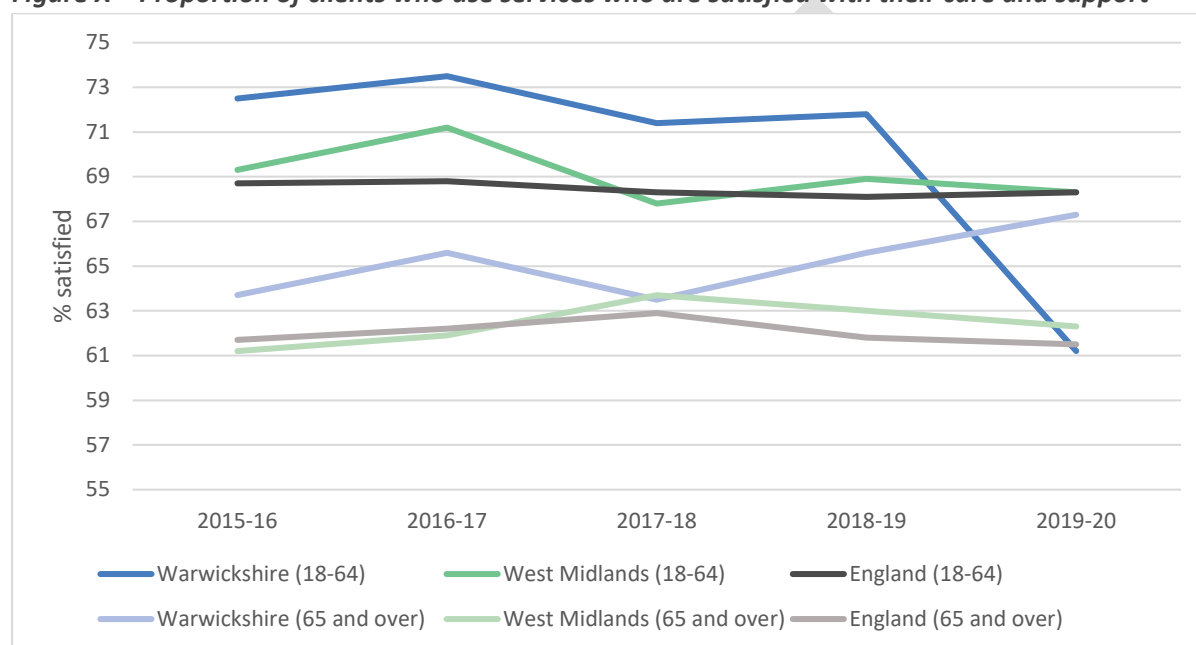
Figure X – Proportion of clients who use services who are satisfied with their care and support

Source: NHS Digital (2021), Measures from the Adult Social Care Outcomes Framework

Community Safety

Police recorded crimes

Police recorded crime figures cover selected offences that have been reported to and recorded by the police. The coverage of police recorded crime is defined by the Notifiable Offence List (NOL), which includes a broad range of offences, from murder to minor criminal damage, theft and public order offences, but excludes less serious offences that are dealt with exclusively at magistrates' courts. In the twelve months July 2020-June 2021, Warwickshire had a recorded crime rate of 64.05 crimes per 1,000 people, a total of 37,392 crimes. This is the 9th highest rate of all English county local authorities but lower than the West Midlands (81.44 per 1,000) and England (80.88 per 1,000). The number of offences in Warwickshire decreased from 70.84 crimes per 1,000 people in the last equivalent period (July 2019-June 2020).[59]

The top five crime categories for the 12-month period ending June 2021 and the corresponding period the previous year were:

Top five crimes in Warwickshire in 2021 Q2 (12 months ending)

1. Violence against the person - without injury offences recorded

2. Stalking and harassment offences recorded
3. Violence against the person - with injury offences recorded
4. Criminal damage and arson offences recorded
5. Public order offences recorded

Top five crimes in Warwickshire in the last equivalent period 2020 Q2 (12 months ending)
1. Violence against the person - without injury offences recorded
2. Violence against the person - with injury offences recorded
3. Vehicle offences recorded
4. Stalking and harassment offences recorded
5. Other theft offences recorded

Patterns of crime in the year have been significantly affected by the COVID-19 pandemic and the imposed restrictions. Periods of national lockdown have seen decreases in the incidence of many types of crime. This has generally been followed by a return towards previous incidence levels once lockdowns ended. Over the 12-month period July 2020 to June 2021, the areas of crime in Warwickshire that saw the biggest increases were drug offences (26%); stalking and harassment (25%); and public order offences (25%), whilst theft offences fell by 29%.

Of the crimes recorded between July 2020 and June 2021, 84% (31,558) were classed as victim-based crimes. These include violence again the person (homicide, violence with injury, and violence without injury), sexual offences, robbery, theft offences (residential burglary and non-residential burglary, vehicle offences, theft from the person, bicycle theft, shoplifting, and all other theft offences), and criminal damage and arson offences. This is a rate of 54.06 per 1,000 population, 7th highest of all English county local authorities but lower than the West Midlands region (69.34 per 1,000) and England (66.41 per 1,000).

Figure X shows the record crime rate per 1,000 population for each of the community safety partnership areas along with the West Midlands and England. Nuneaton and Bedworth Borough had the highest rate of crime between July 2020 and June 2021.

Figure X. Recorded crime rate per 1,000 population by Community Safety Partnership area, July 2020-June 2021
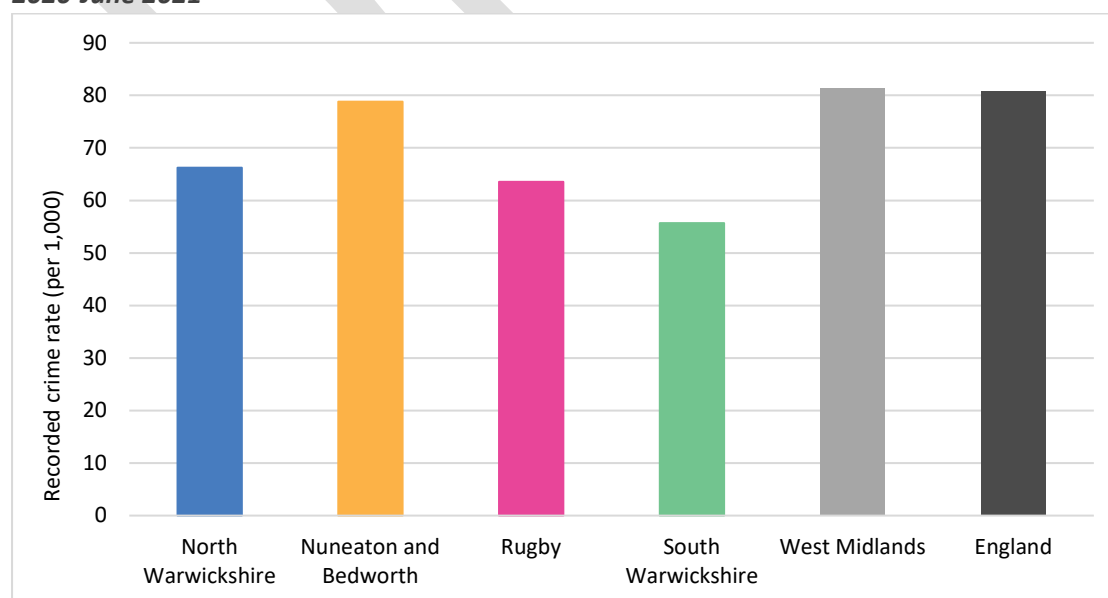
Source: ONS (2021) Crime in England and Wales

Figure X shows the top 5 crimes by Community Safety Partnership area in Warwickshire. Crime types in the north of Warwickshire differed from? those in the south of the county in the 12-month period July 2020 to June 2021.

Figure X: Top 5 crimes by Community Safety Partnership area, July 2020-June 2021

North Warwickshire Borough	Nuneaton & Bedworth Borough	Rugby Borough	South Warwickshire
• Violence against the person - without injury offences recorded • Stalking and harassment offences recorded • Violence against the person - with injury offences recorded • Vehicle offences recorded • Criminal damage and arson offences recorded	• Violence against the person - without injury offences recorded • Stalking and harassment offences recorded • Violence against the person - with injury offences recorded • Vehicle offences recorded • Criminal damage and arson offences recorded	• Violence against the person - without injury offences recorded • Stalking and harassment offences recorded • Violence against the person - with injury offences recorded • Criminal damage and arson offences recorded • Public order offences recorded	• Residential burglary offences recorded • Vehicle offences recorded • Possession of weapons offences recorded • Public order offences recorded • Drug offences recorded

Domestic abuse

Domestic abuse related offences and incidents are defined as threatening behaviour, violence, or abuse (psychological, physical, sexual, financial or emotional) between adults, aged 16 and over, who are or have been intimate partners or family members, regardless of gender or sexuality. The rate of domestic abuse related crimes and incidents in Warwickshire in 2019/20 was 28.0 per 1,000 population aged over 16. This was the 6th highest rate of all English county local authorities (mean 23.8 per 1,000), the same as the rate in England (28 per 1,000) but lower than the West Midlands rate (29.7 per 1,000). There has been an increasing trend in the rate of domestic abuse since 2015/16 in Warwickshire, the West Midlands and England (Figure X).

Figure X – Domestic abuse rate per 1,000 population aged over 16, 2015/16-2019/20
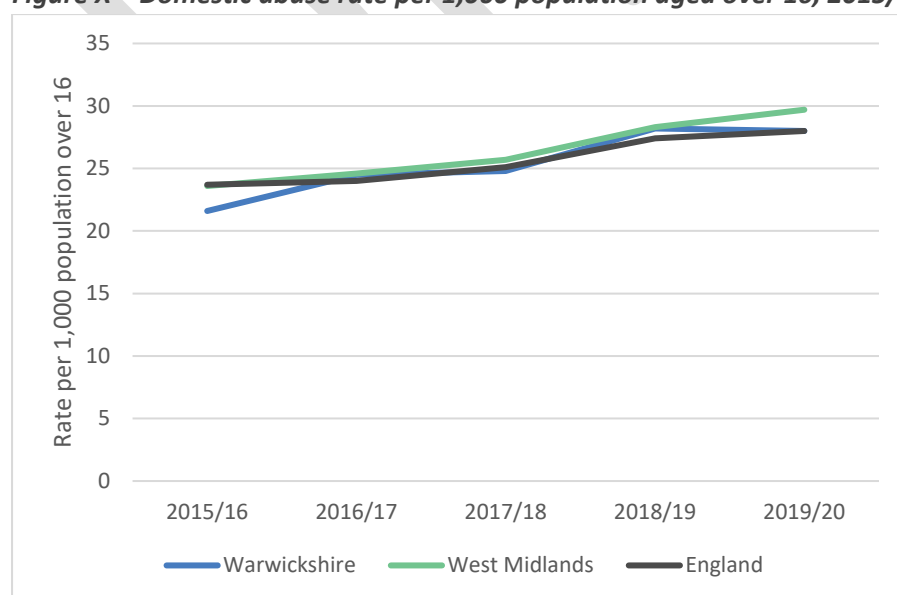
Source: Public Health England (2021)

Road safety

In 2020, there were 1,138 road causalities[4] and 852 road collisions on roads in Warwickshire.[60] Of the casualties in 2020, 14 (1.2%) were fatal, 228 (20.0%) were classed as serious and the remainder classed as slight. Figure X below shows the number of fatal, serious, and slight casualties in Warwickshire over the last ten years. The chart shows a steady decline in the total number of slight injuries since 2014. Total number of casualties across all three severity categories were down significantly in 2020, partly due to COVID-19 restrictions.

Figure X. Road casualties by injury severity in Warwickshire, 2011-2020
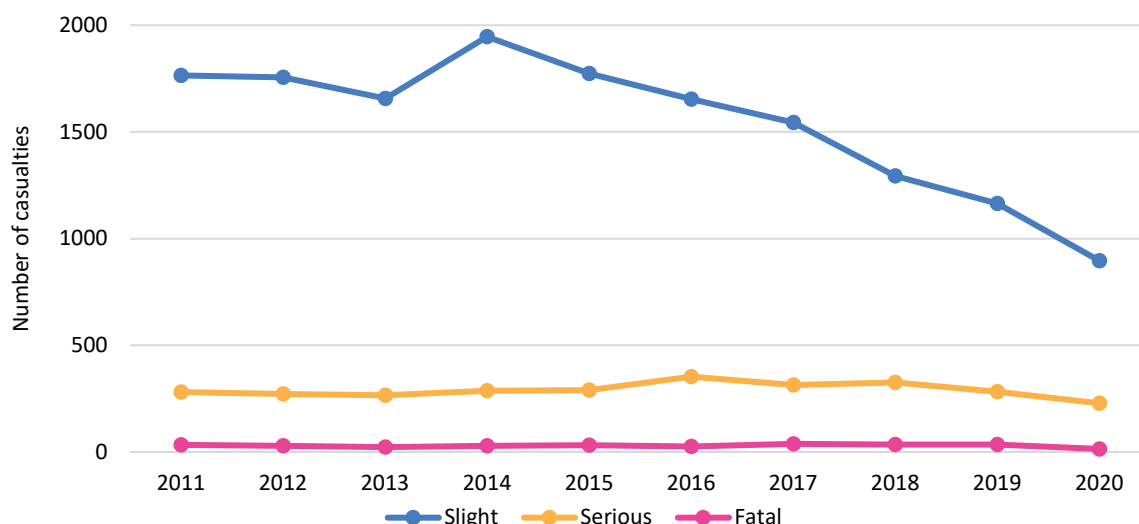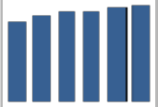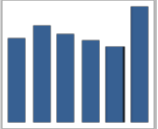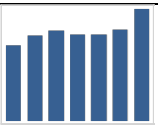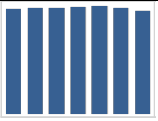
Source: Warwickshire Police/Warwickshire County Council, Road Safety in Warwickshire report
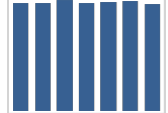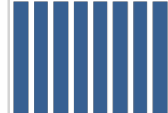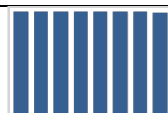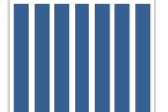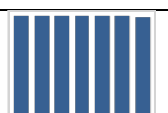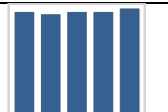
Historic data from the Department of Transport on killed and seriously injured (KSI) casualties on roads showed Warwickshire's rate for the period 2016-18 to be 64.3 per 100,000 resident population. This was statistically significantly higher than the West Midlands (38.4 per 100,000) or England (42.6 per 100,000) rates. Areas with low resident populations but with high inflows of people or traffic may have artificially high rates because the at-risk resident population is not an accurate measure of exposure to transport.
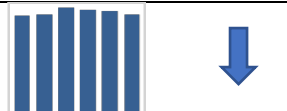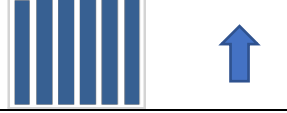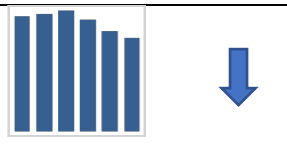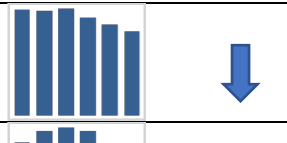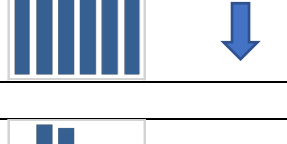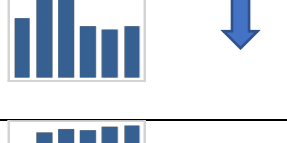
In more recent years, instead of the resident population being used, the denominator is now the estimate of vehicle miles in the local area. This is preferred because KSI events are expected to be more closely correlated with local traffic than population size. This change particularly impacts Local Authorities with small resident populations but high traffic volumes, such as Warwickshire which has rural areas with major roads passing through. For these areas, rates would be expected to be reduced in these cases under the new measure. For 2019, Warwickshire's KSI rate per billion vehicle miles was 50.4, statistically significantly lower than the rate in England (89.7) and the West Midlands (50.4).[61]

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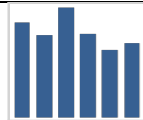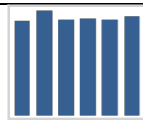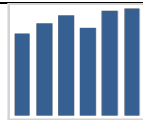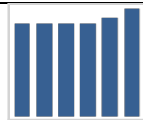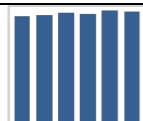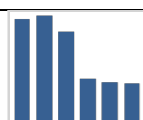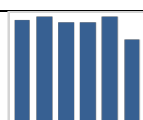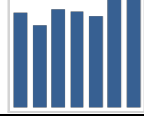
[4] Casualties refer to the people injured in collisions. Casualty numbers tend to be higher than collision numbers as one collision can result in more than one casualty.
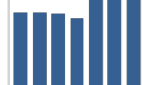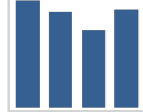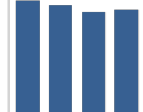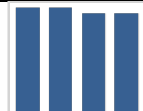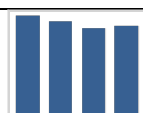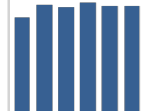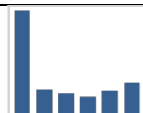
Summary of key measures
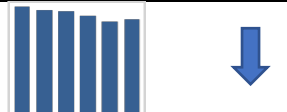
Measure	Latest data	Latest value			Rank compared to all 24 English county LAs 1 is high 24 is low	Trend
		Warwickshire	West Midlands	England		
Gross Disposable Household Income per head of population at current basic prices (£)	2019	£23,867	£18,350	£21,978	Not available	⬆
Households in fuel poverty (%)	2019	14.5%	17.5%	13.4%	5th (low good)	n/a Measure changed
Personal wellbeing						
• Anxiety (mean score, 0-10)	2020/21	3.30	3.34	3.31	10th (low good)	⬆
• Happiness (mean score, 0-10)	2020/21	7.41	7.28	7.31	9th (high good)	⬇
• Life satisfaction (mean score, 0-10)	2020/21	7.59	7.39	7.38	3rd (high good)	⬇

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• Worthwhile (mean score, 0-10)	2020/21	7.77	7.72	7.71	11th (high good)	
Life expectancy at birth						
• Male (years)	2018-2020	79.70	78.54	79.4	17th (high good)	
• Female (years)	2018-2020	83.43	82.51	83.14	17th (high good)	
Healthy life expectancy at birth						
• Male (years)	2017-19	64.6	61.5	63.2	11th (high good)	
• Female (years)	2017-19	64.1	62.6	63.5	14th (high good)	
Proportion of adults (aged 19+) classed as physically active (%)	2019/20	69.4	63.1	66.4	12th (high good)	
Overweight or Obese						

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• Percentage of adults (aged 18+) who are classified as overweight or obese (%)	2019/20	63.0	66.8	62.8	9th (low good)		
• Prevalence of overweight and obesity in reception children (4-5 years) (%)	2019/20	21.1	24.6	23.0	16th (low good)		
• Prevalence of overweight and obesity in year 6 children (10-11 years) (%)	2019/20	33.1	38.2	35.2	9th (low good)		
Suicide rate							
• Suicide rate per 100,000 population (age 10+)	2018-20	9.2	10.5	10.4	17th (low good)		
• Males Suicide rate	2018-20	14.8	16.2	15.9	16th (low good)		
• Females	2018-20	4.1	5.0	5.0	19th (low good)		
Children and young people							
Rate of referrals to children's social services per 10,000	2020/21	463.7	494.5	494.3	7th		
Rate of children in need per 10,000 aged under 18	2020/21	349.6	343.8	321.2	2nd		

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Rate of child protection plans at 31 March per 10,000 aged under 18 at 31st March	2020/21	40	57	53	14th		↓
Rate of Children Looked After per 10,000 population under 18	2020/21	64	67	82	5th		→
Care leavers in education, employment or training aged 19,20 or 21 (%)	2020/21	51	53	50	14th (high good)		↑
Pupils with Special Educational Needs (SEN) statements or Education, Health and Care (EHC) plans (All schools) (%)	2020/21	3.6	3.5	3.6	11th		↑
Pupils with Special Educational Needs (SEN) Support (All schools) (%)	2020/21	11.8	12.9	12.0	11th		→
Rate of youth first time entrants to the youth justice system (per 100,000 of the 10-17 year old population)	2019	123	235	208	13th (low good)		↓
Hospital admissions caused by unintentional and deliberate injuries in children (aged 0-14 years) (per 100,000)	2019/20	99.3	97.0	91.2	8th (low good)		↓
Hospital admissions as a result of self-harm (10-24 year olds) (per 100,000)	2019/20	577.2	422.6	439.2	(low good)		↑

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Hospital admissions for mental health conditions in under 18s (per 100,000)	2019/20	127.4	91.9	89.5			
Health visiting							
• Births that receive a face-to-face New Birth Visits completed within 14 days by a health visitor (%)	2019/20	62.2	85.2	86.8	23rd (high good)		
• Infants receiving a 6-to-8-week review by the time they were 8 weeks (%)	2019/20	82.9	87.5	85.1	21st (high good)		
• Children receiving a 12-month review by the time they turned 12 months (%)	2019/20	81.1	69.5	77.0	15th (high good)		
• Children who received a 2- 2½ year review (%)	2019/20	79.0	73.4	78.6	18th (high good)		
Adult Social Care							
Proportion of adults aged 65+ who were still at home 91 days after discharge from hospital into reablement/rehabilitation services (%)	2020/21	93.6	75.5	79.1	1st (high good)		
Proportion of older people who were offered reablement/rehabilitation services after discharge from hospital (%)	2020/21	1.9	3.7	3.1	16th (high good)		

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Proportion of clients who have control over their daily life	2019/20	75.5	76.5	77.3	19th (high good)		
Proportion of adults with a learning disability in paid employment	2020/21	5.7	3.2	5.1	7th (high good)		
Proportion of adults with learning disabilities who live in their own home or with their family	2020/21	69.6	71.2	78.3	21st (high good)		
Overall satisfaction of people who use adult social care services with their care and support (%)	2019/20	65.4	64.4	64.2	12th (high good)		
Community safety							
Total recorded offences (excluding fraud) per 1,000 population	Oct 2020 /Sept 2021	64.1	81.4	80.9	16th (low good)		
Total victim-based crime per 1,000 population	Oct 2020 /Sept 2021	54.1	69.3	66.4	18th (low good)		
Domestic abuse rate per 1,000 population aged over 16	2019/20	28.0	29.7	28.0	6th (low good)		
Killed and seriously injured casualties on roads (per billion vehicle miles) (Nb. new measure data from 2017)	2019	50.4	61.2	89.7	(low good)		

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Sustainable Futures

Introduction

The period to 2030 will be decisive in addressing the major challenges and opportunities in the transition to Net Zero and mitigating the effects of climate change. Climate change is a national priority (for example with the publication of the Net Zero Strategy) in response to a global issue which will impact on Warwickshire in numerous ways.

The reality of climate change, the increased importance of preserving and investing in biodiversity, and the need to transition to net zero by 2050 will have major impacts on Warwickshire's economy and communities.

The amount of change required and the wider national policy and legal frameworks which support the transition to net zero has to be understood in light of the potential effects on the local economy and our communities, particularly given the likelihood of the negative consequences of climate change having a higher impact on more disadvantaged people and communities. Such a transition inevitably means change and how Warwickshire adapts to that change will be a key element in tackling social inequalities and creating a more inclusive economy.

Looking to the next five years, the following four areas aim to ensure sustainable futures, adapting to and mitigating climate change and meeting net zero commitments:

- Net zero council: be a net carbon zero council by 2030
- Net zero county: mobilise residents, communities, businesses, and key partners to play their part in developing and delivering a clear plan for a net carbon zero county by 2050
- Biodiversity: managing the natural environment to sustain and grow Warwickshire's ecology and promote wellbeing
- Adaptation: adapting our infrastructure and resources to respond to the impacts of climate change.

Net zero Council

Warwickshire County Council monitors the use of energy across its estate including offices, fire stations, libraries, museums, depots, household waste recycling centres, business unit communal areas, and country parks. An energy reporting system is used to quantify and report on the amount of energy used and carbon dioxide emissions.[62] Data on the fossil fuel (gas) and electricity that is used for space heating, hot water, cooling and ventilation, lighting, catering, and office equipment used within buildings is collected.

The energy reporting system excludes: schools, rural estates buildings (agricultural buildings / farmhouses), country parks buildings with the exception of offices, fuel used for transport by fleet and grey vehicle fleet (business miles travelled), buildings where a landlord other than WCC pays the energy bill, energy used by people working from home, staff commuting, contracted transport and privately owned school vehicles, energy associated with water consumption and heating oil where data is insufficiently robust.

Figure X shows total carbon emissions by fuel type for included corporate buildings from 2015/16. Total carbon emissions have reduced over time with reduced emissions from electricity being responsible for this reduction.

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Figure X Total carbon emissions in tonnes (tCO₂) by fuel type for corporate buildings

Source: Warwickshire County Council, https://www.warwickshire.gov.uk/buildingenergyperformance
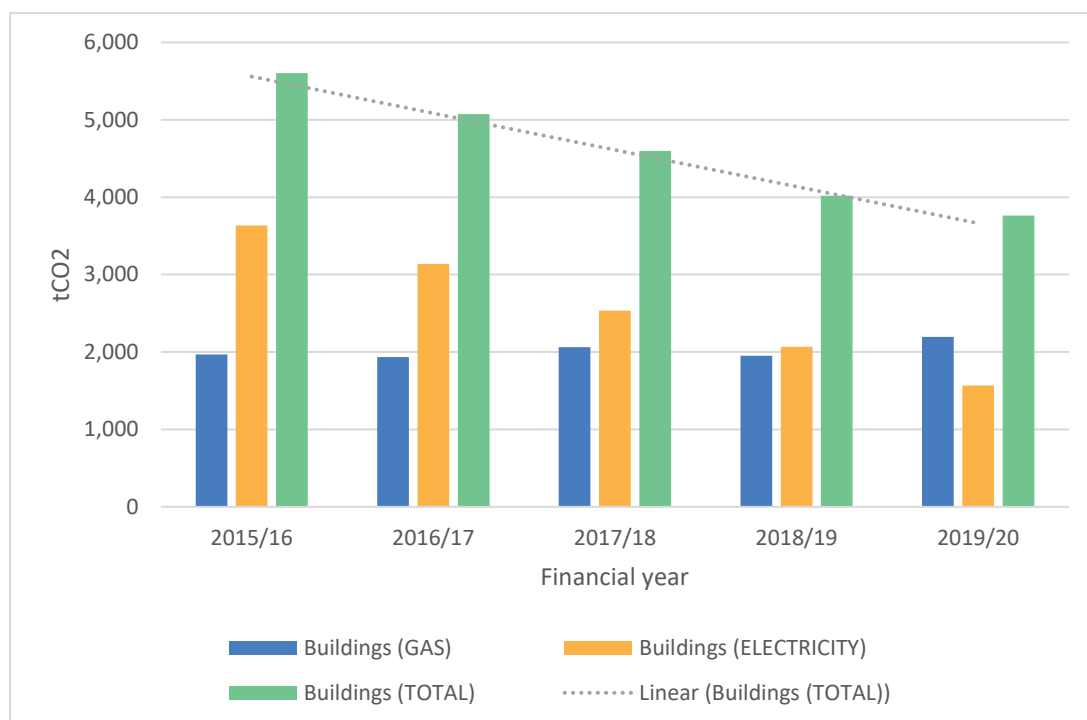
To update and add other data

Net zero County

Carbon dioxide emissions

The Department for Business, Energy and Industrial Strategy provide a breakdown of carbon dioxide (CO_2) emissions across the country. These estimates are to help those working on local and regional indicators as part of their efforts to reduce CO_2 emissions. The estimated CO_2 emissions in Warwickshire in 2019 was 2.6 emissions per km^2– a gradual reduction from 3.4 emissions per km^2 in 2005.[63]

Figure X below shows the carbon dioxide emissions per km^2 by district and borough in Warwickshire compared to the West Midlands and England for the period 2005-2019. The general trend for CO_2 emissions in all districts and boroughs has been a reduction between 2005 and 2019. However, only Stratford-on-Avon District has consistently had a CO_2 emissions per km^2 figure below the regional and national average. Stratford-on-Avon District is predominantly rural, covering a large geographical area and the highest emissions per km^2 are generally in urban areas with higher population densities and areas with large industrial sites. This may explain the higher figures in both Nuneaton & Bedworth Borough and Rugby Borough.

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Figure X Estimated CO₂ emissions per km² by district and borough in Warwickshire, 2005-2019
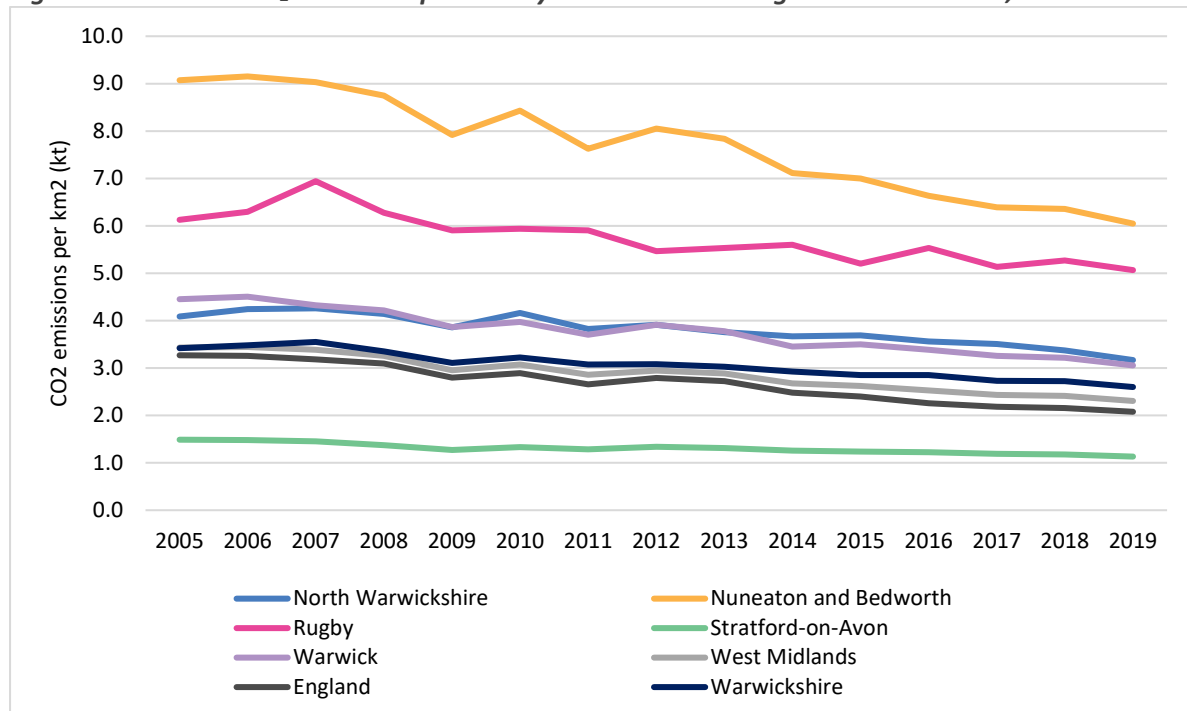
Source: Department for Business, Energy and Industrial Strategy (2021)

Emissions per capita (per person) allow comparison between areas of different population size. However, emissions are driven by many factors other than resident population. Figure X shows emissions per capita by district and boroughs in Warwickshire compared to the West Midlands and England average for the period 2005-2019. Warwickshire had the 3rd highest CO₂ emissions per capita of all English county local authorities in 2019.[64]

Figure X Estimated CO₂ emissions per person by district and borough in Warwickshire, 2005-2019
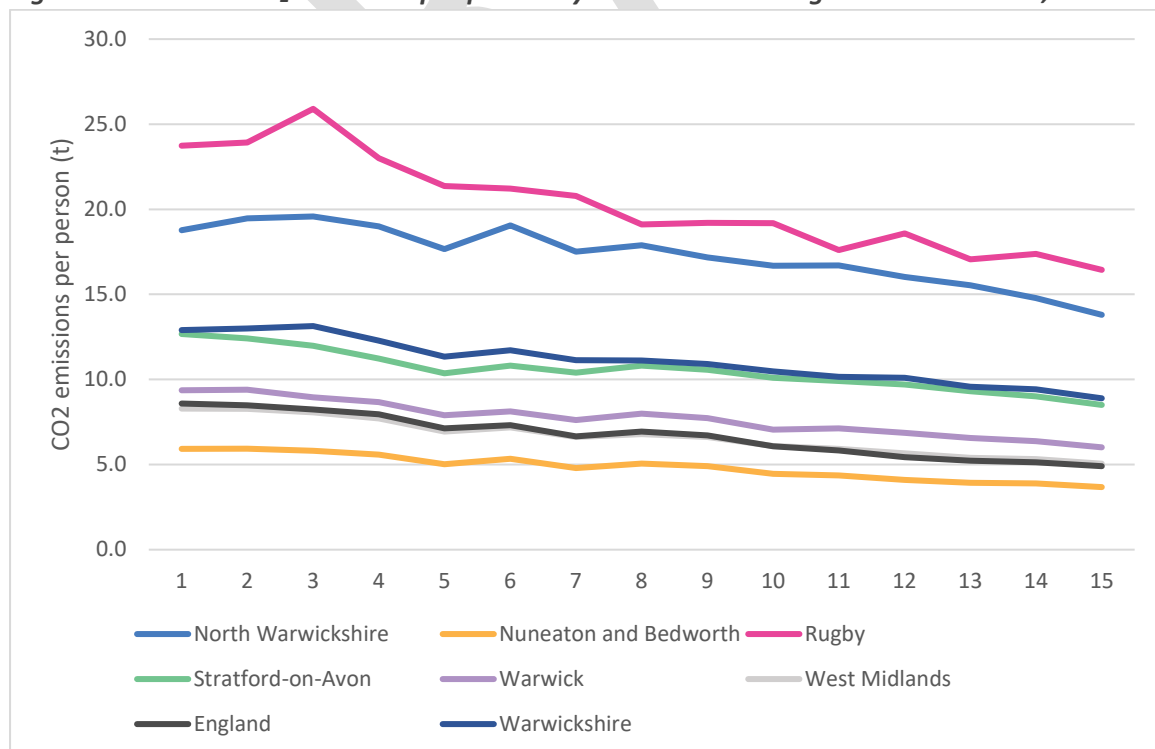
Source: Department for Business, Energy and Industrial Strategy (2021)

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The greatest contribution to CO_2 emissions in Warwickshire is the transport sector followed by industry (Figure X), with transport being responsible for 44.4% of CO_2 emissions in 2019 and industry responsible for 31.3%. The greatest reduction in CO_2 emissions has been from domestic emissions (a reduction of 514.1 kt CO_2), followed by industry (a reduction of 490.2 kt CO_2). The greatest percentage reduction in CO_2 emissions since 2005 has been from the public sector (53.6 % reduction), followed by the commercial sector (50.9 % reduction). Emissions and removal of CO_2 by the land use, land use change and forestry sector are presented separately.

Figure X Contribution to CO^2 emissions by sector, 2005-2019
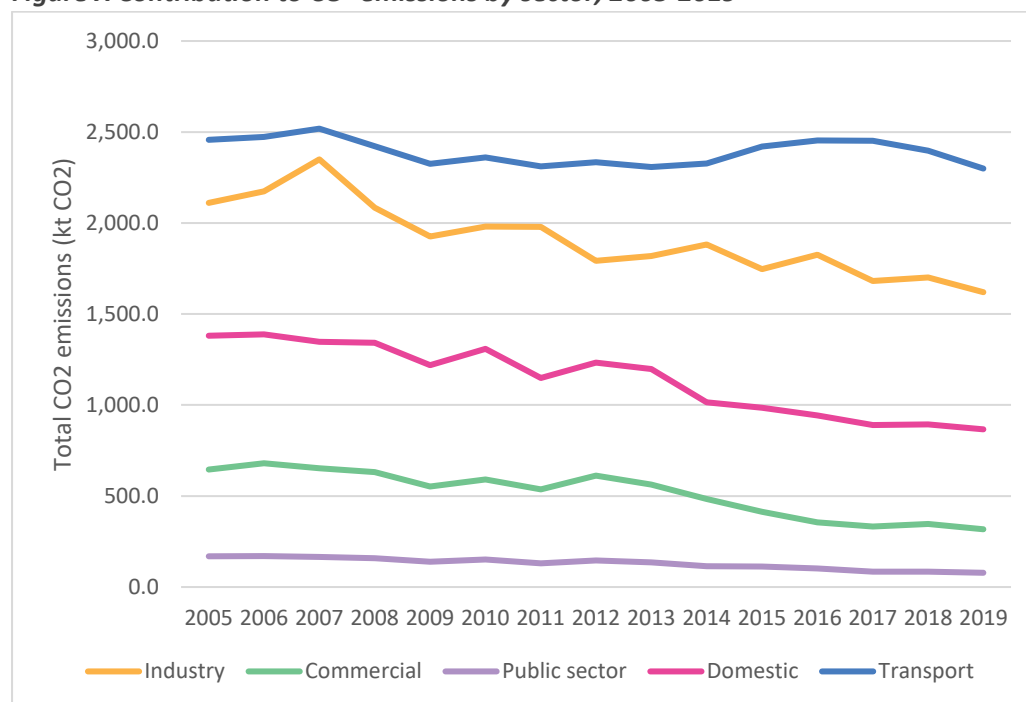
Source: Department for Business, Energy and Industrial Strategy (2021)

Figure X – Estimated contribution to CO_2 emissions by sector for districts and boroughs in Warwickshire, 2005-2019

Source: Department for Business, Energy and Industrial Strategy (2021)

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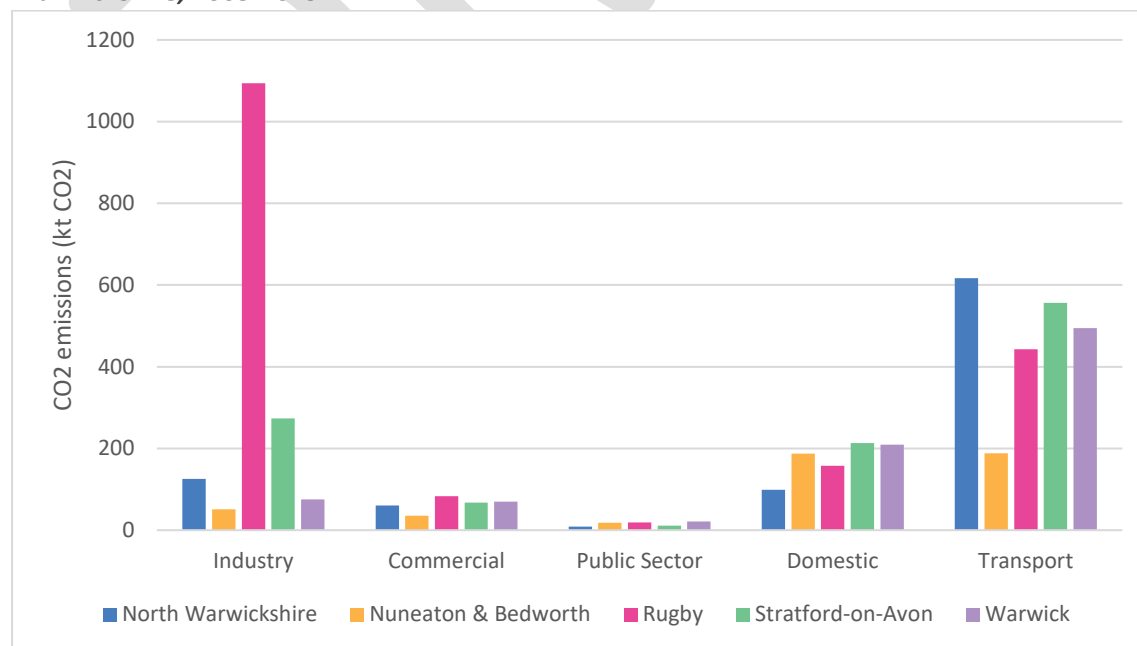
Figure X shows the majority (67.5%) of CO_2 emissions from industry in 2019 came from Rugby Borough; of the 976.9 kt CO_2 emissions from industry, 971.5 kt CO_2 were from large industrial installations. The highest proportion of CO_2 emissions from transport in 2019 came from North Warwickshire Borough (26.9%), where 444.0 kt CO_2 of the 617kt CO_2 total came from motorway road transport.

It should be noted that local authorities have relatively little influence over some types of emissions, so this data should be interpreted with caution. Data is also presented on CO_2 emission estimates within the scope of influence of local authorities. This excludes large industrial sites, railways, motorways and land-use. Figure X shows estimates for CO_2 emissions per person with the scope of influence of local authorities.

Figure X Estimated CO_2 emissions per person within scope of the influence of local authorities by district and borough in Warwickshire, 2005-2019
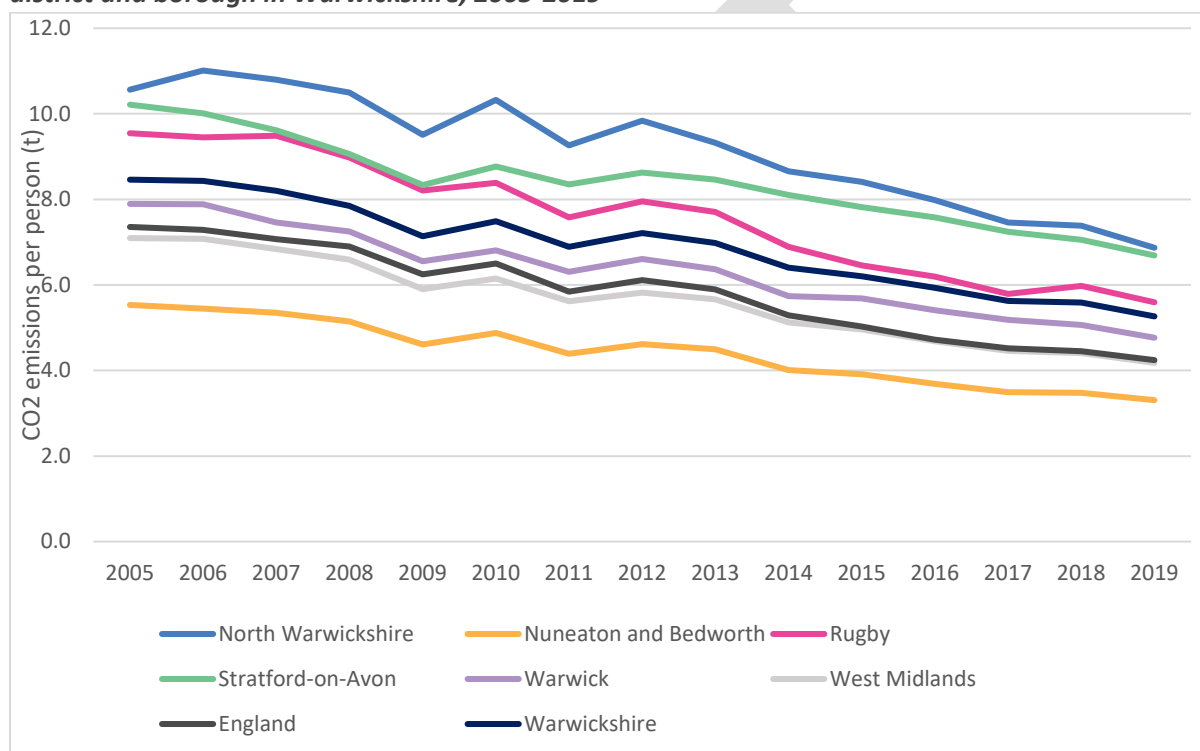
Source: Department for Business, Energy and Industrial Strategy (2021)

Compared to Figure X (nb above) it can be seen that the removal of large industrial sites, railways and motorways from the measures means that the estimated CO_2 emissions per person are much lower (for Warwickshire as a whole, 5.3 tonnes compared to 8.9 tonnes in 2019). Notably, Rugby Borough now has lower estimated CO_2 emissions per capita than both North Warwickshire Borough and Stratford-on-Avon districts. Looking at the contribution of sectors to CO2 emissions withing scope of the influence of local authorities both have relatively high contributions from transport and industry (Figure X).

Figure X – Estimated contribution to CO₂ emissions within scope of the influence of local authorities by sector for districts and boroughs in Warwickshire, 2005-2019
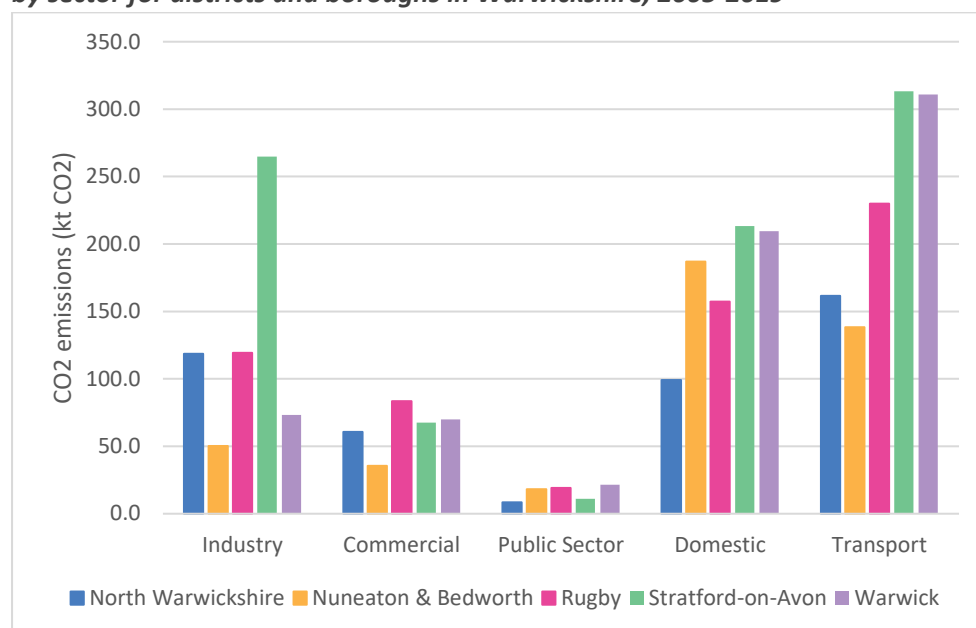
Source: Department for Business, Energy and Industrial Strategy (2021)

Land use, land use change and forestry (LULUCF)

The LULUCF sector covers emissions and removals of CO_2 resulting from direct human induced land use, land-use change and forestry activities. Carbon is removed from the atmosphere (sequestered) by forestry and grassland, while carbon losses occur on existing cropland and natural land (e.g. grassland) that is converted to cropland or settlement.

Figure X CO₂ emissions/removals in Warwickshire by LULUFC sector (2005-2019)

Source: Department for Business, Energy and Industrial Strategy (2021)

89
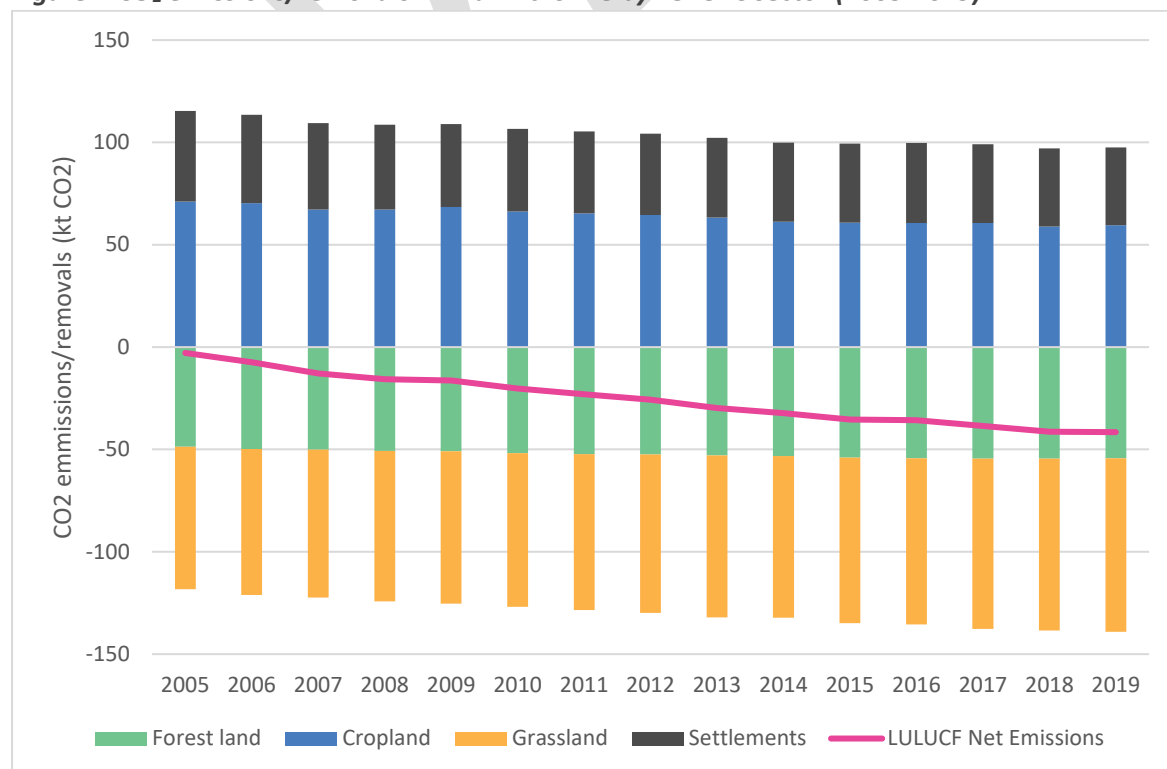
In Warwickshire, since 2005, the LULUFC sector has been a net carbon sink (has absorbed more carbon from the atmosphere than it has released) (Figure X). In 2019 net removals of emissions reached 41.5 $KtCO_2$; the biggest contributor to this has been grassland both remaining and converted (-84.9 $KtCO_2$). Figure X shows that Stratford-on-Avon District is the biggest contributor to CO_2 removal in Warwickshire and has had the greatest increase in contribution since 2005.

Figure X
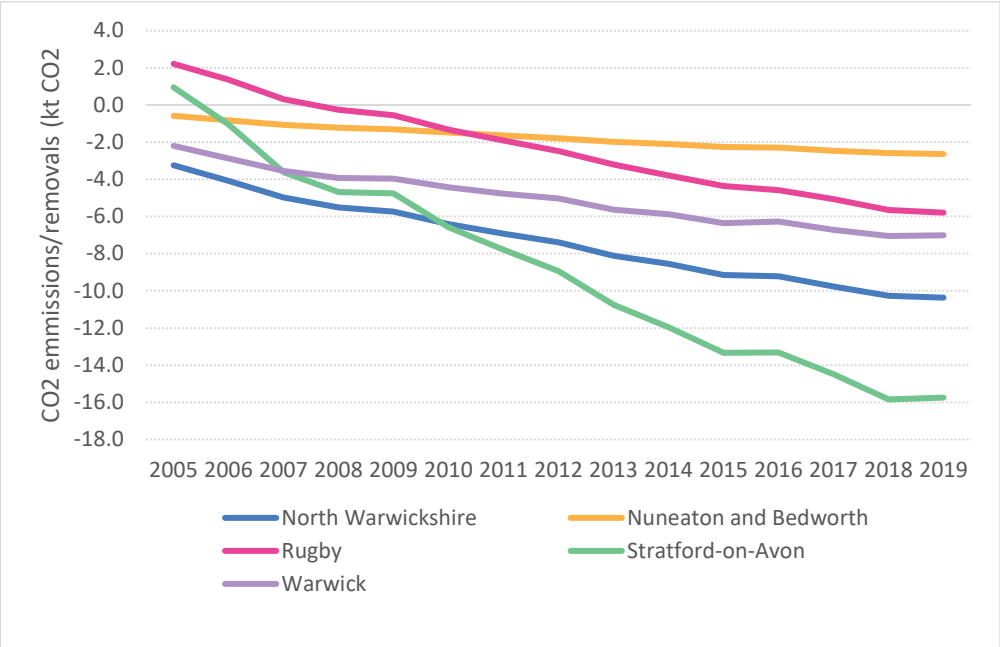
Source: Department for Business, Energy and Industrial Strategy (2021)

Figure X shows contribution to CO2 emissions and removals made by the LULUCF sector in each of the districts and boroughs in Warwickshire in 2019.

Figure X

Source: Department for Business, Energy and Industrial Strategy (2021)

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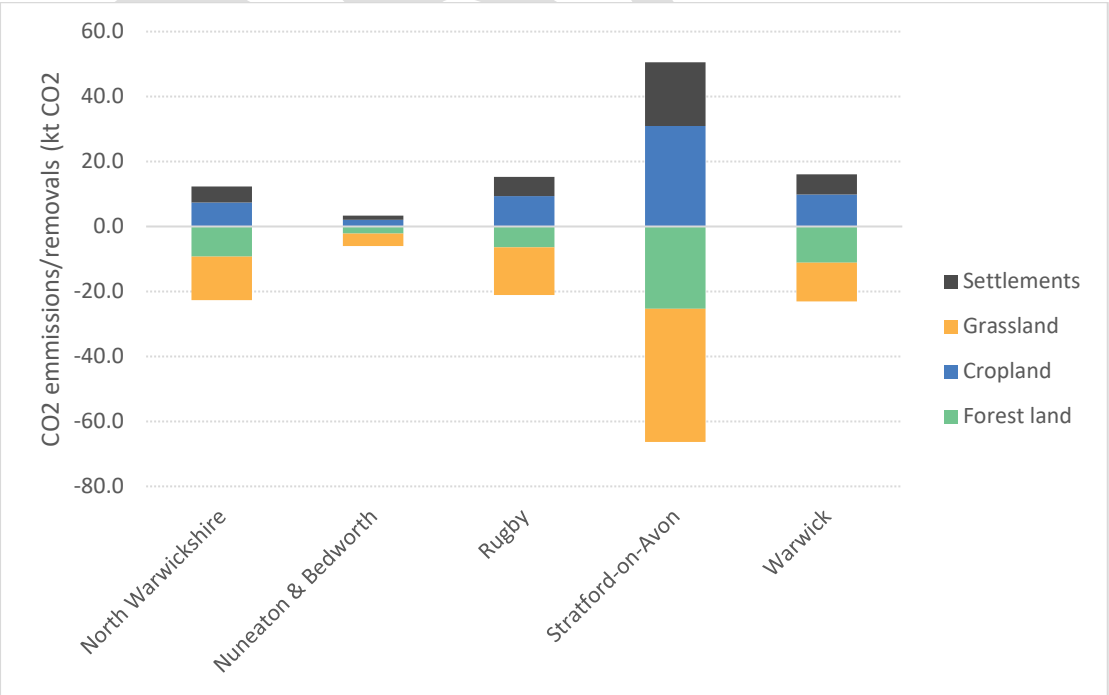
Electric Vehicles

According to the Department for Transport and Office for Zero Emission Vehicles, there were 223 publicly available electric vehicle charging devices (at all speeds) in Warwickshire in July 2021.[65] This is a rate of 38.2 per 100,000 population – slightly higher than the England equivalent figure of 36.4 per 100,000 population. Of the 223 electric charging devices, 91 (15.6 per 100,000 population) were classified as rapid devices. Figure X below shows the rate per 100,000 population of publicly available electric vehicle charging devices (at all speeds) for each of the districts and boroughs from October 2019 to July 2021.

Figure X. Publicly available electric vehicle charging devices (at all speeds), rate per 100,000 population, October 2019-July 2021
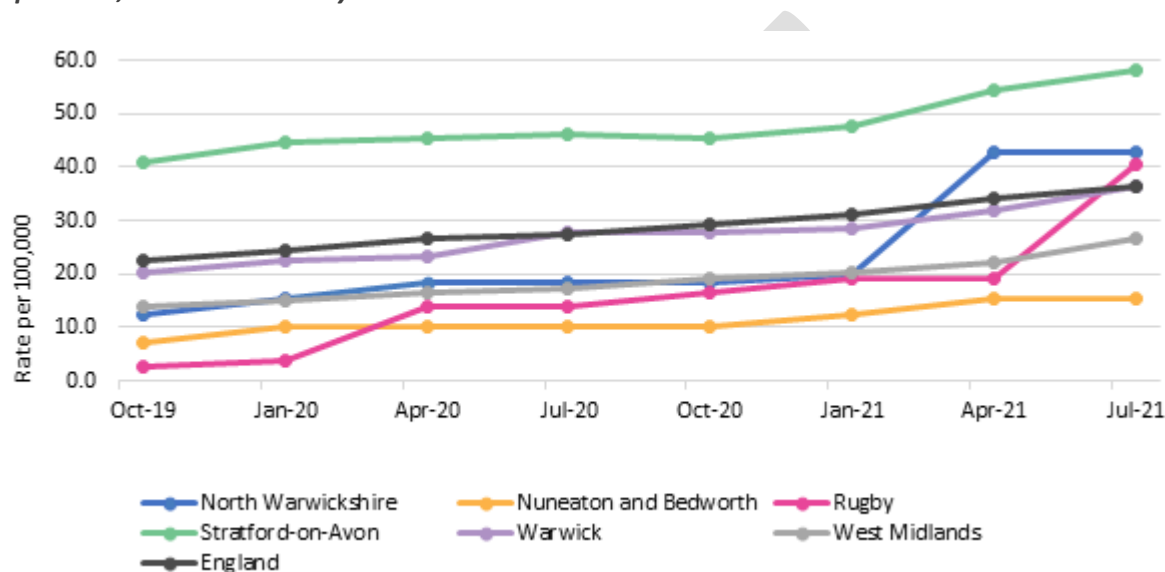
Source:

As Figure X shows, Stratford-on-Avon District has had the highest publicly available electric vehicle charging rate (at all speeds) between 2019 and 2021. In July 2021, only Nuneaton & Bedworth Borough had a rate (15.3 per 100,000) lower than both the West Midlands (26.7) and England (36.4) rates.

Energy Performance of homes in Warwickshire

The government had set a target to upgrade as many homes to Grade C on Energy Performance Certificates (EPCs) (graded from A-G) by 2035. The closer to A, the more efficient the home, meaning it should have lower energy bills and a smaller carbon footprint. Grade C is just above average.[66] In Warwickshire, when looking at existing properties and the number of energy performance certificates lodged on the register, 66.8% were graded as D-G in 2020. This is worse than both the England (60.3%) and the West Midlands (64.7%) equivalent figures.

Figure X shows the proportion of homes in each of the districts and boroughs that are below energy efficiency targets – houses graded D-G on EPC – between 2010 and 2020. In 2020, only Rugby Borough and Warwick District had a lower proportion of D-G graded homes than the England average.

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TO CHECK DATA -2018?

Figure X. Proportion of existing homes below energy efficiency targets (graded D-G on Energy Performance Certificates), 2010-2020
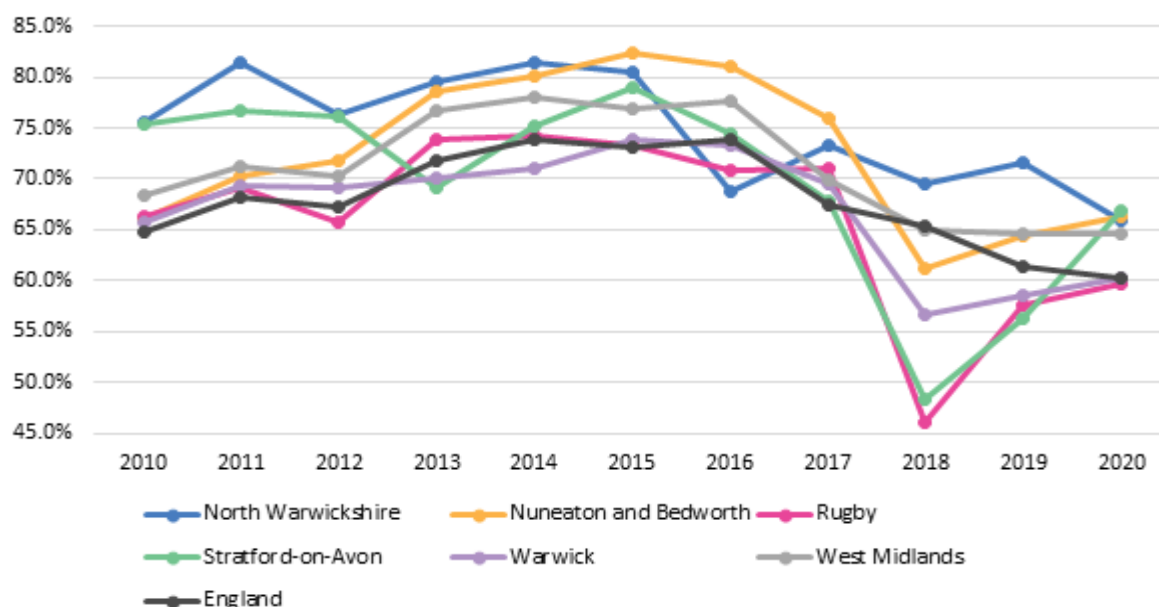
Source:

To DO

- Waste management data:

  o % of waste recycled, composted and reused (overall recycling rate)

  o Total waste per head

  o Carbon data – waste disposal agency

- Amount of Renewable Electricity Generated (https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/920656/Renewable_electricity_by_local_authority_2014_to_2019.xlsx)

To look at Net Zero disruption and opportunity at a local level -

https://www.smf.co.uk/publications/zeroing-in/?utm_medium=email&utm_campaign=SMF%20Monthly%20-%20Sept%202021&utm_content=SMF%20Monthly%20-%20Sept%202021+CID_178c264513d0f958d09148ff6d64041d&utm_source=Email%20marketing%20software&utm_term=Zeroing%20In

Biodiversity

managing the natural environment to sustain and grow Warwickshire's ecology and promote wellbeing To Do

- Air quality:

o Measured air quality data (NO2) using LA Air Quality Annual Status reports

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- o   Fraction of mortality attributable to particulate air pollution (%)

- •   Number of trees planted/Warwickshire tree coverage

land use, land‑use change and forestry (LULUCF) activities

Adaptation

adapting our infrastructure and resources to respond to the impacts of climate change <mark>(To Do)</mark>

- •   Green Shoots data - amount of funding, projects funded https://www.warwickshire.gov.uk/regeneration-projects/green-shoots-community-climate-change-fund-2021/4

- •   Warwickshire's Climate Change Risk Assessment (carried out by the LGA/Oxford Uni) which has data on impact of rising temperatures - this could provide some useful scenario's on Adaptation (Suggested by Steve – Matt W to supply)

Summary of key measures <mark>To DO</mark>

Measure	Latest data	Latest value			Position compared to 24 county councils	Trend
		Warwickshire	West Midlands	England		

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Business Intelligence

Council Plan Refresh 2021: Public Engagement

Report of results

produced by

Business Intelligence Service, Warwickshire County Council

October 2021

Contents

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1. Background

In 2019, Warwickshire County Council engaged with residents and other stakeholders in the County on the proposed objectives for the Council Plan 2020-2025. This plan launched in February 2020, but implementation and delivery were interrupted by the COVID-19 pandemic, and in autumn 2020 the plan was superseded by a Recovery Plan. Following this Warwickshire County Council is developing a new five-year Council Plan.

The ambition remains to make Warwickshire the best it can be, now and for future generations with three outcomes being proposed. These are for Warwickshire to be:

- A county with **a vibrant economy and places** with the right jobs, skills, and infrastructure.
- A place where people can live their **best lives**; where communities and individuals are supported to live safely, healthily, happily and independently.
- A place with **sustainable futures** which means adapting to and mitigating climate change and meeting net zero commitments.

Engagement with residents and other stakeholders has been carried out to determine views on the importance of a series of draft objectives for the new Council Plan under these three strategic outcomes. Draft objectives on delivery of these outcomes were also presented and views sought. In addition, respondents were asked about priorities for spending.

This report presents the findings from the public engagement exercise.

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2. Method

An online survey was developed and hosted on the Citizen Space 'Ask Warwickshire' webpage (https://ask.warwickshire.gov.uk/) to gather the views of stakeholders on the proposed outcomes and areas of focus for the Council Plan 2022-2027. The survey was live between 18th September 2021 and 17th October 2021.

In addition, to this main survey, respondents could also access the questions in the survey in alternative ways:

- An easy read version accessed via the main survey.
- A survey designed for young people accessed via a private link shared between 27th September and 17th October 2021.
- A paper copy of the questionnaire could be requested along with alternative formats and languages.

People could also respond directly by email to askwarwickshire@warwickshire.gov.uk, or in writing.

The engagement activities were promoted to potential respondents using a variety of methods:

- Social media - daily posts across all WCC corporate accounts and regular sharing across service led accounts including Family Information Service (FIS); Warwickshire Fire and Rescue Service (WFRS); Warwickshire Libraries; and Economy & Skills. Boosted and targeted posts reflecting underrepresented groups.
- Strategic partners - email to strategic partners (district and borough councils; health; Police; business; universities etc) and MPs from WCC Chief Executive and Leader
- Communities and Partnerships - utilising all networks to voluntary and community sector partners through the Communities and Partnerships team. Also sent to other organisations/groups – Warwickshire Pride; Warwick District Faith Forum; Community Safety Partnerships; Grapevine; Making Space; and WCC commissioned services.
- Town and Parish Councils (TAPC) - emailed directly and promoted through Warwickshire Matters (TAPC newsletter)
- Internal / WCC staff - articles in Working for Warwickshire (W4W), Strategic Director broadcasts, Strategic Leadership Forum and Intranet homepage.
- Digital advertising - with Reach PLC (Coventry/Warwickshire Telegraph/Nuneaton News) – included digital display ads, targeted social media ads, and print ads.
- Other channels - Warwickshire Means Business; weekly engagement packs (including district and borough councils, extensive distribution to partners); FIS newsletter, Heads UP and direct email to other communications leads, WCAVA and Equip.

See Appendix 1 for further details of promotion of the engagement survey.

Results from the three surveys were combined and the combined analysis is presented throughout other than where stated. The surveys contained both quantitative and open-ended questions. Qualitative data has been analysed by coding the comments provided by respondents into themes using NVivo to help organise the information. See Appendix 2 for a copy of the main survey and questions asked.

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3. Key Messages

There were **598 responses** to the public engagement activity. The majority of respondents completed the survey as a Warwickshire resident (**88.5%**), with a further **7.9%** saying they worked in Warwickshire. Respondents living in **Warwick District** were over-represented whilst those living in **Nuneaton and Bedworth Borough** and **Rugby Borough** were under-represented.

Vibrant economy and places

- The majority of respondents felt that all proposed areas of focus to achieve the 'Vibrant economy and place' strategic outcome were either very important or important.
- **'Educational attainment'** was the area of focus that most respondents said was either very important or important - **94.8%** of all responses, **100%** of responses from young people.
- The area of focus that respondents were least like to say was very important or important was **'Connected County'** - **89.3%** of all responses, with **7.2%** saying it was of little importance or not important.
- When asked what key actions Warwickshire County Council could carry out to deliver the areas of focus within the 'Vibrant economy and places' outcome, the most common responses related to: **investment in and improvement of sustainable (public) travel and transport options** (e.g. walking, cycling); **access to quality education** (including good schools, learning, development and training opportunities); **concerns regarding (housing) developments/urban expansion**; **general environmental concerns** (e.g. importance of green spaces, wildlife, cleanliness, pollution concerns); and **improvement to/investment in local infrastructure** (e.g. road maintenance, access to local services, facilities and amenities).

Best lives

- The majority of respondents felt that all proposed areas of focus to achieve the 'Best lives' strategic outcome were either very important or important.
- **'Safe communities'** was the area of focus that most respondents said was either very important or important - **95.2%** of all responses.
- The area of focus that respondents were least like to say was very important or important was '**Develop the conditions for a Community Powered Warwickshire**' - **85.8%** of all responses with **10.9%** saying it was of little importance or not important.
- When asked what key actions Warwickshire County Council could carry out to deliver the areas of focus within the 'Best lives' outcome, the most common responses related to: **promotion/support for health and wellbeing initiatives** (e.g., physical exercise, mental health); **investment in/support for children/young people** (youth service provision, access to good education, education/career opportunities); and **safety/security** (policing, speeding, violence, anti-social behaviour, drinking/drug-taking).

Sustainable futures

- The majority of respondents felt that all proposed areas of focus to achieve the 'Sustainable futures' strategic outcome were either very important or important.

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- '**Biodiversity**' was the area of focus that most respondents said was either very important or important - **93.8%** of responses.
- The area of focus that respondents were least likely to say was very important or important was **'Net zero council'** - **78.3%** of all responses with **17.2%** saying it was of little importance or not important.
- When asked what key actions Warwickshire County Council could carry out to deliver the areas of focus within the 'Sustainable futures' outcome, the most common responses related to: **investment in/improvement of sustainable or 'green' (public) travel and transport options** (e.g. walking, cycling); **general environmental concerns** (e.g. importance of green spaces, wildlife, cleanliness, pollution concerns); and **focus on/support for/investment in renewable energy schemes/initiatives**.

Delivery of outcomes

- The majority of respondents felt that all areas of focus propose to achieve delivery of the strategic outcome were either very important or important.
- '**Delivering value for money**' was the area of focus that most respondents said was either very important or important - **92.6%** of responses. This was closely followed by '**Great partnership working**' - **90.6%**.
- The area of focus that respondents were least likely to say was very important or important was '**Putting the customer first**' - **80.6%** with **15.2%** saying it was of little importance or not important.
- When asked what key actions Warwickshire County Council could carry out to deliver the areas of focus within the sustainable futures of outcome, the most common responses related to: **improving communication and engagement (with local residents)** – opportunities to listen, learn and feedback; **importance of integrated working, joined-up thinking and collaboration with partners;** and **delivering value for money (transparency on finance, resources and plans).**

Spending priorities

- The areas of focus that respondents were most likely to choose for Warwickshire County Council to **make savings on** if required were: '**developing place**' (10.5% of responses); '**investment, jobs and growth**' (10.1%); '**future skills**' (9.9%) and '**connected county**' (9.4%). The areas of focus chosen by the lowest number of respondents were 'Child Friendly Warwickshire' (5.7%); 'Safe communities' (5.8%) and 'Biodiversity' (5.8%).
- The areas of focus that respondents were most likely to choose for Warwickshire County Council to **spend more on** if it became available were '**educational attainment**' (13.3% of responses); '**healthy, happy and independent lives**' (9.3%) and '**developing place**' (8.9%). The area of focus that respondents were least likely to choose as an area where money could be spent if it became available was 'Future skills' (4.6%).

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Future Challenges

In response to the question: **'What three things do you think could improve life in Warwickshire for future generations?':**

- There were **419** responses
- The most common themes from responses were: **investment in/improvement of sustainable 'green' (public) travel and transport options** (e.g. walking, cycling) (28.9%, n=121); general **environmental-related concerns** (e.g. importance of green spaces, wildlife, cleanliness, pollution concerns) (28.4%); the **importance of education and skills** (including good schools, learning, development and training opportunities) (24.8%) and concerns regarding **(housing) developments/urban expansion** (20.0%).

In response to the question **'What do you think we could be doing now to work towards these?':**

- There were **362** responses
- The most common themes from responses were: investment in and ensuring **access to good quality education** (16.3%); **improve communication and engagement with local residents** providing opportunities to listen, learn and feedback (15.7%); comments on **housing, developments and urban expansion regulation/policies** (15.2%); and investment in and encouragement for **protection of green spaces and local environment** (inc. recycling) (14.9%).

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4. Questionnaire results

In total there were **598** respondents to the engagement exercise across the three surveys:

- Main survey – 453 responses
- Easy read survey – 77 responses
- Young person's survey – 68 responses

In addition, one email response was received.

4.1 Respondent Profile

Figure 1 shows in what capacity respondents were completing the surveys. The majority of respondents were Warwickshire residents (77.1%, n=461) or young people who live in Warwickshire (11.4%, n=68).

Figure 1: Which of these descriptions best describes why you are completing this survey?
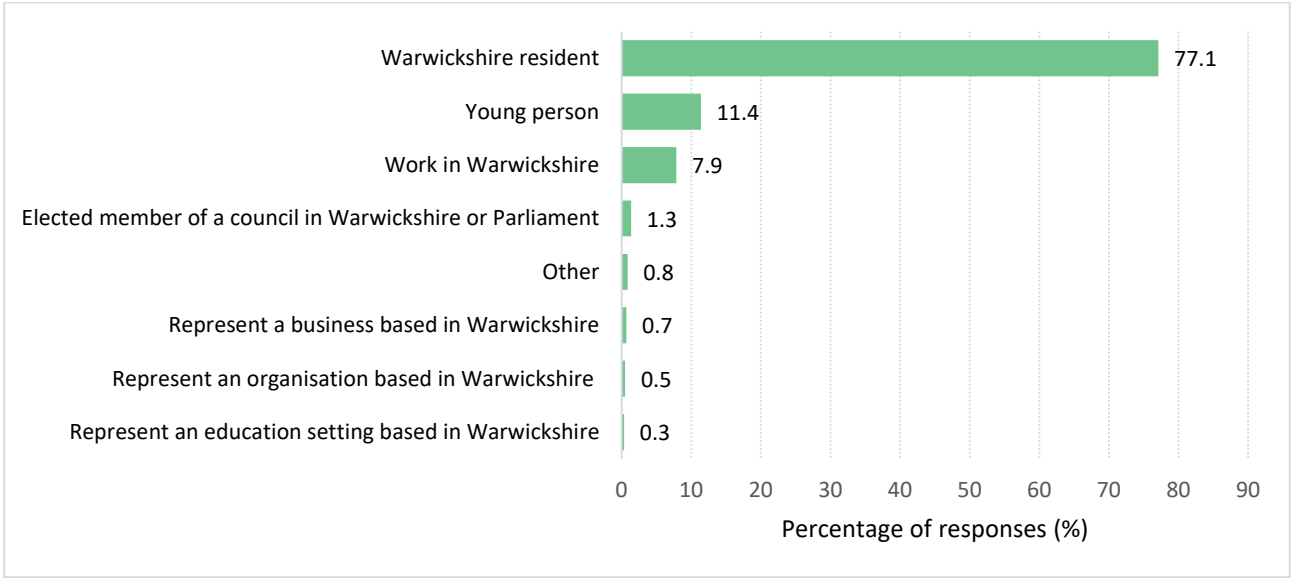
Respondents who said they were a Warwickshire resident or who responded to the young person's survey were asked to say in which area of Warwickshire they lived. The highest proportion of respondents across all surveys lived in Warwick District (40.3%, n= 213) (Figure 2). Table 1 shows a breakdown of the number and percentage of respondents living in each area respondents who responded as a Warwickshire resident or completed the Young Persons survey. Respondents from Nuneaton & Bedworth Borough and Rugby Borough were under-represented, with respondents from Warwick District being over-represented.

Respondents who completed the main survey and easy read survey in a capacity other than as a resident were asked the district or borough in which they worked or undertook their role. The highest proportion of respondents were based in Warwick District (39.7%, n= 27) or County wide (20.6%, n=14)(Figure 3).

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Figure 2: Area of residence of respondents who responded as a Warwickshire resident or completed the Young Persons survey
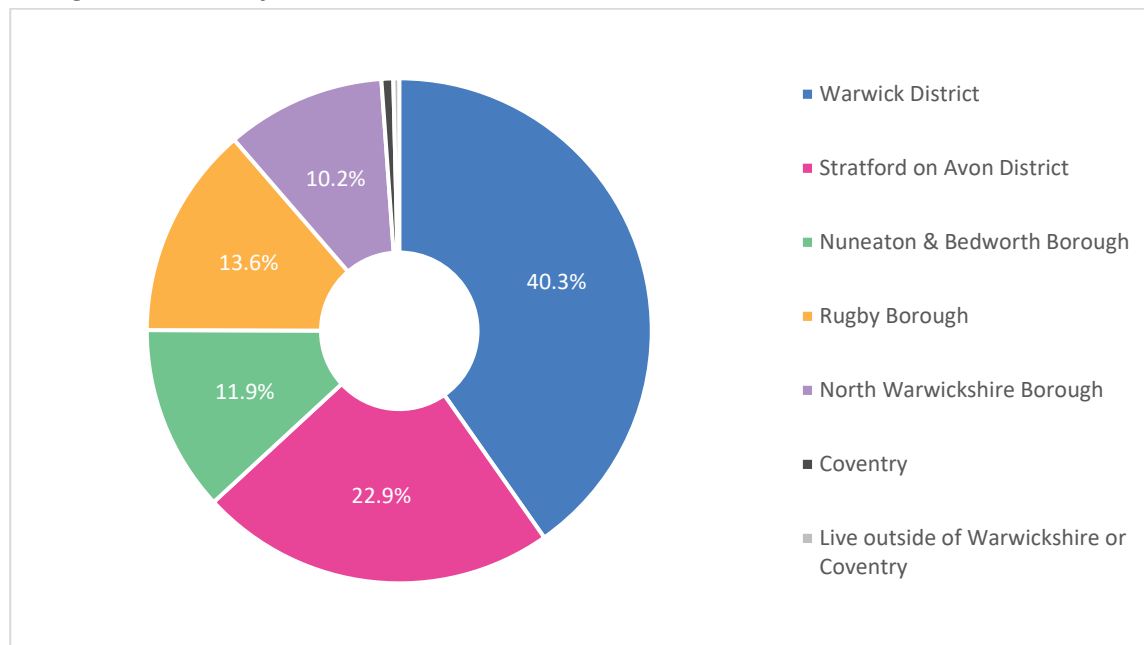
Table 1: Area of residence of respondents who responded as a Warwickshire resident or completed the Young Persons survey by survey type

District/borough	Main		Easy read		Young persons		All surveys		County Population %
	No.	%	No.	%	No.	%	No.	%	
Warwick District	159	40.6	16	23.5	38	55.9	213	40.3	24.9
Stratford on Avon District	83	21.2	18	26.5	20	29.4	121	22.9	22.7
Nuneaton & Bedworth Borough	55	13.8	7	10.3	1	1.5	63	11.9	22.3
Rugby Borough	54	13.8	13	19.1	5	7.4	72	13.6	19.0
North Warwickshire Borough	42	10.7	10	14.7	2	2.9	54	10.2	11.2
Coventry	0	0.0	3	4.4	1	1.5	4	0.8	-
Live outside of Warwickshire or Coventry	0	0.0	1	1.5	1	1.5	2	0.4	-
Total	393		68		68		529		

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Figure 3: Area where respondents completing the survey in a capacity other than as a resident worked or undertook their role
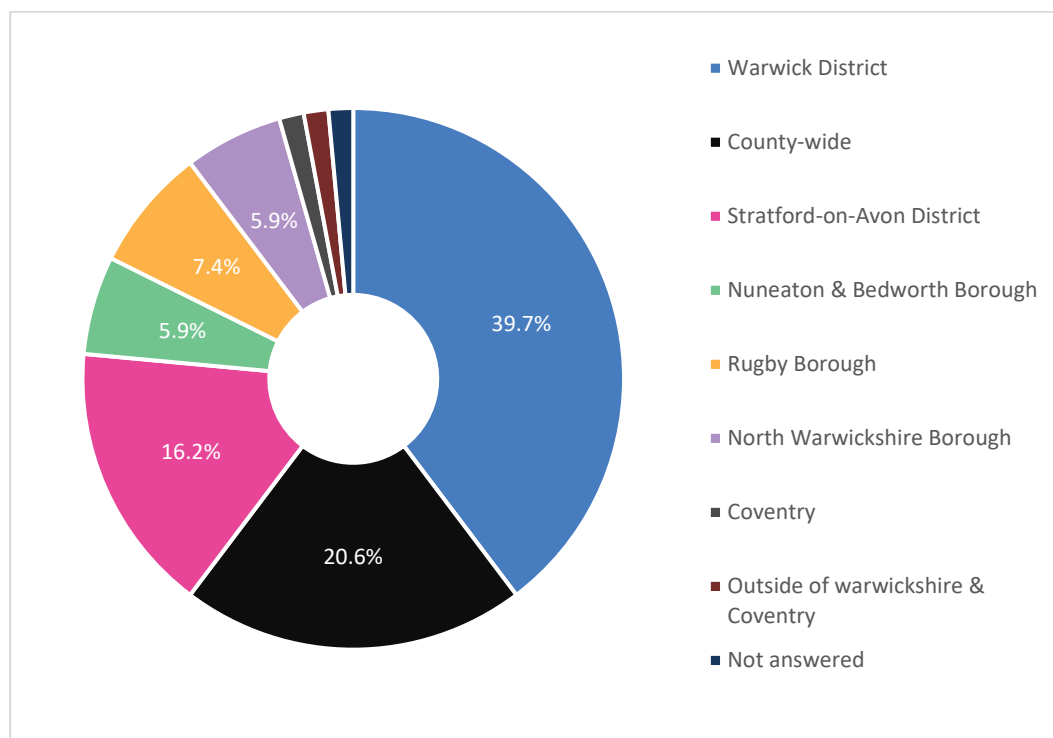
Respondents to both the main survey and the easy read survey were asked if they were an employee of Warwickshire County Council. Just over a fifth of respondents (20.4%, n=108), indicated that they worked for Warwickshire County Council.

Table 2 shows the characteristics of respondents completing the three surveys.

Table 2 – Characteristics of respondents (n=598)

	Sub-group	Main		Easy read		Young persons	
		Count	%	Count	%	Count	%
Age group	Under 18	1	0.2	0	0	61	89.7
	18 – 24	7	1.5	0	0	3	4.4
	25 - 39	75	16.6	7	9.1	2	2.9
	40 – 49	92	20.3	14	18.2	0	0
	50 – 59	121	26.7	18	23.4	2	2.9
	60 – 64	40	8.8	5	7.8	0	0
	65 – 74	53	11.7	21	27.3	0	0
	75 +	27	6.0	4	5.2	0	0
	Not Answered	12	2.6	3	3.9	0	0
	Prefer not to say	25	5.5	4	5.2	0	0
Disability	No	340	75.1	58	75.3	58	85.3
	Yes	55	12.1	12	15.6	6	8.8
	Not Answered	15	3.3	1	1.3	1	1.5
	Prefer not to say	43	9.5	6	7.8	3	4.4
Ethnic background	Asian or Asian British - Indian	8	1.8	5	6.5	5	7.4
	Asian or Asian British - Pakistani	1	0.2	0	0	1	1.5

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	Black or Black British - African	1	0.2	0	0	1	1.5
	Black or Black British - Caribbean	1	0.2	0	0	0	0
	Chinese	1	0.2	0	0	0	0
	Mixed - Asian and White	4	0.9	0	0	1	1.5
	Mixed - Black Caribbean and White	1	0.2	0	0	0	0
	Other Asian Background	1	0.2	0	0	0	0
	Other Mixed Background	6	1.3	0	0	0	0
	Other White background	18	4.0	3	3.9	2	2.9
	White British	340	75.1	60	77.9	55	80.9
	White Irish	10	2.2	0	0	0	0
	Not answered	33	7.3	3	3.9	2	2.9
	Prefer not to say	24	5.3	6	7.8	1	1.5
	Prefer to self-describe	4	0.9	0	0	0	0
Gender	Female (including trans female)	239	52.8	45	58.4	42	61.8
	Male (including trans male)	137	30.2	28	36.4	20	29.4
	Non-binary / agender / gender-fluid	2	0.4	-	-	-	-
	Not Answered	25	5.5	1	1.3	1	1.5
	Prefer not to say	40	8.8	3	3.9	3	4.4
	Prefer to self-describe	10	2.2	0	0	2	2.9
Transgender	Yes	1	0.2	0	0	1	1.5
	In some ways	1	0.2	0	0	2	2.9
	No	390	86.1	66	85.7	63	92.6
	Not Answered	22	4.9	6	7.8	1	1.5
	Prefer not to say	39	8.6	5	6.5	1	1.5
Religion	Buddhism	2	0.4	0	0	0	0
	Christianity	169	37.3	37	48.1	18	26.5
	Hinduism	2	0.4	2	2.6	1	1.5
	Islam	1	0.2	1	1.3	2	2.9
	Judaism	1	0.2	0	0	0	0
	No religion	189	41.7	18	23.4	38	55.9
	Other religion or belief	11	2.4	0	0	1	1.5
	Sikhism	3	0.7	2	2.6	2	2.9
	Spiritualism	5	1.1	2	2.6	2	2.9
	Not Answered	20	4.4	3	3.9	1	1.5
	Prefer not to say	50	11.0	12	15.6	3	4.4
Sexuality	Asexual	10	2.2	0	0	2	2.9
	Bi / bisexual	5	1.1	2	2.6	6	8.8
	Gay man	6	1.3	2	2.6	2	2.9
	Gay woman / lesbian	2	0.4	1	1.3	0	0
	Heterosexual / straight	330	72.8	58	75.3	44	64.7
	Pansexual	4	0.9	0	0	3	4.4
	Not Answered	25	5.5	6	7.79	3	4.4
	Prefer not to say	71	15.7	8	10.4	5	7.4
	Other	0	0	0	0	3	4.4

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4.2 Results: Vibrant economy and places - thoughts on proposed areas of focus

Respondents were presented with information on proposed areas of focus for the next five years, to ensure Warwickshire has a vibrant economy and places, made up of the right jobs, skills, and infrastructure:

- **Investment, growth and jobs**: Develop a sustainable economy by focusing on productivity, targeting inclusive economic growth and attracting investment and jobs into the county
- **Future skills**: Work with business and partners to inform the key skills requirements and provision now and for the future
- **Developing place**: Develop attractive, accessible, safe, prosperous, inclusive, sustainable places where people want to live, work and visit
- **Connected county**: Encourage the creation of infrastructure that will support strong, prosperous and accessible places and economy with improved transport, active travel, energy, and digital (fibre and mobile) connectivity
- **Educational attainment**: Enabling an inclusive, high quality education for all children and young people within Warwickshire with a particular focus on vulnerable groups

Further detail on what each of the areas of focus could mean were also provided (see Appendix 2)

Respondents were then asked how important each of the proposed areas of focus are. Figure 4 shows that the majority of respondents felt that all proposed areas of focus were either very important or important.

Figure 4 – Thoughts on Vibrant Economy and Places areas of focus
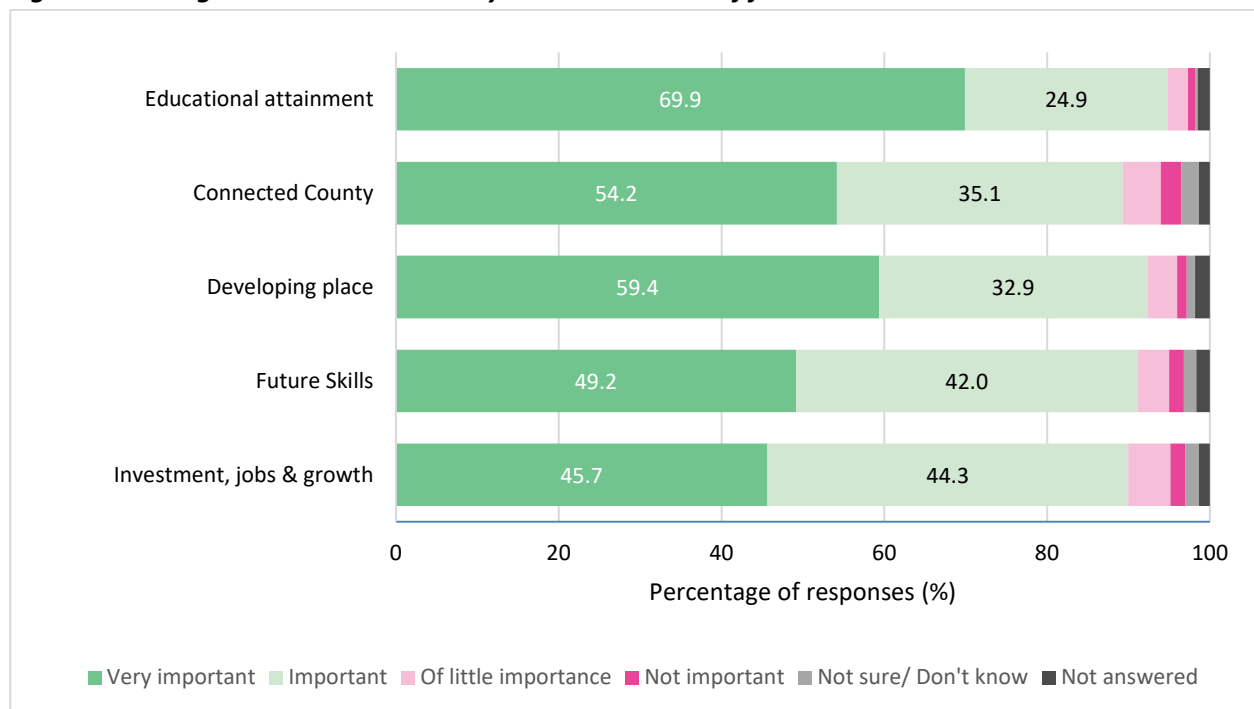
Educational attainment was the area of focus that most respondents said was either very important (69.9%, n=418) or important (24.9%, n= 149), a total of 94.8% of responses. One hundred percent

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of respondents to the young person's survey rated educational attainment as either very important (89.7%, n=61) or important (10.3%, n=7). The area of focus that respondents were least likely to say was important or very important was 'Connected County'; 89.3% (n=534) of respondents thought this was very important or important with 7.2% saying it was of little importance or not important.

Respondents were also asked what key actions Warwickshire County Council could carry out to deliver these areas of focus. In both the easy-read version and the young person's version, this question was worded slightly differently: 'Is there anything you think we should do to achieve these things?'. All responses across the three versions of the survey have been grouped and analysed together.

In total, 288 free text responses to this question were received. Analysis was undertaken and themes are presented in Table 3 below. Respondents also took this first free text question as an opportunity to comment on a wide variety of themes and areas of focus, rather than specifically concentrating on vibrant economy and place. Many of the themes overlap and/or interlink. The most common response was around investment in and improvement of sustainable (public) travel and transport options (e.g., walking, cycling) – around a third (34.4%, n=99) of respondents who left a comment to this question mentioned this in their response. Other common themes included: access to quality education (including good schools, learning, development and training opportunities) (20.8%, n=60), concerns regarding (housing) developments/urban expansion (16.3%, n=47), general environmental concerns (e.g. importance of green spaces, wildlife, cleanliness, pollution concerns) (15.6%, n=45), and improvement to/investment in local infrastructure (e.g. road maintenance, access to local services, facilities and amenities) (14.6%, n=42).

Table 3. Themes based on qualitative comments regarding 'vibrant economy and places' – "In your opinion what key actions could Warwickshire County Council carry out to deliver these areas of focus?"

Theme / description	Count (%)	Example quotation(s) for illustration
Investment in /improvement of sustainable or 'green' (public) travel and transport options (e.g. walking, cycling)	99 (34.4%)	*"High standard (and well maintained) provision for active travel with pavements not covered in cars and safe segregated cycle infrastructure will allow for your "Connected County" and "Developing Place" focus areas"* *"The county council must put a focus on the roll out of high-quality walking and cycling networks and public transport links (bus and rail) to enable and promote a true and meaningful modal shift away from motor transport. This includes connections between towns and villages"* *"Improvement in the public transport system, bus services in particular, with regard to providing a service that runs routes all the way to the destination - not going out of service halfway through, and providing more buses after 6pm"* *"Creating world class, inclusive, active travel infrastructure that is separate and prioritised over motorised traffic. To follow Wales leadership in prioritising funds to active travel before investing in roads for vehicles, reducing the amount of congestion by making"*

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		active travel more appealing (saving money on unnecessary motor vehicle infrastructure, reducing pollution, reducing climate impacts, improving societal health and wellbeing and protecting the NHS). It's a win win really" *"Improving the transport network - it needs to be easy to get around to fulfil any of these actions"* *"Enabling (making it safer) greener transport - (such as bikes) for people to travel within the county for those shorter journey's from rural to market towns, also enabling safer routes for those in the market towns (hubs) to cycle for wellbeing in the beautiful Warwickshire countryside, without causing population and congestion"*
Access to quality education (including good schools, learning, development and training opportunities)	60 (20.8%)	*"Invest in schools… support schools that are struggling to get them up to a suitable standard"* *"Inclusive education for all within the borough… with proper support"* *"Improving education attainment by focusing on achievement gaps, supporting those with special educational needs to fulfil their potential and helping our children and young people catch-up on their education"* *"Young people are our future so investing in them right from the start of their education is key. Ensuring there are equal opportunities for all whatever their background and whatever path they take i.e. university, college or apprenticeships"* *"Quality of early education is critical to achieving long-term change. While all of the above are important, if we want significant and sustainable change our efforts must start at childhood; teaching standards must improve, approaches to teaching and learning must be expanded to maximise inclusion and outcomes, and more time should be invested in behaviour change where families struggle to participate"* *"Education and infrastructure I think are key to developing the economy in Warwickshire… As a mother of two children, I fear that education opportunities are being missed in the drive to get good GCSE's. Some children do better with skills based education which could help the local economy better than pushing for university education all the time"*
Concerns regarding (housing) developments/urban expansion and sprawl, housing affordability	47 (16.3%)	*"Stop building huge housing estates on green spaces, and where they are built ensure that the infrastructure is updated to support them"* *"have a clear and honest strategy around urban development in the county and not reactive applications from companies. Speak with residents about views on future developments so that there is little surprise and less opposition to plans"* *"Provide more social housing and housing at reasonable rent"* *"Too much focus on building new houses in new sub-divisions on the outskirts of town"*

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		"Tear up housing development plan and ensure that all new homes net zero"
General environmental concerns (e.g. importance of green spaces, wildlife, cleanliness, pollution concerns)	45 (15.6%)	*"Ensure our green spaces are valued and maintained"* *"Banish litter, crack down on fly-dumping (use concealed cameras?), over-noisy vehicles, neglected hedgerows obscuring road signs… etc."* *"Make the environment a core feature of all that you tend to pursue and plant a tree for every resident every year"* *"One recycling scheme for whole county that works and is to a common exemplary standard. Plant millions of trees. Green the verges and roundabouts. Green roofs on bus shelters"* *"Investment in parks, outdoor spaces"*
Improvement to /investment in local infrastructure (e.g. road maintenance, access to local services, facilities and amenities)	42 (14.6%)	*"Maintain roads to a far better standard"* *"Repair the roads, the amount of potholes is ridiculous"* *"Community hall, sport complexes, doctors surgeries local transport, etc etc."* *"More community centres, better local sports facilities"* *"Communal spaces that stay open later (libraries, community halls). In general, night-time economy seems to revolve around alcohol, whereas community assets such as community cafes could stay open later and be a safe alcohol-free space to socialise at affordable costs (these should be in 'destination spaces' such as a fine room in a town hall etc).*
Ensure training/skills match up with local employment opportunities (job recruitment and partnership links to businesses/industries)	41 (14.2%)	*"Enabling an inclusive, high quality education for all children and young people within Warwickshire with a particular focus on vulnerable groups - create end point skills that are more attractive to businesses. The education curriculum has changed little over decades whereas businesses skill requirements has"* *"Help children understand that there are many areas of educational attainment not all academic and increase career advice so we help fill the areas of the job market which are under skilled"* *"Working with employers to determine the skills school children will need in the future… We should focus on promoting apprenticeships rather than encouraging young people to get any degree for the sake of it"* *"Digital skills and life-long learning"* *"Supporting schools delivering design and technology education to help ensure a skilled and adaptable workforce of the future"*
Incentivise/support sustainable/renewable 'green measures, jobs and opportunities (e.g. 'climate friendly' schemes)	41 (14.2%)	*"Invest in renewable energy generation and electrical charging networks"* *"Provide grants to properly insulate homes and implement green heating"*

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		"Ensure that all action takes account of sustainability and moves towards carbon neutrality" *"Investing in green initiatives - may provide jobs and will also help solve the energy crisis and climate change damage"* *"Where is the focus on building green and sustainable future in response to the climate emergency?! There needs to be focus on increasing and supporting biodiversity wherever possible. Carbon neutrality and capture must direct any decision on development, transport and connectivity. That is not clear in these statements. The key action in each area would be to appoint someone to a) search for the best green initiatives and b) assess the environmental impact of any other proposal"*
Support for local businesses to stimulate local economy	40 (13.9%)	*"Encourage independent small businesses that aren't just coffee shops by having accessible rents"* *"Encourage a number of different businesses to operate in the area to create as diverse number of jobs as possible"* *"Support smaller businesses to take on workers* *"Supporting business relocation to the County to provide first class jobs into the future"* *"Support the use of business units for other purposes e.g. residential, indoor markets. Support independent retailers to get started & add vibrancy to the local shopping experience"*
Regeneration of town-centres and/or brownfield land	29 (10.1%)	*"Revitalise Town centres by allowing free parking as all shopping goes to out of town free parks otherwise. Consider a creative quarter in each town where rents are low to encourage small artisan start ups, this will bring in footfall and make a feature to attract visitors… Stop pricing out businesses from town centres if you want them to survive"* *"Nuneaton town centre is dire. Nothing to attract people to want to shop in the town"* *"In Leamington, as elsewhere, there has been an exodus of shops to the out of town retail parks, leaving many units vacant. This decline must be arrested quickly"* *"Help improve Rugby town centre. At the moment it's just charity shops and cafes. Take a look at business rates and make it a more attractive prospect to open a shop in the town centre"*
Improve communication and engagement (with local residents) – opportunities to listen, learn and feedback	25 (8.7%)	*"Clear communication with our communities - ensure we listen to them about what's really happening on the ground and what's important to them. Ensure they don't feel 'done to' but that we take them with us on our journey. Invest in them to help shape our services i.e. co-production"* *"Listen to local people's lived experience. Don't presume you know what's best for those living and working in the county"* *"Clearer communication and transparency, so that each decision and action reflects the priorities outlined above"*

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		"Involve local groups with decisions which may affect their communities. Listen to what people want, not what you think they want"
Investment in /improvement of SEND/special schools	24 (8.3%)	*"Ensure those with SEND are well supported by teaching assistants"* *"Improving training for teachers of Send pupils. Recruiting more staff with generous packages for special schools due to the increase in pupils in Warwickshire"* *"Invest properly in SEND particularly to enable greater integration of students at mainstream schools/colleges"*
Importance of integrated working, joined-up thinking and collaboration	21 (7.3%)	*"Work more closely with the strategic partners including the district / borough councils and other public authorities to identify and agree how the priorities can be progressed. The local Community Partnerships provide a suitable means to develop agreed actions to do this"* *"Work more collaboratively with district and parish councils"* *"More emphasis should be given to local groups and organisations to get things done"*
Focus on action/delivery (not just words)	21 (7.3%)	*"Focus on action rather than words"* *"There are too many plans, objectives, initiatives, projects etc. and it's hard to see how they are integrated and collectively result in long term benefits for the community. It will be important to consolidate these plans to make them more comprehensible to the community, and then to report back in a clear, concise and transparent way on progress* *"Stop having consultations, meetings and discussions and get on with the activities to deliver on the focus. Too much time is wasted on non-essential activities"*

Other themes mentioned by a smaller number of respondents included: disparities/inequalities between different areas of the county (e.g. North compared to South) (n=17), concerns regarding parking (n=16), support for health (physical, mental) and social care services (n=16), digital connectivity, internet access and skills (n=13), clear planning and objectives (not wasting public spending) (n=12), safety concerns (e.g. policing, speeding vehicles, drugs, drinking, anti-social behaviour issues) (n=11), accessible activities and facilities for young people (e.g. youth clubs, child care, early years support) (n=11), support for vulnerable groups (e.g. elderly, those with disabilities or long-standing health conditions) (n=11), importance of civic/community involvement, responsibility and pride (n=10), rural isolation (n=9), stimulating tourism/visitors to the county (n=6), concerns around Council Plan 2021 proposals/survey wording (n=5), specific concerns regarding HS2 (n=3), access to culture and arts (n=3), role of social media (n=2), and specific concerns around homelessness (n=2).

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4.3 Results: Best lives - thoughts on proposed areas of focus

Respondents were presented with information on proposed areas of focus for the next five years, to ensure people in Warwickshire can live their best lives, and are supported to live safely, healthily and independently:

- **Child Friendly Warwickshire:** a county where all young people get the best start in life
- Develop the conditions for a **Community Powered Warwickshire**: enable strong, connected, inclusive and active communities
- **Safe communities:** help people and our communities to feel safe by tackling the causes and impact of crime, promoting fire safety and preventing harm from fire
- **Healthy, happy and independent lives:** promote health and well-being and support independent living by understanding inequalities and preventing their causes

Further detail on what each of the areas of focus could mean were also provided (see Appendix 2)

Respondents were then asked how important each of the proposed areas of focus are. Figure 5 shows that for all areas the majority of respondents felt the proposed areas of focus were either very important or important.

Figure 5 - Thoughts on Best Lives areas of focus
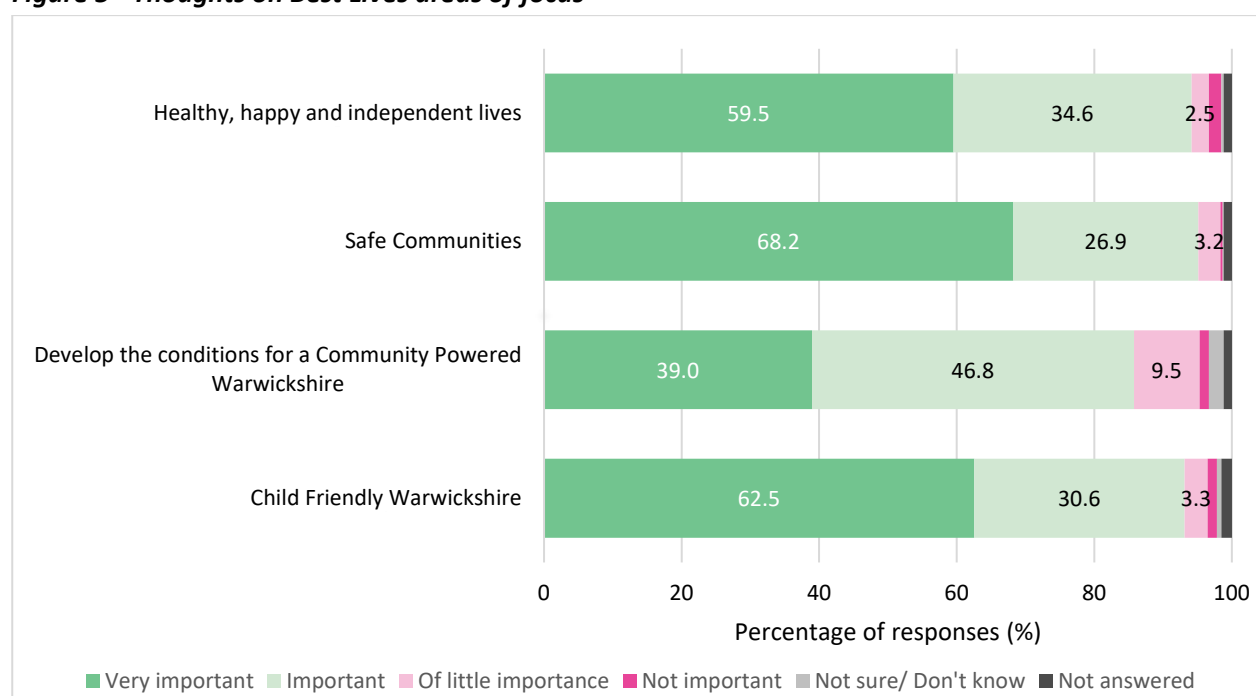
'Safe communities' was the area of focus that most respondents said was either very important (68.2%, n=408) or important (26.9%, n= 161), a total of 95.2% of responses. Almost, one hundred percent (98.7%) of respondents completing the easy read version of the survey rated 'safe communities' as either very important (76.6%, n=59) or important (22.1%, n=17). The area of focus that respondents were least like to say was very important or important was 'Develop the conditions for a Community Powered Warwickshire'; 85.8% (n=513) of respondents thought this was very important or important with 10.9% (n=65) saying it was of little importance or not important.

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Respondents were also asked what key actions Warwickshire County Council could carry out to deliver these areas of focus. In both the easy-read version and the young person's version, this question was worded slightly differently: 'Is there anything you think we should do to achieve these things?', but all responses across the three versions of the survey have been grouped and analysed together.

In total, 246 responses to this question were received. Analysis was undertaken and themes are presented in Table 4 below. The most common response was around promotion/support for health and wellbeing initiatives (e.g., physical exercise, mental health) – over a quarter (28.0%, n=69) of respondents who left a comment to this question mentioned this in their response. Other common themes included: investment in/support for children/young people (youth service provision, access to good education, education/career opportunities) (23.6, n=58), and safety/security (policing, speeding, violence, anti-social behaviour, drinking/drug-taking) (20.3%, n=50).

Table 4 - Themes based on qualitative comments regarding 'best lives' – "In your opinion what key actions could Warwickshire County Council carry out to deliver these areas of focus?"

Theme / description	Count (%)	Example quotation(s) for illustration
Promotion/support for/access to health and wellbeing initiatives (e.g. physical exercise/mobility, mental health, healthy eating)	69 (28.0%)	*"Promote safe exercise to increase strength and mobility in over 50s"* *"Health and well-being come from a sense of self worth…there are a lot of people in this area that feel no self worth and battle with addiction and poverty. These are the people that need help but the county should do more to promote mental health awareness and openness"* *"Reduce long-term health inequalities, targeting support for healthy, physically active lifestyles where it is most needed"* *"Promote initiatives such as park run. Add similar clubs and activities. More funding and support for teenage mental health"* *"Initiate and support local health initiatives"* *"More help should be diverted to local initiatives for health & wellbeing"* *"Ability to see a GP"* *"Develop more land for sports and leisure use rather than relentlessly covering it in more and more houses"*
Investment in/support for children/young people (youth service provision, access to good education, education/career opportunities)	58 (23.6%)	*"Invest more in childrens services as funding was cut and services were cut a few years ago"* *"How can you say your child friendly when you close Marle Hall and the children's centres?"* *"there should be more investment in Children and Family Centres to support them to become hubs in the community where children*

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		can get the best start in life. There needs to be more focus on antenatal parenting classes as this is when parents need the most help to support them to be the best parents they can be" "Do babies and young children have accessible provision for play groups, day care, nursery prior to attending school?" "More investment in young people. Too many spend far too long in front of laptops and games consoles. More needs to be done to encourage outdoor activities especially sport" "To give all children the best start in life they all need access to a suitable education that meets their needs. Stop making parents have to fight for their child's basic right to have this" "Invest in education. Work with education leaders to ensure that money is spent correctly"
Safety/security (policing, speeding, violence, anti-social behaviour, drinking/drug-taking)	50 (20.3%)	"Older generations feel disconnected and at times unsafe. Gang crimes need punishments that fit" "Having and increasing awareness of county wide places of safety for victims of domestic violence" "Improve rural policing" "Reducing… the likelihood of traffic collisions and speeding all improve the perception and reality of safety" "Tackle vehicle theft and other car crime. It is just ignored and not prioritised. Tackle drug crime. We have a dealer in our street who has been reported on numerous occasions but still nothing happens. You should start at this ground level and work upwards. No point in investing in the other things unless you tackle basic problems" "Safe communities: ensure the focus is the right focus for initiatives - for example, instead of only promoting the ways that women can protect themselves from violence, work to create allyship and create initiatives that place responsibility on those that cause and/or enable (intentionally or through their silence) the violence"
Investment in/delivery of local accessible infrastructure and services	34 (13.8%)	"Design services around people to improve accessibility. Implement systems that are designed for people, not systems that make life harder for people who are often already struggling which is why they need the service. Enable people to access services locally and feel that their area is as well served as any other in the county" "Invest more in clubs and groups that offer opportunities... Lots of groups are struggling through lack of funds and some even for lack of decent meeting places" "Increase funding in parks, clubs, sporting infrastructure" "Continue to deliver the services and infrastructure that support delivery of community safety and wellbeing across the county"

General environmental concerns (e.g. importance of green spaces, wildlife, cleanliness, pollution concerns)	33 (13.4%)	*"Listen to what community groups have to say this includes listening to campaigning groups on all issues such as climate change, pensions fossil fuel divestment, improving public transport, reducing vehicle emissions. Focus on reducing the amount of traffic in towns and villages to make them safer and reduce harmful emissions. Improve biodiversity by managing road verges and open spaces to create wildlife corridors with wildflowers. Plant trees, and ensure every community has access to pleasant green spaces"* *"Where does Climate change and the green agenda fit into all of this? Surely that has to be at the top of the list"* *"Coventry & Warwickshire should be focused on providing the best environment for our children to grow up in. This means ensuring that the region follows the latest WHO guidelines on air quality, improving our housing stock and providing green spaces for children to play in"* *"Increase environmental and biodiversity awareness"*
Promoting and publicising local events /groups /initiatives	30 (12.2%)	*"Provide information and ways of getting help in a number of easily accessible ways"* *"There's an awful lot of community work going on in Warwickshire already, so the council could just help link people to these schemes and help promote them, rather than reinventing the wheel"* *"More notice boards promoting what is on each week. These should be in prominent positions. Not everyone lives online. If you are going to put on paid events make sure they are fully promoted. There should be a notice boards outside Council offices and in Parks. There are some but there is very little advertised on them and sometimes information is out of date"* *"Promote community groups"*
Encouraging community involvement, participation and empowerment (civic pride and responsibility)	29 (11.8%)	*"Community powered - if this is to mean something there needs to be more transfer of assets, funding and skills/expertise that is not just short term. Decision making, if localised, needs to be well governed, transparent and meaningful to avoid those with the "loudest voice" taking charge, rather than benefiting all groups and stakeholder"* *"Devolution of some services to a local level - parish or town council could be given grant to do the work… Work with local communities to find out what they want - don't impose it on them"* *"Change from the grass roots is always the most effective and long lasting. Empower communities= more local decision making"*
Support for vulnerable groups (e.g. victims of domestic violence, homelessness, elderly people, people with a	29 (11.8%)	*"Reduce domestic abuse and violence, and support victims"* *"Looking after family poverty and homeless"* *"There should be far more support for people with unseen*

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disability/long-standing health condition)		*disabilities, autism, ADHD, etc. Also there seems to be very little support for elderly people caring for partners with conditions such as mild dementia"*
Importance of communication and engagement processes	23 (9.3%)	*"Don't do things to communities - treat them as partners and involve them in planning and prioritising"* *"Regular communication/interaction between WCC and the various groups mentioned above with the chance to review and test ideas coming from the various communities and those who work with them"* *"Engage communities and invest in solutions that work for local communities"*
Investment in /improvement of sustainable or 'green' (public) travel and transport options (e.g. walking, cycling)	22 (8.9%)	*"We should be prioritising people over cars; encouraging sustainable transport"* *"Cycle networks and the enablement of active travel transportation is an important way of tackling physical and mental health issues across all ages. Enabling cycling for everyday transportation is a way to build in exercise into daily routines"* *"Creating world class, inclusive, active travel infrastructure that is separate and prioritised over motorised traffic"*
Concerns regarding inequalities (North v South, low-income groups, poverty)	19 (7.7%)	*"Inequality is a big issue. This county is predominantly wealthy and therefore the poor or middle squeeze do not have the same access or opportunities because they are not catered for. How can you connect communities which have such diverse wealth and opportunity?"* *"Understanding and preventing causes of inequality should be given higher prominence in the councils aims"* *"Help north Warwickshire to achieve the same as south"*
Emphasis/focus on supporting families/ children	18 (7.3%)	*"Put children and families in the centre of plans"* *"Help families give children the best start in life, providing early support before situations become complex"* *"Put children first!"*

Other themes mentioned by a smaller number of respondents included: importance of integrated working, joined-up thinking and collaboration (n=11), concerns regarding (housing) developments/urban expansion and sprawl, housing affordability (n=11), rural isolation (n=9), support for local businesses to stimulate local economy (n=7), focus on action/delivery (not just words) (n=7), clear planning and objectives (not wasting public spending) (n=7), changes to living patterns (e.g. working from home due to COVID-19 pandemic) (n=6), access to culture and arts (n=4), concerns regarding parking (n=4), queries/confusion regarding survey wording/phraseology (n=4).

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4.4 Results: Sustainable futures - thoughts on proposed areas of focus

Respondents were presented with information on proposed areas of focus for the next five years, to ensure Warwickshire is a place with sustainable futures which means adapting to and mitigating climate change and meeting net zero commitments:

- **Net zero council:** be a net carbon zero council by 2030
- **Net zero county:** mobilise residents, communities, businesses and key partners to play their part in developing and delivering a clear plan for a net carbon zero county by 2050
- **Biodiversity:** managing the natural environment to sustain and grow Warwickshire's ecology and promote wellbeing
- **Adaptation:** adapting our infrastructure and resources to respond to the impacts of climate change.

Further detail on what each of the areas of focus could mean were also provided (see Appendix 2)

Respondents were then asked how important each of the proposed areas of focus are. Figure 6 shows that for all areas the majority of respondents felt the proposed areas of focus were either very important or important. For both 'net zero county' and 'net zero council' this was to a slightly lesser extent than the other areas of focus both within the 'sustainable futures' outcome and the 'best lives' and 'vibrant economy and places' outcomes.

Figure 6 - Thoughts on Sustainable Futures areas of focus
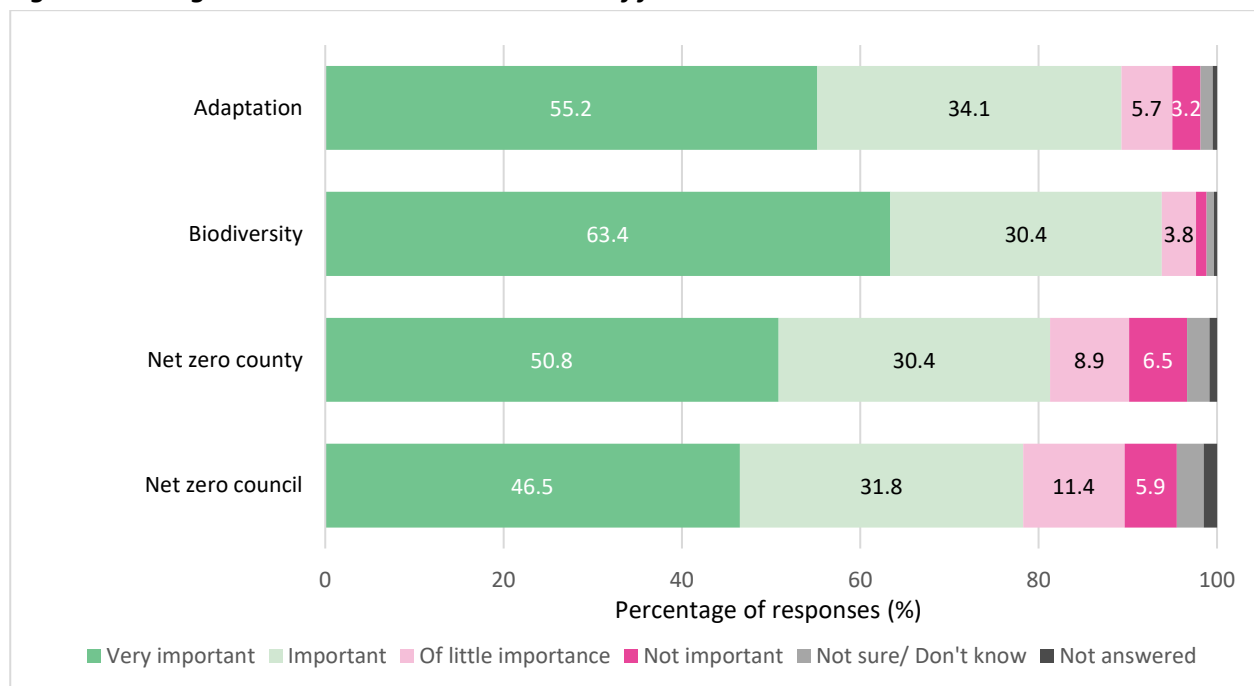
'Biodiversity' was the area of focus that most respondents said was either very important (63.4%, n=379) or important (30.4%, n= 182), a total of 93.8% of responses. This was closely followed by 'Adaptation' with 89.3% of respondents saying this area was either very important or important. The area of focus that respondents were least like to say was very important or important was 'Net

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zero council'; 78.3% (n=468) of respondents thought this was very important or important with 17.2% (n=103) saying it was of little importance or not important.

Respondents were also asked what key actions Warwickshire County Council could carry out to deliver these areas of focus. In both the easy-read version and the young person's version, this question was worded slightly differently: 'Is there anything you think we should do to achieve these things?', but all responses across the three versions of the survey have been grouped and analysed together.

In total, 278 responses to this question were received. Analysis was undertaken and themes are presented in Table 5 below. The most common response was investment in/improvement of sustainable or 'green' (public) travel and transport options (e.g. walking, cycling) – almost two fifths (38.1%, n=106) of respondents who left a comment to this question mentioned this in their response. Other common themes included: general environmental concerns (e.g. importance of green spaces, wildlife, cleanliness, pollution concerns) (31.7%, n=88), and focus on/support for/investment in renewable energy schemes/initiatives (24.1%, n=67).

Table 5. Themes based on qualitative comments regarding 'sustainable futures' – "In your opinion what key actions could Warwickshire County Council carry out to deliver these areas of focus?"

Theme / description	Count (%)	Example quotation(s) for illustration
Investment in/improvement of sustainable or 'green' (public) travel and transport options (e.g. walking, cycling)	106 (38.1%)	*"Electrified public transport which is plentiful and convenient would reduce cars on the road and pedestrianizing town centres with electric bikes for use instead"* *"STOP building roads which just fill up with cars. Trams and SAFE, cheap, public transport which run on a regular basis. Make it easier to use public transport not price it out of people's reach and then only run it once a day!"* *"Good quality walking and cycling networks have a very important part to play in helping the county achieve its net zero goals by 2030. Transportation is a major contributor to the climate emergency, yet a significant proportion of driven journeys could be replaced by cycling - even walking in some cases. Transport policy must adapt to discourage driving short journeys, actively enabling walking and cycling alternatives instead"* *"Replacing the car-centric travel infrastructure planning with one that is centred around active travel. Active travel should be designed as the primary method of travel, with motor vehicles the exception… Creating world class, inclusive, active travel infrastructure that is separate and prioritised over motorised traffic"* *"Look at the provision of public transport and make it equitable and affordable"* *"I think supporting a combination of a suitable infrastructure to support remote working for those who can/are able to as well as sustainable transport links to enable commuters and visitors to the*

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		County to do so in way that minimises the environmental impact of travel are both very important" *"Green public transport"*
General environmental concerns (e.g. importance of green spaces, wildlife, cleanliness, pollution concerns)	88 (31.7%)	*"Don't destroy our countryside and green spaces… Invest in improving the environment in towns and built up areas.* *"Providing and maintaining safe open green spaces for everybody to enjoy"* *"Create a biodiversity strategy that sets a target for increasing the number of trees in the local area"* *"Is net zero enough or should we be looking at doing even more to reduce our impact on the planet? Protect and enhance the Green Belt… Green our empty spaces"* *"Our open spaces should be protected and nurtured. We live in a beautiful rural community, we should protect it. More and more green spaces are being developed, the remaining spaces should be protected and made available for all to enjoy"* *"Wildlife corridors"*
Focus on/support for/ investment in renewable energy schemes/initiatives	67 (24.1%)	*"Support community groups who want to run local renewable energy schemes. Grants for local buildings to be upgraded to use sustainable fuels"* *"More use of renewable energy"* *"Support decent schemes for solar, wind etc."* *"Supporting residents to change to alternative sources of power"* *"Incentivise the use of existing and sustainable resources and fund innovation in fields that we don't have good climate supportive solutions yet, such as food transportation, energy, cement alternatives, better batteries and carbon capture mechanisms"* *"Many households are still reliant upon fossil fuels to heat their homes and should not be forced into rapid change if they are put in a difficult financial position. Support for changing to non-fossil fuels may be important to those in older and rural properties and residents who cannot afford to make significant changes in the short term"*
Suggestions that action is needed now (priority/urgency, cannot afford to delay)	52 (18.7%)	*"Surely the science is there for you to take your lead without asking many of these questions. We need to stop talking and start doing and that starts with local communities"* *"Becoming Net Zero is essential, although the proposed dates are too far off. More needs to be done sooner"* *"2050 is too far away. That's kicking the problem down the road"* *"Bizarre targets of 2030 and 2050. Get a move on. The climate challenge is now, not in 10-30 years time!"*
Concerns regarding (housing)	50 (18.0%)	*"Stop building on new houses on the outskirts of town - try developing within the existing town boundaries. This will improve*

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developments/urban expansion and sprawl, housing affordability		"transport connections and reduce the development on green-field sites" "Stop building houses in Green belt areas and use Brown instead" "Surely fewer housing developments would also lessen the obvious environmental impact they have. More focus on renovating disused buildings rather than building new ones" "Please stop building houses on greenfield sites and where houses have been built, ensure they have transport links and shops, schools and doctors. Many of these new estates are totally cut off if you can't drive"
Council/Government decision-making, accountability, strong policies are required (need to be leaders)	50 (18.0%)	"Lead by example is the phrase of the day" "At present residents feel disconnected from central and local government on this message" "Warwickshire has to show real leadership on this issue and challenge entrenched attitudes and behaviours. The Council should take risks in terms of some possible negative feedback to service led changes that ultimately deliver climate benefits, including localised resistance to change in the short term. All decisions made by the Council that result in a negative climate change impact should be subject to additional scrutiny before any approval, and an honest analysis of positive and negative impacts should be shared as part of public reporting" "Councillors in WCC to carry out bold climate actions - instead of voting them down. If they vote climate action down, I fail to see the point of even asking the opinion of the public"
Encourage / optimise waste management/recycling	29 (10.4%)	"More awareness of extra recycling that can be done e.g. routes to recycle things such as crisp packets or printer cartridges that you can't put in normal recycling bin. Not charging for green waste" "Issue every house in Warwickshire with two free recycling wheelie bins" "Abandon any charges for Council taxpayers regarding replacing recycling waste bins if lost or damaged. Free recycling bins for all new builds and those who move into the area"
Supporting, promoting and publicising local events/groups/initiatives	27 (9.7%)	"Support local people and communities to make small steps towards becoming net carbon zero" "More promotion of the little things we can all do that will make a difference" "Raise more awareness for little things that individual people could do, perhaps"
Support for local ('green') businesses to stimulate local economy	23 (8.3%)	"Investment in the green economy is the future: improves the planet, our local environment and creates loads of jobs" "It is good to see (or am I just being hopeful) on the local economy a focus on new green businesses and jobs. I'd very much like to see support for existing businesses to adapt into both new low carbon /"

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		more sustainable - and crucially circular economy areas of activity. How to achieve more with less" *"Enable businesses to recruit more local people"*
Improvement to /investment in local infrastructure (e.g. road maintenance, access to local services, facilities and amenities)	23 (8.3%)	*"Consider the balance of our investment in built infrastructure with sustainability"* *"Plan and implement infrastructure to compliment the growing community"* *"Adapt and change to ensure you can provide the services needed in future. But also support the transition and infrastructure around which residents will adapt themselves over time"*
Importance of integrated working, joined-up thinking and collaboration	19 (6.8%)	*"Work in partnership with relevant groups and agencies"* *"Engage with the experts and follow their advice. Work with the Green Party & others e.g. Greenpeace, Sustrans etc. They've been at this for far longer than anyone else"* *"Get advice and guidance from industry and NOT councillors that are saying what they think will make them popular"*
Encouraging community involvement, participation and empowerment (civic pride and responsibility)	17 (6.1%)	*"Roadshows to inform and motivate communities"* *"I think the council need to do more to get buy in from residents on why green initiatives matter"* *"Encouraging residents to do their bit"*
Improve communication and engagement (with local residents) – opportunities to listen, learn and feedback	15 (5.4%)	*"Clear messages to public/businesses about what they can do and the impacts that it will have to support the key target for a net carbon zero county. Updating about the impact of the changes that people have made"* *"Raise Awareness: WCC need to do more to let people know what's going on in these areas. What small changes we can make that will have a large overall impact. Residents in general do not know enough about such things… Most things are currently only advertised on social media channels which a lot of people do not have* *"People need to feel empowered as individuals to take part in initiatives. Educate us on how to live more sustainably through workshops, leaflets drops, educational evenings in local village halls"*
Concerns that targets/ goals/aims are unrealistic and/or unachievable	15 (5.4%)	*"Unfortunately until places like China get on board with climate change, anything we do here will have little impact. I'm an environmentalist but unfortunately claims to be carbon neutral etc are just political statements. As energy prices soar it will be much harder to meet this target"* *"Be realistic - clearly the council will not be net zero by 2030. Set out a realistic and funded plan"* *"Whilst I do think this is important, there is too much poverty for people to give consideration to wider issues. This needs to be tackled… This target is unrealistic"*

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Other themes mentioned by a smaller number of respondents included: access to quality education (including good schools, learning, development and training opportunities) (n=12); concerns regarding HS2 (n=8); changes to living patterns (e.g. working from home due to COVID-19 pandemic) (n=8); comments from respondents who do not believe in climate change (n=8); concerns regarding inequalities (North v South, low-income groups, poverty) (n=8); investment in/support for children/young people (youth service provision, access to good education, education/career opportunities) (n=7); promotion/support for/access to health and wellbeing initiatives (e.g. physical exercise/mobility, mental health, healthy eating) (n=6); queries/confusion regarding survey wording/phraseology (n=5); and isolation (rural, digital/connectivity) (n=5).

4.5 Results: Delivery of outcomes – thoughts on proposed areas of focus

Respondents were presented with information on proposed areas of focus for the next five years, to enable Warwickshire County Council to deliver the three strategic outcomes. These were:

- **Putting the customer first:** use new technologies, data, intelligence and feedback to design high quality customer service for those interacting with the Council
- **People and culture:** a great, inclusive place to work where diverse and talented people are enabled to be their best in a culture of innovation and continuous improvement
- **Delivering value for money**: managing our resources effectively, sustainably and maximising the value of the Warwickshire pound through social value
- **Great partnership working**: work with our partners to deliver quality, well-integrated public services
- **Communications and engagement**: communicate and engage effectively with the public, partners, stakeholders and staff to support delivery of our outcomes

Further detail on what each of the areas of focus could mean were also provided (see Appendix 2)

Respondents were then asked how important each of the proposed areas of focus are. Figure 7 shows that for all areas the majority of respondents felt the proposed areas of focus were either very important or important. For both 'Putting the customer first' and 'People and culture' this was to a slightly lesser extent than the other areas of focus both within the 'delivery' outcome but also the 'best lives' and 'vibrant economy and places' outcomes, and a couple of the 'sustainable futures' outcomes.

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Figure 7- Thoughts on areas of focus to enable delivery of outcomes
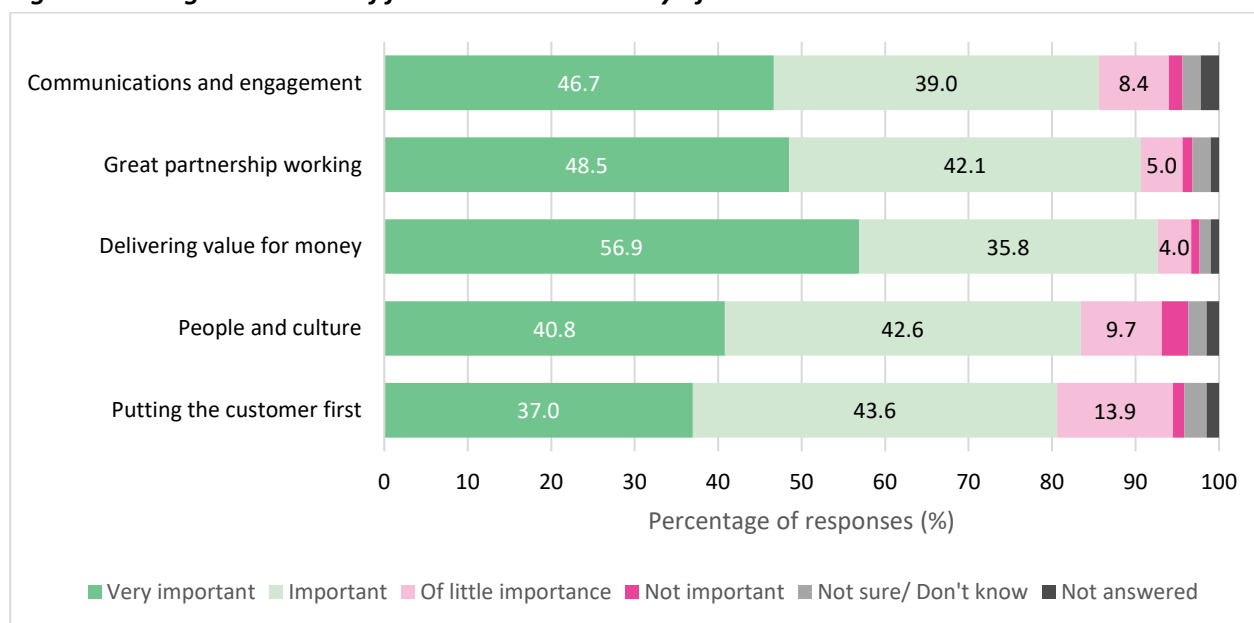
'Delivering value for money' was the area of focus that most respondents said was either very important (56.9%, n=340) or important (35.8%, n=214), a total of 92.6% of responses. This was closely followed by 'Great partnership working' with 90.6% (n=542) of respondents saying this area was either very important or important. The area of focus that respondents were least like to say was very important or important was 'Putting the customer first'; 80.6% (n=482) of respondents thought this was very important or important with 15.2% (n=91) saying it was of little importance or not important.

Respondents were also asked what key actions Warwickshire County Council could carry out to deliver these areas of focus. In both the easy-read version and the young person's version, this question was worded slightly differently: 'Is there anything you think we should do to achieve these things?', but all responses across the three versions of the survey have been grouped and analysed together.

In total, 211 responses to this question were received. Analysis was undertaken and themes are presented in Table 6 below. The most common response was improving communication and engagement (with local residents) – opportunities to listen, learn and feedback – just over a third (35.1%, n=74) of respondents who left a comment to this question mentioned this in their response. Other common themes included: importance of integrated working, joined-up thinking and collaboration with partners (23.2%, n=49), and delivering value for money (transparency on finance, resources and plans) (20.4%, n=43).

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Table 6. Themes based on qualitative comments regarding delivering outcomes by being a great Council and partner – "In your opinion what key actions could Warwickshire County Council carry out to deliver these areas of focus?"

Theme / description	Count (%)	Example quotation(s) for illustration
Improve communication and engagement (with local residents) – opportunities to listen, learn and feedback	74 (35.1%)	*"Listen and involve people and partners more - give them genuine opportunities to find solutions by working with us not just sense checking decisions that have already been made by 'experts'"* *"Clear and open procurement processes scrutinised by the general public"* *"Tailor local communications and engagement to local needs"* *"It is important to listen, and listen, and then listen again. Walk alongside the communities you are trying to shape and help, do not assume or base decisions solely on JSNA profiles or ONS data. It takes time to listen and it take resources. Value for money is not the most important thing, listening and walking along side people is far more important. Allowing people to address their own issues and take autonomy for problem solving. Devolve the power and the money. But first listen, and I mean actively listen, Radically Listen!"* *"Surveys are often only completed when people are disgruntled. We need balanced views and all age input real skill needed to engage with audiences"* *"Promote responsible civic engagement"* *"Of all of these (that I understood at least!) the communication one is the most important, as without it people won't know what the council is doing nor why. This means communication both from the council as a whole and also from individual services to their users"* *"If the council communicate well with their communities, they will incite the proper engagement, enthusiasm and energy required to get communities on board"*
Importance of integrated working, joined-up thinking and collaboration with partners	49 (23.2%)	*"Need to work in partnership with limited budget… we cannot do everything ourselves and need to influence partners and community to help them to help us to deliver our priorities"* *"The public purse is under significant pressure and effective partnership working should maximise the value to residents. The County Council should foster collaboration wherever possible. Residents do not necessarily know or care where the services come from, they just want a good quality provision"* *"By working openly and proactively with partners, from small to large, local/regional/National. Taking the leadership role where needed will enhance WCC's communication and reputation. Less attention on "WCC's" stand alone reputation and more promotion as a "driving force" and catalyst for change, being a strong trusted partner to broker and foster the right environment for change for*

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		longer term gains" *"Make the best use of your parish and town councils - they are on the ground and keen to help!"* *"Most importantly get all partners and public on board. We all need to work together"*
Delivering value for money (transparency on finance, resources and plans)	43 (20.4%)	*"Be transparent in how money is spent"* *"Clear and open procurement processes scrutinised by the general public"* *"Get rid of some of the waste and stop spending money on waste of time projects. It's OUR money you're using, don't forget that"* *"Value for money is difficult - the use of tendering has been my choice when trying to make up my mind as to who will provide me with a service. The cheapest is not always best. Long term it's also about the quality of work and usefulness"* *"Maintain sustainable and resilient finances"*
Improving customer service / customer-focus (e.g. data-led)	41 (19.4%)	*"Carry out… reviews of key customer facing services and improve customer service"* *"Customer service is key to happy people"* *"Services should still have a personal touch"* *"Customer service doesn't exist from either the district or county council as they use each other to deflect on responsibilities and fail to deliver what residents want or need or are entitled to"*
Improving (access to) services	35 (16.6%)	*"More focus on integration of services so they're easier to access"* *"More community hubs where there are health, social care, voluntary sector, local council services etc etc. Social care workers should be working in the community, not in large offices where they can easily see and talk to people and people feel able to come and have a chat or some advice on their social care needs"* *"What we need is good services… just get on and get the job done"*
Utilising technology / online services (digital services, website, social media)	33 (15.6%)	*"User friendly technology and support for the significant number of people who still struggle with online forms etc."* *"Sort out your website. The search function is still far from adequate"* *"Technology is great but many organisations design their website from their own point of view, not their customers'. It's really important to test website design (and phone services, letters etc) with a customer group so they can see how it works for them"*
Nurturing the best staff, employees and talent	33 (15.6%)	*"As a service user, I'm less concerned with how the council is organised/run internally, so whilst having a great, creative, diverse and inclusive workplace might well be very important for council employees, its probably of less importance to those of us interacting with the council"*

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		"Most importantly is to have the right number of staff to deliver the actions. Everyone is working to their maximum trying to keep the services running and they are all starting to leave to find less stressful jobs" *"Ensure all public-facing staff have and express a pride in working for the Council"*
Reaching out to / communicating with vulnerable groups (e.g. those who do not have internet access/skills	26 (12.3%)	*"Do not ignore or force people to use digital technology if it really isn't what they feel comfortable with using"* *"Better communication especially for people without access to technology. Ensure all members of the county receive information"* *"Not all residents are tech savvy. Where is the help for elderly and those in digital poverty?"*
Concerns around wording/terminology used	11 (5.2%)	*"Use plain English in communications to the public (for example public facing grants) - so many communications pieces I have seen from public bodies, including WCC, are unnecessarily wordy and overly complicated which makes them less accessible to the general public and the messages generally get lost"* *"If this survey is an example of tailoring communications to meet the needs of the audience you have failed. The language is exclusionary and as a result you won't get real feedback. The vast majority of your citizens are concerned with whether they will get access to services they need when they need then. What is outcome-driven commercialism? What is social value? What on earth is the Warwickshire pound?"*
Importance of attracting investment (economy, businesses, commercialism)	10 (4.7%)	*"We should encourage small businesses in the town centre- whether they are shops, cafes or art museums etc. All small businesses should be encouraged. One way to help is to reduce business rates and possibly provide reasonable grants to help these people get off the ground!"* *"It is important that the Council look at working with business and community partners to provide an improved business model so that income can be generated from external sources by supporting local businesses, and creating jobs and innovative working to fill gaps in the market and provide training opportunities"*
Equality, diversity and inclusion	9 (4.3%)	*"More actions to reduce inequality and support diversity and inclusion would be useful"* *"Greater diversity within the council - both elected officers and employed staff and officials"*
Focus on action/delivery (not just words)	8 (3.8%)	*"Fewer words more actions"* *"Make the promises…get on with the job and then let me be the judge of how well you have delivered"*

Other themes mentioned by a smaller number of respondents included: suggestions around a single Unitary Authority (n=6), general environmental concerns (e.g. importance of green spaces, wildlife, cleanliness, pollution concerns) (n=6), concerns regarding bureaucracy (n=4), promotion/support for/access to health and wellbeing initiatives (e.g. physical exercise/mobility, mental health, healthy

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eating) (n=4), thinking 'local' (n=2), investment in/improvement of sustainable or 'green' (public) travel and transport options (e.g. walking, cycling) (n=2), support for/engagement with the voluntary sector (n=2), support for flexible/home working (n=2).

4.6 Results: Views on spending priorities

Warwickshire County Council's funding levels and income are key to delivering the objectives in the Council Plan. Respondents were asked to think about the areas of focus for the three strategic outcomes and were asked which areas of focus Warwickshire County Council could make **savings** on if required. Respondents could select up to three areas of focus where they thought savings could be made. In total 1,622 choices were selected. If all respondents had made three choices 1,794 choices would have been selected so either some respondents did not answer this question or made fewer than three choices.

Figure 8 shows the results from this question. The areas of focus chosen by the greatest number of respondents were in the 'Vibrant economy and places' outcome. These were:

- Developing place – 170 responses (10.5% of responses)
- Investment, jobs and growth -163 responses (10.1% of responses)
- Future skills – 160 responses (9.9% of responses)
- Connected County – 153 responses (9.4% of responses)

Conversely, 'educational attainment' in the 'Vibrant economy and places' outcome was selected by one of the lowest numbers of respondents (n=100, 6.2%). The areas of focus chosen by the lowest number of respondents as areas where they thought savings could be made were 'Child Friendly Warwickshire' with 92 responses (5.7%); 'Safe communities' with 94 responses (5.8%) and 'Biodiversity' with 94 responses (5.8%).

Figure 8 – Number of respondents who choose the area of focus as an area where savings could be made (each respondent could provide up to 3 choices)
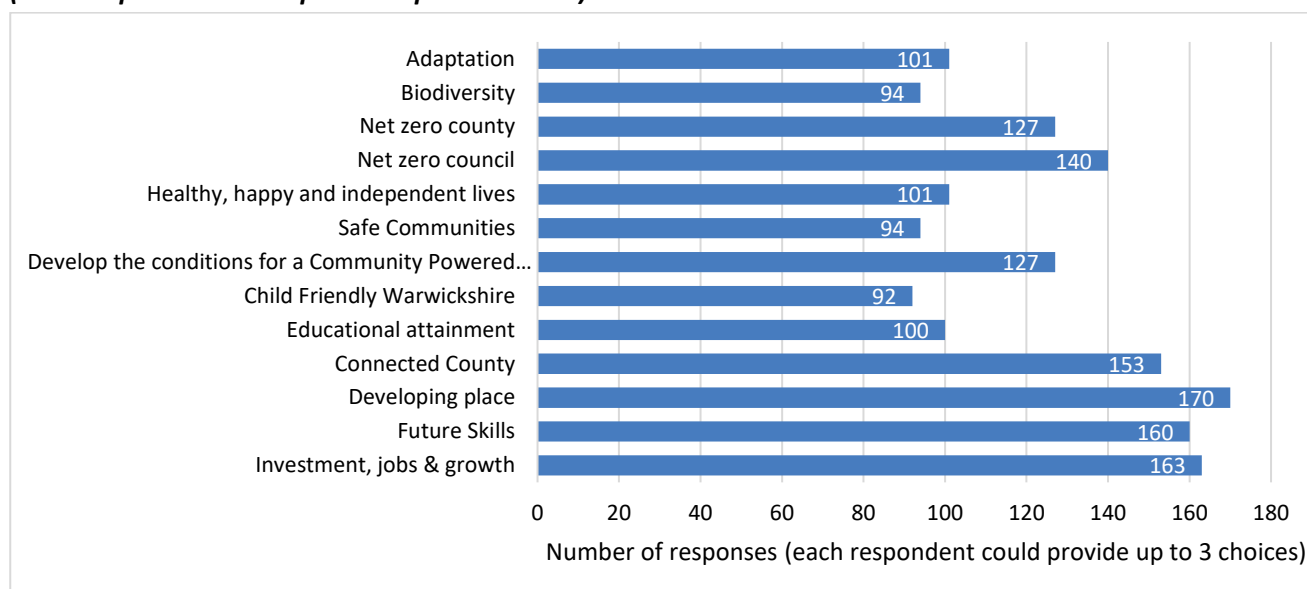
Looking specifically at responses to the young person's survey (178 responses to this question in total), respondents were least likely to choose 'safe communities' (n=4, 2.3%), 'educational attainment' (n=6, 3.4%), 'adaptation' (n=6, 3.4%) and 'Child Friendly Warwickshire' (n=7, 3.9%) as areas of focus where savings could be made. The areas of focus chosen most as areas where savings could be made were 'Investment jobs and growth' (n=29, 16.3%), 'Connected County' (n=26, 14.6%) and 'Future skills' (n=25, 14.0%).

Analysis of results by area where respondents live for the main and easy read survey shows that the choices on area of focus where savings could be made if required varied between respondents from the five districts and boroughs in Warwickshire (Table 7).

Table 7: Highest and lowest percentage of choices on areas of focus where savings could be made by area where respondents live (% responses)

	North Warwickshire Borough	Nuneaton & Bedworth Borough	Rugby Borough	Stratford-on-Avon District	Warwick District
Highest % of choices made by residents	Educational attainment (11.8%)	Net zero county (13.0%)	Adaptation (10.9%)	Investment, growth and jobs (10.9%)	Developing place (11.4%)
Lowest % of choices made by residents	Child Friendly Warwickshire (2.1%)	Safe communities (3.6%)	Biodiversity (4.7%) Safe communities (4.7%)	Adaptation (3.4%)	Child Friendly Warwickshire (4.2%)

Respondents were also asked which areas of focus Warwickshire County Council could **spend more** on if additional funds were made available. Respondents could select up to three areas of focus where they thought more money could be spent. In total 1,623 choices were selected. If all respondents had made three choices 1,794 choices would have been selected so either some respondents did not answer this question or made fewer than three choices.

Figure 9 shows the results from this question. The area of focus chosen by the greatest number of respondents to spend more money on was 'educational attainment' with 216 respondents choosing this area of focus (13.3% of responses). This was followed by 'Healthy, happy and independent lives' (151 responses, 9.3%) and 'Developing place' (145 responses, 8.9%). The area of focus that respondents were least likely to choose as an area where money could be spent if it became available was 'Future skills' (74 responses, 4.6%).

Looking specifically at responses to the young person's survey (166 responses to this question in total), respondents were least likely to choose 'Develop the conditions for a Community Powered Warwickshire (n=4, 2.4%), 'Connected County' (n=7, 4.2%), 'Health, happy and independent lives (n=7, 4.2%) and 'Biodiversity' (n=7, 4.2%) as areas of focus where money could be spent. The areas of focus chosen most as areas where money could be spent were 'Educational attainment' (n=28, 16.9%), 'Investment, growth and jobs' (n=22, 13.3%) and 'Developing place' (n=19, 11.5%).

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Figure 9 - Number of respondents who choose the area of focus as an area where more money could be spent if it became available (each respondent could provide up to 3 choices)

Area of focus	Number of responses
Adaptation	118
Biodiversity	132
Net zero county	111
Net zero council	96
Healthy, happy and independent lives	151
Safe Communities	137
Develop the conditions for a Community Powered…	103
Child Friendly Warwickshire	87
Educational attainment	216
Connected County	121
Developing place	145
Future Skills	74
Investment, jobs & growth	132

Number of responses (each respondent could provide up to 3 choices)
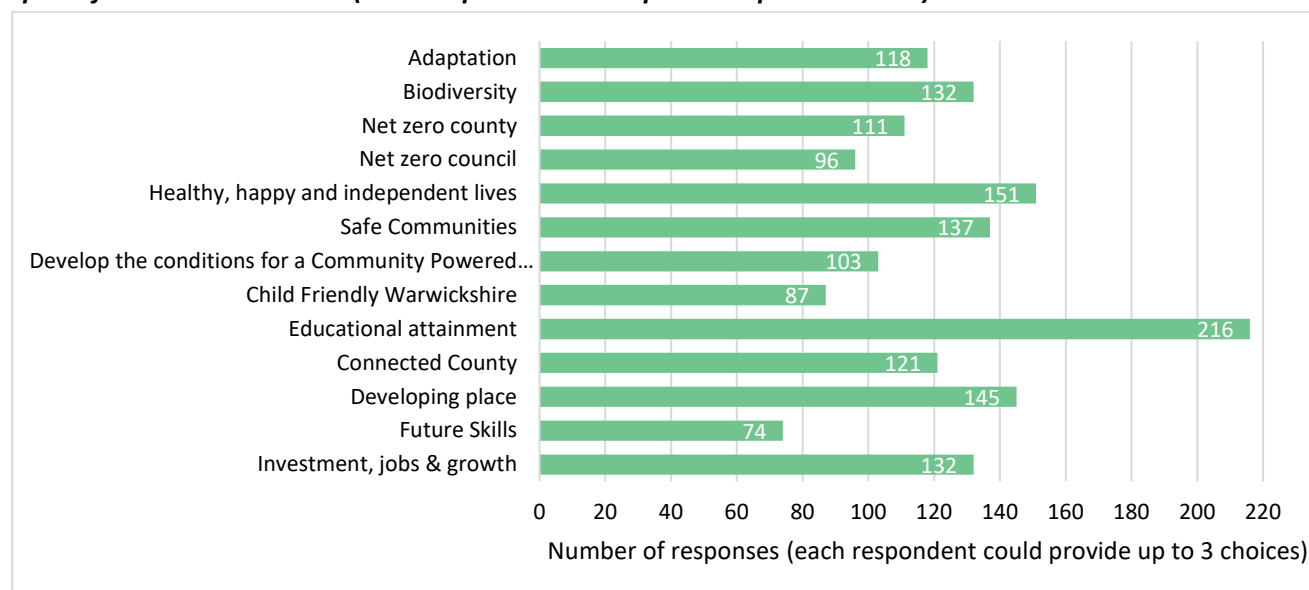
Analysis of results by area where respondents live for the main and easy read survey found that the highest proportion of choices on area of focus where money could be spent was less varied than choices for savings, with educational attainment being the area of focus of choice for spending by respondents in all area of Warwickshire (Table 8).

Table 8: Highest and lowest percentage of choices on areas of focus where money could be spent by area where respondents live (% responses)

	North Warwickshire Borough	Nuneaton & Bedworth Borough	Rugby Borough	Stratford-on-Avon District	Warwick District
Highest % of choices made by residents	Educational attainment (11.7%)	Educational attainment (15.6%)	Educational attainment (15.6%)	Educational attainment (10.9%)	Educational attainment (11.2%)
Lowest % of choices made by residents	Child Friendly Warwickshire (4.8%) Net zero county (4.8%)	Net zero council (1.7%)	Future skills (4.7%) Child Friendly Warwickshire (4.7%)	Child Friendly Warwickshire (3.8%)	Future skills (3.2%)

4.7 Results: Additional comments

In the final section of the survey, respondents were asked to use the space provided "for any comments you would like to make about the areas of focus we have outlined. For example, tell us here if you think there are priority areas that aren't covered". In both the easy-read version and the young person's version, this question was worded slightly differently: "please use the space below for any comments you would like to make". All responses across the three versions of the survey have been grouped and analysed together.

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In total, 148 responses to this question were received. Analysis was undertaken and themes are presented in Table 9 below. A wide range of issues and topics were mentioned, and some respondents took the opportunities to go back to previous themes and areas of focus mentioned earlier in the survey. The most common response was around general environmental-related concerns (e.g., importance of green spaces, wildlife, cleanliness, pollution concerns) – 18.9% (n=28) of respondents who left a comment to this question mentioned this in their answer. Other frequently mentioned themes included: improvement to/investment in local infrastructure (e.g. road maintenance, access to local services, facilities and amenities) (10.8%, n=16), and Council/Government decision-making, accountability, strong policies are required (need to be leaders) (10.8%, n=16).

Table 9 Themes based on qualitative comments regarding any other comments

Theme / description	Count (%)	Example quotation(s) for illustration
General environmental concerns (e.g. importance of green spaces, wildlife, cleanliness, pollution concerns)	28 (18.9%)	*"Climate change has to be number one"* *"Every decision needs to be taken in the context of the Climate Emergency. We are planning for future generations, so that they can live a sustainable life in a resilient landscape... Every single tonne of carbon burned makes things worse. Every green site built on adds to the problem"* *"Issues such as air quality, flood storage and access to green space"* *"Please don't hesitate in moving forward with provisions to minimise the impact of climate change"* *"Priority has to be everything that will reduce carbon emissions and acting now"*
Improvement to/investment in local infrastructure (e.g. road maintenance, access to local services, facilities and amenities)	16 (10.8%)	*"Ensure the libraries and museum are funded properly so none close or have reduced hours"* *"Focus on providing services to current residents - don't look to grow without investing in infrastructure. Ensure planning takes account of our roads, volume, access to healthcare, education"* *"Integrate, integrate, integrate. Close expensive buildings that have no impact on resident services"*
Council/Government decision-making, accountability, strong policies are required (need to be leaders)	16 (10.8%)	*"Be accountable and transparent - let the residents know what is to be spent and ask out views as a lot of money is spent on things that add little value"* *"I don't think anyone could argue the areas of focus outlined are not worthy aims but some might be forgiven for saying 'we've heard it all before' and so, as I've mentioned several times, it comes down to having measurable targets that have clear accountability"* *"I It is vital that this consultation reflects a true change in local authority attitudes to public and community involvement"*

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Improve communication and engagement (with local residents) – opportunities to listen, learn and feedback	15 (10.1%)	*"Hold think tanks where the public and affected groups can offer ideas and priorities"* *"Making it clearer to residents what is covered by county council"* *"What percentage of residents have filled out this form? What has been done to get peoples opinions?"*
Promotion/support for/access to health and wellbeing initiatives (e.g. physical exercise/mobility, mental health, healthy eating)	15 (10.1%)	*"Integration of health and social care"* *"Mental health survives in the county are appalling. Services do not communicate… WCC need to take urgent action"* *"Adult services should help more people. You can't get help from them when you want it"*
Encouraging/promoting community involvement, participation and empowerment (civic pride and responsibility)	14 (9.5%)	*"I would like to praise the commitment to the feelgood community events, like the Art in the Park, Lantern Festival, River Festival, etc which are very positive events"* *"Sport and leisure has also not been mentioned and I believe that has a lot to offer communities"* *"Art and cultural events could be organised throughout the year"*
General negative comments/concerns (re. areas of focus, survey/questions)	14 (9.5%)	*"I don't think anyone could reasonably disagree with the areas of focus. The real questions are about how they might conflict. For example, promoting economic growth vs. environmental concerns. We need to ask if unlimited economic growth is possible on a planet with finite natural resources (particularly as every other county in England, and every other country in the world, almost certainly have ambitions to promote economic growth too)"* *"I can't imagine anyone ticking 'not important' or 'of little importance' so I'm not convinced this gives a full picture of people's views"* *"Your survey was slightly bland and meaningless as you can't really not agree with your aims. Just tick box bla bla. You need something bold and imaginative"*
Safety/security (policing, speeding, violence, anti-social behaviour, drinking/drug-taking	11 (7.4%)	*"Car crime, hate crime, drugs and robbery need stamping out. When people are caught for these crimes. The punishment should match the crime. Too often the justice system lets down the work of the Police"* *"Sadly lacking in terms of security and safe spaces"*
Financial concerns (delivering value for money, transparency on finance, resources and plans)	11 (7.4%)	*"The public is aware that money is tight, but please don't waste it by introducing ambitious plans and in fact cutting front line services"* *"Services cost money so without increased council charges or government support in funding it's hard to see how the current and any extra services can be provided at a level I think the majority of people want"*
Investment in/improvement of sustainable or 'green' (public) travel and transport	11 (7.4%)	*"The main point is that Active Travel initiatives tick all the boxes in meeting the areas of focus"* *"Improving cycle and walking access"*

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options (e.g. walking, cycling)		
Access to quality education for young people (including good schools, learning, development and training opportunities) for young people	10 (6.8%)	*"Looking after every child in every school and reassuring all children that we will all get through the pandemic and our futures matter"* *"Schools to be given more funds"*

Other themes mentioned by a smaller number of respondents included: importance of integrated working, joined-up thinking and collaboration (n=9); general positive comments (agreement around areas of focus) (n=9); disparities/inequalities (e.g. North compared to South) (n=7); concerns regarding (housing) developments/urban expansion (n=6); support for vulnerable groups (e.g. victims of domestic violence, homelessness, elderly people, people with a disability/long-standing health condition) (n=6); impact(s) of the COVID-19 pandemic (n=5); encourage / optimise waste management/recycling (n=4); support for local businesses to stimulate local economy (n=3); suggestions around a single Unitary Authority (n=2); clear, long-term planning and objectives (n=2); concerns around HS2 (n=2); improving customer service / customer-focus (e.g. data-led) (n=2); concerns regarding parking (n=2); and rural isolation (n=2).

5. Responses provided by email

One response from the Federation of Small Businesses (FSB) was submitted by email. The FSB fully support the overarching objective and ambition to make Warwickshire the best it can be and is keen to work with the council to help achieve the relevant outcomes.

Key points were:

- A call for a focus on small businesses which make up the local economy, help drive local growth and create opportunities
- Continued engagement with local small businesses is vital when focussing on investment, growth and jobs.
- Ethnic minority and women-led businesses have been disproportionately affected by the COVID-19 restrictions and will need targeted attention and specific business support in the months ahead
- The FSB would like to see reference to local procurement and commitments to opening up more opportunities through the county council and its partners to small businesses. FSB would be willing to help deliver on this.
- FSB research has consistently shown that small businesses are facing skills and employment challenges. The FSB is therefore keen to support Warwickshire County Council and other partners to focus on future skills and see this is a very important priority.
- The FSB would welcome continued engagement with the Warwickshire Skills hub to engage with small businesses to tackle skills challenges and future skills needs. A number of key actions were proposed including joint events.

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- The FSB welcomes the inclusion of developing place in the plan as a very important focus for small businesses. FSB also welcome the ambition to develop attractive, accessible and safe places where people want to visit and enabling effective town centre regeneration.
- The FSB would welcome the development of a strategy for how to bolster the economically active populations of high streets, considering immediate surrounding residential areas, as well as local offices, services and other concentrations of economically active populations.
- The FSB see transport and highway infrastructure as a critical area as small businesses are heavily reliant on the local road network.
- The FSB welcomes the proposal to include specific outcomes around sustainable futures to the council plan. They see the area of focus around a net zero county and mobilising residents, communities, businesses and key partners to play their part in developing and delivering a clear for a net zero county by 2050 as important.
- Any plan should include business support for small businesses to help on their sustainability journey.
- With the range and complexity of challenges facing local businesses across Warwickshire it is vital that the county council continue to work with partners to deliver quality, well integrated public services.
- The communications and engagement focus is very important to deliver on the outcomes of the plan, for example to enable businesses to be aware of the range of support available from Warwickshire County Council business, innovation and employment and skills services.
- The FSB would welcome the opportunity for ongoing engagement with Warwickshire County Council as it develops the County Council plan 2025 and objectives further.

The full submission can be found at

6. Future Challenges

Respondents were asked to try and think further ahead and consider what the Council's priorities might need to be over a longer period. Thinking about what Warwickshire should look like by 2050, respondents were asked '**What three things do you think could improve life in Warwickshire for future generations?'.** In both the easy-read version and the young person's version, the questions were worded slightly differently, for example: "What three things do you think could make life better in Warwickshire in the future?" (easy-read version) and "What three things would be important to you to improve life in Warwickshire for future generations?" (young people version), but all responses across the three versions of the survey have been grouped and analysed together.

In total, **419** responses to this first question were received. Analysis was undertaken and themes are presented in Table 10. The most common response was around investment in/improvement of sustainable 'green' (public) travel and transport options (e.g. walking, cycling) – 28.9% (n=121) of respondents who left a comment to this question mentioned this in their answer. Other frequently mentioned themes included: general environmental-related concerns (e.g. importance of green spaces, wildlife, cleanliness, pollution concerns) (28.4%, n=119), and the importance of education and skills (including good schools, learning, development and training opportunities) (24.8%, n=104).

Table 10. Themes based on qualitative comments on three things that could make life better in Warwickshire in the future

Theme / description	Count (%)	Example quotation(s) for illustration
Investment in/improvement of sustainable or 'green' (public) travel and transport options (e.g. walking, cycling)	121 (28.9%)	*"Sustainable transport links that reduce the traffic on the road, e.g. VLR systems / trams"* *"Active transportation improves our health and the health of our communities. It also lowers our healthcare costs. The more people walk and bike the more we lower those costs as we reduce the levels of obesity, heart disease, and Type 2 diabetes. Cycling is not only improving the liveability of cities, public health, air quality, or the CO2 balance, it also creates "hard economic value and jobs". It is therefore a perfect tool for transition in the transport sector, providing a large number of assets, including jobs"* *"A county where there are good public transport links to enable communities to work and play whilst being mindful of climate change"* *"Reduce the number of cars on road by delivering modal shift onto public transport"* *"Better transport system - less polluting, more efficient, more active"* *"Develop better public transport systems, using driverless cars, integrated systems so that trains/buses connect with suitable timetables"* *"Better, greener transport options (including improving cycle lanes)"*
General environmental concerns (e.g. importance of green spaces, wildlife, cleanliness, pollution concerns)	119 (28.4%)	*"More green, biodiverse spaces"* *"Taking care of greenbelt and wonderful Warwickshire countryside"* *"Safeguarding the countryside around the county. I see lots of pledges to be carbon neutral and sustainable but nothing about protecting the green spaces we currently have"* *"Cleaning up our natural environments such as canals, footpaths and making them more user friendly and encouraging rewilding"* *"More green spaces, provision for wildlife and consideration for enhancing biodiversity"* *"A beautiful county with plenty of woods. Open spaces, and parks, clean rivers and streams. Good walks accessible for all"* *"More natural spaces: let verges grow to attract pollinators; create wildflower meadows which have been destroyed; plant*

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		trees in the right places to reduce air pollution"
Importance of education and skills (including good schools, learning, development and training opportunities)	104 (24.8%)	*"Increase aspiration through education"* *"Get a grip on schools. Demand quality educational experiences and hold accountable those that consistently fail to get pupils to acceptable levels"* *"Wider educational opportunities beyond the national curriculum and exams"* *"Improve education and skills attainment in schools"* *"Good Education for all ages and opportunities from Early Years through to Further Education and more Apprenticeships"* *"Investment in education"*
Concerns regarding (housing) developments/urban expansion	84 (20.0%)	*"Futureproof housing: encouraging housing developers to create homes that stand the test of time, or adapting current stock to be efficient"* *"Rather than having lots of new big family houses people can't afford, why not build small apartment blocks, and create SOCIAL HOUSING for families and individuals who need them"* *"Stop building homes everywhere you see a gap!"* *"Limit housing where there already over developments"* *"Stop building new houses at the rate you are without the infrastructure of hospitals, ambulances, police etc - no new doctors dentists etc but adding to the local population"*
Support for sustainable local businesses to stimulate local economy (inc. job opportunities)	70 (16.7%)	*"Protecting local small businesses from mega business"* *"A diverse range of quality employment options for residents"* *"A vibrant economy where people have access to a wide range of job opportunities"* *"Adopt and enable a 'buy and shop locally' approach - boosting local business within our economy"* *"Green sector jobs and industry"*
Tackling climate change / big environmental issues	67 (16.0%)	*"Tackling climate change"* *"Mitigate the climate crisis. If we don't do this, the rest is pointless"* *"1. Achieving Net Zero goals before target dates; 2. achieving Biodiversity targets before target dates"* *"2050 is too far ahead when we need to address climate change by 2030"*
Safety/security (policing, speeding, violence, anti-	66 (15.8%)	*"Tackle crime. Turning lighting off at night might save money but makes crime such as car theft easier"*

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social behaviour, drinking/drug-taking)		"Feeling safer - more/higher profile policing and working against antisocial behaviour" "Safe environment for women, more resources turned towards domestic abuse and access to free legal representation" "Clamp down on county lines drugs coming into the area"
Promotion/support for/access to health and wellbeing initiatives (e.g. physical exercise/mobility, mental health, healthy eating)	57 (13.6%)	"Prioritise the development of policy and planning across all services that take account of population health and wellbeing - particularly mental wellbeing as one of the projected major public health risks of the future" "Good local hospitals… that is financially supported by local government" "A long-term strategy for health and social care, including prevention. Greater access to leisure and healthy lifestyles" "Guidance on healthy eating reducing obesity"
Improvement to/investment in local infrastructure (e.g. road maintenance, access to local services, facilities and amenities)	50 (11.9%)	"Improved road infrastructure" "Access to quality public services" "Improving and refreshing the existing infrastructure" "Infrastructure (shops, GPs etc)"
Encouraging sustainable living (e.g. optimise waste management/recycling, sustainable farming)	43 (10.3%)	"Better, more customer friendly recycling facilities. The booking system at recycling centres has resulted in more fly tipping. Why not have centralised collection areas for recycling? All the big bins at supermarkets are constantly overflowing" "Tackling waste - Recycling, reuse - But also encouraging less consumption of unnecessary and wasteful products in the first place" "Sustainable farming and being able to buy sell produce more locally" "Help move forward to far more ecologically and environmentally sustainable patterns of living, working and existing"
Support for community groups, events, projects	38 (9.1%)	"More inclusion of smaller community based groups" "More community projects" "Community initiatives such as Christmas lights/street parties etc." "Better promotion of events…. Look how successful BikeFest was this year"
Concerns regarding inequalities (e.g. North v	34 (8.1%)	"Fuel poverty for some of the community is a risk" "Finding ways to break the cycle for families stuck in extreme

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South, low-income groups, poverty)		"poverty" "Equality of job opportunities in the north of the county" "Less inequality - especially south to North"
Importance of civic/community involvement, belonging, responsibility and pride (e.g. volunteering)	33 (7.9%)	"If you give people a secure base they feel more able to give help and involvement in the community" "Everyone must take individual responsibility for their own actions and futures" "Restoring a sense of pride in places" "Supporting all members of the community to come together"
Specific support for young people (service provision, groups/events, opportunities)	33 (7.9%)	"Prioritise young children (0-11) through increased resources and staffing for children's centres, EY settings, schools, LEA educational services" "Investing in youth services" "Listening to and involving younger people in decisions" "Support for young people"
Reducing traffic, congestion, reliance on cars	33 (7.9%)	"Reduce car traffic (thus no noise, better air quality, improved health, enhanced safety)" "Improve traffic flow. At peak times things come to a standstill. So much wasted time, energy and resources" "Attention to air pollution. Proper management of traffic in town and countryside" "Clean air, less traffic"
Concerns regarding bureaucracy, better local government (e.g. clear plans/actions, accountability, measurable goals)	30 (7.2%)	"Reducing the bureaucracy and layers of government - central / local x 2 / academies v LA" "A council that is accessible and willing to listen and respond" "Be accountable" "Allow the opinions and recommendations from residents, and local representatives to influence the decisions taken by the bureaucrats of local government more readily"
Regeneration of town-centres and/or brownfield land	29 (6.9%)	"Regeneration of rundown areas" "Regeneration of the town centre by bringing in more independent shops. It's a ghost town at the moment" "Regenerate towns. Empty businesses are really letting the county down"
Support for quality social care services	26 (6.2%)	"Better social care" "Enhanced social care services especially for elderly people"

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		"Better social care delivery"
Improve communication and engagement (with local residents) – opportunities to listen, learn and feedback	25 (6.0%)	"Communicate without using buzz words" "Easy, accessible mechanisms to facilitate ongoing conversation, where people feel heard, valued and seen, and where the feedback gathered is used pragmatically (and this use of feedback is made known to people)" "Good and simple communication is key with communities, listening to what's actually happening on the ground and empowering/supporting them to help shape services and those things that are important in their communities, so they don't feel 'done to'"
Support for/investment in renewable energy schemes/initiatives	24 (5.7%)	"Encouraging plant based and green initiatives as a first step in everything that you do" "Support local green initiatives" "Solar panels and/or electric car charging"
Budgets, funding, resources (value for money, investing in communities)	20 (4.8%)	"Make the council more efficient with money" "More finance from Central Government" "This is dependent on how much money the council has/is given by government"
Access to culture, arts and leisure opportunities	20 (4.8%)	"Provide more culture... There are almost no National Trust properties in Warwickshire, for example. Coventry is the City of Culture this year, so you should be capitalising on that and increasing the offering (not in the city / town centres, but county wide)" "Improvements in arts and culture" "More leisure facilities"

Other themes mentioned less frequently included: support for vulnerable groups, diversity/equality (n=18), rural isolation (n=18), importance of integrated working, joined-up thinking and collaboration (n=18), digital inclusion (access to internet, digital skills) (n=15), specific support for young people (service provision, groups/events, opportunities) (n=11), concerns regarding parking (n=3), suggestions around a single Unitary Authority (n=2), specific concerns regarding HS2 (n=2).

In total, 362 responses to the second question ("what do you think we could be doing now to work towards these?") were received. Analysis was undertaken and themes are presented in Table 11. The most common themes emerging were around investment in and ensuring access to good quality education (16.3% of responses, n=59); improve communication and engagement with local residents providing opportunities to listen, learn and feedback (15.7%, n=57); comments on housing, developments and urban expansion regulation/policies (15.2%, n=55); and investment in and encouragement for protection of green spaces and local environment (inc. recycling) (14.9%, n=54).

Table 11. Themes based on qualitative comments on what could be done now to work towards these

Theme / description	Count (%)	Example quotation(s) for illustration
Invest in / ensure access to quality education, training and skills (including good schools, learning, development opportunities)	59 (16.3%)	*"Invest in wider educational opportunities for all ages"* *"Improve education settings (e.g. better ventilation, refresh, remodel)"* *"Fostering a joined up culture in the education sector - such as creating a shared space to generate ideas share ideas and share knowledge between all levels of education in the county. helping schools reduce expenditures through shared and collective ideas or bids for provisions etc."* *"Investing more funding in education"* *"Looking at where the education system is stretched (SEND)"* *"Build capability to support education"*
Improve communication and engagement (with local residents) – opportunities to listen, learn and feedback	57 (15.7%)	*"Better clearer communication with residents"* *"Use more local radio to communicate and explain what the goals are"* *"Effectively communicating with residents to find out what & where support is needed"* *"Consult with council tax payers and again engage and listen after all we are not all stupid"* *"Find a way to engage all people with the council, so they can join threads that interest and affect them"*
Housing, developments and urban expansion regulation/policies	55 (15.2%)	*"Don't just agree to build 3/4 bedroom houses with a massive price tag, we need more social housing"* *"Actively stop new house building where there is no educational infrastructure to support it"* *"Stricter controls on HMO's and landlords, enforcing better housing standards"* *"Develop areas within the existing town boundaries rather than building more and more houses on the outskirts of town"* *"Land management to utilise brown field sites for housing"*
Investment in and encouragement for protection of green spaces and local environment (inc. recycling)	54 (14.9%)	*"Our ever dwindling green spaces. Once they disappear under concrete they never come back"* *"Focusing on response rather than prevention, we need more greenery anywhere possible, and better solutions to littering"* *"Hedgehog homes, more green and rural areas"*

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		"Increase amount of green space in Warwickshire eg plant trees, more parks including micro parks (small refugee of nature amidst the urban jungle)"
		"Campaigns about refuse & recycling, and reducing consumption - Making it clear that it is not the end when we put something in a recycling bin or skip - What happens to it then? How much is actually recycled? Where is the recycling process undertaken?"
Projects/campaigns/educate on climate change / sustainable living (inc. projects, grants)	47 (13.0%)	"Take climate change seriously and act as if it is an emergency- taking action now will save money in the future" "Looking at long term strategies for dealing with climate change" "Solar panel and other power saving equipment implementation to reduce carbon footprint and create a sustainable system for future generations" "Make compulsory education on sustainability and climate change at primary & secondary school level, encouraging children to think about their own individual & family consumption and impact, as well as the whole population impact. Link sustainability/climate change issues to PHSE (including issues of choice around family size)." "Finding suppliers already moving towards green/sustainable energy"
Council/Government decision-making, accountability, strong policies are required (need to be leaders, clear plans/actions)	46 (12.7%)	"Having a series of questions to weigh up when making ANY decision on anything: How does this positively/negatively impact the environment? How does this promote or prevent relationships from being developed or sustained? How does this devolve/restrict power/money into local communities?" "Providing much stronger and visible leadership in relation to the items listed in item 14" "Reflect upon the feedback from residents and develop policies/ approaches which embody them" "The council needs to understand where these things are lacking and work with local communities and global businesses to develop strategies to meet these goals in a agile and sustainable way" "More action, less talking!"
Improvement to/investment in local infrastructure (e.g. road maintenance, access to local services, facilities and amenities)	43 (11.9%)	"Stop thinking infrastructure, much of which dates back to Victorian times can cope, i.e. having new sewers bolted on, or expecting the inevitable large increase in traffic to continue to use road systems dating back to medieval times" "Infrastructure- if the houses are to be built do the Infrastructure first. Schools, dentists, GP surgeries, roads etc. These barely cope as it is"

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		"Ensure services meet contractual requirements" *"Making sure that the current services provided are not diminished by lack of staff or resources"*
Investment in/improvement of active travel options (e.g. walking, cycling)	42 (11.6%)	*"Set up more pedestrian crossings, cycle lanes, and cycle parking facilities"* *"Better active travel infrastructure would be high on my priority list, as it helps tackle climate change, improves health, makes locations more people centric and social and can support a range of jobs, including more retail spending in local towns. Look at what the Dutch do is a good start - they've built their cycle and walking infrastructure over the last 40 years and it now makes it possible to avoid car use for lots of journeys, even between towns. They also mix up residential, office and retail spaces so that people don't necessarily have to travel far for jobs, shopping, leisure, etc."* *"Invest in an environment that enables residents to be active easily"*
Policies to support local businesses / stimulate local economy	37 (10.2%)	*"Continue working with local businesses to support more apprenticeships and a wider range of jobs (not just low-paid, low skilled or hospitality jobs)"* *"Funding and support for independent businesses"* *"Supporting the local economy"*
Investment in/improvement of sustainable/'green' public travel and transport	36 (9.9%)	*"Invest in good clean green public transport"* *"Supporting and adopting a new approach to transport and highway management that seeks to ensure that every decision taken or funding spent improves conditions for sustainable travel and challenges the dominance of the private car"* *"Subsidising bus and train travel"*
Value for money, accessing (and spending wisely) finances/resources	34 (9.4%)	*"Working with central government to increase financial support for WCC"* *"Regular scrutiny of finances and being accountable if overspend"* *"Get your priorities right and stop wasting money"*
Importance of integrated working, joined-up thinking, partnerships and collaboration	33 (9.1%)	*"Fostering a joined up culture"* *"Working with partners"* *"Work in partnership with the relevant authorities and groups"*
Support for and promotion of community groups, events, projects	27 (7.5%)	*"Encouraging community action and community groups"* *"Support groups financially and with expertise where already established in relevant areas e.g. charity, support groups, libraries, hubs, sport, health and fitness, well-being, work experience, transport etc."*

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		"Start to introduce community projects"
Reducing reliance on cars (inc. reducing traffic, congestion, speeding, parking)	24 (6.6%)	*"Use data to see if congestion charges can be used to reduce car-users"* *"Set out a plan to alleviate traffic congestion"* *"Assess the peak periods of travel to see where the key areas of traffic build up are"*
Focus on safety/security (policing, speeding, violence, anti-social behaviour, drinking/drug-taking)	20 (5.5%)	*"Build a stronger police force and ensure safety in a community"* *"Invest more in the Police and Fire Service - people feel safer when the Police are visible and the Fire Service is essential"* *"More accessible helplines, or create systems for women so they can get home safely"*

Other themes mentioned less frequently included: importance of civic/community involvement, responsibility and pride (n=18), investment in health and wellbeing services/initiatives (e.g. physical exercise/mobility, mental health, healthy eating) (n=17), utilising technology / online services (digital services, website, social media) (n=14), reducing inequalities/poverty (e.g. North v South, low-income groups) (n=13), investment in social care services (n=8), regeneration of town centres (n=8), utilising research, data and statistics (n=7), support for vulnerable groups (n=7), support for young people (n=6), concerns/queries around Unitary authority (n=5), impact of COVID-19 pandemic (n=4), reviewing current service providers (n=3), rural isolation (n=3), impact of HS2 (n=2), tourism (n=2).

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Appendix 1 – Summary of activity to promote the engagement survey

How	When	To whom
Emails		
To strategic partners from Chief Executive of WCC	29/9/2021	Chief Executives and equivalent: District & Borough councils, WALC, C&W LEP, Coventry City Council, Solihull Council, WMCA, C&W CCG, SW NHS FT, UHCW NHS Trust, GE Hospital NHS Trust Warwick University, Coventry University, Arden GEM CSU, Warwickshire College Group, Warwickshire Police, C&W Chamber of Commerce, WCAVA, Age UK Warwickshire, Equip
To strategic partners from Leader of WCC	w/c 20/9/2021	Leaders/Chairs: District & Borough councils, C&W LEP, Coventry City Council, Solihull Council, WMCA, C&W CCG, SW NHS FT, UHCW NHS Trust, C&W NHS Partnership Trust, Healthwatch Warwickshire, Healthwatch Coventry, Warwickshire OPCC, Federation of Small Businesses - C&W
To MPs from Leader of WCC	w/c 20/9/2021	MPs
To various communities and partnerships	w/c 20/9/2021	Financial Inclusion Partnership, WCAVA, Equip, Pride, Youth Parliament, Warwickshire Youth Alliance, Youth Forums, Community champions, Warwick District Faith Forum, Faith leaders, Community Safety Partnership, Making Space, Grapevine, Warwickshire Young Carers, Hillmorton Youth Club, Overslade Youth Club, Rugby College community groups, Brownsover Youth Club
To Town and Parish Councils	24/9/21	Town and Parish Councils
To elected members	23/9/21	Elected members
Via distribution lists	w/c 20/9/21	Localities mailing list c2000 subscribers; public health lists; WCC consultation & engagement (Ask Warwickshire) subscribers, Green Shoots contacts, Learning and Development Team contacts

Social media		
WCC corporate accounts and regular sharing across service led accounts including FIS; WFRS; Warwickshire Libraries; Economy & Skills	Daily posts from 18/9/21	All residents who follow social media
new images and messaging and advertising (Facebook, Instagram, YouTube, Snapchat) - boosted and targeted posts (main survey and YP version)	From w/c 4/10/21	Targeted at underrepresented groups, ethnic communities and geographic areas where numbers lower
Publications		
Warwickshire Update	Weekly while survey open	Subscribers – Warwickshire news stories
Warwickshire Matters	End September	Subscribers (town and parish councils)
Warwickshire Means Business	Sept 2021 edition	Subscribers (businesses)
Family Information Service newsletter	28/9/21	Subscribers
Heads Up (specifically young person version)	24/9/21	Subscribers (schools)
WCC Internal/Intranet		
Working for Warwickshire	24/9/21, 1/10/21, 8/10/21 & 15/10/21	All staff
Intranet home page	From w/c 20/9/21	All staff
Strategic Director and Corporate Board broadcasts	From w/c 20/9/21	All staff
Senior Leadership Forum	20/9/21	Senior leaders
Digital Advertising		
Campaign with Reach PLC (Coventry/Warwickshire Telegraph/Nuneaton News) – included digital display ads, targeted social media ads, and print ads.	w/c 11/10	Targeted to N&B and North Warwickshire
Other		
Weekly engagement packs from Marcomms	From 18/9/2021	incl. DC/BC, extensive distribution to partners
Direct email to comms leads	From 18/9/21	DC/BC comms leads; WCAVA and Equip

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Appendix 2 – Main survey content

Making Warwickshire the best it can be

Our county has a great track record of stepping forward to meet big challenges. The last year and a half have been no different. Thousands of people and organisations have worked together to tackle COVID-19, support those most at risk, and look out for each other's welfare and mental well-being.

Collectively, we have found new ways to solve problems and get things done. There are still big challenges ahead of us: driving economic recovery; getting people back into work; tackling climate change; challenging inequalities; prioritising wellbeing; and keeping our communities healthy, safe and connected.

As we step forward from this extraordinary chapter, we are developing a new five-year Council Plan and want your views.

Our ambition remains to make Warwickshire the best it can be, now and for future generations. We want Warwickshire to be a brilliant county in which to grow up, work and prosper and grow old. We are proposing three outcomes to achieve our ambitions so that Warwickshire is:

1. A county with a vibrant economy and places with the right jobs, skills, and infrastructure.
2. A place where people can live their best lives; where communities and individuals are supported to live safely, healthily, happily and independently.
3. A place with sustainable futures which means adapting to and mitigating climate change and meeting net zero commitments.

We know too that resources remain a challenge as we face increasing demand for services, particularly in adult and children's social care, education and waste management.

Building on the Council's strong track record of delivering major transformation and over £104m of financial savings since 2014, we need to innovate and improve to deliver value for money and ensure we are a **great council and partner.**

In this survey we set out a series of draft objectives for the new Council Plan under our three strategic outcomes. We want you to consider these and tell us which are the most important to you, and your priorities for spending.

How to take part

• Complete and return this paper survey in the pre-paid envelope supplied. If you do not have a pre-paid envelope please return in a stamped envelope to: Ask Warwickshire - Council Plan, Warwickshire County Council, Shire Hall, Warwick, CV34 4RR; or hand in to your local library.

• You can also complete this survey online at www.warwickshire.gov.uk/ask.

• If you need the survey in a different format or language, please telephone our Customer Contact Centre (01926 410410) or email askwarwickshire@warwickshire.gov.uk. Our Customer Contact Centre is open Monday – Thursday (9am to 5pm and Fridays (9am – 4.30pm)

• If you want to feedback directly you can email askwarwickshire@warwickshire.gov.uk or write to: Warwickshire County Council - Council Plan Shire Hall Market Place Warwick CV34 4RL

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Privacy Information

Thank you for taking the time to share your thoughts with us.

Your responses are completely anonymous. Questions for the purpose of equalities monitoring are included. You do not have to give us this information. If you do choose to provide it, we may use the data to analyse your response against your personal characteristics, such as age, in order to better tailor our services to the needs of our communities.

Following the end of a survey we shall publish the results, and this may include quotes of comments which will be anonymous.

Information you provide in any additional response to consultation and engagement activities, including personal information, may be disclosed in accordance with the Freedom of Information Act or Environmental Information Regulations. If you want the information that you provide to be treated as confidential, including your contact details, please contact askwarwickshire@warwickshire.gov.uk, but be aware that, under the under the legislation we cannot always guarantee confidentiality.

To see how we use your personal data and what your information rights are, please read our overall customer privacy notice at www.warwickshire.gov.uk/privacy or contact our Customer Service Centre on 01926 410410.

1 Please tick here to show you have read and understand the privacy notice.

☐ I have read the Privacy Notice and consent to you collecting my responses

Background Information

2 Which of these descriptions best describes why you are completing this survey? (If more than one applies, please choose your main interest).

(Required) Please select only one item

☐Warwickshire resident (Please answer Q3a next)

☐Work in Warwickshire (Please answer Q3b next)

☐Represent a business based in Warwickshire (Please answer Q3b next)

☐Represent an education setting based in Warwickshire (Please answer Q3b next)

☐Elected member of a council in Warwickshire or Parliament (Please answer Q3b next)

☐Represent an organisation based in Warwickshire (please specify below) (Please answer Q3b next)

☐Other (please tell us below) (Please answer Q3a if responding personally or if not, Q3b)

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Use this box to specify organisation / tell us other reason for responding

☐Please tick if you are an employee of Warwickshire County Council

3a If you are answering mainly as a Warwickshire resident please select the area where you live:

(Required) Please select only one item

☐North Warwickshire Borough

☐Nuneaton & Bedworth Borough

☐Rugby Borough

☐Stratford on Avon District

☐Warwick District

☐Live outside Warwickshire

☐Other (please specify below)

3b If you are answering in another capacity, please select the district/borough where you work or undertake your role?

(Required) Please select only one item

☐North Warwickshire Borough

☐Nuneaton & Bedworth Borough

☐Rugby Borough

☐Stratford on Avon District

☐Warwick District

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☐Other (please specify below)

<div style="border:1px solid black; min-height:150px;"></div>

Supporting Information about our Outcomes for Warwickshire

Based on what you have told us before and what we know about the impact of COVID-19 pandemic on Warwickshire, we have refreshed the outcomes which define what we mean by making **Warwickshire the best it can be, sustainable now and for future generations**. We want Warwickshire to be:

- **A county with a vibrant economy and places with the right jobs, skills, and infrastructure.**
- **A place where people can live their best lives; where communities and individuals are supported to live safely, healthily, happily and independently.**
- **A place with sustainable futures which means adapting to and mitigating climate change and meeting net zero commitments.**

To achieve these outcomes we will become even better at what we do and ensure we are **a great council and partner.**

We want to understand what you think about the proposed areas we will focus on over the next five years to achieve these outcomes.

Vibrant economy and places - Your thoughts on our proposed areas of focus

The COVID-19 pandemic had a significant impact on our local economy and our recovery from this period will take several years. Warwickshire, however, will be starting from a strong position and the local economy is one of our fundamental strengths.

Looking to the next five years, to ensure Warwickshire has a vibrant economy and places, made up of the right jobs, skills, and infrastructure our proposed areas of focus are:

Proposed areas of focus: Investment, growth and jobs: Develop a sustainable economy by focusing on productivity, targeting inclusive economic growth and attracting investment and jobs into the county.

This could include for example:
   a) Supporting jobs, investment and growth in key sectors for a sustainable, inclusive future economy and places
   b) Promoting Warwickshire nationally and internationally and attracting inward investment to the county
   c) Promoting financial and digital inclusion, targeting help to those most economically vulnerable
   d) Maximising the benefits of Warwickshire's magnificent heritage, culture and visitor economy

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Proposed areas of focus: Future skills: Work with business and partners to inform the key skills requirement and provision now and for the future
This could include for example: a) Working with the Local Enterprise Partnership (LEP) and higher and further education to get people into or return to employment, support skills, training and re-learning b) Developing a Warwickshire skills hub and digital careers offer c) Increasing the number and take-up of supported internships, apprenticeships and traineeships
Proposed areas of focus: Developing place: Develop attractive, accessible, safe, prosperous, inclusive, sustainable places where people want to live, work and visit
This could include for example: a) Working with others to progress housing development and area regeneration b) Enabling imaginative and effective Town Centre regeneration c) Developing a more integrated, sustainable and safe transport network
Proposed areas of focus: Connected county: Encourage the creation of infrastructure that will support strong, prosperous and accessible places and economy with improved transport, active travel, energy, and digital (fibre and mobile) connectivity
This could include for example: a) Accelerating the roll-out of 5G and Broadband including focusing on rural connectivity to close the gap for the 2% of hard-to-reach properties b) Using digital connection to attract more people to live and work in Warwickshire c) Investing in reliable and efficient transport networks which will help promote full employment and a strong local economy d) Investing in renewable energy generation and electrical charging networks
Proposed areas of focus: Educational attainment: Enabling an inclusive, high quality education for all children and young people within Warwickshire with a particular focus on vulnerable groups
This could include for example: a) Improving education attainment by focusing on achievement gaps, supporting those with special educational needs to fulfil their potential and helping our children and young people catch-up on their education b) Foster children's love of learning from birth through early childhood into starting school so that all young children achieve their potential c) Working with schools, parents and communities so that learners enjoy a high-quality learning experience and leave education with high employability

4 In your opinion how important are these areas of focus?

	Not important	Of little importance	Important	Very Important	Not sure/don't know
Developing a sustainable economy by focusing on productivity, targeting inclusive economic growth and attracting investment and jobs into the county					
Working with business and partners to inform the key skills					

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requirement and provision now and for the future					
Developing attractive, accessible, safe, prosperous, inclusive, sustainable places where people want to live, work and visit					
Encouraging the creation of infrastructure that will support strong, prosperous and accessible places and economy with improved transport, active travel, energy, and digital (fibre and mobile) connectivity					
Enabling inclusive, high quality education for all children and young people within Warwickshire with a particular focus on vulnerable groups					

5 In your opinion what key actions could Warwickshire County Council carry out to deliver these areas of focus?

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Best lives

Your thoughts on our proposed areas of focus

We know that during the pandemic we faced significant challenges as individuals, families and communities. We saw the impact of Covid-19 in many different ways; health inequalities became worse; many people were affected by mental health issues and residents of all ages experienced isolation and anxiety. At the same time, we saw the remarkable strengths of our communities as volunteering levels increased and people made time to support each other.

Looking to the next five years, to ensure people in Warwickshire can live their best lives, and are supported to live safely, healthily and independently our areas of focus are:

Proposed areas of focus: Child Friendly Warwickshire: a county where all young people get the best start in life
This could include for example: a) Helping families give children the best start in life, providing early support before situations become complex b) Improving young people's mental health and well-being c) Helping young people into adulthood, with the right social and technical skills to thrive
Proposed areas of focus: Develop the conditions for a Community Powered Warwickshire: enable strong, connected, inclusive and active communities
This could include for example: a) Putting community power at the heart of the Council's work b) Promoting social action and volunteering c) Engaging communities and investing in solutions that work for local communities d) Building inclusive and cohesive communities
Proposed areas of focus: Safe communities: help people and our communities to feel safe by tackling the causes and impact of crime, promoting fire safety and preventing harm from fire
This could include for example: a) Working with communities and partners to promote safety, prevent harm, and reduce crime, anti-social behaviour and disorder across Warwickshire b) Reducing domestic abuse and violence, and supporting victims c) Promoting road safety, and reducing the level of fatalities d) Promoting fire safety and reducing avoidable harm from fires
Proposed areas of focus: Healthy, happy and independent lives: promote health and well-being and support independent living by understanding inequalities and preventing their causes
This could include for example: a) Ensuring the health and social care system helps Warwickshire contain COVID-19 and learn to live with it b) Reducing long-term health inequalities, targeting support for healthy, physically active lifestyles where it is most needed c) Helping people improve their mental health and well-being d) Enabling adults, particularly the most disadvantaged, to live independently, happily and healthily by building on their strengths

6 In your opinion how important are these areas of focus?

	Not important	Of little importance	Important	Very Important	Not sure/don't know
Having a Child Friendly county where all young people get the best start in life					
Enabling strong, connected, inclusive and active communities					
Helping people and our communities feel safe by tackling the causes and impact of crime, promoting fire safety and preventing harm from fire					
Promoting health and well-being and supporting independent living by understanding inequalities and preventing their causes					

7 In your opinion what key actions could Warwickshire County Council carry out to deliver these areas of focus?

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Sustainable futures

Your thoughts on our proposed areas of focus

Building on work that has already taken place and lessons from the COVID-19 pandemic, sustainability and tackling climate change have been central to our recovery. We already have in train a Council-wide climate change programme, which includes rationalising office space, tree planting schemes, electric vehicle charging points, LED lighting and have recently launched our Green Shoots Community Climate Change Fund.

Looking to the next five years, we propose to add a specific outcome around sustainable futures. Three areas of focus aim to ensure sustainable futures, adapting to and mitigating climate change and meeting net zero commitments:

- **Net zero council:** be a net carbon zero council by 2030
- **Net zero county:** mobilise residents, communities, businesses and key partners to play their part in developing and delivering a clear plan for a net carbon zero county by 2050
- **Biodiversity** - managing the natural environment to sustain and grow Warwickshire's ecology and promote wellbeing
- **Adaptation** - adapting our infrastructure and resources to respond to the impacts of climate change

What does net zero mean?

'Net zero' means getting a balance between the carbon (greenhouse gas emissions) we put into the atmosphere and the carbon we can take out of the atmosphere through trees, soil and oceans. Although some emissions can be offset (balanced) by processes that reduce carbon in the atmosphere the overall objective is for carbon emissions to be zero

8 In your opinion how important are these areas of focus/

	Not important	Of little importance	Important	Very Important	Not sure/don't know
Being a net zero council by 2030					
Mobilising residents, communities, businesses and partners to develop and deliver a clear plan for a net carbon zero Warwickshire by 2050					
Managing the natural environment to sustain and grow Warwickshire's ecology and promote wellbeing					
Adapting our infrastructure and resources to respond to the impacts of climate change					

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9 In your opinion what key actions could Warwickshire County Council carry out to deliver these areas of focus?

How we will deliver our outcomes by being a great Council and partner

Your thoughts on our proposed areas of focus

We will continue to improve the way we work as a council so that we can achieve the three outcomes we have described to you. This means continuing to develop our staff, our digital infrastructure, the way we engage with our communities and the way we use data and intelligence to inform decision-making.

 These changes will mean we become even better at what we do and ensure we are a great Council and partner. To enable us to deliver our three strategic outcomes, our proposal is to focus on the following areas:

Proposed areas of focus: Putting the customer first: use new technologies, data, intelligence and feedback to design high quality customer service for those interacting with the Council

This could include for example:
   a) Developing a stronger base of evidence, insights and data, and applying this to improve and integrate services, target resources and track our impact
   b) Transforming the customer experience through effective service redesign and application of our data
   c) Investing in digital technologies to improve and transform the way we work and deliver services, and maximising value for money

Proposed areas of focus: People and culture: a great, inclusive place to work where diverse and talented people are enabled to be their best in a culture of innovation and continuous improvement

This could include for example:
   a) High-quality leadership driving a high-performance culture and great values and behaviours
   b) Being an innovative Council
   c) Develop the talent, resilience and well-being of our people
   d) Equality, diversity and inclusion
   e) Modern, flexible ways of working

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Proposed areas of focus: Delivering value for money: managing our resources effectively, sustainably and maximising the value of the Warwickshire pound through social value

This could include for example:
    a) Maintaining sustainable and resilient finances
    b) Delivering good value for money
    c) Attracting investment into Warwickshire through outcome-driven commercialism
    d) Maximising outcomes for Warwickshire through social value

Proposed areas of focus: Great partnership working: work with our partners to deliver quality, well-integrated public services

This could include for example:
    a) Ensuring people get the right care at the right time by working with health agencies to establish a more joined-up system across social care and health.
    b) Taking a partnership approach to co-designing, co-producing, commissioning and if appropriate co-delivering services.

Proposed areas of focus: Communications and engagement: communicate and engage effectively with the public, partners, stakeholders and staff to support delivery of our outcomes

This could include for example:
    a) Driving strategic messaging across the county and with partners
    b) Tailoring local communications and engagement to local needs
    c) Engaging and communicating effectively with all our stakeholders

10 In your opinion how important are these areas of focus?

	Not important	Of little importance	Important	Very Important	Not sure/ don't know
Putting the customer first by using new technologies, data, intelligence and feedback to design high quality customer service for those interacting with the Council					
Being a great, inclusive place to work where diverse and talented people are enabled to be their best in a culture of innovation and continuous improvement					
Managing our resources effectively, sustainably and maximising the value of the Warwickshire pound through social value					
Working with our partners to deliver quality, well-integrated public services					
Communicating and engaging effectively with the public, partners, stakeholders and staff to support delivery of our outcomes					

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11 In your opinion what key actions could Warwickshire County Council carry out to deliver these areas of focus?

Your views on spending priorities

Our funding levels and income are key to delivering our objectives.

These continue to be dominated by COVID-19 and there continues to be uncertainty about what this will mean over the short and medium term. We know that demand for the services we provide is growing, the vulnerability of those we are supporting is increasing and we are facing inflationary pressures as a result of supply/labour shortages. We need to make sure we remain financially resilient and able to respond to the type of social and economic shock we have experienced over the last eighteen months.

Having delivered over £104m savings since 2014, and with continuing demand pressures, both volume and complexity, our room for manoeuvre is limited.

We will need to do things differently and find financial benefits. We will need to innovate to be more effective, do things more efficiently and find more economical ways of doing things, as well as making judicious use of commercial opportunities to deliver our core outcomes. We will also look to increase income by charging for services where this is possible and fair. Only when these options have been exhausted will we consider reducing our service offer.

Thinking about our areas of focus we want to understand how important each of these are to you when planning how we spend our money and using any flexibility and choice we have.

12 We will always aim to make savings by innovating to be more effective, doing things more efficiently and finding more economical ways of doing things, but sometimes it may be necessary to make additional savings. In your view which areas of focus within our 3 strategic outcomes could we make savings on if we needed to? Please choose up to 3 areas of focus

	Choice A	Choice B	Choice C
Developing a sustainable economy by focusing on productivity, targeting inclusive economic growth and attracting investment and jobs into the county			
Working with business and partners to inform the key skills requirement and provision now and for the future			

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Developing attractive, accessible, safe, prosperous, inclusive, sustainable places where people want to live, work and visit			
Encouraging the creation of infrastructure that will support strong, prosperous and accessible places and economy with improved transport, active travel, energy, and digital (fibre and mobile) connectivity			
Enabling inclusive, high quality education for all children and young people within Warwickshire with a particular focus on vulnerable groups			
Having a Child Friendly county where all young people get the best start in life			
Enabling strong, connected, inclusive and active communities			
Helping people and our communities feel safe by tackling the causes and impact of crime, promoting fire safety and preventing harm from fire			
Promoting health and well-being and supporting independent living by understanding inequalities and preventing their causes			
Being a net zero council by 2030			
Mobilising residents, communities, businesses and partners to develop and deliver a clear plan for a net carbon zero Warwickshire by 2050			
Managing the natural environment to sustain and grow Warwickshire's ecology and promote wellbeing			
Adapting our infrastructure and resources to respond to the impacts of climate change			

13 If additional funds were made available, which areas of focus within our strategic outcomes would you spend more on? Please choose up to 3 areas of focus.

	Choice A	Choice B	Choice C
Developing a sustainable economy by focusing on productivity, targeting inclusive economic growth and attracting investment and jobs into the county			
Working with business and partners to inform the key skills requirement and provision now and for the future			
Developing attractive, accessible, safe, prosperous, inclusive, sustainable places where people want to live, work and visit			
Encouraging the creation of infrastructure that will support strong, prosperous and accessible places and economy with improved transport, active travel, energy, and digital (fibre and mobile) connectivity			
Enabling inclusive, high quality education for all children and young people within Warwickshire with a particular focus on vulnerable groups			
Having a Child Friendly county where all young people get the best start in life			
Enabling strong, connected, inclusive and active communities			

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Helping people and our communities feel safe by tackling the causes and impact of crime, promoting fire safety and preventing harm from fire			
Promoting health and well-being and supporting independent living by understanding inequalities and preventing their causes			
Being a net zero council by 2030			
Mobilising residents, communities, businesses and partners to develop and deliver a clear plan for a net carbon zero Warwickshire by 2050			
Managing the natural environment to sustain and grow Warwickshire's ecology and promote wellbeing			
Adapting our infrastructure and resources to respond to the impacts of climate change			

Future Challenges

So far, we have asked you to think about what our priorities should be over the next five years. We would now like you to try and think further ahead and consider what our priorities might need to be over a longer period. This will help us shape the long-term actions needed to make Warwickshire the best it can be, now and for future generations. Thinking about what Warwickshire should look like by 2050:

14 What three things do you think could improve life in Warwickshire for future generations?

15 What do you think Warwickshire County Council could be doing now to work towards these improvements?

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Further comments

16 Please use the space below for any comments you would like to make about the areas of focus we have outlined. For example, tell us here if you think there are priority areas that aren't covered

Equalities monitoring

We want to ensure that the views of different communities across Warwickshire are taken into account. These last few questions are about you. The information you give us will remain strictly confidential and we will use it in two ways:

• Firstly, while the survey is open to understand where we need to raise awareness to encourage people to take part and have their say. This is to make sure that we hear from a broad range of people that reflect the diversity of Warwickshire's communities.

• Secondly, when the survey closes to analyse how different groups feel about the questions that have been asked.

You do not have to answer these questions. If there are any that you would prefer not to answer, please choose the 'prefer not to say' option or leave the question blank.

Please make sure that you continue to the last page of the survey to submit your feedback.

If you have any questions in relation to this data please email: equalities@warwickshire.gov.uk or call 01926 410410.

17 How old are you? Please select only one item

☐ Under 18   ☐ 50-59

☐ 18 - 24   ☐ 60 - 64

☐ 25 - 39   ☐ 65 - 74

☐ 40 - 49   ☐ 75 +

☐ Prefer not to say

65

18 Do you consider yourself to have a disability, long term health condition or learning difference?

Under the Equality Act 2010, a person is considered to have a disability 'if they have a physical or mental impairment, and the impairment has a substantial and long-term adverse effect on his or her ability to carry out normal day-to-day activities'

Please select only one item

☐Yes

☐No

☐Prefer not to say

19 How do you describe your ethnic background?

Please select only one item

☐Arab ☐Mixed - Asian and White

☐Asian or Asian British - Bangladeshi ☐Mixed - Black African and White

☐Asian or Asian British - Indian ☐Mixed - Black Caribbean and White

☐Asian or Asian British - Pakistani ☐Other Mixed Background

☐Chinese ☐White British

☐Other Asian Background ☐White Irish

☐Black or Black British - African ☐Gypsy or Traveller

☐Black or Black British - Caribbean ☐Other White background

☐Other Black Background

☐Prefer to self-describe ☐Prefer not to say

If you prefer to self-describe please do so here

20 How do you describe your gender?

☐Please select only one item

☐Female (including trans female

☐Male (including trans male)

☐Non-binary / agender / gender-fluid

☐Prefer to self-describe

☐Prefer not to say

If you prefer to self-describe please do so here

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│                                                 │
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│                                                 │
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21 Do you identify as trans / transgender?

Please select only one item

☐Yes

☐No

☐In some ways

☒Prefer not to say

22 How do you describe your religion /belief?

Please select only one item

☐Buddhism   ☐Spiritualism

☐Christianity   ☐ Other religion or belief (please state below if you wish)

☐Hinduism

☐Islam   ☐No religion

☐Judaism   ☐Prefer not to say

☐Sikhism

If you prefer to self-describe your religion or belief, please do so here:

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23 Which of the following best describes your sexual orientation?

Please select only one item

☐Asexual

☐Bi / bisexual

☐Gay man

☐ Gay woman / lesbian

☐Heterosexual / straight

☐Pansexual

☐Other (please state if you wish)

☐Prefer not to say

If you prefer to self-describe your sexuality, please do so here

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[                                                                    ]
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Thank you for your time. Please return your completed survey by 17th October 2021, alternatively you can hand back into your local library.

Appendix 3 – Submission by email

Warwickshire County Council Plan

Introduction

The Federation of Small Businesses (FSB) is the UK's largest business support organisation, promoting and protecting the interests of the self-employed and small business owners. Established over 45 years ago to help our members succeed in business, we are non-profit making and non-party political organisation that's led by our members, for our members.

The FSB in Warwickshire, Coventry and Solihull is grateful for the opportunity to respond with its views to help inform the refreshed Warwickshire County Council plan.

There are currently numerous challenges that small businesses are facing as Covid support is withdrawn and other pressures mount up, as they look to recover from the pandemic. We therefore welcome the refresh of the plan and outcomes in order to take account of the challenges ahead and to reflect the things that are most important across Warwickshire.

We fully support the overarching objective and ambition to make Warwickshire the best it can be and FSB is keen to work with the council as a valued stakeholder and partner to help achieve the relevant outcomes.

We have outlined below some views on the proposed areas that Warwickshire County Council aims to focus on over the next five years.

Proposed areas of focus - Vibrant economy and places

The local economy in Warwickshire is predominantly made up of small businesses, with 98 per cent of all businesses across the county having less than 50 employees. According to Nomis, nearly 90 per cent of all enterprises across the county in 2020 were micro businesses and sole traders. There are nearly 25,000 micro businesses and sole traders in total across Warwickshire.

While the vision on having a vibrant economy and places, made up of the right jobs, skills and infrastructure is the right one, as part of this vision there must also be a focus on small businesses which make up the local economy and can help drive local growth and create opportunities.

- **Investment, growth and jobs**

According to FSB research[1] the Governments flagship levelling up agenda will fall short of improving regional economies unless more is done to bolster business support for small firms. Small businesses are more geographically spread than big companies, and in every single local community. This means they are crucial to balancing up productivity, innovation, jobs and opportunities across towns and rural areas. Improving support and opportunities for this group will pay huge dividends, both economically and socially for local communities.

We recognise and welcome the critical business support that has been provided by Warwickshire County Council throughout the pandemic. Continued engagement with local small businesses who

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[1] https://www.fsb.org.uk/resource-report/open-for-business-21.html

form the vast majority of the local private sector economy and employment is vital when focussing on investment, growth and jobs.

Research also shows that ethnic minority and women-led businesses have been disproportionately affected by the COVID-19 restrictions. They are also more likely to rely on business support and advice from informal networks when running their businesses. This suggests that many ethnic minority and women-led firms will need targeted attention and specific business support in the months ahead, especially as traditionally many have often had a low engagement with mainstream support and advice.

Under this section we would also like to see reference to local procurement and commitments to opening up more opportunities through the county council and its partners to small businesses who not only have the capability and capacity to deliver these opportunities but also ensure that as much value as possible is put back into the local community. FSB would be willing to coordinate specific meet the buyer events and initiatives with small businesses and the council here as a specific action to help deliver on this.

- **Future Skills**

The Covid pandemic has had a significant impact on our local economy and small businesses have faced an extremely challenge period over the past 18 months. With coronavirus support and the end of furlough coming at the end of September and coinciding with challenges on many fronts - from rising energy and input costs to staff shortages and supply issues, means that the recovery is far from secured – and a strong recovery even less so.

FSB research has consistently shown that small businesses are facing skills and employment challenges. The share of firms citing lack of access to appropriately skilled staff as a barrier to growth has risen in the FSB quarterly small business confidence surveys and in the Q2 2021[2] survey had soared to its highest level on record (37%) for West Midlands firms, with the proportion of respondents citing it as a barrier up 18 percentage points compared to Q2 2019, before the pandemic hit.

The FSB is therefore keen to support Warwickshire County Council and other partners to focus on future skills and see this is a very important priority. This will help to inform the key skills requirements and provision now and for the future to ensure businesses can grow and have a positive impact on the local economy.

We would welcome continued engagement with the Warwickshire Skills hub to engage with small businesses to tackle skills challenges and future skills needs. Key actions here could include:

- Hold joint events or webinars to help inform a wider network of small businesses about the role of the Warwickshire Skills Hub and how it can benefit small businesses across Warwickshire

- An event targeted at small businesses could include businesses sharing skills and recruitment challenges, awareness raising of local support services and benefits of supported internships, apprenticeships and traineeships for businesses

- FSB would be willing to organise and coordinate a roundtable with a group of small employers to discuss skills shortages and skills challenges and issues relating to

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[2] https://firstvoice.fsb.org.uk/first-voice/regional-voice/fsb-west-midlands-sbi-2021-q2-report.html

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recruitment and training locally to ensure there is direct feedback to the Warwickshire Skills hub and Employability and Skills team and other partners locally

- **Developing Place**

High streets and town centres are vitally important for small businesses, with just over one third (34%) of small businesses located on or next to the high street. These businesses are facing challenges with spiralling business rates, poor infrastructure and on top of this pressures from Covid recovery including in some places footfall not returning to pre-pandemic levels.

However, town centres are changing and evolving to reflect new consumer behaviours, and more becoming a part of our social fabric, rather than just economic centres. The growth of the service economy has also left its impact on town centres and high streets, with businesses evolving beyond the buying and selling of goods, to include new services and experiences attached to perhaps more traditional roles on the high street.

We therefore welcome the inclusion of developing place in the plan as a very important focus for small businesses. While there are immediate challenges to address including the varying levels of consumer confidence and consumer behaviour in returning to high streets and town centres we welcome the ambition to develop attractive, accessible and safe places where people want to visit and enabling effective town centre regeneration.

FSB would welcome the development of a strategy for how to bolster the economically active populations of high streets, considering immediate surrounding residential areas, as well as local offices, services and other concentrations of economically active populations.

Developing a more integrated, sustainable and safe transport network will also be vital for the future of town centres and high streets but also the wider economy.

We see transport and highway infrastructure as a critical area as small businesses are heavily reliant on the local road network. According to FSB research nine in 10 (89%) of small firms consider efficient road networks to be important, for their staff, customers and trade deliveries, therefore impacting on the local economy. In terms of the levelling up agenda poor transport links reduce opportunity not just for those looking for work, or better quality work, but also for the businesses who would otherwise be able to employ them.

FSB has previously through our submissions to the Warwickshire rail strategy and other consultations highlighted the need to make improvements to transport connections between the north and south of Warwickshire to enable employees to move easily between the north and south of the county and jobs to flow freely between different districts and boroughs of the county.

Sustainable Futures

The FSB welcomes the proposal to include specific outcomes around sustainable futures to the council plan.

We see the area of focus around a net zero county and mobilising residents, communities, businesses and key partners to play their part in developing and delivering a clear for a net zero county by 2050 as important. The FSB would be keen to help inform the development of this plan and action on climate change. Any plan must be ambitious to have an impact on climate change challenge but also importantly informed by the latest scientific evidence.

Any plan should also include business support for small businesses to help on their sustainability journey. While evidence suggests that small businesses support net-zero objectives they often do not yet understand their pathways to achieve this. It will therefore be vital to ensure that small businesses are part of this transition from the beginning and any plans in place must be affordable and achievable for small businesses.

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Delivery of outcomes

With the range and complexity of challenges facing local businesses across Warwickshire it is vital that the county council continue to work with partners to deliver quality, well integrated public services.

The range of partners across the region should also ensure a co-ordinated and partnership approach continues to enable businesses to be aware of the range of support available from Warwickshire County Council business, innovation and employment and skills services. Therefore would also see the communications and engagement focus as very important to deliver on the outcomes of the plan.

Part of this engagement is ensuring that the evidence base of challenges facing businesses continues to be updated, shared and discussed so that delivery and support takes account of this.

Further Comments

The FSB would welcome the opportunity for ongoing engagement with Warwickshire County Council as it develops the County Council plan 2025 and objectives further. It is critical that businesses are an integral part of the Council plan and that councils listen and consider the needs of businesses in developing the activities and objectives that form the plan, helping to grow the local economy in order to help make Warwickshire sustainable now and for the future.

Cabinet

7 December 2021

COVID-19 Recovery Plan

Recommendation(s)

That Cabinet:

1. Notes and comments on the progress made on the implementation of the Council's COVID-19 Recovery Plan;

2. Supports the inclusion of the ongoing themes identified in section 2 below in the development of the refreshed Council Plan 2022-2027;

3. Notes that actions that require a continued focus at Council level will be included in the Integrated Delivery Plan which will accompany the Council Plan (paragraphs 3.4 and 3.5); and

4. Gives approval to the publication of a document that summarises the impact of COVID-19 on Warwickshire and the progress contained in this report as part of the public communications for the new Council Plan.

1.   Background and Context

1.1   The COVID-19 Pandemic continues to be a global public health emergency that has created an unprecedented impact on our communities and economy. From the end of January 2020 when the first case was recorded in the UK to the present date, the UK has lived through nearly two years of COVID-19.

1.2   The UK Government set out its COVID-19 Winter Plan 2021 on 14 September 2021 https://www.gov.uk/government/publications/covid-19-response-autumn-and-winter-plan-2021/covid-19-response-autumn-and-winter-plan-2021 which states:

"Between March and July this year, the Government's roadmap for England reopened the economy and lifted restrictions in four steps…..... The country is learning to live with COVID-19, and the main line of defence is now vaccination rather than lockdown. The Test, Trace and Isolate system is reducing the number of positive

cases mixing in the community. Rules and regulations have mostly been replaced with advice and guidance on the practical steps people can take to help manage the risks to themselves and others."

1.3   As the national focus moves towards learning to live with COVID-19, it is timely to review the Council's COVID-19 Recovery Plan, assess progress against the priorities identified and embed those themes that now need to transition into the refresh of the Council Plan for 2022 and beyond.

1.4   Following an intense period of response started in March 2020, and further to review by Overview and Scrutiny Committee, Cabinet considered and approved three key reports on 11th June 2020, covering:

- overview of the Council's recovery approach;
- place shaping; and
- economic recovery.

1.5   Over the period of June, July and August 2020, the recovery approach and plan were developed, working with members, partners and aligning with regionally agreed phasing, to conclude the "Foundation" stage and frame the "Consolidate" and "Accelerate" stages that followed:

Foundation stage (September to December 2020)	Consolidate stage (January to June 2021)	Accelerate stage (June 2021 Onwards)
- 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	- Detailed regional impact assessment - Establish recovery programme at regional, county level - Mobilise the Council's Recovery Plan	- 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

1.6   Cabinet approved the final COVID-19 Recovery plan on 10 September 2020 which set out key principles to shape the Council's response:

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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.

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1.7   The full COVID-19 Recovery Plan comprised 10 recovery priorities (outlined below in section 2), a series of identified actions and 25 indicators of success. The full Recovery Plan is available upon request**.**

1.8   The early work on our COVID-19 response (Foundation stage) saw the need to move at speed to put in place services to support the handling of the pandemic. Some headlines on that initial response are given below.

1.9   In March 2020, the Customer Service Centre rapidly implemented a virtual contact centre to ensure no disruption to the service whilst keeping staff safe. This significant achievement was operational in a matter of days, included no disruption to service whilst routing all the contact centre telephony to multiple homes, ensuring everyone had the right equipment at home (procuring, collecting and delivering to colleagues), developing guidance and supporting each other in adapting to this new way of working.

1.10   Also in the initial response phase, Warwickshire County Council put in place a dedicated freephone hotline which continues to operate in November 2021. During the first lockdown, the Customer Service Centre took over 5,000 incoming calls for support with COVID-19 related issues and made over 6,000 calls to vulnerable residents who were shielding to ensure they had the support they needed such as support with food parcels, online supermarket delivery slots and befriending calls.

1.11   Despite the increased call volume and challenging circumstances, individual customer feedback has remained overwhelmingly positive, and this is reflected in the customer satisfaction levels which was 90% in October 2021.

1.12   A seven-day service was stood-up to support new hospital discharge legislation (Adult Social Care) and ensure support was available at weekends (Shielding Hub hotline).

1.13   To meet the demand for personal protective equipment (PPE), a central PPE acquisition and distribution centre was set up, providing essential equipment to staff, partners and residents. This service is still ongoing and has delivered circa 12.5m pieces of protective equipment to date.

1.14   A brief video highlighting the Council's collaborative effort on the COVID-19 response was produced and can be viewed here: https://www.youtube.com/watch?v=oe-T0hW2L04

1.15   At the time that the Recovery Plan was written, the trajectory of the virus was an unknown and the Council and its partners were preparing for possible future waves.

1.16   Over a year on, pandemic events have overtaken some of the original assumptions in the Recovery Plan:
   • The NHS and care system has been put under significant pressure with a second, third and fourth wave of infections since September 2020;
   • Both national lockdowns and local restrictions have been implemented at various stages.
   • National policy schemes such as furlough, business loans and changes to examination regimes have been introduced, extended, adjusted and ultimately closed.
   • A nationwide testing, tracing and vaccination programme has been rolled-out at speed.
   • Community efforts to help the vulnerable have increased.
   • The narrative around supporting mental health and wellbeing has accelerated.
   • COVID-19 has highlighted more starkly health and other inequalities in our society.
   • There have been major shifts in how we live, interact and work which may never return to pre-pandemic ways.

1.17   The Foreword from the Recovery Plan stated: "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."

1.18   This report highlights progress against the "Consolidate" and "Accelerate" stages and the priorities that were identified in the Recovery plan to enable the County to navigate and emerge strongly from the pandemic.

2.   Key Headlines from our COVID-19 Recovery work

2.1   Cabinet has previously received an update report on progress against the Recovery Plan (11th February 2021) and the latest project summary report (dated October 2021) is available upon request.

2.2   A brief summary of the key headlines from each of the Recovery Priorities is given below, along with some continuing areas of activity. The key themes that are proposed to segue into the Council plan are also highlighted.

2.3   Also shown are the original indicators of success from the Recovery Plan, some of which were overtaken by the global, national and local course of the pandemic and factors beyond our local control.

2.4   The summary of the activities below highlights the wide-ranging recovery effort in supporting the county through the pandemic.

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

2.5.1

Priority 1- Contain the virus and promote physical and mental health and well-being: *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*

Our indicators of success were:

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	

- o Our outbreak control plan was deployed and continues to be utilised where and when required.
- o The course of the pandemic has meant that the original ambition to sustain zero new cases, week after week was unrealistic. In line with all other areas of the UK the number of cases per 100,000 has fluctuated widely.
- o Over the course of the pandemic, the total number of COVID-19 cases in Warwickshire per 100,000 population (14835) is lower than both the national figure (15026) and regional figure (15480). The county has seen lower death rates (227/100,000) than that recorded at a national (251/100,000) and regional (280/100,000) level. However, it is important to note the differences we have seen across the County in their experience of the epidemic - with the highest case and mortality rates recorded in Nuneaton and Bedworth and North Warwickshire (higher than national rates).
- o The contact tracing team have been operational for over 12 months. In that time, they have developed from a team who focussed on contacting residents who had a positive test and asking them questions about their movements, to a service which from November 2021 has now taken over the role of National Test and Trace contacting 4,000 residents a week and operating 7 days a week with 30 staff.
- o Positive feedback has been received from the Department of Health and Social Care regarding the provisions that have been put in place in Warwickshire to successfully transition to Local-0, *(Local-0 is the local contact tracing scheme where the authority contacts individuals rather than NHS Test and Trace).*
- o The county has followed Government guidance on national lockdowns and local tier requirements.
- o A COVID-19 contact centre was established to support residents with queries and assistance and a programme was established to ensure the supply of Personal Protective Equipment (PPE).
- o A Council-led lateral flow testing (LFT) operation was built in December 2020 to provide the main infrastructure for asymptomatic COVID-19 testing. At peak, 6 static testing sites were operational along with a mobile vehicle and a limited door knocking offer.
- o The national testing programme refocused from July 2021 onto 'disproportionately impacted groups', and our operation slimmed to fit. Since

December 2020 we have delivered more than 200,000 LFT tests, have contributed significantly to the early identification of positive cases, and employed more than 220 temporary staff (mostly those furloughed or made redundant during lockdowns), and been supported by over 100 volunteers.

- o A Warwickshire wide COVID-19 vaccination programme was implemented at speed in line with Government requirements. 77 % of Warwickshire residents are now fully vaccinated as at 24 November 2021 compared to 80.3% nationally.
- o A programme of Flu vaccinations was promoted and delivered in the winter period 2020 with all 3 Care Commissioning Groups seeing an increase in vaccination uptake across all groups except pregnant women. South Warwickshire CCG had the highest uptake overall across all groups and Warwickshire North CCG and Coventry Rugby CCG had very similar uptake figures:
  - For 65+ age group there was a 7-13% increase in uptake on the previous year (8.5% nationally)
  - 9-13% increase for under 65s in risk groups (8.1% nationally) and
  - 13-18% increase for children aged 2 and 3 (14.9% nationally).
  - There was little change in uptake for pregnant women (-0.1% nationally) compared with the previous year, and for Warwickshire North there was a decrease.
- o Our Winter Pressures plan was implemented successfully.
- o Preventative measures and initiatives continue to be implemented to reduce pressures on NHS services: e.g. Wellbeing for Life, Fitter Futures, reducing the pressures on NHS bed-space.
- o We are working with Warwickshire Community and Voluntary Action (WCAVA) to support and enhance volunteer programmes for informal / unpaid carers, responding to feedback from local residents.
- o We have published a Health and Wellbeing strategy which highlights our vision for improving the Health and Wellbeing of our citizens, supporting our local economy and our staff.
- o Our Well-being for Life "Plan on a Page" has been finalised covering the promotion of 5 ways to well-being, work-place well-being (Thrive at work), obesity and mental health.
- o A £1m Social Investment Fund has been launched to enable targeted interventions to support Warwickshire's communities and enable community-based support for those disproportionately impacted by COVID-19. This may include extending or introducing specialist support; or providing additional community-based support where the effects of COVID-19 are felt more keenly. Bids are invited from Thursday 4 November 2021 until Thursday 30 December 2021.

The areas from the recovery plan we are continuing to focus on are:

- o The ongoing vaccination programme is progressing in line with the NHS requirements to include secondary age children, COVID-19 booster jabs, flu vaccinations and communications to encourage the uptake of the vaccine.
- o Work is ongoing to investigate and address the differential impact of COVID-19 on specific communities, those that have specific vulnerabilities and health conditions.
- o Local outbreaks are being managed and no longer result in significant hospitalisations Warwickshire has had a rolling weekly average of 119 hospitalisations during the pandemic compared to a national average of 552 (data correct at 6th October 2021).
- o Preventative measures continue to be implemented to improve health outcomes and reduce pressures on the NHS and our other health partnerships.
- o Health and Well-being projects continue to be delivered across the County to support including the establishment of Community Health Champions.

Key themes to embed in the refreshed Council Plan: Addressing health inequalities and preventative measures, supporting mental health and wellbeing

2.5.2

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

Our indicators of success were:

Demand for our services

6. we have caught up with the demand for our services

7. people can access the quality services they need through a stable care market

8. the health and social care sector managed and coped with winter pressures

9. families and carers feel confident that children can get back to school and access the education they need

10. children can complete a full academic year, without any impact on their results

- o New mental health and wellbeing support services for adults are in the process of being commissioned and these services will strengthen our support offer to local residents.
- o An overview by a West Midlands regional multi-agency health and social care review team was carried out in 2020 to consider our Local Authority Care Home Support Plans and to provide feedback to the Council to inform the development and publication of those plans. Positive feedback was

received on our strong system working with a number of examples of good practice.

o We have continued to support the care market, taking a mutual aid approach, to respond to infection, prevention and control; testing; vaccination; recruitment and retention and financial pressures. We have passported national funds quickly and maintained our temporary payment terms.

o We are continuing to deliver our start with strengths approach within Adult Social Care following a period of significant transformation and improvement. The recent peer review of Adult Social care in October 2021 highlighted this as an area of good practice that has been sustained throughout the pandemic and is a key enabler to managing demand.

o Voluntary sector opportunities have been leveraged to support our health and care services through community engagement.

o Our guidance and processes for hospital discharge and admission avoidance have been reviewed and a system wide assurance exercise as a COVID-19 response was delivered.

o Our winter pressures plan was implemented successfully.

o In August 2020, Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) were commissioned by the Home Secretary to inspect how fire and rescue services in England are responding to the COVID-19 pandemic. In summary, HMICFRS were impressed with how Warwickshire Fire and Rescue Service maintained its statutory functions and made good use of its staff to carry out additional duties to support the community during the pandemic.

o The demand for our virtual library services increased by 70% during lockdown, with demand still rising.

  o eAudio & eBooks
    ▪ On average, approx. 20,000 eAudio and eBook titles are now downloaded every month (before Lockdown this average was approx. 10,000) – this represents a 100% increase.

  o eNewspapers
    ▪ On average, approx. 50,000 eNewspaper issues are read every month (before Lockdown this average was approx. 25,000) – again, an increase of 100%.

  o Information eResources
    ▪ On average, there are approx. 70,000 searches every month (before Lockdown this average was approx. 40,000) - an increase of approx. 75%.

  o Between April 2020 and October 2021 we have made 7398 Home Library Deliveries. This equates to approx 37,000 books individually selected and delivered (same time period)

The areas from the recovery plan we are continuing to focus on are:

o Addressing the increasing demand for foster placements (in line with a national trend for fostering services) through a specific foster carer recruitment drive;
o Aligning our service delivery with updated national guidance arising from the pandemic;
o Continuing to deliver and sustain positive achievements as a result of our adult transformation programme;
o Supporting the provider market to manage workforce capacity issues across a range of children and adult provision;
o Supporting the care homes market to adapt to mandatory COVID-19 vaccinations for the care workforce; and
o Taking a flexible approach to delivery of our commissioning plan and tendering activity in response to market pressures and the pandemic response.

Key themes to embed in the refreshed Council Plan:
o Maintaining a focus on delivering our Adults and Children & Families transformation plan; and
o Delivering our Child Friendly Warwickshire strategy.

2.5.3

> **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*

o Early years settings, schools and colleges were supported with their COVID-19 response, recovery and resilience plans and ongoing advice was provided to give school leadership, staff, students and parents confidence in COVID-19 and Health and Safety arrangements.
o Despite continued disruption, particularly at the start of the Spring 2021 term with another national lockdown until March 2021, pupil attendance across the majority of the 2020/21 academic year has remained high with an overall attendance rate of 95.9% across all Warwickshire's state-funded schools. This is in line with national (96.0%) and West Midlands (95.7%) attendance rates.
o Our new Children's and Young People strategy has been approved and our Child Friendly Warwickshire programme has launched.
o Early years settings, schools and colleges continued to follow Government and Public Health guidance in managing the impact of the pandemic.
o DfE have published county level data for 2021 with comparisons to National, West Midlands and Statistical Neighbours. In summary:

- Warwickshire performs strongly in GCSE results outperforming National, Statistical Neighbours and West Midlands across attainment 8, average EBACC and 4+ and 5+ at GCSE in English and maths. Eg Achievement at grade 4 + in English and maths GCSEs shows Warwickshire at 76.3% compared to National 72.5%, West Midlands 69.5% and statistical neighbours 73.0%.

- Warwickshire pupils who have a statement of Special Educational Needs (SEN) (Education Health and Care Plan [EHCP] and Special Educational Needs [SEN] support) also perform well achieving above National, West Midlands and Statistical Neighbours (with the only exceptions for pupils with EHCPs falling slightly behind statistical neighbours for attainment 8 (the achievement of a pupils across 8 Key Stage 4 qualifications) and Grade 4+ in both English & maths GCSEs. However disadvantaged Warwickshire pupils do not perform so well against benchmarks and addressing this remains a key focus.

- o The above performance reflects the usual pattern of Key Stage 4 achievement in Warwickshire. Please note there is no published data for any other Key Stages in 2021.
- o Pupils were only assessed on the content they had been taught, schools were given the flexibility to decide how to assess their pupils performance for example through mock exams, class tests and non-exam assessments already completed. GCSE results were then determined by teachers based on a range of evidence available and they are referred to as teacher assessed grades. (TAGs). This was a different process to 2019/20 when pupils were awarded a centre assessed grade (CAG). Pupil attainment data should not be directly compared to previous years.
- o 3172 laptops and 750 Mifi dongles were provided aimed at mitigating local outbreaks and children being required to study at home. This included repurposing donated laptops from the Council and the wider community and additional training support on digital technology use for young people.
- o An education safeguarding training and support package was implemented aimed at keeping children and young people safe.
- o Phase 1 of the Special Educational Needs and Disabilities transformation programme has been progressed with Phase 2 being planned.
- o All education providers have been given the chance to bid for post 16 transition funding and future careers funding to support the engagement with skills and training programmes.

The areas from the recovery plan we are continuing to focus on are:

- Continuing to deliver our Special Educational Needs & Disabilities (SEND) Change and Inclusion transformation programme incorporating the outcomes of the recent Ofsted local area inspection;
- Increasing career advice to vulnerable and disadvantaged young people including apprenticeships and supported internships;
- Reviewing the SEND transport service; and
- Implementing the Warwickshire Challenge Programme, aiming to develop the confidence of Key stage 3 pupils (school years 7-9) through activities to complete out of school and supporting educational attainment of all children

Key themes to embed in the refreshed Council Plan:
- Progressing our SEND transformation programme; and
- Enabling educational attainment

2.5.4 | **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*

Our indicators of success were:

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

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

15. greater numbers of our communities are supported through social action, mutual aid groups and volunteers to deliver solutions to local priorities

- Working with New Local, we initiated and progressed an ambitious Community Powered Warwickshire programme, which will underpin the refreshed Council Plan, and launched a £1m Social Impact Fund to support our voluntary, community and social enterprises to address inequalities in areas most affected by COVID-19.
- The Local Welfare Scheme has continued to help our most vulnerable residents at times of unavoidable crisis when they have no other means of help. Since December 2020, Warwickshire's Local Welfare Scheme has successfully distributed its £1.89m allocation of DWP's COVID-19 Winter

Grant Scheme and subsequent £1.63m COVID-19 Local Support Grant. This grant funding supported vulnerable residents particularly affected by the pandemic with the cost of food, energy (heating, cooking, lighting), water bills (including sewerage) and other essentials and received high redemption and take up rates.

- We recently received further funding of £3.47m through the DWP's Household Support Fund. This will continue to support residents most in need of financial support this winter with food, energy and water bills, as the country continues its recovery from the pandemic.
- The Council established a Warwickshire Food Forum to coordinate cross County work to tackle food poverty across Warwickshire including the establishment of a food strategy to understand priorities and gaps in provision. This includes through Food Banks, the development of three community supermarket pilots.
- Warwickshire County Council proactively supported those families eligible for benefits related free school meals with the cost of food for their children over all the school holiday periods. This also included siblings by application. The number of children automatically eligible rose from 10,734 in October 2019 (pre-pandemic) to 16,602 in July 2021, an increase of 54%.
- The Council has ensured there has been food support available to this cohort of children since the start of the pandemic. During the initial lockdown in March/April 2020, 6 weeks of food support was available and for the 20/21 school year, all 6 school holidays have been supported, either through the Local Welfare Scheme's existing School Holiday Support Scheme in October 2020 and, since receiving additional grant funding, the subsequent 5 school holidays through automatic vouchers via grant funding. The latter has continued for the 2021/22 school year following the launch of the Household Support Fund.
- A "Fire-fit" programme was introduced replicating the fitness regimes of Firefighters which reached an estimated 28,000 people.
- The majority of our contracts with voluntary bodies e.g. CAVA, Citizen's Advice and Equality and Inclusion partnerships were extended to March 2022, with engagement to re-orientate support to reflect our emerging community-powered approach, lessons from innovations during the Pandemic and additional pressures arising from the pandemic.
- A network of local volunteers was leveraged to support pandemic requirements.
- We have launched a £1.3m COVID-19 Mental Wellbeing and Resilience Programme with four strands:
  - Sixty seven organisations bid for £750k available through the COVID-19 Mental Wellbeing Resilience Fund. Thirty six bids were successfully awarded funding - details available here:

https://www.warwickshire.gov.uk/warwickshire-covid-19-mental-wellbeing-resilience-fund-2021-1
- o We are now working with schools to allocate £250k to support them to develop their mental wellbeing curriculum.
- o We are developing a loneliness and social isolation awareness raising campaign, which will include training for Council staff so that they can be better able to identify people who are experiencing loneliness and know the ways to signpost people to support.
- o We are working across our Citizens Advice network to ensure there is appropriate specialist debt provision across the county, focusing on financial difficulties that have arisen as a result of COVID-19 and ensuring an appropriate level of service is in place.
- o We are working with WCAVA to support and enhance volunteer programmes for informal / unpaid carers, responding to feedback from local residents.

The areas from the recovery plan we are continuing to focus on are:

- o Voluntary and community programmes will build on the achievements of the COVID-19 response effort including developing a new approach to leveraging Community Power and engagement.
- o Our Councillor Grant application programme, which provides each of Warwickshire's County Councillors a fund of £6k to invest in small-scale projects that will make a difference to their areas, received 259 applications for support.
- o A successful time-banking project was piloted which will be rolled-out across the County.
- o The Fire Service was mobilised on how they can extend their COVID-19 response work such as mass testing, hospital to home transport service.
- o A plan and actions to keep people safe from Domestic abuse has been established in partnership with REFUGE and this work is ongoing.
- o We are continuing with implementing the COVID-19 Mental Wellbeing and Resilience Programme.
- o Warwickshire CAVA (Care and Volunteering Agency) is developing an action plan for volunteers for carers and are engaging carer organisations to understand both their short and long-term needs.
- o An employment pathway into Volunteering placements is being explored in partnership with Warwickshire CAVA.
- o We are also developing a service offer specification for our support to the voluntary and community sector.
- o Warwickshire CAVA continue to work with the Carers trust, the Trust Partnership, and Warwick Young Carers, to develop volunteer roles and bring volunteers into these organisations.

- o We have begun attempting to measure the social value of volunteering to be able to highlight the benefit to the community.
- o A participation and engagement framework is being developed, which includes establishing a residents panel for which recruitment is at an advanced stage, and developing our wider approach to consultation with local residents to better inform and test our policy and performance.
- o Six programmes are now in delivery with the aim of reducing loneliness and isolation and we have developed a framework with Coventry University to evaluate their impact.
- o The commissioning of a domestic abuse support and accommodation service has been concluded. A new contract has been awarded to Refuge who will deliver the service from 2021 to 2026.
- o The Council's Cabinet approved a Tackling Social Inequalities Strategy and delivery on this programme of work is now underway.

Key themes to embed in the refreshed Council Plan: Community Powered Warwickshire, Voluntary and Community Sector Strategy, Tackling Social Inequalities strategy

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

2.6.1 | **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*

Our indicators of success were:

Jobs and business

16. greater numbers of individuals at risk of unemployment are supported, and where needed are helped to find work

17. greater numbers of businesses are supported to safeguard jobs, and to recover and adjust to drive future growth

18. greater numbers of businesses are involved in training, skills and career based activities

19. we have accelerated delivery of our capital works and infrastructure projects to support growth in housing, business and our town centres

- o Following the onset of the pandemic, and the first lock-down period, the County Council worked quickly and pro-actively with our key partners (including the Chamber of Commerce, Federation of Small Businesses, Coventry and Warwickshire Local Enterprise Partnership and Growth Hub), Coventry City Council and the District & Borough Councils to co-ordinate our support measures to ensure a rapid and coherent response to support our economy.

o In addition to the support provided by Government (such as business closure grants delivered via the District & Borough Councils, and the job furlough scheme), we developed an economic recovery package, which included a range of support measures that provided locally tailored help to our businesses and economy. These included:

- Survive, Sustain, Grow – a programme offering bespoke advice and support to businesses to help them review and refocus their business plan to adjust to the pandemic and explore new growth opportunities. Small grants were also available to help businesses take forward their new plans. Over 600 businesses were supported through this programme, with 472 jobs safeguarded through support provided, and 141 new jobs created;
- Digital training for retail businesses – providing specialist support to retailers to help them both create and maximise their on-line presence;
- Adapt & Diversify – a £1.5m grant scheme, allocated over two rounds, providing small grants to businesses to help them invest in new activity that would enable them to exploit new growth opportunities. 120 businesses received grants, helping create 236 new jobs;
- Providing £1.5m of much needed additional investment in a locally run Coronavirus Business Interruption Loan Scheme (CBILS) as it became apparent many businesses were struggling to access this through the mainstream banking sector;
- Extending the Council's employee well-being support programme to make it accessible for small businesses across the county to access to provide help and advice to employees who may be struggling. 22 small businesses covering 232 employees have taken up this offer and we have received positive feedback on having considered the need for well-being support; and
- Undertaking a tourism marketing and promotion campaign for Warwickshire to help support a sector particularly hard hit through the pandemic. Through a series of marketing campaigns, engaging national press and media outlets, we reached a combined audience of around 47m people, and had over 50,000 people actively engage in campaigns and competitions.

o Wider work was also undertaken to support different places and their local economies during the pandemic and focus on future growth opportunities. These included:

- Tech Challenge – a small competitive fund which challenged our local digital creative sector to develop innovative new approaches to support our town centres recover from the pandemic. Three projects were supported through this, creating new digital platforms that town centres and local businesses can utilise;

- Art Challenge – utilising external funding available through the Getting Building Fund, a programme working with local artists and creatives to develop a number of art installations across our town centres to create new focal points. Eight installations will be undertaken across the county in Q1 of 2022;
- Warwickshire Future Places work – working with the Institute of Place Management, a series of interactive workshops and learning sessions with partners, stakeholders and representatives of our town centres to explore future drivers of change and opportunities and providing a toolkit to help local areas to develop recovery and growth plans for their towns; and
- Making use of funding available through the Getting Building Fund, investment in the development of new employment space for the digital creative and gaming sector in Leamington Spa, providing much needed additional space to support a priority sector for the county which experienced strong growth during the pandemic.

o In total, through all our economic recovery work over the period April 2020-October 2021, we have:
- engaged with 4,300 businesses;
- provided direct support and assistance to 1,425 businesses;
- supported 4,446 jobs and help create 764 new jobs; and
- given out £2.7m in grants to businesses and enabled £3.1m of loans to be provided.

The areas from the recovery plan we are continuing to focus on are:

o Continuing and extending our mainstream business start-up and business support programmes, and investing more in support for more disadvantaged groups to consider self-employment as an option;
o Delivering the £140m Warwickshire Recovery & Investment Fund to stimulate the economic, support growth in our future growth sectors, help local businesses expand and grow, and create new jobs within the local economy;
o Continuing to promote Warwickshire as a location for inward investment (building on the robust figures for Foreign Direct Investment that we achieved in 2020/21 which bucked the national trend), and as tourist location to support our key visitor economy;
o Focusing specifically on supporting our hospitality and leisure sector to recover and grow via our new business support programme providing specialist support to this area of the economy;
o Supporting businesses in their recruitment and skill needs, particularly at a time of labour shortages; and
o Continuing a focus on supporting our town centres to recover, diversify and prosper.

Key themes to embed in the refreshed Council Plan

o Proactively supporting and facilitating economic recovery and growth;
o Supporting the development of future growth sectors, and ensuring we have the workforce with the necessary skills;
o Supporting the development and growth of the low carbon economy; and
o Place-shaping and the creation of diverse and prosperous town centres and local economies.

2.6.2 | **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*

o We prepared for the end of the Government's Furlough scheme by creating a service to provide redundancy support for employers, working with partners across Coventry and Warwickshire to pro-actively engage and support those who may be facing job losses.
o A digital careers offer has been developed providing video content to showcase the availability of career opportunities within the county. To date, 21 videos have been created showcasing a range of different sectors and the different career opportunities and training options available. A further 20 films are being created, and conversations being held with many more who are keen to get involved.
o Provision of grant funding support to schools to adapt their careers offer in light of restrictions preventing work experience in workplaces, and a transition fund enabling Further Education and training providers to undertake activities and induction programmes over the summer for school leavers.
o A Warwickshire Skills Hub has been developed which launched in September 2021 to support residents to make the most of their employability through upskilling and / re-skilling. We have seen an 80% increase in employer enquiries wanting to offer training and work opportunities as they build back their workforce.
o We have promoted inclusivity and diversity within the workplace and through recruitment programmes.
o Adult Community Learning has been reviewed to take account of the changing requirements as a result of COVID-19.

The areas from the recovery plan we are continuing to focus on are:

o Digital Skills Training for businesses is continuing for 2021/22 to help increase and maximise online presence;

- o Launching and promoting the Fair Chance Employer Programme, supporting businesses to become more inclusive and provide opportunities for key priority groups including care leavers, older workers, and those with special educational needs and disabilities (SEND); and
- o Continuing the Apprenticeship Progression Programme which continues to see a steady flow of applications. New training programmes such as the Government's "Restart Scheme" is supporting us to meet many emerging skills gaps.

Key themes to embed in the refreshed Council Plan:
- o Employment and Skills

2.6.3
> **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*

- o The £140m Warwickshire Recovery and Investment Fund has been established to stimulate the county's economy, create jobs, support local businesses and bring investment into the County over the next 5 years, and is expected to deliver;
  - Up to 3,400 new jobs;
  - Safeguard a further 3,900 jobs;
  - Support 118 businesses;
  - Leverage of up to £104m from the private sector;
  - Leverage of up to £35m from the public sector; and
  - Provide an annual regional Gross Value Added of up to £160m.
- o We have established our own property company, the Warwickshire Property and Development Group, to support area regeneration and make the most of our land assets; the company's business plan anticipates delivering approximately 2,200 units of housing, as well as many other developments in the industrial, tourism and retail markets.
- o We are actively working in partnership with the District & Borough Councils and Homes England to deliver the housing needs of Warwickshire and support the recovery of our local economy; the Council has developed a local priority worker help to buy scheme as an option for new builds developed by the Warwickshire Property and Development Group.
- o An ambitious £12.2m programme of cycling infrastructure schemes is delivering 18km of new or upgraded cycling infrastructure with funding secured from a range of internal and external sources. A further 11km of cycling infrastructure with a value of between £6m and £8.4m is being delivered as part of funded wider transport infrastructure schemes.

o We are promoting and encouraging active travel through road safety education and support to schools, businesses, partners and communities to develop sustainable travel plans.

o Utilising funding secured from the Office for Zero Emission Vehicles and the Getting Building Fund, we are installing 90 twin headed charge points (180 charging points) across the county, predominantly located in District & Borough off-street car parks, with some located on-street in our town centres and smaller market towns.

o Securing funding for Project Gigabit (roll out of fibre broadband) for Warwickshire, and proactively support the roll out of 4G and 5G mobile phone connectivity.

o Investment of £79.5m of Housing Infrastructure Grant (HIG) in the A5 in North Warwickshire, to support the delivery of the Local Plan and bring wider economic benefits to the corridor and the key sectors it supports (Logistics/Distribution and Advanced Manufacturing and Engineering).

The areas from the recovery plan we are continuing to focus on are:

o Continue to deliver plans and outputs from the Warwickshire Property Company.

o Roll-out the initiatives under the Warwickshire Recovery and Investment Fund against its three pillars.

o The Local Transport Plan (LTP) Public consultation regarding the proposed four key themes of Environment, Wellbeing, Economy and Place has ended and been supplemented by a citizens' panel. The results of these consultations are now being fed into the drafting of the LTP, which will be completed next year.

o Continue to promote and support active travel and modal shift away from car use and towards sustainable transport.

o Continue the roll-out of the charging infrastructure for electric vehicles.

o Continue to facilitate the roll out of fibre broadband and 4G/5G connectivity by the market, and identifying gaps in delivery that need to be addressed.

o Evidence from Mobile Network operators continues to show progress against the upgrade to masts, providing improved 4G in rural areas and 5G delivery in more urban areas including Warwick, Nuneaton, Leamington, Kenilworth, Stratford and Atherstone.

Key themes to embed in the refreshed Council Plan:
o Regeneration;
o Developing infrastructure and assets; and
o Sustainable transport

2.7

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

2.7.1

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*

Our indicators of success were:

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	

- o Our carbon emissions in 2020/21 were 7,822 tonnes, a reduction of 31% compared to pre-pandemic levels of 11,395 tonnes, comprising;
  - 31% reduction in total
  - 58% reduction in staff business travel emissions.
- o We have completed a Climate Change impact assessment which has identified those areas and services most at risk of future extreme weather, with a second phase planned to identify vulnerabilities, mitigation and priority actions.
- o Green Energy purchasing options were implemented for residents and local businesses to join a collective energy purchasing scheme.
- o We participated in a "Switch and Save" scheme for residents to take advantage of cheaper energy suppliers.
- o Plans have been developed for energy reduction within the Council's buildings which are in the process of being rolled-out.
- o We implemented the first Local Government Biodiversity Net Gain in the UK further to our previous participation in a pilot initiative. This requires developers to deliver a wider range of environmental benefits over and above the full environmental impact of the proposed development (e.g. air quality, flood risk management).
- o We are in the process of developing an options appraisal for mounted solar panels at several of our farms and smallholdings.
- o We instigated the "Green Shoots" programme where local organisations could bid for to support green initiatives with 110 applications to a total of £1.3m having been received, and £625k for 69 schemes,; Green Shoots has been featured as an LGA case study and was showcased at COP26 on the LGA stand.

- o The Road Safety team has been working with Warwickshire Schools as part of the Safe and Active Travel Awards programme which combines road safety, environment and health activities. 80 schools are taking part in a series of supported active travel events, implementing travel plans with the support of a dedicated officer which combined, will deliver health, safe and sustainable travel and environmental benefits. Work is also ongoing on the Safe and Active Travel scheme with workplaces and the wider community.
- o Our Digital Roadmap is reducing the need for energy heavy local servers in our premises.
- o An ambitious £12.2m programme of cycling infrastructure schemes is in progress to deliver 18km of new or upgraded cycling infrastructure with funding secured from a range of internal and external sources. A further 11 km of cycling infrastructure with a value of between £6m and £8.4m is being delivered as part of funded wider transport infrastructure schemes.
- o The heat decarbonisation plan has progressed and we have been awarded a grant to develop a plan for net zero heating in several Council premises, we have also made decisions to reduce our office footprint and progressed an ambitious estates rationalisation strategy to reduce our carbon footprint.
- o The rural tree planting scheme will contribute to Warwickshire's commitment to plant one tree for every resident, working closely with our District and Borough colleagues, with over 2000 trees being planted this year in 2021 and to be recorded on the West Midlands Virtual Forest.

The areas from the recovery plan we are continuing to focus on are:

- o Develop our Climate Change action plan to encompass the initiatives that will make a difference to achieving our net zero targets as a Council.
- o Cabinet has considered proposals for commissioning external support to produce a costed net zero strategy and plan for Warwickshire, working with key partners to align various plans into a coherent overall strategy for the county.
- o A Coventry and Warwickshire COP26 conference is being developed, with key partners, to take place in March 2022 involving key public, private and voluntary sector partners across the sub-region to share good practice, align plans and jointly commit to collaboration on decarbonising Coventry and Warwickshire.

Key themes to embed in the refreshed Council Plan:
- o Our Net zero commitments

2.7.2

> **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 well-being and develop new ways of working*

Our indicators of success were:

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	

- o We have developed our Employer Brand, which focuses on the powerful impact our people can have on others through their work and comprises of 3 'pillars'; Working with passion and purpose, Explore and further your career, Improving at every opportunity.
- o We have strengthened our focus on Equality, Diversity and Inclusion particularly in terms of our corporate oversight, we revamped the council EDI group, growing our staff networks to engage with staff on a range of issues.
- o Our pay gap information is positive and favourable compared to the national picture. From our surveys 83% of staff agree that the Council values equality and diversity in the workplace.
- o Our Agile working programme has been implemented to enable work to be "what you do and not when and where you do it". There continues to be a less cars on the road as a result of the agile working approach which will contribute to our environmental ambitions.
- o A staff engagement strategy has been developed to build on our "staff check-in" approach implemented during COVID-19, with our staff engagement index increasing from 70% to 76% compared to a benchmark average of 57% and the Local Government benchmark of 54%.
- o We have achieved bronze Thrive at Work accreditation, while our sustainable and resilient workforce project has been implemented to support the well-being of our staff achieving a reduction in sickness absence from 10.9 days per FTE, to 7.45 days in March, although since lockdown has ended we have seen a modest increase. Alongside this we also saw a 14% increase (to 86%) in our staff agreeing that employee well-being is promoted at work.
- o The Council's landline telephone numbers have migrated to Microsoft Teams to support our Agile working approach and allow staff to work from flexible locations.
- o Our Contact Centre telephony system is in the process of being re-tendered to streamline our processes.
- o Our buildings and offices have remained open throughout the Pandemic, maintaining service and digital access for vulnerable people through our 'front door' and library services.

- o Our Estates masterplan programme is being developed to reflect our ongoing needs across the Council and reduce our carbon footprint.
- o We have developed our building re-instatement plan to ensure our buildings are COVID-19 safe and to support hybrid working through digital technology.

The areas we are continuing to focus on are:

- o Continue to implement our people strategy and ensuring that equality, diversity and inclusion is embedded in all we do.
- o Embed our agile working offer.
- o Continue to develop a sustainable and resilient workforce, with a focus on wellbeing, working towards Silver Thrive Accreditation and maintaining our reduction in sickness absence.
- o Progress with our refreshing our People and Organisational Development programme to support the new Council Plan.

Key themes to embed in the refreshed Council Plan:
- o Our continuing approach to ensuring we develop our people, have effective ways of working and have supportive policies.

2.7.3 | **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*

- o We have progressed with our plan to digitise our records and remove our reliance on paper across our operations with over 4900 boxes and circa 29,000 files submitted through our records storage process.
- o We have continued to develop our Microsoft functionality and to create a common approach to records storage.
- o Our strategy to be evidence-led has developed, with considerable work undertaken on how we use our data to provide real-time reporting and performance information.
- o A new Council Performance Management Framework is in development, linked to the creation of the refreshed Council Plan.
- o An independent review of our customer service standards was carried out during the COVID-19 recovery period, and despite the changing working practices and increased demand on our customer-facing services, we continued to comply with the standards and were able to demonstrate many areas of good practice.

The areas we are continuing to focus on are:

o Continue to review, upgrade, replace and simplify our technology to support new ways of working and customer service

Key themes to embed in the refreshed Council Plan:
o Continue to develop our strategies for digital, data and performance management

3. Development of the Refreshed Council Plan 2022

3.1 Cabinet will be aware of the current work underway to refresh the Council Plan, the intention for which featured in the original "Accelerate" phase of the COVID-19 recovery work.

3.2 As can be seen from the summary above, significant progress has been made on the original actions identified in the Recovery Plan. Key moving forward is to:

- Ensure that pandemic response approaches are embedded in relevant services' operations and business continuity plans and can be deployed again should the need arise;
- Use the insight gained from the pandemic to focus on the "Accelerate" phase; and
- Embed those continuing themes that require an ongoing focus within the refreshed Council Plan.

3.3 The analysis of the Recovery Plan supplements various other sources of information on identifying themes and priorities for the refreshed Council Plan. Engagement sessions have been held with members about the strategic priorities and Areas of Focus for the refreshed Council Plan and a public consultation has been undertaken to seek the view of residents on their key priorities. Details on these activities are referenced in the Council Plan papers to be received by Cabinet at its meeting on 7 December so are not replicated here.

3.4 Following the approval of the Council Plan, more detailed work will be undertaken to create the prioritised 2 year Delivery Plan to support its implementation.

3.5 Those themes and actions from the Recovery Plan that require a continuing Council level focus will segue into that Delivery Plan where they align to one of the proposed specific 7 Areas of Focus. Continuing work that is now

embedded in service delivery and which does not require a specific focus in the Delivery Plan will continue under normal Council business as usual.

3.6   Current and proposed projects will remain subject to prioritisation and appropriate consideration on value for money and affordability prior to approval, with the requirement for business cases to highlight benefits.

4.   Financial Implications

4.1   The cost of the response to and recovery from COVID-19 to Warwickshire County Council is currently estimated to be in excess of £78m, with the figure continuing to grow as communities are heading into an uncertain winter.

4.2   The direct response cost has so far been covered in full by Government funding, and it is anticipated these direct costs will continue to be covered in the same way. However, the on-going work on the refresh of the Medium Term Financial Strategy (MTFS) indicates that there are longer term pressures resulting from COVID-19 (both in terms of increased cost and reduced tax revenue) that are likely to extend beyond the currently confirmed government funding.

4.3   In addition to government grants, the Council continues to use the remaining revenue and capital investment funds to support the actions in the recovery plan to accelerate and aid the recovery of the Council, service providers, our communities and businesses.

4.4   The MTFS refresh has also highlighted that there are other critical areas requiring continuing investment such as the SEND transformation programme and the delivery of our climate change commitments.

4.5   Consequently, it is important that the actions carried forward from the recovery plan remain subject to ongoing monitoring of the detailed costs, affordability and benefits across the activities to ensure the investment funding remains sufficient to cover all ambitions.

4.6   The refreshed MTFS, which will be presented to Cabinet in December, will present a joined-up approach to delivering any outstanding COVID-19 recovery plan priorities as well as the other priorities of the Council in a sustainable way over the medium term, taking into account the impact of the upcoming Spending Review and the autumn Budget announcement.

5. Environmental Implications

5.1 Specific activities with environmental implications have been reported on above. Climate change is one of the proposed three key pillars of the refreshed Council plan with achieving our climate change action plan one of the proposed seven areas of focus.

5.2 The activities that were specifically focused on recovery will be evaluated as part of that ongoing Climate action plan and encompassed within the refreshed Council plan.

6. Timescales associated with the decision and next steps

6.1 This paper provides context for the paper on the proposed refreshed Council Plan and enables work to transition into the subsequent Delivery Plan.

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

Local Member(s): N/A
Other members: N/A

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Cabinet

7 December 2021

Annual Infrastructure Funding Statement 2020/21

Recommendations

1. Approves for publication the Annual Infrastructure Funding Statement attached at Appendix 2.

2. Authorises the Strategic Director for Communities to approve for publication all future Annual Infrastructure Funding Statements.

1.   Executive Summary

1.1   Regulation 121A of the Community Infrastructure Levy legislation requires any Local Authority in receipt of developer contributions to publish specified Section 106 and Community Infrastructure Levy (CIL) data for the previous financial year. The Annual Infrastructure Funding Statement (AIFS) must be published online by 31st December 2021. There has been no change to the legislation since last year's statement and no further guidance has been issued.

1.2   The Community Infrastructure Levy Regulations were amended in September 2019 to increase local authorities' reporting obligations on their income from developers. The reporting requirements aim to 'help to further increase transparency and accountability and improve the quality of data available. Infrastructure funding statements can be a useful tool for wider engagement, for example with infrastructure providers.' Likely users include housing developers, community organisations and public sector bodies. Appendix 1 sets out what Regulation 121A requires to be included in the AIFS.

1.3   WCC is not a CIL-collecting authority, so is therefore not required to produce a full CIL Report as laid out in the amended regulations; instead WCC will provide more limited information on any CIL passed on by District and Borough Councils. 2020/21 was the first year in which the County Council received CIL, £50,000 was received for the Bath Street scheme in Leamington.

1.4   WCC does collect developer contributions via Section 106 so is required to report detail on S106 funding. In short, the Council is required to report on S106 income received and spent as well as the amount of funding held at the 31st March each year.

1.5   Last year's statement and the approach taken was endorsed by Cabinet and considered by Overview and Scrutiny and the same approach is being recommended this year. Taking on board the recommendations from last year our S106 monitoring processes have been updated however there remain some issues identifying older funds which are being resolved which will allow us to publish more detail in future Statements.

1.6   The draft AIFS was considered by Corporate Board on 20th October 2021 and Communities Overview and Scrutiny Committee on 17th November 2021.

1.7   The S106 master spreadsheet is the primary source of S106 data from signing of the agreement to the spend and meeting national reporting requirements. It reflects the ledger in terms of financial data whilst providing more detailed data to respond to queries and ensure pro-active monitoring of S106 income and spend. This provides an overview of S106 funding which informs strategic infrastructure decisions

1.8   We have used the learning from the publication of this year's report to inform changes to our S106 monitoring processes which have a particular focus on ensuring accurate and up to date information on S106 spend and to reduce the resource required to produce the report in future years.

2.   Financial Implications

2.1   None

3.   Environmental Implications

3.1   None

4.   Supporting Information

4.1   The County Council's future funding and investment plans are best publicised within the medium-term financial strategy, annual budget and capital strategy, all of which are to be approved by full Council soon after the publication of the AIFS in the annual democratic cycle. The approach taken in the AIFS was therefore to signpost readers to these other documents.

4.2   The infrastructure categories (highways, community facilities etc) are those suggested by the national guidance, and there was a degree of interpretation required to match our projects to these categories and it is expected that these will be broken down into more detailed categories in the future.

4.3   Section 106 agreements are negotiated in such a way that allows the Council the flexibility to provide the infrastructure when it is required and that allows for the long timescales often associated with significant infrastructure projects. Payment schedules however are based on developer milestones or trigger

points; this can mean that balances build up for large projects. Often it is within the Council's interests to hold S106 funding to ensure that infrastructure is delivered at the right time and to ensure capital spending is approved by Cabinet.

4.4   The level of spend of Section 106 contributions therefore varies year on year, depending on both the scale of our spend on infrastructure projects and fluctuations in the rate of actual developer build-out across the County; we have seen an increase in planning applications and house building in recent years and would expect to see this reflected in increased spend in future years but also potentially an increase in held balances at any given snapshot in time.

4.5   As referenced in last year's report, work is underway to provide the following in future years:

- Developer agreement listing – a list of extant developer agreements, cross-referenced to planning applications
- Developer contributions – a list of obligations within the above agreements and their intended infrastructure type
- In-year transactions – a complete list of transactions during the year in relation to s106 obligations and funds
- Full-year reconciliation – a summary version of the above documents that will allow readers a simple view of the overall movements on s106 contributions

4.6   It has not been possible to provide greater detail in this year's report due to complexities in the S106 monitoring system, work is ongoing with finance to resolve these issues in order to provide such detail in future reports.

4.7   Cabinet is asked to approve for publication the Annual Infrastructure Funding Statement 2020/21 attached at Appendix 2 and to agree delegation of all future AIFSs to the Strategic Director for Communities.

5.   Timescales associated with the decision and next steps

5.1   The AIFS will be published on the WCC website prior to 31st December 2021.

Appendices
1.   Appendix 1 – Annual Infrastructure Funding Statement Requirements
2.   Appendix 2 – Annual Infrastructure Funding Statement 2020/21

Background Papers

1.   None

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

Local Member(s): n/a
Other members: Members of Communities Overview and Scrutiny Committee

Obligations entered into in reported year	Money received under any planning obligation before (but not spent) or during the reported year				Money spent during reported year

Obligations entered into in reported year

(a) Total **amount of money** to be provided under any planning obligation which was **entered into** during the reported year.

(d) Summary details of any **non-monetary contributions** to be provided under planning obligations which were **entered into** during the reported year including details of—

(i) in relation to affordable housing, the total number of units which will be provided;

(ii) in relation to educational facilities, the number of school places for pupils which will be provided, and the category of school at which they will be provided.

Money received under any planning obligation before (but not spent) or during the reported year

(b) Total amount of money under any planning obligations which was **received** during the reported year.

(c) Total amount of money under any planning obligations which **was received before** the reported year which has **not been allocated** by the authority.

(e) Total amount of money (received under any planning obligations) which was **allocated but not spent during the reported year** for funding infrastructure

(g) In relation to money (received under planning obligations) which was **allocated** by the authority **but not spent** during the reported year, **summary details of the items of infrastructure** on which the money has been allocated, and the amount of money allocated to each item.

(i) Total amount of money (received under any planning obligations) during any year which was **retained at the end of the reported year, and where any of the retained money has been allocated for the purposes of longer term maintenance** ("commuted sums"), also identify separately the total amount of commuted sums held.

Money spent during reported year

(f) Total amount of money (received under any planning obligations) **which was spent** during the reported year by the authority (including transferring it to another person to spend);

(h) In relation to money (received under planning obligations) which was **spent by the authority during the reported year** (including transferring it to another person to spend), summary details of—

(i) **the items of infrastructure** on which that money (received under planning obligations) was spent, and the amount spent on each item;

(ii) the amount of money (received under planning obligations) **spent on repaying money borrowed**, including any interest, with details of the items of infrastructure which that money was used to provide (wholly or in part);

(iii) the amount of money (received under planning obligations) **spent in respect of monitoring** (including reporting under regulation 121A) in relation to the delivery of planning obligations;

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Annual Infrastructure Funding Statement 2020/21

Contents

Introduction

Warwickshire County Council's ("WCC") Annual Infrastructure Funding Statement (AIFS) sets out the developer contributions secured and applied by WCC in relation to 2020/21 as required by the Community Infrastructure Levy (Amendment) (England) (No. 2) Regulations 2019. WCC does not collect Community Infrastructure Levy directly but does collect S106 contributions for developments in Warwickshire secured as part of planning obligations; this statement provides further details on those contributions. The following definitions are used to reflect the various stages of developer contributions:

- Agreed – Contributions that have been agreed within a signed legal document which have not yet been collected; in the majority of cases this is due to the trigger point within the agreement not being met yet
- Received – Contributions received by WCC, either non-monetary or monetary
- Allocated – Contributions that have been received by WCC and allocated internally to specific projects
- Spent– Monetary or non-monetary contributions that have been applied to finance expenditure

WCC's future funding and investment plans for infrastructure are publicised within the medium-term financial strategy, annual budget and capital strategy. These documents are approved by full Council in February of each year and more information may be found at https://www.warwickshire.gov.uk/budget and https://api.warwickshire.gov.uk/documents/WCCC-708-483.

1

WCC Annual Infrastructure Funding Statement 2020/21

1. **Total amount of money to be provided under any planning obligation which was entered into during 2020/21**

Infrastructure Type	Amount (£)
Community Facilities	96,862.45
Education	4,431,855.1
Green Infrastructure	293,756.60
Highways	5,671,948.26
Transport and Travel	947,661.47
Monitoring	14,550.00
Total	**11,456,633.88**

2. Summary details of non-monetary contributions secured during 2020/21

S106 Agreement	Land usage
Land secured via 035037	Footbridge Land

3. Money received from any s106 during 2020/21

Infrastructure Type	Amount (£)
Community Facilities	34,295.90
Education	13,742,476.54
Green Infrastructure	1,485,613.81
Highways	3,937,645.17
Monitoring and Administration	2,800.00
Transport and Travel	1,451,822.77
Total	**20,654,654.19**

4. Total amount of money received before 2020/21 which has not been allocated

Infrastructure Type	Amount (£)
Community Facilities	0
Education	36,499,042.79
Green Infrastructure	0
Highways	13,117,065.09
Monitoring and Administration	0
Transport and Travel	1,947.92
Total	**49,618,055.80**

5. Total amount of money which was allocated but not spent during 2020/21

Infrastructure Type	Amount (£)
Community Facilities	34,295.90
Education	0
Green Infrastructure	1,485,613.81
Highways	163,312.46
Monitoring and Administration	0
Transport and Travel	942,452.27

2

WCC Annual Infrastructure Funding Statement 2020/21

Total	2,625,674.44

6. Total amount of money retained at the end 2020/21

Infrastructure Type	Amount (£)
Community Facilities	506,539.00
Education	36,232,806.55
Green Infrastructure	3,286,470.95
Highways	6,317,930.67
Transport and Travel	6,293,162.63
Total	52,636,909.80

7. Contributions spent in 2020/21 by infrastructure type and project

Infrastructure Type	Project	Monies Spent (£)
Community Facilities	Leamington Library	8,300.00
	Rugby Library	20,944.00
	Nuneaton Library	10,021.00
	Stratford-on-Avon Library	5,355.00
	Shipston-On-Stour Library	174.00
	Alcester Library	192.00
	Community Facilities Total	**44,986.00**
Education	Evergreen School Reconfiguration of Classrooms	42,804.00
	Evergreen School Reconfiguration of Classrooms	21,587.00
	Campion Phase 1 (including Sports Hall refurb)	1,510,734
	Campion Phase 1 (including Sports Hall refurb)	408,103.94
	Campion Phase 2	406,863.67
	Contribution for Library lease	75,000.00
	Nature room and toilet	57,114.59
	Oakley Grove planning application	11,890.00
	Bidford Primary and Willow Tree Nursery	4,216.00
	Stratford-on-Avon School - Dining Room Expansion	61,162.00
	Southam Primary / Pre School - Pre School relocation	14,044.00
	Southam Primary / Pre School - Pre School relocation	40,644.79
	Southam Primary / Pre School - Pre School relocation	120,914.23
	Bidford Bright Stars – External Equipment	13,860.00
	Bidford Bright Stars – External Equipment	12,684.00
	transferred to DFE for delivery of new school at Meon Vale	1,200,000
	Southam Primary	26,264.78
	Rugby Gateway New School	1,256.67

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WCC Annual Infrastructure Funding Statement 2020/21

	Long Lawford Primary School Studio Hall	88,952.54
	Education Total	**4,118,096**
Green Infrastructure	Biodiversity Offsetting	87,899.26
	Green Infrastructure Total	**87,899.26**
Highways	Hunters Lane, Rugby improvements	11,279.99
	Install MOVA operation on traffic signal junctions Emscote Road Warwick	134,640.40
	Weddington Road , Nuneaton Toucan Crossing	9,129.06
	A46 Stanks Island signalisation and improvement	86,750.58
	Warwick Town Centre improvement	9,684.50
	A444 Corridor improvements	158,894.70
	Southbound Bus Stop On A426 Leicester Rd	46.70
	Upgrade Existing Shared Ped / Cycle Path Bermuda	919.20
	Barford Junction Safety And Capacity Improvement Works	8,059.60
	Hinckley To Nuneaton Cycle Route	205,255.64
	Mancetter Road / Camp Hill Road, Nuneaton Bus Stop Improvements	3,748.22
	Bidford on Avon/ Waterloo Road/Provision of a Bus Stop and shelter	1,831.58
	Highways Total	**630,240.17**
Transport and Travel	Road Safety Education	54,441.00
	Public and School Transport Services	1,118,259.00
	Transferred to AC Lloyd to deliver transport and travel obligation	2,915.59
	Transport and Travel Total	**1,175,615.59**
Overall Total	**6,056,837.02**	

Money Borrowed

In 2020/21 no S106 contributions were spent repaying money borrowed.

S106 Monitoring fees

WCC collects monitoring fees for each S106 agreement with contributions due to WCC. The fee is based on size of the development and the estimated officer time to monitor the agreed contributions.

8. S106 Monitoring Fees received in 2020/21

S106 Contribution	Amount Received (£)
Monitoring fees	2,800

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WCC Annual Infrastructure Funding Statement 2020/21

9. CIL Received in 2020/21

CIL Contribution	Amount Received (£)
WDC	50,000 – Towards Bath Street, Leamington
SDC	0

10. CIL Spent in 2020/21 – TBC

CIL Contribution	Amount Spent (£)
WDC	50,000 – Towards Bath Street, Leamington
SDC	0

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<div align="right"># Agenda Item 6</div>

Cabinet

7 December 2021

Annual Education Sufficiency Update
2021

Recommendation

1.   That Cabinet endorses the Annual Education Sufficiency Update 2021 and notes the proposed schemes to ensure sufficiency of school places in Warwickshire.

1.0   Key Issues

1.1   Section 3 in the Annual Update 2021 outlines the key sufficiency challenges which provide the context to the practical implementation of sufficiency proposals.

1.2   A series of workshops have been undertaken with Elected Members to review pupil forecast information, current sufficiency proposals and discuss local key issues in each District and Borough area.

1.3   Housing growth in line with current housing trajectories across the county is expected to increase the long-term demand for school places as new families move into the county. This is by far the biggest challenge in ensuring sufficiency of school places and the expected impact of this housing growth is included in the pupil forecast data presented. However as new families move into Warwickshire over the next academic year the level of short-term demand for places will vary depending on the age of the children and availability of places in the relevant year groups at local schools. Where possible the available capacity in areas with housing growth should exceed the 4% target to account for these variances.

1.4   There can often be pressure for school places when families apply late or part way through the academic year and schools are already at capacity. The allocation of school places is administered in line with the School Admission Code published by the Department for Education (DfE) and all processes must be undertaken in line with this legislation. To overcome this issue, the target is to maintain 4% capacity in any given year group across each planning area, however there is no provision within the code that would allow schools or Local Authorities to hold places at any school to accommodate those late or in year applicants.

1.5 All school places offered are done so in line with the relevant admission arrangements for that school. Education sufficiency planning operates in a mixed economy of Local Authority influence and Academies having the autonomy to make decisions relating to increasing or decreasing intake number, class organisation and admission arrangements independent of the Council's strategic approach.

1.6 The County Council works in partnership with all the Warwickshire family of schools; however, it is not always the case that the admission arrangements set by an academy trust will give full consideration to the Local Authority's strategic approach to ensuring sufficiency of school places.

1.7 The Warwickshire School Admissions Team processes approximately 23,000 school applications every year. Over the last 4 years an average of 93% of all Warwickshire children have been offered one of their first three choices of secondary school and 98% of Reception children have been offered one of their first three choices of primary school.

1.8 To support the sufficiency planning it is important the Admission Service operates as effectively as possible, ensuring places are offered in line with the relevant policies and legislation. For children starting school in reception or transferring to junior or secondary school Central Government have set out a national timeline for processing applications but for in year applications minimising the time taken for a child to be offered and start at a new school is a key priority for Education Services. A full detailed review of all aspects of the Admission Service is currently being undertaken.

2.0 Options and Proposal

2.1 The update attached as Appendix A outlines pupil number forecasts from September 2021 covering a 5-year period for primary phase and a 7-year period for secondary phase and provides details of any pressures expected during that period.

2.2 The below projects have been approved or confirmed, where a scheme is being delivered by partners, and the additional capacity they will provide is expected to be delivered by the dates shown. All future demand for school places shown in the pupil forecasts in Appendix 1 is in addition to these existing projects.

Approved schemes contributing additional capacity in forecasts starting from 2021				
Planning Area	Phase	School	Scheme	Date of delivery
South Leamington	Primary	Oakley Grove School (Primary)	New School - additional 60 Reception places	2023

Warwick and Leamington	Secondary	Oakley Grove School (Secondary)	New School - additional 180 Year 7 places	2023
Kenilworth	Secondary	Kenilworth School	Expansion by school - additional 60 Year 7 places	2023
Rugby South	Secondary	Houlton School	New School – additional 180 Year 7 places	2021
Atherstone	Secondary	The Queen Elizabeth Academy	Expansion - additional 30 Year 7 places	2021
Nuneaton North & East	Primary	Lower Farm Academy	Expansion by DfE - additional 30 Reception places	2023
Stratford upon Avon	Secondary	Stratford School	Expansion - additional 60 Year 7 places	2024

2.3   Details of approved capital schemes, as well as proposed projects to meet expected pressures, are outlined in each section. All projects are subject to change in response to relevant changes in housing developments in the area and the impact on expected need for places.

2.4   Demand for school places is expected to continue to increase across many parts of the county, predominantly in line with housing growth. It is expected the significant pressures will be at secondary age level as larger primary cohorts move through to secondary school. Increased demand at primary level could continue where there is expected housing growth in line with current housing trajectories. However, the economic effect of COVID-19 could result in a reduction in housing growth impacting on the level and timing of any potential new provision or expansion of existing provision.

2.5   Specific planning areas across Warwickshire that are forecast to experience pressure on school places are identified and an explanation of any proposed action to remedy this is given.

2.6   Where an increase in pupil numbers is expected parental preference dictates not all schools will see a uniform increase in demand. The strategy aims to retain a minimum of 4% capacity in each year group across any given planning area to ensure places remain available to accommodate additional pupils as new families that move into an area. Work will continue to assist and encourage all schools to be proactive in their approach to attracting pupils to prevent large disparities between schools that are at capacity and those that are significantly under capacity. This is undertaken as a proactive approach alongside the ongoing work to assist schools with longer term sustainability.

2.7   Pressure on SEND places will initially be addressed by supporting and equipping mainstream schools to ensure a greater proportion of learners with EHC plans at school age are supported in their local mainstream setting, developing the second phase of 'resourced provision', the opening of The Warwickshire Academy and completing

3 of 7

existing expansion projects. Improving the commissioning of high needs places, to ensure sufficiency of local specialist provision, sits within the SEND & Inclusion Change Programme.

2.8 Pupil forecast data factors in the expected impact of housing developments across the county, the timescales for delivery of which are reliant on the data produced by the local planning authorities. The expected demand for in year places particularly may not be fully realised where this data deviates from the reality of the delivery of new housing.

3.0 Financial Implications

3.1 The full extent of the future financial implications are yet to be quantified and detailed costing will be provided once design and feasibility work has been undertaken for each individual project outlined in this update.

3.2 Initial cost estimates relating to additional provision, particularly new schools, have been produced utilising national benchmarking data. Work is ongoing to identify the expected capital requirements and funding profile for all future Education Capital projects over the short to medium term.

3.3 All proposed education capital projects are considered against independently published third-party data to benchmark the cost to the County Council of providing school places and ensuring effective allocation of resources.

3.4 There is the likelihood that the consideration of any Carbon Neutral build methods will increase overall costs beyond the existing benchmarks.

3.5 Basic Need grant funding is provided by the DfE to deliver the expected requirement for mainstream places across the 4-16 age range. This grant is calculated on a per pupil basis for mainstream places and excludes those places as a result of housing growth which are expected to be funded via developer contributions.

3.6 Available Education capital resources currently total £4,245,000. However, as outlined there are multiple demands expected on this funding to deliver Education Capital projects across the county to ensure sufficient school places are available.

3.7 Warwickshire's Basic Need grant funding allocation to be received in 2022 has been confirmed at £2,330,000

3.8 Limited future Basic Need Grant funding is expected in the

2021-26 MTFS period, currently forecast at £4,000,000 per annum.

3.9 The need to forward fund education infrastructure before receipt of developer contributions together with competing demands to utilise Basic Need capital resources for education provision such as Early Years sufficiency, SEND provision and condition of the school estate will put significant pressure on the funding available to provide sufficient school places.

3.10 Due to the significantly reduced Basic Need Grant expected in future years and forecast infrastructure requirements exceeding the amount of developer contributions secured through existing agreements, any funding gap which cannot be met by future developer contributions will require additional borrowing via the Capital Investment Fund (CIF). The fund currently has £90.9 million available over the 2021-26 MTFS period.

3.11 Developer contributions will continue to be sought to provide the new provision needed as a result of housing growth and funds secured relevant to each individual scheme will be utilised where appropriate to deliver the schemes proposed.

3.12 The initial revenue costs for the new schools and additional classes at existing schools will need to be met utilising Dedicated Schools Grant, Pupil Growth Funding.

4.0 Environmental Implications

4.1 Following the County Council's declaration of a Climate Change Emergency the design brief for all Education Capital projects will require the consideration of Carbon Neutral build methods to ensure the environmental impacts of delivering and operating the new provision are reduced where possible.

4.2 Environmental risk assessments together with mitigation statements to reduce any potential environmental impacts are required for each capital project. Where a risk of environmental damage is identified measures will be required to ensure these risks remain at a minimum throughout the construction process.

4.3 The Education Sufficiency Strategy 2018/2023 outlines Local Schools for Local Children as a key strategic priority. Where possible this approach will design in sustainable transport opportunities and reductions in home to school transport requirements for all new schools and expansions, while remaining conscious of the carbon requirements associated with the construction process and the opportunities for future reductions in emissions associated with home to school transport.

5.0 Timescales associated with the decision and next steps

5.1 Proposed schemes outlined in the sufficiency update will be worked up though the initial feasibility stages via the Education Capital Access and Organisation Working Group.

5.2 Following confirmation of the availability of funding, the appropriate consultations, and feasibility studies all projects require agreement by the Education Capital Access and Organisation Board.

5.3 Once agreed by the Board all individual capital projects outlined will be subject to future reports to Cabinet, and Council as necessary, for funding approval.

Appendices

Appendix 1 - Annual Education Sufficiency Update 2021

Background papers

1. Education Sufficiency Strategy 2018-2023 Link
2. Formulation of the Education Sufficiency Strategy (Children & Young People O&S Committee report approved 23/02/2021) Link

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

Local Member(s):
Other members:

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Warwickshire County Council Education Services

Annual Education Sufficiency Update

December 2021

Contents

1. Introduction and explanatory notes

1.1. This annual sufficiency update is published to provide the current context for the delivery of the Warwickshire County Council (WCC) Education Sufficiency Strategy 2018 – 2023 (The Sufficiency Strategy). The Sufficiency Strategy is published online here: https://www.warwickshire.gov.uk/schoolandlearningstrategies and provides further details regarding the Local Authority's statutory responsibilities, pupil forecast methodology, key strategic priorities, and funding arrangements.

1.2. WCC produces forecasts of school pupil numbers on an annual basis, using the latest available data. The forecast methodology used is presented in The Sufficiency Strategy. This update presents annual pupil number forecasts from September 2021 covering a 5-year period for primary phase and a 7-year period for secondary phase and provides commentary on any forecast pressures on available school places.

1.3. **Presentation and format of forecast tables**

1.3.1. Forecasts are presented in this update in two tables, one each for the primary and secondary phases of schools, for each of five geographical areas of Warwickshire, shown on the map at Appendix 2. Commentary is provided under each table to address any forecast deficit of places.

Headings used in tables of forecast data:

	Planning Area	Academic Year	Year R or 7 Capacity /PAN	Year R or 7 Forecast Pupil Numbers	Available Intake Capacity	Total Capacity	Total Forecast Pupil Numbers	Available Total Capacity
Section below for explanation:	*1.3.2*		*1.3.3*	*1.3.3*	*1.3.3*	*1.3.4*	*1.3.4*	*1.3.4*

1.3.2. In accordance with DfE guidance, Warwickshire is divided into "Planning Areas" – clusters of schools which benefit from being considered together when forecasting and planning for pupil place provision. Tables of all mainstream Warwickshire schools and maps of their respective planning areas are provided as Appendices 1 and 2. Nb. some planning areas straddle the boundary between different Districts and Boroughs.

1.3.3. Primary schools admit new pupils annually at Reception (Year R) (except for Junior Schools which admit pupils at Year 3) and Secondary Schools at Year 7. Forecast intake (Year R or Year 7) pupil numbers provided in this update are compared against each planning area's "PAN", i.e., Published Admissions Number. This is the agreed number of pupils that the schools in a planning area

can collectively admit for that intake. Subtracting the forecast Year R or Year 7 pupil numbers from the Year R or Year 7 Capacity/PAN provides a forecast for the number of surplus places in each planning area, which is presented in this update as a percentage of the Year R or Year 7 capacity – the Total Available Capacity.

1.3.4. Admissions outside the annual intake rounds for Year R, Year 3 and Year 7 are referred to as "in-year" applications. The sufficiency forecasts for these are obtained by subtraction of total pupil number forecasts from the total capacity of each planning area across all year groups, not just the intake years. Junior school admissions at Year 3 are also included in the total capacity forecasts.

1.4. Particular attention is paid to Reception forecasts, as DfE guidelines do not usually allow class sizes to exceed 30 pupils in Years R to 2. Similar guidelines do not apply to older pupil cohorts, so although Secondary schools generally organise for class sizes of 30, they have greater flexibility to admit pupils above this number where required. In the same way, where total (all year groups) forecasts exceed total capacity (based in the forecasts on classes of 30), there is the potential for year groups from Year 3 and up to take a small number of additional pupils over the assumed 30 class size if necessary.

1.5. Pupil forecasts include new school places (in the "Capacity" figures) to be provided through expansions of existing schools or the opening of new schools. A list of these projects is provided in Section 3 of this update.

1.6. Pupil number forecasts include the expected impact of all currently approved housing developments as at time of publication. WCC Education Services works collaboratively with the five District and Borough planning authorities and the progress of proposed and approved housing development across the county is continually monitored. The underlying data relating to housing trajectories is subject to change.

1.7. Full analysis of Early Years sufficiency across the county is outlined in the Early Years and Childcare Sufficiency Assessment 2020 available here: https://www.warwickshire.gov.uk/childcare.

2. Challenges to ensuring sufficient school places

2.1. Housing development - Housing growth across the county is expected to increase the long-term demand for school places as new families move into the county. This is by far the biggest challenge in ensuring sufficiency of school places and the expected impact of this housing growth is included in the pupil forecast data presented in this document.

2.2. In-year applications - There can often be pressure for school places when families apply late or part way through the academic year and schools are already at capacity. The allocation of school places is administered in line with the School Admission Code published by the Department for Education (DfE) and all processes must be undertaken in line with this legislation. To overcome this issue, the target recommended by the DfE is to maintain 4% capacity in any given year group across each planning area, however there is no provision within the code that would allow schools or Local Authorities to reserve places at any school to accommodate those late or in-year applicants.

2.3. Admission arrangements - All school places offered are done so in line with the relevant admission arrangements for that school. For academies the responsibility for setting the schools admission policy, including oversubscription criteria, lies with the academy trust. WCC works in partnership with all the Warwickshire family of schools, however it is not always the case that the admission arrangements set by an academy trust will give full consideration to the Local Authority's strategic approach to ensuring sufficiency of school places.

2.4. Covid-19 Pandemic, Brexit and HS2 Impacts - There has recently been a significant increase in construction cost inflation with the main current factors affecting costs understood to be HS2, Brexit and to a lesser extent the Covid-19 pandemic. This is resulting in both labour and material shortages which is inevitably increasing construction prices. As such, contractors are having to factor in the known increases and the risk of further increases to tenders. Due to the ongoing impact of HS2 and Brexit in the next few years it is expected these pressures will continue. This increase in construction costs will have an impact on the delivery of new housing across the county as well as increasing costs payable by WCC in delivering new school places.

3. New School places from September 2021

3.1. WCC has a legal duty to ensure sufficient school places exist to meet local demand and as such, delivers additional school places through expansion of existing schools or building new schools as forecasts warrant.

3.2. Projects that will provide additional places from 2021 or later and have received full approval from WCC and any other stakeholders e.g., the relevant academy trust or the Department for Education, are included in the capacity element of these pupil forecasts and are detailed below.

Projects contributing to new capacity in forecasts from 2021:

Planning Area	Phase	School	Scheme	Date of delivery*
Atherstone	Secondary	The Queen Elizabeth Academy	PAN increase - additional 30 Year 7 places	Sept 2021
Kenilworth	Secondary	Kenilworth School**	Expansion by school and PAN increase - additional 60 Year 7 places initially	Sept 2023
Nuneaton North & East	Primary	Lower Farm Academy	PAN increase - additional 30 Reception places	Sept 2023
Rugby South	Secondary	Houlton School	New School - additional 180 Year 7 places	Sept 2021
South Leamington	Primary	Oakley Grove School (Primary phase)	New School - additional 60 Reception places***	Sept 2023
Stratford	Secondary	Stratford upon Avon School	Expansion - additional 60 places per year group	Sept 2024
Warwick and Leamington	Secondary	Oakley Grove School (Secondary phase)	New School - additional 180 Year 7 places	Sept 2023

* date of delivery is based on current status of the project and forecast need; this may change in response to changing factors.
** these projects are being delivered by the DfE or the school's academy trust and as such the project, number of places and date of delivery are not under direct WCC control.
*** depending on local need in the planning area, 30 of these places may initially be provided through expansion of other local schools subject to feasibility and agreement.

Details of WCC's approach to meeting need arising from housing development and requests for financial contributions from developers is available in WCC Developers' Guide to Education Contributions.

4. Forecasts and commentary - North Warwickshire area

4.1. Primary

4.1.1. Pupil forecasts

Planning Area	Academic Year	Reception Capacity - PAN	Reception Forecast Pupil Numbers	Available Intake Capacity	Total Capacity	Total Forecast Pupil Numbers	Available Total Capacity
Arley	2021/22	65	41	37%	455	338	26%
	2022/23	65	46	29%	455	330	27%
	2023/24	65	38	42%	455	311	32%
	2024/25	65	38	41%	455	301	34%
	2025/26	65	40	38%	455	290	36%
Atherstone	2021/22	150	130	13%	1050	939	11%
	2022/23	150	129	14%	1050	938	11%
	2023/24	150	111	26%	1050	924	12%
	2024/25	150	109	27%	1050	891	15%
	2025/26	150	116	23%	1050	876	17%
Baddesley Grendon	2021/22	30	36	-22%	210	226	-8%
	2022/23	30	29	3%	210	222	-6%
	2023/24	30	33	-11%	210	230	-10%
	2024/25	30	34	-14%	210	223	-6%
	2025/26	30	32	-6%	210	219	-4%
Coleshill	2021/22	212	180	15%	1484	1376	7%
	2022/23	212	191	10%	1484	1392	6%
	2023/24	212	181	15%	1484	1366	8%
	2024/25	212	165	22%	1484	1322	11%
	2025/26	212	179	16%	1484	1302	12%
Kingsbury	2021/22	105	87	17%	735	648	12%
	2022/23	105	68	35%	735	639	13%
	2023/24	105	74	29%	735	617	16%
	2024/25	105	73	31%	735	611	17%
	2025/26	105	72	32%	735	602	18%
Polesworth	2021/22	157	139	11%	1099	1095	0%
	2022/23	157	148	6%	1099	1092	1%
	2023/24	157	141	10%	1099	1087	1%
	2024/25	157	125	21%	1099	1054	4%
	2025/26	157	137	13%	1099	1053	4%
North Polesworth	2021/22	32	33	-4%	224	195	13%
	2022/23	32	24	26%	224	199	11%
	2023/24	32	21	36%	224	190	15%
	2024/25	32	24	25%	224	193	14%
	2025/26	32	23	29%	224	184	18%

4.1.2. Planning areas with forecast pressure

- Baddesley Grendon planning area is expected to have pressure for reception entry and across all year groups in the coming years. The level of need is not expected to sustain a viable expansion of the only school in this planning area, Woodside C of E Primary School, as sufficient capacity exists at schools in the neighbouring Atherstone primary planning area to accommodate the expected increase in need.

- Polesworth primary planning area is currently forecast a possible overall in-year pressure due to the popularity of the schools with children from outside of the area. This will be monitored closely although available capacity is expected in the neighbouring North Polesworth planning area.

4.2. Secondary

4.2.1. Pupil forecasts

Planning Area	Academic Year	Year 7 Capacity - PAN	Year 7 Forecast Pupil Numbers	Available Intake Capacity	Total Capacity	Total Forecast Pupil Numbers	Available Total Capacity
Atherstone	2021/22	120	145	-21%	600	679	-13%
	2022/23	120	173	-44%	600	728	-21%
	2023/24	120	168	-40%	600	754	-26%
	2024/25	120	183	-52%	600	784	-31%
	2025/26	120	166	-38%	600	821	-37%
	2026/27	120	154	-28%	600	826	-38%
	2027/28	120	155	-29%	600	808	-35%
Coleshill	2021/22	210	211	-1%	1050	1039	1%
	2022/23	210	212	-1%	1050	1065	-1%
	2023/24	210	210	0%	1050	1061	-1%
	2024/25	210	210	0%	1050	1057	-1%
	2025/26	210	210	0%	1050	1053	0%
	2026/27	210	210	0%	1050	1050	0%
	2027/28	210	210	0%	1050	1047	0%
Kingsbury	2021/22	126	127	-1%	630	698	-11%
	2022/23	126	127	-1%	630	686	-9%
	2023/24	126	127	-1%	630	666	-6%
	2024/25	126	127	-1%	630	638	-1%
	2025/26	126	127	-1%	630	627	0%
	2026/27	126	127	-1%	630	627	1%
	2027/28	126	127	-1%	630	627	1%

Planning Area	Academic Year	Year 7 Capacity - PAN	Year 7 Forecast Pupil Numbers	Available Intake Capacity	Total Capacity	Total Forecast Pupil Numbers	Available Total Capacity
Polesworth	2021/22	240	248	-3%	1200	1234	-3%
	2022/23	240	245	-2%	1200	1224	-2%
	2023/24	240	243	-1%	1200	1207	-1%
	2024/25	240	240	0%	1200	1183	1%
	2025/26	240	240	0%	1200	1156	4%
	2026/27	240	240	0%	1200	1140	5%
	2027/28	240	240	0%	1200	1132	6%

4.2.2. Planning areas with forecast pressure

- In Atherstone, The Queen Elizabeth Academy has increased its PAN by an additional 30 pupils for Year 7 entry from September 2021. Physical expansion of the school is proposed, subject to planning approval. Forecasts indicate that a further form of entry will also potentially be needed and will need further consideration alongside plans for additional capacity in neighbouring planning areas and the timing of housing development in the local area. Options for further expansion at Queen Elizabeth Academy will be explored in partnership with the Academy trust.

- An additional form of entry was added at The Coleshill School in 2020. Forecasts indicate that this will be sufficient to meet demand in the area, this will be monitored.

- Kingsbury planning area is expected to be at capacity moving forward. This is partially a result of the school's popularity with family's resident outside of Warwickshire and Kingsbury School has admitted above the published admission number to accommodate that demand. Should demand exceed capacity, it is anticipated that pupils from outside Warwickshire would not be admitted.

- The Polesworth planning area is currently expected to be slightly over capacity owing to the ongoing popularity of the school with pupils from outside of Warwickshire for Year 7 entry. Given this, there may be pressure on in-year applications if pupils move into the area and the school is at capacity – in this instance, places would be allocated at the next nearest school which is therefore likely to require the provision of home to school transport.

5. Forecasts and commentary - Nuneaton and Bedworth area

5.1. Primary

5.1.1. Pupil forecasts

Planning Area	Academic Year	Reception Capacity - PAN	Reception Forecast Pupil Numbers	Available Intake Capacity	Total Capacity	Total Forecast Pupil Numbers	Available Total Capacity
Bedworth South West	2021/22	240	176	27%	1680	1364	19%
	2022/23	240	172	28%	1680	1351	20%
	2023/24	240	192	20%	1680	1374	18%
	2024/25	240	180	25%	1680	1358	19%
	2025/26	240	195	19%	1680	1376	18%
Wolvey and Bulkington	2021/22	90	89	2%	630	540	14%
	2022/23	90	83	7%	630	538	15%
	2023/24	90	75	17%	630	520	18%
	2024/25	90	91	-2%	630	520	17%
	2025/26	90	83	8%	630	515	18%
Bedworth North East	2021/22	270	212	22%	1906	1746	8%
	2022/23	270	209	23%	1906	1683	12%
	2023/24	270	248	8%	1906	1677	12%
	2024/25	270	203	25%	1906	1615	15%
	2025/26	270	221	18%	1906	1587	17%
Nuneaton North West	2021/22	259	232	10%	1837	1717	7%
	2022/23	259	256	1%	1837	1732	6%
	2023/24	259	259	0%	1837	1736	6%
	2024/25	259	245	5%	1837	1723	6%
	2025/26	259	256	1%	1837	1726	6%
Nuneaton West	2021/22	420	405	4%	3060	2860	7%
	2022/23	420	387	8%	3060	2812	8%
	2023/24	420	380	10%	3060	2802	8%
	2024/25	420	362	14%	3060	2752	10%
	2025/26	420	377	10%	3060	2735	11%
Nuneaton North and East	2021/22	520	500	4%	3460	3433	1%
	2022/23	520	479	8%	3490	3495	0%
	2023/24	520	515	1%	3520	3578	-2%
	2024/25	520	469	10%	3550	3593	-1%
	2025/26	520	511	2%	3580	3652	-2%

5.1.2. Planning areas with forecast pressure

- There is likely to be some overall pressure from the 2022 academic year onwards in the Nuneaton North and East planning area. This is primarily as a result of new families moving into the area in line with housing development and the schools in this area are popular and often oversubscribed from reception entry. Discussion will be undertaken with the Academy Trust on increasing both the reception intake by an additional 30 places and opening of additional year groups at Lower Farm Academy from September 2023. Where necessary, in-year applications will be accommodated in neighbouring Nuneaton schools where sufficient places exist to meet this need.

5.2. Secondary

5.2.1. Pupil forecasts

Planning Area	Academic Year	Year 7 Places Available - PAN	Year 7 Forecast Pupil Numbers	Available Intake Capacity	Total Places Available	Total Forecast Pupil Numbers	Available Total Capacity
Hartshill	2021/22	210	196	7%	1050	1026	2%
	2022/23	210	218	-4%	1050	1050	0%
	2023/24	210	217	-3%	1050	1065	-1%
	2024/25	210	210	0%	1050	1047	0%
	2025/26	210	201	4%	1050	1022	3%
	2026/27	210	203	3%	1050	1013	4%
	2027/28	210	203	3%	1050	988	6%
Bedworth	2021/22	470	465	1%	2350	2083	11%
	2022/23	470	478	-2%	2350	2231	5%
	2023/24	470	458	2%	2350	2319	1%
	2024/25	470	481	-2%	2350	2365	-1%
	2025/26	470	453	4%	2350	2420	-3%
	2026/27	470	446	5%	2350	2382	-1%
	2027/28	470	436	7%	2350	2324	1%
Nuneaton	2021/22	956	962	-1%	4780	4609	4%
	2022/23	956	1004	-5%	4780	4783	0%
	2023/24	956	965	-1%	4780	4826	-1%
	2024/25	956	999	-4%	4780	4876	-2%
	2025/26	956	973	-2%	4780	4907	-3%
	2026/27	956	987	-3%	4780	4921	-3%
	2027/28	956	1029	-8%	4780	4936	-3%

5.2.2. Planning areas with forecast pressure

- Hartshill Secondary School is forecast to experience slight pressure as a result of parental preference and larger primary cohorts in the Hartshill area moving through. This demand reflects the popularity of the school, with a significant number of pupils resident in the Nuneaton Secondary planning area. Under the academies' existing admission Arrangements local children

will have priority admission to Hartshill School and as local cohorts increase those pupils from the wider area will be accommodated at secondary schools in their resident, neighbouring Nuneaton planning area. There are over 1000 homes currently proposed for the Hartshill area in the North Warwickshire Borough Council Local Plan, if approved the additional children will continue to displace children from the wider Nuneaton area before requiring longer term expansion of Hartshill School to accommodate local demand for places.

- The Nuneaton planning area is currently forecast to have an overall shortfall of Year 7 places available from 2021. The expected shortfall in neighbouring Hartshill may compound this issue with any available in-year capacity at Nuneaton schools being utilised by children from the Hartshill planning area. In-year applications will be monitored closely and will require close working with the existing secondary schools to ensure all children moving into the area can be accommodated. Etone College has increased intake by an additional 30 pupils for Year 7 entry form September 2021, providing an additional 150 places in the area over the next 4 years. Proposals to provide additional accommodation on the site to support a sustained increase in pupil numbers are currently being progressed with the academy trust.

- Approval in principle has been given for the provision of a new 900 place secondary school in the North of Nuneaton as part of the Central Government Free School Wave 14. This new school will be delivered by the Department for Education and operated by the Higham Lane School Academy Trust and it is expected this new provision will meet the demand for places in Nuneaton. As opening date for this new school is yet to be confirmed the additional capacity this new school will provide is not yet reflected in the above forecasts

- The Bedworth planning area is currently predicted to have available capacity in both Year 7 entry and overall, in the next 3 years. This area will need careful monitoring particularly if any of the current strategic housing allocations are approved which could require additional capacity at Ash Green School. Ash Green School has admitted over PAN in 2021 and the previous two years to accommodate localised demand from within the school's priority area. Further work will be undertaken with the Academy Trust to review of the accommodation on site to meet expected need from approved and future development in the Bedworth area.

6. Forecasts and commentary - East Warwickshire

6.1. Primary

6.1.1. Pupil forecasts

Planning Area	Academic Year	Reception Places Available - PAN	Reception Forecast Pupil Numbers	Available Intake Capacity	Total Places Available	Total Forecast Pupil Numbers	Available Total Capacity
Rugby North Central	2021/22	405	386	5%	2859	3030	-6%
	2022/23	405	399	1%	2859	3123	-9%
	2023/24	405	392	3%	2859	3216	-13%
	2024/25	405	372	8%	2859	3234	-13%
	2025/26	405	411	-1%	2859	3267	-14%
Rugby North of the Railway	2021/22	240	189	21%	1560	1508	3%
	2022/23	240	206	14%	1560	1518	3%
	2023/24	240	197	18%	1560	1499	4%
	2024/25	240	186	23%	1560	1466	6%
	2025/26	240	203	15%	1560	1446	7%
The Revel	2021/22	45	37	18%	315	287	9%
	2022/23	45	44	3%	315	284	10%
	2023/24	45	43	4%	315	281	11%
	2024/25	45	49	-9%	315	294	7%
	2025/26	45	46	-1%	315	295	6%
Dunchurch	2021/22	78	63	19%	498	465	7%
	2022/23	78	65	17%	498	460	8%
	2023/24	78	50	36%	498	440	12%
	2024/25	78	52	33%	498	422	15%
	2025/26	78	56	28%	498	407	18%
Rugby Rural	2021/22	137	105	24%	959	844	12%
	2022/23	137	115	16%	959	836	13%
	2023/24	137	115	16%	959	815	15%
	2024/25	137	106	23%	959	794	17%
	2025/26	137	110	20%	959	765	20%
Rugby South Central	2021/22	210	167	21%	1470	1362	7%
	2022/23	210	163	23%	1470	1341	9%
	2023/24	210	164	22%	1470	1313	11%
	2024/25	210	161	24%	1470	1308	11%
	2025/26	210	171	19%	1470	1291	12%
Rugby West	2021/22	240	210	12%	1660	1601	4%
	2022/23	240	222	7%	1660	1579	5%
	2023/24	240	180	25%	1660	1524	8%
	2024/25	240	172	28%	1660	1462	12%
	2025/26	240	191	20%	1660	1400	16%

Planning Area	Academic Year	Reception Places Available - PAN	Reception Forecast Pupil Numbers	Available Intake Capacity	Total Places Available	Total Forecast Pupil Numbers	Available Total Capacity
Long Lawford	2021/22	90	70	22%	630	498	21%
	2022/23	90	70	22%	630	482	24%
	2023/24	90	63	29%	630	489	22%
	2024/25	90	64	29%	630	488	22%
	2025/26	90	66	27%	630	476	25%

6.1.2. Planning areas with forecast pressure

- Significant housing development in Rugby North of the Railway and The Revel planning areas is expected to lead to an increase in demand for primary school places longer term. To meet this need a new 1fe primary school, The Griffin Primary School is planned to open in September 2023 as part of the Rugby Gateway development. In addition, there is an historical mismatch in capacity at infant and junior level in this area. Work is ongoing in partnership with the infant and junior schools in this area to undertake a strategic review of current and future provision in this area.

- Alongside operating increase reception intakes Long Lawford Primary School is operating a bulge for Year 5 in September 2021 to help meet in-year demand in the wider Rugby area.

- St Gabriel's C of E Academy opened from September 2018 on the housing development at Houlton in the east of Rugby (Rugby North Central Planning Area) to accommodate demand for primary school places from the new housing. The new school opened as a 1fe (210 places) primary school offering places in all year groups and has increased reception intakes to offer 45 places from September 2021. Longer term the site provides the option to expand to 3fe (630 places) as the housing development at Houlton progresses. Localised pressure is forecast for in-year applications as the housing continues to build out and new families move to the development, however it is expected sufficient capacity will be available at other local primary schools in the Rugby Area to accommodate this in-year movement.

6.2. Secondary

6.2.1. Pupil forecasts

Planning Area	Academic Year	Year 7 Places Available - PAN	Year 7 Forecast Pupil Numbers	Available Intake Capacity	Total Places Available	Total Forecast Pupil Numbers	Available Total Capacity
Rugby South	2021/22	1252	1181	6%	5450	5533	-2%
	2022/23	1252	1277	-2%	5660	5840	-3%
	2023/24	1252	1244	1%	5870	6041	-3%
	2024/25	1252	1249	0%	6080	6230	-2%
	2025/26	1252	1329	-6%	6260	6382	-2%
	2026/27	1252	1295	-3%	6260	6488	-4%
	2027/28	1252	1278	-2%	6260	6487	-4%
Rugby North	2021/22	220	222	-1%	1100	1185	-8%
	2022/23	220	259	-18%	1100	1232	-12%
	2023/24	220	269	-22%	1100	1285	-17%
	2024/25	220	269	-22%	1100	1318	-20%
	2025/26	220	281	-28%	1100	1359	-24%
	2026/27	220	276	-26%	1100	1408	-28%
	2027/28	220	275	-25%	1100	1421	-29%

6.2.2. Planning areas with forecast pressure

- Forecasts show that secondary schools across both Rugby planning areas are expected to be over capacity for Year 7 entry from September 2022. This includes the additional capacity provided by Houlton School which opened in September 2021. To meet the shortfall of places in September 2021 Ashlawn School admitted an additional 30 pupils for Year 7 entry and an additional 55 pupils were admitted at Harris C of E Academy for Year 7 entry as temporary bulge classes.

- Houlton School is included in the capacity data shown above, providing an additional 180 places for Year 7 entry in 2021, with each additional year group planned to open year on year for the next 4 years. Further expansion is expected longer term beyond the current forecast period in line with growing need from the Houlton housing development.

- Following the opening of the new Houlton secondary school there is still a slight pressure expected on secondary school places across Rugby. To meet this need an additional 98 year 7 places have been agreed as bulge classes at existing schools for September 2022 and 2023 entry. Additional capacity as a result of bulge classes is not reflected in the forecasts above. Options to meeting this shortfall longer term are currently being reviewed including discussions with the developer of Coton Park East in the North of Rugby for a new secondary school to be located on that development and expansion of existing secondary schools in the town.

7. Forecasts and commentary - Central Warwickshire

7.1. Primary

7.1.1. Pupil forecasts

Planning Area	Academic Year	Reception Places Available - PAN	Reception Forecast Pupil Numbers	Available Intake Capacity	Total Places Available	Total Forecast Pupil Numbers	Available Total Capacity
Kenilworth	2021/22	275	242	12%	2009	1970	2%
	2022/23	275	260	5%	1979	1980	0%
	2023/24	275	225	18%	1949	1958	0%
	2024/25	275	229	17%	1949	1935	1%
	2025/26	275	244	11%	1949	1922	1%
North Leamington	2021/22	360	333	8%	2520	2332	7%
	2022/23	360	343	5%	2520	2359	6%
	2023/24	360	344	4%	2520	2363	6%
	2024/25	360	301	16%	2520	2314	8%
	2025/26	360	323	10%	2520	2280	10%
South Leamington	2021/22	478	459	4%	3136	3189	-2%
	2022/23	478	462	3%	3181	3337	-5%
	2023/24	538	533	1%	3286	3519	-7%
	2024/25	538	513	5%	3391	3683	-9%
	2025/26	538	536	0%	3496	3834	-10%
Radford Semele	2021/22	30	36	-19%	210	258	-23%
	2022/23	30	29	4%	210	251	-20%
	2023/24	30	30	1%	210	244	-16%
	2024/25	30	35	-18%	210	241	-15%
	2025/26	30	31	-4%	210	234	-12%
Southam	2021/22	210	194	8%	1470	1383	6%
	2022/23	210	166	21%	1470	1400	5%
	2023/24	210	186	11%	1470	1425	3%
	2024/25	210	183	13%	1470	1422	3%
	2025/26	210	183	13%	1470	1403	5%
Napton	2021/22	38	34	9%	266	284	-7%
	2022/23	38	32	15%	266	274	-3%
	2023/24	38	30	20%	266	264	1%
	2024/25	38	31	19%	266	268	-1%
	2025/26	38	35	8%	266	266	0%
Warwick	2021/22	380	342	10%	2660	2508	6%
	2022/23	380	344	10%	2660	2525	5%
	2023/24	380	346	9%	2660	2490	6%
	2024/25	380	345	9%	2660	2462	7%
	2025/26	380	339	11%	2660	2439	8%

7.1.2. Planning areas with forecast pressure

- South Leamington primary planning area is forecast to have sufficient capacity in Reception over the next five years, taking into account the additional 60 places provided from 2023 by the new school in the area. Total forecast pupil numbers, however, indicate a deficit of in-year places in the other year groups. These will be provided where necessary using the forecast capacity in neighbouring Warwick and Stratford District planning areas.

- Radford Semele primary planning area is currently forecast to have a pressure on places in all year groups from the 2021 academic year onwards, this is primarily as a result of housing development. Surplus pupils will be accommodated in the neighbouring North or South Leamington planning areas as required.

- Napton primary planning area is forecast to have some in-year pressure in 2021 and 2022, which neighbouring planning areas are expected to accommodate as required.

7.2. Secondary

7.2.1. Pupil forecasts

Planning Area	Academic Year	Year 7 Places Available - PAN	Year 7 Forecast Pupil Numbers	Available Intake Capacity	Total Places Available	Total Forecast Pupil Numbers	Available Total Capacity
Warwick and Leamington	2021/22	1081	1096	-1%	5405	5050	7%
	2022/23	1051	1166	-11%	5255	5377	-2%
	2023/24	1231	1253	-2%	5315	5735	-8%
	2024/25	1231	1177	4%	5525	5919	-7%
	2025/26	1231	1176	4%	5735	6024	-5%
	2026/27	1231	1247	-1%	5945	6125	-3%
	2027/28	1231	1167	5%	6155	6095	1%
Kenilworth	2021/22	270	311	-15%	1350	1467	-9%
	2022/23	270	305	-13%	1350	1517	-12%
	2023/24	330	299	9%	1470	1532	-4%
	2024/25	330	336	-2%	1530	1570	-3%
	2025/26	330	336	-2%	1590	1628	-2%
	2026/27	330	336	-2%	1650	1653	0%
	2027/28	330	329	0%	1650	1672	-1%
Southam	2021/22	270	266	2%	1350	1352	0%
	2022/23	270	274	-2%	1350	1362	-1%
	2023/24	270	272	-1%	1350	1359	-1%
	2024/25	270	275	-2%	1350	1368	-1%
	2025/26	270	274	-2%	1350	1370	-1%
	2026/27	270	272	-1%	1350	1366	-1%
	2027/28	270	270	0%	1350	1348	0%

7.2.2. Planning areas with forecast pressure

- Prior to the opening of a new All-Through school planned for South Leamington, expected in September 2023, there is a deficit of places at Year 7 forecast for 2022 in the Warwick and Leamington planning area. Bulge classes have been agreed at existing schools in the area for September 2022 entry.

- The Kenilworth planning area is currently forecast to be over capacity from 2021 until its expansion in 2023 owing to increasing primary cohorts and the popularity of the school with pupils from outside the area. Surplus pupils are expected to be accommodated in schools in the north of neighbouring Warwick and Leamington planning area, where necessary.

- Southam planning area is forecast to experience a deficit in Year 7 places from 2021 onwards. Southam College is popular with families resident in the wider Leamington area. It is expected that as local cohorts increase those pupils from the wider area pupils will be accommodated at schools in their resident, neighbouring planning areas.

8. Forecasts and commentary - South Warwickshire

8.1. Primary

8.1.1. Pupil forecasts

Planning Area	Academic Year	Reception Places Available - PAN	Reception Forecast Pupil Numbers	Available Intake Capacity	Total Places Available	Total Forecast Pupil Numbers	Available Total Capacity
Alcester	2021/22	131	106	19%	917	841	8%
	2022/23	131	96	27%	917	836	9%
	2023/24	131	99	24%	917	832	9%
	2024/25	131	104	21%	917	822	10%
	2025/26	131	102	22%	917	792	14%
Bidford	2021/22	90	89	1%	630	614	3%
	2022/23	90	72	21%	630	611	3%
	2023/24	90	97	-8%	630	619	2%
	2024/25	90	76	16%	630	602	4%
	2025/26	90	81	10%	630	587	7%

Planning Area	Academic Year	Reception Places Available - PAN	Reception Forecast Pupil Numbers	Available Intake Capacity	Total Places Available	Total Forecast Pupil Numbers	Available Total Capacity
Henley	2021/22	57	37	36%	399	318	20%
	2022/23	57	38	33%	399	296	26%
	2023/24	57	38	34%	399	287	28%
	2024/25	57	41	27%	399	283	29%
	2025/26	57	39	31%	399	277	30%
Tanworth	2021/22	30	23	23%	210	192	9%
	2022/23	30	30	0%	210	195	7%
	2023/24	30	26	14%	210	189	10%
	2024/25	30	27	9%	210	188	10%
	2025/26	30	29	5%	210	185	12%
Claverdon	2021/22	30	25	16%	210	199	5%
	2022/23	30	30	-1%	210	206	2%
	2023/24	30	20	34%	210	197	6%
	2024/25	30	25	17%	210	194	8%
	2025/26	30	25	16%	210	194	7%
Kineton	2021/22	118	113	5%	826	784	5%
	2022/23	118	115	2%	826	824	0%
	2023/24	118	130	-10%	826	873	-6%
	2024/25	118	123	-4%	826	910	-10%
	2025/26	118	137	-16%	826	969	-17%
The Dassett	2021/22	45	25	45%	315	208	34%
	2022/23	45	30	33%	315	206	35%
	2023/24	45	28	38%	315	202	36%
	2024/25	45	34	24%	315	219	31%
	2025/26	45	39	13%	315	237	25%
Ettington	2021/22	30	30	0%	210	207	2%
	2022/23	30	27	9%	210	207	1%
	2023/24	30	20	33%	210	201	4%
	2024/25	30	24	19%	210	195	7%
	2025/26	30	25	18%	210	190	9%
Tysoe	2021/22	30	21	31%	210	115	45%
	2022/23	30	19	38%	210	121	43%
	2023/24	30	12	61%	210	110	47%
	2024/25	30	13	57%	210	107	49%
	2025/26	30	14	52%	210	106	50%
Ilmington	2021/22	15	18	-18%	105	116	-10%
	2022/23	15	16	-6%	105	116	-10%
	2023/24	15	16	-6%	105	114	-9%
	2024/25	15	16	-6%	105	114	-9%
	2025/26	15	16	-6%	105	115	-9%

Planning Area	Academic Year	Reception Places Available - PAN	Reception Forecast Pupil Numbers	Available Intake Capacity	Total Places Available	Total Forecast Pupil Numbers	Available Total Capacity
Welford	2021/22	30	27	11%	210	228	-8%
	2022/23	30	35	-18%	210	230	-10%
	2023/24	30	20	33%	210	219	-4%
	2024/25	30	29	3%	210	219	-4%
	2025/26	30	30	1%	210	218	-4%
Shipston	2021/22	75	70	6%	525	532	-1%
	2022/23	75	61	19%	525	514	2%
	2023/24	75	51	32%	525	493	6%
	2024/25	75	58	22%	525	469	11%
	2025/26	75	57	24%	525	459	13%
Stratford Town	2021/22	345	303	12%	2415	2186	9%
	2022/23	345	279	19%	2415	2219	8%
	2023/24	345	296	14%	2415	2280	6%
	2024/25	345	279	19%	2415	2327	4%
	2025/26	345	309	10%	2415	2389	1%
Stratford Rural	2021/22	97	90	7%	679	602	11%
	2022/23	97	84	14%	679	606	11%
	2023/24	97	72	26%	679	589	13%
	2024/25	97	65	33%	679	561	17%
	2025/26	97	73	24%	679	551	19%
Studley	2021/22	107	94	12%	749	682	9%
	2022/23	107	83	22%	749	661	12%
	2023/24	107	85	21%	749	639	15%
	2024/25	107	84	21%	749	634	15%
	2025/26	107	84	21%	749	629	16%
Compton and Brailes	2021/22	25	22	12%	175	159	9%
	2022/23	25	19	25%	175	155	12%
	2023/24	25	17	34%	175	153	13%
	2024/25	25	20	20%	175	142	19%
	2025/26	25	18	28%	175	142	19%
Warwick Rural	2021/22	60	46	24%	420	368	12%
	2022/23	60	48	21%	420	360	14%
	2023/24	60	46	23%	420	346	18%
	2024/25	60	36	39%	420	335	20%
	2025/26	60	43	28%	420	318	24%
Quinton	2021/22	60	61	-2%	420	334	20%
	2022/23	60	68	-13%	420	401	5%
	2023/24	90	74	18%	630	461	27%
	2024/25	90	95	-6%	630	536	15%
	2025/26	90	87	3%	630	583	8%

8.1.2. Planning areas with forecast pressure

- The majority of primary planning areas across South Warwickshire are expected to have sufficient capacity to accommodate the need in the area. Some areas may have very slight pressures for both Reception entry and overall. This will be closely monitored as the academic year progresses.

- In Kineton primary planning area there is currently forecast to be a slight pressure on Reception and overall capacity from September 2023, increasing towards the end of the current forecast period. This is due to the expected build out of housing development at Gaydon Lighthorne Heath. This will be monitored, and options reviewed to provide additional accommodation at the existing Lighthorne Heath Primary School, prior to the relocation and expansion of the school towards the end of the current forecast period as part of the development.

- The Ilmington primary planning area is expected to have slight pressure on both Reception and overall capacity moving forward, it expected sufficient capacity will be available to accommodate this demand in the neighbouring Quinton and Stratford Town primary planning areas.

- It is proposed Tudor Grange Academy, Meon Vale will increase reception intakes from September 2023 to accommodate additional demand in the Quinton primary planning area.

- Welford primary planning area is expected to have slight pressure on Reception and overall capacity moving forward, it expected sufficient capacity will be available to accommodate this demand in the neighbouring Quinton and Shipston primary planning areas.

8.2. Secondary

8.2.1. Pupil forecasts

Planning Area	Academic Year	Year 7 Places Available - PAN	Year 7 Forecast Pupil Numbers	Available Intake Capacity	Total Places Available	Total Forecast Pupil Numbers	Available Total Capacity
Alcester and Studley	2021/22	570	567	1%	2850	2860	0%
	2022/23	550	581	-6%	2830	2932	-4%
	2023/24	550	586	-7%	2810	2991	-6%
	2024/25	550	591	-7%	2790	2989	-7%
	2025/26	550	607	-10%	2770	2995	-8%
	2026/27	550	589	-7%	2750	3014	-10%
	2027/28	550	595	-8%	2750	3028	-10%

Planning Area	Academic Year	Year 7 Places Available - PAN	Year 7 Forecast Pupil Numbers	Available Intake Capacity	Total Places Available	Total Forecast Pupil Numbers	Available Total Capacity
Henley	2021/22	140	140	0%	700	689	2%
	2022/23	140	140	0%	700	714	-2%
	2023/24	140	140	0%	700	722	-3%
	2024/25	140	140	0%	700	719	-3%
	2025/26	140	140	0%	700	721	-3%
	2026/27	140	140	0%	700	720	-3%
	2027/28	140	140	0%	700	720	-3%
Kineton	2021/22	180	167	7%	900	817	9%
	2022/23	180	180	0%	900	867	4%
	2023/24	180	189	-5%	900	926	-3%
	2024/25	180	190	-6%	900	938	-4%
	2025/26	180	190	-6%	900	977	-9%
	2026/27	180	189	-5%	900	1000	-11%
	2027/28	180	189	-5%	900	1006	-12%
Shipston	2021/22	120	127	-6%	600	657	-9%
	2022/23	120	136	-13%	600	693	-16%
	2023/24	120	134	-11%	600	712	-19%
	2024/25	120	152	-27%	600	740	-23%
	2025/26	120	132	-10%	600	725	-21%
	2026/27	120	141	-17%	600	726	-21%
	2027/28	120	150	-25%	600	728	-21%
Stratford	2021/22	527	506	4%	2635	2473	6%
	2022/23	527	556	-6%	2635	2604	1%
	2023/24	527	566	-7%	2635	2711	-3%
	2024/25	587	565	4%	2755	2788	-1%
	2025/26	587	585	0%	2815	2870	-2%
	2026/27	587	600	-2%	2875	2958	-3%
	2027/28	587	610	-4%	2935	2992	-2%

8.2.2. Planning areas with forecast pressure

- Pupil forecasts for Alcester and Studley planning area currently suggests pressure across the area however this is likely to be centred on Alcester town rather than Studley. Pressure from in-year applications will need to be monitored closely owing to the selective nature of Grammar schools in this area and the popularity of schools in this area with out of county children at Year 7 entry. Future expansion of Alcester Academy may be required as the impact of housing development in the area increases.

- Kineton is forecast to experience a slight shortfall in Year 7 pupil places from 2023. Ultimately this may require expansion of Kineton High School beyond the forecast period to meet this demand.

- The Shipston planning area is currently forecast to be over capacity from 2021 as a result of housing development within the planning area. Bulge classes may be required to accommodate additional pupils ahead of a

permanent 150 place expansion of Shipston High School. Work will be undertaken with Shipston High School to identify the additional accommodation needed to accommodate increase pupil numbers. Longer term a new secondary school is proposed to open beyond the current forecast period as part of Garden Village housing development at Long Marston.

- Stratford upon Avon School will admit an initial 30 additional children to accommodate the local need for places, with additional accomodation delivered for September 2024 that will allow for a further 30 Year 7 places per year providing a total of 300 additional places in the Stratford area. This additional capacity is reflected in the forecasts shown above. Stratford planning area is expected to have continuing pressure on places moving forward, this is due in part to the selective admission arrangements of the Grammar Schools accommodating children from outside of the local area.

9. Special Educational Needs and Disabilities (SEND) Provision

9.1. Introduction

WCC's responsibility for education includes specialist provision for children and young people with Special Educational Needs and Disabilities (SEND). While the majority of pupils with SEND are most appropriately educated within mainstream settings, where this is not the case education can be provided in Special Schools, or Resource Provisions and Specialist Partnerships attached to mainstream schools.

9.1.1.　The Warwickshire SEND & Inclusion Strategy 2019-23, which focusses on the broader direction of SEND & Inclusion provision in Warwickshire, commits Warwickshire to:

- establish more resourced provisions and/or specialist partnerships in mainstream settings, providing a bridge between mainstream and specialist provision, and
- expand state-funded specialist provision where possible.

9.1.2.　WCC has been allocated £2.6m via the Special Provision Fund to provide suitable provision for school aged children with complex needs or an Education, Health and Care (EHC) Plan (EHCP). This fund also extends to EY's and Post 16 and can be used to:

- increase access to mainstream placements
- create additional specialist places
- remodel or improve existing provision.

The WCC SEND Capital Strategy Group (SCSG) has been set up to identify gaps in provision using EHCP and sufficiency data to assess where the funds will be allocated. Funding for new specialist places is also available from developer contributions from new housing (S106 funding).

9.1.3.　It is the stated aim of Warwickshire to increase the proportion of children and young people with SEND that are supported in mainstream settings.

9.1.4.　A list of all state-funded specialist provision currently operating in Warwickshire, with the SEND needs accommodated at each, is provided as Appendix 3.

9.2. Challenges to providing sufficient SEND places

9.2.1.　Specialist provision is not "one size fits all", the individual requirements of each child or young person needs to be accommodated appropriately. This requires specialist places to have flexibility of provision dependant on changing pupil needs.

9.2.2. It is acknowledged that Warwickshire state-funded specialist settings are currently at capacity and under pressure by increasing demand. This is further compounded by identified needs becoming more complex with resulting additional space requirements.

9.3. New specialist places

9.3.1. A new special school (The Warwickshire Academy) is planned to open in January 2022 ultimately offering 80 new specialist places. Four new resourced provisions and specialist partnerships are also opening in 2021/22 offering a further 48 places. The table below sets out existing projects for ensuring sufficiency of specialist placements and proposals under development.

9.3.2. Based on needs identified in pupils with EHCPs Autism Spectrum Disorder is the most prevalent primary need (32%) followed by Social, Emotional and Mental Health needs (24%) and Speech, Language and Communication Needs (15%).

District/ Borough	Name	Phase (Pri/Sec)	Name of Setting	Number of places	Type of need*	Date delivered
North Warwickshire	Coleshill School / Woodlands partnership	Secondary	The Map	10	C & I	Sept 2021
Rugby	Rokeby Primary	Primary	Rokeby (SRP)	7	C & I	Sept 2021
Stratford	Henley in Arden Primary	Primary	The Lodge	14	SEMH	Oct 2021
Rugby	Rugby College / Brooke School partnership	Post 16	The Junction at Rugby College	7	C & L	Sept 2021
Nuneaton & Bedworth	The Warwickshire Academy			80	ASD/SEMH	Jan 2022
Warwick	Oakley Grove School	Pri and Sec	Oakley Grove RP	8 Pri 10-14 Sec	SEMH	Sept 2023

* C & I = Communication and Interaction, SEMH = Social, Emotional & Mental Health, C & L = Cognition and Learning, ASD = Autism Spectrum Disorder

Woodlands School has been successful in attaining a Department for Education (DfE) Condition Improvement Fund grant for 2021 to 2022 for improvement and expansion to the value of £1.44m. This will fund seven supplementary learning spaces along with an additional two storey building with four classrooms creating another 30-40 places.

9.4. Forecasts - Specialist places

9.4.1.   In the 2020/21 academic year, 2% of Warwickshire school-age children (age 4 – 16) attended special schools or resourced provision. Using this figure, the mainstream pupil population forecasts described in Section 4 – 8 of this update have been used to estimate likely changes in the number of specialist places required in the coming years.

 9.4.2. As well as the increased need for specialist places due to population growth addressed below, there is further demand for new state-funded specialist places to accommodate those pupils that currently do not attend school (elective home educated or children missing education), or attend independent providers, as a result of appropriate state-funded specialist provision not currently being available.

 9.4.3. Primary age forecast population-based need:

District / Borough	Approximate additional specialist places required by September 2025
North Warwickshire	-5
Nuneaton & Bedworth	-1
Rugby	-5
Warwick	9
Stratford	6
Warwickshire total	3

- The generally reducing primary age pupil populations in the north and east of the county are likely to result in a decrease in the number of children living in those areas that will require specialist provision.

- The high level of new housing in Warwick District is likely to result in the region of 9 local children requiring primary specialist provision. Section 3 of this report includes details of the new mainstream Oakley Grove school in this area, which will include primary resource provision to help meet this need.

- Increasing primary pupil populations in Stratford District is likely to result in the region of 6 local children requiring primary specialist provision.

Discussions are ongoing with primary schools in the area regarding the potential for new resource provision.

9.4.4. Secondary age forecast population-based need:

District / Borough	Approximate additional specialist places required by September 2027
North Warwickshire	0
Nuneaton & Bedworth	11
Rugby	24
Warwick	25
Stratford	20
Warwickshire total	79

- As for the mainstream pupil forecasts, SEND pupil population growth is more significant at secondary level and is likely to require new resourced provisions and expansions of existing special schools.

- Nuneaton & Bedworth will benefit from the opening of The Warwickshire Academy in January 2022, which is likely to meet the needs of pupils with appropriate SEND requirements in that area as well as from the wider county.

- Rugby Borough and Stratford District are each likely to have approximately 20 more secondary age pupils that require specialist places, by September 2027. Consideration is being given to how this need will be met.

- The high level of new housing in Warwick District is likely to result in the region of 25 local children requiring secondary specialist provision. Section 3 of this report includes details of the new mainstream Oakley Grove school in this area, which will include secondary resource provision to help meet this need.

10.   Sufficiency Statement for Post 16 Provision

10.1.   Introduction

WCC has a duty to ensure sufficiency of post 16 provision across the County. This includes securing sufficient suitable education and training provision for 16 to 18 year olds, and for young people aged 19 to 25 with special educational needs and disabilities for whom an EHCP is maintained. Lists of the Secondary schools in

Warwickshire that operate a sixth form, and the four Colleges that also offer post-16 education in the County, are provided as Appendix 4. There are also a number of post-16 training providers operating across the county, who mainly deliver apprenticeships.

10.2. Forecasts and commentary

There has been a steady increase in ESFA funded places in school sixth forms and the Sixth Form Colleges between 2016/17 and 2020/21. In comparison there has been a decline in the number of funded places in Warwickshire's Further Education colleges. Despite decreases in ESFA funded Post 16 places in FE colleges in Warwickshire they still account for 51% of funded places in 2020/21.

Total ESFA funded Post 16 students in Warwickshire 2020/21:

- School Sixth Forms
- Sixth Form College
- Further Education Colleges
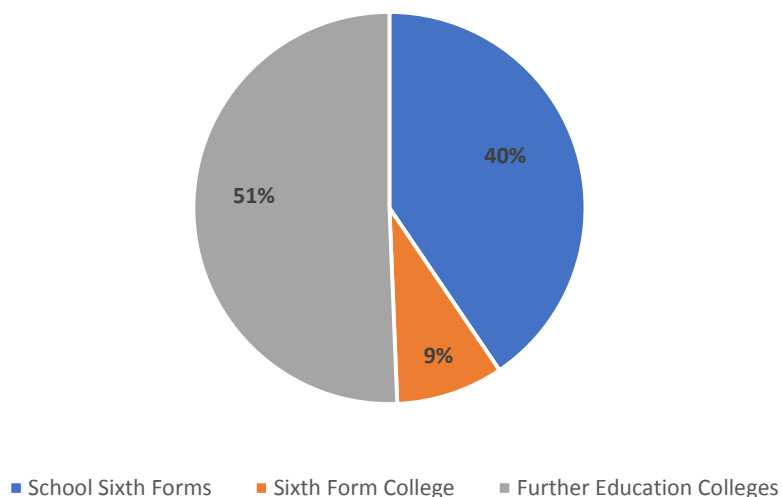
The Secondary school pupil number forecasts described in Sections 4 – 8 of this update have been combined with data regarding previous patterns of transition from school to schools' sixth forms, to produce estimated school sixth form pupil populations in each District or Borough, as shown in the table below.

School Sixth Form Pupil Forecasts 2021/22

District / Borough	Academic Year	Total Capacity	Total Forecast Y12 & Y13	Available Capacity (4% target)
North Warwickshire	620	553	11%	620
	620	553	11%	620
	620	535	14%	620
	620	532	14%	620
	620	517	17%	620

	620	505	19%	620
	620	497	20%	620
Nuneaton and Bedworth	2021/22	1094	879	20%
	2022/23	1094	865	21%
	2023/24	1094	901	18%
	2024/25	1094	954	13%
	2025/26	1094	944	14%
	2026/27	1094	946	14%
	2027/28	1094	971	11%
Rugby	2021/22	1730	1483	14%
	2022/23	1730	1365	21%
	2023/24	1730	1401	19%
	2024/25	1730	1432	17%
	2025/26	1730	1483	14%
	2026/27	1730	1534	11%
	2027/28	1730	1597	8%
Warwick	2021/22	1987	1801	9%
	2022/23	1987	1725	13%
	2023/24	2097	1735	17%
	2024/25	2097	1815	13%
	2025/26	2097	1858	11%
	2026/27	2097	1905	9%
	2027/28	2097	1953	7%
Stratford	2021/22	1790	1577	**12%**
	2022/23	1790	1482	**17%**
	2023/24	1790	1542	**14%**
	2024/25	1790	1700	**5%**
	2025/26	1790	1809	-1%
	2026/27	1790	1811	-1%
	2027/28	1790	1830	-2%

As shown in the table above, Warwickshire is forecast to have sufficient capacity in school sixth forms to meet the current expected demand across all areas.

Warwickshire's only sixth form college, King Edwards VI College, has consulted with WCC and stakeholders to expand their number to accommodate the growth in population in the Nuneaton and Bedworth area. As an academy King Edwards VI College is required to submit a business case to the Education Funding Skills Association, via the Regional Schools Commissioner, if their numbers are to grow by 50 or more students. The outcome of this is currently unknown.

The number of students accommodated in FE colleges is similar to that in school sixth forms. Taking into account the trend towards school sixth forms and away from FE Colleges, it is expected that the current capacity of FE Colleges will remain sufficient to meet demand.

WCC will work alongside schools, colleges and other partners to ensure Warwickshire is well placed to provide a range of qualifications to young people.

11. Appendix 1 – Primary Planning Areas
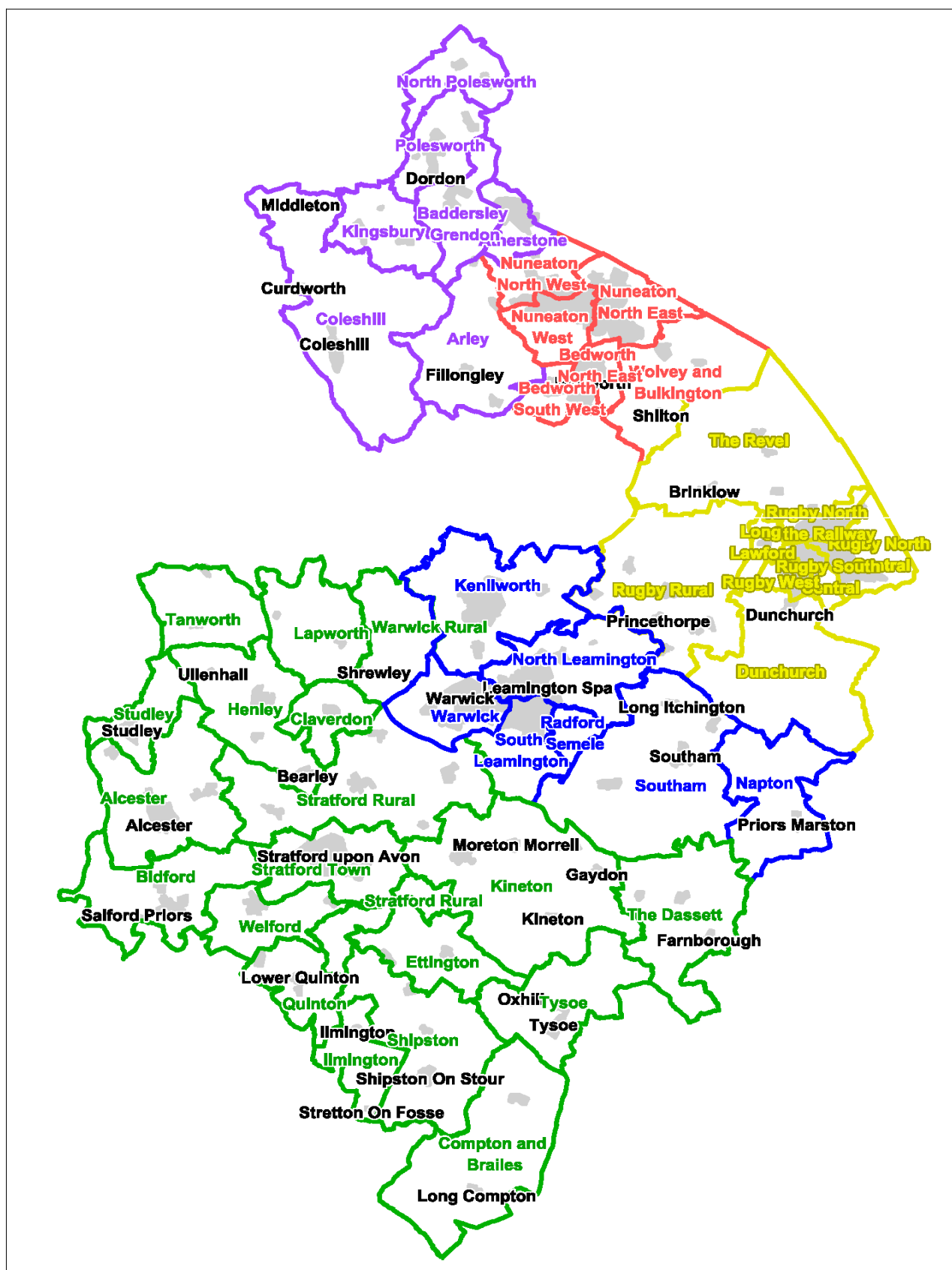
Primary Planning Area	Schools
Arley	Arley Primary School
	Bournebrook CofE Primary School
Atherstone	Outwoods Primary School
	Racemeadow Primary Academy
	St Benedict's Catholic Primary Academy
Baddesley Grendon	Woodside CofE Primary School
Coleshill	Coleshill CofE Primary School
	Curdworth Primary School
	High Meadow Community School
	St Edward's Catholic Primary School
	Shustoke CofE Primary School
	Water Orton Primary School
North Polesworth	Austrey CofE Primary School
	Newton Regis CofE Primary School
Polesworth	Birchwood Primary School
	Dordon Primary School
	The Nethersole CofE Academy
	Warton Nethersole's CofE Primary School
Kingsbury	Hurley Primary School
	Kingsbury Primary School
	Wood End Primary School
Bedworth North East	All Saints Bedworth CofE Academy
	The Canons CofE Primary School
	Race Leys Infant School
	Race Leys Junior School
	St Francis Catholic Academy
	St Michael's CofE Academy
Bedworth South West	Exhall Cedars Infant School
	Goodyers End Primary School
	Keresley Newland Primary Academy
	Newdigate Primary School
	Exhall Junior School (formerly St Giles)
	Wheelwright Lane Primary School
Wolvey and Bulkington	Arden Forest Infant School
	St James' CofE Academy
	Wolvey CofE Primary School
Nuneaton North West	Camp Hill Primary School
	Galley Common Infant School
	Michael Drayton Junior School
	Nathaniel Newton Infant School
	Nursery Hill Primary School
	St Anne's Catholic Academy

Primary Planning Area	Schools
Nuneaton West	Park Lane Primary School
	Abbey CofE Infant School
	Chilvers Coton Community Infant School
	Croft Junior School
	Glendale Infant School
	Middlemarch School
	Queen's CofE Academy
	St Paul's CofE Primary School
	Stockingford Academy
Nuneaton North East	All Saints CofE Primary School
	Chetwynd Junior School
	Lower Farm Academy
	Milby Primary School
	Our Lady & St. Joseph Catholic Academy
	St Joseph's Catholic Primary School
	St Nicolas CofE Academy
	Weddington Primary School
	Wembrook Primary School
	Whitestone Infant School
Rugby North of the Railway	Boughton Leigh Infant School
	Boughton Leigh Junior School
	Brownsover Community Infant School
	Riverside Academy
	Rugby Free Primary School
Rugby North Central	Abbots Farm Infant School
	Abbots Farm Junior School
	Eastlands Primary School
	English Martyrs Catholic Primary School
	Hillmorton Primary School
	Northlands Primary School
	Paddox Primary School
	St Andrew's Benn CofE Primary School
	St Gabriel's CofE Academy
	Clifton-upon-Dunsmore CofE Primary School
Rugby South Central	Oakfield Primary Academy
	Rokeby Primary School
	St Marie's Catholic Primary School
	St Matthew's Bloxam CofE Primary School
	St Oswald's CofE Academy

Primary Planning Area	Schools
Rugby West	Bawnmore Community Infant School
	Bilton Infant School
	Bilton CofE Junior School
	Cawston Grange Primary School
	Henry Hinde Infant School
	Henry Hinde Junior School
Dunchurch	Dunchurch Infant School
	Dunchurch Boughton CofE Junior School
	Leamington Hastings CofE Academy
Rugby Rural	Binley Woods Primary School
	Knightlow CofE Primary School
	Our Lady's Catholic Primary School
	Provost Williams CofE Primary School
	Wolston St Margaret's CofE Primary School
The Revel	The Revel CofE Primary School
Long Lawford	Long Lawford Primary School
Kenilworth	All Saints' CofE Academy
	Burton Green CofE Academy
	Clinton Primary School
	Park Hill Junior School
	Priors Field Primary School
	St Augustine's Catholic Primary School
	St John's Primary School
	St Nicholas CofE Primary School
	Thorns Community Infant School
North Leamington	Brookhurst Primary School
	Cubbington CofE Primary School
	Lillington Primary School
	Milverton Primary School
	Our Lady and St Teresa's Catholic Primary School
	St Paul's CofE Primary School
	St Peter's Catholic Primary School
	Telford Infant School
	Telford Junior School

Primary Planning Area	Schools
South Leamington	Bishops Tachbrook CofE Primary School
	Briar Hill Infant School
	Clapham Terrace Community Primary School
	Heathcote Primary School
	Kingsway Community Primary School
	Shrubland Street Community Primary School
	St Anthony's Catholic Primary School
	St Joseph's Catholic Primary School
	St Margaret's CofE Junior School
	St Patrick's Catholic Primary School
	Sydenham Primary School
	Whitnash Primary School
Radford Semele	Radford Semele CofE Primary School
Southam	Bishops Itchington Primary School
	Harbury CofE Primary School
	Long Itchington CofE Academy
	Southam Primary School
	Southam St James CofE Academy
	St Mary's Catholic Primary School
	Stockton Primary School
Napton	St Lawrence CofE Primary School
	The Priors School
Warwick	All Saints' CofE Junior School
	Aylesford School (Primary)
	Budbrooke Primary School
	Coten End Primary School
	Emscote Infant School
	Newburgh Primary School
	St Mary Immaculate Catholic Primary School
	Westgate Primary School
	Woodloes Primary School
Alcester	Coughton CofE Primary School
	Great Alne Primary School
	Tudor Grange Primary Academy, Haselor
	Our Lady's Catholic Primary School
	St Nicholas' CofE Primary School
Bidford	Bidford-On-Avon CofE Primary School
	Dunnington CofE Primary School
	Salford Priors CofE Academy
	Temple Grafton CofE Primary School
Claverdon	Claverdon Primary School

Primary Planning Area	Schools
Henley	Henley-in-Arden CofE Primary School
	St Mary's Catholic Primary School
	Wootton Wawen CofE Primary School
Tanworth	Tanworth-in-Arden CofE Primary School
The Dassett	The Dassett CofE Primary School
	Temple Herdewyke Primary School
Ettington	Ettington CofE Primary School
Kineton	Kineton CofE Primary School
	Lighthorne Heath Primary School
	Moreton Morrell CofE Primary School
	Wellesbourne CofE Primary School
Tysoe	Tysoe CofE Primary School
Compton and Brailes	Acorns Primary School
	Brailes CofE Primary School
Ilmington	Ilmington CofE Primary School
Quinton	Quinton Primary School
	Tudor Grange Primary Academy, Meon Vale
Shipston	Newbold and Tredington CofE Primary School
	Shipston-on-Stour Primary School
Stratford Rural	Barford St Peter's CofE Primary School
	Hampton Lucy CofE Primary School
	Loxley CofE Community Primary School
	Snitterfield Primary School
	Wilmcote CofE Primary School
	Wolverton Primary School
Stratford Town	Alveston CofE Primary School
	Bishopton Primary School
	Bridgetown Primary School
	Shottery St Andrew's CofE Primary School
	St Gregory's Catholic Primary School
	Stratford-upon-Avon Primary School
	Thomas Jolyffe Primary School
	Holy Trinity CofE Primary School (formerly The Willows)
Welford	Welford-on-Avon Primary School
Studley	Mappleborough Green CofE Primary School
	St Mary's Catholic Primary School
	Studley St Mary's CofE Academy
	Studley Infants' School
Warwick Rural	The Ferncumbe CofE Primary School
	Lapworth CofE Primary School

12. Appendix 2 – Secondary Planning Areas

Secondary Planning Area	Schools
Atherstone	The Queen Elizabeth Academy
Coleshill	The Coleshill School
Kingsbury	Kingsbury School
Polesworth	The Polesworth School
Bedworth	Ash Green School
	Nicholas Chamberlaine School
Hartshill	Hartshill School
Nuneaton	Etone College
	Higham Lane School
	St Thomas More Catholic School
	The George Eliot School
	The Nuneaton Academy
Rugby South	Ashlawn School
	Bilton School
	Harris Church of England Academy
	Lawrence Sheriff School
	Rugby High School
	Rugby Free Secondary School
	Houlton School*
Rugby North	The Avon Valley School
Warwick and Leamington	Aylesford School
	Campion School
	Myton School
	North Leamington School
	Trinity Catholic School
Kenilworth	Kenilworth School
Southam	Southam College
Alcester and Studley	Alcester Academy
	Alcester Grammar School
	St Benedict's Catholic High School
	Studley High School
Henley In Arden	Henley In Arden School
Kineton	Kineton High School
Shipston	Shipston High School
Stratford	King Edward VI School
	Stratford Girls' Grammar School
	Stratford Upon Avon School

* Houlton School is technically located in the current Rugby North Secondary Planning Area, but is more accurately included in forecasts for Rugby South.

13. Appendix 3 – Current Specialist SEND providers

Places at all the below settings require pupils to have an EHCP and for the placement to be agreed by the Local Authority Provision Panel.

C and I = Communication and Interaction
SEMH = Social, Emotional and Mental Health
ASC = Autistic Spectrum Condition

Resourced Provision	School	Town	Year Groups	Type of Need	Number of places
The Harbour	Studley Infant School	Studley	Year groups 1-2	C and I	8
The Brambles	Paddox Primary School	Rugby	Year groups 1-2	SEMH	10
Bluebells	Outwoods School	Atherstone	Year groups 1-6	C and I	8
Cressview	Welford on Avon Primary School	Welford on Avon	Year groups 1-6	C and I	8
Evergreen	Water Orton Primary School	Water Orton	Year groups 1-6	C and I	8
The Haven	Stockingford School	Nuneaton	Year groups 1-6	C and I	8
Maple Class	Lillington Primary School	Leamington Spa	Year groups 3-6	C and I	8
The Bridge	Middlemarch School	Nuneaton	Year groups 3-6	C and I	8
The Launchpad	Boughton Leigh Junior School	Rugby	Year groups 3-6	C and I	8
Peter's Place	Trinity Catholic School	Leamington Spa	Year groups 7-11	C and I	

State-funded special schools and academies	Town	Year Groups	Type of Need	Number of places
Brooke School	Rugby	YR - Y14	Generic - one key stage learning level below age expectation	209

Welcombe Hills School	Stratford-Upon-Avon	YR - Y14	Generic - one key stage learning level below age expectation	
Oak Wood Primary School	Nuneaton	YR - Y6	Generic - one key stage learning level below age expectation	140
Oak Wood Secondary School	Nuneaton	Y7 - Y14	Generic - one key stage learning level below age expectation	170
Woodlands School	Coleshill	YR - Y14	Generic - one key stage learning level below age expectation	170
Evergreen School	Warwick	YR - Y14	Generic - one key stage learning level below age expectation	275
Exhall Grange Specialist School	Ash Green	YR - Y14	Generic - can access mainstream curriculum	250

Discovery Academy	Nuneaton	Y5 - Y14	ASC or SEMH	95
Venture Academy	Henley-in-Arden	Y5 - Y11	SEMH or ASC	50
Quest Academy	Rugby	Y3 - Y14	ASC or SEMH	100

Specialist Partnerships	Town	Phase	Year Groups	Type of Need	Number of places
Harris Brooke Partnership	Rugby			Generic	
Exhall Grange Learning Pod	Ash Green			Generic	8

14.   Appendix 4 – Summary of 16-18 education providers

Post 16 Education provision in Schools

In recent years the location and supply of school sixth form provision in Warwickshire has remained largely unchanged. Schools set their own sixth form admissions criteria, manage their own sixth form admissions and the level and number of courses on offer.

School Name	Sixth Form PAN 2021*	Inspection Date	Ofsted Rating	Secondary Planning Area
Alcester Grammar School (Selective School)	270			Alcester and Studley
Ash Green School	75	29-03-2017	Good	Bedworth
Ashlawn School	189.5	28-11-2013	Outstanding	Rugby South
Aylesford School Warwick	125	18-04-2018	Good	Warwick
Bilton School	100	02-10-2019	Serious Weaknesses	Rugby South
Campion School	50	13-03-2018	Good	Warwick and Leamington
Etone College	125.5	01-02-2017	Good	Nuneaton
Higham Lane School	150	02-05-2019	Outstanding	Nuneaton
Houlton School (new school opened 01/09/2021)	0			Rugby South
Kenilworth School and Sixth Form	220			Kenilworth
Kineton High School	95			Kineton
King Edward VI School (Selective School)	160			Stratford
Lawrence Sheriff School (Selective School)	190			Rugby South
Myton School	163.5	07-02-2018	Good	Warwick and Leamington
Nicholas Chamberlaine School	46.5	14-11-2019	Requires improvement	Bedworth
North Leamington School	150	25-09-2019	Good	Warwick and Leamington
Rugby Free Secondary School	210	30/03/2021	Inadequate	Rugby South
Rugby High School (Selective School)	150			Rugby South
Southam College	150			Southam
St Benedict's Catholic High School	100	04-03-2020	Requires improvement	Alcester and Studley
St Thomas More Catholic School and Sixth Form College	150	10-01-2018	Good	Nuneaton

Stratford Girls' Grammar School (Selective School)	125				Stratford
Stratford Upon Avon School	145	27-11-2019	Good		Stratford
The Coleshill School	150	04-03-2020	Good		Coleshill
The Polesworth School	160	12-03-2015	Outstanding		Polesworth
Trinity Catholic School	135				Warwick and Leamington

* approximate intake at Year 12, based on 50% of total sixth form capacity.

Post 16 Education provision in Colleges

The Post 16 sector within the county also includes three Further Education Colleges and one Sixth Form College. The colleges offer a broad range of qualifications and subject areas.

College Name	Ofsted Rating	Last Full Inspection
WCG	Good	13/03/18
North Warwickshire and South Leicestershire College	Good	24/09/19
Stratford upon Avon College (merged with Solihull College and University Centre)	No full inspection has taken place since merger	
King Edward VI Sixth Form College	No inspection has taken place since becoming an academy	

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Agenda Item 7

Cabinet

07 December 2021

Outdoor Education and Learning Strategy

Recommendations

That Cabinet:

1. considers the recommendations made by Children and Young People Overview and Scrutiny Committee at its meeting on 16th November 2021 (attached as appendix 1); and

2. approves Warwickshire County Council's Outdoor Education and Learning Strategy (attached as appendix 2).

1.0   Key Issues

1.1   In November 2020, Cabinet supported the development of an Outdoor Education and Learning Strategy.

1.2   Warwickshire County Council recognises the value and positive impact the 'outdoors' has on children and young people's development. Outdoor learning experiences contribute to personal growth and social awareness and develops skills for life and the world of work.

1.3   Outdoor education and learning is more than the use of one facility or approach, it is about engaging in a wide spectrum of experiences and providing opportunities for children and young people to participate in activities to develop skills from early years into adulthood.

1.4   The Covid pandemic with the many lockdowns and restrictions in social contact has had an impact on our children and young people. At the same time among the population there has been a greater appreciation of outdoor space for exercise, leisure, health and well-being. The post-covid pandemic recovery period brings an opportunity to strengthen our support to education providers delivering outdoor education and learning to children and young people in Warwickshire.

2.0 Options and Proposal

2.1 The strategy intends to develop an approach to outdoor education and learning which is both sustainable and relevant in a post-covid pandemic environment.

2.2 The purpose of the strategy is to support our wider education system to confidently deliver and/or access a range of outdoor opportunities, with the aim that all children and young people in Warwickshire can engage with high quality outdoor education and learning, appropriate for their age, ability and experience, throughout their development journey.

2.3 We recognise the role of education providers to plan, deliver and embed the use of the outdoors in their learning activities for children and young people.

2.4 The strategy identifies how we will work with early years, schools, post-16 and other education and skills settings to promote, support and embed a culture of continual access to outdoor education and learning in an integrated and sustained way.

2.5 The following engagement activities took place during the development phase of the strategy: -
   - detailed desktop research was conducted and identified an evidence-base of national approach and best practice;
   - engagement with education settings (0-25) across Warwickshire via an on-line survey and dedicated focus group meetings, and;
   - a multi-disciplinary officer group (with contributions from Country Parks, Education, Fire & Rescue, Forestry and national sector leading bodies).

2.6 The engagement activities provided an understanding of education settings' pre-covid outdoor education and learning offer, the challenges faced, and how Warwickshire County Council might assist settings in enhancing their offer.

2.7 Feedback from education settings tells us that they already effectively plan for and engage in activities that enable high quality outdoor education and learning to happen, and that there are a variety of providers offering valuable outdoor learning venues, activities and experiences for children and young people. When considering the planning of outdoor activities, some settings indicated that training may be required by their lead staff.

2.8 Education settings indicated the support they would most value from Warwickshire County Council would be:

- an online directory of outdoor education and learning venues and providers,
- a website or dedicated webpages providing or signposting information about outdoor education and learning,
- the offer or signposting of training for Leads of Outdoor Education and Learning,
- facilitating relationships with local providers of outdoor activities venues.

2.9 The objectives set out in the Strategy arise from the evidence base and feedback received from stakeholders and outline what we will do to promote, support and enable the delivery of outdoor education and learning.

2.10 The strategy will be supported by a Delivery Plan detailing how we will achieve the objectives and identify how we will measure the impact of the strategy.

2.11 We recognise that measuring the impact of outdoor-learning on the lives of children and young people is complex and through the Delivery Plan we will seek to establish base-line data.

2.12 The proposed measures of success include:
Education leaders report:

- they have engaged with the support available to them through the strategy,
- they feel better equipped to deliver outdoor education and learning,
- they have strengthened their outdoor education and learning offer,
- children and young people, including disadvantaged children are developing the skills they need to flourish in life through the outdoor education and learning opportunities education settings provide,
- children and young people have the opportunity to be heard and their views contribute to developing outdoor learning.

Children and young people report:

- they have increasing opportunities to learn outdoors,
- they have increased positive experiences from engaging in outdoor activities and opportunities.

2.13 Our intention is to review the strategy in 2024/2025 to take account of the learning and progress against the Delivery Plan.

3.0   Member Engagement

3.1   Two cross-party Member working groups supported the development of the Strategy.

3.2   The first group was formed in December 2020 and met three times, providing valuable feedback and contributions. The second group was formed in September 2021 and have also met three times, this group provided feedback and considered outdoor provision for disadvantaged pupils. The final draft version of the strategy incorporates both working groups' contributions.

3.3   The draft strategy was presented to Children and YoungPeople's Overview and Scrutiny Committee on 16 November 2021. Members welcomed the strategy and passed the following three resolutions:

> 1. Requests that in approving the strategy, Cabinet acknowledges its high priority.
>
> 2. Requests that a performance report that sets out progress against the strategy's objectives be produced annually for consideration by the Overview and Scrutiny Committee.
>
> 3. Requests that officers identify ways in which the strategy can be made more concise.

3.4   Resolution two will be considered by the Overview and Scrutiny Committee through the setting of its future work programme. Resolution three has already been addressed. The draft presented to Cabinet is a more concise version than presented at Overview and Scrutiny Committee.

4.0   Financial Implications

4.1   It is not anticipated that the delivery of the strategy will create significant revenue funding implications for the Council however any implications arising will be considered through the MTFS process as necessary.

5.0   Environmental Implications

5.1   None directly. The strategy will support raising awareness about climate change.

6.0 Timescales associated with the decision and next steps

6.1 Subject to the decision taken by Cabinet the next steps will be:
- Finalise the Delivery Plan
- Put in place arrangements for implementing and monitoring the Delivery Plan.
- Launch, promote and distribute the strategy to education settings and stakeholders during the Spring term.

Appendix

1. Link to the minutes of the Children and Young People Overview and Scrutiny Committee held on 16th November 2021:https://democracy.warwickshire.gov.uk/documents/g3249/Printed%20minutes%20Tuesday%2016-Nov-2021%2010.00%20Children%20Young%20People%20Overview%20and%20Scrutiny%20Committee.pdf?T=1

2. Draft Warwickshire's Outdoor Education & Learning Strategy.

Supporting Documents

1. Report to Children and Young People Overview and Scrutiny Committee held on 16TH November 2021 https://democracy.warwickshire.gov.uk/ieListDocuments.aspx?CId=269&MId=3249&Ver=4

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

Local Member(s): N/A
Other members: N/A

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WARWICKSHIRE COUNTY COUNCIL
OUTDOOR EDUCATION & LEARNING STRATEGY 2022

OUTDOOR ADVENTURES

Warwickshire County Council

Foreword

Welcome to Warwickshire County Council's (WCC) Outdoor Education and Learning Strategy.

For this strategy, WCC defines Outdoor Education and Learning as:
"Learning through purposeful activities, experiences or challenges which predominantly take place outdoors and are organised by an education setting".

WCC values the education and learning that takes place outdoors and how making connections between nature, people, learning, and skills is a key element of how children and young people learn and develop.

WCC want all children and young people in Warwickshire to have the opportunity to access the experiences that are best for their development throughout their education journey and beyond.

With the emphasis on and promotion of outdoor education and learning through this strategy, WCC are seeking to encourage and further equip education providers as they deliver the environmental context for our children.

Our Vision and Approach

WCC's ambition is for all children and young people to have access to and enjoy high-quality outdoor education and learning.

This strategy identifies how WCC will work with education settings (0-25) to promote and embed a culture of outdoor activities and challenges that stimulate learning.

Education settings have told us about their outdoor education and learning, including the challenges faced and their thoughts about how WCC might support and enhance their offer.

The Child Friendly Warwickshire Survey (2021) told us that children and young people want to prioritise improvements to play, leisure and cultural activities and these have become focus areas for Warwickshire's Children and Young People Strategy (2021-2030).

The Outdoor Education and Learning Strategy has natural links to other Warwickshire County Council's strategies namely: Health & Wellbeing, Voluntary & Community Sector, Green Spaces, Climate Change, Children and Young People and our support for Employability and Careers.

WCC's vision is that:

- All children and young people have access to and enjoy high-quality outdoor education and learning, appropriate for their age, ability, and experience.

- Educators value and embed outdoor education and learning in their curriculum planning.

- Education settings provide regular, frequent, enjoyable, and challenging opportunities for all children and young people to learn outdoors.

- A culture of outdoor education and learning is developed within all education settings, raising awareness of the importance of the outdoors for leisure and learning for both children and their families.

Objectives

WCC will:

- encourage and support education settings to deliver their outdoor education and learning by providing information.

- develop an on-line directory of outdoor venues and activity providers who offer high quality outdoor education and learning opportunities.

- signpost online resources useful for the planning and coordination of outdoor education and learning.

- provide an opportunity for education leaders to share best practice and inspire each other and all their children and young people in the pursuit of education and learning outdoors, enabling inclusion.

- survey children and young people and education settings on an annual basis to understand their needs and wants of Outdoor Education and Learning

- establish a collaborative professional development network for Leads of Outdoor Education and Learning/ Educational Visits Co-ordinators and encourage all education settings to make a commitment to actively engage.

- promote access for disadvantaged pupils to outdoor education and learning opportunities by signposting to advice, funding sources and best practice information on promoting inclusion.

- Raise awareness among education leaders of local environmental issues and their relationship to the global climate by strengthening the links between nature, people, learning and skills.

- build on the experience of education providers, to enable the development of local services, facilities and activities, and to strengthen the provision of outdoor education and learning opportunities.

- act as a link between education settings, County, District and Borough Council teams (e.g. those providing outdoor facilities, or who can offer information and support for learning outdoors), as well as wider stakeholders both within and outside of Warwickshire.

- facilitate the provision by the Council and others of lifelong education and learning opportunities outdoors.

Measuring Success

Education leaders report:

- They have engaged with the support available to them through the strategy.

- They feel better equipped to deliver outdoor education and learning.

- They have strengthened their outdoor education and learning offer.

- Children and young people, including disadvantaged pupils, are developing the skills they need to flourish in life through the outdoor education and learning opportunities that they provide.

- Children and young people have the opportunity to be heard and their views contribute to developing outdoor learning.

Children and young people report:

- They have increasing opportunities to learn outdoors.

- They have had increased positive experiences from engaging in outdoor activities and opportunities.

WCC will review the Strategy in 2024/25 and will take into account the learning and progress against the Delivery Plan.

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Cabinet

7 December 2021

Constitution Review

Recommendation(s)

That Cabinet endorses the changes to the Constitution, Contract Standing Orders and Financial Regulations and recommends them to Council for approval

1. Executive Summary

1.1 The Council is required by legislation (s37 Local Government Act 2000) to have a constitution which sets out the governance arrangements by which the Council will operate. The Constitution must contain (a) a copy of the authority's standing orders for the time being, (b) a copy of the authority's code of conduct for the time being, and (c) such other information as the authority considers appropriate.

1.2 Following the commencement of the 2021/22 municipal year officers have undertaken a review of the Constitution with particular concentration on the scheme of delegation, contract standing orders and financial regulations.

1.3 The Constitution provides the basis on which the Council operates and where powers are to be exercised and decisions taken. Contract Standing Orders set out the procedures under which the Council procures (and provides) works, goods and services to ensure that it achieves value for money and social value, that it complies with statutory requirements and that its purchasing is prudently managed and properly controlled. Financial Regulations set out financial roles and responsibilities and provide the framework for financial decision making.

1.4 The existing Constitution, Contract Standing Orders and Financial Regulations are legally compliant. However, there are areas which would benefit from providing greater clarity and updating to ensure the Constitution remains fit for purpose and provides appropriate and robust governance. As a consequence, a number of changes are proposed. These are set out in full in track changes at Appendix 2a (Constitution) and Appendix 2(b) (Contract Standing Orders) to show changes between the existing versions and the proposed updated versions. Appendix 3 constitutes the proposed changes to Financial Regulations. It has not been possible to produce these in redlined format. A summary of the key changes within the main body of the Constitution is provided at Appendix 1 for ease of reference.

2. Key changes to the Constitution

2.1 The key changes within the Constitution are set out in more detail below and summarised in Appendix 1. Overall the proposed changes are intended to ensure that the scheme of delegation is clear, that the Constitution is up to date in terms of its terminology and statutory references and that the Council is able to undertake its business in the most effective and efficient way.

2.2 The proposed changes include

2.2.1 Delegating to officers the ability in consultation with the relevant Portfolio Holder the ability to make applications for grant funding/ external bids where the value of the bid does not exceed £250,000 and the bid does not commit the Council to funding in excess of £50,000 and provided that the match funding can be met from the service's allocated budget, and/or it relates to an approved partnership submission, and/or it relates to a project/activity for which prior member approval has been received. This is to reflect the often short timeframes for external bidding opportunities and will enable the Council to respond more swiftly to such opportunities. Above these thresholds Portfolio Holder approval is still required as currently.

2.2.2 A similar change in relation to responses to external consultations where the response is practical/technical in nature and is not of wider interest. It is proposed that this power will be delegated to officers to be exercised in consultation with the Leader and/or Portfolio Holder and the Chair of the relevant Overview and Scrutiny Committee.

2.2.3 Reflecting on our experiences of the Covid pandemic and the need often during that period to operate decisively and swiftly, a new delegation is proposed, giving power to the Chief Executive, in consultation with the Leader, the Group Leaders and relevant Portfolio Holder to make urgent decisions in emergency situations. In proposing this new power we have considered the approach of a number of other Councils whose Constitutions already contain a similar power. The power is time limited to the period of the emergency and details of use of this power will be included in the Leader's annual report to full council. In addition, the relevant decision making body will be notified at the next appropriate meeting.

2.2.4 The Policy Framework which contains those policies, strategies or plans which must be approved by full Council by law, and such others as the Council decides, has been reviewed and updated to reflect changes in legislation and changes in practice. A new strategy is proposed for inclusion (Warwickshire Children and Young People Strategy) and policies which no longer exist or have been subsumed into other policies or procedures are proposed for deletion to reflect current practice (eg some sub-regional strategies).

2.2.5 A proposed uplift to the delegation to the Strategic Director for Resources in relation to leases and sales/acquisitions of land, given that these levels they have not been updated for a number of years. The proposal is that the Strategic Director for Resources may grant or take on leases up to £35,000 per annum (currently £25,000 per annum) based upon an RPI uplift calculation and may authorise sales at market value or purchases where the consideration is no greater than £250,000 (currently£100,000). This reflects the realities of land values and the need to move in an agile way to deliver the Council's place agenda. Consequent changes have been made to the Portfolio Holder levels.

2.2.6 There have been a small number of uplifts to financial limits regarding write offs (raising the Strategic Director for Resources' limit from £2,000 to £3,000 and Strategic Directors from £1,000 to £2,000) with corresponding changes to Portfolio Holders' lower limits (now £3,000). There is also a proposed uplift to the Strategic Director of People's ability to make payments in certain circumstances to children in need, voluntary organisations providing care support and disabled persons. These have risen from £1,000 to £10,000.

2.2.7 The officer delegations in the main body of the Constitution (Part 2(10)) have been simplified in terms of their presentation, with the detailed delegation tables moved into an appendix. It is important that these are retained however the move will enable updates to specific delegated powers to be undertaken without a need to redraft and republish large sections of the Constitution and enables a broader understanding of the delegated powers of named officers. Some minor additions to this section are proposed providing clarity as to the requirements on officers when they are exercising delegated powers, their ability to onwards delegate and the limitations on their exercise of such powers. The issue of interpretation of any specific delegation remains within the role of the Monitoring Officer. Statutory references have been updated to ensure all remain accurate. This is an ongoing activity that will be within the remit of Legal Services to undertake as required in consultation with the Monitoring Officer.

2.2.8 A general delegation is proposed to the Strategic Director of Communities in relation to decisions in the planning and highways area. This delegation is implicit in the current version of the Constitution and has been made explicit in the interests of clarity and effective decision making and it remains subject to specific exclusions.

2.2.9 The opportunity has also been taken to clarify the delegation of certain functions to specific officer roles at a Constitutional level. These include the Proper Officers for Registration and for Health Protection (Notification) Regulations in particular.

2.2.10 There are also a number of more minor changes included to correct and update the Constitution following prior decisions of Council and

structural and legislative changes. These are all detailed in Appendix 2a, along with the changes above, in track changes.

3. Key Changes to Contract Standing Orders

3.1 The proposed changes to Contract Standing Orders are set out in Appendix 2b. There are no major changes to procedures and no alteration to limits of authority or sign off, however the opportunity has been taken to simplify language and to restructure the document to follow the life cycle of a procurement activity. The changes were considered and endorsed by the Audit and Standards Committee at its meeting on 4th November 2021.

3.2 The main changes to Contract Standing Orders are set out below expanding on the purpose and importance of CSOs to provide context to the rules and linking to Financial Regulations

3.2.1 clarification of (i) requirements where a joint procurement with partners is undertaken (ii) the extent and primacy of procurement legislation and the requirement not to disaggregate when valuing contracts (iii) when CSOs apply (iv) exemption requirements (v) use of frameworks (vi) base requirements for any contract in terms of drafting (vii) requirements of the Social Value Act (viii) the term "consultant" (ix) requirements for external service delivery (x) requirements on disposal of goods/assets by auction

3.2.2 highlighting the role of officers in a procurement and transparency requirements and consistency of information to be provided fairly to all bidders

3.2.3 providing context to preparing for a procurement and how to commence purchasing activity updated in light of EU exit

3.2.4 confirming the need for legal advice on extension or amendment of a contract

3.2.5 confirming the Council's move to electronic signatures using Docusign where legally permitted,

3.2.6 updating requirements for record keeping and reporting requirements in light of EU exit

3.2.7 raising the threshold level for one quote to below £25,000 (currently £10,000) and for three quotes to from £25,000 to below £100,000 (currently £10,000 to below £100,000)

4. Key Changes to Financial Regulations

4.1 During the same period, a review of Financial Regulations has been undertaken, with the proposed revisions set out at Appendix 3. Amendments have been made to reflect changes to the operating model pre Covid and to strengthen the position with regard to accountability and responsibility at the various management levels.

4.2 In proposing amendments to the Financial Regulations, the following points are of note:

4.2.1 The broad structure remains as previously approved, with a set of high-level financial regulations supplemented by the more detailed financial rules. The regulations require approval by full Council, with the finance rules delegated to the Chief Financial Officer (Strategic Director for Resources) to issue and maintain.

4.2.2 The proposed revisions are more comprehensive and provide more detail on why the rules are important to strengthen the organisational understanding of financial governance. They also clearly set out the roles of internal and external audit.

4.2.3 The definition of value for money has been updated to reflect the definition used by external auditors as part of the value for money assessment.

4.2.4 The role of the Chief Financial Officer (Strategic Director for Resources) has been updated to reflect CIPFA guidance on the role of the S151 officer in local government;

4.2.5 The dates by which draft/final accounts need to be published have been updated in light of recent changes;

4.2.6 Proposals are made with respect to Virements. Virements cover moving money between services, moving money within a service and changing how the money is spent. The proposal is that Assistant Directors must seek Cabinet approval for all virements within their service area which exceed the lower of £500,000 or 5% of the Service's net revenue budget (whether individual or as part of a cumulative total) where this is as a result of a change in policy, and seek Cabinet approval for all virements between Services irrespective of the amount of the virement, except where virements do not change the approved use of the resource;

4.2.7 The appendix to the Financial Regulations contains the list of Finance Rules. These are delegated to the Chief Finance Officer to update, finalise and approve. This exercise is intended to complete by 1 April 2022, and changes will be rolled out on a phased basis over the intervening period.

5. Conclusions

5.1 The changes to the Constitution aim to simplify presentation and understanding without changing the balance between member and officer decision making, and to update language and terminology in some areas to reflect changes in legislation, practice and operating arrangements. Where new powers or provisions are proposed they include safeguards to the exercise of those powers and are consistent with the approach adopted in other areas of the Constitution.

5.2 Further work will be needed to Contract Standing Orders in the future as the response to the procurement reform consultation is taken forward. Despite this it is considered appropriate that current changes across all aspects of the Constitution (including Contract Standing Orders and Financial Regulations) are progressed at this time, with any future legislative changes picked up as they arise.

5.3 Changes to the Member Code of Conduct were approved by the full Council in July 2021 and have been incorporated into the Constitution. The Members Allowance Scheme is currently under review and when any proposed changes have been approved by full Council the Scheme, which also forms part of the Constitution, will be updated.

5.4 It remains the position as in previous iterations of the Constitution, and has been made explicit, that minor/technical changes to the Constitution be within the delegated powers of the Monitoring Officer and the Chief Financial Officer to make. Any necessary changes to statutory references and any changes resulting from changes in legislation, annual Council or other member decisions will be reviewed annually within legal services and changes approved by the Monitoring Officer.

6. Financial Implications

6.1 There are no direct financial implications arising from this report.

6.2 The changes proposed do not fundamentally alter the balance between officer and member decision making, focussing as they do on lower value officer authorisations and maintaining the need for consultation with the relevant Portfolio Holder and/or the Leader and other members as appropriate where additional delegations have been proposed.

7. Environmental Implications

7.1 There are no direct environmental implications to this report.

8. Supporting Information

8.1 None

9. Timescales associated with the decision and next steps

9.1 If approved the proposals will be taken to full council in December for approval.

Appendices
1. Appendix 1 - Summary Table of Key Constitutional Changes
2. Appendix 2 –Redlined version of (2a) Constitution and (2b) Contract Standing Orders
3. Appendix 3 – Revised Financial Regulations

Background Papers
1. none

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Appendix 1 to this report containing the summary of key changes was circulated to the following members prior to publication:

Local Members: n/a
Other Members:

Cllr Butlin
Cllr Chilvers
Cllr Holland
Cllr Roodhouse
Cllr Seccombe

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APPENDIX 1 - Summary Table of constitutional changes

Proposed Change	Summary of change
To clarify the powers of the Committee / chair in relation to public speaking and include clear guidance for citizens about appropriate content of statements	Article 3.2 -Minor additional wording making it clear that statements made by public speakers should not be frivolous or defamatory about any individual or organisation
To clarify the appointments process for Independent Members of Audit and Standards	Article 5.3 - A panel made up of no more than three members of the Audit & Standards Committee (which may include the Independent Chair).
To insert within the functions of the Monitoring Officer, the role in relation to member complaints under the Code of Conduct	Article 7.3(e) - Confirms that any complaints about elected members will be dealt with by the Monitoring Officer in accordance with the Member Code of Conduct and that members will be made aware of their obligations under the Code
To clarify that the roles held by the Chief Finance Officer and Monitoring Officer in relation to money laundering	Article 7.4(c) - Includes these statutory responsibilities and where they sit within the Constitution
To clarify the position as regards exempt reports and decisions	Article 8.4 - Confirms that reports and decisions will be published on the Council's website unless they are considered to be exempt from publication
To delete the following responsibilities: • remove item 18 referencing development plans in production in 2004; • remove item 38 relating to Local Area Agreements	Part 2 Section 2- Items 18 and 38 –These responsibilities of full council have been deleted as the obligations are now obsolete referencing plans and agreements that are no longer required/in place. Part 2 Section 3 mirrors the deletion in relation to Local Area Agreements
To delegate the making of funding bids to external bodies up to a certain financial threshold to officers in consultation with the Portfolio Holder and provided WCC match funding does not exceed a certain threshold and/or the funding doesn't relate to a project which needs member approval and hasn't yet had it.	Part 2 Section 4 and Part 2 Section 10 - External funding bid timescales are often relatively short and can present a challenge in terms of decision making. This change is intended to give more flexibility and enable officers to make the bid on certain conditions and up to a financial threshold of £250,000 and provided the bid does not commit WCC to match funding of more than £50,000 and the match funding can be met from the services allocated budget, and/or it is an approved partnership submission and/or itis made to progress an approved activity. Portfolio Holder and Officer delegations have been amended accordingly

To delegate to officers in consultation with the Portfolio Holder responses to consultations where the subject matter of the consultation is practical/ technical in nature and is not of wider interest.	Part 2 Section 4 and Part 2 Section 10 - Consultation response timeframes can be relatively short and sometimes are more operational in nature rather than policy driven. For these types of consultation, to provide greater flexibility it is proposed that such responses are delegated to officers in consultation with the Leader and/or Portfolio Holder and relevant Overview and Scrutiny Chairs. Portfolio Holder and Officer delegations have been amended accordingly
To uplift the levels at which officers can take decisions in relation to property matters, and consequent Portfilio Holder change.	Part 2 Section 4 and Part 2 Section 10 - Property values/ thresholds for decision making in the Constitution have not been reviewed for several years and property values/lease values have increased. One change is proposed Officer decision levels are relatively low when compared to other officer decision making levels (such as letting contracts). The current thresholds for the Strategic Director for Resources, and proposals to increase are • Sales and purchases of land up to £100,000 - increase to £250,000 • Grant and taking up leases £25k pa – increase to £35k pa Portfolio Holder decision lower thresholds are increased to take account of the above changes. It is not proposed to change the upper limits of £1m for sales and £250k for leases beyond which Cabinet decision making is required.
To pick up aspects from the Scrutiny Review that require clarification or confirmation constitutionally	Part 2 Section 8 - New additions to the Overview and Scrutiny Committee (OSC) section of the Constitution to include consideration of themes arising from the Council Plan, compliance with OSC statement of behaviours (which are to be drafted), reference to Task & Finish (TFG) groups, public involvement, and stakeholder engagement. Also, clarify Terms of Reference for TFGs – their remit is to consider, provide guidance and/or recommendations and report back. Clarification that they are not a decision-making body

To clarify the general delegations to Chief Executive and Strategic Directors and to generally tidy up these sections of the Constitution.	Part 2 Section 10 (Officer Delegations) of the Constitution – The proposed changes are intended • To ensure that there is a specific delegation to officers around contractual and other decisions necessary for operational effectiveness – which aligns to Contract Standing Orders • To tighten the provisions around sign off and use of ModGov • To clarify the ability of Strategic Directors to make payments necessitated by decisions of courts, tribunals and regulatory bodies. As currently drafted this ability is inferred but not explicit in the Constitution • To clarify the extent of officer decision making as regards responses to consultation papers and bids for external funding (to reflect the changes proposed above) • To clarify the ability of the Chief Executive to appoint substitutes for any officer in the Scheme of Delegations who is absent for a period • To clarify the requirements on officers when exercising delegated powers (these have simply been updated from the current version in the Constitution) and set out the limitations on the exercise of delegated powers.
To expand the list of Statutory Officers	Part 2 Section 10 - Now includes the Director Children's Services and Director of Adult Social Services and Director of Public Health (DPH)
To move the detailed statutory references to an Appendix.	Part 2 Section 10 - This proposal is intended to make the Constitution easier to navigate whilst still retaining the statutory references which are required

To increase the thresholds at which the Strategic Director for Resources can authorise write off as irrecoverable debts owed to the Council	Part 2 Section 4 and Part 2 Section 10 - The current threshold of £2,000 has not been updated for several years. It is proposed to increase the threshold at which officers can write off the debt to £3,000 for the Chief Finance Officer and £2,000 for Strategic Directors. Corresponding changes are made to the Portfolio Holder general powers Includes a non-financial caveat around how we deal with lower value but higher risk issues/matters with principles/precedents – this requires consultation with legal and finance and with Portfolio Holder and/or Leader where considered appropriate
To increase the financial thresholds applicable to the Strategic Director for People in cases relating to children in care etc	Part 2 Section 4 and Part 2 Section 10 – Current thresholds applicable to officers (up to £1000) have not been renewed for a number of years. Proposed to increase these to £10,000 in appropriate circumstances.
To give Chief Executive a specific emergency power to take decisions such as during a pandemic or other local crisis.	Part 2 Section 10B - New power enabling Chief Executive to take, in consultation with the Leader, Group Leaders and the relevant Portfolio Holder, all necessary decisions in cases of emergency. Such decisions to be limited in timeframe and included in the Leader's annual report to full Council, and post emergency to be notified to the relevant decision-making body. The power would still require the Access to Information Rules to be met and would be implemented where failure to act would prejudice the council. Actions involving spend would require input of the s151 officer Proposed wording has taken into account similar powers included in the Constitutions of other authorities
To give the Strategic Director for Communities a wider delegation in relation to Highway Authority and Planning matters	Part 2 Section 10B - A number of other Councils include these broad delegations in relation to issues such as traffic and vehicle regulation, public transport, car parking and road safety together with any related enforcement action, making and entering into agreements pursuant to the Highways Act 1980. They also include powers to officers in relation to town and country planning (including minerals and waste planning) and development control including any necessary enforcement action. We have tended to use our general officer delegations to undertake such functions. There is an opportunity within

	this review to make the powers of the Strategic Director for Communities more explicit and to avoid any ambiguity or potential for challenge. To be in consultation with relevant Portfolio Holder and as appropriate the Chair of the Regulatory Committee
The Policy Framework – updated	Part 2 Section 2 - The Policy Framework are those plans, strategies and policies which under legislation require the approval of full Council and others which the Council has requested be included. The Council's Policy Framework has been updated to reflect legislative requirements and operational changes since the framework was last considered and approved.
General tidying up of terminology, clarifications, consistency checks and verification of statutory references	Proposed changes in track changes throughout the constitution at Appendix 2a and in addition, specific updates in Part 2 Section 10 to reflect changes in legislation

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![Warwickshire County Council]

Warwickshire County Council Constitution

August 2021
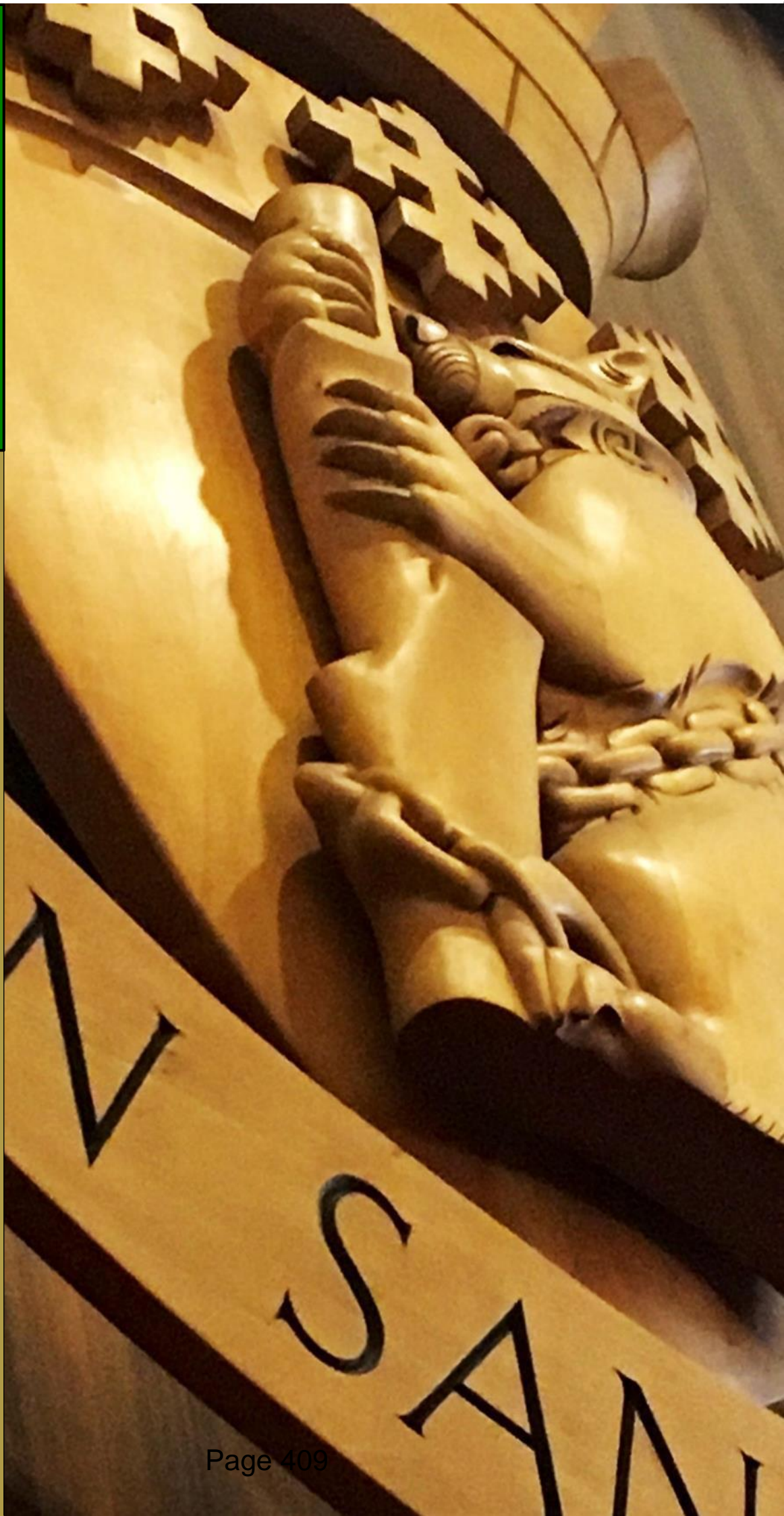
Constitution Overview

We have agreed on a constitution which sets out:

- how we operate
- how we make decisions
- who makes decisions
- how residents, businesses and other organisations can participate
- procedures to follow to make sure we are efficient, transparent and accountable to local people.

1. **Part 1 - Articles**

Gives a broad overview of the constitution and the way we organise the council.

2. **Part 2 - Responsibility for Council Functions**

Sets out the responsibilities for council decisions

3. **Part 3 - Standing Orders**
Sets out the standing orders of the council

4. **Part 4 - Codes of Conduct**
Sets out the rules which govern the conduct of the council's business and our decision-making process.

5. **Part 5 - Member's Allowance Scheme**
Sets out the Members' Allowances Scheme

6. **Part 6 - Management Structure**
Describes our management structure

ARTICLE 1 – THE CONSTITUTION

1.1   Powers of the Council

The council will exercise its powers and duties in accordance with the law and this constitution.

1.2   The Constitution

This constitution, and all its appendices, is the constitution of the Warwickshire County Council.

1.3   The Purpose of the Constitution

The purpose of the constitution is to:

1. Help the council and councillors provide clear leadership to the community in partnership with citizens, businesses and other organisations;

2. Support the active involvement of citizens in the process of local authority decision-making;

3. Encourage openness and transparency by ensuring that those who make decisions are clearly identifiable to local people, and that they explain the reason for decisions;

4. Promote high standards of conduct by members and officers and provide a means of holding decision-makers to public account; and

5. Enable efficient and effective decision-making and improve the delivery of services to the community.

ARTICLE 2 – MEMBERS OF THE COUNCIL

2.1   Composition and Eligibility

(a) Composition

The council has 57 elected members, otherwise called councillors. Councillors are elected by the voters of each electoral division.

(b) Eligibility

Only registered voters of the county or those living or working there are eligible to hold the office of councillor.

2.2   Election and Terms of Councillors

The regular election of councillors will normally be held on the first Thursday in May every four years beginning in 2013. The term of office of councillors will start on the fourth day after being elected and will finish on the fourth day after the date of the next regular election.

2.3   Roles and Functions of All Councillors

(a) Key Roles

All councillors will:

    i.   represent the people of Warwickshire, the interests of their electoral division and of individual constituents;

    ii.   provide community leadership and contribute to the good governance of the area;

    iii.   actively encourage community participation and citizen involvement in decision-making;

    iv.   collectively be the ultimate policy makers and participate in the governance and management of the council; and

    v.   promote and maintain the highest standards of conduct and ethics in the conduct of council business.

(b) Rights and Duties

    i.   Councillors will have rights of access to such documents, information, land and buildings of the council as are necessary for the proper discharge of their functions and in accordance with the law.

    ii.   Councillors will not make public information which is confidential or exempt without the consent of the council or divulge information given in confidence to anyone other than a councillor or officer entitled to know it.

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iii.   For these purposes, "confidential" and "exempt" information are defined in the standing orders in part 3 of this constitution.

2.4   Conduct

Councillors and co-opted members will at all times observe the Members' Code of Conduct and the Protocol on Member/Officer Relationships set out in part 4 of this constitution.

2.5   Allowances

Councillors and co-opted members will be entitled to receive allowances in accordance with the Members' Allowances Scheme set out in part 5 of this constitution.

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Part 1(3)

ARTICLE 3 – CITIZENS AND THE COUNCIL

3.1 Citizens' Rights

Citizens have the following rights. Their rights to information and to participate are explained in more detail in part 3 of this constitution.

(a) Voting and Petitions

Citizens on the electoral roll for the area have the right to vote. They may also sign a petition to request a referendum for an elected mayor form of constitution.

Citizens may also present petitions to certain member bodies. The arrangements for receipt of petitions are set out in Part 3 Section 1: Standing Orders.

(b) Information

Citizens have the right to:

i. attend meetings of the council, the cabinet, and any committees and leader and portfolio holder decision-making sessions except where confidential or exempt information is likely to be disclosed, and the meeting or part of the meeting is therefore held in private;
ii. find out from the forward plan what key decisions will be taken by the executive or officers and when;
iii. see reports and background papers as defined in statute, and any records of decisions made by the council, its committees and the executive which are open to the public; and
iv. inspect the council's accounts during the audit process and make their views known to the external auditor.

(c) Participation

Citizens have the right to participate in public interest debates, public question time where provided for in standing orders and, where appropriate and requested by the committee, in the investigations by overview and scrutiny committees.

(d) Complaints

Citizens have the right to complain to:

i. the council itself under its complaints procedure which can be found at [____ LINK_____];
ii. the Ombudsman after using the council's own complaints procedure; and
iii. the Monitoring Officer of the council about a breach of the Members' Code of Conduct.

3.2 Citizens' Responsibilities

Citizens must not be violent, abusive or threatening to councillors or officers and must not damage property owned by the council, councillors or officers. Citizens should ensure that statements made at meetings or in correspondence are true, accurate and not frivolous or defamatory about any individual or organisation.

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ARTICLE 4 – THE FULL COUNCIL

4.1 Meanings

(a) Policy Framework

The policy framework means the following plans and strategies:

i. those required to be adopted by the full council by the Local Authorities (Functions and Responsibilities) (England) Regulations 2000 and any regulations under section 32 of the Local Government Act 2000; and

ii. any other plans and strategies which the council may decide from time to time to adopt as part of its policy framework.

A full list of the plans and strategies adopted by the council as part of the policy framework is set out in part 2 of this constitution.

a. The budget includes the allocation of capital and revenue resources, the precept level, the council tax, the planned use of reserves, the county council's borrowing limit and the virement limits.

b. Executive functions mean those functions which by law must be the responsibility of the executive.

c. Non-executive functions mean those functions which by law must not be the responsibility of the executive.

d. Local choice functions means those functions which the council may decide to exercise itself or delegate to any part of the council including the executive. A list of local choice functions is included in part 2 of this constitution.

4.2 Functions of the full Council

Only the full council will exercise the following functions:

a. adopting and changing the constitution;

b. approving or adopting the policy framework and the budget;

c. subject to the urgency procedure contained in standing orders in part 3 of this constitution, making decisions which are contrary to the policy framework or decisions which are contrary to or not wholly in accordance with the budget;

d. appointing the leader of the council;

e. in relation to functions which are not the responsibility of the executive agreeing and/or amending the terms of reference for committees, deciding on their composition and making appointments to them;

f. appointing representatives to outside bodies unless the appointment is an executive function or has been otherwise delegated by the council;

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g. adopting an allowances scheme under Article 2.5;

h. changing the name of the area;

i. confirming the appointment of the head of paid service, the monitoring officer and chief finance officer;

j. making, amending, revoking, re-enacting or adopting bylaws and promoting or opposing the making of local legislation or personal bills;

k. all local choice functions set out in part 2 of this constitution which the council decides should be undertaken by itself rather than any other person or body or other matters reserved to full council by this constitution; and

l. all other matters which, by law, must be reserved to the council.

The responsibilities of the full council may change from time to time and are set out in more detail in part 2 of this constitution.

4.3 Role and Function of the Chair

The chair will be elected by the council annually. The chair of the council, and in their absence the vice-chair, will have the following roles and functions:

1. to help to uphold and promote the purposes of the constitution, and to interpret the constitution where necessary;

2. to preside over meetings of the full council so that its business can be carried out efficiently and with regard to the rights of councillors and the interests of the community;

3. to ensure that the full council meeting is a forum for the debate of matters of concern to the local community and the place at which members who are not on the executive are able to hold the executive and committee chairs to account;

4. to help to promote public involvement in the council's activities; and

5. to attend such civic and ceremonial functions as the council and the chair determine to be appropriate.

ARTICLE 5 – THE LEADER, CABINET and OTHER BODIES

~~The council will appoint the following:~~

5.1 LEADER OF THE COUNCIL AND CABINET

(a) Role of the Leader

The council will appoint the leader. The leader will carry out all of the local authority's executive functions which are not the responsibility of any other part of the local authority, whether by law o~~r~~f under this constitution.

(b) Form and Composition of the Cabinet

The leader will be responsible for the appointment of a cabinet consisting of the leader together with not less than 2 nor more than 9 other councillors. The leader may change the appointments to the cabinet at any time.

(c) Portfolios

The leader will allocate to each member of the cabinet responsibility for a particular portfolio. The portfolios and the role of portfolio holders are set out in part 2 of this constitution. The number and terms of reference of portfolios may be changed by the leader from time to time.

5.2 OVERVIEW AND SCRUTINY COMMITTEES

(a) Terms of Reference

The council will appoint at least one overview and scrutiny committee. If more than one overview and scrutiny committee is appointed, then collectively the overview and scrutiny committees will cover all the functions of the council. The membership of any overview and scrutiny committee shall not include any member of the cabinet. The council may from time to time change the number and/or terms of reference of the overview and scrutiny committee(s) it appoints.

(b) General Role

The terms of reference and role of the overview and scrutiny committee(s) are set out in part 2 of this constitution. In summary, their role is to:

    i. assist the council and the leader and/or cabinet in the development of its budget and policy framework by considering policy issues;

    ii. review and/or scrutinise decisions made, or actions taken in connection with the discharge of any of the council's functions; and

    iii. exercise the right to call-in decisions made but not yet implemented by the leader, cabinet, portfolio holders, local members exercising executive functions and officers making key executive decisions.

5.3 THE AUDIT AND STANDARDS COMMITTEE

(a) Composition

The ~~full~~ council will appoint an Audit and Standards Committee, which will be composed of six councillors and up to four other persons (the independent members) who are not councillors or officers of the council or any other body prescribed by regulations. The independent members will be entitled to vote at meetings.

The council will appoint the independent members following interview by a panel made up of no more than three members of the Audit & Standards Committee (which for these purposes may include the Independent Chair). Appointments will be ratified by full council.

(b) Role and Function

The role and functions of the Audit and Standards Committee are set out in detail in part 2 of this constitution. In summary, these relate to:

   i.   promoting and maintaining high standards of conduct by councillors, co- opted members and church/parent governor representatives;

   ii.   monitoring the operation of and advising the council on the adoption or revision of the Members' Code of Conduct;

   iii.   granting dispensations to councillors, co-opted members and church/parent governor representatives from requirements relating to interests set out in the Members' Code of Conduct;

   iv.   supervision of politically restricted posts;

   v.   oversight of internal and external audit matters, the council's arrangements for corporate governance and risk management; and

   vi.   oversight of other arrangements for the maintenance of probity allocated from time to time by the council.

5.4 REGULATORY COMMITTEE

(a) Composition

The full council will appoint a Regulatory Committee. The seats on the committee shall be allocated proportionally to the representation of political groups and individual members on the council.

(b) Role

The responsibilities of the Regulatory Committee are set out in part 2 of this constitution. This committee deals primarily with planning applications, licensing and arrangements for various types of appeals and appointments to outside bodies. The council may change its responsibilities from time to time.

5.5 OTHER COMMITTEES

The council or the leader or the cabinet may from time to time establish such other

committees as it sees fit.

The composition and responsibilities of any other committees are set out in part 2 of this constitution.

ARTICLE 6 – JOINT ARRANGEMENTS

6.1   The council may establish joint arrangements with one or more local authorities and/or their executives to exercise functions which are not executive functions in any of the participating authorities or to advise the council. Such arrangements may involve the appointment of a joint committee with these other local authorities.

6.2   The leader may establish joint arrangements with one or more local authorities and/or their executives to exercise functions which are executive functions in any of the participating authorities or to advise the council. Such arrangements may involve the appointment of a joint committee with these other local authorities.

6.3   Except as set out below, the leader may only appoint cabinet members to a joint committee and those members need not reflect the political composition of the local authority as a whole.

6.4   The leader may appoint members to a joint committee from outside the executive in the following circumstances:

   i.   the joint committee has functions for only part of the area of the authority, and that area is smaller than two-fifths of the authority by area or population. In such cases, the leader may appoint to the joint committee any councillor who is a member for an electoral division which is wholly or partly contained within the area; or

   ii.   the joint committee is between a county council and a single district council and relates to functions of the executive of the county council. In such cases, the leader may appoint to the joint committee any councillor who is a member for an electoral division which is wholly or partly contained within the area.

   In both cases the political balance requirements do not apply to such appointments.

6.5   Details of any joint arrangements, including any delegations to joint committees, will be found in part 2 of this constitution.

6.6   Access to Information

   (a)   If all the members of a joint committee are members of the executive in each of the participating authorities then its access to information regime is the same as that applied to executives by regulations under sections 22 and 105 of the Local Government Act 2000.

   (b)   If the joint committee contains members who are not on the executive of any participating authority then the access to information rules in Part VA of the Local Government Act 1972 will apply.

6.7   Delegation to and from Other Local Authorities

   (a)   The council may delegate non-executive functions to another local authority or, in certain circumstances, the executive of another local authority.

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(b)   The leader may delegate executive functions to another local authority or, in certain circumstances, the executive of another local authority.

The decision whether or not to accept such delegation from another local authority shall be reserved to the full council.

6.8   Contracting Out

The full council, in respect of functions which are not executive functions, and the leader in respect of executive functions, may contract out to another body or organisation functions which may be exercised by an officer and which are subject to an order under section 70 of the Deregulation and Contracting Out Act 1994, or under contracting arrangements where the contractor acts as the council's agent under usual contracting principles, provided that there is no delegation of the council's discretionary decision-making when acting under contracting arrangements.

ARTICLE 7 – OFFICERS

Terminology

The use of the word "officers" means all employees and staff engaged by the council to carry out its functions.

7.1   Management Structure

(a) **General**

The full council may engage such officers as it considers necessary to carry out its functions. Appointment of officers cannot be the responsibility of the leader.

(b) **Head of Paid Service, Monitoring Officer and Chief Finance Officer**

The council will be responsible for confirming the appointment of the ~~chief executive~~ head of paid service, the monitoring officer and chief finance officer in accordance with the Officer Employment Standing Orders in part 3 of this constitution.

(c) **Head of Paid Service, Monitoring Officer and Chief Finance Officer**

The council will designate the following posts as shown in the table below:

Post	Designation
Chief Executive	Head of Paid Service
Assistant Director Governance and Policy	Monitoring Officer
Strategic Director for Resources	Chief Finance Officer

The duties of both the monitoring officer and chief finance officer (apart from the administration of the financial affairs of the council) must be carried out personally but can be carried out by a deputy nominated by them in cases of absence or illness or where necessary for the efficient or effective conclusion of any matter requiring the input of either statutory officer.

7.2   Functions of the Head of Paid Service

(a) **Corporate Management**

The head of paid service will be responsible for the corporate management of the council, and for ensuring the co-ordination of services and the provision of appropriate professional advice.

(b) **Structure**

The head of paid service will determine and publicise a description of the overall departmental structure of the council showing the management structure and deployment of officers. This is set out in part 6 of this constitution and may be changed from time to time/.

(c) **Appointment of Staff**

The appointment of officers below strategic director or chief officer level is the

responsibility of the head of paid service or their nominee(s).

The statutory "chief officers" are the:

- Head of Paid Service (LGHA 1989, s 4)
- Monitoring Officer (LGHA 1989, s 5)
- Chief Finance Officer (LGA 1972, s 151)
- Director of Children's Services (Children Act 2004, s 18)
- Director of Public Health (National Health Service Act 2006, s 73A(1)); and
- Director of Adult Social Services (Local Authority Social Services Act 1970, s 6(A1))
-

Non-statutory "chief officer" includess defined as:

- a person for whom the head of the authority's paid service is directly responsible
- a person who, as respects all or most of the duties of their post, is required to report directly or is directly accountable to the head of the authority's paid service; and
- any person who, as respects all or most of the duties of their post, is required to report directly or is directly accountable to the local authority themselves or any committee or sub-committee of the authority; but

excludes any person whose duties are solely secretarial or clerical or are otherwise in the nature of support services.

(d) **Discharge of Functions by the Council**

The head of paid service will report to the full council on the manner in which the discharge of the council's functions is co-ordinated, the number and grade of officers required for the discharge of functions and the organisation of officers.

(e) **Restrictions on Functions**

The head of paid service may not be the monitoring officer but may hold the post of chief finance officer if a qualified accountant.

7.3   Functions of the Monitoring Officer

(a) **Maintaining the Constitution**

The monitoring officer will maintain an up-to-date version of the constitution and will ensure that it is widely available for consultation by members, staff and the public. This will be by means of an up to date electronic version available on the council's website. The Monitoring Officer shall have delegated authority to make minor amendments and updates to the constitution as may be necessary from time to time due to changes in legislation and/or organisational structures etc.

(b) **Ensuring Lawfulness and Fairness of Decision-Making**

After consulting with the head of paid service and chief finance officer, the monitoring officer will report to the full council or to the executive in relation to an executive function if they consider that any proposal, decision or omission would give rise to unlawfulness or if any decision or omission has given rise to

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maladministration. Such a report will have the effect of stopping the proposal or decision being implemented until the report has been considered.

(c) **Contributing to Corporate Management**

The monitoring officer will contribute to the corporate management of the council, in particular through the provision of advice on legal, constitutional, procedural and probity issues. The monitoring officer will also be the Compliance Officer for the purposes of anti-money laundering legislation.

(d) **Advising whether Executive Decisions are within the Budget and Policy Framework**

The monitoring officer will advise whether decisions of the executive are in accordance with the budget and policy framework.

(e) **Dealing with Complaints about Members and enforcing the Code of Conduct**

The monitoring officer will receive any complaints about the conduct or behaviour of members and will deal with them in accordance with the Members' Code of Conduct[LINK]. The monitoring officer will ensure members are made aware of their obligations under the Members' Code of Conduct

(e)(f) **Restrictions on Posts**

The monitoring officer cannot be the chief finance officer or the head of paid service.

7.4 Functions of the Chief Finance Officer

(a) **Ensuring Lawfulness and Financial Prudence of Decision-Making**

After consulting with the head of paid service and the monitoring officer, the chief finance officer will report to the full council or to the executive in relation to an executive function and the council's external auditor if they consider that any proposal, decision or course of action will involve incurring unlawful expenditure or is unlawful and is likely to cause a loss or deficiency or if the council is about to enter an item of account unlawfully.

(b) **Administration of Financial Affairs**

The chief finance officer will have responsibility for the administration of the financial affairs of the council.

(c) **Contributing to Corporate Management**

The chief finance officer will contribute to the corporate management of the council, in particular through the provision of professional financial advice. The chief finance officer shall hold or shall delegate to a nominee the role of Money Laundering Reporting Officer.

(d) **Providing Advice**

The chief finance officer will provide advice on financial matters, the budget

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framework and financial propriety.

7.5 **Duty to Provide Sufficient Resources to the Monitoring Officer and Chief Finance Officer**

The council will provide the monitoring officer and chief finance officer with such officers, accommodation and other resources as are in their opinion sufficient to allow their duties to be performed.

7.6 **Conduct**

Officers will comply with the Officers' Code of Conduct and the Protocol on Officer/Member Relationships set out in part 4 of this constitution.

7.7 **Employment**

The recruitment, selection and dismissal of officers will comply with the Officer Employment Standing Orders set out in part 3 of this constitution.

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ARTICLE 8 – DECISION MAKING

8.1   Responsibility for Decision Making

The council will issue and keep up to date a record of what part of the council or individual has responsibility for functions which are not the responsibility of the executive. The executive will issue and keep up to date a record of the body or individual responsible for executive functions. These records are set out in part 2 of this constitution and may change from time to time.

8.2   Principles of Decision Making

All decisions of the council will be made in accordance with the following principles:

   a)   proportionality (i.e. the action will be proportionate to the desired outcome);

   b)   due consultation and the taking of professional advice from officers;

   c)   respect for human rights (see below for further details);

   d)   a presumption in favour of openness;

   e)   clarity of aims and desired outcomes; and

   f)   explaining what options were considered and giving the reasons for the decision.

8.3   Types of Decision

   a)   Decisions reserved to the full council: Decisions relating to the functions listed in Article 4.2 will be made by the full council and not delegated except to the extent permitted by that Article.

   b)   Key decisions: Key decision means a decision made in the exercise of an executive function as defined in Article 4.1 and standing orders in part 3 of this constitution.

8.4   Decision Making by Council Bodies, Councillors or Officers

Any member body, councillor or officer will follow the applicable standing orders set out in part 3 of this constitution when considering any matter.

Any member body, a councillor or an officer acting as a tribunal or in a quasi-judicial manner or determining/considering (other than for the purposes of giving advice) the civil rights and obligations or the criminal responsibility of any person will follow a proper procedure which accords with the requirements of natural justice and the right to a fair trial contained in Article 6 of the European Convention on Human Rights.

Reports and decisions will be published on the Council's website unless they are considered to be exempt from publication on the grounds provided for in Schedule 12A Local Government Act 1972 .

Within this Constitution, "clear working days" means complete days ending at one minute to midnight and not including:
   •   The day on which the period begins.
   •   If the end of the period is defined by reference to an event (for example, a

                                                                                        20

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meeting date), the day of that event.

ARTICLE 9 – FINANCE, CONTRACTS AND LEGAL MATTERS

9.1   Financial Management

The management of the council's financial affairs will be conducted in accordance with the financial regulations set out in part 3 of this constitution. These may change from time to time.

9.2   Contracts

Every contract made by the council will comply with Contract Standing Orders set out in part 3 of this constitution. These may change from time to time.

All major contracts as defined in Contract Standing Orders must either be signed by at least two designated officers of the council or made under the common seal of the council attested by at least one designated officer.

'Designated Officer' shall mean the head of paid service or, and any other officer authorised by them. The monitoring officer shall keep a list of Designated Officers authorised officers.

9.3   Legal Proceedings

The head of paid service or any other officer authorised by them has authority to institute, defend or participate in any legal proceedings in any case where such action is necessary to give effect to decisions of the council or in any case where they consider that such action is necessary to protect the council's interest, or otherwise where permitted at law subject to prior consultation with the Monitoring Officer.

9.4   Authentication of Documents

Where any document is necessary to any legal procedure or proceedings on behalf of the council, it will be signed by the head of paid service or other person officer authorised by them unless any enactment otherwise authorises or requires, or the council has given requisite authority to some other person.

9.5   Common Seal of the Council

The common seal of the council will be kept in a safe place in the custody of the head of paid service monitoring officer. A decision of the council, or of any part of it, will be sufficient authority for sealing any document necessary to give effect to the decision. The common seal will be affixed to those documents which in the opinion of the head of paid service or monitoring officer should be sealed. The affixing of the common seal will be attested by a 'designated officer' as defined in 9.2 above.

SUMMARY OF EXECUTIVE ARRANGEMENTS

The following parts of this constitution constitute the executive arrangements:

1. Article 5.1 (the leader of the council and cabinet) and those parts of standing orders which apply to the executive;

2. Article 5.2 (overview and scrutiny committees) and those parts of standing orders which apply to overview and scrutiny;

3. Articles 5.5 and 6 (other committees and joint arrangements);

4. Article 8 (decision making); and

5. Part 2 (responsibility for council functions).

SECTION 1 – GENERAL SCHEME OF DELEGATION

1.1   **Meanings**

   a. **Executive functions** are shall mean those functions that by law must be the responsibility of the executive.

   b. **Non-executive functions** are shall mean those functions that by law must not be the responsibility of the executive.

   c. **Local choice functions** shall meanare those functions that the council may decide to exercise itself or delegate to any part of the council including the executive. A list of local choice functions is included in section 3 of this part of the constitution.

   d. **Standing Orders** shall mean the standing orders set out in part 3 of this constitution.

1.2   The council is responsible for the exercise of all functions which are not the responsibility of the executive and for delegating all executive functions to the leader in accordance with section 9D and 9DA of the Local Government Act 2000. The council may delegate the exercise of non-executive or local choice functions to any other person or body subject to any statutory constraints.

1.3   Only the council may exercise those functions described in section 2 of this part of the constitution.

1.4   Subject to statutory requirements, standing orders and the matters reserved to the council set out above, the council delegates to the leader, the committees, local members and officers shown in the following sections, the powers and duties set out, and such other powers and duties as the council may from time to time specify. Any delegation of non- executive or local choice functions by the council shall not prevent the council from exercising those functions itself.

1.5   The leader is responsible for the exercise of all executive functions and any local choice functions delegated to it by the council. The leader may further delegate those functions in accordance with section 9E, 9EA and 9EB of the Local Government Act 2000 and any regulations made thereunder.

1.6   Subject to statutory requirements and standing orders the leader delegates to the cabinet, portfolio holders, committees, local members and officers set out in the following sections, the powers and duties set out and such other powers and duties as the leader may from time to time specify. Any such delegation by the leader shall not prevent the leader from exercising those functions themself.

1.7   The leader, cabinet, committee, member or officer exercising delegated powers shall be empowered to act subject to the following general conditions:

  1. Only the council shall be empowered to raise money by council tax, precept, or loan or to make bylaws.

  2. Subject to the urgency procedure in relation to executive decisions in standing orders in part 3 of this constitution, any decisions made shall accord with the policy framework and budget.

  3. Before acting on any matter involving the adoption of any major new policy which changes the policy framework, the approval of the council to the proposed course of action must be obtained.

  4. Decisions may not be made in relation to a power or duty where the delegated function is expressed to be advisory or limited to the making of recommendations or the submission of requests to the council or another body.

1.8   Action by the leader, cabinet, any committee, member or officer exercising delegated powers shall be subject to the restrictions imposed by standing orders.

1.9   The overview and scrutiny committee(s), Regulatory Committee and the Audit and Standards Committee shall have power to

  i. Re-delegate to any sub-committee appointed by it all or any of the powers and duties delegated to it by the council.

  ii. Impose any conditions or restrictions it thinks fit on the exercise of powers and duties by any of its sub-committees.

1.10   Any committee shall have power to appoint a panel to advise it on any power or duty delegated to it.

1.11   All member bodies shall have power to:

  i. Re-delegate to an officer of the council all or any of the powers and duties delegated to it by the council or the leader.

  ii. Impose any conditions or restrictions it thinks fit on the exercise of powers and duties delegated by it to an officer.

  iii. Seek advice from an officer of the council.

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SECTION 2 – RESPONSIBILITIES OF THE FULL COUNCIL

	Function	Statutory Reference
1.	Adopting and changing the constitution.	Part II Local Government Act 2000 and subordinate legislation
2.	Approving or adopting the policy framework and the budget.	Sections 9D and 105, Local Government Act 2000; Regulation 4 and Schedule 3, The Local Authorities (Functions and Responsibilities) (England) Regulations 2000
3.	Subject to the urgency procedure contained in standing orders in part 3 of this constitution, making decisions which are contrary to the policy framework or decisions which are contrary to or not wholly in accordance with the budget.	Sections 9D and 105, Local Government Act 2000; Regulation 5 and Schedule 4, The Local Authorities (Functions and Responsibilities) (England) Regulations 2000
4.	Appointing the leader.	Section 9D, Local Government Act 2000
5.	In relation to functions which are not the responsibility of the executive agreeing and/or amending the terms of reference for committees, or joint committees, deciding on their composition and making appointments to them.	Sections 101 and 102, Local Government Act 1972; Sections 21 and 53, Local Government Act 2000
6.	Appointing the independent members of ~~t~~The Audit and Standards Committee and, if it thinks fit, the chair of that committee.	~~sections 101 and 102~~Section 53, Local Government Act 2000 and any regulations made thereunder
7.	Appointing representatives to outside bodies unless the appointment is an executive function or has been otherwise delegated by the council.	Sections 101 and 102, Local Government Act 1972 and Section 1, Localism Act 2011 and any other enactment conferring powers on the Council
8.	Adopting an allowances scheme under Article 2.5.	Sections 173 to 175, Local Government Act 1972; Section 18, Local Government and Housing Act 1989
9.	Changing the name of the area.	Section 74, Local Government Act 1972
10.	Making, amending or revoking standing orders.	Sections 106, 135, paragraph 42 Schedule 12, Local Government Act 1972; Sections 8 and 20, Local Government and Housing Act 1989
11.	Confirming the appointment of the head of paid service, the monitoring officer and the chief finance officer.	Section 151, Local Government Act 1972; Sections 4 and 5, Local Government and Housing Act 1989
12.	Making, amending, revoking, re-enacting or adopting bylaws.	Any provision of any enactment (including a local act) whenever passed Section 14, Interpretation Act 1978
13.	Promoting or opposing the making of local legislation or personal bills.	Section 239, Local Government Act 1972

	Function	Statutory Reference
14.	All local choice functions set out in section 3 of this part of the constitution which the council decides should be undertaken by itself rather than any other person or body or other matters reserved to the full council by this constitution.	Sections 9D and 105, Local Government Act 2000; Regulation 3(1) and Schedule 2, The Local Authorities (Functions and Responsibilities) (England) Regulations 2000/2853
15.	Determining whether or not to accept the delegation of any functions from another local authority.	Sections 101 and 102, Local Government Act 1972
16.	Approving the authority's statement of accounts, income and expenditure and balance sheet or record of receipts and payments (as the case may be).	Accounts and Audit Regulations 2015 (SI 2015/234)
17.	Appointing proper officers for the purposes of any particular functions.	Section 270(3), Local Government Act 1972
~~18.~~	~~Approval for the purposes of public consultation draft proposals associated with the preparation of alterations to, or the replacement of, a development plan.~~	~~Regulation 10 or 22, Town and Country Planning (Development Plans) (England) Regulations 1999~~
~~19~~18.	Powers and duties relating to local ~~d~~Development documents which are development plan documents.	Sections 20 to 23 and 25, 26 and 28, Planning and Compulsory Purchase Act 2004
~~20~~19.	Power to agree to establish a joint committee to be, for the purposes of part 2 of the Planning and Compulsory Purchase Act 2004, a local planning authority.	Section 29, Planning and Compulsory Purchase Act 2004
20~~1~~.	Power to agree to confer additional functions on a joint committee.	Section 30, Planning and Compulsory Purchase Act 2004
21~~2~~.	Power to request the dissolution of a joint committee.	Section 31, Planning and Compulsory Purchase Act 2004
22~~3~~.	Duty to provide staff, etc. to person nominated by the monitoring officer.	Section 82A(4) and (5), Local Government Act 2000
23~~4~~.	Powers relating to overview and scrutiny committees ~~(voting rights of co-opted members)~~.	~~Paragraphs 12 and 14 of Schedule 1~~ Section 9F, Local Government Act 2000
24~~5~~.	Requests for single member electoral areas.	~~Section 14A(1), Local Government Act 1992~~ Section 57 Local Democracy, Economic Development and Construction Act 2009
25~~6~~.	Deciding whether to make proposals for a change in governance arrangements.	~~Sections 33A and 33B~~ Section 9K – 9KC, Local Government Act 2000
26~~7~~.	Deciding whether a change of governance model under Section 33(A) of the Local Government and Public Involvement in Health Act 2007 should be subject to approval in a referendum.	Section ~~33E(5)~~ 9KC, and 9M, Local Government Act 2000

	Passing a resolution to make a change in governance arrangements under Section 33F 9KC of the Local Government Act 2000.	Section 33F 9LKC, Local Government Act 2000

	Function	**Statutory Reference**
289.	Including provision in executive arrangements for the council to remove the executive leader by resolution and the passing of a resolution to remove the executive leader.	Sections 44C(1) and 44C(2) 9IA, Local Government Act 2000
2930.	Decision relating to the duty to make a change in governance arrangements.	Paragraph 3 of Schedule 4, Local Government and Public Involvement in Health Act 2007
3041.	Functions relating to the change of name of electoral area.	Section 59, Local Government and Public Involvement in Health Act 2007
312.	Duty to draw up proposals relating to changing governance arrangements.	Section 33E(2) 9MA, Local Government Act 2000
323.	Duty to consult prior to drawing up proposals relating to changing governance arrangements.	Section 33E(6) 9MA, Local Government Act 2000
334.	Duty to implement new governance arrangements.	Sections 33G and 33H 9L and 9MF(4), Local Government Act 2000
345.	Duty to comply with direction given by the Secretary of State relating to changing governance arrangements.	Section 33I 9O, Local Government Act 2000
356.	Duty to hold referendum relating to changing governance arrangements.	Section 33K(2) 9MB, Local Government Act 2000
367.	Power to make arrangements about incidental matters relating to community governance.	Section 99, Local Government and Public Involvement in Health Act 2007
38.	Functions in relation to the preparation and submission of the Local Area Agreement, including making proposals for revisions and/or additions to LAA targets except to the extent that cabinet is authorised under standing order 24.2 (part 3, section 1) of this constitution.	Sections 106, 110 and 111, Local Government and Public Involvement in Health Act 2007
3907.	All other matters which, by law, must be reserved to the council.	Any provision of any enactment (including a local Act) whenever passed

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Appointments to Outside or Joint Bodies

For the avoidance of doubt, the council hereby expressly reserves to itself the appointments to the following bodies:

- Local Government Association and its subsidiary bodies; and
- Any joint committees other than joint committees to be appointed by the cabinet under Article 6.

The policy framework shall include the following plans and strategies:

Plan or Strategy	Statutory Reference
Any plan or strategy for the control of the authority's borrowing, investments or capital expenditure or for determining the authority's minimum revenue provision e.g. • Medium Term Financial Strategy • Treasure Management Strategy • Investment Strategy • Capital Strategy • Reserves Strategy	Section 151, Local Government Act 1972
Council Plan	Section 1, Localism Act 2011; Section 111, Local Government Act 1972
Development Plan Documents Waste Core Strategy Minerals Plan •)	Sections 15 and 17, Planning and Compulsory Purchase Act 2004
Community Safety Agreement	Sections 5 and 6, Crime and Disorder Act 1998
Local Transport Plan	Section 108(3), Transport Act 2000
Youth Justice Plan	Section 40, Crime and Disorder Act 1998
Fire & Rescue Integrated Risk Management Plan	Section 21, Fire and Rescue Services Act 2004
Coventry and Warwickshire Strategic Economic Plan	Section 1, Localism Act 2011; Section 111, Local Government Act 1972
Sub-Regional Infrastructure Plan	(currently being drafted) Section 1, Localism Act 2011; Section 111, Local Government Act 1972

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~~Coventry and Warwickshire Skills Strategy~~	~~Section 1, Localism Act 2011; Section 111, Local Government Act 1972~~
~~Sub-Regional Procurement Strategy 2015-2020~~	~~Section 1, Localism Act 2011; Section 111, Local Government Act 1972~~
~~Commissioning Strategy for Adult and Children's Services~~	~~(to be drafted)~~
Health and Wellbeing Strategy	Section 116A, Local Government and Public Involvement in Health Act 2007
Customer Services and Access Strategy	Section 1, Localism Act 2011; Section 111, Local Government Act 1972
Annual Pay Policy Statement	Section 38, Localism Act 2011
Education Strategy	Section 13, Education act 1996
Schools Sufficiency Strategy	Section 14, Education Act 1996
Early Help Strategy 2018- 2023	Childcare Act 2006
Corporate Parenting Policy	Children Act 1989
Warwickshire Children and Young People Strategy 2021-2030 As supplemented by Early Help Strategy 2018-2023 Education Strategy Schools Sufficiency Strategy Corporate Parenting Policy	Children and Young People's Plan (England) Regulations 2005
Any other policy, plan or strategy that from time to time may be required by law to form part of the Policy Framework	

Budget

The budget includes the allocation of capital and revenue resources, the precept level, the council tax, the planned use of reserves, the county council's borrowing limit and the virement limits.

Specific Delegations by Council in respect of the Budget and Policy Framework

1. REVENUE BUDGET

1.1 The Strategic Director for Resources is directly responsible for the implementation of the budget.

1.2 Cabinet will continue to receive quarterly reports on service performance, financial performance and progress on the delivery of the savings plans.

1.3 The Strategic Director for Resources is authorised to vire revenue budgets between Services where such virements are as a direct consequence of the specific spending allocations, delivery of the savings targets, invest-to-save projects and funding strategies contained in this resolution and the accompanying capital budget resolution.

1.4 The Strategic Director for Resources, in consultation with the Leader is authorised to reverse allocations made as part of this budget process where the investment does not progress.

1.5 The Strategic Director for Resources is authorised to draw down from reserves accumulated from previous years' savings and vire money between reserves where these adjustments are as a direct consequence of the specific spending allocations, delivery of the savings targets (including where there are revenue savings from using the receipt from the sale of assets to repay debt and savings from the pro-active management of the authority's cash balances and the transfer of functions between business units), invest-to-save projects and funding strategies contained in this resolution and the accompanying capital budget resolution.

1.6 The Strategic Director for Resources is authorised to make the necessary budget adjustments to fund the new responsibilities given to the County Council during the year, or where responsibility for services transfers out, up to the level of Government funding provided/withdrawn.

1.7 The Strategic Director for Resources is instructed to remind the Strategic Directors, the Chief Fire Officer and Assistant Directors that budgets must not be overspent and that effective budget management arrangements should be the cornerstone of Services' work to secure value for money.

1.8 All member bodies, Members and officers are instructed to comply with the prescriptive legal duties placed upon the Council. The Chief Executive, Strategic Directors, Chief Fire Officer and Assistant Directors are instructed to ensure that the implementation of policies complies with legal requirements.

1.9 That authority is given for all necessary tenders to be obtained and contracts to be completed to give effect to the budget, subject to compliance with Contract Standing Orders, Financial Regulations and the key decision regime.

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2.   TREASURY MANAGEMENT STRATEGY

Treasury Management Scheme of Delegation

(i) County Council

- approval of annual strategy.
- budget consideration and approval.
- approval of the division of responsibilities.

(ii) Cabinet

- scrutinise the proposed annual strategy.
- approval of/amendments to the organisation's adopted clauses, treasury management policy
- statement and treasury management practices.

(iii) Resources and Fire & Rescue Overview and Scrutiny Committee

- reviewing the treasury management policy and procedures and making recommendations to the responsible body.
- receiving and reviewing regular monitoring reports and acting on recommendations.

The Treasury Management Role of the ~~S151~~Chief Finance (Responsible) Officer

- recommending clauses, treasury management policy/practices for approval, reviewing the same regularly, and monitoring compliance
- submitting regular treasury management policy reports
- submitting budgets and budget variations
- receiving and reviewing management information reports
- reviewing the performance of the treasury management function
- ensuring the adequacy of treasury management resources and skills, and the effective division of responsibilities within the treasury management function
- ensuring the adequacy of internal audit, and liaising with external audit
- recommending the appointment of external service providers
- entering into repurchase transactions where appropriate

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SECTION 3 – RESPONSIBILITY FOR LOCAL CHOICE FUNCTIONS

The body or person specified in the second column of the table below for each of the local choice functions in the first column, subject to any restrictions imposed by the council in the third column, shall be responsible for the discharge of the relevant local choice function.

Local Choice Function	Responsible Body or Person	Any Restriction	Statutory References
Any function under a local Act other than a function specified or referred to in regulation 2 or Schedule 1 of the Regulations.	Council	None	Local Authorities (Functions and Responsibilities) (England) Regulations 2000
The determination of an appeal against any decision made by or on behalf of the authority.	Regulatory Committee	Except to the extent powers are delegated to officers	Any enactment conferring a power on the council to determine such appeals
The making of arrangements in relation to appeals against exclusion of pupils from maintained schools.	Regulatory Committee	Except to the extent powers are delegated to officers	Section 51A2, Education Act 2002 and relevant subordinate legislation
The making of arrangements for school admission appeals.	Regulatory Committee	Except to the extent powers are delegated to officers	Section 94(1), (1A), (4) and (5), School Standards and Framework Act 1998 and relevant subordinate legislation
The making of arrangements for appeals by governing bodies against an LEA decision to admit a child permanently excluded from two schools.	Regulatory Committee	Except to the extent powers are delegated to officers	Section 87, 95(2) and 95(3A), School Standards and Framework Act 1998 and relevant subordinate legislation
The making of arrangements for questions on police matters at council meetings and for enabling questions to be put on the discharge of the functions to the police and crime commissioner.	Council	None	None
Appointing members of the council to the police and crime panel.	Council	None	Section 28 and Schedule 6, Police Reform and Social Responsibility Act 2011
Any function relating to contaminated land.	Regulatory Committee	Except to the extent powers are delegated to officers	Part IIA Environmental Protection Act 1990 and subordinate legislation

Local Choice Function		Responsible Body or Person	Any Restriction	Statutory References
The discharge of any function relating to the control of pollution or the management of air quality.		Regulatory Committee	Except to the extent powers are delegated to officers	Pollution Prevention and Control Act 1999; Part IV Environmental Protection Act 1990; Clean Air Act 1993
The obtaining of information as to interests in land.	Strategic Director for Resources	None		Section 330, Town and Country Planning Act 1990
The obtaining of particulars of persons interested in land.	Strategic Director for Resources	None		Section 16, Local Government (Miscellaneous Provisions) Act 1976
The making of agreements for the execution of highways works.	Strategic Director for Resources	None		Section 278, Highways Act 1980; Section 23 New Roads and Street Works Act 1991
The making of agreements with other local authorities for the placing of staff at the disposal of those other local authorities.		Staff and Pensions Committee	None	Section 113, Local Government Act 1972
The appointment or revocation of the appointment of any individual: (a) to an outside body or committee or sub- committee of an outside body; or (b) as a governor of community, foundation and voluntary, special and nursery schools.		Regulatory Committee	Except those appointments reserved to the full council or the executive by law or under other provision within this constitution	School Standards and Framework Act 1998 and any enactment conferring a power to make such appointments
Appointment of any individual as a governor of community, foundation and voluntary, special and nursery schools.		Regulatory Committee	In relation to schools within their respective areas	Section 36, School Standards and Framework Act 1998; Section 19 and 39(1), Education Act 2002 and any enactment

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			conferring a power to make such appointments

Local Choice Function	Responsible Body or Person	Any Restriction	Statutory References
Appointments to local trusts, voluntary organisations, etc. where the outside body operates wholly within their area.	Regulatory Committee	Except those appointments reserved to the full council or the executive by law or under other provision within this constitution	Any enactment conferring a power to make such appointments
~~Functions in relation to the preparation and submission of the Local Area Agreement, including making proposals for revisions and/or additions to LAA targets.~~	~~Council~~	~~Except to the extent that Cabinet is authorised under standing order 22.2 (part 3 section 1) of this constitution~~	~~Sections 106, 110 and 111, Local Government and Public Involvement in Health Act 2007~~

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SECTION 4 – RESPONSIBILITIES OF THE LEADER, CABINET AND PORTFOLIO HOLDERS

The Leader

Reserved Matters	General Powers	Restrictions on delegations
Overall responsibility for leading the work of the Council and Cabinet	The leader may exercise any executive power.	The leader may direct any person or body prior to the exercise of any delegated power in relation to a particular matter:
Oversight of the overall performance of the portfolio holders and the Chief Executive.	No delegation by the leader shall prevent the leader exercising those functions or withdrawing the delegation at any time.	• That the leader is to be consulted before a decision is made;
To make commitments in partnership settings, either herself or through her nominee, provided those commitments fall within the council's governance arrangements, particularly its budget and policy framework.	The leader may make any urgent decision in the exercise of executive powers notwithstanding the delegations below subject to the urgent decision procedure.	• That the leader requires the matter to be referred to cabinet for decision; and • That the leader intends to take the decision.

Cabinet – General Obligations and Powers	Executive powers include e.g.	
The leader delegates to the cabinet all the executive powers and duties other than those powers reserved by the leader. The powers and duties delegated may be exercised concurrently with other persons or bodies unless the leader directs otherwise. The executive powers and duties delegated include the following:	Adults Children Education Fire & Rescue Relevant Highways and Planning powers Registration Trading Standards Waste Disposal	Economic and Industrial Development Emergency Planning Information and Leisure Libraries and Heritage Environment and Consumers Effective Management of Resources The Coroner Smallholdings
a. Budget and Policy Framework – the cabinet is responsible for implementing the agreed budget and policy framework and the development of proposals in accordance with standing orders in part 3 of this constitution;		
b. Promotion of well-being – the promotion of the economic, social and environmental well-being of the area, and the formation of partnerships with other public, private, voluntary and community organisations; and		

c. Value for money – leading the search for value for money with a view to ensuring continuous improvement in the delivery of services.		

Portfolio Holders

Portfolio holders have the general obligations and powers set out below in relation to their portfolios. Portfolio holders are authorised to make decisions within their delegated powers provided those decisions are within the policy framework and budgetary allocations and the terms of reference of their portfolio. No portfolio holder shall make a decision where the portfolio holder would have a conflict of interest under the Members' Code of Conduct. In these circumstances the matter shall be referred back to either the leader or the cabinet for a decision.

General Obligations s	General Powers
• To take a collective responsibility for the delivery of the council's budget and policies.	• To approve revenue virements over £50,000 in accordance with financial regulations.
• To ensure the continuous improvement of the services within their own portfolio and opportunities for partnership/share working are maximised.	• To approve capital virements in accordance with the financial procedure rules.
	• To approve any bid for funding in excess of £250,000 or that will commit the council to funding in excess of £50,000 that cannot be met from a service's allocated budgetTo approve bids for external funding
• To ensure that all services and roles are developed in accordance with the council's overall policies.	• To approve the introduction of charges for services or changes to charges for services.
• To liaise effectively with each other, to ensure that policies and service delivery are integrated across all services.	• To write off irrecoverable sums in excess of £2000 £3000 and below £50,000.
	• To monitor performance and budgets.
• To maintain effective two-way dialogue with overview and scrutiny committees.	• To agree responses to external consultations that have policy implications and/or are of wider interest and/or and are not substantially technical or operational in nature.
• To ensure that services continue to be affordable and represent value for money.	• To approve proposals for consultation.
• To work with Assistant Directors and strategic directors to deliver the council's budget and policies.	• To approve variations to approved schemes and projects provided that the variation would not:
	• Exceed the overall parameters set for the scheme or project
	• exceed the approved financial envelope for the scheme or project;

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	• constitute a change to the approved policy objectives of the scheme or project; or
	• be outside the council's budget and policy framework

Portfolio	Terms of Reference	Specific Powers
Deputy Leader (Finance & Property)	Deputising for the leader, finance, delivery of the revenue budget and the overall capital programme (including external funding); procurement and contract management; property; smallholdings; facilities management; and oversight of infrastructure delivery.	• The addition to the capital programme of projects (other than those delegated to the chief finance officer) costing less than £2,000,000 that are fully funded from external grants, developer contributions, approved revenue budgets or from other funds or borrowing previously approved. • ~~The addition to the capital programme of projects costing less than £2,000,000 that are fully funded from external grants, developer contributions or from revenue~~ and ~~appropriately~~. • Proposals to procure and/or enter any executive contract or agreement on behalf of the council with a total value not exceeding £3,000,000. • Appropriations of county council land for different purposes or declaring land and property as surplus to requirements where the value is over £250,000~~100,000~~ and below £1,000,000 and authorising the disposal of such land and property. • To grant at market value and take up leases, easements and licences over county council property or for the benefit of the county council where the annual rent or fee consideration is greater than £2~~3~~5,000 and below £250,000.
Portfolio	**Terms of Reference**	**Specific Powers**
Adult Social Care & Health	Social care services to adults including the delivery of social care and support to older people and people with disabilities; policies and services for safeguarding adults; and adult mental health services. Oversight of the arrangements for commissioning adult social care services.	• Social services grants to voluntary organisations for local services over £1~~10,~~000 and below £50,000. • To make payments over £1~~10,~~000 and below £50,000 to disabled persons in appropriate circumstances.

Portfolio	Terms of Reference	Specific Powers
	Health, including public health; and the integration of health with adult and children's services.	

Children, Families and Education	Overall responsibility for the co-ordination of education and children's services.
	
	Specific responsibility for
	• child protection and safeguarding
	• Children in Care and Care Experienced Young People
	• Child exploitation
	• Family support and social care for children with specific needs (disabilities);
	• Child and adolescent mental health services
	• Youth Justice service
	• Children & Family Centres
	• Education and learning services including children with special educational needs and disabilities and inclusion
	• Early Years Education. Schools, (organisation, sufficiency planning & governance)
	• Post 16 Education, Apprenticeships & Training.
	• Links with further and higher education.
	• Adult and community education.
	• school organisation, planning and school governance.
		• Social services grants to voluntary organisations for local services over £10,1000 and below £50,000.
		
		• To make payments over £10,000 and below £50,000 to support a child in need in appropriate exceptional circumstances.
		
		• To make "exceptional needs" payments over £1000 and below £25,000 to local authority foster parents of Children children in Carecare
		
		• Approving school term holiday dates.
		
		• Approving changes to the governance arrangements of schools, including:
		
		  • Instruments of governance for new schools.
		  • Proposing appointments to interim executive boards.

Portfolio	Terms of Reference	Specific Powers
Customer & Transformation	Services relating to corporate planning and transformation programme; customer services; libraries; HR and organisational development; communication; performance management; ICT services; and legal, governance and audit.	

Economy and Place	Overall responsibility for economic development; inward investment; interface with the business community and Local Enterprise Partnership; roll-out of broadband and 5G. Place shaping for communities across the County including tackling deprivation, economic inequalities and post-Covid economic recovery.	
Environment Climate & Culture	Services relating to the Environment and Climate Change; waste management; gypsies and travelers; country parks; tourism; heritage and culture services. Localities and relationships with the voluntary and community sectors.	• Agreeing or amending tThe opening hours of local waste disposal sites provided no additional cost is involved
Fire & Rescue and Community Safety	Services relating to community safety including Fire & Rescue services; flood risk management; trading standards; emergency planning; crime and disorder reduction; drugs and alcohol; policing and criminal justice	
Transport & Planning	Services relating to the provision and maintenance of transport and highways infrastructure, including Highways and Regeneration Capital Programme; Road Safety; the Local Transport Plan; transport strategy, parking strategy; HS2; rights of way; strategic and infrastructure planning and housing.	• School crossing patrols – consideration of outcomes of three-year reviews. Decisions on (dis)establishment when a vacancy occurs in the interim period • The stopping up or diversion of highways • Power to make, – amend or revoke a gating order • Agree modifications to the Memorandum of Participation in the Parking and Traffic Regulations Outside London Adjudication Joint Committee where there are significant policy or budgetary implications • In cases where objections have been received (and not withdrawn) and in consultation with local member(s) the power to

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		determine road traffic management and accident prevention~~s~~ schemes and road traffic regulations~~s~~".

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**Inter Authority Agreement for the W2R Energy from Waste Programme
led by Staffordshire County Council**

1. Delegates to Staffordshire County Council the power to appoint an authority representative to take the decisions detailed in Schedule 3 of the Inter Authority Agreement on behalf of Warwickshire County Council.

2. Appoints the portfolio holder for environment, climate and culture as Warwickshire's elected member on the Contract Management Board and authorises any other portfolio holder to act as their deputy in the event the portfolio holder for environment is unavailable.

3. Appoints the Strategic Director for Communities or their nominee, to act as Warwickshire's officer representative on the Contract Management Board and delegates to the Strategic Director for Communities or their nominee, authority to appoint an officer to act as their deputy in the event the Strategic Director for Communities or their nominee, is unavailable.

4. Delegates to the portfolio holder for environment, climate and culture, and any other portfolio holder who may from time to time act as their deputy, the Strategic Director for Communities and officers appointed to the Contract Management Board the powers to take the decisions detailed in Schedule 3 of the Inter Authority Agreement on behalf of Warwickshire.

PROJECT W2R – INTER AUTHORITY AGREEMENT

SCHEDULE 3 - REQUIRED APPROVALS

Nature of action/decision required	Category
Appointment of the Authority's representative.	Staffordshire Matter
General contract management, assessment and implementation of KPIs, daily contract monitoring.	Authority's Representative
Review and commenting on/approval of Submitted Items pursuant to the Review Procedure.	Staffordshire Matter
Agreeing extensions of time, relief from obligations and/or compensation as a result of Compensation/Relief Events.	Staffordshire Matter, save that: (a) Staffordshire shall notify the Partners as soon as reasonably practicable upon becoming aware of any such matter; and (b) where one or more of the Partners considers that the matter in question should be referred to either the Contract Management Board or the Authorities, that Partner or those Partners shall notify the remaining Authorities within 10 business days of receipt of notification from Staffordshire and the matter shall be referred to the Contract Management Board or the Authorities (as appropriate) and the decision shall be taken as a Contract Management Board Matter or a Matter Reserved to the Authorities (as appropriate).

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Issue of an Authority Change Notice.	Contract Management Board Matter
Approval of a Contractor Change Notice.	Contract Management Board Matter
Agreeing the consequences of a Qualifying Change in Law.	Contract Management Board Matter
Approval of insurers.	Staffordshire Matter
Approval of any Reinstatement Plan.	Staffordshire Matter
Un-insurability.	Staffordshire Matter
Termination for Contractor Default pursuant to **clause 62** of the Project Agreement.	Matter reserved to the Authorities
Termination for Force Majeure pursuant to **clause 64** of the Project Agreement.	Matter reserved to the Authorities
Termination for Corrupt Gifts and Fraud pursuant to **clause 69** of the Project Agreement.	Matter reserved to the Authorities
Voluntary Termination pursuant to **clause 70** of the Project Agreement.	Matter reserved to the Authorities
Termination for breach of the Refinancing Provisions pursuant to **clause 72** of the Project Agreement.	Matter reserved to the Authorities
Step-in pursuant to **clause 33** of the Project Agreement.	Staffordshire Matter
Consent to assignment of the Project Agreement by the Contractor.	Staffordshire Matter, save that: Staffordshire shall notify the Partners as soon as reasonably practicable upon becoming aware of any such matter.
Consent to sub-contract the Project Agreement by the Contractor.	Staffordshire Matter, save that: Staffordshire shall notify the Partners as soon as reasonably practicable upon becoming aware of any such matter.
All actions and decisions relating to the Dispute Resolution Procedure under the Project Agreement.	Staffordshire Matter
Any waiver of any breach by the Contractor of the Project Agreement.	Contract Management Board Matter

SECTION 5 – RESPONSIBILITIES OF AREA COMMITTEES

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**The Area Committees were disbanded in 2012
and their functions reallocated to other bodies/individuals**

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SECTION 6 – RESPONSIBILITIES OF STAFF AND PENSIONS COMMITTEE AND REGULATORY COMMITTEE

6.1   STAFF AND PENSIONS COMMITTEE

MEMBERSHIP
6 county councillors appointed proportionately to the representation of groups and individual members on the council. The chair of the committee shall be the Portfolio Holder for Customer and Transformation.

TERMS OF REFERENCE
The committee is responsible for the following non-executive functions of the council:

Power to appoint staff, and to determine the terms and conditions on which they hold office (including procedures for their dismissal).	Section 112, Local Government Act 1972
The making of agreements with other local authorities for the placing of staff at the disposal of those other local authorities.	Section 113, Local Government Act 1972
Functions relating to local government pensions, etc.	Regulations under Sections 7, 12 or 24, Superannuation Act 1972 and Public Service Pensions Act 2013
Functions under the Firefighters' Pension Scheme, the New Firefighters' Pension Scheme (England), and the Firefighters' Compensation Sscheme (England) 2006, relating to pensions, etc. as respects persons employed by fire and rescue authorities pursuant to section 1 of the Fire and Rescue Services Act 2004.	Section 26, Fire Services Act 1947; Orders made under sections 34 or 36 of the Fire and Rescue Services Act 2004 (c.21) or under section 26(1) to (5) of the Fire Services Act 1947; and Section 12 of the Superannuation Act 1972, as applied by section 163 of that Act

The Committee is also responsible for

i.   Establishing a pool of members from which the membership of Appointments and Disciplinary Appeals Sub-Committees can be drawn;

ii.   Appointing the councillors who are not cabinet members to the Joint Negotiating Body and the Joint Negotiating Body (Teaching Staff) when required; and

iii.   Establishing the Pension Fund Investment Sub-Committee to oversee pension fund investments, management of the fund and the administration of the pension scheme.

6.2   REGULATORY COMMITTEE

The powers of the Regulatory Committee arise from a diverse range of statutory provisions. Except in so far as a matter may be an executive function, or has been reserved to the full council or delegated to other persons (including officers) or bodies under this constitution, the committee has the responsibilities set out in the following table, including the following in so far as they relate to the   matters specified in the table:

a. to grant or revoke and determine the terms (including the scale of fee, if any) of any approval, consent, licence, permission or registration; and

b. to impose, vary, modify or enforce any condition, limitation, or other restriction on any approval, consent, licence, permission or registration.

N.B. The table contains a mix of local choice and non-executive functions.

Function		Statutory Reference
Functions relating to planning development control and conservation		
1	Power to determine application for planning permission.	Sections 69 and 92, Town and Country Planning Act 1990; Town and Country Planning (Ddevelopment Management Procedure) (England) Order 201510 (S.I. 201550-5952184) and directions made thereunder those sections or that order.
2	Power to determine applications to develop land without compliance with conditions previously attached.	Section 73, Town and Country Planning Act 1990
3	Power to grant planning permission for development already carried out.	Section 73A70A, 70B and 70C, Town and Country Planning Act 1990
4	Power to decline to determine application for planning permission.	Section 70A, Town and Country Planning Act 1990
5	Duties relating to the making of determinations of planning applications.	Sections 69, 76 and 92, Town and Country Planning Act 1990; and Articles 8, 10 to 13, 15 to 22, 25 and 26, Town and Country Planning (General Development Management Procedure) Order 20151995 (S.I. 2015/5951995/419) and directions made thereunder
6	Power to determine applications for planning permission made by a local authority, alone or jointly with another person.	Section 316, Town and Country Planning Act 1990; Town and Country Planning General Regulations 1992 (S.I. 1992/1492)
7	Power to make determinations, give approvals and agree certain other matters relating to the exercise of permitted development rights.	Schedule 2 to the Town and Country Planning (General Permitted Development) Order 20151995 (S.I. 2015/5961995/418)
8	Power to enter into agreements regulating development or use of land.	Section 106, Town and Country Planning Act 1990
9	Power to issue a certificate of existing or proposed lawful use or development.	Sections 191(4) and 192(2), Town and Country Planning Act 1990
10	Power to serve a completion notice.	Section 94(2), Town and Country Planning Act 1990
11	Power to grant consent for the display of advertisements.	Section 220, Town and Country Planning Act 1990; Town and Country Planning (Control of Advertisements) (England) Regulations 2007 (S.I. 2007/783)

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		1992
12	Power to authorise entry on to land.	Section 196A, Town and Country Planning Act 1990
13	Power to require the discontinuance of a use of land.	Section 102, Town and Country Planning Act 1990
14	Power to serve a planning contravention notice, breach of condition notice, or stop notice or temporary stop notice.	Sections 171C, 171E, 187A and 183(1), Town and Country Planning Act 1990
15	Power to issue an enforcement notice.	Section 172, Town and Country Planning Act 1990
16	Power to apply for an injunction restraining a breach of planning control.	Section 187B, Town and Country Planning Act 1990
17	Power to determine applications for hazardous substances consent and related powers	Sections 9(1) and 10 Planning (Hazardous Substances) Act 1990
18	Duty to determine conditions to which old mining permissions, relevant planning permissions relating to dormant sites or active Phase I or II sites, or mineral permission relating to mining sites, as the case may be, art to be subject.	Paragraph 2(6)(a) of Schedule 2, Planning and Compensation Act 1991; Paragraph 9(6) of Schedule 13, Environment Act 1995; Paragraph 6(5) of Schedule 14 to that Act
19	Power to require proper maintenance of land.	Section 215(1), Town and Country Planning Act 1990
20	Power to determine applications for listed building consent and related powers.	Sections 16(1) and (2), 17, 27(2) and 33(1), Planning (Listed Buildings and Buildings in Conservation Areas) Act 1990
21	Power to determine applications for conservation area consent.	Section 16(1), Planning (Listed Buildings and Buildings in Conservation Areas) Act 1990, as applied by Section 74(3) of that Act
22	Duties relating to applications for listed building consent and conservation area consent.	Sections 13(1), 14(1) and 14(4), Planning (Listed Buildings and Buildings in Conservation Areas) Act 1990; Regulations 3 to 6, and 13, Town and Country Planning (Listed Buildings and Building in Conservation Areas) Regulations 1990; Arrangements for Handling Heritage Applications – Notification to Historic England and National Amenity Societies and the Secretary of State (England) Direction 2021Paragraphs 8, 15 and 22, Department of the Environment Circular 14/97
23	Power to serve a building preservation notice and related powers.	Sections 3(1) and 4(1), Planning (Listed Buildings and Buildings in Conservation Areas) Act 1990
24	Power to issue enforcement notice in relation to demolition of unlisted building in conservation areas.	Section 38, Planning (Listed Buildings and Buildings in Conservation Areas) Act 1990
25	Powers to acquire a listed building in need of repair and to serve a repairs notice.	Sections 47 and 48, Planning (Listed Buildings and Buildings in Conservation Areas) Act 1990

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26	Power to apply for an injunction in relation to a listed building.	Section 44A, Planning (Listed Buildings and Buildings in Conservation Areas) Act 1990
27	Power to execute urgent works.	Section 54, Planning (Listed Buildings and Buildings in Conservation Areas) Act 1990
28	Any function relating to contaminated land.	Part IIA, Environmental Protection Act 1990 and subordinate legislation
29	The discharge of any function relating to the control of pollution or the management of air quality.	Pollution Prevention and Control Act 1990; Part IV, Environmental Protection Act 1990; Clean Air Act 1993
30	Powers relating to the preservation of trees.	Sections 197 to 214D, Town and Country Planning Act 1990; Trees Regulations 1999 (S.I. 1999/1892)
31	Power to make limestone pavement order	Section 34(2), Wildlife and Countryside Act 1981

Function		Statutory Reference
Functions relating to highways and public rights of way		
1	Power to create footpath or bridleway by agreement.	Section 25, Highways Act 1980
2	Power to create footpaths and bridleways.	Section 26, Highways Act 1980
3	Duty to keep register of information with respect to maps, statements and declarations.	Section 31A, Highways Act 1980
4	Power to stop up footpaths and bridleways.	Section 118, Highways Act 1980
5	Power to determine application for public path extinguishment order.	Sections 118ZA and 118C(2), Highways Act 1980
6	Power to make a rail crossing extinguishment order.	Section 118A, Highways Act 1980
7	Power to make special extinguishment orders.	Section 118B, Highways Act 1980
8	Power to divert footpaths and bridleways.	Section 119, Highways Act 1980
9	Power to make a public path diversion order.	Section 119ZA and 119C(4), Highways Act 1980
10	Power to make a rail crossing diversion order.	Section 119A, Highways Act 1980
11	Power to make a special diversion order.	Section 119B, Highways Act 1980
12	Power to require applicant for an order to enter into agreement.	Section 119C, Highways Act 1980
13	Power to make an SSSI diversion order.	Section 119D, Highways Act 1980
14	Duty to keep register with respect to applications under sections 118ZA, 118C, 119ZA and 119C Highways Act 1980.	Section 121B, Highways Act 1980
15	Power to decline to determine certain applications.	Section 121C, Highways Act 1980
16	Duty to assert and protect the rights of the public to use and enjoyment of highways.	Section 130, Highways Act 1980
17	Duty to serve notice of proposed action in relation to obstruction.	Section 130A, Highways Act 1980
18	Power to apply for a variation of order under section 130B Highways Act 1980.	Section 130B(7), Highways Act 1980
19	Power to authorise temporary disturbance of surface of footpath or bridleway.	Section 135, Highways Act 1980
20	Power to temporarily divert footpath or bridleway.	Section 135A, Highways Act 1980
21	Functions relating to the making good of damage and the removal of obstructions.	Section 135B, Highways Act 1980
22	Powers relating to the removal of things so deposited on highways as to be a nuisance.	Section 149, Highways Act 1980
23	Power to extinguish certain public rights of way.	Section 32, Acquisition of Land Act 1981

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24	Duty to keep a definitive map and statement under review.	Section 53, Wildlife and Countryside Act 1981
25	Power to include modifications in other orders.	Section 53A, Wildlife and Countryside Act 1981
26	Duty to keep register of prescribed information with respect to applications under section 53(5) Wildlife and Countryside Act 1981.	Section 53B, Wildlife and Countryside Act 1981
27	Duty to reclassify roads used as public paths.	Section 54, Wildlife and Countryside Act 1981
28	Power to prepare map and statement by way of consolidation of definitive map and statement.	Section 57A, Wildlife and Countryside Act 1981
29	Power to designate footpath as cycle track.	Section 3, Cycle Tracks Act 1984
30	Power to extinguish public rights of way over land acquired for clearance.	Section 294, Housing Act 1985~~1~~
31	Power to authorise stopping-up of diversion of footpath or bridleway.	Section 257, Town and Country Planning Act 1990
32	Power to extinguish public rights of way over land held for planning purposes.	Section 258, Town and Country Planning Act 1990
33	Power to enter into agreements with respect to means of access.	Section 35, Countryside and Rights of Way Act 2000
34	Power to provide access in absence of agreement.	Section 37, Countryside and Rights of Way Act 2000
35	Power to permit deposit of builder's skip on highway.	Section 139, Highways Act 1980
36	Power to license planting retention and maintenance of trees, etc., in part of highway.	Section 142, Highways Act 1980
37	Power to authorise erection of stiles, etc., on footpaths or bridleways.	Section 142, Highways Act 1980
38	Power to grant a street works license.	Section 50, New Roads and Street Works Act 1991
39	Power to license works in relation to buildings, etc., which obstruct the highway.	Section 169, Highways Act 1980
40	Power to consent to temporary deposits or excavations in streets	Section 171, Highways Act 1980
41	Power to dispense with obligation to erect hoarding or fence.	Section 172, Highways Act 1980
42	Power to restrict the placing of rails, beams, etc., over highways.	Section 178, Highways Act 1980
43	Power to consent to construction of cellars, etc., under street.	Section 179, Highways Act 1980
44	Power to consent to the making of openings into cellars, etc., under streets, and pavement lights and ventilators.	Section 180, Highways Act 1980
45	Power to grant permission for provision, etc., of services, amenities, recreation and refreshment facilities on highway, and related powers.	Section 115E, 115F and 115K, Highways Act 1980
46	Duty to publish notice in respect of proposal to grant permission under section 115E Highways Act 1980.	Section 115G Highways Act 1980
47	Power to authorise stopping up or diversion of highway.	Section 247 Town and Country Planning Act 1990

Function		Statutory Reference
Functions relating to consumer safety and animal welfare		
1	Duty to keep list of persons entitled to sell non-medicinal poisons.	Sections 3(1)(b)(ii), 5, 6 and 11, Poisons Act 1972
2	Power to approve meat product premises.	Regulations 4 and 5, Meat Products (Hygiene) Regulations 1994 (S.I. 1994/3082)
3	Power to approve premises for the production of minced meat or meat preparations.	Regulation 4, Minced Meat and Preparations (Hygiene) Regulations 1995 (S.I. 1995/3205)
4	Power to approve dairy establishments.	Regulations 6 and 7, Dairy Products (Hygiene) Regulations 1995 (S.I. 1995/1086)
5	Functions under any of the "relevant statutory provision" for health, safety and welfare in	Within the meaning of Part I, Health and Safety at Work Act 1974 to the

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	connection with work and control of dangerous substances.	extent that those functions are discharged otherwise than in the authority's capacity as an employer
6	Power to issue, amend or replace safety certificates (whether general or special) for sports grounds.	Safety of Sports Ground Act 1975
7	Power to issue cancel, amend or replace safety certificates for regulated stands at sports grounds.	Part III, Fire Safety and Safety of Places of Sport Act 1987

Function		Statutory Reference
Functions relating to elections		
1	Duty to appoint returning officer for local government elections.	Section 35, Representation of the People Act 1983
2	Power to divide electoral divisions into polling districts at local government elections.	Section 31, Representation of the People Act 1983
3	Duty to declare vacancy in office in certain cases.	Section 86, Local Government Act 1972
4	Duty to give public notice of a casual vacancy.	Section 87, Local Government Act 1972
5	Power to determine fees and conditions for supply of copies of, or extracts from, elections documents.	Rule 48(3), Local Elections (Principal Areas) Rules 1986 (SW.I. 1986/2214)
6	Power to submit proposals to the Secretary of State for an order under section 10 (pilot schemes for local elections in England and Wales) of the Representation of the People Act 2000.	Section 10, Representation of the People Act 2000 (c2)

Function		Statutory Reference
Functions relating to appeals		
1	The determination of an appeal against any decision made by or on behalf of the authority.	Any enactment conferring a power on the council to determine such appeals
2	The making of arrangements for appeals against exclusion of pupils.	Section 52, Education Act 2002 and relevant subordinate legislation
3	The making of arrangements for school admission appeals.	Section 94(1), (1A), (4) and (5), School Standards and Framework Act 1998 and relevant subordinate legislation
4	The making of arrangements for appeals by governing bodies against an LEA decision to admit a child permanently excluded from two schools.	Sections 87, 95(2) and 95(3A), School Standards and Framework Act 1998 and relevant subordinate legislation

Function		Statutory Reference
Miscellaneous Functions		
1	The appointment or revocation of the appointment of any individual: (a) to an outside body or committee or sub-committee of an outside body; or (b) as a governor of community, foundation and voluntary, special and nursery schools.	Any enactment conferring a power to make such appointments other than those appointments reserved to the council or the executive by law or other provision within this constitution
2	Power to register common land or town and village greens except where the power is exercisable solely for the purpose of giving effect to: (a) an exchange of lands effected by an order under section 19(3) or paragraph 6(4) of schedule 3 Acquisition of Land Act 1981; or	Section 13, Commons Registration Act 1965 (c.64)

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	(b) an order under section 147 Inclosure Act 1845.	
3	Power to register variation of rights of common.	Part 1, Commons Act 2006 and The Commons Registration (England) Regulations 2014 (S.I. 2014/3038)
4	Power to license the employment of children.	Part II, Children and Young Persons Act 1933; bylaws made under that Part; Part II, Children and Young Persons Act 1963
5	Power to approve premises for the solemnisation of marriages and the formation of civil partnerships.	Section 46A, Marriage Act 1949 (c.76); Marriages and Civil Partnerships (Approved Premises) Regulations 2005 (S.I. 2005/3168)
6.	Power to make payments or provide other benefits in cases of maladministration, etc.	Section 92, Local Government Act 2000

SECTION 7 – RESPONSIBILITIES OF THE AUDIT AND STANDARDS COMMITTEE

The committee has the responsibilities set out in the following table:

Function		Statutory Reference
1	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, including: i. Approval of the internal audit strategy/plan; ii. Review of financial statements, the annual accounts, the statement of internal control, and any opinions/reports of external or internal audit or inspection agencies; iii. Assessing the effectiveness of the council's control environment, risk management and corporate governance arrangements; iv. Seeking any required assurances to ensure appropriate action is taken; v. Monitoring performance in relation to any action required; and vi. Making recommendations to cabinet and/or council as appropriate where executive action is required.	Section 27, Localism Act 2011
2	Promoting and maintaining high standards of conduct by councillors, co-opted members and church/parent governor representatives and officers.	Section 27, Localism Act 2011
3	Assisting councillors, co-opted members and church/parent governor representatives to observe the Members' Code of Conduct.	Section 27, Localism Act 2011
4	Advising the council on the adoption or revision of the Members' Code of Conduct.	Section 27, Localism Act 2011
5	Monitoring the operation of the Members' Code of Conduct.	Section 27, Localism Act 2011
6	Advising, training or arranging to train councillors, co-opted members and church/parent governor representatives on matters relating to the Members' Code of Conduct.	Section 27, Localism Act 2011
7	Considering the outcomes of investigations into complaints about members under the Code of Conduct in accordance with the complaint process agreed by the council.	Section 28, Localism Act 2011; Hearing Sub-Committee
8	Granting dispensations to councillors, co-opted members and church/parent governor representatives from requirements relating to disclosable pecuniary interests.	Section 33, Localism Act 2011; Dispensations Sub-Committee
9	Dealing with the grant and supervision of exemptions from political restriction.	Section 3A, Local Government and Housing Act 1989; Political Restriction Sub-Committee

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7.1 TERMS OF REFERENCE AND COMPOSITION OF CERTAIN SUB-COMMITTEES

The following standing arrangements apply to Hearing, Dispensation and Political Restriction Sub-Committees.

7.1.1 COMPOSITION

Any three or more elected members from the Audit and Standards Committee to sit, as and when required. Where possible the sub-committee will include representation from at least two of the political groups represented on the council. The selection of members to form a sub-committee to deal with a particular matter or matters shall be made by the chief executive.

7.2 TERMS OF REFERENCE

7.2.1 Hearing Sub-Committee

To consider complaints about members in relation to the Code of Conduct and determine whether or not there has been a failure to comply with the Code of Conduct.

Where there has been a failure to comply with the Code of Conduct itthe Sub Committee may impose sanctions with the agreement of the member concerned or make recommendations to council on the imposition of sanctions.

7.2.2 Dispensations Sub-Committee

To grant dispensations from either or both of the restrictions in section 31(4) of the Localism Act 2011 i.e. restrictions on participation and voting in relation to matters in which a member has a disclosable pecuniary interest, if in all the circumstances it considers:

a. that without the dispensation the number of persons prohibited from participating in any particular business would be so great a proportion of the body transacting the business as to impede the transaction of the business;

b. that without the dispensation the representation of different political groups on the body transacting any particular business would be so upset as to alter the likely outcome of any vote relating to the business;

c. that granting the dispensation is in the interests of persons living in the authority's area;

d. if it is an authority to which Part 1A of the Local Government Act 2000 applies and is operating executive arrangements, considers that without the dispensation each member of the authority's executive would be prohibited from participating in any particular business to be transacted by the authority's executive; or

e. that it is otherwise appropriate to grant a dispensation.

7.2.3 Political Restriction Sub-Committee

To deal with any particular matter relating to political restrictions and whether or not an exemption should be granted.

SECTION 8 – RESPONSIBILITIES OF OVERVIEW AND SCRUTINY COMMITTEES

8.1 TERMS OF REFERENCE

All Overview and Scrutiny Committees

All Overview and Scrutiny Committees shall give due regard to the key themes arising from the Council Plan and agreed priorities as published from time to time and including identified cross cutting themes when undertaking their roles.

Resources and Fire & Rescue Overview and Scrutiny Committee

To review and/or scrutinise the functions of the council relating to the fire & rescue service, budget, medium term financial strategy, council plan, planning and performance arrangements, finance, property, information technology, facilities management, workforce strategy and development, law and governance, libraries, customer service and communications.

Communities Overview and Scrutiny Committee

To review and/or scrutinise the provision of public services in Warwickshire relating to community safety, trading standards, transport and highways, economic development and environment, adult learning, heritage, tourism, flood risk management, climate change and emergency planning.

Children and Young People Overview and Scrutiny Committee

To review and/or scrutinise the provision of public services in Warwickshire relating to education and skills, services for children and young people including schools, 16-25 years education, pre-school children, child protection, family support and social care, children with specific needs and the youth service.

Adult Social Care and Health Overview and Scrutiny Committee

To review and/or scrutinise the provision of public services in Warwickshire relating to adult social care services including social care to older people and people with disabilities, policies and services for safeguarding adults and any matter relating to the planning, provision and operation of health services for adults and children serving Warwickshire.

8.2 OVERVIEW AND SCRUTINY COMMITTEES - COMPOSITION AND POWERS

8.2.1 Powers

Within their terms of reference, the overview and scrutiny committees may exercise the general powers set out in 8.3 below. In addition, the Adult Social Care and Health Overview and Scrutiny Committee, when reviewing or scrutinising health services, has the power and responsibilities set out in 8.4 below.

8.2.2 Membership – County Councillors

Each committee shall be comprised of 10 county councillors appointed proportionately to the representation of groups and individual members on the council.

8.2.3 Co-options

Children and Young People Overview and Scrutiny Committee

Two 2 parent governors and two2 church governors to be co-opted to the committee. Their terms of office and appointment are governed by statutory requirements. They may speak on children's matters but may only vote on matters relating to education.

Adult Social Care and Health Overview and Scrutiny Committee

One co-opted member from an overview and scrutiny committee of each district/borough council in Warwickshire. The co-opted members shall be voting members on matters relating to health services.

Except where statutory arrangements provide otherwise, a co-opted member shall be appointed for two years and shall hold office until the earliest of the following events:

   i.   on the expiry of 2 years from the date of appointment;
   ii.   on ceasing to be a member of their appointing body;
   iii.   on receipt of their resignation; or
   iv.   on ceasing to be an elected member of an overview and scrutiny committee of the district/borough council.

8.3   GENERAL POWERS AND RESPONSIBILITIES

Each Overview and Scrutiny Committee shall:

   i.   assist the council and the executive in the development of its budget and policy framework by considering policy issues;

   ii.   review and/or scrutinise decisions made, or actions taken in connection with the discharge of any of the council's functions or matters of public interest affecting the delivery of public services in Warwickshire;

   iii.   make reports and/or recommendations to the full council and/or the executive and/or other committees, including joint or area committees in connection with the discharge of any functions and to relevant outside bodies;

   iv.   question members of the executive and other committees and chief officers about their views on issues and proposals affecting the area;

   v.   exercise the right to call-in decisions made but not yet implemented by the executive, any area committees exercising executive function and officers making key executive decisions;

   vi.   exercising the powers of the council to request information from partners relating to local improvement targets;

   vii.   consider any matter affecting the area or it inhabitants.

   viii. comply with the overview and scrutiny statement of bBehaviours

   ix.   consider the key themes arising from the Council Plan and agreed priorities, including identified cross cutting themes when undertaking their role,

8.4   REVIEW AND SCRUTINY OF HEALTH SERVICES - ADULT SOCIAL CARE AND HEALTH OVERVIEW AND SCRUTINY COMMITTEE

8.3.18.4.1   Responsibilities

(a) In carrying out the review of a particular matter the committee must:

(i)   invite interested parties to comment; and

(ii)   take account of any available relevant information and in particular relevant information provided by the Local Healthwatch.

(b) Where the matter is referred by the Local Healthwatch:

(i)   acknowledge receipt of the matter within 20 working days; and

(ii)   keep the Local Healthwatch informed of any action taken.

8.3.28.4.2   Powers

The committee may

i.   make reports and recommendations to a relevant NHS body and/or relevant health service provider being the National Health Service Commissioning Board, a Clinical Commissioning Group, NHS Trust or NHS Foundation Trust which provides or arranges the provision of, or performs any management function, in relation to health services to persons residing in Warwickshire and in making such reports and recommendations it shall include:

a) an explanation of the matter reviewed or scrutinised;
b) a summary of the evidence considered;
c) a list of participants involved in the review or scrutiny; and
d) any recommendations on the matter reviewed or scrutinised.

ii.   make reports to the Secretary of State for Health where the committee is satisfied that a proposal by a relevant NHS body for a substantial development or substantial variation of the health service in Warwickshire:

a) would not be in the interests of the health service in Warwickshire;
b) that the arrangements for consulting on such a proposal are inadequate;
c) the reasons given for not consulting on such a proposal are inadequate;

and attempts to reach agreement with the relevant NHS body within a reasonable period of time have failed.

iii. require a relevant NHS body on reasonable notice to provide the committee with such information, other than confidential or prohibited information as defined in Regulation 26 of the Local Authority (Public Health, Health and Wellbeing Boards and Health Scrutiny) Regulations 2013 about the planning, provision and operation of health services in Warwickshire as the committee may reasonably require in order to discharge its functions.

iv. require an officer of a local NHS body on reasonable notice to attend the committee and answer such questions as appear necessary for discharging the functions of the sub-committee. No officer shall be required to provide confidential or prohibited information as defined in the relevant regulations nor answer any question they could refuse to answer for the purpose of proceedings in a court in England and Wales.

8.48.5 OVERVIEW AND SCRUTINY TASK AND FINISH GROUPS

8.4.18.5.1 Role and Protocols

Task and finish groups may be used tTo carry out scrutiny reviews commissioned by the overview and scrutiny committees. The relevant committee will appoint the members of the task and finish groups and approve their terms of reference which will include a time-frame for reporting back to the committee. Task and finish groups will be used in a dynamic fashion, be time limited –and will be cross party in so far as is possible. The role of task and finish groups is to consider the issues within their terms of reference, to provide guidance and to report back that guidance and/or recommendations to the relevant member body. Task and finish groups have no decision making remit.

The task and finish groups will meet as and when necessary. Meetings will be held in public or private as the group considers appropriate.

Task and finish groups will utilise the methods most appropriate for particular reviews ranging from select committee style events, forums, focus groups, facilitated member visits, member investigations, etc. Some may be in-depth reviews and others light touch reviews taking a short sharp look at an issue through a single meeting or event. Public involvement and stakeholder engagement will be sought where appropriate.

All reviews will report back to the relevant committee with their recommendations.

8.4.28.5.2 Membership

A task and finish group will normally consist of 6 county councillors. Chairs of the task and finish groups will be appointed by the relevant overview and scrutiny committee. The committee may appoint additional co-opted members to a task and finish group, if appropriate. This might be from existing co-opted members or from external organisations.

SECTION 9 - RESPONSIBILITIES OF OTHER COMMITTEES, ETC. AND JOINT ARRANGEMENTS

Formal Committees and Sub-Committees

9.1   HEALTH AND WELLBEING BOARD

9.1.1   Composition

The core membership is prescribed by legislation and must contain at least one county councillor, the director(s) for adult social services and children's services, the director of public health, a representative of the Local Healthwatch organisation and representative of the clinical commissioning group.

The membership:

- Members of the county council (to include the leader of the council, cabinet portfolio holder for health and cabinet portfolio holder for adult social care);
- CCG representation
- The Strategic Director for People;
- The Strategic Director for Communities;
- The Director of Public Health;
- A Local Healthwatch representative;
- The portfolio holders for health in each of the five district/borough councils; and
- A representative of the National NHS Commissioning Board.

The chair is appointed by the county council. The council's standing orders will apply except to the extent they are varied by statutory provision or these arrangements. All voting members of the Health and Wellbeing Board are bound by the Warwickshire County Council Members' Code of Conduct when acting as a member of the board.

9.1.2   Terms of Reference

Core Functions

a.   To advance the health and wellbeing of the people in its area and encourage persons who arrange for the provision of any health or social care services in that area to work in an integrated manner.

b.   To provide such advice, assistance or other support as it thinks appropriate for the purpose of encouraging the making of arrangements for pooled budget, lead commissioning or other arrangements under section 75 of the National Health Service Act 2006.

c.   To encourage persons who arrange for the provision of any health or social care services in its area and persons who arrange for the provision of any health- related services in its area to work closely together and with the Health and Wellbeing Board.

d.   To commission the production of a joint strategic needs assessment and to determine a joint health and wellbeing strategy and commissioning

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framework to meet the needs identified in the joint strategic need's assessment.

e.   To inform the local authority of its views on whether the authority is discharging its duty to have regard to the joint strategic need's assessment and joint health and wellbeing strategy in discharging relevant functions.

f.   The functions in (a) to (e) may be delegated to a sub-committee unless the council has directed otherwise. In addition, the board may establish advisory sub- committees to advise it on any matter relating to its functions.

9.1.3   Meetings

The Health and Wellbeing Board will meet regularly and at least four times per year.

9.1.4   Accountability

The Health and Wellbeing Board will report to council and cabinet on its work programme every 6 months.

The functions of the Health and Wellbeing Board are executive functions of the county council and the actions of the board will be subject to independent scrutiny from the relevant overview and scrutiny committee of the council.

9.2   APPOINTMENTS, DISCIPLINARY AND DISCIPLINARY APPEALS SUB-COMMITTEES

9.2.1   Composition

At least three elected members drawn from a pool of members agreed by the Staff and Pensions Committee to sit as and when required. The head of paid service or the monitoring officer if appropriate will make arrangements for the sub-committee with membership being proportionate to the representation of the political groups and individual members on the council and nominated by the leaders of the political groups.

9.2.2   Dismissal of Statutory Officers

Where a Disciplinary Sub-Committee is considering the proposed dismissal of the head of paid service, monitoring officer or chief finance officer it must include at least one cabinet member.

When a recommendation to dismiss the head of paid service, monitoring officer or chief finance officer is made by a Disciplinary Sub-Committee, the head of paid service or the monitoring officer as appropriate to avoid conflict of interest will convene a panel of at least two independent persons appointed under section 28(7) Localism Act 2011 to consider the proposed recommendation of the Disciplinary Sub-Committee prior to any recommendation for dismissal being made to Council.

9.2.3   Terms of Reference

i.   To determine individual appeals by employees, including teachers under the council's agreed disciplinary and grievance procedures.

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ii.   To deal with the removal from office of strategic directors and chief officers and other statutory officers appointed by the council.

iii.   To deal with the appointment of strategic directors and chief officers, Assistant Directors and other statutory officers appointed by the council.

iv.   To make recommendations to council regarding the appointment of the head of paid service, the monitoring officer and the chief finance officer

9.3   PENSION FUND INVESTMENT SUB-COMMITTEE

9.3.1   Composition

Five councillors allocated proportionately to the representation of groups and individual members on the council. This operates as a sub-committee of the Staff and Pensions Committee.

9.3.2   Terms of Reference

To oversee the investment policy relating to the pension fund and to ensure appropriate management of the fund and administration of the pension scheme.

9.3.3   Rules of Procedure

The proceedings of formal committees and sub-committees shall be governed by the standing orders in part 3 of this constitution.

Informal Groups

9.4   LEADERS LIAISON GROUP

9.4.1   Composition

The leader and deputy leader of the Conservative Group; The leader and deputy leader of the Liberal Democrat Group; The leader and deputy leader of the Labour Group;

9.4.2   Terms of Reference

To provide a forum for the leaders and deputy leaders of these political groups on the council to consult on issues relating to the work of the council.

9.5   CORPORATE PARENTING PANEL

9.5.1   Composition

Six members of the county council.

9.5.2   Terms of Reference

To secure elected member and cross organisation support and commitment for delivering improved services and better outcomes for children in care, young people and Care Experienced Young People.

9.6   JOINT NEGOTIATING BODY (STAFF)

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9.6.1 Composition

Two members of the cabinet and two other councillors, and representatives of relevant trade unions.

9.6.2 Terms of Reference

To provide a forum for discussions with relevant trade unions in relation to conditions of service of members of staff (other than teachers in any school or other institution under the control of the council) and to recommend to the Staff and Pensions Committee any changes or amendments to those conditions of service.

9.7 JOINT NEGOTIATING BODY (TEACHING STAFF)

9.7.1 Composition

Two members of the cabinet and two other councillors, and representatives of relevant trade unions.

9.7.2 Terms of Reference

To provide a forum for discussions with relevant trade unions in relation to conditions of service of members of teachers in any school or other institution under the control of the council and to recommend to the Staff and Pensions Committee any changes or amendments to those conditions of service.

Statutory Bodies

The council is required to establish the following bodies under specific statutory provisions which govern their remit and conduct.

9.8 POLICE AND CRIME PANEL

9.8.1 Composition

<u>Ten elected members</u>

A councillor from each of the following constituent authorities:

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

The county council appoints four additional county councillors to ensure the fair representation principle and balanced appointment objective are met. In selecting county councillors for these additional appointments, the county council will seek to ensure that each district/borough administrative area has a county councillor from that area.

The county council shall review its appointments of the four additional councillors annually to ensure the fair representation principle and balanced appointment objective continues to be met. The review will take place following the outcome of

any ordinary elections in any of the constituent authorities.

The constituent authorities may from time to time change their nomination or appointments to the panel and may arrange for a substitute to attend any meeting of the panel. Substitutes should normally be drawn from the same political party as the member they are replacing.

~~Two co~~ Co-opted members ~~appointed by the panel~~

The panel appoints two co-opted members who are not elected members of any of the constituent authorities. In making those appointments the panel shall have regard to the balanced appointment objective.

Additional co-opted members

The panel can apply to the Secretary of State for consent to appoint up to eight ~~8~~ additional co-opted members and in doing so should set out how its proposals would enhance the balanced appointment objective.

Balanced appointment objective

Councillor members and councillor co-opted members when taken together should:

Represent all parts of the police area;
Represent the political make-up of the relevant authorities when taken together; and
Have the skills, knowledge and experience necessary for the police and crime panel to discharge its functions effectively.

Duration of Appointments

Elected members continue on the panel until the person appointed is replaced or removed by their nominating/appointing body or they resign or cease to be an elected member.

Co-opted members continue until their term of appointment comes to an end, the person appointed resigns, is replace or removed by the panel. The term of appointment of a co-opted member may not be more than 4 years but a co-opted member may be re-appointed for further periods not exceeding 4 years at a time.

9.8.2 Terms of Reference

The panel is established as a joint committee of the constituent councils under section 28 of the Police Reform and Social Responsibility Act 2011.

The purpose of the panel is to support the effective exercise of the functions of the police and crime commissioner for Warwickshire.

Powers

a.   To review the draft police and crime plan including any draft version and make report or recommendation on the draft plan to the commissioner.

b. To review the proposals made by the commissioner for the precept (budget) and to report and make recommendations to the commissioner. The panel may veto the proposed precept on a 2/3rd majority of the membership of the

panel.

c. To review and/or scrutinise decisions made or other action by the commissioner in discharge of their functions and make reports or recommendations to the commissioner.

d. To suspend the commissioner if it appears, they have been charged with an offence in the UK, Channel Islands or Isle of Man which carries a maximum term of imprisonment exceeding 2 years.

e. To appoint an acting commissioners from the commissioner's staff in the following circumstances:

  i. No person holds office for Warwickshire; or
  ii. The commissioner is incapacitated; or
  iii. The commissioner is suspended.

f. To review and hold confirmation hearings in relation to proposals by the commissioner to appoint a chief executive, chief finance officer or deputy police and crime commissioner.

g. To review and hold a confirmation hearing in relation to a proposal by the commissioner to appoint a chief constable. The panel may veto the proposed appointment on a 2/3d majority of the membership of the panel.

h. To review and hold a scrutiny hearing in relation to a proposal by the commissioner to remove a chief constable.

i. To publish any reports or recommendations made to the commissioner as it sees fit and to send a copy to each constituent local authority.

j. To require the commissioner or any of their staff to attend on reasonable notice to answer questions necessary to the functions of the panel and/or respond in writing to any report or recommendations made. Where the commissioner is required to attend the chief constable (on reasonable notice) can be requested to attend at the same time to answer questions.

9.8.3 Rules of Procedure

The panel shall operate in accordance with the rules of procedure agreed by panel on 5 December 2012 and amended by the panel from time to time. These can be viewed on the website http://www.warwickshire.gov.uk/policeandcrime

9.9 LOCAL PENSION BOARD

9.9.1 Composition

Seven members to include:

i. Three pension scheme member representatives (nominated by scheme employers to ensure a broad representation of scheme membership).

ii. Three employer representatives nominated by categories of employers to include one elected member (acting for the county council), one precepting employer and one non-precepting employer.

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iii. One independent representative appointed following a recruitment and selection process in accordance with current Warwickshire County Council's policy and procedure.

The Independent representative shall chair the board.

No substitution of members at meetings is allowed.

In the event of consistent non-attendance, or failure to achieve and maintain the required level of knowledge and skills by any board member, then the tenure of that member shall be reviewed by the chair in liaison with the scheme manager. The scheme manager has the final decision on whether to remove the board member. Other than by ceasing to be eligible, a board member may only be removed from office during a term of appointment by the scheme manager in consultation with the board members or, in the case of an elected member of the county council, ceasing to be a member.

9.9.2 Terms of Reference

The Local Pension Board is established under the Public Services Pensions Act 2013 with the following roles:

a) To assist the scheme manager:

   i. To secure the effective and efficient governance and administration of the Local Government Pension Scheme (LGPS) for the Warwickshire Pension Fund by effectively and efficiently complying with the code of practice on the governance and administration of public service pensions schemes issued by the Pensions Regulator;
   ii. To secure compliance with the LGPS regulations and any other legislation relating to the governance and administration of the LGPS;
   iii. To secure compliance with requirements imposed in relation to the LGPS by the Pensions Regulator; and
   iv. In such other matters as the LGPS regulations may specify.

b) To provide the scheme manager with such information to ensure that any member of the pension board or person appointed does not have a conflict of interest.

c) To produce an annual report to the scheme manager outlining the work of the board throughout the scheme year.

The pension board will not have decision-making powers in relation to the Warwickshire Pension Fund but may refer issues to the Pensions Regulator. The board has the ability to hear disputes employers may have with the fund.

The full terms of reference, including the agreed Conflicts of Interest policy are available on the website: https://www.warwickshire.gov.uk/pensions

9.10 FIRE AND RESCUE LOCAL PENSION BOARD

9.10.1 Composition

The membership of the Board shall consist of seven members each to include:

(a) Three Scheme Member Representatives (nominated by scheme employers to ensure a broad representation of scheme membership).

(b) Three Employer Representatives

(c) One Independent Representative to be appointed by the Scheme Manager following a recruitment and selection process meeting the Terms of Reference of the Board from time to time

Scheme Member and Employer Representatives to remain equal at all times.

The Independent Representative shall chair the Board

No substitution of members at meetings is allowed.

In the event of consistent non-attendance, or failure to achieve and maintain the required level of knowledge and skills by any board member, then the tenure of that member shall be reviewed by the chair in liaison with the scheme manager. The scheme manager has the final decision on whether to remove the board member. Other than by ceasing to be eligible, a board member may only be removed from office during a term of appointment by the scheme manager in consultation with the board members or, in the case of an elected member of the county council, ceasing to be a member, or in the case of an officer of the Council ceasing to hold that role.

9.10.2 Terms of Reference

The role of the Warwickshire Fire and Rescue Local Pension Board of the Firefighters' Pension Scheme as defined by The Firefighters' Pension Scheme (amendment) (Governance) Regulations 2015 (the 'Regulations') is to –

(a) Assist the Scheme Manager
  - to secure the effective and efficient governance and administration of the Firefighters' Pension Scheme ("FFPS") by effectively and efficiently complying with the code of practice on the governance and administration of public service pension schemes issued by the Pension Regulator;

  - to secure compliance with the Regulations and any other legislation relating to the governance and administration of the FFPS;

  - to secure compliance with requirements imposed in relation to the FFPS by the Pensions Regulator; and

  - in such other matters as the Regulations may specify

(b) Provide the Scheme Manager with such information as it requires to ensure that any member of the Pension Board or person to be appointed to the Pension Board does not have a conflict of interest;

(c) Produce an annual report to the Scheme Manager outlining the work of the Pension Board throughout the scheme year.

The Pension Board shall meet sufficiently regularly to discharge its duties and responsibilities effectively.

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The Pension Board will not have decision making powers in relation to the FFPS save to refer issues to the Pension Regulator. It will have the ability to hear disputes employers may have with the Fund.

The full Terms of Reference can be found at [   ]

9.109.11   SCHOOLS FORUM

(a) **Composition**

The Warwickshire Schools Forum is established under the Education Act 2002. The forum consists of "school" and "non-school" members. School members and academy members must together comprise at least two thirds of the membership of the forum.

The forum has its own constitution governed by statutory requirements which details membership and voting rights.

(b) **Terms of Reference**

The powers and responsibilities of the school's forum include:

Giving a view on:

- Schools' funding formula changes, including redistributions;

- Significant contracts to be let by the council paid out of the schools' budget;

- Financial issues relating to the arrangements for pupils with SEN, in particular the places to be commissioned by the local authority and schools, and the arrangements for paying top up funding, pupil referral units, in particular the places to be commissioned by the local authority and schools and the arrangements for paying top up funding, early years provision, allocation of central government grant;

- The Minimum Funding Guarantee.

Making decisions about:

- De-delegation from the schools' budget for mainstream schools for contingencies, administration of free school meals, insurance, licences, staff costs (supply cover), support for underachieving studentssupport for ethnic pupils/under-achieving groups, behavioural support services, and library and museum services.

- Retaining funding for central spending on pre-16 significant pupil growth, falling rolls fund for surplus places in good or outstanding schools where there is a population bulge expected in 2-3 years, equal pay back pay, places in independent schools for non-SEN pupils and early years expenditure.

- The budget set aside for admissions, servicing of school's forum, CERA, combined budgets, centrally funded termination of employment costs,

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prudential borrowing and SEN transport.

- The carry forward of a deficit on central expenditure to the next year to be funded from the schools' budget.

- Changes to the scheme of financial management.

9.11 9.12   STANDING ADVISORY COUNCIL ON RELIGIOUS EDUCATION (SACRE)

9.11.1 9.12.1   Composition

Five councillors appointed proportionately to the representation of groups and individual members on the council; five representatives of the Church of England; fourteen representatives of Christian and other religious denominations; six teacher representatives and any other persons co-opted by the body.

The body shall meet at least twice in each year and hold other meetings as necessary. Voting shall be in accordance with the constitution of SACRE.

9.11.2 9.12.2   Terms of Reference

- To advise the cabinet on religious worship and religious education within schools.
- To determine applications by individual schools for exemptions from the requirements of Christian worship.

Joint Arrangements

9.12 9.13   HIGHWAY AGENCIES

The council has highway agency agreements with the following:

- Nuneaton and Bedworth Borough Council
- Rugby Borough Council

Warwick District Councilcurrently has no highway agency agreements in place

9.13 9.14   JOINT USE AGREEMENTS

The council has also entered into agreements for the joint use of a number of educational and sports facilities:

- Alderman Smith School – Sports Hall and sports facilities
- Campion School – Sports Hall
- Etone School – Sports Hall, sports facilities and part of the school
- Nicholas Chamberlaine School – Sports Centre
- Polesworth High School – Sports Hall

Stour Valley Community School – Swimming Poolno current joint use agreements

Joint Committees and Panels

9.14 9.15   EASTERN SHIRES PURCHASING ORGANISATION [ESPO] MANAGEMENT COMMITTEE

9.14.1 9.15.1   Composition

Warwickshire County Council; Leicestershire County Council; Lincolnshire County Council; Cambridgeshire County Council; Norfolk County Council; Leicester City Council and Peterborough City Council.

9.14.2 9.15.2   **Purpose**

To improve and maintain effective, efficient and economical arrangements for the supply of goods and services to its constituent authorities.

9.159.16   ALL LOCAL AUTHORITIES OUTSIDE LONDON ADJUDICATION JOINT COMMITTEES

9.15.19.16.1   Composition

All Local Authorities outside London with responsibilities for on-street parking and traffic regulation.

9.15.29.16.2   Purpose

To administer an adjudication service in respect of civil enforcement of parking and traffic regulation.

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Part 2(10)

SECTION 10 – DELEGATIONS TO OFFICERS

LOCAL GOVERNMENT ACT 1972: SECTIONS 100 G(2) AND 101
LOCAL GOVERNMENT ACT 2000: SECTION 15

[Throughout this section document reference to "The Act of 1972" will be reference to the Local Government Act 1972, as amended by the Local Government (Access to Information) Act 1985 or any other statutory enactment.]

The tables in the following sections below list the powers and duties delegated to officers by the council and the executive. Local choice functions are not separately identified, they are included as either an executive or non-executive function depending on whether or not the function has been allocated to the executive.

PART A: GENERAL DELEGATIONS TO STRATEGIC DIRECTORS AND CHIEF EXECUTIVE or their nominees

1. Any member body or executive member may delegate their powers to the Chief Executive and/or Strategic Directors subject to any statutory restriction and the General Scheme of Delegation in Part 2 Section 1 of this Constitution.

2. Statutory officers (the i.e. head of paid service, the monitoring officer, the chief finance officer, the director of public health and any other proper officer or holder of any statutory role) may exercise those statutory powers which are necessary to fulfil their statutory roles.

2.3. The Chief Executive, Strategic Directors and Assistant Directors shall be responsible for ensuring that their list of delegated powers (and any onward delegations) is kept up to date and appropriate authority obtained from the relevant member body to any changes.

3.4. Any officer to whom powers have been delegated shall be authorised to further delegate any of their powers to their nominee's subject to any statutory prohibition or express restriction within the delegation itself. If such authorisations are made, the relevant officer shall prepare and maintain a written schedule of authorisations to be available for inspection by the Monitoring Officer,

The Chief Executive, Strategic Directors and Assistant Directors shall be responsible for ensuring that their list of delegated powers (and any onward delegations) is kept up to date and appropriate authority obtained from the relevant member body of any change.

4.

5. The Council and Leader have delegated the following general powers to the Chief Executive and Strategic Directors who in turn have delegated these to Assistant Directors or their nominees in relation to services or functions for which they are responsible and subject to acting within approved budgets:

   i. Taking and implementing decisions on matters relating to day to day administration
   ii. Taking and implementing decisions to maintain the operation and effectiveness of services or functions, including the production, amendment, review and deletion of all plans, policies, procedures, strategies and other

ii. iii. similar documents except those that form part of the Policy Framework.

ii. iii. To enter into contracts and arrangements (subject to compliance with the constitution, including Contract Standing Orders, and the law) necessary to facilitate service delivery or to procure works, services or supplies incidental to service delivery

iii. iv. Taking any necessary decisions incidental to policy decisions that have been taken by elected members

iv. v. To determine the appointment, promotion and salary levels of the council's employees and other conditions of service matters in accordance with the council's grading structure and policy guidelines (other than in respect of the Statutory Officer roles and the appointment of the Chief Executive, Strategic Directors and Assistant Directors which are subject to specific delegations and constitutional requirements)

v. vi. To write off as irrecoverable sums due to the Council up to the limit of £1000 up to £2000, subject to appropriate legal and financial advice having been taken, and in consultation with Portfolio Holder and/or Leader where considered appropriate by the Chief Executive

vi. vii. To obtain all necessary tenders and completion of contracts to give effect to the agreed revenue budget and capital programme, subject to compliance with Contract Standing Orders, Financial Regulations and the key decision regime.

vii. viii. To prepare reports for member bodies or executive members that comply with the access to information regime, the Council's standing orders and any other legal requirements. All reports to member bodies must have been signed off prior to publication by legal services and finance in accordance with the procedures of the council's committee management process

ix. To approve requests for ex gratia payments to complainants up to and including £1000 in relation to upheld complaints or in consultation with the chief finance officer in relation to other complaints where a financial remedy is considered to be appropriate and to make arrangements for the payment of any awards made by a court, a tribunal or other regulatory body.

x. To make a formal response on behalf of the County Council, to any White Papers, Green Papers, Government Consultation Papers or other consultative document which do not have policy implications and/or are substantially technical or operational in nature in consultation with the Leader and/or will relevant Portfolio Holder(s) and/or Chairs of Overview and Scrutiny on the proposed response. .

viii. xi. Authorizing responses to planning licensing and similar consultations within their area of responsibility which do not have policy implications and/or are substantially technical or operational in nature in consultation with the Leader and/or relevant Portfolio Holder(s) and/or Chairs of Overview and Scrutiny on the proposed response save where expressly delegated in Appendix A to Part 2(10)

6. Any officer delegating powers to other officers may at any time prior to the exercise of that power in relation to a particular matter withdraw that delegation.

7. Any officer exercising delegated powers is obliged to comply with any prescriptive legal duties on the Council and ensure that the implementation of policy complies with legal requirements.

8. The Council and the Leader have delegated the specific powers in Part B to the Chief Executive and the Strategic Directors or their nominees.

9. Where an officer listed in this Scheme of Delegation is absent for any period, the Chief Executive may nominate in writing another officer to act in their place during their absence and shall make a record of all such nominations.

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10.   The exercise of functions delegated to officers under this scheme must comply with:
- any legal requirement or restriction;
- any relevant provision in the Council's Constitution;
- the Council's policy framework and any other plans and strategies approved by the Council;
- the relevant in-year budget;
- the relevant officers' code of conduct;
- the Council's Financial Regulations and Contract Standing Orders;
- all other relevant policies, procedures, protocols and provisions.

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Limitations to the Exercise of Delegated Powers

11.   Officers in the exercise of functions delegated by this scheme may not change or contravene policies or strategies approved by the Council in the absence of specific delegated authority to do so.

12.   Where an officer takes a decision under delegated authority on a matter which has significant policy, service or operational implications or is known to be politically sensitive, the officer shallwill first consult with the Leader and/or Portfolio Holder as appropriate before exercising the delegated powers

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13.   When exercising delegated powers, officers shall ensure that local Members are kept informed of matters affecting their divisions.

Statutory Officers

Statutory Officer	Post Held
Head of Paid Service	Chief Executive
Monitoring Officer	Assistant Director for Governance & Policy
Chief Finance Officer	Strategic Director for Resources
Proper Officer Registration Services	Assistant Director for Business & Customer Support Services
Director of Public Health	Director of Public Health
Director of Children's Services	Strategic Director for People
Director of Adult Social Services	Strategic Director for People
Proper Officer for purposes of the Health PpProtection (Notification) Regulations 2010	Director of Public Health
Proper Officer for all other purposes for which another person has not been appointed as proper officer	Chief Executive

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PART B – SPECIFIC DELEGATIONS TO SRATEGIC DIRECTORS AND CHIEF EXECUTIVE or their nominees

To the Chief Executive, and to each Director and Statutory Officer are delegated the following powers and decisions including those specific delegations set out in Appendix A to Part 2(10) of this Constit**ution** The delegations in Appendix A are not exhaustive of the following general powers and decisions and some are additional to them. Any reference in Appendix A to an enactment includes a reference to that enactment as subsequently modified and to the corresponding provision as re-enacted (with or without modification) in any subsequent enactment

Nothing within this Part shall enable officers to make decisions properly reserved within this constitution to Members, or to override any specific delegations properly made by any member body to any group or individual

POWERS IN AN EMERGENCY

1. The Chief Executive is empowered, in consultation with the Leader, Group Leaders and the relevant Portfolio Holder, to take all necessary decisions in cases of emergency provided the Access to Information Rules are met.
2. Where the decision involves incurring expenditure for which there is no provision the Chief Executive will also consult with the Strategic Director for Resources before the decision is taken and ensure that the source of funding is identified.
3. For the purposes of this section, emergency shall mean any situation in which the Chief Executive believes that failure to act would seriously prejudice the Council or the public interests, and it is not practicable to call an urgent meeting or to defer the decision to the next meeting of the relevant decision-making body. The emergency period ends at the point at which these criteria are no longer met.
4. Details of the exercise of this power by the Chief Executive will be included in the annual report to Council under Standing Order 19.1 and reported to the next appropriate meeting of the relevant decision making body following conclusion of the emergency period.

CHIEF EXECUTIVE

1. All the reasonably necessary powers and decisions required to enable the Chief Executive to fulfil the role of Head of Paid Service
2. All the reasonably necessary powers and decisions required to enable the Chief Executive to fulfil the role of Returning Officer for County Elections
3. All the reasonably necessary powers and decisions required to enable the Chief Executive to fulfil the role of Proper Officer for any purpose for which another person has not been appointed as proper officer
4. Those specific powers and delegations set out in Appendix A[   ] to Part 2(10)

STRATEGIC DIRECTOR FOR RESOURCES

1. All the reasonably necessary powers and decisions required to enable the Strategic Director for Resources to fulfil the role of chief finance officer
2. To approve bids for external funding not exceedingbelow £250,000 and where
   a. The bid will not commit the Council to funding in excess of £50,000 and the service can provide the funding from within its existing budget or
   b. the bid is a partnership submission in which the County Council is one of several bodies and the council's involvement in the partnership has been validly authorised or

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     c.   the bid is made to further a scheme that has already been validly approved by the appropriate member body.
3. Those specific powers and delegations set out in Appendix A to Part 2(10)

STRATEGIC DIRECTOR FOR PEOPLE

1. All the reasonably necessary powers and decisions required to enable the Strategic Director for People to fulfil the role of Director of Children's Services and Director of Adult Social Services?? and to facilitate the provision of the Council's statutory functions in the area of social care (save where there is a specific delegation in Appendix A to Part 2(10) to the Strategic Director for Communities) [   ]
2. Those specific powers and delegations set out in Appendix A to Part 2(10)

STRATEGIC DIRECTOR FOR COMMUNITIES

1. To exercise in consultation with the relevant Portfolio Hilder and as appropriate the Chair of the Regulatory Committee all of the functions of the Council as a highway, traffic, street, street works, access, transport, waste disposal, weights and measures, flood, hazardous substances and planning authority under any legislation, and any functions incidental to or assisting in the exercise of such functions, other than any powers:
   - expressly and specifically delegated to the Chief Executive or Strategic Director for Resources
   - to acquire an interest in land (voluntarily or compulsorily)
   - to adopt or vary or submit to the secretary of state for examination a local development document or a document in the Policy Framework
   - to determine any charges payable by a user of the highway or of parking places provided by the council as a traffic authority or any other charges payable by the general public where the council is given a discretion to determine the amount of the charge by a statutory provision specific to that particular kind of charge
   - make a statutory order, regulation or byelaw other than one expressly delegated to him or her in Appendix A[] to Part 2(10)
   and provided that any limitation or restriction on the exercise of any powers imposed in relation to a specific delegation in Appendix A[] to Part 2(10) is observed.
2. Those specific powers and delegations set out in Appendix A[   ] to Part 2(10)

PART B: SPECIFIC DELEGATIONS TO STRATEGIC DIRECTORS
THESE TO BE RETAINED BUT MOVED TO AN APPENDIX

Appendix A to Part 2(10)
Chief Executive and Strategic Directors:

CHIEF EXECUTIVE, STRATEGIC DIRECTORS or their nominees		
Powers and duties	Statutory Reference	Function Type

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1	The strategic director originating the report or, in the case of a joint report, the first named strategic director, to decide what are the background papers used or referred to in the preparation of the report, to list the background papers on the report and to make a copy of the background papers available for public inspection.	Sections 100 D(1)(a) and 100 D(5)(a), The Act of 1972; ~~Regulations 6 and 21, Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000~~ Regulations 15 and 20, Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 as amended; Local Government (Access to Information) Variation Order 2006	Non-executive - reports to the full council and its committees Executive - reports to cabinet, its committees and officer key decisions
2	The strategic director proposing to take a report to a member body in respect of a key decision or strategic director proposing to take a key decision is responsible for giving prior notice of that decision to the monitoring officer in accordance with the Access to Information Regime.	~~Regulations 14 to 16, Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000~~ Regulations 8 to11 Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012	Executive - reports to cabinet and its committees or other member bodies making key executive decisions
3	The strategic director prior to taking a key decision is responsible for making any reports received available for public inspection unless it would disclose confidential or exempt information as defined in the Access to Information Regime.	~~Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000~~ Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England)	Executive

			Regulations 2012	
4	The strategic director immediately after making a key decision is responsible for producing a written statement setting out the decision, the reasons for the decision, any options considered or rejected, any reports taken into account, any interest declared by a member consulted in respect of the decision and any dispensation granted by the standards committee and sending the written statement and any reports taken into account to the monitoring officer who will make the written statement and any accompanying reports available for public inspection unless it would disclose confidential or exempt information.	Regulation 4, Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000;Regulation 13 Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012

Regulations 145 and 204, Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012 Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 | Executive |

CHIEF EXECUTIVE, STRATEGIC DIRECTORS or their nominees (cont'd)		
Powers and duties	**Statutory Reference**	**Function Type**
5	No strategic director or any person nominated by them shall make a key decision which does not comply with the Access to Information Regime.	Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 as amended Local Authorities (Executive Arrangements)	Executive

		(Meetings and Access to Information) (England) Regulations 2012	
6	Reports by strategic directors referring to the finances of the council shall not be circulated to members without consultation with the Chief Finance Officer.	Section 151, The Act of 1972	Executive or non-executive depending on the context
7	Responsibility for ensuring that financial regulations, finance rules and financial instructions are observed throughout the departments under their control.	Section 151, The Act of 1972	Non-executive
8	Responsibility to notify the strategic director for resources of all officers designated to certify and authorise invoices for payment together with specimen signatures	Section 151, The Act of 1972	Non-executive
9	Responsibility for ensuring accurate and prompt input of payments data to the creditor's payments system.	Sections 111 and 151, The Act of 1972	Executive or non-executive depending on the context
10	Responsibility to collect all income as detailed in the appropriate revenue budgets.	Sections 111 and 151, The Act of 1972	Executive
11	With the approval of the strategic director for resources and after consultation with the chair of the cabinet, to agree to the council incurring revenue expenditure for which there is no provision in any vote in the annual or supplementary estimates approved by the council or to agree reduced income, where it is not possible to obtain the necessary approval in accordance with the normal committee procedures because of urgency, provided: (i) the expenditure can be met from within the earmarked reserves of the directorate concerned; and (ii) any requirements of the Access to Information Regime are met. Any proposal to spend beyond the directorates earmarked reserves shall be referred to the full council.	Sections 101, 111 and 151, The Act of 1972; Section 9E, Local Government Act 2000; ~~Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000~~ Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012; Local Authorities (Functions and Responsibilities) (England) Regulations 2000	Executive or non-executive depending on the context

CHIEF EXECUTIVE, STRATEGIC DIRECTORS or their nominees (cont'd)			
	Powers and duties	**Statutory Reference**	**Function Type**
12	Responsibility to render promptly official invoices for sums due to the council and to notify the strategic director for resources of appropriate details.	Section 151, The Act of 1972	Executive or non-executive depending on the context
13	Responsibility to comply with contract standing orders and ensure every contract and variation to a contract is executed in writing and, in relation to capital contracts where the variation involves a material alteration or extension of the scope of the contract, whether or not the cost can be met within the contract to obtain the prior agreement of the strategic director for resources.	Sections 111, 135 and 151, The Act of 1972 and any other relevant enactment	Executive or non-executive depending on the context

10.1   Chief Executive

CHIEF EXECUTIVE or their nominees			
	Powers and duties	**Statutory Reference**	**Function Type**
1	To act as the proper officer for the purposes of any functions conferred on the council for which another person has not been appointed as proper officerexcept those functions expressly delegated to other officers	The Act of 1972 and any other enactment conferring functions on the council	Executive or non-executive depending on the context
2	To act as the head of paid service of the council.	Section 4, Local Government & Housing Act 1989	Non-executive
3	To act as the returning officer for elections of county councillors.	Section 35, Representation of the People Act 1983	Non-executive
4	To receive and/or witness declarations of acceptance of office.	Section 83, The Act of 1972	Non-executive
5	To receive resignations of members of the council.	Section 84, The Act of 1972	Non-executive
6	To convene meetings of the council to fill a vacancy in the office of chairman.	Section 88, The Act of 1972	Non-executive
7	To receive notice of a casual vacancy from two local government electors.	Section 89(1)(b), The Act of 1972	Non-executive
8	To sign the summons to members to attend council meetings.	Schedule 12, The Act of 1972	Non-executive
9	To sign the summons to members to attend meetings of the executive.	Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012	Executive

		Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000	
10	To receive and deal with documents relating to elections.	Local Elections (Principal Areas) (England and Wales) Rules 2006

Local (Principal Election Areas) Rules 1986 | Non-executive |

CHIEF EXECUTIVE or their nominees (cont'd)			
	Powers and duties	**Statutory Reference**	**Function Type**
11	To review the scale of fees for the conduct of elections before each county council quadrennial election to ensure that they are comparable with those paid by the Warwickshire District Councils.	Section 36, Representation of the People Act 1983;

Section 111, The Act of 1972 | Non-executive |
| 12 | To approve the payment of any future revised maxima notified in respect of members' allowances. | Sections 173 to 178, The Act of 1972; Section 18, Local Government & Housing Act 1989 | Non-executive |
| 13 | Together with the Strategic Director Resources review members' quarterly postage and stationery allowances annually in line with changes in the retail price index and to review the initial members' allowance after each quadrennial election on the same basis. | Sections 173 to 178, The Act of 1972;

Section 18, Local Government & Housing Act 1989 | Non-executive |
14	Authority to receive money from officers accountable for it.	Section 115, The Act of 1972	Non-executive
15	To issue certificates and make statutory declarations concerning the transfer of securities held by the council.	Section 146, The Act of 1972	Executive
16	To affix the common seal of the council to any document required to give effect to decisions of the council, any member body or officer acting with delegated powers.	Sections 111 and 135, The Act of 1972	Executive or non-executive depending on the context
17	To receive and deal with applications from ordnance survey for assistance in preparation of ordnance survey maps.	Section 191, The Act of 1972	Executive

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18	To receive documents to be held in the custody of the council.	Section 225, The Act of 1972	Executive or non-executive depending on the context
19	To certify photographic copies of documents.	Section 229, The Act of 1972	Executive or non-executive depending on the context
20	To authenticate documents.	Sections 234 and 238, The Act of 1972	Executive or non-executive depending on the context
21	To send copies of bylaws to district councils.	Section 236, The Act of 1972	Non-executive

CHIEF EXECUTIVE or their nominees (cont'd)		
	Powers and duties	**Statutory Reference**	**Function Type**
22	To institute, prosecute or to defend, compromise or to appear in any legal proceedings.	Section 222, The Act of 1972 and any other enactment conferring powers on the council	Executive or non-executive depending on the context
23	To act as the authorised representative of the council in respect of all companies of which the council is, or may become, a member or a shareholder.	Section 323, Companies Act 2006	Executive or non-executive depending on the context
24	To approve, after consultation with the chair of the staff and pensions committee and chair of the cabinet, voluntary redundancies where it is in the council's interest to allow the employee concerned to retire early (or otherwise take voluntary redundancy on the council's usual terms) and there would be a net financial cost to the authority in doing so.	Section 112, The Act of 1972	Non-executive
25	Subject to policy guidelines laid down by the council, to approve proposals on personnel matters from employing departments and, in respect of proposals not falling within the guidelines, to exercise their discretion to approve the proposals.	Section 112, The Act of 1972	Non-executive
26	To select members from a pool of members to form the appointments and disciplinary appeals sub-committees as and when required.	Sections 101 and 111, The Act of 1972	Non-executive
27	To take all necessary steps to establish the independent remuneration panel, appoint the members of the panel, agree their terms and conditions and arrange any meetings of the panel	Section 18, Local Government & Housing Act 1989; Sections 100 and 105, Local Government Act 2000;	Non-executive

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		Local Authorities (Members' Allowances) (England) Regulations 2003	
28	Duty to publish notice if proposals relating the changing governance arrangements are not approved in referendum.	Section 33K (6), Local Government Act 2000 . The Local Authorities (Conduct of Referendums) (England) Regulations 2012 Schedule 3 para 41	Non-executive
29	To determine disputes on terms and conditions satisfactory to the strategic director for resources under the LGPS Pension Disputes Resolution Procedures on behalf of the administering authority and to nominate appropriate persons to deal with the first instance decisions and adjudications on behalf of the administering authority.	Section 50, Pensions Act 1995	Non-executive
CHIEF EXECUTIVE or their nominees (cont'd)			
	Powers and duties	**Statutory Reference**	**Function Type**
30	All the functions of the County Council under the Health Protection (Coronavirus, Restrictions) (No. 3) (England) Regulations 2020 (any future modification or re-enactment thereof) (other than any power to prosecute) being powers to curtail the incidence or spread of Coronavirus	Health Protection (Coronavirus, Restrictions) (No. 3) (England) Regulations 2020	Executive

10.2   Strategic Director for Resources

STRATEGIC DIRECTOR FOR RESOURCES or their nominees shall have the following powers and duties other than those of the Monitoring Officer in Article 7.3			
Governance			
	Powers and duties	**Statutory Reference**	**Function Type**
1	To decide which reports to be considered by a committee are not likely to be considered in public, to mark them "*not for publication*" and to identify the category of exempt or confidential information they contain.	(a) Section 100 B(2), The Act of 1972; Local Government (Access to Information) Variation Order 2006 (b) Regulation 7, Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 201211, Local	(a) Non-executive (b) Executive

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		Authorities (Executive Arrangements) Access to Information) (England) Regulations 2000	
2	To make the written statement and any accompanying reports relating to officer key decisions available for public inspection unless it would disclose confidential or exempt information.	Regulations 5 and 21, Local Authorities (Executive Arrangements) Access to Information) (England) Regulations 2000 Regulations 14 and 20, Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012	Executive
3	To supply to the press on request, and at their discretion, copies of documents which are supplied to committees, but which are not included in the report(s) with the agenda.	(a) Section 100 B(2), The Act of 1972; (b) Regulations 11 and 21, Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 Regulations 7 and 20, Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012	(a) Non-executive (b) Executive

STRATEGIC DIRECTOR FOR RESOURCES or their nominees (cont'd)			
Governance (cont'd)			
	Powers and duties	**Statutory Reference**	**Function Type**
4	To make a written summary of the proceedings at a meeting when it is not open to the public in such a way as to form a reasonably fair and coherent record of proceedings without disclosing confidential or exempt information.	(a) Section 100 C(2), The Act of 1972; (b) Regulations 3 and 21, Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 Regulations 12 and 20, Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012	(a) Non-executive (b) Executive
5	To decide which documents, bearing in mind exempt or confidential information requirements, in the possession of the cabinet or any committee relating to business to be transacted at a meeting but not included with the agenda for the meeting shall be open to inspection by members of the council who may be entitled to see them under their common law rights or other rights. Any dispute about their rights will be referred to the appropriate member body.	(a) Section 100 F(2), The Act of 1972; (b) Regulations 17, 18 and 21, Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 Regulations 16, 17 and 20, Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012	(a) Non-executive (b) Executive
6	To decide which documents, bearing in mind confidential or exempt information requirements, in the possession of an officer relating to key decisions shall be open to inspection by members of the council who may be entitled to see them. Any dispute about their rights will be referred to the cabinet.	Regulations 17, 18 and 21, Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000 Regulations 16, 17 and 20, Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012	Executive

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	Powers and duties	Statutory Reference	Function Type
7	To ~~receive and record notices of financial interest from members.~~ establish and maintain a register of interests of the members and co-opted members of the authority in accordance with the Members' Code of Conduct.	~~Section 96, The Act of 1972~~ Section 81, Local Government Act 2000	Non-executive
8	To receive on deposit lists of protected buildings.	Section 2, Planning (Listed Buildings & Conservation Areas) Act 1990	Executive
9	To write off as irrecoverable sums due to the council up to a limit of £~~2000~~3000~~, to revise that limit each year to the nearest £25 in line with changes in the applicable retail price index~~.	Sections 111 and 151, The Act of 1972	Executive
10	To institute, prosecute or to defend, compromise or to appear in any legal proceedings.	Section 222, The Act of 1972 and any other enactment conferring powers on the council	Executive or non- executive depending on the context
11	To complete and authenticate any document (including photographs and byelaws) and take any other step in order to give effect to a decision of the council (whether made by a member body or an officer) as Proper Officer for these purposes under delegation from the Chief Executive ~~.~~	Section 234, Local Government Act 1972	Executive or non- executive depending on the context

STRATEGIC DIRECTOR FOR RESOURCES or their nominees (cont'd)			
Governance (cont'd)			
	Powers and duties	**Statutory Reference**	**Function Type**
12	To exercise the powers of the council under the listed provisions in addition to the power to instigate ~~instigating~~ proceedings for possession of land in the county court, such powers to be exercised following a request from the appropriate director.	Sections 77, 78 and 79, Criminal Justice & Public Order Act 1994 as amended	Executive
13	To obtain information as to interests in land and the particulars of persons interested in land.	Section 330, Town and Country Planning Act 1990; Section 16 Local Government (Miscellaneous Provisions) Act 1976	Non- executive
14	To sign, to issue and to serve notices on behalf of the council in relation to highways and public rights of way.	Highways Act 1980; Rights of Way Act 1990; Wildlife and Countryside Act 1981; Road Traffic Regulation Act 1984; Cycle Tracks Act 1984;	Executive or non-executive depending on the context

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		New Roads and Street Works Act 1991; Clean Neighbourhoods & Environment Act 2005; and any other enactment conferring functions on the council	
15	To enter agreements in relation to the execution of highway works or improvements and agreements regulating development or use of land.	Sections 184 and 278, Highways Act 1980; Section 106, Town & Country Planning Act 1990	Non-executive
16	To enter into agreements for the future maintenance of roads including those provided by developers.	Section 38, Highways Act 1980	Non-executive

STRATEGIC DIRECTOR FOR RESOURCES or their nominees (cont'd)			
Governance (cont'd)			
	Powers and duties	**Statutory Reference**	**Function Type**
17	To determine applications for certificates of lawful use or development or proposed use or development.	Sections 191 and 192, Town & Country Planning Act 1990	Non-executive
18	To take action by way of Planning Contravention Notices, Breach of Condition Notices, Enforcement Notices, Stop Notices, and Temporary Stop Notices and applications for injunctions to restrain breaches of planning control.	Section 171C, 171E, 172, 187A, 187B and 183(1), Town & Country Planning Act 1990	Non-executive

19	In consultation with the chief fire officer: (i) to exercise the council's powers of inspection and enforcement; (ii) to issue all notices and licences; and (iii) to institute legal proceedings in relation to the listed enactments.	~~Fire Precautions Act 1971~~; Safety of Sports Grounds Act 1975; Fire Safety & Safety of Places of Sport Act 1987; Regulatory Reform Act 2001; the Regulatory Reform (Fire Safety) Order 2005; and any Orders, Regulations or Directives made amending, varying, extending or re- enacting the same.	Non-executive
20	To prosecute for causing nuisance or disturbance on educational premises.	Section 547, Education Act 1996 and Section 85A, Further and Higher Education Act 1992 ~~Section 40, Local Government Miscellaneous Provisions) Act 1982~~	Executive
21	To appoint members as required from time to time to hear school admission and exclusion appeals and to constitute panels of 3 or 5 as required.	Part III, School Standards & Framework Act 1998	Non-executive
22	To amend the constitution to reflect any changes made by the council, its subsidiary bodies or the leader or cabinet to ensure the constitution remains up to date.	Section 9P~~37~~, Local Government Act 2000	Executive or non- executive as appropriate
23	To update the constitution to reflect changes where delegation of powers has been made under particular legislation which has been repealed / amended and substantially re-enacted /amended in new legislation.	Section 9P~~37~~, Local Government Act 2000	Executive or non- executive as appropriate
~~24~~	~~To take any necessary steps to implement the agreed petitions scheme and operate the scheme in accordance with those arrangements, including deciding whether or not a petition meets the requirements of the scheme.~~	~~Section 9MC, Local Government Act 2000; and Local Authorities (Referendums)(Petitions)(England) Regulations 2011 Sections 10 to 22, Local Democracy, Economic Development & Construction Act 2009~~	~~Non- executive~~
25	To make any arrangements as they consider necessary for terrorism cover, as and when such cover is available.	Section 111, The Act of 1972; Section 2, Local Government Act 2000	Executive

	STRATEGIC DIRECTOR FOR RESOURCES or their nominees (cont'd)		
	Governance (cont'd)		
	Powers and duties	**Statutory Reference**	**Function Type**
26	In relation to Pride in Camp Hill Limited: (i) to confirm to the board that the council has or will endeavour to get all necessary approvals, powers, etc., in order to comply with the terms; (ii) to notify other partners if the council becomes aware that another partner is in default; (iii) to select/agree an independent person (expert) in the case of deadlock; and (iv) to notify the company if the council believes the company or any group company has become subject to the influence of a local authority.	~~Section 2, Local Government Act 2000~~Section 1, Localism Act 2011	Executive
27	In relation to Pride in Camp Hill Limited, jointly with the strategic director for communities: (i) to give consent to the appointment of directors other than partner directors; (ii) to agree to the WCC director not being on a committee/sub-committee of the company; and (iii) to demonstrate best endeavours to obtain the necessary consents for Dev1 to arrange for the transfer of freehold of Dev1.	~~Section 2, Local Government Act 2000~~ Section 1, Localism Act 2011	Executive
28	In relation to Pride in Camp Hill Limited to agree the company changing the accounting reference date.	~~Section 2, Local Government Act 2000~~ Section 1, Localism Act 2011	Executive
29	To ~~develop and introduce a standard approach to race equality for contracts below £100,000 in value.~~maintain an appropriate and lawful approach to equalities in all contracts let by the Council	~~Section 2, Local Government Act 2000~~ Section 1, Localism Act 2011	Executive
30	To exercise overall management control of authorisations under RIPA and to make such alterations to the designations of authorising officers as they see fit.	Regulation of Investigatory Powers Act 2000	Executive
31	Subject to any statutory restrictions, to determine fees that may be charged in respect of Freedom of Information requests.	Freedom of Information Act 2000	Executive
~~32~~	~~Duty to publish information about the Local Area Agreement.~~	~~Section 113, Local Government & Public Involvement in Health Act 2007~~	~~Non-executive~~

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33	Responsibility for maintaining an internal audit service including visiting council establishments to conduct audits.	Section 51, The Act of 1972; Regulation 6, Accounts & Audit Regulations 2003	Non-executive

STRATEGIC DIRECTOR FOR RESOURCES or their nominees (cont'd)			
Governance (cont'd)			
	Powers and duties	**Statutory Reference**	**Function Type**
34	Authority to make representations in response to applications made under the Gambling Act 2005 (authority is also given to the strategic director for people and chief fire officer).	Gambling Act 2005	Executive
35	To exercise the powers of the council in relation to the provision of advice, training and support for school governors.	Sections 19(3) and 22, Educationnal Act 2002 and any associated legislation	Executive
36	To exercise the powers of the council in relation to the governance of schools jointly with the strategic director for people.	Education Act 1962; Education Act 1980; Education Act 1996; Education Act 1997; Education Act 2002; Education (Fees and Awards) Act 1983; Education Reform Act 1988; Employment & Training Act 1973; Further Education Act 1985; School Standards & Framework Act 1998; Schools Inspections Act 1996	Executive or non-executive depending on the context

Village Greens			
	Powers and duties	**Statutory Reference**	**Function Type**
1	Power to register land as a town or village green where the application is made by the owner of any land under section 15(8) of the Commons Act 2006.	Section 15(8), Commons Act 2006; Regulation 8, Commons (Registration off Town & or Village Greens) (Interim	Non-executive

		Arrangements) (England) Regulations 2007	
2	Functions relating to the registration of common land and town or village greens.	Part I, Commons Act 2006 (c.26); The Commons Registration (England) Regulations 2014 (S.I. 2014/3038)	Non-executive

STRATEGIC DIRECTOR FOR RESOURCES or their nominees (cont'd)			
Village Greens (cont'd)			
	Powers and duties	**Statutory Reference**	**Function Type**
3	Power to apply for an enforcement order against unlawful works on common land.	Section 41, Commons Act 2006	Non-executive
4	Power to protect unclaimed registered common land and unclaimed town or village greens against unlawful interference.	Section 45(2)(a), Commons Act 2006	Non-executive
5	Power to institute proceedings for offences in respect of unclaimed registered common land and unclaimed town or village greens.	Section 45(2)(b), Commons Act 2006	Non-executive

	STRATEGIC DIRECTOR FOR RESOURCES or their nominees (cont'd)		
	Libraries, Heritage and Registration Services		
	Powers and duties	**Statutory Reference**	**Function Type**
1	To review the fixed fee, the per minute on-line charge and the printing charge in respect of commercial searches via the online information services operated through the council's libraries.	Public Libraries & Museums Act 1964; Section 150, Local Government & Housing Act 1989; The Library Charges (England & Wales) Regulations 1991	Executive
2	To agree any change in the charging structure for the sound recordings service operated through the council's libraries.	Public Libraries & Museums Act 1964; Section 150, Local Government & Housing Act 1989; The Library Charges (England & Wales) Regulations 1991	Executive
3	To review and to vary, where appropriate, the level of fines for the late return of books, fees for requests for books and charges for photocopies in order to achieve income targets established for the council's libraries.	Public Libraries & Museums Act 1964; Section 150, Local Government & Housing Act 1989; The Library Charges (England & Wales) Regulations 1991	Executive
4	To determine the scale of charges for the fax service available to the public at the Rugby and Warwick libraries in order to maintain it on a self- financing basis.	Public Libraries & Museums Act 1964; Section 150 Local Government & Housing Act 1989; The Library Charges (England & Wales) Regulations 1991	Executive
5	To make representations on behalf of library services relating to the formulation of local planning policies, including if necessary, attendance at inquiries and other proceedings.	Localism Act 2011 s1(1)Section 2, Local Government Act 2000 /	Executive
6	To exercise the functions of the council relating to the organisation of the registration services and to act as the proper officer for those services.	Registration Services Act 1953 as amended	Executive
7	To impose a reasonable charge for correspondence and searches made in response to genealogical enquiries at the Warwickshire County Record Office.	Public Libraries & Museums Act 1964; Section 150, Local Government & Housing Act 1989; The Library Charges (England & Wales) Regulations 1991	Executive

STRATEGIC DIRECTOR FOR RESOURCES or their nominees (cont'd)			
Libraries, Heritage and Registration Services (cont'd)			
	Powers and duties	Statutory Reference	Function Type
8	To make representations on behalf of the heritage and museum services relating to the formulation of local planning policies, including if necessary, attendance at inquiries and other proceedings.	Localism Act 2011 s1(1)Section 2, Local Government Act 2000	Executive

Property Management			
	Powers and duties	Statutory Reference	Function Type
1	To proceed with all building projects without reference to cabinet for approval of scheme design plans.	Section 111101, The Act of 1972; Section 15, Local Government Act 2000.	Executive
2	To appoint external professional consultants as required to deal with building development and property matters, appointments to be reported to the appropriate committee for information.	Section 1, Local Government (Contracts) Act 1997 or any other enactments conferring such powers	Executive
3	To authorise all sales at market value, purchases (except compulsory purchase) and appropriations of council land for different purposes where the consideration is no greater than £100,000250,000.	Sections 120, 122 and 123, The Act of 1972 and any applicable statutory consents	Executive
4	To grant at market value and take up leases, easements and licences over council property or for the benefit of the council where the annual rent or fee consideration is no greater than £325,000.	Sections 120, 122 and 123, The Act of 1972 and any applicable statutory consents	Executive
5	To negotiate and authorise revised rentals or fees for existing leases, easements or licences at review dates in accordance with existing lease, easement or licence provisions.	Sections 111 and 123, The Act of 1972 and any applicable statutory consents	Executive
6	To seek and enter into development agreements, where necessary, in connection with the disposal of land on the council's industrial estates.	Section 123, The Act of 1972; Local Authorities (Land) Act 1963 and any applicable statutory consents	Executive
7	To make planning applications on behalf of the council.	Section 9E, Local Government Act 2000	Executive

	STRATEGIC DIRECTOR FOR RESOURCES or their nominees (cont'd)		
	Property Management (cont'd)		
	Powers and duties	**Statutory Reference**	**Function Type**
8	To make applications for planning, licensing, highways, building control, environmental and any other regulatory consents required to facilitate the disposal of land for the best consideration or to enable its development and to enter any agreements or submit to any terms and requirements which are a condition of any such consent~~To make applications on behalf of the council:~~ ~~(i) for planning permission for works for the alteration or extension of listed buildings;~~ ~~(ii) for listed building consent to the demolition, alteration or extension of listed buildings; and~~ ~~(iii)~~(i) ~~for the demolition of unlisted buildings in conservation areas.~~	Section 9E, Local Government Act 2000; Regulation 7(1)(a), Town & Country Planning General Regulations 1992; Regulation 3, Planning (Listed Buildings & Conservation Areas) Regulations 1990	Executive

	STRATEGIC DIRECTOR RESOURCES or their nominees (cont'd)		
	Rural Estates		
	Powers and duties	**Statutory Reference**	**Function Type**
1	To enter into and sign agricultural tenancy agreements in respect of the smallholding's estate on behalf of the council.	Section 123, The Act of 1972 and applicable statutory consents	Executive
2	To appoint tenants to smallholdings subject to prior consultation with the relevant Portfolio Holderpanel of members established for this purpose.	Section 123, The Act of 1972 and applicable statutory consents	Executive
3	To authorise, within the council's smallholdings or country parks estate, all sales at market value, purchases (except compulsory purchase) and appropriations of council land for different purposes where the consideration is no greater than £100,000250,000.	Sections 120, 122 and 123, The Act of 1972 and applicable statutory consents	Executive
4	To grant at market value and take up leases, easements, and licences over the council's smallholdings or country parks estate or for the benefit of the smallholdings or country parks estate where the annual rent or fee consideration is no greater than £325,000.	Sections 120, 122 and 123, The Act of 1972 and applicable statutory consents	Executive
5	To negotiate and authorise, in connection with the council's smallholdings or country parks estate, revised rentals orfor fees for existing leases, easements or licences at review dates in accordance with existing lease, easement or licence provisions.	Sections 120, 122 and 123, The Act of 1972 and applicable statutory consents	Executive
6	To grant at market value and take up leases, easements and licences over the council's business centre properties where the annual rent or fee consideration is no greater than £325,000 .	Sections 120, 122 and 123, The Act of 1972 and applicable statutory consents	Executive
7	To negotiate and authorise in connection with the council's business centre properties revised rentals or fees for existing leases, easements or licences at review dates in accordance with existing lease, easement or licence provisions.	Sections 120, 122 and 123, The Act of 1972 and applicable statutory consents	Executive

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	STRATEGIC DIRECTOR RESOURCES or their nominees (cont'd)		
	Financial Management		
	Powers and duties	**Statutory Reference**	**Function Type**
1	Responsibility for reviewing the financial regulations from time to time and recommending to the audit and standards committee any amendment which they consider desirable.	Section 151, The Act of 1972	Non-executive
2	Responsibility for updating monetary sums included in the financial regulations from time to time by reference to the appropriate price indices.	Section 151, The Act of 1972	Non-executive
3	Responsibility for the proper administration of the council's financial affairs.	Section 151, The Act of 1972	Non-executive
4	Responsibility for maintaining an internal audit services including visiting council establishments to conduct audits	Section 151, The Act of 1972	
5	Responsible for ensuring that safe and efficient arrangements are made for the receipt and payment of money.	Section 151, The Act of 1972	
6	Responsible for deciding the conditions under which imprest accounts are to be operated	Section 151, The Act of 1972	
7	Responsibility for the overall supervision of any systems that involve the receipt or payment of money.	Section 151, The Act of 1972	Non-executive
8	Advising officers as necessary on financial arrangements	Section 151, The Act of 1972	Non-executive
9	To have access to all documents and books concerned with finance.	Section 151, The Act of 1972	Non-executive
10	Responsibility, in consultation with the monitoring officer and the strategic director concerned, for carrying out or supervising investigations into any suspected financial irregularities.	Section 151, The Act of 1972	Non-executive
11	Responsibility for amending estimates to take account of changes in pay and prices and agreeing cash budgets, where appropriate, to allow for expected price changes, to the extent that any increases can be met from the council's reserves under the control of the cabinet.	Section 151, The Act of 1972	Executive
12	Responsibility for raising loans and arranging such other financial facilities, e.g. leasing, as may be required, subject to the general direction of the cabinet.	Section 151, The Act of 1972 and any other enactment or provision conferring such powers on the council	Non-executive
13	Responsibility for the purchase and sale of investments of the council.	The Act of 1972 and any other enactment or provision conferring such	Executive

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		powers on the council	

STRATEGIC DIRECTOR RESOURCES or their nominees (cont'd)

Financial Management (cont'd)

	Powers and duties	Statutory Reference	Function Type
14	Responsibility for the purchase and sale of investments of the superannuation fund.	Superannuation Act 1972	Non-executive
15	Responsibility for the temporary investment or utilisation of revenue balances.	Section 111 and 151, the Act of 1972	Executive
16	Responsibility for supervising the collection of money and for giving detailed instructions.	Section 151, The Act of 1972	Non-executive
17	Responsibility for agreeing the form of income records kept by each department.	Section 151, The Act of 1972	Non-executive
18	Responsibility for the examination of accounts passed for payment and payment of those accounts.	Section 151, The Act of 1972	Non-executive
19	Responsibility for payments in respect of all liabilities falling to be discharged by the council which are not otherwise detailed in financial regulations.	Section 151, The Act of 1972	Executive or non-executive depending on the context
20	To dissolve the special reserve funds for the maintenance of buildings, library books, school meals and miscellaneous matters, to reduce, if necessary, the road maintenance reserve and to transfer the balances to the county fund to maximise the financial benefit to the council.	Section 41, Local Government & Housing Act 1989	Executive
21	Together with the Chief Executive to review members quarterly postage and stationery allowances annually in line with changes in the retail price index and to review the initial members' allowance after each quadrennial election on the same basis.	Section 173 to 178 the Act of 1972; Section 18 Local Government and Housing Act 1989	Non-executive
22	To take appropriate action annually to maximise the financial benefit to the Council when the accounts for the year in question are finalised	Section 111, 151 of the Act of 1972	Executive
23	To declare the rate of interest chargeable by the authority on loans for housing and other purposes.	Section 438, Housing Act 1985	Executive
24	To exercise the powers and duties set out in the Treasury Management Strategy	Section 151, The Act of 1972	Executive

25	Together with the strategic director for communities, to authorise the trading of landfill allowances pursuant to the Landfill Allowance Trading Scheme prior to any trade.		

	STRATEGIC DIRECTOR RESOURCES or their nominees (cont'd)		
	Financial Management (cont'd)		
	Powers and duties	**Statutory Reference**	**Function Type**
26	~~With the approval of the strategic director for resources and a~~After consultation with the chair of the cabinet, to agree to the council incurring revenue expenditure for which there is no provision in any vote in the annual or supplementary estimates approved by the council or to agree reduced income, where it is not possible to obtain the necessary approval in accordance with the normal committee procedures because of urgency, provided: (i) the expenditure can be met from within the earmarked reserves of the directorate concerned; and (ii) any requirements of the Access to Information Rules are met. Any proposal to spend beyond the directorates earmarked reserves shall be referred to the full council.	Sections 101, 111 and 151, The Act of 1972; Section 9E, Local Government Act 2000; ~~Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000;~~ Local Authorities (Functions and Responsibilities) (England) Regulations 2000 Local Authorities (Executive Arrangements) (Meeting and Access to Information) (England) Regulations 2012/2089	Executive or non-executive depending on the context
27	In relation to Pride in Camp Hill Limited: (i) to carry out any functions prior to adoption of the first business plan and cash flow; (ii) to agree to the company changing its accounting policies, principles or practices of the company; and (iii) to agree their annual accounts.	~~Section 2, Local Government Act 2000~~ *Section 1 of the Localism Act 2011*	Executive
28	In relation to Pride in Camp Hill Limited, jointly with the strategic director for communities: (i) to receive quarterly the current cash flow, contribution account and minutes of meetings; and (ii) in the event of an early exit notice, attend a resolution meeting.		

STRATEGIC DIRECTOR RESOURCES or their nominees (cont'd)			
Financial Administration			
	Powers and duties	**Statutory Reference**	**Function Type**
1	Responsibility for payment of salaries, wages, superannuation, compensation and other emoluments.	Section 151, The Act of 1972	Non-executive
2	Responsibility for the operation of the council's bank accounts in accordance with the banking agreement approved by the council and their bankers.	Section 151, The Act of 1972	Executive
3	Responsibility for ordering and controlling the issue of council cheques, including directions for their signing.	Section 151, The Act of 1972	Non-executive
4	To make all payments out of the superannuation fund on the certification of or on behalf of the appropriate director that the expenditure is authorised.	Superannuation Act 1972 and any enactment amending the same and any orders regulations	Non-executive
5	To make all payments out of the county fund on the certification of or on behalf of the appropriate director that the expenditure is authorised.	Section 111, The Act of 1972	Executive
6	Responsibility, in consultation with the directors concerned, for making imprest advances.	Section 151, The Act of 1972	Non-executive
7	Responsibility for the ordering, control and issue of all official receipt books, tickets and other similar documents.	Section 151, The Act of 1972	Non-executive
8.	Responsibility for prescribing the items to be included in inventories.	Section 151, The Act of 1972	Non-executive

Commissioning			
	Powers and duties	**Statutory Reference**	**Function Type**
1.	Responsibility for keeping a contract ledger in respect of all contracts showing the state of account between the council and each contractor.	Section 151, The Act of 1972	Non-executive
2.	Requirements to review at least every two years, and to revise if necessary, the figures included in contract standing orders having regard to changes in the appropriate index since the last review.	Section 151, The Act of 1972	Non-executive

10.3   Strategic Director for People

	STRATEGIC DIRECTOR FOR PEOPLE or their nominees		
	Adult Social Care		
	Powers and duties	**Statutory Reference**	**Function Type**
1	To make one-off grants not exceeding £~~1000~~ 10000 to voluntary organisations providing relevant services.	Section 65, Health Services & Public Health Act 1968	Executive
2	To make payments up to £~~1000~~ 10000 to disabled persons.	Section 2, Chronically Sick & Disabled Persons Act 1970	Executive
3	To approve the use of adult social care premises by other organisations when not required for adult social care purposes at charges that will cover any additional costs to the council.	Section 123, The Act of 1972; Section 65, Health Services & Public Health Act 1968	Executive
4	To act on behalf of the council in relation to its powers and duties in respect of guardianship.	Mental Health Act 1983	Executive
5	In consultation with the strategic director for resources, to vary the access policy relating to adult social care client case files within the overall policies of the council.	Data Protection Act ~~1998~~ 2018 and regulations and orders made thereunder	Executive
6	On or after 1 October 2002 to waive any charges for home care or other non-residential social services payable in whole or in part by: (i) any charge payer whose overall income does not exceed the appropriate basic level plus 25%; and (ii) any charge payer in receipt of more than 10 hours weekly home care following as assessment of income and disability costs.	Section 17, Health & Social Services & Social Security Adjudications Act 1983 or Care Act 2014	Executive
~~7~~	~~To act as the authorised officer for the purposes of the Learning Disability Partnership established under section 31 of the Health Act 1999.~~	~~Section 31, Health Act 1999; Section 2, Local Government Act 2000~~	~~Executive~~
8	To waive any charges payable in whole or in part from 1 April 2003 by any charge payer in receipt of home care and day care following an assessment of their income, capital and disability related expenditure.	Section 17, Health & Social Services & Social Security Adjudications Act 1983 or Care Act 2014	Executive
9	To act in relation to the implementation of the Care Act 2014 where such delegation is required either by regulation or as suggested in guidance received from the Department of Health subject to compliance with all policy decisions taken by the council.	Care Act 2014	Executive
10	To exercise the discretions set out in the council's deferred payments scheme.	Care Act 2014	Executive

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	STRATEGIC DIRECTOR FOR PEOPLE or their nominees (cont'd)		
	Education		
	Powers and duties	**Statutory Reference**	**Function Type**
1	In relation to persons under 19 years, to take and implement all necessary decisions, including the allocation of resources within approved estimates, so as to maintain the operation and effectiveness of all the education services for which the strategic director is responsible and which are statutorily covered by the listed principal Acts of Parliament and regulations arising thereunder. To exercise the powers of the council in relation to the governance of schools jointly with the Strategic Director for Communities. In exercising these powers, they are required to observe all policy decisions taken by the council and its relevant bodies.	Academies Act 2010; Anti-Social Behaviour Act 2003; Childcare Act 2006; Children and Families Act 2014; Education & Inspections Act 2006; ~~Education Act 1962;~~ Education Act 1980; Education Act 1996; Education Act 1997; Education Act 2002; Education Act 2005; Education Reform Act 1988; Education (Fees & Awards) Act 1983; Employment & Training Act 1973; Further Education Act 1985; School Standards & Framework Act 1998 The Education and Skills Act 2008	Executive or non-executive depending on the context
2	To institute proceedings in relation to failures to secure the attendance of children at school or failures to comply with school attendance orders.	Sections 437 to 447, Education Act 1996	Executive
3	To take all necessary steps to discharge the council's responsibilities to secure the provision of full or part-time education and recreational, social and physical training for 16-19-year olds.	Sections 15A, 507A and 507B Education Act 1996	Executive
4	To take all necessary steps to discharge the council's responsibilities to secure the provision of full and part-time education, social, recreational and/or physical training facilities for over-19-year olds. In exercising these powers, they are required to observe all policy decisions taken by the council and its relevant bodies.	Sections 15B and ~~50~~507B~~8~~, Education Act 1996	Executive

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	STRATEGIC DIRECTOR FOR PEOPLE or their nominees (cont'd)		
	Children's Services		
	Powers and duties	**Statutory Reference**	**Function Type**
1	To make one-off grants not exceeding £10,000 to voluntary organisations providing relevant services.	Section 65, Health Services & Public Health Act 1968	Executive
2	~~To revise annually pocket money allowance for Children in Care and in foster care or children's home in line with the retail price index.~~	~~Part III, Children Act 1989 and any regulations made thereunder~~	~~Executive~~
3	To make "exceptional needs" payments up to £10,000 to local authority foster parents of Children in Care.	Part III, Children Act 1989 and any regulations made thereunder	Executive
4	To approve the making of capital loans, in a form and on terms agreed with the strategic director for resources, to local authority foster parents for housing extensions provided the resources are available.	~~Section 23~~, Children Act 1989; _t_ Section 111, The Act of 1972; Section 2, Local Government Act 2000	Executive
5	To undertake the functions of the council as an adoption agency, subject to consultation where necessary with the adoption panel.	Section 9E, Local Government Act 2000; Adoption Act 1976; Adoption and Children Act 2002	Executive
6	To appoint the members of the adoption panel other than the appointment of elected members of the council to serve on the panel.	Section 9E, Local Government Act 2000; Adoption Act 1976; Adoption and Children Act 2002	Executive
7	To update the adoption procedures within the overall policy and after consultation with the adoption panel.	Section 9E, Local Government Act 2000; Adoption Act 1976; Adoption and Children Act 2002	Executive
8	To institute and defend proceedings in relation to the care of children, the exercise of parental responsibility, provision of secure accommodation and wardship proceedings, and to intervene, where appropriate, in matrimonial, guardianship and special guardianship proceedings.	Section 111, The Act of 1972; Section 9E, Local Government Act 2000; Parts II, IV and V, Children Act 1989 as amended; Supreme Court Act 1981	Executive

9	To act on behalf of the council in relation to its powers and duties in relation to day care, child minders and private fostering.	Parts IX and X, Schedules 8 and 9, Children Act 1989	Executive
10	To make payments up to £10,000 to support a child in need in exceptional circumstances.	Section 17, Children Act 1989	Executive

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STRATEGIC DIRECTOR FOR PEOPLE or their nominees (cont'd)			
Children's Services (Cont'd)			
	Powers and duties	**Statutory Reference**	**Function Type**
11	To act in relation to the implementation of all those provisions of the Children Act 1989 where such delegation is required either by regulation or as suggested in guidance received from the Department of Health.	Section 9E, Local Government Act 2000; Children Act 1989 and any regulations made thereunder; and guidance under Section 7 Local Authority Social Services Act 1970	Executive
12	In consultation with the strategic director for resources, the chair of the cabinet and relevant portfolio holder, to introduce charges under the Children Act 1989 in line with guidance from the Department of Health.	Section 29, in Part III of Schedule 2 Children Act 1989	Executive
13	On or after 1 January 2003 to determine any new applications for financial assistance by way of grant or loan and to grant waivers in whole or part of repayments under the revised Policy on Foster Carer Adaptations.	~~Section 23,~~ Children Act 1989; Section 111, The Act of 1972; Section 2, Local Government Act 2000	Executive
14	In consultation with the strategic director for resources, to vary the access policy relating to children's services social care client case files within the overall policies of the council.	Data Protection Act ~~1998~~2018 and regulations and orders made thereunder	Executive
15	Authority to make representations in response to applications under the Licensing Act 2003 on behalf of the council as the children's services authority.	Licensing Act 2003	Executive
16.	Authority to make representations in response to applications made under the Gambling Act 2005 (authority is also given to the strategic director for resources and chief fire officer).	Gambling Act 2005	Executive

10.4 Strategic Director for Communities

STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees			
Fire and Rescue			
	Powers and duties	**Statutory Reference**	**Function Type**
1	To discharge the powers, duties and responsibilities of the council as a fire & rescue service, including in particular: (i) the promotion of fire safety: (ii) the extinguishment of fires and the protection of life and property; (iii) the rescue of persons from road traffic accidents; and (iv) responding to emergencies and other incidents likely to cause harm to persons or to the environment.	Fire & Rescue Services Act 2004 and any Fire & Rescue Service National Framework made by the Secretary of State under Section 21 of the Act and for the time being in force; Safety of Sports Grounds Act 1975; Fire Safety & Safety of Places of Sport Act 1987; Civil Contingencies Act 2004 and any Orders, Rules, Regulations or Directives made amending, varying, extending or re-enacting the same	Executive or non-executive depending on the context
2	To authorise in writing officers in the fire & rescue service to exercise emergency powers of fire prevention, fire-fighting or rescue including powers of entry on to premises, moving or breaking into vehicles, closure of highways, traffic regulation and restriction of access to premises and all supplementary statutory powers.	Section 44, Fire & Rescue Services Act 2004 and any Orders, Rules, Regulations or Directives made amending, varying, extending or re-enacting the same	Executive or non-executive depending on the context
3	To exercise the council's powers of inspection and enforcement to appoint officers in the fire & rescue service as inspectors and otherwise to authorise in writing officers in the fire & rescue service to exercise powers of entry on to premises, investigation, sampling and inspection and all supplementary powers and to issue all notices and licences in relation to the listed enactments.	Fire & Rescue Services Act 2004; Safety of Sports Grounds Act 1975; Fire Safety & Safety of Places of Sport Act 1987; Regulatory Reform (Fire Safety) Order 2005 and any Orders, Rules, Regulations or Directives made amending, varying, extending or re-enacting the same.	Executive or non-executive depending on the context

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	Powers and duties	Statutory Reference	Function Type

STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees (cont'd)

Fire and Rescue (Cont'd)

	Powers and duties	Statutory Reference	Function Type
4	To deal with all standard requests for secondary employment from uniformed personnel in accordance with the criteria laid down in the National Scheme of Conditions of Service and the department's appropriate service orders; requests only to be referred to the regulatory committee where the proposed secondary employment is of an exceptional nature and clearly requires special consideration.	Section 112, Local Government Act 1972; Fire & Rescue Services Act 2004	Non-executive
5	Authority to make representations in response to applications under the Licensing Act 2003 on behalf of the council as fire authority.	Licensing Act 2003	Executive
6	Authority to make representations in response to applications made under the Gambling Act 2005 and in response to consultation on the Licensing Authorities licensing policies (authority is also given to the Chief Executive and the strategic director for people).	Gambling Act 2005	Executive
7	To determine disputes on terms and conditions satisfactory to the Strategic Director for Resources under the Firefighters' Internal Pension Dispute Resolution Procedures and to nominate appropriate persons to whom such disputes should be referred for a decision in the first instance.	Section 50, Pensions Act 1995	Non-Executive

STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees (cont'd)

Crime and Disorder

	Powers and duties	Statutory Reference	Function Type
1	Responsibility for liaising with other responsible authorities in the formulations and implementation of a strategy for the reduction of crime and disorder and for combating the misuse of drugs.	Crime & Disorder Act 1998	Executive

Emergency Planning

	Powers and duties	Statutory Reference	Function

			Type
1	To carry out the council's emergency planning functions including the assessment of risk of emergencies occurring and taking measures for preventing an emergency, dealing with its effects, giving advice or assistance to the public and taking any other action in connection with an emergency. To liaise with the ~~West Midlands Regional Planning Board and other~~ appropriate bodies in the development of such plans and their implementation.	Civil Contingencies Act 2004	Executive or non-executive depending on the context

STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees

Flood Risk Management

	Powers and duties	Statutory Reference	Function Type
1	Power to serve notice on liable person failing to do any work in relation to any watercourse, bridge or drainage work (whether by way of repair, maintenance or otherwise) to do the necessary work with all reasonable and proper despatch.	Section 21(~~21~~2), Land Drainage Act 1991	Executive
2	Power to do all such things as are necessary for that purpose and recover expenses reasonably incurred from the person liable to repair if the person fails, within seven days, to comply with a notice served on them under subsection 21(2) ~~above~~of the Land Drainage Act 1991.	Section 21(4) and (5), Land Drainage Act 1991	Executive
3	Duty to determine applications to erect any mill dam, weir or other like obstruction to the flow of any ordinary watercourse or raise or otherwise alter any such obstruction; or erect a culvert in an ordinary watercourse or alter a culvert in a manner that would be likely to affect the flow of an ordinary watercourse within two months.	Section 23 (1) to (4), Land Drainage Act 1991	Executive
4	Power to serve notice on person having power to remove any obstruction that is erected or raised or otherwise altered, or any culvert is erected or altered, in contravention of section ~~23 above~~23 of the Land Drainage Act 1991 requiring them to abate the nuisance within a period to be specified in the notice.	Section 24(1) and (2), Land Drainage Act 1991	Executive
5	Power to take such action as may be necessary to remedy the effect of the contravention or failure; and recover the expenses reasonably incurred by doing so from the person acting in contravention of, or fails to comply with, any notice served under section 24 subsection (1) of the Land Drainage Act 1991.	Section 24(4), Land Drainage Act 1991	Executive

6	Power to serve notice on person owning or having control of the part of any ordinary watercourse that is in such a condition that the proper flow of water is impeded, requiring that person to remedy that condition.	Section 25, Land Drainage Act 1991	Executive
7	Duty to give effect to the order of the court where upon an appeal under this section a court varies or reverses any decision of a body which has served a notice under section 25.	Section 27(9), Land Drainage Act 1991	Executive
8	Power to do flood risk management works.	Section 14A, Land Drainage Act 1991	Executive

STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees (cont'd)

Flood Risk Management (cont'd)

	Powers and duties	**Statutory Reference**	**Function Type**
9	Power to do works ~~for environmental benefit~~ that could increase flooding where the benefits outweigh the harmful consequences ~~).~~and where undertaken in accordance with and subject to the conditions set out in s39 of the Flood and Water Management Act 2010	~~FWMA S39~~Flood and Water Management Act 2010	Executive
10	Power of entry any land for the purpose of exercising any functions under this act at all reasonable times after producing a duly authenticated document showing authority.	Section 64, Land Drainage Act 1991	Executive
11	Power of entry without notice in an emergency.	Section 64(3), Land Drainage Act 1991	Executive

STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees (cont'd)

Trading Standards			
	Powers and duties	**Statutory Reference**	**Function Type**
1	To issue, renew, suspend and revoke registrations and licences, on behalf of the council in relation to petroleum storage, explosive storage and sales and performing animals under the Acts listed; including any Regulations, Orders or Rules made under them. To collect charges and fees in relation to issuing, varying and renewal of registrations and licences on behalf of the council.	Performing Animals (Regulation) Act 1925; European Communities Act 1972 – Explosives Regulations 2014; Health & Safety at Work, etc. Act 1974 – Petroleum (Consolidation) Regulations 2014; and Fireworks Act 2003	Non-executive
2	To record, suspend and revoke registrations, declarations and approvals, on behalf of the county council under the Act and Regulations listed. To collect fees in relation to approvals and amendments to approvals, on behalf of the council.	European Communities Act 1972; Animal Feed (Hygiene, Sampling, etc. and Enforcement) (England) Regulations 2015; Feed (Hygiene and Enforcement) (England) Regulations 2005	Non-executive
3	To issue, vary, suspend and revoke any animal movement licence, permit or authorisation, on behalf of the council under the Act and Regulations listed.	Animal Health Act 1971 - Disease Control (England) Order 2003	Non-executive

STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees (cont'd)			
Trading Standards (cont'd)			
	Powers and duties	**Statutory Reference**	**Function Type**
4	To institute legal proceedings and to appear on behalf of the council before any Court of Summary Jurisdiction in any proceedings brought under the legislation listed. ~~To carry out all the enforcement powers, investigations and statutory duties of the county council under the legislation listed, and any Regulations, Orders, Rules, Directives made under them, or any legislation amending, varying, extending or re-enacting the same.~~ To exercise the <u>statutory</u> powers and ~~statutory~~ duties of the council to appoint <u>designate, nominate or otherwise authorise</u> suitably qualified and competent officers <u>and persons (whether or not employees of the council),</u> including <u>a</u> chief inspector of weights and measures <u>and other</u> ~~,~~ inspectors~~, authorised officers and authorised persons~~ to enforce all or any part of the listed legislation. <u>Any functions which may be conferred on the County Council at any time by the legislation listed (or by that legislation as amended or re-enacted at any time) or by any subordinate legislation or any direction, designation, appointment, order or other instrument of government made under or for the purposes of that legislation including for the avoidance of doubt any powers of entry, inspection, seizure or other investigation and any power to designate, appoint or otherwise authorise any other person (whether or not an employee of the County Council) for the purpose of the exercise of any such functions, but excluding the power to conduct legal proceedings</u> in a court other than a court of Summary Jurisdiction <u>which is reserved to the Chief Executive in consultation with the</u>	Administration of Justice Act 1970; Agricultural Produce (Grading & Marking) Acts 1928-1931; Agriculture Act 1970; Animal By-products (Enforcement) (England) Regulations 2013; Animal Feed (Hygiene, Sampling, etc. & Enforcement) (England) Regulations 2015; Animal Health & Welfare Act 1984; Animal Health Act 1981; Animal Welfare Act 2006; Animals & Animal Products (Examination for Residues & Maximum Residue Limits) (England & Scotland) Regulations 2015; Anti-Social Behaviour Act 2003 – Section 54; Apprenticeships, Skills, Children & Learning Act 2009; Avian Influenza (Preventative Measures) (England) Regulations 2006; Beef & Veal Labelling Regulations 2010; Biocidal Products & Chemicals (Appointment of Authorities & Enforcement) Regulations 2013); Business Protection from Misleading Marketing Regulations 2008; Cancer Act 1939; Cattle Identification Regulations 2007; Children & Families Act 2014; Children & Young Persons Act 1933; Children & Young Persons (Protection from Tobacco) Act 1991; Climate Change Act 2008; Clean Air Act 1993-Pt IV; Companies Act 2006; Consumer Credit Act 1974;	Executive or non-executive depending on the context

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Monitoring Officer			

STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees (cont'd)			
Trading Standards (cont'd)			
	Powers and duties	**Statutory Reference**	**Function Type**
4	Cont'd	Consumer Protection Act 1987; Consumer Protection from Unfair Trading Regulations 2008; Consumer Rights Act 2015; Copyright, Designs & Patents Act 1998; Counter Terrorism Act 2008; Criminal Justice Act 1988 - Part IX; Dangerous Dogs Act 1991; Dogs Act 1906; EC Fertilisers (England & Wales) Regulations 2006; Education Reform Act 1988-Part IV; Energy Act 1976 & 2011 (Part 1); Enterprise Act 2002; Environmental Protection Act 1990; Estate Agents Act 1979; European Communities Act 1972; Explosives Act 1875; Fair Trading Act 1973; Fireworks Act 2003; Food and Environment Protection Act 1985; Food for Specific Groups (Information & Compositional Requirements) (England) Regulations 2016; Food Safety Act 1990; Food Safety & Hygiene (England) Regulations 2013; Forgery & Counterfeiting Act 1981; Fraud Act 2006; Genetically Modified Organisms (Traceability & Labelling)	Executive or non-executive depending on the context

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| | | (England) Regulations 2004; Hallmarking Act 1973; Health & Safety at Work etc. Act 1974; ~~Health Protection (Coronavirus, Restrictions) (England) (No. 2) Regulations 2020 (other than any power to prosecute)~~ Horse Passport Regulations 2009; Intellectual Property Act 2014; | |

STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees (cont'd)

Trading Standards (cont'd)

	Powers and duties	Statutory Reference	Function Type
4	Cont'd	Intoxicating Substances (Supply) Act 1985; Licensing Act 2003; Malicious Communication Act 1988; Medicines Act 1968; Motor Cycle Noise Act 1987; Official Controls (Animals, Feed & Food) (England) Regulations 2006; Official Feed & Food Controls (England) Regulations 2009; Olympic Symbol etc (Protection) Act 1995; Organic Products Regulations 2009; Osteopaths Act 1993; Pesticides (Maximum Residue Levels) (England & Wales) Regulations 2008; Performing Animals (Regulation) Act 1925; Petroleum (Consolidation) Regulations 2014; Poisons Act 1972; Prices Act 1974; Products of Animal Origin (Disease Control) (England) Regulations 2008; Protection from Harassment Act 1997; Protection of Animals Act 1911; Protection of Animals (Amendment) Act 1954; Psychoactive Substances Act 2016; Public Health Act 1961; Registered Designs Act 1949; Regulatory Enforcement	Executive or non-executive depending on the context

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	Powers and duties	Statutory Reference	Function Type
		Sanctions Act 2008; Road Traffic Act 1988; Road Traffic Offenders Act 1988; Road Traffic (Foreign Vehicles) Act 1972; Theft Act 1968; Theft Act 1978; Tobacco Advertising and Promotions Act 2002; Tobacco and Related Products Regulations 2016; Trade Descriptions Act 1968;	

STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees (cont'd)

Trading Standards (cont'd)

	Powers and duties	Statutory Reference	Function Type
4	Cont'd	Trade in Animals & Related Products Regulations 2011; Trade Marks Act 1994; Transmissible Spongiform Encephalopathies (England) Regulations 2010; Transport Act 1968; Unsolicited Goods & Services Act 1971; Unsolicited Goods & Services (Amendment) Act 1975; Video Recordings Act 1984; Vehicle (Crime) Act 2001; Weights & Measures Act 1985 Public Health (Notifiable Diseases) Act 1984	Executive or non-executive depending on the context
5	To consult with a person against whom an enforcement order might be made and to accept an undertaking in respect of any actual or prospective infringement of specified consumer legislation. To co-operate with a community enforcer and to exercise the powers of the council as a general enforcer and CPC enforcer under the Enterprise Act 2002. To carry out all the enforcement powers, investigations and statutory duties of the council under the Enterprise Act 2002 including to institute proceedings in the courts under that Act.	Enterprise Act 2002	Executive

Rights of Way, Traffic Regulation, Planning and Environment

The following powers and duties are delegated subject to the following provisos:
   a. legal proceedings may only be commenced with the consent of the strategic director for resources or their nominees; and
   b. the strategic director for resources or their nominees are the authorised officer for the purposes of completing the documentation and statutory procedures required to give effect to decisions made in exercise of functions marked *.

Rights of Way and Traffic Regulation

	Powers and duties	Statutory Reference	Function Type
1	To request the traffic commissioner to impose traffic regulation conditions.	Transport Act 2000	Executive
2	Responsibility for providing school crossing patrols.	Part III, Road Traffic Regulation Act 1984	Executive
3	Respond on behalf of the council in relation to any proposal for development, highway works, or traffic management made or to be determined by another body.	Any legislation relevant to the responsibilities of the strategic director	Executive
4*	Exercise the functions of the council under the private street works code and the advance payments code.	Part XI, Highways Act 1980	Executive
5*	To make temporary road traffic orders and to propose the making of orders relating to road traffic, parking places and speed limits and, in the event of no objections being received, or any objections received being withdrawn, to make the orders.	Part I, II, IV and VI, Road Traffic Regulation Act 1984	Executive
6*	Stopping up or diversion of highways by magistrates.	Section 116, Highways Act 1980	Executive
7*	To make Definitive Map Modification Orders, where evidence demonstrates the existence of a public right of way and to confirm any unopposed Definitive Map Modification Order.	Wildlife and Countryside Act 1981	Non-executive
8*	To make orders in relation to cycle tracks and to confirm such orders if they are unopposed.	Section 3, Cycle Tracks Act 1984	Non-executive
9*	To make orders for the stopping up of public rights of way and, in the event of the orders being unopposed, to confirm them.	Sections 118, 118A and 118B, Highways Act 1980	Non-executive

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10*	To make orders for the diversion of public rights of way and, in the event of the orders being unopposed, to confirm them.	Sections 119, 119A and 119B, Highways Act 1980	Non-executive
11*	To make orders for the compulsory creation of footpaths and bridleway and, in the event of the orders being unopposed, to confirm them.	Section 26, Highways Act 1980	Non-executive
12*	To exercise the functions of the council in relation to new roads and street works.	New Road and Street Works Act 1991	Executive
13	To grant extensions of time for making good the surface of footpath and bridleways.	Section 134, Highways Act 1980	Executive

STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees (cont'd)			
Rights of Way and Traffic Regulation, (cont'd)			
	Powers and duties	**Statutory Reference**	**Function Type**
14	To submit to other public path order making authorities the council's view in respect of proposed public path orders within or adjacent to Warwickshire.	Part III, Highways Act 1980	Executive
15*	To enter public path creation agreements.	Section 25, Highways Act 1980	Non-executive
16	To exercise any powers of enforcement in respect of any unlawful interference with the highway or its users, including powers to remove or remediate interference or to carry out works in default of compliance with any notice or other requirement.	Part IX, Highways Act 1980 and any other enactment or common law provision conferring such powers	Executive or non- executive depending on the context
17	To exercise the functions of the council in relation to the following matters (including fixing and recovering charges):		Executive of non- executive depending on the context
(a)	providing and permitting services, amenities, recreation and refreshment facilities in the highway and related powers;	Part VIIA, Highways Act 1980	Executive
(b)	flagpoles, pylons and other structures on the highway;	Section 144, Highways Act 1980	Non-executive
(c)*	dropped kerbs;	Section 184, Highways Act 1980	Non-executive
(d)	skips;	Section 139, Highways Act 1980	Non-executive
(e)*	the planting of trees, shrub, plants or grass;	Section 142, Highways Act 1980	Non-executive
(f)	scaffolding;	Section 169, Highways Act 1980	Non-executive
(g)	building materials and making of excavations in streets;	Section 171, Highways Act 1980	Executive
(h)	hoardings during building works;	Section 172, Highways Act 1980	Executive
(i)*	the construction, alteration or use of buildings over highways;	Section 177, Highways Act 1980	Non-executive
(j)*	installation of apparatus;	Section 50, New Roads & Street Works Act 1991	Non-executive
(k)*	the placing of rails, beams, pipes, cables, wires or similar apparatus over, along or across the highway;	Section 178, Highways Act 1980	Non-executive
(l)*	the construction of cellars under the street, etc.;	Section 179, Highways Act 1980	Non-executive
(m)*	the control of openings into cellars or vaults under streets and pavements, lights and ventilators.	Section 180, Highways Act 1980	Executive

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STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees (cont'd)		
Rights of Way and Traffic Regulation, (cont'd)		
Powers and duties	**Statutory Reference**	**Function Type**
18* To propose ~~the making of~~and make ~~orders relating to~~ minor road traffic orders provided that the local member does not object. A "minor traffic order" is one falling into one of the following categories: (i) no waiting at any time restrictions at junctions including waiting restrictions required for the safe and efficient operation of traffic signals; (ii) waiting restrictions on one or both sides of a length of road extending no greater than 50 metres on a principal road or 100 metres on a non-principal road, when measured along the centreline of the road; (iii) extension to a speed limit order on a length of road extending no greater than 50 metres on a principal road or 100 metres on a non- principal road, when measured along the centreline of the road; and (iv) any other traffic order designated by the strategic director for resources as such following consultation with the relevant overview and scrutiny committee. The maximum lengths of roads which come within the definition of "minor traffic order" apply to each separate proposal and not the total length of road covered by an order which may contain a number of proposals.	Parts I and II, Road Traffic Regulation Act 1984	The definition of a "minor traffic order" will apply to new traffic orders and to amendments to existing traffic orders, including consolidation orders
19 To construct, alter or remove a cycle track provided that the local member does not object.	Section 65, Highways Act 1980	Executive

STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees (cont'd)		
Rights of Way and Traffic Regulation, (cont'd)		
Powers and duties	**Statutory Reference**	**Function Type**

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	Powers and duties	Statutory Reference	Function Type
20	Agree modifications to the Memorandum of Participation in the Parking and Traffic Regulations Outside London Adjudication Joint Committee if, following consultation with the portfolio holder, they are satisfied that doing so has no sSignificant policy or budget implications.	Part 6, Traffic Management Act 2004 ("the 2004 Act"); Sections 101(5), 102(1)(b) and 101(5B), The Act of 1972; Section 20, Local Government Act 2000; Local Authorities (Arrangements for the Discharge of Functions) (England) Regulations 2000; Local Authorities (Goods & Services) Act 1970	Executive
21*	To propose the making, amendment and revocation of public spaces protection orders and, in the event of no objections or representations against the proposal being received, to make the orders.	Section 59 Anti-social Behaviour, Crime and Policing Act 2014	Executive
22*	To exercise functions in relation to the transfer of roadway and footway lighting systems from lighting authorities.	Section 270, Highways Act 1980	Executive
23	To give consent to the placing of waste collection receptacles on a highway.	Section 46(5), Environmental Protection Act 1990	Executive
24	In consultation with the relevant cabinet member, to determine and publish local requirements as to the particulars and evidence accompanying planning applications.	Section 62(3), Town & Country Planning Act 1990; Articles 5(3) and 20(31), Town & Country Planning (General Development Procedure) Order 1995	Executive

STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees (cont'd)		
Planning and Environment		
Powers and duties	**Statutory Reference**	**Function Type**

General – the delegated powers to grant planning permissions and/or determine planning applications include power to:

i.   impose any condition, limitation or other restriction on any permission, approval or consent given in the exercise of those functions and to determine any other terms to which any such permission, approval or consent is subject; and
ii.   do anything which is calculated to facilitate, or is conducive or incidental to, the exercise of those functions;

and are subject to the proviso that an application for planning permission shall be referred to the regulatory committee for determination if the strategic director for communities or their nominee considers that any of the following circumstances apply:

i.   the application is a departure from the development plan which would require referral to the Secretary of State before being granted;
ii.   the application constitutes a major development as defined in Article 23 of the Town and Country Planning (Development Management Procedure) (England) Order 20150 and is accompanied by an environmental statement;
iii.   the application is subject to four or more written objections on material planning grounds received during the statutory consultation period (in the case of a petition each signature shall count as one objection);
iv.   the application is subject to an objection from a statutory consultee identified in Schedule 45 of the Town and Country Planning (Development Management Procedure) (England) Order 20150;
v.   the application is one which should be refused;
vi.   the strategic director for communities' responsibilities include any aspect of the management of the land or buildings to which the application relates;
vii.   the application is required to be referred because notice of an interest has been given by a county councillor or by a relevant officer in accordance with the council's Planning Code of Practice;
viii.   the application is subject to a request that it be referred to the regulatory committee made by a county councillor within whose constituency the application site or part of it is situated.

	STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees (cont'd)		
	Planning and Environment (cont'd)		
	Powers and duties	**Statutory Reference**	**Function Type**
1*	Power to determine applications for planning permission or permission in principle made by a local authority, alone or jointly with another person.	Section 316 of the Town & Country Planning Act 1990 and the Town & Country Planning General Regulations 1992 (SI 1992/1492).	Non-executive
2	To respond to consultations from district councils under the listed provisions.	Article 10, Town & Country Planning (General Development Procedure) Order 1995; Paragraph 7 of Schedule 1, Town & Country Planning Act 1990	Executive
3	Power to determine application for planning permission or permission in principle.	Sections 70(1)(a) and (b) and 72 of the Town & Country Planning Act 1990 (c8)	Non-executive
4	Power to determine applications for planning permission to develop land without compliance with conditions previously attached.	Section 73 of the Town & Country Planning Act 1990	Non-executive
5	Power to grant planning permission for development already carried out.	Section 73A of the Town & Country Planning Act 1990	Non-executive
6	Power to decline to determine applications for planning permission or permission in principle.	Section 70A of the Town & Country Planning Act 1990	Non-executive
7	To administer applications under any planning legislation and to take any steps (including any steps and decisions in relation to environmental impact assessment) preparatory or incidental to the determination of any such application.	Part III, Town & Country Planning Act 1990; Town & Country Planning (General Development Procedure) Order 1995; Town & Country Planning (Environmental Impact Assessment) (England & Wales) Regulations 1999; Town & Country Planning General Regulations 1992; Town & Country Planning (Applications) Regulations 1988; Town & Country Planning (General Permitted Development) Order 1995 and any other relevant enactment	Non-executive
8	Responsibility for the administration of the council's powers relating to the management and disposal of	Sections 45 to 63A, Environmental Protection Act 1990; Section 32, Waste Emissions	Executive

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	waste.	Act 2003	

STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees (cont'd)

Planning and Environment (cont'd)

	Powers and duties	Statutory Reference	Function Type
~~9~~	~~To make applications:~~ ~~(i) for planning permission for works for the alteration or extension of listed buildings;~~ ~~(ii) for listed building consent to the demolition, alteration or extension of listed buildings; and~~ ~~(iii) for the demolition of unlisted buildings in conservation areas.~~ Power to make determinations, give approvals and agree certain other matters relating to the exercise of permitted development rights.	~~Section 9E, Local Government Act 2000; Section 82, Planning (Listed Buildings & Conservation Areas) Act 1990~~ Parts 6, 7, 11, 17, 19, 20, 21 to 24, 26, 30 and 31 of Schedule 2 to the Town and Country Planning (General Permitted Development) Order 1995 (S.I. 1995/418).	~~Executive~~ Non-executive
10	Duties relating to the making of determinations of planning applications.	Sections 69, 76 and 92 of the Town & Country Planning Act 1990 and Articles 8, 10 to 13, 15 to 22 and 25 and 26 of the Town & Country Planning (General Development Procedure) Order 1995 (SI1995/419) and directions made thereunder	Non-executive
~~11~~	~~Power to determine application for planning permission made by a local authority, alone of jointly with another person.~~ Power to determine applications for hazardous substances consent, and related powers.	~~Section 316 of the Town & Country Planning Act 1990 and the Town & Country Planning General Regulations 1992 (SI 1992/1492)~~ Sections 9(1) and 10 of the Planning (Hazardous Substances) Act 1990.	~~Non-executive~~
12	Duty to determine conditions to which old mining permissions, relevant planning permissions relating to dormant sites or active Phase I or II sites, or mineral permissions relating to mining sites, as the case may be, are to be subject.	Paragraph 2(6)(a) of Schedule 2 to the Planning & Compensation Act 1991 (c 34); Paragraph 9(6) of Schedule 13 to the Environment Act 1995 (c 25); and Paragraph 6(5) of the Schedule 14 to that Act	Non-executive

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13	To exercise or authorise any person to exercise any powers to enter land or premises, to require the provision of any information and to carry out any inspection, survey, sampling, testing, recording or other investigation in connection with any of their responsibilities.	Highways Act 1980; Town & Country Planning Act 1990; New Roads & Street Works Act 1990; Countryside & Rights of Way Act 2000 and any other enactment conferring relevant powers	Executive or Non-executive depending on the context
14	Together with the strategic director for resources to authorise the trading of landfill allowances pursuant to the Landfill Allowance Trading Scheme.		
15	In consultation with the relevant Portfolio Holder, to determine and publish local requirements as to the particulars and evidence accompanying planning applications.	Section 62(3), Town & Country Planning Act 1990;	24

STRATEGIC DIRECTOR FOR COMMUNITIES or their nominees (cont'd)		
Other Functions		
Powers and duties	**Statutory Reference**	**Function Type**
1 In relation to Pride in Camp Limited: (i) to arrange for secondments of staff to the company; (ii) to make a loan of £250,000 for the Early Purchase Scheme; (iii) to make operating payments to the Board; (iv) to make provisions for £445,000 capital works for environmental improvements; (v) to approve additional expenditure up to the shortfall amount; (vi) to agree contribution account amounts; (vii) to demand payment of bank guarantee proportions if called upon; (viii) to provide notice that the council will not be attending a general meeting; and (ix) to state in writing to the other partners why consent to any item in Article 15 was not given.	Section 2, Local Government Act 2000	Executive
2 In relation to Pride in Camp Hill Limited, jointly with the strategic director for resources: (i) to give consent to the appointment of directors other than partner directors; (ii) to agree to the WCC director not being on a committee/sub-committee of the company; (iii) to demonstrate best endeavours to obtain the necessary consents for Dev1; and (iv) to arrange for the transfer of freehold of Dev1.	Section 2, Local Government Act 2000	Executive
3 In relation to Pride in Camp Hill Limited, jointly with the strategic director for resources: (i) to receive quarterly the current cash flow, contribution account, minutes of meetings; and (ii) in the event of an early exit notice, attend a resolution meeting.	Section 2, Local Government Act 2000	Executive

SECTION 11 – MEMBERSHIP OF COUNCIL BODIES f

Details of Membership of Council Bodies and the political composition
can be found on the council's website: https://democracy.warwickshire.gov.uk/

SECTION 12 – THE MEMBERS OF THE COUNTY COUNCIL

Details of the current Members of the County Council can be found on the council's website:
https://democracy.warwickshire.gov.uk/

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Part 3(1)

SECTION 1-STANDING ORDERS

1.   DEFINITIONS

1.1   Definitions

In these standing orders the following definitions will apply:

'Cabinet Members' means those elected members appointed to the cabinet.

'Chair of the Council' means the elected member elected by the council annually to preside over meetings of the council.

'Committees' shall include sub-committees.

'Council' means any formal meeting to which all elected members are summoned to attend.

'Head of Paid Service' means the person designated as such under Section 4 of the Local Government and Housing Act 1989.

'Leader' means the elected member appointed by the council to lead the cabinet.

'Leader and Portfolio Holder Sessions' shall mean sessions convened to enable individual cabinet members to take decisions under delegated powers.

'Local Member' shall mean an elected member who takes decisions under delegated powers in respect of their electoral division.

'Meeting' means any formal meeting of the council, cabinet, any committee or sub-committee, any joint committee or joint sub-committee.

'Monitoring Officer' means the person designated as such under Section 5 of the Local Government and Housing Act 1989 or their deputy.

'Municipal year' means the period between annual meetings of the council which are usually held in May.

'Vice-Chair' means the elected member elected by the council annually to preside in the chair's absence.

'Written Notice' unless otherwise stated shall mean notice given in writing, by hand, by fax or electronically. Electronic signatures are acceptable.

2. APPOINTMENTS

2.1 Duration - Leader of the Council

The appointment of the leader continues until:

    (i)   the person appointed is replaced or removed by the council; or
    (ii)   the person appointed ceases to be an elected member; or
    (iii) the person appointed resigns.

Where at a meeting the council has replaced or removed the leader it must appoint a new leader at the same meeting.

2.2 Duration - Cabinet and Deputy Leader

Appointments to the cabinet continue until:

    (i)   the person appointed is replaced or removed by the leader; or
    (ii)   the leader is replaced or removed by the council; or
    (iii) the person appointed ceases to be an elected member; or
    (iv) the person appointed resigns.

The leader must appoint one of the cabinet members to be the deputy leader. The deputy leader will hold office until:

    (i)   the person appointed is replaced or removed by the leader; or
    (ii)   the leader is removed or replaced by the council; or
    (iii) the person appointed ceases to be an elected member; or
    (iv) the person appointed resigns.

Should both the leader or deputy leader be unable to act, or their offices be vacant then the cabinet as a collective body must act in the leader's place or arrange for a member of the cabinet to act in their place.

2.3 Duration - Committees

Appointments to committees continue until:

    i.   the person appointed is replaced or removed by the council or the appropriate body; or
    ii.   the appointment is changed by the relevant political group; or iii.the person appointed ceases to be an elected member; or iv.the person appointed resigns.

2.4 Changes by Political Groups - Committees

If the appointment of an elected member to any committee is changed by their political group, the change is effective 2 clear days after written notice is received from the secretary or leader of that group by the head of paid service.

2.5 Continuity

After a four-yearly election those elected members who are re-elected shall continue to carry out the tasks of the relevant body until successors are appointed.

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2.6 Outside Bodies

Appointments to outside bodies continue until they are:

    i. terminated or replaced by the council or the appropriate body; or
    ii.   in the case of an elected member they are disqualified from membership of the council; or
    iii. in the case of another appointee there is a legal requirement to remove them; or
    iv. the appointee resigns.

2.7 Vacancies

A vacancy on the council or any committee or other body cannot invalidate its powers to make decisions or discuss appropriate items.

2.8 Appointment of Chairs

The council must elect a chair of the council and appoint a vice-chair at each annual meeting and when there is any vacancy. The leader shall be the chair of the cabinet. The council may also appoint the chair of the audit and standards committee. Other bodies must elect a chair at their first meeting after each annual council meeting and when there is any vacancy. Overview and scrutiny committee(s) and the regulatory committee may also appoint a vice-chair.

2.9 Duration - Chairs and Vice-Chairs

Every chair and any vice-chair shall remain in office until they resign, is suspended, or ceases to be an elected member or until a successor is appointed. In an election year the chair and vice-chair of the council, even if they have not been re-elected, shall remain in office until their successor is appointed.

3. SPECIAL RULES FOR MEETINGS OF THE COUNCIL

3.1 Annual Meeting

The council shall hold an 'annual meeting' once a year. All elected members are summoned to the annual council meeting, which takes place at Shire Hall, Warwick at 10am or such other time or place as fixed. The dates on which the annual meeting can be held are fixed by statute.

At the annual meeting, the council will:

    i.   elect a person to preside if the chair of the council is not present;
    ii.   elect the chair of the council.
    iii.   elect the vice-chair of the council
    iv.   approve the minutes of the last meeting;
    v.   receive any declarations of interest from members;

vi. receive any announcements from the chair of the council and/or the head of paid service;

vii. appoint the leader (if the leader's four-year term of office has ended or due to circumstances under standing order 2.1);

viii. appoint at least one overview and scrutiny committee, an audit and standards committee and such other committees as the council considers appropriate to deal with matters which are neither reserved to the council nor are executive functions; and

ix. consider any other business set out in the summons to the meeting.

3.2 Ordinary Meetings

Ordinary meetings of the council will take place in accordance with a programme decided by the council. Ordinary meetings will:

i. elect a person to preside if the chair of the council and vice-chair are not present;

ii. approve the minutes of the last meeting;

iii. receive any declarations of interest from members;

iv. receive any announcements from the chair of the council, leader, cabinet members or the head of paid service;

v. receive and consider any petitions in accordance with the council's petitions scheme;

vi. receive any addresses from the public in accordance with the public speaking provision under standing order 34;

vii. receive any addresses from external speakers invited to address the council;

viii. receive periodic updates including a 'State of Warwickshire' address from the leader, reports from cabinet portfolio holders, member feedback from external bodies to which they are appointed by the county council;

ix. consider any reports on policy development areas brought forward for discussion by the leader;

x. deal with any business from the last council meeting;

xi. consider any reports from the cabinet, committees, the head of paid service, the Chief Executive or strategic directors;

xii. consider any reports about joint arrangements and external organisations;

xiii. consider motions; and

xiv. consider any other business specified in the summons to the meeting.

3.3 Extraordinary Meetings

The chair of the council may call an extraordinary meeting at any time. The following may also require the chief executive to call such a meeting:

i. the council by resolution;

ii. the monitoring officer; or

iii. any five elected members who have presented a signed written request for an additional meeting to the chair of the council and they have either refused to call the meeting or has failed to call the meeting within 7 days.

3.4 Business

The only business that can be conducted at an extraordinary meeting shall be as specified in the summons to the meeting. Extraordinary meetings shall not consider previous minutes.

4. QUORUM AT COUNCIL

The quorum for a meeting of the council will be one quarter of the total number of members. In the unlikely event of more than one third of elected members being disqualified the quorum for the council shall be determined by reference to the number of elected members remaining.

5. MOTIONS ON NOTICE

5.1 Motions on Notice

At meetings of the council, except for motions which can be moved without notice under standing order 32, written notice of each full motion, signed by at least one elected member and seconded by another elected member, must be delivered to the head of paid service not later than 10 clear working days before the date of the meeting.

5.2 Motions Set Out in Agenda

Motions on notice will be listed on the agenda and taken in the order first received, unless the member giving notice states, in writing, that they propose to defer it to a later meeting or withdraw it.

5.3 Powers of the Chair of the Council

The chair of the council, in consultation with the head of paid service, may refer a resolution to another body before being debated at council.

If the chair, after consultation with the head of paid service, considers it inappropriate to take a motion to council, they, acting reasonably, may provide written reasons for the refusal or take the issue to council for a decision as to whether or not it should be taken.

The proposed mover of the motion (and the proposed seconder if known) will normally be notified before the agenda is printed.

6. SPEECHES AND RULES OF DEBATE AT COUNCIL

6.1 Speeches Generally

Any motion must be moved at the meeting. Before a proposed motion can be considered by a meeting of full council, it must first be seconded by another elected member of full council. No elected member may speak in support of a motion until it has been seconded.

When seconding a motion, an elected member may reserve their speech until later in the debate. An elected member proposing a motion, which has been seconded, has the right to reply at the end of the debate before the motion is put to the vote. (See standing order 32.4 for the order in which rights of reply may be exercised.)

6.2 Standing to Speak

No one shall speak or stand whilst the chair of the council is either speaking or standing. When the chair stands during a debate the meeting, including any elected member speaking at the time, must be silent.

When speaking at council elected members must stand (unless unable) and address the meeting through the chair of the council. Other elected members must remain seated during speeches unless they wish to make a point of order or a point of personal explanation. The chair has the final say where two elected members stand to speak at the same time.

6.3 Speaking More Than Once Upon an Issue

Elected members will normally only be allowed to speak once upon any issue under consideration. Exceptions to this are to exercise a right of reply, to make a point of order, to provide a personal explanation, to speak on a proposed amendment or after proposing or seconding a motion. This list is not exhaustive and other occasions shall be at the discretion of the chair of the council.

6.4 Length of Speeches and Relevancy

Speeches will be limited to five minutes except when specific time limits are issued with the papers for the meeting or with the consent of the chair of the council. Speeches must at all times be relevant to the council business under consideration.

6.5 Length of Debates

With the exception of debates on the annual budget, the chair of the council has discretion to limit debate but not to less than one hour. Any motion to curtail debate shall not be moved less than one hour into any debate.

6.6   Motions that may be Moved during Debate

When a motion is under debate, only the following procedural motions may be moved:

i.   to withdraw the motion;
ii.   to amend the motion;
iii.   to proceed to next business in accordance with standing order 32.3;
iv.   that the question now be put in accordance with standing order 32.3;
v.   to adjourn the debate in accordance with standing order 32.3;
vi.   to adjourn the meeting in accordance with standing order 32.3;
vii.   that the meeting continues beyond 6 hours in duration;
viii. to exclude the public and press in accordance with standing order 36; and
ix.   to not hear further a member named under standing order 37.1 or to exclude them from the meeting under standing order 37.2.

6.7   Amendments to Motions

The chair may permit two or more amendments to be discussed (but not voted on) together if circumstances suggest that this course would facilitate the proper conduct of the council's business.

Amendments must be relevant to the motion and *must not negate* the motion. The ruling of the chair on the admissibility of an amendment is not open to challenge. Amendments will either be:

(i)   to leave out words; and/or
(ii)   to insert or add words; and/or
(iii)   to refer the matter to another body or person.

Amendments shall be voted on in the order in which they have been seconded.

If an amendment is carried the motion as amended shall take the place of the original motion and shall become the substantive motion upon which any further amendment may be moved.

6.8   Point of Order

An elected member may raise a point of order at any time. A point of order may only relate to an alleged breach of these standing orders or the law. The elected member must cite the rule or law and the way in which they consider it has been broken. The ruling of the chair on the matter will be final.

6.9   Personal Explanation

An elected member may at any time make a personal explanation, on a matter relating to some material part of their earlier speech, which appears to have been misunderstood in the present debate. The ruling of the chair on the admissibility of a personal explanation will be final.

7. ELECTED MEMBER QUESTION TIME

7.1 At each ordinary council meeting a maximum of forty minutes will be allocated for questions to the leader, cabinet portfolio holders and chairs of overview and scrutiny committees. This is in addition to the normal rights of any elected member to ask a question without notice about an item in any report which is under consideration at the meeting.

Any member may ask one or more questions provided it relates to Warwickshire. Any member may ask a supplementary question. No prior notice of any question is required. However, members are encouraged to provide at least three working days' notice of questions to the head of paid service, in order that an informed answer may be given.

Answers may take the form of either a direct oral answer or reference to a publication. Where an oral answer cannot immediately be given, a written answer may be given to the questioner as soon as practicable following the meeting.

All written answers given following the meeting will be circulated to all elected members and, unless the contents would involve disclosure of exempt or confidential information, shall normally be made public.

Questions will normally be taken in the order that they were received but the chair may, at their discretion, group the questions by subject.

At the meeting, the questioner will be invited to put the question and the relevant member will be invited to reply. The chair may impose a time limit subject to a maximum time of five minutes for each question.

A copy of any written answers will be attached as an appendix to the minutes unless the answer would involve disclosure of exempt or confidential information.

7.2 Power to Reject Questions

The chair, after consultation with the head of paid service and acting reasonably, has the power to exclude any question which:

(i)   has already been answered; or
(ii)   is not relevant to council business; or
(iii)   they consider unsuitable.

8. SUSPENSION / AMENDMENT OF STANDING ORDERS

8.1 Suspension

All or any part of these standing orders, subject to any statutory constraints, may only be suspended by the council if at least one half of the whole number of councillors are present and on a majority of two thirds of those voting and then only for such time as is specified in the resolution. The extent and duration of suspension shall be proportionate to the result to be achieved.

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8.2   Amendment

Any motion to add to, vary or revoke these standing orders will, when proposed and seconded, stand adjourned without discussion to the next ordinary meeting of the council unless the motion conforms in all material respects with the recommendation in a report of the monitoring officer that is under consideration at the meeting. The decision of the monitoring officer on the conformity of the motion with the recommendation shall be final.

The motion may only be carried on a majority of two thirds of those voting.

9.   SPECIAL RULES FOR MEETINGS OF THE CABINET

9.1   Frequency of Meetings

The cabinet will meet at least five times per municipal year at times to be agreed by the leader.

9.2   Calling of Meetings

A cabinet meeting may be called by the leader or by the head of paid service if they consider it necessary or appropriate and must be called if required under standing order 9.4 below.

9.3   Business

At each meeting of the cabinet the following business will be conducted:

    i. consideration of the minutes of the last meeting;
    ii. declarations of interest;
    iii.   receive and consider any petitions in accordance with the council's petitions scheme;
    iv.   receive any addresses from the public in accordance with the public speaking standing order 34;
    v. matters referred to the cabinet for their reconsideration in accordance with these standing orders;
    vi.   consideration of reports from overview and scrutiny committees;
    vii.   consideration of officer reports; and
    viii. any other business specified in the agenda for the meeting.

9.4   Agendas for Meetings of the Cabinet

The leader, in consultation with the head of paid service, sets the agenda for meetings of the cabinet and may add any agenda item they wish.

The following may also require the head of paid service to include an item on the agenda of the next available meeting of the cabinet:

    i.   the monitoring officer;
    ii.   the chief finance officer; or
    iii.   the head of paid service.

At the request of any elected member the leader can agree to add up to two additional items to the agenda of the next available meeting of the cabinet. Notice of the meeting will give the name of the member making the request and they may be invited by the leader to attend for that item.

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If an item requires a decision before the next scheduled meeting of the cabinet any person(s) entitled to include an item on the agenda may require that a meeting be convened at which the item will be considered.

9.5 Organising the Agenda of Cabinet Meetings

The cabinet will organise its agenda according to the following rules:

i.   any public petitions submitted in accordance with the council's petitions scheme; any matters for consideration at the meeting;
ii. any decisions which need to have immediate effect; or
iii. other decisions subject to the call-in procedures and/or referral to the council.

9.6 Officers' Attendance at Cabinet Meetings

The head of paid service, the chief finance officer and the monitoring officer, and their nominees are entitled to attend any meeting of the cabinet, its committees or sub-committees. The cabinet, its committees or sub-committees may not meet unless these officers have been given reasonable notice that a meeting is to take place.

10. SPECIAL RULES FOR EXECUTIVE DECISIONS

10.1 Leader and Portfolio Holder Decisions

10.2 Key Decision Procedure and Call-In to Apply

Any leader or portfolio holder decision shall comply with the procedure for taking key decisions set out in standing orders 16 to 18. This means that advance notice of the proposed decision should be given in the forward plan unless the requirements for a general exception notice or an urgent decision have been met.

Any decision made by the leader or a portfolio holder shall be subject to the call-in procedure under standing order 13 unless the requirements for an urgent decision have been met under standing order 18.

10.3 Reports and Process for Leader and Portfolio Holder Decisions

A report in the standard format for reports to member bodies shall be prepared for each proposed decision in accordance with the council's procedures and consultation requirements for reports.

Once the report has received the appropriate clearances, democratic services will submit the report to the leader or portfolio holder as appropriate for decision together with a draft decision record.

The leader or portfolio holder may confirm agreement with the proposed recommendation and draft decision record by electronic means provided the proposed decision is in accordance with the recommendations in the report.

However, where the leader or portfolio holder intends to make a substantive departure from a recommendation in the report, they shall meet with a representative of democratic services to ensure that an appropriate decision record is produced. The portfolio holder may, in any circumstance, take the decision at a meeting open to other members and the public (subject to the exclusion of the public for any particular item as set out in standing order 36).

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10.4 Record of Decisions and Publication

A record of any decision made by the leader or a portfolio holder shall comply with standing order 20.

The decision will normally be published by democratic services within 2 working days of the decision being taken.

No step may be taken to implement the decision until the decision has been published and any relevant call-in period has expired or, if called in, the call-in process has been completed.

11. LOCAL MEMBER DECISIONS

11.1 The leader or the council may delegate powers to local members to make decisions in relation to their electoral divisions provided they relate to local government matters and affect the electoral division of the member concerned.

11.2 At least 2 weeks' notice of an intention to make a local member decision shall be given in the forward plan.

11.3 Standing orders 13 to 15 shall apply to local member executive decisions.

11.4 If a local member executive decision would fall within the definition of a key decision then the decision-making process also must comply with the requirements for key decisions.

11.5 Standing order 20 (record of decisions) shall apply to all local member decisions and, subject to meeting any requirements set out above, no local member decision may take effect until 5 working days after the record of the decision has been published by democratic services.

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12. KEY DECISIONS - MEANING

A key decision is ~~means~~ a decision made in the exercise of an executive function by any person (including officers) or body, which meets one or more of the following conditions:

i. the decision is likely to result in the local authority incurring expenditure or the making of savings in excess of £1,000,000. Excluded from this are all loans to banks or other financial institutions made in accordance with the treasury management strategy.

Chief officers' delegated powers to make executive decisions are subject to the key decision/call-in regime where it is likely the local authority would incur expenditure or make savings above the threshold of £1,000,000.

In relation to letting contracts the key decision is the proposal to let a contract for a particular type of work. The subsequent decision to award the contract to a specific contractor will not be a key decision provided the value of the contract does not vary above the estimated amount by more than 10% for contracts with a value of £1,000,000 to £1,500,000 or 5% for contracts of over £1,500,000.

OR

ii. the decision is likely to be significant in terms of its effects on communities living or working in any electoral division in Warwickshire.

In considering whether a decision is likely to be significant, a decision-maker will need to consider the strategic nature of the decision and whether the outcome will have an impact, for better or worse, on the amenity of the community or quality of service provided by the authority to a significant number of people living or working in the locality affected.

In making this decision consultation should be undertaken with members whose electoral divisions might be affected in accordance with paragraph 13 of the Protocol on Member/Officer Relations in part 4 section 3 of this constitution.

OR

iii. the consideration by the executive of any matters which involve proposals or decisions:

- to change any plan or strategy included in the policy framework; or
- to develop any major new plan or strategy; or
- for the annual budget; or
- which would otherwise be contrary to and not in accordance with the policy framework or budget.

13. CALL-IN

13.1 Subject to standing orders 15 and 18 below call-in applies to the following executive decisions i.e. decisions made by:

- the leader or any portfolio holder;
- the cabinet;
- committees of the cabinet;

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- local members making executive decisions; or
- officers making key executive decisions.

13.2 Any such decision shall be published electronically, normally within 2 working days of being made. Chairs of all overview and scrutiny committees will be sent copies of the records of all such decisions at the same time.

13.3 The decision will come into force and may then be implemented on the expiry of 5 working days after the date of electronic publication of the decision, unless the monitoring officer receives a written request as set out in 13.4 below.

13.4 During that period if the monitoring officer receives a written request from:

(i) the chair of the relevant overview and scrutiny committee; or
(ii) any four members of the council;

they will notify the decision-maker and the chair of the relevant overview and scrutiny committee that the decision has been called in. Any such request must set out the nature of the concern and the reasons for the call-in.

13.5 Where it appears that the decision might reasonably be considered by the monitoring officer to be contrary to the policy framework or budget the monitoring officer may refer the matter for consideration by the full council instead of the overview and scrutiny committee with the agreement of the chair of the relevant overview and scrutiny committee and the chair of the council.

13.6 The relevant overview and scrutiny committee or the council in relation to referrals under standing order 13.5 shall meet to consider the decision no later than 10 working days after receipt of the call-in request.

13.7 Having considered the decision, the relevant overview and scrutiny committee may:

(i) refer it back to the decision-making person or body for reconsideration setting out in writing the nature of its concern; or
(ii) decide to take no action.

The outcome of the overview and scrutiny committee consideration will normally be published electronically within 2 working days of the meeting.

13.8 If the Overview and Scrutiny committee decides to take no action, the decision shall take effect on the date of the overview and scrutiny meeting. If the overview and scrutiny committee refer the decision back to the decision-making person or body, the decision will take effect on the date the decision-maker determines the matter.

13.9 The council may, after considering a decision under standing order 13.5:

i. make the decision with or without amendment, if it falls within the council's power to do so; or
ii. decide to take no action.

13.10 If the council decides to take no action or makes the decision itself the decision shall take effect on the date of the council meeting.

13.11 Once the call-in has been considered, either by the relevant overview and scrutiny committee or by the council under standing order 13.5, no further right of call-in may be exercised.

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14.   CABINET CALL-IN OF LOCAL MEMBER DECISIONS

Any member of the cabinet may call-in an executive decision made by a local member within 5 working days of the publication of the decision.

Where a decision has been called-in under this standing order the decision made by the local member shall be of no effect.
Any call-in by a cabinet member under this standing order shall invalidate any call- in of the local member decision under standing order 13.

The cabinet or leader or portfolio holder shall consider the called-in decision at the next available meeting or session and shall have power to make such decision as it sees fit in respect of the matter provided it falls within its powers to do so.

Nothing in this standing order prevents the decision once made by the cabinet or the leader or portfolio holder being called-in under standing order 13.

15.   LIMITATIONS OF CALL-IN

In order to ensure that call-in does not cause unreasonable delay and is not abused, the following limitations shall apply:

The call-in procedure may only be used once in respect of any particular decision.

Where, as a result of call-in, the matter is referred back to the decision-maker for final decision or the decision is otherwise deemed to take effect no further call-in may be exercised.

Only key executive decisions made by officers shall be subject to call-in. There shall be no right of call-in in relation to operational or day-to-day management decisions.

Call-in shall not apply to urgent decisions that comply with standing order 18 below.

16.   PROCEDURE BEFORE TAKING KEY DECISIONS

16.1   Subject to standing orders 17 (general exception) and 18 (urgency), a key decision may not be taken by any person or body unless:

   a.   notice has been given in the published forward plan in connection with the matter in question; and
   b.   at least 5 clear days have elapsed since the publication of the forward plan; and
   c.   where the decision is to be taken at a meeting of the cabinet or its committees notice of the meeting has been given in accordance with standing order 28.2 (notice of meetings).

16.2   A copy of any report submitted to an individual decision-taker (member or officer) in connection with a proposal to take a key decision shall be supplied as soon as reasonably practicable to the chair of any relevant overview and scrutiny committee or all members of that committee if there is no chair. Any such report shall be made available for public inspection unless it contains confidential or exempt information and shall include a list of background papers.

17.   GENERAL EXCEPTION

Where a matter which is likely to be a key decision has not been included in the forward plan the decision may still be taken if the following conditions are met or the conditions for taking urgent decisions under standing order 18 are met:

    a.   it is impracticable to defer the decision until it has been included in the next forward plan and until the start of the first month to which the next forward plan relates; and

    b.   the monitoring officer has given written notice to the chair of a relevant overview and scrutiny committee or, if there is no such person, each member of the relevant overview and scrutiny committee of the matter about which the decision is to be made; and

    c.   the monitoring officer has made copies of that notice available to the public at the designated officer of the council; and

    d.   at least 5 clear days have elapsed since the monitoring officer complied with (b) and (c).

Where such a decision is taken by a member body or by the leader or portfolio holder, it must be taken in public unless it would involve the disclosure of confidential or exempt information.

18. URGENCY

This standing order applies to any key decision and any decisions made by:

- the leader or portfolio holders;
- the cabinet;
- committees of the cabinet;
- local members making executive decisions; or
- officers making key executive decisions.

Where the decision is urgent and it is impracticable to comply with standing orders 16 and/or 17 the decision can only be taken if the decision taker (if an individual) or the chair of the body making the decision obtains the consent of the chair of a relevant overview and scrutiny committee or, if no chair of an overview and scrutiny committee is able to act, the consent of the chair of the council or in their absence the vice-chair, in writing that:

    i.   the decision cannot reasonably be deferred; and

    ii.   the decision should be treated as a matter of urgency; and

    iii.   where the proposed decision is contrary to or not wholly in accordance with the policy framework or budget it is not practicable to convene a quorate meeting of the full council.

All group leaders shall be informed in writing before the urgent decision is made. The record of the decision and the notice by which it is made public shall state whether or not the decision is an urgent one.

A decision will be urgent if any delay likely to be caused by call-in would seriously prejudice the council or the public interest.

19. REPORTS TO COUNCIL

19.1 General Requirements

The leader will report to council on an annual basis details of urgent decisions taken under standing order 18 (urgency) containing the details of each decision taken and

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the reason for the urgency.

The call-in and urgency procedures shall be monitored annually, and a report submitted to the council by the monitoring officer with proposals for review if necessary.

19.2   When an Overview and Scrutiny Committee can Require a Report

If the relevant overview and scrutiny committee thinks that a key decision has been taken which was not:

(a)   included in the forward plan; or
(b)   the subject of the general exception procedure (standing order 17); or
(c)   the subject of an agreement under standing order 18;

that committee may require the leader to submit a report to the council in accordance with standing order 19.3 below.

19.3   Leader's Report to Council

Where required under standing order 19.2 the leader will prepare and submit a report to the next available council meeting. The next available council meeting means the next council meeting falling at least 7 clear days after the relevant overview and scrutiny committee meeting. The report to the council will set out the decision and reasons for the decision, the individual or body making the decision and, if the leader is of the opinion that it was not a key decision, the reasons for that opinion.

20.   RECORD OF DECISIONS

20.1   After any meeting of the cabinet or any of its committees or sub-committees or leader and portfolio holder decisions under standing order 10 or local member decisions under standing order 11, whether taken in public or private, the monitoring officer will produce a record of every decision taken as soon as practicable. The record will include:

1.   a record of the decision;
2.   the reasons for the decision;
3.   any alternative options considered and rejected;
4.   any declaration of interest by any member relating to the decision and any dispensation granted by the audit and standards committee;
5.   a list of any reports considered; and
6.   a list of any background papers.

20.2   Where any officer takes a key executive decision, they shall produce a written statement in accordance with standing order 20.1. The officer shall forward a copy of that written statement and any reports considered immediately to the monitoring officer.

20.3   The monitoring officer shall make any written record or written statement and any reports considered available for public inspection, unless it would involve the disclosure of confidential or exempt information.

21.   OVERVIEW AND SCRUTINY COMMITTEES ACCESS TO DOCUMENTS

21.1   Rights to Copies

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Subject to standing order 21.2 below, a member of an overview and scrutiny committee (including its sub-committees if any) will be entitled to copies of any document which is in the possession or control of the leader or portfolio holder, cabinet, its committees or sub-committees, local member or an officer and which contains material relating to:

    a. any business transacted at a public or private meeting of the cabinet, its committees or sub-committees; or
    b. a leader or portfolio holder decision under standing order 10;
    c. a local member decision under standing order 11;
    d. any key decision that has been made by an officer of the authority.

21.2 Limit on Rights

A member of an overview and scrutiny committee will not be entitled to:

    a.   any document that is in draft form;
    b.   any part of a document that contains exempt or confidential information, unless that information is relevant to an action or decision they are reviewing or scrutinising or relevant to any review contained in any programme of work of such a committee or sub-committee.

22. RIGHTS OF ALL MEMBERS TO INSPECT DOCUMENTS

All members will be entitled to inspect any document which is in the possession or under the control of the cabinet, its committees or sub-committees, the leader or portfolio holder in relation to decisions under standing order 10 or a local member in relation to decisions under standing order 11 and contains material relating to any business previously transacted in private or any key decision made by an officer unless it contains confidential or exempt information falling within paragraphs 1 to 7 of the categories of exempt information.

23. THE FORWARD PLAN

23.1 Annual Notice of the Forward Plan

The monitoring officer will publish a notice once a year stating:

    a. that key decisions are to be taken on behalf of the council;
    b. that a forward plan containing particulars of the matters on which decisions are to be taken will be prepared on a monthly basis;
    c. that the plan will contain details of the key decisions to be made for the four-month period following its publication;
    d. that each plan will be available for inspection at reasonable hours free of charge at the designated office;
    e. that each plan will contain a list of the documents submitted to the decision takers for consideration in relation to the key decisions on the plan;
    f. the address from which, subject to any prohibition or restriction on their disclosure, copies of, or extracts from, any document listed in the forward plan is available;
    g. that other documents may be submitted to decision takers;
    h. the procedure for requesting details of the documents (if any) as they become available; and
    i. the dates of each month in the following year on which each forward plan will be published and available to the public at the designated office.

23.2   Period of Forward Plan

Forward plans will be prepared by the council to cover a period of four months, beginning with the first day of any month. They will be prepared on a monthly basis and subsequent plans will cover a period beginning with the first day of the second month covered in the preceding plan.

23.3   Publication of the Forward Plan

The forward plan must be published at least 14 days before the start of the period covered.

23.4   Contents of the Forward Plan

The forward plan will contain matters which the council has reason to believe are likely to be the subject of a key decision to be taken by the leader, portfolio holder, cabinet or body or person exercising delegated powers during the period covered by the plan. Any outstanding matters contained in the previous forward plan must be included in the latest forward plan.

Exempt information need not be included in a forward plan and confidential information cannot be included.

Subject to the above it will describe the following particulars in so far as the information is available or might reasonably be obtained:

a.   the matter in respect of which a decision is to be made;
b.   where the decision taker is an officer, their name and title, if any and, where the decision taker is a body, its name and details of membership;
c.   the date on which, or the period within which, the decision will be taken;
d.   the identity of the principal groups whom the decision taker proposes to consult, where appropriate, before taking the decision;
e.   the means by which any such consultation (if appropriate) is proposed to be undertaken;
f.   the steps any person might take who wishes to make representations to the cabinet or decision taker about the matter in respect of which the decision is to be made, and the date by which those steps must be taken; and
g.   a list of the documents submitted to the decision taker for consideration in relation to the matter.

24.   DEVELOPING THE BUDGET AND POLICY FRAMEWORK

24.1   The council is responsible for agreeing the budget and policy framework as set out in Article 4. Once the budget or policy framework is agreed, the leader is responsible for implementing the agreed policy framework within the set budget.

The leader is also responsible for leading the development of the policy framework and putting forward proposals for the draft budget, plans and strategies for the council to consider.

24.2   Approved Changes to the Budget or Policy Framework

The leader, or person(s) or body nominated by them, are authorised to make changes to the budget by:

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    a. approving virements for revenue and capital monies in accordance with the financial regulations approved by the council;

    b. agreeing any increases or reductions in capital starts/payments totals as part of the capital review process;

    c. approving the addition to the capital programme of projects costing less than £2,000,000 which are fully funded from external grants, developer contribution or from revenue; and

    d. approving individual projects within the allocations made by the council.

24.3 The Chief Executive and the Strategic Director for Resources are authorized to exercise those powers set out in the revenue and capital budget resolutions.

24.4 The leader or the cabinet shall have power to amend, modify, vary or revoke the policy framework to the extent that:

    a. it is required for giving effect to the requirements of the Secretary of State or a Minister of the Crown in relation to a plan or strategy or any part thereof submitted for their approval; or

    b. it is authorised by the council when approving or adopting the plan or strategy; or

    c. it is authorised by the council to update and maintain any action plans supporting a plan or strategy within the policy framework.

24.5 The council, when approving or adopting any plan or strategy, shall consider the extent to which the leader or the cabinet may make changes to the plan or strategy.

24.6 Any other changes to the policy and budgetary framework are reserved to the council.

25. LEADER OR CABINET PROPOSALS FOR THE BUDGET

25. 1 The leader or cabinet shall produce an outline budget proposal at the December cabinet meeting in any year. A detailed proposal shall be produced at the January meeting of cabinet. Any opposition proposals shall be produced no later than three clear working days before the council meeting at which the budget is to be considered. These provisions do not restrict any amendments to proposals being made on the day of the budget meeting.

25.2 If the leader fails to make proposals for the draft budget by 8th February preceding the commencement of the financial year to which the budget relates, the council may make a decision that has immediate effect and Standing order 25.3 – 25.9 below shall not apply.

25.3 In reaching a decision, the council may adopt the leader's or the cabinet's proposals, amend them, refer them back to the leader or the cabinet for further consideration, or substitute its own proposals in their place.

25.4 Where the council accepts the recommendation of the leader or the cabinet without amendment, the council may make a decision that has immediate effect. Otherwise, it may only make an in-principle decision.

25.5 The council must inform the leader of any objections it has to the proposals and instruct the leader to reconsider any proposal in the light of those objections within the period specified by the council, which shall not be less than 5 working days beginning with the day after the date the leader receives those instructions.

25.6 An in-principle decision will automatically take effect after the end of the specified period unless the leader informs the head of paid service in writing within that period

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that they object to the decision becoming effective and provides reasons why.

25.7 Where an objection from the leader is received the head of paid service will call a council meeting within a further 5 working days. The council must meet to re-consider its decision and the leader's written submission within a further 10 working days.

25.8 After considering the leader's objection and the reasons for it, the council may:

i. approve the leader's or the cabinet's recommendation by a simple majority of votes cast at the meeting; or
ii. approve a different decision that does not accord with the recommendation of the leader or the cabinet by a simple majority.

25.9 Any decision made under Standing order 25.6 above has immediate effect.

26. **SPECIAL RULES FOR OVERVIEW AND SCRUTINY COMMITTEES**

26.1 **Frequency of Meetings**

There shall be at least four meetings of each overview and scrutiny committee in each municipal year.

26.2 **Calling of Meetings**

An overview and scrutiny committee meeting may be called by the chair of the relevant overview and scrutiny committee, by any five members of the committee or by the head of paid service if they consider it necessary or appropriate.

26.3 **Business**

Overview and scrutiny committees and sub-committees shall consider the following business:

i. minutes of the last meeting;
ii. declarations of interest;
iii. consideration of any matter referred to the committee for a decision in relation to call-in of a decision under standing order 13 above;
iv. responses of the leader, portfolio holder or the cabinet to reports of the overview and scrutiny committee; and
v. any other business specified in the agenda for the meeting.

26.4 **Agenda Items for Overview and Scrutiny Committee Meetings**

Any person appointed to an overview and scrutiny committee or sub-committee, may require the chief executive to include an item on the agenda of the next available meeting.

Any five members of the council who are not members of the overview and scrutiny committee may give written notice to the head of paid service that they wish an item to be included on the agenda of an overview and scrutiny committee or sub- committee. Notice of the meeting will give the name of the member(s) making the request and the first named member may be invited by the chair to attend for that item.

27. **COUNCILLOR CALL FOR ACTION**

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27.1 A member may, in respect of a matter affecting their electoral division, refer the matter to the relevant overview and scrutiny committee for consideration (councillor call for action) by giving notice to the monitoring officer.

27.2 The monitoring officer will refer the councillor call for action to the chair of the relevant overview and scrutiny committee unless it relates to an excluded matter.

27.3 The monitoring officer will reject a councillor call for action where it deals with excluded matters. A copy of the decision will be sent to the chair of the relevant overview and scrutiny committee.

27.4 The relevant chair of the overview and scrutiny committee will either refer the matter back to the member on the basis it is premature and specify what steps the member should take towards resolving the matter OR refer the matter to the next available meeting of the overview and scrutiny committee.

27.5 If a councillor calls for action is included on the agenda of an overview and scrutiny committee; any further action is entirely within the discretion of the committee.

27.6 Further guidance on the use of the councillor call for action can be found in part 4 section 3 of this constitution.

28.   GENERAL RULES FOR ALL MEETINGS

28.1   Time and Place

With the exception of the annual meeting of the council, and meetings of the cabinet, leader and portfolio holder sessions and the overview and scrutiny committees which are dealt with above, the time and place of other meetings will be determined by the relevant body, the chair of the relevant body, or the head of paid service as appropriate.

28.2   Notice of and Summons to Meetings

The head of paid service will give at least 5 clear days' notice to the public of the time and place of any meeting by posting details at Shire Hall, Warwick, which is the designated office and by publication on the council's website. Meeting includes for these purposes any leader or portfolio holder session.

At least 5 clear days before a meeting, a summons signed by the head of paid service must be sent by post to every member of the relevant body or decision-makers or left at their usual place of residence or such other alternative address as notified to the head of paid service in writing or by electronic means.
The summons will give the date, time and place of each meeting and specify the business to be transacted and will be accompanied by such reports as are available.

Lack of proper service of a summons upon any member will not invalidate the meeting.

28.3   Agenda Items

With the exception of the annual meeting of the council, meetings of the cabinet, leader and portfolio holder sessions and the overview and scrutiny committees which are dealt with above, the agendas for other meetings will be fixed by the relevant chair in consultation with the head of paid service subject to any legal requirements.

28.4   Public Access to Agenda and Reports

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The monitoring officer will make copies of the agenda and accompanying reports available for inspection by the public at the designated office at least 5 clear days before the meeting.

Where a report is not included with the agenda the head of paid service shall make each such report available to the public for inspection as soon as the report is completed and sent to councillors.

Nothing in this rule requires the disclosure of any report containing confidential or exempt information as defined in standing order 40.

28.5 Quorum

With the exception of the council, the quorum at meetings of member bodies shall be one fifth of the number on that body or two, whichever is the greater. Any legal requirements which from time to time specify a particular quorum for any body will be observed.

28.6 No Proper Quorum

If the chair declares there is no quorum, the meeting will adjourn immediately. Remaining business will be considered at a time and date fixed by the chair or, if none, at the next meeting of that body.

28.7 Duration of Meetings

Unless the majority of members present vote for the meeting to continue, any council meeting that has lasted for 6 hours and any other meeting of a member body that has lasted for 3 hours will adjourn immediately. Remaining business will be considered at a time and date fixed by the chair or, if none, at the next meeting of that body. This rule does not apply to council meetings at which the annual budget is being debated.

28.8 Attendance by Elected Members as Observers

Except at meetings dealing with disciplinary matters or staff appointments any elected member can attend any meeting of an elected member body or leader and portfolio holder session as a non-speaking observer. Such an observer may be invited at the chair's, the leader's or relevant portfolio holder's discretion to speak at that meeting but may not vote.

28.9 Record of Attendance

Each member present during the whole or any part of any meeting must sign their name in the relevant attendance book.

29. MINUTES

29.1 Taking Minutes

Minutes will be taken of every meeting to which these standing orders apply.

29.2 Form of Minutes

Minutes will contain all motions and amendments moved at the relevant meeting.

29.3 Approving and Signing the Minutes

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Every set of minutes must be taken to the next suitable meeting where the chair will move that they be approved as an accurate record. Once approved the minutes shall be signed by the chair.

An extraordinary meeting shall not be treated as a suitable meeting for the purposes of this standing order.

30. THE CHAIR

30.1 Powers and Duties

It shall be the duty of any chair to conduct the meeting efficiently and effectively and at all times to act reasonably. The chair shall have full power to conduct the meeting in the way that they consider most expedient and to decide upon any points of procedure subject only to statutory requirements (if any) and these standing orders. The decision of the chair shall be final, however, where two or more elected members raise a point about procedure or the conduct of the meeting the chair must seek and take account of the advice of the monitoring officer (or their nominee) before giving any decision.

30.2 Power to Adjourn

If at any meeting there is a general disturbance making orderly conduct of business not reasonably possible, the chair may adjourn the meeting for as long as they think necessary.

30.3 Absent Chair

If at any meeting the relevant chair or vice-chair is not present to preside, another member chosen by those present shall preside for that meeting. In the event that no member is chosen to preside, the head of paid service (or their nominee) may chair the meeting.

30.4 Powers of the Person Presiding

Any person presiding at the meeting has the same powers and duties as the chair with the exception that where the head of paid service presides, they do not have a power to vote.

31. VOTING

31.1 Majority

All issues will be decided by a majority of those present and voting unless the law or these standing orders specifically require otherwise. Unless allowed by law co- opted members will not have the power to vote.

31.2 Chair Casting Vote

In the event of equality of votes the chair, if otherwise eligible to vote, will have a casting vote. There will be no restriction on how the chair chooses to exercise a casting vote.

31.3 Show of Hands

Unless a recorded vote is demanded under standing order 31.4, the chair will take the

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vote by show of hands or, if there is no dissent, by affirmation of the meeting. Standing order 31.4 applies only to meetings of the council.

31.4   Recorded Vote

There must be a recorded vote at a council meeting when deciding on the annual budget, setting the precept or making requisite calculations. In relation to any other matter at a council meeting before the vote is taken the chair, or three or more elected members present at the meeting, may demand that a poll of the results be recorded in writing and entered into the minutes.

31.5   Right to Require Individual Vote to be Recorded

Immediately after the vote is taken any member at any meeting can require that their individual vote be recorded in the minutes.

31.6   Voting on Appointments

It there are more than two people nominated for any position to be filled and there is no clear majority in favour of one person, the person with the least votes will be taken off the list and a new vote taken. The process will continue until there is a majority of votes for one person.

32.   MOTIONS

32.1   Scope of Motions

All motions (which includes any suggested amendments) must be moved at the meeting and must be about matters for which the council has a responsibility, or which affect the area.

32.2   Procedural Resolutions

At meetings procedural motions may be moved without notice. Procedural motions generally, but not exclusively, relate to:

a.   Procedural matters on the agenda - such as appointing a chair, accuracy of the minutes, changing the order of business, amending or withdrawing a motion, extending the duration of meeting;

b.   General matters of procedure - such as referring an item to an appropriate body or individual, receiving reports or adopting recommendations of the cabinet or committees or officers and any motions or amendments following from them, excluding the public and press in accordance with standing order 36, not to hear further a member named under standing order 37.1 or to exclude them from the meeting under standing order 37.2;

c.   Closure motions - to proceed to the next business, that the question now be put, to adjourn a debate or to adjourn a meeting.

In rare circumstances urgent item resolutions which the chair of the relevant body considers are genuinely urgent and can be dealt with at the meeting may be moved without notice in accordance with these standing orders.

32.3   Closure Motions - Procedure

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Closure motions shall be moved without comment by a member who has not spoken on the matter, at the conclusion of the speech of another member.

i. If a closure motion '***to proceed to the next business'*** is seconded the chair, if they consider there has been sufficient discussion about the matter shall, without further discussion, give the mover(s) of the original motion and any amendments a right of reply before the closure motion is put to the vote.

ii. If a closure motion *'**that the question now be put**'* is seconded, the chair, if they consider there has been sufficient discussion about the matter, will immediately put the closure motion to the vote without debate. If the closure motion is passed, then without further discussion the mover(s) of the original motion and any amendments will be given a right of reply before the original motion is put to the vote.

iii. If a closure motion *'**to adjourn the debate**'* or *'**to adjourn the meeting**'* is seconded, the chair, if they consider there has been sufficient discussion about the matter, will immediately put the closure motion to the vote without discussion.

iv. If a closure motion is not carried, the same motion shall not be moved within a period of 30 minutes without leave of the chair.

32.4 Rights of Reply - Order

Rights of reply shall be exercised in the following order:

a. the mover of an amendment;
b. where there is more than one amendment the rights of reply shall be exercised in the order the amendments were moved;
c. the mover of the original (substantive) motion.

A member exercising a right of reply shall confine themselves strictly to answering previous observations and shall not introduce any new matter.

32.5 Motion to Rescind a Previous Decision

No motion or amendment which would have the effect of rescinding a decision made at a council meeting within the previous 6 months can be moved unless the written notice of the proposed motion or amendment is signed by at least four members.

32.6 Motion Similar to One Previously Rejected

A motion or amendment in similar terms to one that has been rejected at a council meeting in the previous 6 months cannot be moved unless the written notice of the proposed motion or amendment is signed by at least four members. Once the motion or amendment is dealt with, no one can propose a similar motion or amendment for 6 months.

33. RULES OF DEBATE

Subject to legal requirements and to the agreed formats for local authority meetings, it is intended that meetings other than the council have the greatest amount of flexibility to conduct business in the way that they consider most effective.

The conduct of business, including speeches and debates at such meetings, will be at

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the discretion of the chair acting reasonably. The chair may impose the limits set out in standing orders 6.1, 6.4, 6.5 and 6.6 above.

34. PUBLIC SPEAKING

34.1 Applicability

This standing order shall apply to council, cabinet and overview and scrutiny committees.

34.2 General

The chair of a meeting shall have power to manage public speaking in a way that facilitates the proper and timely conduct of the meeting including placing a limit on the time allotted for public speakers. The chair has discretion to reject any statement that:

(i)   has already been made at this or a previous meeting; or
(ii)   is not relevant to the business of the body; or
(iii) they consider unsuitable.

34.3 Eligibility to Speak

Any member of the public who is resident or working in Warwickshire or whom is in receipt of services from the council may speak at meetings of the council, cabinet or an overview and scrutiny committee.

Speakers at cabinet and council meetings may only speak on matters that relate to the agenda of that meeting. Speakers at overview and scrutiny committee meetings may address any matter relevant to the remit of that committee. Any address must not contain any defamatory, frivolous or offensive statements.
A member of the public for the purposes of this standing order does not include:

- any employee of the council in relation to any matter connected with their employment;
- any representative of an employee of the council or group of such employees;
- any person in a contractual relationship with the council in relation to any matter connected with that contract;
- any member of any local authority on a matter concerning that authority;
- any person who is an applicant for a consent, approval, permission, licence or similar decision given by the council;
- any person intending to refer to any confidential or exempt matter on the agenda; or
- a person who is engaged professionally to speak on behalf of another.

34.4 Procedure

Any member of the public who wishes to speak on an item must give notice in writing or by electronic means to the head of paid service at least 2 clear working days before the meeting.

Any questions should be notified in writing or by electronic means and received by the head of paid service at least 2 clear working days before the meeting.

Each speaker must give their name and address and the subject upon which they wish to speak.

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If more than one person wishes to speak on a subject the first person shall have priority. At the chair's discretion a second person may speak on the subject if it is clear that the area of concern is different and/or it will enable the meeting to receive a balance of views.

Each speaker shall have a maximum of three minutes to speak.

A summary of addresses made by the public will be recorded in the minutes of the meeting.

34.5 Absence of Public Speaker

In the absence of a speaker the chair has discretion over how to deal with the matter and may put the question/statement themselves to the meeting.

34.6 Form of Answers

Answers may take the form of either a direct oral answer or reference to a publication. Where an oral answer cannot immediately be given, a written answer may be given to the questioner as soon as practicable following the meeting.

34.7 Referral of a Matter

The chair has discretion to decide whether discussion will take place on any matter raised by a public speaker, but any member may move that the subject matter be referred to the cabinet or another appropriate committee. Once seconded, such a motion will be voted on without discussion.

34.8 Public Speaking at Regulatory Committee

Standing orders 34.8 and 34.9 apply only to applications for planning permission, and for approvals under planning conditions, decided by the regulatory committee.

A councillor of any local authority (including town and parish councils) representing the area in which the application site is situated, and anyone who has made written representations mentioned in the office report, is eligible to speak at the committee.

If a person speaks against an application, the applicant has a right of reply. Anyone entitled to speak may nominate a representative to speak on their behalf. Speakers may be questioned by officers and members of the committee.

No more than three objectors and three supporters (not counting local councillors with a right to speak) may speak on any one application. If more than three requests to speak in either category, they will be asked to agree a smaller number of representatives. If they fail to agree, the chair shall have discretion to select the representatives.

Anyone wishing to speak to the committee must make a request either by letter or electronic means to the development group at least three working days before the committee meets.

The chair may stop a speaker if what they are saying is irrelevant or offensive or if they attempt to introduce substantial new issues or evidence. Speakers cannot circulate new documents other than photographs and no presentation aids may be used.

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Speakers will not be permitted to question any other person and will not be allowed to speak more than once. If it is necessary to make a factual correction after speaking, the information should be supplied to an officer.

If the committee defers an application to obtain further information or to visit the site, speakers will be allowed to speak when the application is next considered only if they spoke at the first meeting and only in order to address any new information which has emerged in the meantime.

34.9 Order of Speaking at Regulatory Committee

Applications on which people have requested to speak will be dealt with before other items on the agenda. Public speaking on each application will take place after the planning officer has introduced the application. Each speaker has a maximum of 3 minutes. The order of speaking will be:

   i. the county councillor;
  ii. other councillors;
 iii. objectors;
 iv. supporters;
  v. applicant.

The chair may exercise discretion to depart from the rules of this scheme in exceptional circumstances.

35. PETITIONS - Public Rights under the Petition Scheme

35.1 Members of the public have a right to petition the council in accordance with the petitions scheme approved by the full council.

35.2 On receipt of a petition which meets the requirements of the scheme the democratic services manager will notify the appropriate portfolio holder, strategic director and, if appropriate, the local member of the receipt of the petition and its subject matter.

35.3 The democratic services manager will make arrangements for the petition to be included on the agenda of the next available meeting of the body concerned. The petition organiser or a person they nominate will have a right to speak for up to five minutes in support of the petition at that meeting. A petition may only be presented once.

35.4 Following presentation of the petition to the meeting the petition will normally be referred to the relevant strategic director or chief officer for consideration and response. The strategic director will normally advise the petitions organiser within 10 working days of the meeting of the action proposed to be taken in response to the petition.

35.5 Where more than one petition is received in time for a particular meeting, supporting the same outcome on a particular matter (duplicate petitions), each petition organiser will be treated as an independent petition organiser, but only the petition organiser of the first petition to be received will be invited to address the relevant meeting.

36. ACCESS BY THE PUBLIC TO MEETINGS

Members of the public may attend all meetings including leader and portfolio holder sessions subject only to the exceptions in these standing orders.

36.1 Confidential Information - Requirement to Exclude Public

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The public must be excluded from meetings whenever it is likely in view of the nature of the business to be transacted or the nature of the proceedings that confidential information would be disclosed.

36.2 Meaning of Confidential Information

Confidential information means information given to the council by a government department on terms which forbid its public disclosure or information which cannot be publicly disclosed by or under any enactment or by court order.

36.3 Exempt Information - Discretion to Exclude Public

The public may be excluded from meetings whenever it is likely in view of the nature of the business to be transacted or the nature of the proceedings that exempt information would be disclosed.

36.4 Meaning of Exempt Information

Subject to (i) and (ii) below exempt information means information falling within the seven categories set out in column 1 of the table at the end of these standing orders subject to any qualification in column 2 for that category:

    i.   Exempt information is only exempt if and so long as in all the circumstances of the case the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

    ii.   Information is not exempt if it relates to proposed development for which the local planning authority can grant itself planning permission under Regulation 3 of the Town and County Planning General Regulations 1992.

36.5 Removal of a Member of the Public

Any member of the public who interrupts proceedings or acts improperly shall firstly be warned by the chair that, if their conduct continues, the chair will request that they leave or order them to be removed from the meeting.

36.6 Clearance of Part of the Meeting Room

If there is a general disturbance in any part of the meeting room open to the public, the chair may call for that part to be cleared.

37. DISORDERLY CONDUCT BY MEMBERS

37.1 Member Not to be Heard Further

If at any meeting a member persistently disregards the ruling of the chair by behaving improperly or offensively or deliberately obstructs business, the chair may move that the member not be heard further. If seconded, the motion will be voted on without discussion.

37.2 Member to Leave the Meeting

If at any meeting the member continues to behave improperly after such a motion is carried, the chair may move that either the member leaves the meeting or that the meeting is adjourned for a specified period. If seconded, the motion will be voted on

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without discussion.

38. THE PARTY WHIP

38.1 It will not normally be appropriate for the party whip to operate in relation to overview and scrutiny functions.

38.2 When considering any matter in respect of which a member of an overview and scrutiny committee is subject to a party whip, the member must declare the existence of the whip, and the nature of it before the commencement of the committee's deliberations on the matter. The declaration, and the detail of the whipping arrangements, shall be recorded in the minutes of the meeting.

38.3 A party whip shall not be applied in any situation where members are considering planning applications, appeals of any sort or acting as a tribunal.

39. PROBITY AND ETHICS

a. Members will abide by any ethical rules or guidance set out in any of the following:

  i. as stipulated by law (whether common law, statute, subsidiary legislation, statutory code or guidance);
  ii. as issued by any other organisation/body if such rules or guidance are adopted by the local authority;
  iii. as set out in the council's code of conduct for members in part 4 of this constitution;
  iv. any other rules or guidance issued by the local authority itself.

b. A member attending a meeting where a matter arises in which they have a disclosable pecuniary interest must (unless they have a dispensation) leave the meeting room until the matter has been dealt with.

40. ACCESS TO INFORMATION AND CONFIDENTIALITY

Any confidential or exempt information and documentation shall be kept confidential by all members.

Any disputes relating to the rights of access of any person under these standing orders or any statutory provision or common law rights shall be referred to the monitoring officer of the council.

These standing orders do not affect any more specific rights to information contained elsewhere in this constitution or the law.

41. EXCLUSION OF ACCESS BY THE PUBLIC TO REPORTS

If the monitoring officer thinks fit, the council may exclude access by the public to reports which in their opinion relate to items during which, in accordance with standing order 36, the meeting is likely not to be open to the public. Such reports will be marked "not for publication" together with the category of information likely to be disclosed.

42. ACCESS TO MINUTES ETC. AFTER THE MEETING

The council will retain copies of the following for public inspection for six years after the date of the meeting or the date of the decision:

a. the minutes of the meeting or records of decisions taken, together with reasons, for all meetings of the council, the cabinet or any committees and any leader and portfolio holder sessions excluding any part of the minutes or record when the meeting was not open to the public which disclose exempt or confidential information;

b. a summary of any proceedings not open to the public where the minutes or record of the decision open to inspection would not provide a reasonably fair and coherent record;

c. the agenda for the meeting or session;

d. reports relating to items when the meeting or session was open to the public;

e. local member decisions under standing order 11 and officer key decision records excluding any part of the record which would disclose exempt or confidential information.

43. BACKGROUND PAPERS

43.1 List of Background Papers

The chief officer originating the report, or in the case of a joint report the first named chief officer, shall ensure that every report includes a list of those documents (called background papers) relating to the subject matter of the report which in their opinion:

a. disclose any facts or matters on which the report or an important part of the report is based; and

b. which have been relied on to a material extent in preparing the report; except published works or those which would disclose exempt or confidential information (as defined in standing order 36).

43.2 Public Inspection of Background Papers

The council will make available for public inspection for four years after the date of the meeting one copy of each of the documents on the list of background papers.

44. FILMING AND USE OF SOCIAL MEDIA AT MEETINGS

44.1 General

The chair of any meeting has powers to deal with issues relating to the conduct of those present to ensure the due and orderly dispatch of business.

The purpose of this standing order is to provide guidance on the conduct within meetings which is acceptable, particularly in the context of the use of modern media tools (e.g. blogging and tweeting) and filming and recording at meetings.

The principle is that the proceedings of the meeting concerned should not be impaired or handicapped by the use of media tools and that it is a matter for the chair to determine on the day, in the particular circumstances, what he or she regards as not appropriate.

The standing order attempts to recognize the different obligations which rest on elected members, representatives of the media and members of the public respectively.

44.2   Recording of meetings

The council shall use audio visual equipment to record all full council and overview and scrutiny meetings and make these available online for a period of at least one year.

44.3   Press and public recording of meetings

Any member of the public (including press or individuals) may report on the meeting using any communication method (including filming, audio recording and social media).

Any person who wishes to film or record a meeting is encouraged to contact Democratic Services at least 24 hours before the meeting so that arrangements can be made to accommodate them at the meeting, and so that notice can be given to other attendees before/at the start of the meeting that they will be/are being recorded.

Any recording must respect the wishes of members of the public who reasonably do not wish to be recorded.

The chair will have discretion to terminate or suspend recording at any time if the chair considers continuation would prejudice the conduct of the meeting.

Recordings should be of sufficient quality so that listeners or viewers cannot misunderstand, misconstrue or be misinformed as a result of a poor-quality broadcast.

44.4   Councillor responsibilities

Councillors are in a different position to members of the public and their actions affect the reputation of the council. Councillors have an obligation to pay close attention to the proceedings of meetings they attend and demonstrate that they are playing an active part. This is in addition to the general point of showing respect and courtesy to other participants. Any use of modern media tools by councillors in meetings should be considered in this context.

Councillors should also ensure that their use of social media does not misrepresent council proceedings, misinform the public or show a lack of respect for other councillors. Councillors must also respect confidentiality

45.   SUPPLY OF COPIES

The council will supply copies of:

a.   any agenda and reports which are open to public inspection;
b.   any local member decision under standing order 11 or officer key decision record which is open to public inspection;
c.   any further statements or particulars necessary to indicate the nature of the items on the agenda; and
d.   if the monitoring officer thinks fit, copies of any other documents supplied to councillors in connection with an item;
     to any person on payment of a charge for postage and any other costs.

46.   SUMMARY OF PUBLIC'S RIGHTS

A written summary of the public's rights to attend meetings and to inspect and copy documents must be kept at and available to the public at the designated office.

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47.   DELEGATION OF POWERS

The council's scheme of delegation setting out the local authority's decision-making functions is set out in part 2 of the constitution as issued and approved from time to time.

48.   PROTOCOLS AS FURTHER GUIDANCE

The council may approve 'protocols' from time to time, which will stand as further guidance.

APPENDIX: TABLE OF EXEMPT INFORMATION ~ STANDING ORDER 36

	Category of Exempt Information	Qualifications
1.	Information relating to any individual.	
2.	Information which is likely to reveal the identity of an individual.	
3.	Information relating to the financial or business affairs of any particular person (including the authority holding that information).	Information within paragraph 3 is not exempt if it must be registered under various statues, such as the Companies Act or Charities Act, Building Societies Act.
4.	Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matters arising between the authority or a minister of the crown and employees of, or office holders under, the authority.	"Labour relations matters" are as specified in paragraphs (a) to (g) of section 218(1) of the Trade Unions and Labour Relations (Consolidation) Act 1992, i.e. matters which may be the subject of a trade dispute.
5.	Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings.	
6.	Information which reveals that the authority proposes: to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or to make an order or direction under any enactment.	
7.	Any action taken or to be taken in connection with the prevention, investigation or prosecution of crime.	
The following additional categories apply only to a committee or sub-committee exercising the functions of a standards committee under section 58(1)(c), 60(2) or (3), 64(2), 70(4) or (5) or 71(2) Local Government Act 2000 or considering any matter under Regulation 13 or 16 to 20 Standards Committee (England) Regulations 2008		
7A.	Information which is subject to any obligation of confidentiality.	
7B.	Information which relates in any way to matters concerning national security.	

7C.	The deliberations of a standards committee or sub- committee in reaching any finding on a matter referred.	

Part 3(2)

SECTION 2 – OFFICER EMPLOYMENT STANDING ORDERS

1. RECRUITMENT AND APPOINTMENT

(a) Declarations

i. The council will draw up a statement requiring any candidate for appointment as an officer to state in writing whether they are the parent, grandparent, partner, child, stepchild, adopted child, grandchild, brother, sister, uncle, aunt, nephew or niece of an existing councillor or officer of the council, or of the partner of such persons.

ii. No candidate so related to a councillor or an officer will be appointed without the authority of the relevant chief officer or an officer nominated by them.

(b) Seeking support for appointment

i. The council will disqualify any applicant who directly or indirectly seeks the support of any councillor for any appointment with the council. The content of this paragraph will be included in any recruitment information.

ii. No councillor will seek support for any person for any appointment with the council.

2. RECRUITMMENT OF HEAD OF PAID SERVICE, STRATEGIC DIRECTORS, CHIEF OFFICERS AND ASSISTANT DIRECTORS

Where the council proposes to appoint the head of paid service, strategic director, chief officer or Assistant Director and it is not proposed that the appointment be made exclusively from among their existing officers, the council will:

i. draw up a statement specifying the duties of the officer concerned and any qualifications or qualities to be sought;

ii. make arrangements for the post to be advertised in such a way as is likely to bring it to the attention of persons who are qualified to apply for it; and

iii. make arrangements for a copy of the statement mentioned in paragraph (a) to be sent to any person on request.

Except in the case of the head of paid service, a longlist of qualified applicants will be prepared for a panel of appropriate officers. The officer panel will interview the longlist candidates and draw up a shortlist of candidates for interviews by an appropriate member body. Where no qualified person has applied, the council will make arrangements for the post to be re-advertised.

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The selection of an appropriate officer panel to interview candidates will be made by:

- The head of paid service (or monitoring officer if the former is unavailable) in relation to the appointment of strategic directors or chief officers.
- The appropriate strategic director for the group or chief officer in relation to the appointment of Assistant Directors.

Appointments Sub-Committee

Composition:

At least three elected members drawn from a pool of members agreed by the Staff and Pensions Committee to sit as and when required. The chief executive will make arrangements for the sub-committee with membership being proportionate to the representation of the political groups and individual members on the council and nominated by the leaders of the political groups.

Role:

1. To deal with the appointment of strategic directors and chief officers, Assistant Directors and other statutory officers appointed by the council.

2. To make recommendations to council regarding the appointment of the head of paid service.

3. APPOINTMENT OF HEAD OF PAID SERVICE, MONITORING OFFICER AND CHIEF FINANCE OFFICER

1. An appointments sub-committee of the council will carry out the function of interviewing qualified applicants and making recommendations to council. The sub-committee must include at least one cabinet member.

2. The full council must approve the appointment of the head of paid service before an offer of employment is made.

3. The full council may only make or approve the appointment of the head of paid service, monitoring officer and chief finance officer where no well-founded objection has been made by any cabinet member.

4. APPOINTMENT OF STRATEGIC DIRECTORS AND ASSISTANT DIRECTORS

1. A longlist of qualified applicants will be interviewed by an officer panel in accordance with 2 above and a shortlist of candidates produced for interview by an appropriate member body.

2. An appointments sub-committee of the council will carry out the function of interviewing qualified applicants from the shortlist and appointing strategic directors or Assistant Directors. The appointments sub-committee must be politically balanced and must include at least one cabinet member.

3. An offer of employment as a strategic director or Assistant Director

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shall only be made where no well-founded objection from any cabinet member has been received.

5.   OTHER APPOINTMENTS

Appointment of officers below strategic director or Assistant Directors (other than political assistants to the groups) is the responsibility of the head of paid service or their nominee and may not be made by councillors.

6.   DISCIPLINARY ACTION

a.   With the statutory exceptions set out below, disciplinary action in relation to officers is governed by the council's agreed procedures.

b.   In relation to the head of paid service, monitoring officer and chief finance officer ("statutory officers") the following restrictions apply: -

- *Statutory officers can be suspended on full pay whilst an investigation into alleged misconduct takes place, such suspension to be reviewed after two months and every month thereafter.*

- *In an emergency, the head of paid service or the monitoring officer may suspend a statutory officer. In other cases, only the Disciplinary Sub-Committee may suspend a statutory officer.*

- *No other disciplinary action may be taken in respect of statutory officers except in accordance with a recommendation in a report made by a designated independent investigator.*

c.   Councillors will not be involved in disciplinary action against any officer below strategic director except where such involvement is necessary for any investigation or inquiry into alleged misconduct, or where the council's disciplinary, capability and related procedures, as adopted from time to time, allow a right of appeal to members in respect of disciplinary action.

7.   DISMISSAL OF STATUTORY OFFICERS

Where the Disciplinary Sub-Committee is carrying out the function of dismissing the statutory officer, it must include at least one cabinet member.

Notice of dismissal of the statutory officer shall only be given where no well- founded objection has been received from any cabinet member.

No notice of dismissal of a statutory officer may be given by the council before the proposal has been considered by an independent panel of at least two members appointed under section 28(7) Localism Act 2011.

No notice of dismissal may be given without the prior approval of the council.

8.   DISMISSAL OF STRATEGIC DIRECTORS

Where a committee or sub-committee of the council is carrying out the function of dismissing a strategic director it must include at least one cabinet member.

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Notice of dismissal of a strategic director shall only be given where no well-founded objection has been received from any cabinet member.

9.   **OTHER DISMISSALS**

Councillors will not be involved in the dismissal of any officer below strategic director except where such involvement is necessary for any investigation or inquiry into alleged misconduct, or where the council's disciplinary, capability and related procedures, as adopted from time to time, allow a right of appeal to members in respect of dismissals.

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Part 3(3)

SECTION 3 – CONTRACT STANDING ORDERS

NEW VERSION AT APPENDIX 2B TO REPORT TO BE SUBSTITUTED

Council rules for buying and supplying goods, works, or services and for disposing of assets
Effective from 1 April 2019

For clarity and pursuant to the Constitution of the County Council, the role of Chief Finance Officer is executed by the Strategic Director for Resources and the role of Monitoring Officer is exercised by the Assistant Director for Governance & Policy.

SECTION A

1. SCOPE AND PURPOSE

1.1 Contract standing orders (CSOs) aim to promote good procurement practice, public accountability, deter corruption and provide protection for staff against allegations of impropriety.

1.2 All procurement and disposal procedures must:

- Achieve best value for money;
- Be consistent with the highest standards of integrity;
- Ensure fairness;
- Comply with all legal requirements;
- Support the council's corporate aims and policies;
- Comply with corporate policies and strategies and with the decisions of corporate board (or other officer boards authorised by corporate board), and with any other of the council's properly constituted boards and committees acting within their jurisdiction; and
- In relation to procurement of IT equipment, hardware and software specifically must comply with the digital and ICT strategy and decisions taken by the digital by design board.

1.3 A relevant contract for the purposes of CSOs is any arrangement made by, or on behalf of, the council for the carrying out of works or for the supply of goods, materials or services, for example:

- the supply or disposal of goods;
- hire, rental or lease of goods or equipment; and
- the delivery of services.

1.4 "Contract" also includes arrangements where the council is supplying goods, works or services.

1.5 Contracts must comply with these CSOs, irrespective of the method of funding (e.g. capital, revenue, sponsorship, donations or grants from a third party).

1.6 The following contracts are excluded from CSOs:

a. Contracts of employment which make an individual a direct employee of the council;
b. Agreements for the acquisition, disposal, or transfer of land;

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     c.   Contracts entered into by or on behalf of the monitoring officer for the appointment of counsel and/or experts; or

     d.   Loans to banks or other financial institutions and investments made in accordance with the treasury management strategy.

2. GENERAL REQUIREMENTS

2.1 Classification and Valuation of Contracts

The following classifications apply for the purposes of CSOs:

- Minor contract – total value less than £100,000
- Ordinary contract – total value of £100,000 or more but below £1,000,000
- Major contract – total value of £1,000,000 or more

The total value of the contract should be calculated in accordance with the most appropriate of the following:

a. fixed term contracts - the total price expected to be paid during the whole of the contract period, including possible extensions; or

b. where the contract period is uncertain, multiply the price expected to be paid each month by 48.

c. if the purchase involves a series of separate transactions for the same type of item, the 'total value' is the expected aggregate value of all of those transactions in the coming 12 months.

d. for feasibility studies, it is the value of the scheme or contracts which may be awarded as a result.

An *officer* **must not** select a method of calculating the *total value* in order to void the requirements of these CSOs.

2.2 Guiding Principles

a. All contracts must be let through a competitive process which meets the requirements of **Section C** unless an exemption has been granted or the arrangement is permitted by these CSOs.

b. Adequate resources should be identified to manage the procurement and any contracts awarded.

c. Any contract which exceeds the relevant EU threshold (or replacement threshold set by the UK government) must comply with any legal requirements in the Public Contract Regulations or any replacement regulations approved by the UK government.

d. There must be a procurement plan for all major contracts **and** any contract which exceeds the relevant EU threshold or UK equivalent. The procurement plan must be submitted to the chief finance officer and approved before the procurement process commences.

e. Only approved E-Systems should be used, and advice should be sought from the head of procurement on their use. The use of e-procurement technology does not negate the requirement to comply with all elements of these CSOs.

f. The following are excluded from the requirement for competition:

i. Purchases made via a purchasing consortium (e.g. ESPO) accessible to local authorities, however, purchases above the *EU Threshold* will only be excluded if the consortium has let their contract in accordance with *EU Procedures*.

ii. Contracts entered into through sub-regional working or collaboration with other local authorities or public bodies, where a competitive process has been followed that complies with the CSOs of the lead organisation provided the collaboration has let their contract in accordance with *EU Procedures* (where applicable).

iii. Collaborative proposals for joint working or shared services with other public bodies which the monitoring officer has approved as meeting the following conditions i.e.:

- The principal activity of the collaborative arrangement is the provision of services back to the participating bodies;
- The collaborating public bodies when acting together exercise the same kind of control over the service as they would over an in-house service; **and**
- There is no independent or private sector partner involved in the collaborative arrangement.

iv. residential placements for an individual with a registered care provider of their choice under the Care Act 2014, or

v. *personal care services* where, in the opinion of the appropriate assistant director, the particular needs of an individual require a specific social care package which is only available from one provider.

vi. In relation to (iv) and (v) above the assistant director responsible for the delivery of the services must ensure that adequate records are maintained to demonstrate:

- The contractor meets the relevant national minimum standards;
- The contract is effectively managed in accordance with the council's contract management framework;
- The reasons for the choice of contractor; and
- Why these were best possible terms for the council in the circumstances.

2.3 Approvals

a. All contracts must be appropriately authorised in accordance with the council's scheme of delegation before a procurement process (whether to be undertaken by negotiation or competition) is begun or a contract awarded.

b. Any proposal to let a contract with an estimated total value of £1,000,000 or more up to £3,000,000 can only be approved by the deputy leader (finance & property), the leader or cabinet (see table below).

c. Any proposal to let a contract with an estimated total value of more than £3,000,000 can only be approved by either the cabinet or the leader (see table

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below).

d. All contracts should be in written form and once the terms and conditions are agreed should be submitted to the appropriate person for signature. The written formalities should be completed **before** the contract is due to start.

e. The table below sets out in more detail the approvals required. They apply equally to contracts that may be awarded through negotiation as they do to those awarded through competition. They also apply to contracts awarded from framework arrangements including those let using an ESPO framework.

f. Any *major contract* **must** comply with the key decision regime. When commissioning *major contracts*, the key decision is the proposal to begin a procurement process for a particular contract.

g. The subsequent decision to award the *major contract* to a specific contractor will not be a key decision provided the value of the contract does not vary above the original estimated value by 10% or more.

Total Contract Value	Column 1: Authority to start process	Column 2: Contract Terms	Column 3: Authority to award contract	Column 4: Contract Signing
Major Contracts More than £3,000,000	Cabinet or leader. This will be a key decision. This authority will also generally give the strategic director delegated authority to award the contract.	Monitoring officer unless standard terms and conditions have already been approved.	Generally covered by column 1. If bids exceed the original estimates by 10% or more then you must report back to leader or cabinet before award.	Send to monitoring officer for signing / sealing by designated officers. The relevant authority must be provided at the same time.
Major Contracts £1,000,000 or more up to £3,000,000	Leader, deputy leader or cabinet. This will be a key decision. This authority will also generally give the strategic director delegated authority to award the contract.	Monitoring officer unless standard terms and conditions have already been approved.	Generally covered by column 1. If bids exceed original estimates by 10% or more then report back to leader, deputy leader or cabinet before award.	Send to monitoring officer for signing / sealing by designated officers. The relevant authority must be provided at the same time.

Total Contract Value (Cont'd)	Column 1:	Column 2:	Column 3:	Column 4:
	Authority to start process	Contract Terms	Authority to award contract	Contract Signing
Ordinary Contracts

£500,000 or more but below £1,000,000 | Strategic director or person authorised in writing by them | Monitoring officer unless standard terms and conditions have already been approved. | Same as column 1. | Strategic director or above. |
| Ordinary Contracts

£100,000 or more but below £500,000 | Assistant director or third tier manager or person authorised in writing by them. | Monitoring officer unless standard terms and conditions have already been approved. | Line manager or above of person who gave authority to start the process (column 1). | Assistant director or above. |
| Minor Contracts

Below £100,000 | Cost centre manager or above. | Purchase order terms can be used unless the contract is for works, software or the services of a consultant, in which case legal or procurement advice must be taken. | Line manager or above of person who gave authority to start the process (column 1). | Third tier manager or cost centre manager or above. |

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2.4 Exemptions from CSOs

2.4.1 Any requirement of CSOs may be waived with the consent of both the chief finance officer and the monitoring officer subject to any legal restraints.

2.4.2 An application for a waiver (exemption) shall be:

a. submitted on the approved 'exemption form';
b. set out the reason for requiring the waiver; and
c. show how the proposal complies with any applicable law, demonstrates propriety, value for money and supports the council's objectives.

2.4.3 Where an exemption from competition is necessary because of an unforeseeable emergency involving immediate risk to persons, property or serious disruption to council services the relevant strategic director and assistant director must submit a report to the *chief finance officer and the monitoring officer as soon as practicable following the event*. Any contract entered into for these purposes should be the minimum required to remove the immediate risk to persons or property or to reduce the disruption to council services to a manageable level.

2.4.4 In cases of urgency if the contract is likely to exceed £1,000,000 then the urgent key decision regime must be complied with **before** any contract is entered into.

2.5 Contract Formalities and Sealing - Minimum Requirements

2.5.1 Contracts shall be signed by the council as follows:

Major Contracts

By affixing the common seal of the council and witnessed (signed) by one designated officer OR where there is no seal affixed, signed by at least two designated officers.

Ordinary Contracts

By affixing the common seal of the council and witnessed (signed) by on designated officer OR where there is no seal affixed, signed by a strategic director or above between £500,000 and £999,999 OR by an assistant director or above if between £100,000 and £499,999.

Minor Contracts

Signed by third tier manager, cost centre manager or above.

2.5.2 A contract must be sealed where:

The council wishes to enforce the contract more than six years after its end; and the price paid or received under the contract is nominal and does not reflect the value of the goods or services.

2.5.3 All contracts must be concluded formally in writing before the supply, service or construction work begins, except in exceptional circumstances, and then only with the written consent of the monitoring officer.

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2.5.4 The *authorised officer* is responsible for securing signature of the contract and must ensure that the person signing for the other contracting party has authority to enter into a legal agreement.

2.6 Contract Documents

2.6.1 All contracts, irrespective of value, shall clearly specify:

- What is to be supplied - the specification;
- The price to be paid and when;
- Appropriate performance indicators;
- Clear dates and times for performance; and
- Liquidated damages and termination provisions.

2.6.2 The terms and conditions of all contracts must have been approved by the monitoring officer either as a standard form contract for particular types of matters or through a specific approval.

2.7 Record Keeping

2.7.1 *The authorised officer* shall ensure that the following records are kept in the council's contract management system:

a. **Successful tenders / quotes** – The contract and any relevant correspondence and records (e.g. any documents which might have a bearing on the way the contract is interpreted) for at least 6 years after contract comes to an end. If made as a deed / under seal, they must be kept forever.

b. **Un-successful tenders / quotes** – for at least 2 years from the date the contract starts.

2.8 Contract Management, Evaluation and Review

2.8.1 For all ordinary and major contracts:

- An up to date risk register should be maintained throughout the procurement process and during the life of the contract;

- For identified risks, appropriate actions should be put in place to manage them.

There should be regular monitoring and reports during the contract period on:

- performance;
- compliance with programme, specification terms and conditions;
- estimated final cost compared to budgets;
- any value for money requirements; and
- user satisfaction and risk management.

2.8.2 Before commencing any procurement for a major contract or a contract above EU thresholds, the following steps must be completed:

- A 'lessons learnt' report should be considered to inform the tendering process;
- A business case must be approved; and

A procurement plan must be approved by the *chief finance officer*.

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SECTION B

3.   OFFICERS' RESPONSIBILITIES

3.1   General

3.1.1   All *officers* *and any agents or consultants acting on their behalf* must comply with these CSOs, financial regulations, the *Code of Conduct* and with all legal requirements. They must also comply with codes of practice, guidance and instructions regarding contractual arrangements issued by the *chief finance officer and the monitoring officer.*

3.1.2   All *officers* must comply with the *Code of Conduct* and must not invite or accept any gift or reward in respect of the award or performance of any contract. It will be for the officer to show that anything received was not received corruptly. High standards of conduct are obligatory. Corrupt behaviour is a crime and will lead to disciplinary proceedings and possible dismissal. Gifts and hospitality should only be accepted in accordance with the gifts and hospitality policy.

3.1.3. Authorised officers (those responsible for conducting a procurement process) must:

      a.   ensure they have all appropriate approvals before seeking any quotes, commencing any procurement process or awarding a contract;

      b.   seek all necessary legal, procurement, financial, risk management and technical advice in good time;

      c.   ensure there is sufficient budgetary provision before awarding any contract;

      d.   comply with the requirements of these CSOs and observe any codes of practice guidance or instructions relating to contracting matters issued by the *chief finance officer and the monitoring officer*;

      e.   ensure there is a procurement plan approved by the *chief finance officer* for major contracts and contracts above the applicable EU threshold;

      f.   check whether a suitable *corporate contract* exists before seeking to let a new contract. Where a suitable *corporate contract* exists, that contract must be used;

      g.   ensure council suppliers have sufficient insurance cover appropriate to the contract in accordance with the council's insurance guidance;

      h.   maintain details of all contracts they are responsible for in the contracts management system;

      i.   ensure a record is kept for every contract; any *contracting decision* and the reasons for it; any exemption from CSOs together with the reasons for it; and the *award criteria*;

      j.   ensure that where an employee of the council or its contractor may be affected by any transfer arrangement TUPE and related issues are considered before proceeding with inviting *tenders* or quotations.

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3.2 Contract managers must, in relation to the contracts responsible for, carry out their responsibilities in accordance with the contract management framework.

3.3 Assistant Directors must in relation to their service:

    a. Ensure all *officers:*

- Comply with CSOs;
- Are sufficiently skilled in procurement matters to fulfil the duties of their post;
- Complete any required learning and development.

    b. Ensure there are effective systems in place to control budgets properly;

    c. Ensure there are effective contract management arrangements in place for all contracts; and

    d. Provide any information requested by the chief finance officer or the monitoring officer about their contracts.

3.4 Strategic Directors must in relation to their directorate:

    a. Nominate at least one member of their staff as contracts co-ordinator;

    b. Submit the scheme of delegation for their respective directorate, including details of contract managers and their contracts co-ordinators, to the chief finance officer and monitoring officer for approval;

    c. Any delegation made does not prevent the strategic director from exercising those delegated powers them;

    d. Approve any proposals by their directorate to provide services to external organisations; and

    e. Ensure all assistant directors and contract co-ordinators within their directorate are sufficiently skilled in procurement matters to fulfil the duties of their post.

3.5 Chief Finance Officer and Monitoring Officer

3.5.1 The chief finance officer and monitoring officer may:

    a. with the consent of each other waive any provision of these CSOs subject to any legal constraints and may nominate other officers to exercise all or part of these powers on their behalf.

    b. Issue codes of practice, guidance and instructions on any matters which are relevant to contracting arrangements.

    c. Specify the approved learning and development requirements in procurement matters that officers must complete to meet the minimum competency standards to fulfil their duties under CSOs.

3.5.2 The *chief finance officer* shall:

Approve procurement plans for major contracts and contracts above the applicable EU threshold.

3.5.3 The *monitoring officer* shall:

a. Approve the form of contract to be used;

b. Maintain central registers of all major contracts and all contracts completed under seal and arrange for the safekeeping of such contracts on council premises; and

c. Maintain a central register of all exemption applications relating to contracts of
£100,000 or more.

3.6 Contract co-ordinators shall, on behalf of their directorate:

a. Ensure details of *all contracts* are accurately recorded and maintained in the contracts management system;

b. Be authorised to approve exemptions from undertaking a competitive process for minor contracts;

c. Submit an annual report by 31 March each year to the *monitoring officer* detailing any exemptions that they have approved.

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SECTION C

The Contracting Process

This section sets out in more detail the requirements to be met when dealing with a specific contract.

4.   STEPS PRIOR TO PURCHASE

4.1   Before beginning a purchase, *authorised officer* must:

a.   Assess the need for the expenditure;

b.   Define the objectives of the purchase;

c.   Calculate the *total value*;

d.   Make sure that the appropriate approval is in place to start the process and that the budget covers the whole-life financial commitment being made (including any consultant's or other external charges or fees);

e.   Make sure the *forward plan* requirements have been followed where the purchase is a *key decision;*

f.   Ensure sufficient legal, procurement, finance, risk management and technical support is available throughout the entire procurement process;

g.   Ensure sufficient resources will be available (i.e. people with sufficient skills and capacity) to manage the contract once it has been let;

h.   Ensure the council's requirements for data security and the General Data Protection Regulations are met;

i.   Consider, when commissioning services, whether these could improve the economic, social and environmental wellbeing of the area (social value).

4.2   For major contracts or contract above the relevant EU threshold:

i.   Consider a lesson learnt report from the last tender process;

ii.   Produce a business case for approval by the appropriate body;

iii.   Submit a fully completed procurement plan for approval by the chief finance officer;

iv.   Carry out an options appraisal to decide the best way to achieve the purchasing objectives, including internal or external sourcing, partnering, and collaborative procurement arrangements with another public authority or government department;

v.   Consult users where appropriate about the proposed procurement, contract standards, performance and user satisfaction monitoring;

vi.   Consult the market where appropriate in accordance with CSO 4.3;

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vii.   Assess the risks and how to manage them;

viii.   Agree with the monitoring officer, the approved form of contract to be used or if none the terms and conditions that are to apply to the proposed contract.

Pre-Tender Market Research and Consultation

4.3   *Authorised officers* may consult potential suppliers prior to the issue of an invitation to tender about the nature, level and standard of the supply, contract packaging and other relevant matters. Records must be kept of this consultation.

4.4   *Authorised officers m*ust not, once any consultation period under 4.3 has ended, seek or accept technical advice on the preparation of the actual invitation to tender or quotation from anyone who may have a commercial interest in bidding for the contract as this may prejudice the equal treatment of all potential tenderers and distort competition.

Prevention of Corruption

4.5   The following clause must be included in every council contract:

"The Council may terminate this contract and recover all its loss if the Contractor, its employees or anyone acting on the Contractor's behalf do any of the following things:

a.   Offers, gives or agrees to give to anyone any inducement or reward in respect of this or any other Council contract (even if the Contractor does not know what has been done); or

b.   Commits an offence under the Bribery Act 2010 or s117(2) of the Local Government Act 1972; or

c.   Commits any fraud in connection with this or any other Council contract whether alone or in conjunction with Council members, Contractors or employees.

Any clause limiting the Contractor's liability shall not apply to this clause".

1.   **CONDUCTING A PURCHASE OR DISPOSAL**

1.1   **Purchasing – Competition Requirements**

5.1.1   Where the *total value* for a purchase is within the values in the first column below, the *award procedure* in the second column must be followed as a minimum.

Total Value	Award Procedure
Minor – up to £10,000	One *quotation* confirmed in writing.
Minor - £10,000 to below £100,000	*Three written quotations of which at least one should be local if appropriate. Local means has a place of business in Warwickshire.*
Ordinary & Major - £100,000 or more	*Invitation to tender to at least three tenderers. If the contract value exceeds the applicable EU threshold the procedure must also be EU compliant.*

5.1.2   Where an EU compliant procedure (or UK replacement procedure) is required the *authorised officer* shall consult the head of procurement to determine the method of conducting the purchase.

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5.2 The Appointment of Consultants to Provide Services

5.2.1 Professional *consultants* are subject to the same competition requirements as any other type of contract and must be selected and commissions awarded in accordance with these CSOs.

5.2.2 The engagement of a *consultant* shall follow the agreement of a brief that adequately describes the scope of the services to be provided, the total cost to be paid and any stage payment arrangements. The engagement shall also be subject to completion of a contract of appointment. Self-employed consultants must not fall within the off-payroll working rules i.e. IR35.

5.2.3 Records of consultancy appointments shall be maintained in accordance with these CSOs and entered on the contract management system.

5.2.4 *Consultants* shall be required to provide evidence of and maintain professional indemnity insurance policies to the satisfaction of the council's insurance manager for the periods specified in the respective agreement.

6.0 Advertising and Framework Agreements

6.1 Advertising the Opportunity

6.1.1 The minimum advertising requirements are:

    i. All contracts with an estimated aggregate value above £100,000 must be published on the council's website and in contracts finder.

    ii. In addition to the above all contracts exceeding the applicable EU threshold must be published in the Official Journal of the European Union (OJEU) or meet any replacement UK requirement.

    iii. Advertisements for contracts exceeding the relevant EU threshold should not appear on the council's website or in contracts finder until after they have appeared in the OJEU.

    iv. If you choose to advertise contracts below £100,000 you must also advertise on contracts finder.

6.2 Framework Agreements

6.2.1 The term of a framework agreement must not exceed four years without the written consent of the *monitoring officer*.

6.2.2 Contracts based on framework agreements may be awarded by either:

    a. Applying the terms laid down in the framework agreement (where such terms are sufficiently precise to cover the particular call-off) without reopening competition; or

    b. Where the terms laid down in the framework agreement are not precise enough by holding a mini competition in accordance with the following procedure:

        i. Inviting the organisations within the framework agreement who are capable of delivering the contract to submit written tenders;

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ii.   Fixing a time limit which is sufficiently long to allow tenders for each specific contract to be submitted, taking into account factors such as the complexity of the subject of the contract; and

iii.   Awarding each contract to the tenderer who has submitted the best tender on the basis of the award criteria set out in the framework agreement.

iv.   Observing a standstill period before finalising the award for contracts above the EU threshold.

7.   Collaborative and Partnership Arrangements

7.1   In order to secure value for money the council may enter into collaborative procurement arrangements. The authorised officer must consult the monitoring officer and the head of procurement where the purchase is to be made using collaborative procurement arrangements.

7.2   Collaborative and partnership arrangements include joint working where one partner takes the lead and awards contracts on behalf of the other partners, long term collaborative partnerships, pooled budgets and joint commissioning.

7.3   Collaborative arrangements between public bodies for shared services where the aim of the arrangement is for the participating bodies to be provided with services by each other or through a Teckal company rather than by an external provider may fall outside the need for competition if the conditions in CSO 2.2(e)(iii) can be met.

8.0   Setting Standards and Award Criteria

8.1   Overview

8.1.1   The authorised officer must, before seeking bids, define the selection and award criteria that are appropriate to the purchase and designed to secure an outcome giving value for money for the council.

8.1.2   Authorised officers are responsible for ensuring that all tenderers for a contract are suitably assessed. The assessment process shall establish that all potential tenderers have sound economic and financial standing and sufficient technical ability and capacity to fulfil the requirements of the council.

8.1.3   The criterion for award of a contract shall be the "most economically advantageous". This must be further defined by reference to sub-criteria which may refer only to relevant considerations. These may include price, service, quality of goods, running costs, technical merit, previous experience, delivery date, cost effectiveness, quality, relevant environmental considerations, aesthetic and functional characteristics (including security and control features), safety, after-sales services, technical assistance, social value and any other relevant matters.

8.2   *Selection* and *award criteria* must not include:

- *Non-commercial considerations; or*
- matters which discriminate against suppliers from the *European Economic Area* or signatories to the *Government Procurement Agreement.*

8.3   Any shortlisting exercise must have regard to the financial and technical standards relevant to the contract and the *selection* and *award criteria.*

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9.   Invitations to Tender / Quotations

9.1   All invitations to tender or quotation must:

   a.   Specify the goods, service or works that are required, together with the terms and conditions of contract that will apply; and

   b.   State that the council is not bound to accept any quotation or tender.

9.2   All tenderers invited to tender, or quote must be issued with the same information at the same time and subject to the same conditions. Any supplementary information must be given on the same basis.

9.3   All invitations to *tender* shall include:

   a.   Clear instructions on how and where tenders are to be submitted, together with the date and time by which they are to be received;

   b.   A specification that describes the council's requirements in sufficient detail to enable the submission of competitive offers;

   c.   A description of the *award procedure*;

   d.   Full details about how the bids will be assessed, including any weighting and sub-criteria that apply and any "pass mark" for any stage of the procurement;

   e.   Information on the council's policies as appropriate, e.g.:

      i.   Equalities;

      ii.   Complaints;

      iii.   Sustainability

9.4   All *invitations to tender* shall state that any *tender* received after the date and time stipulated in the *invitation to tender* might be rejected and not considered.

9.5   All invitations to tender shall include requirements for tenderers to:

   a.   Declare that the tender content, price or any other figure or particulars concerning the tender have not been disclosed by the tenderer to any other party (except where such a disclosure is made in confidence for a necessary purpose e.g. legal, financial advice etc); and

   b.   Complete fully and sign a form of tender and certificates relating to canvassing and non-collusion.

   c.   Submit tenders to the council on the basis that they are compiled at the tenderer's expense.

9.6   The council's approved E-tendering system must be used for all competitive procurement activity unless agreed otherwise by the head of procurement or otherwise approve by these CSOs.

9.7   No tender will be considered unless submitted in accordance with the conditions of participation included within the invitation to tender / quote.

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10. Submission, Receipt and Opening of Tenders

10.1 *Tenderers* must be given an adequate period in which to prepare and submit a *tender*, consistent with the complexity of the contract. The *EU Procedure* lays down specific time periods.

10.2 All *tenders* must be returned in accordance with the system requirements of the council's E-tendering system.

10.3 Tenders received by fax or other electronic means (e.g. email) must be rejected. Quotations for minor contracts under £10,000 may be received by email.

10.4 All *tenders* are opened at the same session after the period for their submission has ended. *Tenders* must be opened in the presence of at least two officers.

10.5 The arithmetic in compliant *tenders* must be checked. If arithmetical errors are found they should be notified to the *tenderer*, who should be requested to confirm their *tender*.

11. Clarification Procedures and Post-Tender Negotiations

11.1 Providing clarification of an *invitation to tender* to potential or actual tenderers or seeking clarification of a *tender* whether in writing or by way of a meeting is permitted.

11.2 However, discussions with tenderers after submission of a *tender* and before the award of a contract with a view to obtaining adjustments in price, delivery or content (i.e. post tender negotiations) **must be the exception** rather than the rule. In particular, such negotiations must not be conducted during an *EU Procedure* (other than within the provisions of the EU Competitive with Negotiation (CWN) and Competitive Dialogue (CD) procedures) without the agreement of the *monitoring officer*.

11.3 If post tender negotiations appear necessary after a single stage tender or after the second stage of a two-stage tender then you should take legal advice on whether negotiations are permissible. Normally such negotiations should be undertaken with all those who have met the selection criteria in the original process. During negotiations, the council's requirements set out in the original procedure should not be substantially altered. The prior approval of the *monitoring officer* is required to any proposal to negotiate in other circumstances.

12. Evaluation, Award of Contract and Debriefing Tenderers

12.1 Apart from the debriefing required or permitted by these CSOs, the confidentiality of *quotations, tenders* and the identity of *tenderers* must be preserved at all times and information about one *tenderer's* response must not be given to another during the evaluation process.

12.2 Quotations and *tenders* must be evaluated in accordance with the *award criteria*. During this process, *authorised officers* shall ensure that submitted tender prices are compared with any pre-tender estimates and that any significant differences are examined and resolved satisfactorily.

12.3 For *ordinary* and *major* contracts *authorised officers* must advise all tenderers in writing of their award decisions. For contracts that are subject to the *EU Procedure or*

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UK replacement procedure, this must be in the form of intention to award letters (award notification letters) that are issued simultaneously to all *tenderers* advising them of the intention to award the contract to the successful *tenderer* and providing them with a 'standstill period' of at least 15 days (10 days if notification letters are sent by the council's approved E-tendering system) in which to challenge the decision before the contract award is confirmed.

12.4   For contracts that are subject to the EU Procedure or UK replacement procedure, the council's 'intention to award notification letter' standard template must be used, which includes the following debriefing information:

    i.   How the award criteria were applied;

    ii.   The name of the successful *tenderer(s)*;

    iii.   The score of the tenderer, together with the score of the successful tenderer;

    iv.   Details of the reason for the decision, including the characteristics and relative advantages of the successful tender; and

    v.   Confirmation of the date before which the council will not enter into the contract (i.e. the date after the end of the 'standstill period').

12.5   If a decision is challenged by an unsuccessful *tenderer,* after the issue of an intention to award notification letter, then the *authorised officer* shall immediately inform the *chief finance officer* and seek the advice of the *monitoring officer on next steps.* No contract may be awarded until the chief finance officer and the monitoring officer are satisfied that the matter has been resolved.

12.6   *Authorised officers* shall ensure that the contract formalities are completed following the award of the contract (see CSO 2.5).

13.   Publication of Contract Awards.

13.1   The award of all contracts over £5,000 must be published via the council's contract management system.

13.2   In addition the award of all contracts over £25,000 must be published on contracts finder.

13.3   In addition the award of contracts above the relevant EU threshold must be published in OJEU.

14.   The Council as a Supplier - Providing Works, Goods or Services to External Organisations

14.1   The chief finance officer and the monitoring officer must be consulted where work for an external organisation is contemplated.

14.2   Any proposals to work for an external organisation must be approved by the strategic director responsible for the service, wither through a business plan or otherwise.

14.3   Authorised officers shall produce robust business cases for the council acting as a supplier which fully takes into account the costs to the council of delivering the goods, works or services concerned. The financial viability of such business cases must be approved by the chief finance officer.

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14.4   Authorised officers shall liaise with the council's insurance manager to ensure any potential liabilities are sufficiently covered by the council's insurance policies.

14.5   Where the total value of the proposed contract is likely to be £1,000,000 or more the key decision regime applies and before tenders are prepared the chief finance officer and the monitoring officer must jointly approve the business case, including:

a. Confirming the council can legally enter into the contract;
b. Accepting the legality of the charging arrangements; and
c. Approving the terms and conditions of the proposed contract.

15.   Disposals

15.1   Assets for disposal must be sent to public auction except where:

a.   Better value for money is likely to be obtained by inviting quotations or tenders; or

b.   The prior approval of the chief finance officer and the monitoring officer has been obtained to the selling of specified items on an auction website such as eBay; or

c.   Specific disposal procedures have been agreed by the council for certain types of assets.

16.   Approved Scheme for Sale of Assets/Goods via Public Auction

16.1   Goods or assets may be disposed of via public auction, whether through electronic auctions such as eBay or otherwise, without further specific consent being sought provided the following conditions are met;

a. The council owns the item and has the right to sell it;
b. Appropriate market research has been carried out to establish the estimated value of the item;
c. The estimated value of the item to be auctioned does not exceed £10,000;
d. A reasonable reserve price is set for the item based on the estimated value;
e. The item is withdrawn from sale if it does not reach its reserve price;
f. The item is in good working condition and fit for purpose, and complies with relevant legislation, in particular:

i.   any electrical item bears a valid Electrical Safety Check label, completed by a registered electrician who is registered on the Kite Mark Scheme, the Electrical Safety Register or the Electric Safe Register. The date of the inspection on the label must not be more than 12 months prior to the date of sale.
ii. any item of furniture complies with the Furniture and Furnishings (Fire Safety) Regulations 2010. Any item of furniture, with the exception of mattresses and bed bases, will have a permanent label in compliance with the regulations.
iii. any computer or data storage device is adequately wiped of data, to ensure that no information, particularly personal data, remains on the device.

g. When an item is disposed of, any listing or description of it must NOT give any indication that the council provides any guarantee for the product or any

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promise to make good any defects. All items are to be carefully and truthfully described in detail and any known defects highlighted.

ITEM IS SOLD AS IS: THE SELLER DISCLAIMS ANY WARRANTY AS TO MERCHANTABILITY OR FITNESS FOR ANY PARTICULAR PURPOSE OR DESIGN

h. A record of the steps taken under a) to g) is kept for a period of 2 years.

16.2   Applications for approval of the disposal of goods / assets by auction which do not meet the above conditions should be made using the relevant exemption form, i.e.:

a.   an item with an estimated value of up to £100,000 to the directorate contract co-ordinator;

b.   an item with an estimated value of £100,000 or more to the chief finance officer and the monitoring officer.

GUIDANCE NOTES

An individual purchasing goods at auction without the opportunity to inspect the goods may still have consumer rights, i.e. that the goods:

- Are of a satisfactory quality
- Do what they are designed to do
- Are as described, matching any pictures or description of them
- Are safe, under the Consumer Protection Act 1987

Other matters to be aware of:

Misrepresentation of goods - A customer is entitled to a refund on goods that have been misrepresented, for example, goods sold on the basis of features they do not have. Prosecution can also follow, if the misrepresentation is reported to Trading Standards.

Faulty goods - It is the council's responsibility to arrange for the collection of faulty goods, particularly large items. If a customer returns faulty goods within a reasonable time, the council is obliged to give a refund, and not a credit note. If a repair of a faulty good is unsatisfactory, a customer is still entitled to a refund.

Time to check goods - on-line auctions - Customers have the right to the time to check they are satisfied with their goods, though this can be just a week.

Appendix: Definitions

Agent	A person or organisation acting on behalf of the council.
Authorised Officer	An officer responsible for conduction a procurement.
Award Criteria	The criteria by which the successful *quotation* or *tender* is to be selected. (see further CSO 12).
Award Procedure	The procedure for awarding a contract as specified in CSO 14.
Chief Finance Officer	The officer to whom the statutory role is delegated (currently Strategic Director for Resources or nominee specified in writing).
Code of Conduct	The 'Officers' Code of Conduct' (see part 4 of the council's constitution).

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Consultant	Someone engaged for a specific length of time to work to a defined project brief with clear outcomes to be delivered, and who brings specialist skills or knowledge to the role.
Contract Managers	Those officers carrying out post award management of the contract in accordance with the contract management framework.
Contracting Decision	Any of the following decisions: • withdrawal of invitation to tender • whom to invite to submit a quotation or *tender* • shortlisting • award of contract • any decision to terminate a contract.
Contracts Co-ordinator	*Officers* nominated by the strategic directors in accordance with CSO 3.7 as the point of contact within their directorate for matters relating to procurement and contracting, and who are authorised to grant exemptions from competition for minor contracts.
Corporate Contract	A contract entered into directly by the council that can be utilised by all assistant directors for the supply of the goods, works or services specified within its terms. Also, a contract which the *chief finance officer* has confirmed may be legally utilised by the council either through a sub-regional collaborative arrangement, or through purchasing organisations such as the Crown Commercial Services (CSS), ESPO, SCAPE, etc..
Designated Officer	The chief executive, the strategic director for resources and any other officer authorised by either of them.
ESPO	The Eastern Shires' Purchasing Organisation.
EU Procedure	The procedure required by the EU or UK replacement where the *total value* exceeds the *EU threshold* or any UK replacement threshold.
EU Threshold	The contract value at which the EU public procurement directives or UK replacement procedure must be applied.
Forward Plan	The forward plan, which is prepared on a rolling basis and contains matters which the council has reason to believe are likely to be the subject of key decisions during the following four months.
Framework Agreement	An agreement between one or more contracting authorities and one or more economic operators, the purpose of which is to establish the terms governing contracts to be awarded during a given period.
Invitation to Tender	An invitation to tender sent to tenderers inviting bids for works goods or services.
Key Decision	Decisions that are defined as key decisions in the constitution. In relation to letting contracts, the key decision is the proposal to let a contract for a particular type of work. The subsequent decision to award the contract to a specific contractor will not be a key decision provided the value of the contract does not vary above the estimated amount by more than 10% for contracts with a value of £1,000,000 or more.
Major Contract	A contract that has a total value of £1,000,000 or more.
Minor Contract	A contract where the total value is less than £100,000.
Monitoring Officer	The officer to whom the statutory role is delegated (currently Assistant Director for Governance & Policy or nominee specified in writing).
Non-Commercial Considerations	(a)	the terms and conditions of employment by contractors of their workers or the composition of, the arrangements for the promotion, transfer or training of or the other opportunities afforded to, their workforces ("workforce matters");
	(b)	whether the terms on which contractors' contract with their sub-contractors constitute, in the case of contracts with individuals,

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		contracts for the provision by them as self-employed persons of their services only;
	(c)	any involvement of the business activities or interests of contractors with irrelevant fields of government policy;
	(d)	the conduct of contractors or workers in industrial disputes between them or any involvement of the business activities of contractors in industrial disputes between other persons ("industrial disputes");
	(e)	the country or territory of origin of supplies to, or the location in any country or territory of the business activities or interests of, contractors;
	(f)	any political, industrial or sectarian affiliations or interests of contractors or their directors, partners or employees;
	(g)	financial support or lack of financial support by contractors for any institution to or from which the authority gives or withholds support;
	(h)	use or non-use by contractors of technical or professional services provided by the authority under the Building Act 1984 or the Building (Scotland) Act 1959.
	Workforce matters and industrial disputes, as defined in paragraphs (a) and (d), cease to be non-commercial considerations for the purposes of s17(5) Local Government Act (LGA) 1988 and part 1 of the LGA 1999 (Best Value); or where there is a transfer of staff to which the Transfer of Undertakings (Protection of Employment) Regulations 2006 ("TUPE") may apply.	
Officer	A person employed by the council.	
OJEU	The Official Journal of the European Union, or any alternative location for advertisement of tender opportunities specified by government for use after 29 March 2019.	
Ordinary Contract	A contract where the total value is £100,000 or more but is less than £1,000,000.	
Pecuniary Interest	Any direct or indirect financial interest. An indirect interest is distinct from a direct interest in as much as it is not a contract to which the member or employee is directly a party. A shareholding in a body not exceeding a total nominal value of £1,000 or 1% of the nominal value of the issued share capital (whichever is the greater) is not a pecuniary interest for the purposes of these CSOs.	
Personal Care Services	Services provided to people who have personal care needs as assessed by the strategic director for people. As such these services can be provided to people of all ages whose needs may result from old age, physical disability, sensory loss, mental illness or learning disability.	
Quotation	A quotation of price and any other relevant matter (without the formal issue of an invitation to tender).	
Relevant Contract"	A contract to which these contract standing orders apply (see CSO 1).	
Selection Criteria	The criteria by which tenderers are chosen to be invited to submit quotations or tenders.	
Shortlisting	The process of selecting tenderers who are to be invited to submit quotations or tenders or to proceed to final evaluation as part of a Restricted, Competitive with Negotiation or Competitive Dialogue Procedure.	
Teckal company	A company which meets particular legal requirements relating to its ownership and activities i.e. wholly public sector owned and its main business is providing services to its members. Take legal advice on whether or not a proposal meets the requirements.	

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Tender	A tenderer's proposal submitted in response to an invitation to tender.
Tenderer	Any person who asks or is invited to submit a quotation or tender.
Total Value	As defined in CSO 2.1.
TUPE	Transfer of Undertakings (Protection of Employment) Regulations 2006 [SI2006 No.246] Subject to certain conditions, these regulations apply where responsibility for the delivery of works or services for the council are transferred from one organisation (e.g. private contractor, local authority in-house team) to another (e.g. following a 'contracting-out' or competitive tendering process) and where the individuals involved in carrying out the work are transferred to the new employer. These regulations seek to protect the rights of employees in such transfers enabling them to enjoy the same terms and conditions, with continuity of employment, as existed with their former employer. Broadly, TUPE regulations ensure that the rights of employees are transferred along with the business.

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SECTION 4 – FINANCIAL REGULATIONS

NEW VERSION AT APPENDIX 3TO REPORT TO BE SUBSTITUTED

1. **INTRODUCTION**

1.1 ~~**What are Financial Regulations?**~~

1.1.1 ~~The county council is responsible for providing a wide range of services for its citizens which involve receiving and spending large sums of money each year. Financial regulations aim to ensure that the county council makes the best use of the money it has available to spend.~~

1.1.2 ~~The financial regulations are very much a strategic document and at the highest level sets out the financial responsibilities of members, and some of the most senior officers, strategic directors, assistant directors (including the chief fire officer), and the chief finance officer (also known as the Section 151 officer) of the county council.~~

1.1.3 ~~The financial regulations form a part of the means by which the county council manages its business. They clarify roles and responsibilities and provide a framework for financial decision-making. Where there are specific statutory powers and duties the financial regulations seek to ensure these are duly complied with, as well as reflecting best professional practice and decision-making of the county council, cabinet and committees. In summary the financial regulations are the regulatory framework within which the financial affairs of the county council operate.~~

1.1.4 ~~Supporting the financial regulations are detailed finance rules which deal with the day to day work of the county council. All members and all officers of the county council must abide by both the financial regulations and the financial procedure rules.~~

1.1.5 ~~The finance rules are found on the WCC website. It is the responsibility of the chief finance officer to ensure that financial regulations and finance rules are kept under review and fit for purpose in accordance with the constitution.~~

1.2 ~~**Why are Financial Regulations important?**~~

1.2.1 ~~To conduct its business effectively, the county council needs to ensure that sound financial management arrangements are in place and they are strictly adhered to in practice. In particular financial regulations:~~

- ~~Provide a framework for all members and officers for the proper and efficient administration of the council's financial affairs;~~
- ~~Encourage all members and officers to abide by the highest standards of probity and integrity with clear standards which need to be continually maintained and there are controls to ensure that these standards are met;~~
- ~~Ensure that there are clear roles, responsibilities and accountabilities for members and officers in order to protect the council's money and assets; and~~
- ~~Ensure that the use of resources is legal, properly authorised and gives value for money.~~

1.2.2 ~~In seeking to achieve value for money all members and officers shall give due consideration to:~~

- ~~How each service fits within the corporate activities;~~
- ~~Acquiring resources at an appropriate quality and minimum cost;~~

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- Ensuring that the maximum benefit is obtained from the resources used;
- Ensuring that the benefit from providing a service is achieving the desired result or predefined target; and
- How performance can be assessed objectively and what evidence needs to be provided to allow this to be evaluated by the community we serve.

1.2.3 The financial regulations should be read in conjunction with other documents and sections of the constitution, in particular:

- The Budget and policy framework
- Contract standing orders
- The General scheme of delegation

1.3 Who do Financial Regulations apply to?

1.3.1 Financial regulations apply to all members and officers of the county council and anyone acting on its behalf. All members and officers have a responsibility for ensuring any resources or assets under their control are kept securely and used for council business only.

1.3.2 The county council is the administering authority for the Local Government Pensions Scheme in Warwickshire. These financial regulations apply to the administration of the Local Government Pension Scheme in Warwickshire.

1.3.3 The financial regulations will also apply to any joint commissioning or partnership arrangement where the county council is the accountable body, unless full council expressly agrees otherwise.

1.4 Who is responsible for ensuring Financial Regulations are adhered to?

1.4.1 The chief executive's ultimately responsible for ensuring financial regulations are adhered to. Strategic directors and assistant directors are responsible for ensuring financial regulations are applied and observed by staff and contractors, providing services on behalf of the council, at all times. In addition, all members and officers have a responsibility for reporting any breaches of these financial regulations to the chief finance officer as soon as they come to light.

1.4.2 The chief finance officer in turn is responsible for reporting any breaches of these financial regulations to elected members and advising members on alternative causes of action which may be taken.

1.4.3 The chief finance officer is responsible for keeping the financial regulations under continued review ensuring any changes or additions are submitted to full council for approval.

1.4.4 The chief finance officer is also responsible for issuing the finance rules on specific issues that underpin the financial regulations.

1.4.5 All officers of the council must act in a way which they believe achieves value for money and is in the best interests of the council.

1.5 What may happen if you do not comply with Financial Regulations?

1.5.1 Failure to comply with financial regulations and financial procedure rules may have the following consequences:

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- For officers, these regulations supplement the Employer and Employee Responsibilities code and therefore a breach may be considered a disciplinary matter and could lead to dismissal.
- For members, these regulations supplement the Members' Code of Conduct and therefore a breach may be reported to the Audit and Standards Committee for them to take appropriate action.

2. GENERAL ROLES AND RESPONSIBILITIES

2.1 Introduction

2.1.1 The county council is a single entity with certain devolved accountabilities but the overall responsibility for financial administration of the county council remains with the chief finance officer. Members and senior officers also have responsibilities and accountabilities for financial administration which are outlined in this section. All officers are responsible for ensuring that they abide by the constitution, including these financial regulations, contract standing orders and the finance rules.

2.2 Members

2.2.1 Members have a number of roles and responsibilities which are discharged collectively through the audit and standards committee, the cabinet or full council, in particular members must:

- Approve the financial regulations at full council.
- Set the authority's financial strategy, including budget setting and capital expenditure.
- Set the authority's budget and policy framework through full council.
- Ensure proper control is exercised over the authority's expenditure through scrutiny of periodic financial reports comparing expenditure and income with the level of budgetary provision through cabinet.
- Ensure a balanced budget is set by full council at its meeting in February each year.
- Scrutinise financial probity through the audit and standards committee, scrutiny committees and, if necessary, cabinet.
- Agree financial allocations to ensure the finance function is suitably resourced to support management in securing effective financial control through full council.

2.3 The Chief Finance Officer

2.3.1 The chief finance officer must discharge the statutory duties defined in the following legislation and codes:

- The Local Government Act 1972, section 151;
- The Local Government Finance Act 1988, sections 112-114;
- The Local Government and Housing Act 1989;
- The Local Government Act 2003;
- The Accounts and Audit (England) Regulations 2011;
- The Code of Practice on Local Authority Accounting in the United Kingdom (based on International Financial Reporting Standards);
- The Prudential Code for Capital Finance in Local Authorities; and
- Any CIPFA statements defining best practice.

2.3.2 One of the most significant pieces of legislation is Section 151 of The Local Government Act 1972 which states:

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'……every local authority shall make arrangements for the proper administration of their financial affairs and shall secure that one of their officers has the responsibility for the administration of those affairs.'

2.3.3   The county council has designated the chief finance officer as the officer responsible for the administration of its financial affairs and that is why the chief finance officer is sometimes referred to as the 'Section 151 officer'.

2.3.4   To fulfil the statutory responsibilities the chief finance officer must:

- Nominate a named officer as the deputy Section 151 officer to act in this role in the absence of the chief finance officer;
- Provide financial advice to members to support the strategic planning and policy making processes and service development to ensure efficient and effective use of resources;
- Provide advice and financial information to members, strategic directors and assistant directors on the optimum use and adequacy of available resources and management of both capital and revenue budgets;
- Establish the county council's accounting records and control systems including:

    - Approving any changes to be made to existing financial systems, or new systems introduced within the county council, ensuring that all the county council's financial systems help cost centre managers achieve value for money by providing accurate, relevant and timely information for decision- making;
    - Ensure the maintenance of proper accounting records;
    - Formulate measures to prevent and detect inaccuracies and potential fraud and corruption and the ability to reconstitute primary records in the event of them being lost;
    - Define the procedures used by members and strategic directors for the write-off of assets, including obsolete items;
    - Define the procedures used by members and strategic directors for the write-off of debts owed to the county council;
    - Publish an annual statement of accounts in the prescribed format.

2.4   The Monitoring Officer (currently the Assistant Director for Governance & Policy)

2.4.1   The monitoring officer is responsible for promoting and maintaining high standards of conduct and therefore provides support to the audit and standards committee. The monitoring officer is also responsible for reporting any actual or potential breaches of the law or maladministration to cabinet and/or full council and for ensuring that the procedures for recording and reporting key decisions are operated effectively.

2.4.2   The monitoring officer is responsible for:

- Ensuring that reports encompass the statutory obligations with regard to their legal and financial advice and content;
- Ensuring member decisions and the reasons for them are made public;
- Advising both members and officers about who has authority to take a particular decision;
- Advising members about whether a decision is likely to be considered contrary or not wholly in accordance with the county council's budget and policy framework;
- Maintaining an up to date constitution; and
- Maintaining a register of members' and officers' interests.

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2.4.3 The monitoring officer together with the chief finance officer is responsible for advising members about whether a decision is likely to be considered contrary or not wholly in accordance with the approved budget or budget setting process and may include:

- Initiating a new policy outside the budget setting process;
- Incurring inter directorate/business unit budget transfers between business units above virement limits;
- Committing expenditure during the year which is above the approved revenue or capital budget; or
- Committing expenditure in future years which is above the approved revenue or capital budget.

2.5 Strategic Directors

2.5.1 Strategic directors have overall responsibility for ensuring the assistant directors within their directorate manage their resources within the revenue and capital budget limits set by full council each year and can take any action necessary to ensure resources are managed appropriately. Assistant directors are responsible for budget control and probity on a day to day basis and for ensuring that they act within their delegated powers and comply with all constitutional requirements when doing so.

2.5.2 Strategic directors must act within the budget and policy framework, promote probity and sound financial control. Assistant directors must do the same.

2.5.3 Strategic directors must report to the chief finance officer on any matter which may result in a failure of their directorate's financial control processes or any other matter which could adversely affect the financial standing of their directorate.

2.5.4 Specifically strategic directors must report to the chief finance officer if at any time during the financial year:

- There are any unplanned or previously unreported variances to capital and revenue income and/or expenditure;
- The directorate is not going to meet any savings or efficiency targets;
- There are proposed variations to policy which will have financial implications; or
- There are organisational changes which might impact on the demand for financial support services.

2.6 Assistant Directors

2.6.1 Assistant directors have responsibility for articulating their services plans into the annual budget cycle ensuring strategic directors are fully aware of any planned or future service delivery issues.

2.6.2 Assistant directors are responsible for managing expenditure and income against revenue and capital budgets and must provide information to strategic directors or the chief finance officer of any issue where corrective action needs to be taken to keep expenditure within budget.

2.6.3 Assistant directors are responsible for monitoring the budgetary position of their service and for keeping strategic directors informed of this position.

2.6.4 Assistant directors must ensure that their strategic director is kept regularly informed

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of the financial position of each service.

3. STRATEGIC FINANCIAL MANAGEMENT

3.1 The financial roles and responsibilities of the chief executive, strategic directors, chief finance officer and assistant directors can be grouped under a number of critical functions.

3.2 There are four key strategic financial management processes covered by financial regulations:

- Financial decision making
- Planning for the use of resources
- Controlling the use of resources
- Accounting for the use of resources

3.3 Each of these is taken in turn, explaining why they are important to ensure sound strategic financial management and detailing the additional responsibilities of the most senior officers.

3.4 FINANCIAL DECISION MAKING

Why is this important?

3.4.1 In making financial decisions, members take account of the information and advice given to them by officers and, in particular, the chief finance officer. The chief finance officer also has delegated financial responsibilities which require them to take financial decisions, usually in consultation with the monitoring officer. These decisions can have major financial and legal implications, and it is therefore important that they are soundly based on accurate and appropriate information.

The Chief Finance Officer must:

3.4.2 Provide advice and financial information to members, strategic directors and assistant directors on the optimum use and adequacy of available resources and management of both capital and revenue budgets. In particular, this should:

- take account of all relevant corporate and directorate considerations;
- take account of both long- and short-term costs and benefits;
- take account of professional advice, for example legal or financial advice;
- be compiled in accordance with best professional practices by suitable staff;
- be appropriate and provide a sound basis for financial decision making; and
- be presented at the most appropriate time to allow effective decisions to be made.

3.4.3 These requirements extend to the legal reasonableness and financial prudence of all decisions taken by both members and officers.

The Monitoring Officer must:

3.4.4 Ensure that all legal advice given to members or used by officers to make decisions with financial implications:

- takes account of all relevant directorate and corporate considerations;
- is compiled in accordance with best professional practice by suitable staff;

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- is appropriate and provides a sound basis for decision-making; and
- is presented at the most appropriate time to allow effective decisions to be made.

3.4.5 These requirements extend to the legal reasonableness and financial prudence of all decisions taken by either members or officers.

Strategic Directors must:

3.4.6 Ensure that all financial information given to members or officers in order for them to make decisions with financial implications:

- takes account of all relevant directorate and corporate considerations;
- takes account of both long- and short-term costs and benefits;
- takes account of financial advice and any financial implications (the chief finance officer should be consulted when drafting committee or other reports which contain proposals which have financial implications);
- takes account of legal advice and any legal implications (the monitoring officer should be consulted when drafting committee or other reports which contain proposals which have legal implications);
- takes account of other professional advice, where appropriate;
- is compiled in accordance with best professional practices by suitable staff;
- is appropriate and provides a sound basis for financial decision-making; and
- is presented at the most appropriate time to allow effective decisions to be made.

3.4.7 Strategic directors are reminded that these requirements extend to the legal reasonableness and financial prudence of all decisions taken by either members or officers.

Assistant Directors must:

3.4.8 Ensure that all financial information given to strategic directors and cost centre managers or other officers within their directorates:

- takes account of all relevant directorate and corporate considerations;
- takes account of both long- and short-term costs and benefits;
- takes account of financial advice and any financial implication (the chief finance officer should be consulted when drafting committee or other reports which contain proposals which have financial implications);
- takes account of legal advice and any legal implications (the monitoring officer should be consulted when drafting committee or other reports which contain proposals which have legal implications);
- takes account of other professional advice, where appropriate;
- is compiled in accordance with best professional practices by suitable staff;
- is appropriate and provides a sound basis for financial decision-making; and
- is presented at the most appropriate time to allow effective decisions to be made.

3.5 PLANNING FOR THE USE OF RESOURCES

Why is this important?

3.5.1 The county council is a large complex organisation providing a multitude of different services, and like any organisation of this scale it needs to plan effectively and develop systems to ensure that scarce resources are allocated in accordance with carefully weighed priorities. All decisions on the revenue budget are taken by full

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council except those that relate to the current year's approved budget and the use of any earmarked reserves which have been delegated to the cabinet.

3.5.2   All items of income and expenditure of the county council are classified as either revenue or capital.

3.5.3   The revenue budget is the expression in financial terms of individual service's plans. It is concerned with the day to day spending required to provide a service, for example, employee pay, supplies and services, energy costs, etc.

3.5.4   The capital programme is the expression in financial terms of individual service's plans to purchase, construct or improve assets with a lasting value, for example, land, buildings and large items of equipment.

3.5.5   The process for preparing and setting the budget should ensure that it reflects each service's aims and objectives in financial terms for the period ahead. Budgets must be based on projections about pay and inflation and all cost savings should be identified, assessed for achievability and planned in advance. Known developments should be anticipated and full cost implications should be determined. Revenue and capital budgets should be integrated and presented as such to members.

3.5.6   It is important to ensure that the full revenue consequence of capital expenditure is reflected in the revenue budget and the options of either a revenue or capital approach to service delivery is considered.

The Chief Finance Officer must:

3.5.7   In consultation with corporate board prepare and submit reports to the cabinet outlining likely developments, including resource constraints set by the government and changing demands on services, which will have an influence upon the revenue and capital budgets of the county council.

3.5.8   Also in consultation with corporate board prepare and submit reports to the cabinet summarising the budget proposals and, where appropriate, identify the implications for the level of precept to be levied by the county council and the impact on local taxpayers.

3.5.9   Establish formal procedures and timetables for planning the budget by:

- providing assistant directors with a framework and timetable for reporting anticipated savings and spending pressures; and
- providing assistant directors with preliminary budget targets for the following year in time for them to prepare business/service plans, and a final budget by 31 March.

3.5.10 Produce an annual treasury management policy statement and strategy setting out the arrangements for the operation, management and performance assessment of the treasury management function and gain full member approval for the policy statement and strategy.

Strategic Directors must:

3.5.11 Ensure that each business unit within their directorate prepares a written statement of the service's aims and objectives which is used as the basis for constructing budget plans.

3.5.12 Prepare and submit, with the chief finance officer, joint reports to the cabinet outlining

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likely developments, including resource constraints set by the government and changing demands on services, which will have an influence upon the revenue and capital budgets of the county council.

3.5.13 Comply with guidance concerning capital expenditure, issued by the chief finance officer.

3.5.14 Ensure that their directorate maintains an asset register, as defined by the chief finance officer, for the purpose of calculating notional capital charges.

Assistant Directors must:

3.5.15 Comply with the formal procedures and timetable for planning their budget by:

- identifying, costing and reporting spending pressures and any anticipated savings, in accordance with the published budget framework and timetable; and
- preparing detailed revenue estimates of planned spending and income for the year ahead within the budget targets set by their strategic director.
- providing all information to the strategic directors as requested and in a timely fashion to enable the strategic directors to achieve their obligations under these financial regulations.

3.5.16 Notify their strategic director of the continuing potential financial impact in future years of decisions they are taking in the current financial year. These need to be done so as to be taken into account when producing next year's budget.

3.5.17 Fully comply with capital expenditure rules issued by the chief finance officer.

3.6 **CONTROLLING THE USE OF RESOURCES**

Why is this important?

3.6.1 Budgetary control is the process by which services monitor, review and adjust financial targets during the financial year. The identification and explanation of variances against budgetary targets provides a mechanism by which the county council can identify changes in trends and resource requirements at the earliest opportunity.

3.6.2 There is also an additional pressure to monitor capital schemes carefully, to ensure that the county council's capital financing capacity, governed by the Prudential Code for Capital Finance, including other internal funds and external grants and receipts, is fully utilised, but not exceeded.

The Chief Finance Officer must:

3.6.3 Administer and keep under review the county council's scheme of virement as set out in the finance rules.

3.6.4 Ensure assistant directors and cost centre managers have access to regular and frequent reports on spending, including sums committed, but not yet paid, against the approved budget.

3.6.5 Prepare and submit, with strategic directors, joint reports to the cabinet in respect of any revenue expenditure for which the strategic director concerned is unable to identify appropriate resourcing from within the existing approved budget.

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3.6.6 Prepare and submit reports to the cabinet in respect of any planned or actual expenditure which the chief finance officer (in consultation with the monitoring officer) believes to be unlawful; and during the time between the possibility of unlawful expenditure coming to light and its consideration by cabinet, prevent any payments other than those which are contractual commitments (this applies equally to revenue and capital expenditure).

3.6.7 Prepare and submit regular reports to the cabinet on progress against the approved capital programme, highlighting any slippage and detailing any requests for amendments to approved programmes.

3.6.8 Administer the authorisation of capital schemes approved by full council as detailed in the finance rules.

3.6.9 Provide strategic directors, assistant directors and cost centre managers with appropriate guidance and finance rules.

3.6.10 Administer the county council's arrangements for under and overspendings to be carried forward to the following financial year as outlined in the financial procedure rules.

3.6.11 Prepare and submit a report to the relevant overview and scrutiny committee by 30 September each year comparing actual treasury management performance against the approved strategy, for the previous financial year.

Strategic Directors must:

3.6.12 Ensure that their assistant directors comply with the county council's scheme of virement and notify the chief finance officer of any additional authorisation limits/reporting arrangements they may wish to set.

3.6.13 Recommend to members the level of their directorate's carry forward underspends from one financial year to the next.

3.6.14 Inform the chief finance officer immediately of any planned or actual expenditure that the strategic director believes to be illegal. During the time between informing the chief finance officer and receiving his response, ensure that no payments are incurred other than those required to meet contractual commitments (this applies equally to revenue and capital expenditure).

Assistant Directors must:

Revenue Expenditure:

3.6.15 Prepare and submit, with the input of the chief finance officer and their strategic director, joint reports to the cabinet in respect of any revenue expenditure for which the assistant director concerned is unable to identify appropriate resourcing from within the existing approved budget.

3.6.16 Make sure that expenditure for each financial year does not exceed the available budget.

3.6.17 Make sure that all income and expenditure, including forecasts of future income and expenditure, are entered on the general ledger.

3.6.18 Seek cabinet approval (to be sought only with the approval of their strategic director)

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in advance for all virements within their service which exceed the lower of £500,000 or 5% of the service's net revenue budget (this applies both to an individual transaction and where the cumulative total of virements in their service exceeds this limit in any financial year).

3.6.19 Seek cabinet approval (to be sought only with the approval of their strategic director) in advance for all virements between services irrespective of the amount of the virement.

3.6.20 Ensure that, when budgets are delegated, responsibility for financial control is clearly defined and ensure that they have sufficient controls in place to meet their obligations under finance regulations.

3.6.21 Ensure that cost centre managers are notified of any virements affecting their cost centre and that the reason for the virement is explained.

Capital Expenditure:

3.6.22 Ensure a project manager is allocated to all capital projects.

3.6.23 Ensure that all project managers comply with all the rules relating to capital expenditure and financing.

3.6.24 Ensure all appropriate approvals have been granted before committing to any capital expenditure.

3.6.25 Ensure adequate funding is in place for all capital expenditure over the lifetime of a project and that accurate phasing of capital expenditure over financial years is undertaken at the same time.

3.6.26 Record capital income and capital expenditure separately.

3.6.27 Ensure capital expenditure does not exceed the approved budget limit.

3.6.28 Ensure that capital expenditure is not moved between schemes without member approval.

3.6.29 Ensure that adequate information is kept to ensure accurate capital accounting rules are maintained.

3.6.30 Ensure members, their strategic director and the chief finance officer are kept informed of progress and latest cost estimates for all capital projects.

3.6.31 Provide financial and performance information on capital projects when requested by members, their strategic director or the chief finance officer.

3.7 ACCOUNTING FOR THE USE OF RESOURCES

Why is this area important?

3.7.1 The county council has a statutory responsibility to prepare its annual accounts to fairly represent its operations during the year. Full council is responsible for approving the annual accounts. These are subject to external audit scrutiny before publication. External audit scrutiny provides assurance that all expenditure is legal, the accounts are properly prepared and appropriate accounting practices have been followed.

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The Chief Finance Officer must:

3.7.2 Provide assistant directors and strategic directors with guidance and a timetable for closing their accounts, to ensure compliance with the statutory timetables.

3.7.3 Prepare and submit reports to the cabinet outlining, firstly, probable and, subsequently, the actual income and expenditure of the county council, for each financial year.

3.7.4 Prepare and publish the audited accounts of the county council for each financial year in accordance with the accounts and audit regulations, in particular:

- make appropriate arrangements for the external audit of the county council's accounts;
- publish the statement of accounts, with the auditor's certificate or report, within 4 months of the financial year end.

3.7.5 Provide assistant directors and strategic directors with a detailed closedown timetable in order to meet the deadlines specified by the chief finance officer.

Assistant Directors must:

3.7.6 Ensure that all expenditure and income is coded to appropriate areas of their budget to accurately reflect service activity in the financial year.

3.7.7 Make sure that they comply with the procedures and timetable for closing the accounts at the end of the financial year.

3.7.8 Maintain suitable accounting records and make these records available for inspection by external auditors when requested.

4. **FINANCIAL ADMINISTRATION**

Why is this area important?

4.1.1 The county council, being a public body, has a responsibility to the local community to ensure that its financial affairs are properly managed, and its assets safeguarded. The public is entitled to expect the highest standards of financial conduct and integrity. It is the chief finance officer's responsibility to ensure that appropriate systems and controls are in place to satisfy these expectations.

4.1.2 The county council has a statutory responsibility to make arrangements for the proper administration of its financial affairs. This includes determining the accounting systems and procedures, the form of accounts and supporting financial records.

The Chief Finance Officer must:

4.1.3 Produce detailed finance rules outlining the roles and responsibilities of officers for the financial administration of services under their control.

4.1.4 Ensure that both members and officers comply fully with the finance rules as they have equal importance along with the financial regulations and non- compliance will be dealt with in the same way as non-compliance with the financial regulations.

4.1.5 In consultation with the monitoring officer, review the adequacy of the financial

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regulations annually and, where necessary, recommend amendments to either the financial regulations or the finance rules.

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Part 4(1)

MEMBER ROLE PROFILES

'Leading for Warwickshire'

CONTENTS

Introduction

The member profiles have been developed by the member development steering group and set out the expectations of elected members and the roles they undertake.

The profiles seek to demonstrate the differing complexity of the roles and forms the basis of the '*Leading for Warwickshire*' member development programme.

Each member will be supported in assessing their strengths against the role profiles and identify any areas for development. The profiles will also serve to explain the role of councillors both within the organisation and externally with our partners and public.

1. **Elected Member Role Profile**

This role profile applies to all councillors and forms the foundation for all other role profiles within this document.

Overall Purpose

To provide effective community leadership and representation for the people and area to which they are elected. To take part in the development of policies and services for the people of the county as a whole.

Roles and Responsibilities

Community Leadership and Representation:

- To offer a vision and direction for the community and build support for that vision.
- To represent the interest of constituents and the area in which they live by actively seeking out their views, taking these into account when considering policy and taking decisions, and feeding back to constituents the decision that impact upon them.
- To undertake casework for constituents fairly and impartially and act as an advocate in resolving local concerns and grievances pertaining to the council

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and its partners.

- To support and promote citizenship locally and empower the community to actively participate in the governance of the local area.

Partnership Working:

- To work in partnership and build effective alliances with other local public, private, voluntary and community sector agencies and bodies, which impact on the local community.
- To work with local organisations and interests in shaping a long-term vision for the area.
- To develop effective working relationships with officers within the council and externally.

Policy Development:

- To contribute to the formation and review of the council's policies, strategies and service delivery.
- To participate in the scrutiny and monitoring of council decisions, the performance of council services and their effectiveness in meeting the priorities and strategic objectives of the council and the needs of its residents.
- To effectively represent the council on outside organisations to which they are appointed, reporting back to the appropriate council body on relevant issues.

Other:

- To fulfil all the legal and constitutional responsibilities required of elected members, including codes of conduct and probity issues.
- To be accessible to constituents, partner organisations and officers of the council using the information technology available (including electronic mail for internal and external communications).
- To participate in appropriate training and development to ensure that the role of elected member is undertaken effectively.

Key Skill Sets:

- Leadership Skills
- Communication Skills
- Partnership Working
- Scrutiny and Challenge
- Performance Management
- Personal Management

Key Knowledge Sets:

- The council's key priorities and related policies and plans.
- The organisation of the council – its services, key officers and key partners.
- Council's policy and decision-making processes, code of conduct, protocols and corporate responsibilities (for example as corporate parent).
- Detailed knowledge and understanding of their electoral division, localities and communities.
- Understanding of the purpose and priorities of any external organization to which the member is appointed by the council, including an understanding of

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their role on the organisation.

- Knowledge of the structure and working of local government.
- National policies and their impact on the public sector, local government and the council.

2. Leader and Deputy Leader of the Council

2.1 Leader of the Council

This identifies the responsibilities, skills and knowledge specific to the role of leader of the council and should be read in conjunction with those set out for a cabinet member.

Overall Purpose

To provide visible strategic leadership and direction for the council and take overall responsibility for the political management of the council and delivery of the council's strategic objectives and priorities, ensuring continuous improvement for the county and its residents at all times.

Roles and Responsibilities

Leadership:

- To provide cohesive, corporate and strategic leadership and direction for the council.
- To build a vision for Warwickshire and lead the council and its partners towards that vision.
- To represent the council and provide leadership on the Warwickshire Public Service Board and other key local partnerships.
- To develop and maintain effective relationships with partners across Warwickshire and within the sub-region and region as appropriate.
- To act as spokesperson for the council and for the Warwickshire community as a whole.
- To lead cabinet and a political group and administration.

Policy:

- To undertake political executive responsibility and accountability for proposing and directing the council's overall strategy, budget and policy framework, and service reviews.
- To lead on performance improvement throughout the organisation and with partners.
- To work with members of the cabinet to ensure the effective delivery of services within the remit of their portfolios against the agreed policies of the council.
- To promote and demonstrate effective, consistent and accountable decision making.
- To represent the council, and be accountable for discussions and negotiations with county-wide, sub-regional, regional, national and international organisations and bodies, as appropriate.
- To develop and maintain an effective working relationship with the leaders of other political groups within the council and with the overview and scrutiny committee chairs.

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Other:

- To lead and manage a political group within the council.
- To ensure that group members are performing effectively, particularly those with special responsibilities.
- To champion member development and ensure that group members and members of the cabinet benefit from appropriate training and development to deal effectively with the cabinet's business.

Key Skill Sets:

- Strategic Leadership
- Partnership Working
- Strategic Thinking, Policy and Decision-Making
- Performance Management and Improvement
- Communication and Media
- Chairing

Knowledge:

- Detailed understanding of the council's key priorities and related policies and plans that support the council's vision.
- An understanding of the key challenges facing local government and the public sector.
- An understanding of the national policy framework and impact on local policy development.
- An understanding of the key challenges and opportunities facing Warwickshire, the sub-region and region.
- Knowledge of the work of county-wide, sub-regional, regional and national bodies, and the role of the council within them.
- Detailed knowledge of the role of local partners and the services they deliver.

2.2 Deputy Leader of the Council

This identifies the responsibilities, skills and knowledge specific to the role of deputy leader of the council and should be read in conjunction with those set out for a cabinet member.

Overall Purpose

To assist the leader of the council and deputise in their absence.

Roles and Responsibilities:

- To support and assist the leader in the formal processes and matters of leadership of the council as set out in the role profile for the leader of the council.
- To work with the leader on proposing and directing the council's overall strategy, budget and policy framework, performance improvement programme and service reviews.
- To assist the leader in coordinating the work of the cabinet and of the political group.
- To deputise for the leader in their absence, undertaking the duties as set out in the role profile for the leader of the council.

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Key Skill and Knowledge Sets:

As set out for the leader of the council.

3. **Cabinet Member**

Overall Purpose

To provide strategic leadership and direction in relation to their allocated portfolio and contribute to the collective decision-making function of the council.

Roles and Responsibilities

Leadership:

- To provide strategic leadership and direction in relation to their allocated portfolio functions and responsibilities.
- To ensure continuous improvement within these areas.
- To represent the council in relation to their portfolio at county-wide, sub-regional, regional, national and international events or conferences.
- To develop and take a lead role in key partnerships relevant to their portfolio.
- To act as the principal spokesperson for their portfolio.

Policy Development:

- To bring forward policy and budget proposals for consideration by the cabinet.
- To liaise effectively with other cabinet members to ensure that policies and service delivery are integrated across all services.
- To work constructively with overview and scrutiny committees in developing policy.
- To consult interested parties, citizens and other members as part of the development and review of policy.

Decision-Making:

- To make recommendations as a member of the cabinet on the council's policy framework, plans and budget, under the leadership of the leader and deputy leader of the council.
- To take collective and personal responsibility and accountability for the decisions and recommendations reached by the cabinet.
- To take responsibility, with appropriate service managers, for the performance of services and functions within their portfolio.
- To ensure that approved policies and strategies are implemented and delivered effectively.
- To provide evidence in relation to decisions taken and the performance of services within their portfolio, including being held to account at committees as appropriate.

Other:

- To establish and maintain effective working relationships with other cabinet members, group members, partners, overview and scrutiny committee chairs/spokespersons, and officers as appropriate.

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- To participate in appropriate training and development to ensure that the role of cabinet member is undertaken effectively.

Key Skill Sets:

- Strategic Leadership
- Partnership Working
- Strategic Thinking, Policy and Decision-Making
- Performance Management and Improvement
- Communication and Media
- Chairing

Key Knowledge Sets:

- Detailed understanding of the council's key priorities and related policies and plans that support the council's vision and those of the public service board.
- Detailed understanding of the corporate objectives, plans and performance issues in relation to their portfolio.
- An understanding of the key challenges and opportunities, and any national, regional or sub-regional issues that impact on their portfolio.
- An understanding of the key challenges facing local government and the public sector, particularly in the area of their portfolio.
- An understanding of the national policy framework and impact on local policy development within their portfolio.
- Knowledge of the work of county-wide, sub-regional, regional, national and international bodies that impact on their portfolio.
- Knowledge of the role of local partners and the services they deliver, particularly those in relation to their portfolio.

4. Leader and Deputy Leader of an Opposition Group

4.1 Leader of an Opposition Group

Overall Purpose

To lead and coordinate the work of an opposition group within the council, and effectively scrutinise and hold to account the leader of the council and the cabinet.

Roles and Responsibilities:

- To lead and manage a political group within the council.
- To ensure that group members are performing effectively, particularly those with special responsibilities.
- To champion member development and ensure that group members benefit from appropriate training and development.
- To comment, challenge and review the performance of the council's administration in the co-ordination and implementation of its policies and procedures.
- To develop opposition group policies and proposals that are credible and could be implemented by the council.
- To maintain effective liaison with the leaders of other political groups, cabinet members, overview and scrutiny committee chairs, and other members.

Key Skill Sets:

- Leadership

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- Strategic Thinking and Policy Development
- Partnership Working
- Communications and Media
- Chairing

Key Knowledge Sets:

- Knowledge of the council's key priorities, and related policies and plans.
- An understanding of the key challenges facing local government and the public sector.
- An understanding of the national policy framework and impact on local policy development.
- An understanding of the key challenges and opportunities facing Warwickshire, the sub-region and region.
- Knowledge of the work of county-wide, sub-regional, regional, national and international bodies, and the role of the council within them.
- Knowledge of the role of local partners and the services they deliver.

4.2   Deputy Leader of an Opposition Group

Overall Purpose

To support and assist the opposition group leader and deputise in their absence.

Roles and Responsibilities:

- To support and assist the group leader in their role as set out in the role profile for the leader of an opposition group.
- To work with the group leader on the development of credible policy and budget proposals.
- To assist the group leader in coordinating the work of the group.
- To deputise for the group leader in their absence, undertaking the duties as set out in the pole profile for the leader of an opposition group.
- To participate in appropriate training and development to ensure that this role is undertaken effectively.

Key Skill and Knowledge Sets:

As set out for the leader of an opposition group.

5.   Committee Chair

Overall Purpose

To chair and manage meetings, ensuring pro-active and positive contributions and that the objectives of the committee/meeting are met.

Roles and Responsibilities:

- To ensure effective management of the committee's deliberations.
- To direct and monitor the committee's work programme/progress against objectives.
- To encourage involvement from all members of the committee.
- To ensure that reports are drafted to a high standard, are focused, relevant and timely.
- To act as the lead spokesperson in respect of the committee's activities.

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- To liaise and communicate with relevant officers, partners and specialists to ensure the receipt of appropriate advice, evidence and information to inform the committee's deliberations.
- To engage and develop effective working relationships with the vice-chair of the committee and other members and partners as appropriate.
- To ensure that members of the committee benefit from appropriate training and development to deal effectively with the committee's business.

Key Skill Sets:

- Leadership and Chairing
- Partnership and Team Working
- Communication
- Project and Time Management

Key Knowledge Set:

- Detailed knowledge of objectives and powers of the committee/body and any codes or protocols under which the body operates.

6. **Chair of the County Council**

Overall Purpose

To undertake the role of civic head of the county council, presiding over meetings of the full council, and effectively representing the council at ceremonial, civic and other functions inside and outside of Warwickshire.

Roles and Responsibilities:

- To preside over meetings of the county council, ensuring that the procedures, rules and standing orders set out in the council's constitution are followed.
- To encourage and ensure that all members have the opportunity to contribute to debates.
- To uphold and promote the purposes of the constitution, interpreting it when necessary.
- To establish and maintain effective working relations with the leaders of the political groups, the cabinet, chairs of other committees, and other members and officers as appropriate.
- To undertake the role of civic head of the county council, representing the council at ceremonial, civic and other functions both inside and outside of Warwickshire.
- To receive civic guests, delegations, host civic occasions and provide civic hospitality as required.
- To act as an ambassador for the council both within and outside of Warwickshire.
- To positively promote the image of the council at all occasions both locally, regionally and nationally.

Key Skill Sets:

- Leadership – representing and promoting the council.
- Relationship Building – in particular networking.
- Communication and Public Speaking.
- Chairing.

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Key Knowledge Sets:

- Detailed understanding of the civic role played by the chairman of the council.
- Detailed understanding of the council's key priorities and related policies and plans that support the council's vision.
- Knowledge of the key challenges facing local government and the public sector.

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Part 4(2)

SECTION 1 - MEMBERS' CODE OF CONDUCT

This Code applies to all elected and co-opted members of the Warwickshire County Council. The term 'councillor' in this Code means both elected and co-opted members. This Code of Conduct applies when you are acting in your capacity as a councillor which may include when:

- you misuse your position as a councillor
- your actions would give the impression to a reasonable member of the public with knowledge of all the facts that you are acting as a councillor

As a Councillor:

1. I will represent the interests of the whole community and work constructively with our staff and partner organisations to secure better social, economic and environmental outcomes for all.

2. **As a holder of public office** and as required by law I will behave in a manner that is consistent with the following principles to achieve best value for all our residents and maintain public confidence in the council, any other body to which I am appointed by the council and the office of councillor:

   a. **SELFLESSNESS:** I will act solely in terms of the public interest. I will not act in such a way as to gain financial or other material benefits for myself, my family, or my friends.

   b. **INTEGRITY:** I will not place myself under any financial or other obligation to outside individuals or organisations that might seek to influence me in the performance of my official duties.

   c. **OBJECTIVITY:** I will make choices on merit, in carrying out public business, including when making public appointments, awarding contracts, or recommending individuals for rewards and benefits

   d. **ACCOUNTABILITY:** I will be accountable for my decisions and actions to the public and to the Council and must submit myself to whatever scrutiny is appropriate to my office.

   e. **OPENNESS:** I will be as open as possible about all the decisions and actions I take. I will give reasons for my decisions and restrict information only when the wider public interest or the law clearly demands.

   f. **HONESTY: I will be truthful and** I will declare any private interests relating to my public duties and take steps to resolve any conflicts arising in a way that protects the public interests.

   g. **LEADERSHIP:** I will promote and support these principles by leadership and example.

3. **As a Councillor,** I will act in accordance with the principles in paragraph 2 and, in particular, I will:

   a. Champion the needs of the whole community and all my constituents, including those who did not vote for me and put the public interest first.

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b. Deal with representations or enquiries from residents, members of our communities and visitors fairly, appropriately and impartially.

c. Not bully, harass or unlawfully discriminate against anyone or seek to compromise the impartiality of the officers

d. Not allow other pressures, including the financial interests of myself or others connected to me, to deter me from pursuing constituents' casework, the interests of the council or the good governance of the council in a proper manner.

e. Exercise independent judgement and not compromise my position by placing myself under obligations to outside individuals or organisations who might seek to influence the way I perform my duties as a Councillor. This includes not accepting gifts or hospitality which could give rise to a perception of influence over the way I perform my duties.

f. Take account of all relevant information, including advice from statutory and other professional officers. I will remain objective and make decisions on merit.

g. Be accountable for my decisions and cooperate when scrutinised internally and externally, including by local residents.

h. Contribute to ensuring that decision-making processes are as open and transparent as possible to make sure the community understands the reasoning behind decisions and are informed when holding me and other councillors to account.

i. Behave in accordance with all my legal obligations, alongside any requirements contained within the council's policies, protocols and procedures, including on the use of the council's resources.

j. I will not disclose confidential information (be that confidential by virtue of legislation or otherwise) without express authority and/or unless the law requires it.

k. Not prevent people gaining access to information to which they are lawfully entitled

l. Value my colleagues and staff and engage with them in an appropriate manner and one that underpins the mutual respect between us that is essential to good local government.

m. Always treat people with respect, including the organisations and public i engage with, fellow members and those i work alongside.

n. Undertake Code of Conduct training provided by my local authority, cooperate with any Code of Conduct investigation and/or determination.

o. Not intimidate or attempt to intimidate any person which is likely to be involved with any investigation or proceedings

p. Provide leadership through behaving in accordance with these principles when championing the interests of the community with other organisations as well as

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within this council.

4.	I will register and disclose those interests that I am required by law to declare. I will complete and submit a signed declaration of my interests to the monitoring officer. I will keep the register updated and acknowledge that its contents are open to the public to inspect.

5.	I will register any gifts and hospitality I am offered (even if declined) with an estimated value of £50 or more within 28 days of receipt with the Monitoring Officer

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SECTION 2 – PLANNING CODE OF PRACTICE

A. The Purpose of this Code

Planning requires the exercise of judgment when applying policies to circumstances, evaluating evidence and weighing competing considerations. Planning decisions are contentious because they affect the daily lives of individuals and can have profound economic, social and environmental consequences. These decisions are well publicised, often complex and constrained by sometimes arcane procedures.

It is important, therefore, that the council should make planning decisions openly, impartially, with sound judgment and for justifiable reasons. The processes should leave no grounds for suggesting that a decision has been partial, unfair or not well-founded in any way. This code aims to assist in achieving these objectives and thus to protect human rights and promote public confidence in the planning system.

B. The Application of this Code

This code applies to any member or officer who is involved at any stage in the process of making a planning decision. Whilst much of it concerns only members who are members of the Regulatory Committee, important parts concern all members. In addition, all members need to be aware of this code in its entirety so that they can understand and respect the obligations of the committee members.

C. Relationship with Other Codes

This code extends and applies the principles of the Members' Code of Conduct and is intended to be consistent with the expected contents of the statutory Officers' Code of Conduct. However, it is a supplement to and not a substitute for those codes and in the event of conflict those codes must prevail.

The main thrust of the Members' Code of Conduct and the Officers' Code of Conduct is the separation of private interests and public duties. This code is also concerned with reinforcing that separation, so that decisions are made and seen to be made in the interests of the community as a whole but is equally concerned to encourage high quality in decision-making.

D. The Consequences of Breaching this Code

A breach of this code may also constitute a breach of the Members' Code of Conduct and its underlying general principles, the Officers' Code of Conduct and the professional ethical codes of officers. Breaches may be taken into account when a political group or the council decides on membership of the Regulatory Committee or in disciplinary procedures.

A breach does not only have consequences for the perpetrator. Any breach damages the reputation of the authority and may do an injustice to a person affected by the planning decision concerned. A breach might also:

- be the subject of an investigation into a complaint of maladministration by the Ombudsman or under the council's complaints procedure;
- lead to action by the monitoring officer; and/or
- expose the council to legal challenge in the courts or prejudice the council's prospects at an inquiry.

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Because misconduct or irresponsibility on the part of one member might have these consequences and might even taint the decision of the whole committee so as to invalidate it, the chair of the Regulatory Committee is entitled to intervene in a meeting to prevent or end a breach.

E. Departure from this Code

The strategic director for resources may sanction a departure from this code and shall keep a written record of any such sanctions.

The Code

1. *The Overriding Principle*

To make planning decisions which are in the interests of the whole community and which earn its confidence.

2. *Training for Members*

Planning is a complex and constantly changing field inhabited by trained and experienced practitioners and characterised by the very high expectations of the courts and other stakeholders. In order that members can deliver sound and fair decisions and test the advice of their officer in an effective way, it is essential that they have certain competencies and an up to date working knowledge of the planning system.

With effect from the start of the municipal year 2005-06, any new member of the Regulatory Committee must undergo or have undergone an induction course approved by the strategic director for resources.

With effect from the start of the municipal year 2006-07, no member may be re-appointed to the Regulatory Committee unless they have in the previous 24 months undertaken at least 12 hours of training recognised as eligible for this purpose by the strategic director for resources or training provided by other authorities or external providers which the strategic director for resources has recognised as being of equivalent relevance and value.

It shall be the responsibility of the strategic director for resources to deliver a programme of reports, briefings and seminars which enable members to comply with this requirement. These reports, briefings and seminars shall inform members about new legal and policy developments as well as addressing established principles of decision-making and aspects of the planning system of particular relevance to county planning authorities. So far as practicable, these learning opportunities shall be made available to all members of the council.

3. *The Relationship between Officers and Members*

The integrity of the planning process depends on mutual trust and respect between officers and members. Officers and members have different but complementary roles.

Officers advise members and implement their decisions. However, they are responsible to the council as a whole and not to any individual member or group of members. It is their duty to ensure that applications are properly processed, that the law is observed and that members are equipped with the advice and information they

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need to arrive at sound and fair decisions which pay regard to relevant council policies.

Officers should be ready to give unwelcome advice when necessary, whether or not solicited, and members should accept that the officers are duty bound to do so.
Although officers should wherever possible make a recommendation as to the decision to be made by the Regulatory Committee, they should recognise and give even-handed advice on any alternatives reasonably open to the committee. Where the committee properly reach a lawful decision other than that recommended, the officers should give the committee their unstinting support in refining, explaining, defending and implementing that decision.

For their part, members should respect the impartiality and the professional obligations and expertise of officers. Members should also be mindful, particularly when communicating with officers outside committee meetings, of the seniority of the officer with whom they are dealing and avoid any risk of creating the impression of misusing their authority. Whilst members may express their views on an application robustly in writing, they should when speaking to a case officer confine themselves to seeking information or reporting concerns.

Members and officers should treat each other with courtesy on all occasions and in all circumstances.

4. *Applications in which Members are Interested*

A member who make or has a prejudicial interest in an application for any other reason shall notify the strategic director for resources. The member shall play no part in the processing of the application and the application shall be decided by the Regulatory Committee.

Because the member will be excluded from the committee meeting, they can use the public speaking scheme only through a representative. In addition, the member should not use their position as a member improperly to influence the decision. They can make written representations to the officers in the usual way, provided that the existence and nature of the interest is disclosed. However, to limit the scope for suspicion, the member should not communicate directly with any other member about the application and should confine oral communications with officers to dealing with the administration of the application and answering questions.

5. *Applications in which Officers are Interested*

Applications by or in which the following officers are interested:

- a strategic director;
- a planning officer or the manager of a planning officer;
- a legal officer responsible for planning matters;

shall be notified to the strategic director for resources and decided by the Regulatory Committee. The officer shall play no part in the processing of the application.

An officer shall be regarded as interested in an application for this purpose if they would have a prejudicial interest under the Members' Code of Conduct were they a member.

If an officer who is a senior manager, or who works regularly with development control officers, makes or is interested in an application the strategic director

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responsible for development control shall be notified.

6.   *Applications in which the Council is Interested*

An application on behalf of or for the development of land in which the council or the police and crime commissioner or a district or borough council within Warwickshire have an interest shall be decided by the Regulatory Committee if there are any objections.

7.   *Members and Officers Acting as Agents or Advisers*

Any member or officer acting as an agent or adviser, other than in their capacity as a member or officer, for an applicant or objector or other person interested in a planning application shall always regard themselves as having a prejudicial interest.

Planning and legal officers shall not accept any remuneration for acting as an agent for or adviser to a person making a planning application to the council.

8.   *Membership of the Regulatory Committee*

A member whose professional occupation regularly involves acting as an agent for or an adviser to people making or objecting to planning applications in Warwickshire should not be a member of the Regulatory Committee.

A member whose business or property interests would require them to make frequent declarations of interest should not be a member of the Regulatory Committee.

A member of the cabinet should accept membership of the Regulatory Committee only after careful consideration of the potential for apparent conflict with the demands of their particular portfolio.

9.   *Officers' Ethics*

All planning officers shall observe the Code of Professional Conduct of the Royal Town Planning Institute, whether or not they are members of the institute, and legal and other professional officers shall observe their respective professional ethical codes at all times.

10.   *Interests, Bias and Predetermination*

The Standards Board advises that members who make planning decisions should adopt a particularly cautious approach when deciding whether they have a prejudicial interest under the code of conduct. In its view, a reasonable member of the public is more likely to think that the judgment of a member is prejudiced when dealing with regulatory matters than when carrying out executive and scrutiny functions. In other words, a member of the Regulatory Committee may be required to treat an interest as prejudicial even though they would not be required to do so when acting as a member of another council body.

The Standards Board also advises that a prejudicial interest in a planning decision might arise through membership of a campaign, or other behaviour which closely identifies a member with a desired outcome, even though they might have no

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financial or other personal interest.

This approach seeks to align the code of conduct with the law on bias as developed by the courts, and in most cases compliance with the code will ensure compliance with the law. However, the requirements of the law on bias are wider and stricter than the code and bias may exist even though a member has no personal interest to declare under the code and even though they act selflessly or for reasons of public duty. Bias can take two forms, which are capable of overlapping.

The first form of bias is **prejudice** against a particular point of view for a reason unconnected with the planning merits of the issue. This might be because a member has a financial interest (however small) or some other direct or indirect personal stake in the outcome. However, a member might also be prejudiced because of a strong moral conviction or by forming bonds of personal allegiance with a party or indicating partisanship in some other way.

The second form of bias is where a member has **predetermined** an issue by surrendering independent judgment, or by adopting an inflexible policy or by closing their mind to further debate. This might arise where a member makes a commitment as to their voting intentions, or defers to the opinion of another body, or has formed a judgment about an issue which is so firm that they are no longer receptive to information and argument.

The test applied by the courts is whether there is a real danger of bias. This means that a member must not only avoid *actual* prejudice or predetermination but also avoid its *appearance*. Bias may be perceived to exist even where it does not. Members of the Regulatory Committee who make statements or engage in conduct capable of giving rise to a reasonable perception of bias by the public should not participate in deciding a planning application even if they are personally satisfied that they could do so in a proper manner.

It is natural and permissible for a member of the Regulatory Committee to begin to form a view about an application or certain aspects of it before the meeting at which they vote upon it. It is also expected and accepted that members will hold views on general matters of political and public interest that might predispose them towards a particular point of view. However, they are expected to maintain their impartiality and to avoid reaching any final conclusion until they have heard all evidence and argument and are called upon to vote. It is equally important that the member is seen to be so acting.

A member of the Regulatory Committee will not automatically be regarded as biased because they have supported a proposal when carrying out executive or scrutiny functions. However, members in this position should consider carefully whether their other responsibilities, and the way in which they have carried them out and expressed themselves, would lead a reasonable observer to doubt whether they can approach the application fairly and impartially.

Breaching the law on bias does not only have personal consequences for a member but can taint the whole committee so that the high court cancels its decision. A member of the Regulatory Committee who may reasonably be perceived as biased in relation to a matter should neither speak nor vote on it at a meeting. In addition, the member should normally withdraw from the meeting room whilst the matter is being considered. The only exception to this is where a member wishes to use the public speaking scheme in a case where they are disqualified solely because of predetermination. In such a case, provided that the strategic director for resources agrees in advance that there is no other objection to doing so, the member may

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address the committee in accordance with the public speaking scheme. However, they should explain why they are disabled and physically withdraw from the part of the room occupied by the committee.

Further advice on avoiding bias and its appearance is given in sections 4, 11, 12, 14, 17, 25 and 26.

11. *Lobbying of Members*

Lobbying is a normal and proper part of the political process. However, such lobbying can, unless care and common sense is exercised by all the parties involved, lead to the impartiality and integrity of officer and members being called into question.

Members of the Regulatory Committee cannot avoid receiving both written and oral representations from supporters and opponents of applications and it is legitimate to enter into dialogue with interested parties. However, caution must be exercised to avoid bias or predetermination or their appearance.

It is not possible to set out firm rules governing all the situations which can arise before an application is decided but the following guidelines should generally be observed by a member who wishes to participate in deciding the application:

- meet applicants or their representatives only at meetings arranged and attended by officers (see section 26 below);
- keep copies of written representations and make a written note of any significant oral contacts;
- resist meetings with lobby groups if the sole or main purpose is to discuss planning applications;
- confine advice to procedural information;
- encourage a lobbyist to make representations direct to officers or through the public speaking scheme;
- refuse to endorse the viewpoint of any faction or to engage in campaigning or lobbying activity of any kind;
- avoid statements which suggest a closed mind on any issue;
- qualify any expression of opinion as a preliminary view; and
- avoid social contacts with developers and their agents when an application is imminent or has been submitted but not finally decided.

12. *Lobbying by Members*

No member should put improper pressure on an officer for a particular recommendation and a member who is actively supporting or opposing an application should not seek to persuade a member of the Regulatory Committee towards a particular viewpoint through private channels of communication.

A member of the Regulatory Committee who lobbies for or against an application will almost inevitably be excluded for bias. A member of the committee may identify concerns and ask questions in communications with planning officers prior to a meeting but should, if they wish to participate in the decision, avoid statements which indicate that they support or object to the application.

13. *Contacts*

It is not necessary and frequently not practicable for a member of the Regulatory Committee to declare at a meeting all the contacts which they have had concerning a planning application. However, openness helps to allay suspicion, and any

consideration which might influence how a member votes, and which is not already before the committee, should be shared and exposed to comment.

A member should disclose at the meeting any contacts with the applicant or their representatives. Whether to disclose other contacts is a matter for their decision.

Members of the committee should not allow anyone who is not a member of the committee or an officer to communicate with them privately by any means during a committee meeting.

Planning officers will keep a full written note of any contact from a member about an application on the planning file and report all such contacts to the meeting of the Regulatory Committee considering the application.

14. *The Divisional Member*

Whilst a member of the Regulatory Committee might report local views on an application, they cannot act as an advocate for any particular interest and claim with credibility to be able to participate with impartiality in making the decision. As a result, members of the Regulatory Committee will sometimes be presented with a choice between participating in a decision and freeing themselves to campaign for or against an application, particularly when they feel that the interests of their constituents cannot otherwise be effectively represented.

They are in these circumstances entitled to choose to campaign if they are satisfied that this best serves the public interest. To avoid any misunderstanding, they may wish to notify the strategic director for resources of their decision before beginning to campaign.

Any member who joins a campaign should remain alert to the possibility that the nature and extent of their involvement might give rise to a prejudicial interest affecting the ways in which they can lobby on behalf of the campaign.

15. *Political Group Expectations*

Political meetings should not be used to discuss how a member of the Regulatory Committee should vote and political groups should not use the whip or seek to exert any other group discipline to influence a decision. Deference to the expectations of political colleagues both fetters the discretion of a member of the committee and introduces an immaterial consideration. Political group pre-meetings to discuss applications should be avoided.

16. *Declaring Interests*

Any member who has a prejudicial interest in an application should, whether or not they are a member of the Regulatory Committee, withdraw from a meeting of the committee when the application is considered. They can use the public speaking system only through a representative and should not use avenues of influence, which are not equally open to the general public (see also sections 4 and 10 above).

17. *Members with Dual Public Roles*

Paragraph 10 of the Members' Code of Conduct allows a member to regard themself as not having a prejudicial interest in certain cases where an interest arises from their involvement in another body as part of their public duties. Members should not take advantage of these exemptions automatically but should always exercise their

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discretion according to the particular circumstances of the case.

The exemption cannot be relied upon where the body with which a member is involved is the applicant or stands to benefit or suffer in some significant way from a development proposal (e.g. when a member is the governor of a school where the development will take place).

On the other hand, it is permissible for a "double-hatted" member of the Regulatory Committee to rely upon the exemption where the other council is merely a consultee, or spokesperson for its community, provided that they:

- made it clear at any meeting in which they participated that they had not formed a final opinion and would decide the application independently on its merits alone;
- has no other reason for declaring a prejudicial interest; and
- is satisfied that they are free of bias or predetermination or its appearance.

18.   *Officer Reports*

Whilst each report should be appropriate to the nature of the decision to be taken, a report on an application to be considered by the Regulatory Committee can normally be expected to include:
- a description of the site and surroundings;
- the proposals and any relevant planning history;
- extracts from application plans and drawings;
- a location plan;
- relevant national and local policies;
- material considerations;
- the views of consultees and the substance of objections;
- evaluation of key issues setting out the pros and cons of the development;
- a reasoned statement whether or not the proposal is in accordance with the local development documents;
- a conclusion and a clear recommendation;
- the substance of conditions and legal agreements; and the text of any reasons required by statute.

Reports should, so far as is practicable, include details of all consultation responses received before the publication of the agenda.

19.   *Meetings of the Regulatory Committee*

Full scale copies of application plans and drawings will be displayed at the meeting and visual projections will be used to show plans, drawings and photographs of the site.

Members will be given copies or summaries of representations received after the reports were finalised and any late material will be noted in the minutes.

Copies of any documents provided for members will be available to members of the public.

Where the committee is required to identify conditions or obligations or give reasons required by statutes that are not set out in the relevant report, the conditions/obligations and reasons shall either be agreed in substance at the meeting or submitted in writing to a subsequent meeting for approval.

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Members of the Regulatory Committee should not vote unless and until they have heard all the evidence, advice and argument presented at the meeting. Therefore, a member who leaves the room during the consideration of an application should not vote on it.

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20. *Public Speaking*

A public speaking scheme will operate. The initial scheme is set out in the appendix to this code, but the details of its operation may be amended by the Regulatory Committee.

21. *Officer Support*

Pre-meeting briefings between officers and the chair and group spokespersons will take place, to anticipate and consider procedural matters.

All meetings of the Regulatory Committee (including site visits) shall be attended by a solicitor or barrister of suitable seniority on behalf of the strategic director for resources and also by the development manager or another suitable planning officer nominated by the development manager.

22. *Officer Advice*

The Regulatory Committee should never decide an application without giving the officers an opportunity to provide information and advice additional to that in the report and to respond to any representations from the public. If new issues or evidence are mentioned in discussion, the officers should be invited to comment. The chair should check whether the legal and planning officers wish to offer any further advice immediately before proceeding to a vote.

Where the committee disagree with professional advice, particularly advice on a technical matter, they should not reject it unless they can identify clear and cogent reasons for doing so.

If the committee are minded to make a decision in conflict with that recommended by the officers, they should first seek specific advice from the officers as to the implications. Having made such a decision, the committee should articulate their reasons in order that they can be minuted before proceeding to the next agenda item. Officers may advise on but should not be asked to devise reasons for the committee.

23. *Deferrals*

Applicants are entitled to prompt decisions and delay can be costly and harmful. Therefore, an application should not be deferred unless it is:

- a procedural requirement;
- demanded by the duty of fairness;
- for a site visit; or
- to obtain important information.

In all cases, an application should be deferred only if it is necessary to do so in order to reach a properly informed and lawful decision.

A site visit is only likely to be necessary if the impact of the development is difficult to visualise from the presentation materials available at the meeting or if there is good reason why the comments of interested parties cannot be expressed adequately in writing.

A deferral must take place where potentially significant new evidence or issues have emerged at the meeting which require verification and analysis.

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The reasons for a deferral must be agreed before proceeding to the next agenda item and minuted.

24. *Site Visits*

A site visit is for fact finding purposes only. They must be carefully managed in order to dispel any suspicion they have been used as an opportunity for covert lobbying and to ensure that any significant information obtained on the visit is available to all.

Site visits will be conducted in accordance with the following rules:

- the visit is for the purpose of visual inspection only;
- representations will not be entertained from any party;
- applicants and objectors will accompany the committee only in order to facilitate access, point out physical features and answer factual questions; and
- members of the committee will communicate with interested parties only through their officers.

Members should not make private inspections of sites unless they can do so unaccompanied and without making contact with applicants or other interested parties.

A site visit may exceptionally be followed by a factual presentation on behalf of the applicant (see section 26). At least one representative of any objectors should be invited to observe the presentation.

Members should avoid expressing opinions on the application during a site visit.

25. *Discussions with Applicants*

In exceptional cases, and with the approval of the Regulatory Committee, a meeting might be arranged with applicants (or prospective applicants) to enable members to improve their understanding of major, complex or contentious applications. Although this might also give applicants an insight into the concerns of members, discussions must not slide into negotiation. Such a meeting might be combined with a site visit.

The following rules should be observed:

- presentations should be limited to the development proposal and factual questions and answers;
- the meeting should be organised and attended by officers of appropriate seniority, including a legal officer;
- members from each political group should be invited;
- members should adopt an impartial listening role and avoid expressing views on the proposal;
- if requested, preliminary views on the proposal may be supplied by the officers in writing after the meeting;
- the legal officer shall make a note of the presentation, which will be appended to the written report on the application;
- objectors should be given a proper opportunity to express their views on any information obtained at the meeting; and
- no gifts or hospitality shall be accepted from an applicant other than modest refreshments.

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26. *Reviewing Decisions*

The Regulatory Committee will review a selection of decisions by visiting sites where development has taken place.

27. *Hospitality and Gifts*

Members should not accept any hospitality or a gift of any value from anyone with an interest in a development proposal, other than modest refreshments on a site visit.

Any offer to fund a fact-finding trip will also be rejected.

28. *Complaints*

Complaints concerning the conduct of officers will be dealt with under our complaints procedure whilst complaints concerning members will be dealt with by the strategic director for resources as monitoring officer.

In neither case should complaints be used as a means to challenge the merits of decisions properly taken.

The chief executive and the strategic director for communities shall submit an annual report to the Audit and Standards Committee and the Regulatory Committee summarising complaints received and any lessons to be learned.

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Part 4(4)

SECTION 3 – PROTOCOLS ON MEMBER/OFFICER RELATIONS

1. *Underlying Principles*

1.1 The following general principles apply to all relations involving members and officers.

1.2 All relations shall be conducted:

- With respect for others and in a way, which promotes equality.
- With honesty and integrity.
- Acknowledging the duty to uphold the law and act in accordance with the trust placed in them by the public.
- In a way that promotes objectivity, accountability and openness.
- Acknowledging the duty of confidentiality that exists in relation to information given in confidence and information which the council is entitled by law to treat as confidential.
- With a view to establishing and promoting positive working relationships.

2. *Roles of Members*

2.1 All members will have important roles including representing the views of their constituents, acting together as full council, and membership of committees and sub-committees.

2.2 Elected member role profiles are attached as an appendix to these protocols. In carrying out their roles, members should respect the political neutrality and integrity of all officers employed by the council.

3. *Roles of Officers*

3.1 The role of officers is to work for and serve the council as a whole. They are responsible for the day-to-day managerial activities and operational decisions which the council takes and should provide support to all members in their several roles. Officers should at all times maintain impartiality and be aware of the potential for conflict in providing effective support to members.

3.2 The chief executive, strategic directors and Assistant Directors shall be entitled to offer advice at meetings of all member bodies if they think it is necessary to ensure that all relevant matters are taken into account.

3.3 Where an officer feels that their political neutrality or integrity is being compromised in any way, they shall notify their Assistant Director and strategic director.

4. *The Leader and the Cabinet*

4.1 **Procedural Matters**

4.1.1 The leaders of political groups representing over 10% of the membership of the council or their representatives may attend cabinet meetings as non-voting invitees. Standing orders give any member the right to attend any meetings as non-speaking observers.

4.1.2 Draft minutes of cabinet meetings and leader or portfolio holder decision-making sessions will be placed on the electronic information system by 5.00pm on the second clear working day after the meeting/session.

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4.1.3   The leader and the cabinet can and should consult with whoever it thinks appropriate and should take an inclusive approach to its work by consulting others, including partner bodies as well as members of the wider community.

4.1.4   The leader and the cabinet are responsible for policy development. Overview and scrutiny committees have a role in assisting the leader and the cabinet to develop policy. Cabinet portfolio holders should maintain an effective two-way dialogue with the relevant overview and scrutiny committees. Regular communication between portfolio holders and committees, chairs, and spokespersons aids effective policy development.

4.1.5   If the cabinet establishes a policy panel it should be chaired by the relevant portfolio holder and should be time limited.

4.2   **Relationship between the Leader, Portfolio Holders, Cabinet and Officers**

4.2.1   The leader, portfolio holders and the cabinet shall seek advice from relevant officers before taking decisions. It may also invite them to attend its meetings as necessary.

4.2.2   Reports are prepared by officers and contain professional views and advice for all members. Whilst members may be invited to comment on reports, attempts should not be made by members to change the advice given in reports.

4.2.3   Officers shall consult the relevant portfolio holders on draft reports to be presented to meetings of the cabinet or for decision by the leader or portfolio holder and circulate a copy of the draft report to the following:

- Relevant spokespersons for information; and
- Local members where the decision would have a specific impact on certain electoral divisions – 'for comment'

4.2.4   Officers shall consult portfolio holders and the relevant chair on draft reports to overview and scrutiny committees and circulate a copy to:

- The vice-chair and other relevant spokespersons on the overview and scrutiny committee for information; and
- Local members where the decision would have a specific impact on certain electoral divisions – 'for comment'

4.2.5   The current convention is that there is no consultation with members on officer reports to the other non-executive bodies i.e. full council, Audit and Standards Committee, Regulatory Committee, Staff and Pensions Committee and sub-committees.

5.   *Overview and Scrutiny Committees*

5.1   **Procedural Matters**

5.1.1   Unless otherwise stated, each overview and scrutiny committee shall set its own programme of work. Any member of an overview and scrutiny committee, including co-opted members, can propose items for consideration. The chair's decision is final in deciding the agenda for any particular meeting.

5.1.2   Officer reports to overview and scrutiny committees should be presented in a way which encourages free-flowing debate. Officers should consider shorter briefing

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papers with options for the committee to receive further information, through presentations, visits, questions at the meeting etc. as opposed to traditional reports.

5.1.3 Only in exceptional circumstances should there be urgent or unplanned reports to overview and scrutiny committees, as they are not decision-making bodies and items of this nature would ordinarily be routed to the leader or cabinet or the appropriate decision-making person or body.

5.1.4 Briefings for chairs, vice-chairs and spokespersons prior to the committee meetings will be focused on the management of the meeting and the work programme of the committee not on the content of reports/items on the agenda.

5.1.5 The chair, vice-chair and spokespersons will be given an opportunity to meet to consider the work programme of the committee.

5.1.6 Regular briefing meetings will be arranged between the relevant cabinet portfolio holder(s) and overview and scrutiny chairs and spokespersons. The strategic director and/or appropriate Assistant Directors will attend. The meeting will identify any key issues for dissemination to the wide council membership, which will form a bulletin to be issued to all members as soon as possible after the meeting. The meeting will also be provided with an overview of overview and scrutiny, cabinet and council work programmes to enable overview and scrutiny members to consider whether they wish to make any changes to their work programme. (These meetings should assist in ensuring the programmes progress in year and that any other important strategic issues that arise in year are accommodated). The aim should be to have these meetings every two months to ensure timely exchange of information and onward briefing of members.

5.1.7 The overview and scrutiny committees should report to full council once a year on the work undertaken.

5.1.8 Where matters fall within the remit of more than one overview and scrutiny committee, the relevant chairs shall decide which of them will assume responsibility for that particular issue. Joint meetings of overview and scrutiny committees should be avoided, as these are generally too large to carry out effective scrutiny. Alternatively, the relevant overview and scrutiny committees may decide to form a small joint scrutiny panel to examine cross-cutting issues.

5.1.9 Reports from overview and scrutiny committees to the cabinet/portfolio holders and/or full council shall be in the name of the chair. Where the professional advice of the chief executive or strategic director or other statutory officer does not support the content or recommendation in the report, this will be made clear in the report.

5.1.10 An overview and scrutiny committee shall be entitled to invite any person to address its meetings, to discuss issues of concern and/or answer questions. It may for example wish to hear from residents, stakeholders and members and officers in other parts of the public sector.

5.1.11 An overview and scrutiny committee will normally invite members who have called- in an executive decision to attend the meeting to explain the reasons for the call-in.

5.1.12 If an Overview and Scrutiny committee establish a task and finish group it should be time limited.

5.2   *Scrutiny Role*

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5.2.1 Overview and scrutiny should be evidence based, constructive and focused on outcomes which make a positive difference to people living and working in Warwickshire. Overview and scrutiny committees should not normally scrutinise individual decisions made by committees or officers, particularly in respect of development control, licensing, registration, consents and other permissions. Scrutiny should not be viewed as an alternative to normal appeal procedures. Nor should it be used as a vehicle to pursue issues relating to matters concerning individual electoral divisions.

5.2.2 The overall purpose of a scrutiny review is to:

- Assist the council to achieve its corporate aims and objectives; and
- Deliver positive outcomes for local people.

5.2.3 Overview and scrutiny committees should take the following matters into account when deciding whether to conduct a particular scrutiny:

- Would the issue have a significant impact on Warwickshire?
- Is it a matter which would be of general public concern?
- Does the issue relate to a key deliverable of a strategic and/or partnership plan?
- Does it relate to a key performance area where the council needs to improve?
- Are there adequate resources available to do the activity well?
- Is the overview and scrutiny activity timely?
- Is there a clear objective for scrutinising this topic?
- Is there evidence to support the need for overview and scrutiny?
- What are the likely benefits to the council and its customers?
- Are we likely to achieve the desired outcome?
- What are the potential risks?

5.2.4 Overview and scrutiny committees should consider rejecting a scrutiny review for the following reasons:

- The issue is already being addressed/examined elsewhere and change is imminent;
- The issue is not relevant to all or large parts of the council;
- There is little evidence to support the need for a review;
- The issue is the subject of current consultation by the council;
- The topic would be better addressed somewhere else (and will be referred there);
- Scrutiny involvement would have limited/no impact upon outcomes for local people;
- The topics may be sub-judice or prejudicial to the council's interest;
- The topic is too broad to make a realistic review;
- New legislation or guidance relating to the topic is expected within the next year;
- The topic area is currently subject to inspection or had recently undergone substantial change.

5.2.5 Overview and scrutiny committees or sub-committees may question the leader, members of the cabinet or other committees, strategic directors, Assistant Directors or their nominee, about their decisions and performance of services. The member or officer concerned will be given at least 10 working days written notice of the meeting, which will include details of the item and whether there is any background information.

5.2.6 Where, in exceptional circumstances, the relevant person or their nominee is unable to attend on the required date, an alternative date shall be arranged in consultation with them.

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5.2.7 Overview and scrutiny committees should always bear in mind that when officers appear to answer questions their contribution should, as far as is possible, be confined to questions of fact and explanation relating to policies and decisions.

5.2.8 Officers may explain what the policies are, the extent to which those objectives may have been met and how administrative factors may have affected both the choice of policy measures and the manner of their implementation.

5.2.9 Officers may be asked to explain the advice they have given to the leader, portfolio holder or cabinet prior to decisions being taken and they may also be asked to explain the decisions they have taken themselves under delegated authority.

5.2.10 As far as possible, officers should avoid being drawn into discussion about the merits of alternative policies where this is politically contentious. Any comment by officers on the policies and actions of the leader, portfolio holder or cabinet should always be consistent with the requirement for officers to be politically impartial.

5.2.11 Where an Overview and Scrutiny committee conducts investigations (e.g. with a view to policy development) and asks people to attend meetings to give evidence, such meetings are to be conducted in accordance with the following principles:

- the investigation is conducted fairly and all members of the committee shall be given the opportunity to ask questions, contribute and speak;
- those assisting the committee by giving evidence are treated with respect and courtesy; and
- the investigation is conducted to maximise the efficiency of the investigation or analysis.

5.3   Relationship between Overview and Scrutiny Committees and Officers

5.3.1 Overview and scrutiny committees shall seek advice from relevant officers when considering any report or matter.

5.3.2 Where an overview and scrutiny committee considers that there is doubt about whether an executive decision is contrary to the budget and/or the policy framework they shall seek the advice of the monitoring officer and other relevant officers.

5.4   Councillor Call for Action

5.4.1 A councillor call for action should not be seen as the first step in resolving a matter. The member should talk to relevant officers and the portfolio holder(s) before using this process

5.4.2 Steps which a councillor could take before using the councillor call for action process include:

- Contact with the local office or body concerned to attempt to resolve the matter;
- Contact with the relevant portfolio holder;
- Use of appropriate complaint procedures; and/or
- Use of an appropriate locality forum where the issue has a multiagency dimension.

5.4.3 The notice to the monitoring officer should set out clearly what the issue is about, what resolution is being sought, what steps have already been taken and the outcome. The member should enclose any relevant papers and copies of any

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relevant correspondence.

5.4.4 The following are excluded matters:

- issues where there are clear appeal processes such as planning;
- issues where the action being suggested would be unlawful;
- individual staff matters;
- issues which would be dealt with under the council's or another body's complaints procedures;
- litigation/court processes;
- vexatious/repetitive complaints.

5.4.5 In deciding whether or not to conduct any particular scrutiny arising from a councillor call for action the overview and scrutiny committees should apply the same considerations as it would to any other suggested topic for scrutiny.

6. *Relationship between Other Committees and Officers*

Committees shall seek advice from relevant officers before taking decisions and when considering any report or matter.

7. *Chairing Meetings*

Vice-chairs shall be appointed for overview and scrutiny committees, Regulatory Committee and Staff and Pensions Committee. In the absence of the chair, the vice-chair will chair the meeting. In the absence of both the chair and vice-chair, those present shall choose another member from the same political group as the chair to chair the meeting.

8. *Appointments and Disciplinary Appeals*

Any meeting of a sub-committee shall include elected members from at least two political groups. Each sub-committee shall elect a person to chair the meeting.

9. *Agenda Management*

Unless otherwise stated, the monitoring officer will determine whether a particular agenda item is within the remit of a particular member body.

10. *Committee Management Information System (modern.gov~~CMIS~~)*

10.1 Draft reports for comment or information will be circulated electronically via modern.gov~~CMIS~~. This will be the principal method of circulation to ensure a proper audit trail is maintained. Modern.gov will also be the primary system for updating and viewing the forward plan for each committee.

10.2 Agendas and public reports are normally published at least 5 working days before the meeting. All members will be notified of the publication of reports by email with a link to the relevant papers.

10.3 The minutes of cabinet meetings will normally be published within 2 working days of the meeting and for other bodies the minutes will normally be published within 5 working days of the meeting. All members will be notified of the publication of minutes by email with a link to the relevant minutes.

11. *General Principles of Support from Officers to Members*

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11.1 Officers should provide support and information to the leader, cabinet, the overview and scrutiny committees, other committees and individual members in order to meet reasonable requests to enable the relevant member or body to carry out their role(s) as elected representatives.

11.2 Officers should not be requested to provide support and information to members in pursuit of political activities of any kind.

12. *Party Group Meetings*

12.1 Meetings of party groups shall not be deemed to be meetings for the purposes of this constitution.

12.2 The underlying principles as set out above shall apply to officer relations with party groups. Additionally, where officers are required to attend political group meetings, members present should be particularly mindful of the political neutrality of officers.

12.3 Members should avoid making any comments, which would compromise the integrity and impartiality of the officer's present. They should also avoid situations which involve conflicts between the interests of the political group and the interests of the council.

13. *Members in their Local Role and Officers*

13.1 Officers should notify members of any significant issues which particularly affect the member(s) electoral division(s). This should include any changes to services in the area, such as opening times and use of buildings, including any temporary changes or temporary closures. This requirement does not normally apply to details relating to individual recipients of council services.

13.2 Officers should endeavour to ensure members are kept informed of progress of projects within their division, including capital projects and highway works.

13.3 Officers should seek the comments of the local elected members on reports which particularly affect their electoral division(s) and where appropriate indicate their comments in the text of the report. There may be occasions when the impact of proposals is wider than the local member. On these occasions the other members within the relevant areas should be consulted.

13.4 Where officers are uncertain whether a particular decision is a key decision because of its effect on an area they should consult the member(s) whose electoral division(s) is particularly affected and the monitoring officer.

13.5 Local members shall seek advice from relevant officers before taking decisions under delegated powers and when considering any report or matter.

14. *Councillor access to documents and information*

14.1 Members have certain statutory rights to access documents and information arising out of their role as councillor (e.g. the right to see documents relating to business to be transacted by the council, the right to inspect accounts and take copies and the right to inspect books, deeds, contracts, bills, vouchers and receipts).

14.2 In the absence of a specific statutory right, members can access council documents and information if it is reasonably necessary for the purposes of performing their

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duties as a councillor. There is no automatic right of access and the need to know must be demonstrated by the member concerned. Any matters of dispute are to be resolved by the monitoring officer.

14.3 Confidential or exempt information should not be shared with anyone outside the council. Members should have due regard to any restrictions notified to them by officers in relation to information disclosed to them.

15. *Members on Outside Bodies – Reporting Back*

The nominees appointed to the listed outside bodies will report back at least half yearly to the appropriate council body on the key issues for the outside body and any potential impact for the council. The outside bodies are:

- Local Enterprise Partnership
- Eastern Shires Purchasing Organisation Management Committee
- Local Transport Board
- LGA General Assembly
- County Councils Network
- LGA Urban Commission
- Rural Commission
- Fire Commission
- Warwickshire Waste Partnership
- Any others which may be added from time to time

16. *Other Individuals who are Members of Council Bodies*

16.1 Other individuals who are members of council bodies shall follow and shall be treated in accordance with the underlying principles set out at 1 above. Additionally, any duties of confidentiality which they owe to the body they are representing shall be respected.

16.2 Such individuals have the right to advice from officers on council related matters.

16.3 Conflicts of interest between a person's personal, professional or business interests and those of the council may arise from time to time. Such conflicts shall be declared and dealt with in accordance with 18 below.

17. *Press and Media*

Officers dealing with the press and media, and any press/media releases that are issued, should not seek to further the interests of a political party or a particular member other than as a representative of the council.

The council will follow such national codes and guidance on press and publicity as are in force from time to time.

18. *Conflicts*

All members have undertaken to comply with the Members' Code of Conduct. The monitoring officer is there to provide advice on the interpretation of the code and assist members to decide whether or not they may have a conflict of interest. Members are encouraged to seek early advice whenever they feel there is the potential for a conflict of interest to arise.

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Where conflicts arise in member/officer relations these should either be dealt with under the relevant code of conduct under part 4 of this constitution or referred to the chief executive who, in consultation with the leader, and/or other group leaders as necessary, shall decide on the most appropriate course of action.

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Part 4(5)

SECTION 4 – OFFICERS' CODE OF CONDUCT

1.   EMPLOYER AND EMPLOYEE RESPONSIBILITIES

1.1   Introduction

This code is designed to help all employees understand the working relationship between themselves, their managers, colleagues, members of the council and above all members of the public to whom we deliver a service. It is intended to be a short reference guide for staff, but greater detail on many of these issues is included in 'the manager's guide'. The manager's guide is a comprehensive manual of information on all staff related matters and a copy is available for general inspection within each directorate.

The code recognises the unique position of governing bodies in the employment process, and the adoption of this code within the people directorate will be subject to agreement by governing bodies and due consultation with the relevant teacher associations. The council is also mindful of future guidance on these matters from the General Teaching Council.

Warwickshire County Council is committed to the principle of best value and seeks to continually strive for improvement in all that it does. It is publicly accountable and frequently working in partnership with other organisations, both in the public and private sector. It is therefore vital that all staff conduct themselves in an exemplary manner in all aspects of their work and show no bias whatever their personal views may be.

This code sets out some of the areas where issues can arise. The code is designed to protect you, but where you break it, we may take disciplinary action resulting in you losing your job and potentially being prosecuted.

The council is committed to the achievement of the Investors In People award across the whole organisation, and as a part of that recognises the value of the workforce. The organisation values individual and organisational learning and seeks to develop every individual to their full potential.

There are 3 key points to remember in all that you do:

- Ensure your conduct is never influenced by personal gain
- Ensure your conduct could not give anyone reason to question your motives
- Ensure your conduct is in line with our policies

Now read on and if you have any queries, discuss these with your line manager.

2.   What the County Council Expects of its Employees

2.1   Standards of Service

You must provide the highest standards of service at all times. You must treat the public, councillors and colleagues fairly, efficiently, politely and in line with our policies. You must not allow your personal or political opinions to interfere with your work. You must use our equipment and money responsibly, and always give value for money. If you know of someone who is not maintaining these standards or has not followed the code, you must report this to your supervisor or manager.

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All members of the public have the right to be treated equally by you and should not be discriminated against on the grounds of race, gender, disability, age or any other factor. You have a responsibility to ensure that the council's equal opportunities policies are adhered to in all your work activities and that diversity is recognised.

2.2 Personal Interests

You must declare to the manager of your directorate any interest which you have which could conflict with our interests or affect your judgement as our employee. Such interests may be financial, business related, ownership of property, family interests, membership of external bodies or any other factor that could be construed as a personal interest. This register is held centrally within the county human resource service and is subject to rigorous review by audit. Failure to disclose such an interest could result in disciplinary action being taken against you.

2.3 Relationships

Your personal relationships with councillors, colleagues and members of the public and other organisations must not lead to any suspicion that could affect your work. You should not be involved in the recruitment, promotion, pay, benefits, training or discipline of anyone who is a relation or with whom you have a close personal relationship outside of work. If the situation is unavoidable, you should declare such an interest to your manager and ensure that you are seen to be fair.

All officers of the council are required to be politically neutral and more senior posts (scp 44 and above and some other specified posts) are politically restricted in that they may not participate in any formal political activity. Do remember that the controlling political group may change during the course of your employment, and it is important that you show no bias or personal preference, whatever your personal beliefs may be.

2.4 Commitments Outside Work

You must not be involved in any outside activity or work that could cause a conflict of interests with your responsibilities to us, or which makes use of material to which you have access because of your position.

If you are in any doubt at all, you should not engage in other outside work without seeking the express permission of your manager.

You must not do outside work of any sort in our premises or by using our equipment or materials. Any product or material which you design in the course of your employment remains with us as our property and we claim copyright over such material.

Apart from the above, your off-duty hours are not our concern unless by your activities you bring the reputation of the council into disrepute. However, you must not put yourself in a position where your duty and private interests' conflict, or where public confidence would be weakened.

From time to time, you may be asked to take part in voluntary activity or offered a role in a voluntary organisation. It is important that you clarify the role expected of you and whether you are expected to act in your own right or as the voice of the council. Liability can arise from formal membership of external organisations, and you should seek further advice from your line manager if you have reason to believe that any

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liability may arise.

In any event, *y*ou should not accept an*y* appointment, be it on a school governing body or with an*y* other public organisation without the express permission of your strategic director.

2.5 Proper Use of County Council Resources

The council is responsible for the efficient use of the public resources it holds. That includes financial resources, equipment and the staff who work for the council. There are legal requirements in place concerning the use of resources and you should ensure that you comply with all legal requirements and standards set down in the 'cost centre managers guide', 'contract standing orders' and 'financial regulations'. Your line manager can tell you more about these.

2.6 Improper Use of Equipment and Information

You must respect the confidentiality of the information to which you have access at work. This includes respecting the interests of your colleagues and of the general public who you serve. If you do not, you may lose your job.

You must not use any information to which you have access at work for personal gain or pass it on to others who might use it in this way.

You should not tell anyone outside the council what goes on at council meetings held in private or the contents of any confidential council document.

You must not give confidential information about our clients to anyone unless they need it to help the client or prevent serious harm to the client or others. If possible, you should get the client's permission before giving information about them to others.

2.7 Accepting Gifts and Hospitality

Your conduct should never lead anyone to question your interests. So, you must be careful not to show by your behaviour that you may be influenced by any gifts or hospitality. This is important because of our reputation and because you could be prosecuted.

It is a criminal offence to demand or accept a gift or reward in return for allowing yourself to be influenced as a local government employee. If you are accused of this offence, you will have to prove that you did not favour or discriminate against anyone.

You should not accept gifts unless they are small gestures or adverts such as calendars or diaries. It would not be proper for you to do so, even if the gifts are not intended to influence you.

Think carefully before offering or accepting hospitality. Consider how it could affect your relationship with the other person and how it might be viewed by councillors, the public and other employees.

Entertaining clients and customers is now accepted business practice, so it would be unrealistic to forbid employees from accepting offers of hospitality. However, it becomes difficult to tell what a proper and acceptable level is and what is not, and what puts you under some influence and what does not. Equally, it is wise to consider the impact of any gifts or hospitality. An invitation to a cultural event may well be perceived by the general public to be in the interests of the council, however

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attendance at a major sporting event may be perceived to be improper use of council time. It is the perceptions of the general public which are paramount when deciding whether a gift or offer of hospitality is reasonable. Entertainment or hospitality can be a proper way of doing business as long as it is not extravagant. As a general rule, make sure that you justify any hospitality you receive in connection with your work as being in the public interest. Any gift or invitation for hospitality *should* be recorded in your directorate's hospitality record. Any refusal of hospitality should also be recorded.

Other offerings may be more disguised. Avoid any arrangement where goods or services are offered to you free of charge or below the market price and which could be seen as a means of gaining our approval. It is especially important that all offers of gifts and hospitality are courteously refused where they come from a potential supplier who is currently engaged in the tendering/contract process.

You must not take personal advantage of any discount arrangements we have with our suppliers unless we have made special arrangements for all our employees. You should not accept any offers to benefit personally from those arrangements that may have been made as result of your position.

There are also occasions when as an officer of the council you wish to offer hospitality. Such offers should follow the same sensible rules in considering the perceptions of the general public, especially where that hospitality includes other employees of the council, e.g. small celebrations of success for team achievement. Where council hospitality is extended to employees of the council, it should not normally be further extended to the partners of such employees. However, there may be occasions where the inclusion of partners is justified and under such circumstances, the approval of your strategic director should be obtained. Occasions such as long service awards or other appreciations of service, where partners are invited to share the celebrations are a good example of where hospitality can be further extended.

If in doubt, always speak to your strategic director.

2.8 Legacies

Staff involved in personal care are often remembered in the wills of the people they have looked after.

A legacy may be small and may be left to you because the elderly person has no relations or close friends and genuinely wants to say thank you to someone who has looked after them for a number of years. On the other hand, these gestures may be misunderstood, particularly if large sums of money are involved.

If you are offered a legacy as a result of your job you must get your strategic director's approval before accepting it. If you do not, you could lose your job.

2.9 Relations with Contractors or Suppliers

You must award contracts or orders on merit and in line with our procedures.

Tell your manager about any relationship you have with a contractor or supplier with whom you are also involved at work. You must not try to influence the awarding of contracts or orders to any contractor or supplier.

You must not favour current or past employees or their partners, close relatives or

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associates when awarding contracts or orders to businesses for which they work.

If you are employed in a contractor or client unit, you must be fair when dealing with all customers, suppliers, other contractors and sub-contractors.

If you, or you and your colleagues are considering a management buy-out you should tell your strategic director immediately. You must not then take part in any relevant contract awarding process.

2.10 Sponsorship

If an outside organisation wants to sponsor one of our activities, follow the rules about accepting gifts and hospitality set out above. Be particularly careful when dealing with contractors or possible contractors.

If we provide support to the community or an organisation, make sure that there is no conflict of interest involved. You must not try to influence any sponsorship decision in favour of yourself, your partners or any other relative.

2.11 Procurement and Partnership Arrangements

Many of the council's objectives are delivered by developing partnership arrangements with one or more organisations. These organisations may be other public sector organisations, private sector companies, voluntary organisations or community groups. It is important that were you to participate in such a group, you are clear as to the authority invested in you by the council and other partner organisations. Where you are approached by an external source to join such a group, you should always check with your line manager as to the extent of your participation.

You may also be asked to buy in services for the council. In such cases, it is important that you show no bias towards friends, family or previous employees of the council and that all decisions are based on achieving best value for the council. If friends or family are involved as potential suppliers, you should not be involved in the selection process.

2.12 Using Information Technology

We provide computer facilities for our work only. You must not use unapproved software in any circumstances.

Computers are an important part of most employees' duties. You must use the equipment in line with our practice and the law. This includes the Data Protection Act 1984, Data Protection Act 1998, the Computer Misuse Act 1990 and the Copyright, Designs and Patent Act 1988.

2.12.1 Computer Misuse Act 1999

The Computer Misuse Act introduces penalties for using computers without permission. If you have a right to use a computer and the information on it, and you use both only for their intended purposes, you are unlikely to have any problems. However, if you use someone else's security ID and password to gain access to a computer, you will be breaking the law. Switching in a computer when you know you should not be using it could be an offence.

2.12.2 Computer Viruses

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You must follow your directorate's policy and procedures on virus protection. A virus is a set of computer instructions maliciously hidden in a programme which can corrupt and damage computer files and disks. If you knowingly introduce a computer virus you are breaking the law.

2.12.3 Data Protection

Data protection laws cover information which relates to a living person. Basically, the Data Protection Acts give people certain rights and gives us (and you as our employee) responsibilities for personal information. These responsibilities relate to:

- Getting information fairly
- Registering new uses of the information
- Making sure there are enough details but not too many, and that details are accurate, up to date and not kept for longer than necessary
- Allowing people whose details we hold access to their files and the right to correct or delete incorrect information: and
- Security measures to protect personal information

The legislation not only provides for data held on computer systems, but also that which is held on ''relevant filing systems'. Such systems are where systems are structured by reference to individuals or criteria relating to individuals. As such, a manual personnel filing system will be included by the act, but a collection of names for the purposes of identifying who has attended a particular training course will not.

You and we may be prosecuted if we break this law. So, if you suspect there is a problem, or you need advice please consult your manager or your data protection officer.

2.12.4 Copyright

The Copyright, Designs and Patents Act 1988 makes it an offence to copy computer programmes (software) and other literature without proper approval from the owner of the copyright. The penalties for breaching copyright regulations can be severe for you as well as us.

2.12.5 Use of Telephones, Internet and E-mail

Staff may make personal telephone calls whilst at work, but such calls should be limited as much as possible. A computer print-out will be provided to all telephone extension users each month. You should record your personal calls and make the appropriate payment to the finance section on receipt of the print out.

The council does allow for personal use of e-mail and the internet (if you have reasons to be connected for work purposes), providing that it is not excessive, does not interfere with your normal activities and it is made clear that any message sent is not on behalf of the council.

3. What Can You Expect from Warwickshire County Council as Your Employer?

3.1 Valuing Staff

Warwickshire County Council recognises the value that staff add to the organisation and the services that it delivers. Best value can only be achieved by developing staff to their full potential and providing them with the relevant knowledge, equipment and

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authority to carry out their duties. The council values all forms of learning, and as well as providing formal induction and training for staff, will provide for appropriate development opportunities by way of secondment, on the job learning, special projects, acting up arrangements and mentoring.

It is important that the council builds in the capacity to meet training needs and each directorate is responsible for developing an overall training plan. You will agree your own individual training plan with your line manager.

The council is systematically working towards the achievement of the Investors in People award and the development of staff is a key component to this work.

3.2   Business and Service Planning

The council is committed to a systematic approach to performance management and this is expressed by a real commitment to best value and the use of the excellence model to express this. The objectives of the council are set out in a range of documents, particularly 'Our County' and the 'Best Value Performance Plan'. These corporate documents are additionally supported by directorate plans, and your line manager will be able to tell you more about these.

3.3   The Appraisal Process

All staff are entitled to participate in a formal appraisal process, whereby work targets are set at the beginning of the cycle and reviewed mid-way and at the end of the cycle. Training needs are also assessed during the appraisal process to ensure you have the relevant skills to carry out the duties required of you and to identify further areas of learning that will benefit both you and the organisation. The appraisal process may vary according to the demands of the business and in some cases will be a one to one process, whilst other areas of the organisation will be best served by a group exercise. The level of formality will also depend on organisational demands. For more information on this, you should ask your line manager.

3.4   Management and Direction

Managers and supervisors will provide leadership and guidance to staff in order to jointly deliver quality services to the public. This means setting clear work goals that reflect directorate and council objectives, providing regular and timely feedback on performance to ensure staff fully understand what is expected of them.

3.5   Communications

Quality services are dependent on staff understanding their role within the council and effective communication. We must listen to what the public say and to each other to secure appropriate quality services. The council will ensure you are kept fully informed of major issues likely to affect you and your work and will take every opportunity to listen and consider your views.

3.6   Recruitment and Selection

Job vacancies within the council are open to internal and external advertisement, except in specific circumstances such as re-organisation resulting in potential redundancy situations. Interview panels are properly trained and will give full feedback to all candidates. The code of practice relating to recruitment is included in the manager's guide, a copy of which is available in your directorate.

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3.7   Terms and Conditions of Employment

Warwickshire County Council is a single employer and abides by national terms and conditions. Where local practice has been negotiated, details will be made available to you by your line manager.

The main groups of employees are:

- Management, administration and front-line staff under the NJC terms for local government
- Teachers
- Youth Workers
- Soulbury
- Firefighters

Your contract of employment will confirm your terms and conditions.

3.8   Job Descriptions

You will be provided with a job description and person specification which sets out your principal accountabilities and skills needs. This is intended as a guide to your role and is not an exclusive list of tasks. Additionally, you will have work related targets to meet each year. You should do all that you can to meet the expectations of the organisation and in return expect management support in developing your ability to do this.

3.9   Trade Union Membership

The council, as your employer, supports the system of collective bargaining in every way and believes in the principle of solving employee relations problems by discussion and agreement. For practical purposes, this can only be conducted by representatives of the employers and employees. If collective bargaining of this kind is to continue and improve for the benefit of both, it is essential that the employees' organisations should be fully representative. The council is associated with other local authorities represented on the National and Provincial Council dealing with local authorities' services. It is equally sensible for you to join a trade union representing you on the appropriate negotiating body and you are encouraged to do so if you feel it is appropriate.

The council recognises the following trade union(s) and professional associations as representing staff within their field of operation:

- Unison
- GMB
- Transport and General Workers Union (TGWU)
- Community Youth Workers Union (CYWU)
- National Association of Schoolmasters and Women Teachers (NASUWT)
- National Union of Teachers (NUT)
- National Association of Head Teachers (NAHT)
- Association of Teachers and Lecturers (ATL)
- Secondary Heads Association (SHA)
- Professional Association of Teachers (PAT)
- Fire Brigade Union (FBU)
- Retained Firefighters Union (RFU)

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3.10 Health and Safety

The council, as your employer, has a duty under the law to ensure, so far as is reasonably practicable, your health, safety and welfare at work. This responsibility is delegated to strategic directors, who in turn are supported by directorate representatives and central support on standards and expectations from the resource's directorate. As an employee, you have legal duties as well relating to the correct use of work equipment, co-operating with the council on health and safety and taking reasonable care of your own health and safety and others who are affected by what you do. Posters detailing the key points of Health and Safety Law are on staff notice boards within each directorate.

You must report all accidents and dangerous occurrences that occur within your area of responsibility immediately. Failure to do so can result in formal action by the Health and Safety Executive.

3.11 Equality of Opportunity

The council is committed to equality of opportunity for all staff in employment and seeking employment with the council. Consideration for employment and opportunity for promotion will be dependent on ability alone and will take no account of gender, race, disability or age as contributory factors. Indeed, specific attention will be given to positive action to ensure the community we serve is reflected within the workforce.

The council extends that recognition within service delivery and is committed to equal treatment of all its service users.

3.11.1 Gender

The council complies with the Sex Discrimination Act 1975. No account will be taken of gender in relation to employment or promotion. Where a Genuine Occupational Qualification prevails (i.e. a particular gender is essential due to the personal services to be delivered) this will be made clear in the advertisement and supporting documentation.

3.11.2 Race

The council complies with the Race Relations Act 1976. No account will be taken of race in relation to employment or promotion. Where a Genuine Occupational Qualification prevails (i.e. a particular race is essential due to the personal services to be delivered) this will be made clear in the advertisement and supporting documentation.

3.11.3 Disability

The council complies with the Disability Discrimination Act 1995. The council has a positive attitude to the employment of disabled people and in making employment or promotion decisions will make 'reasonable adjustments' to accommodate particular needs. Indeed, the council operates a policy of guaranteed interview to those disabled people who meet the person specification.

3.11.4 Age

The council operates a policy of normal retirement at age 65 which provides an opportunity for employees to pursue their personal interests. However, the council

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recognises the guidance in relation to age discrimination and is committed to equal opportunity to people of all ages within the accepted span of a working life. Subject to the normal retirement age of 65, no account of age will be taken in relation to employment or promotion. We will seek to introduce flexible policies to retain older workers.

The council will not tolerate discrimination or harassment in any form and will take disciplinary action against those employees engaged in any form of discrimination or harassment or bullying. The council has a range of policies and procedures in support of this commitment including:

- Equal Opportunities statement
- Code of Practice – Equal Opportunities
- Harassment Code
- Bullying Code
- Confidential Reporting Code
- Guaranteed Interview Scheme – Disability
- Race Equality Policy

All documents are available from your human resources section.

3.12 Working Time

The council operates in a customer-orientated market and working hours will need adjustment from time to time to meet the needs of those customers. Where this is necessary, full consultation will be undertaken with staff. The council also recognises that flexible working patterns and practices that recognise the work/life balance are essential to those employees with care responsibilities and those people with disabilities. Details of maternity, paternity, special leave, job sharing, and flexible hours are available from your human resources directorate.

3.13 Redeployment

Where organisation changes are proposed, employment issues will be the subject of consultation with individual members of staff and the recognised representing trade unions or professional associations. The council will take all reasonable steps to find alternative employment for anyone who is displaced from their job in the process of such change. Full details of support available are included in the manager's guide and are available from your line manager.

3.14 Differences and Concerns

The council has a range of objective policies, agreed with the trade unions to resolve any differences that may arise between employer and employee or employee and other employees. All such procedures are included in the manager's guide and examples are grievance procedure, disciplinary procedure, confidential reporting code and harassment code.

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PART 5 - MEMBERS' ALLOWANCES SCHEME

Approved by council 20 March 2018, reviewed every four years and updated annually April 2019 in line with the basic annual NJC pay award

Any enquiries about the operation of this scheme or about the duties of councillors should be addressed to The Assistant Director of Governance & Policy, Shire Hall, Warwick CV34 4RL

- *Any enquiries about the duties of councillors should be addressed to the Strategic Director (Resources), Shire Hall, Warwick CV34 4RL*

1. This scheme is made under the Local Authorities (Members' Allowances) (England) Regulations 2003 as amended.

2. **Basic Allowance**

   Each elected member of the county council is entitled to receive a basic allowance of £9,637.

   As a matter of principle, the basic allowance recognises that there is a voluntary element to the work undertaken by elected members and therefore does not set out to fully recompense all work undertaken.

3. The basic allowance is a contribution to the time spent by elected members in performing their duties and to cover any other incidental costs.

4. Elected members who hold one of the appointments listed in the following table are entitled to receive a **special responsibility allowance** at the rate shown per annum. Members holding more than one post attracting a special responsibility allowance may only claim one special responsibility allowance. (The monitoring officer will apply the higher special responsibility allowance, unless advised otherwise.)

5. On appointment elected members are required to confirm in writing to the Chief Executive (resources) whether they wish to receive the basic allowance and any special responsibility allowance. A member (including a co-opted member) may elect at any time by notice in writing to the Monitoring Officer to forgo any part of their entitlement to an allowance under the scheme**.**

6. Entitlements to basic, special responsibility and co-optees allowances will be calculated pro-rata taking into account the day on which a member takes office and/or is appointed to a post attracting a special responsibility or co-optees allowance and the day such office or appointment ends. Such allowances are normally paid monthly in arrears.

7. The basic, special responsibility and co-optees allowances will be increased in line with the basic annual NJC pay award increase (excluding the National Living Wage).

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8. **Special Responsibility Allowances (SRAs)**

SRAs are payable from the date of appointment to office.

	£
Leader of the Council	24,137
Deputy Leader of the Council	14,482
Cabinet Member	10,763
Chair of the Council	5,783
Vice-Chair of the Council	2,893
Overview and Scrutiny Committee Chair	5,783
Overview and Scrutiny Committee Vice-Chair	2,147
Regulatory Committee Chair	5,783
Regulatory Committee Vice-chair	2,920
Audit and Standards Committee Chair	4,494
Pension Fund Investment Sub-Committee Chair	4,494
Adoption Panel Member (County Councillor)	1,020
Fostering Panel Member (County Councillor)	1,020
Chair of Warwickshire Police and Crime Panel when the Chair is a nominated County Councillor representative on the Panel	3,060
Leader of an Opposition Group* representing at least 10% of the membership of the council	8,376
Deputy Leader of an Opposition Group* representing at least 10% of the membership of the council	5,011
Leader of an Opposition Group* representing less than 10% of the membership of the council	536

Conservative group spokespersons to be determined by the group leader and notified to the council from a total allocation of £14,000.

Liberal Democrat group spokespersons and Labour group spokespersons have an allocation of £1,000 x number in their group to be allocated as determined by the group leader and notified to the council.

An opposition group is defined as a group not represented on the cabinet.

9. **Co-optees Allowance**

A co-optee is a non-elected member of the council who is a member of a committee or sub- committee of the council.

An allowance of £1,238 is payable to any co-optee who is not paid by or in receipt of allowances from their nominating body.

10. **Travelling allowances**

These may be claimed by members for the duties listed in the appendix in accordance with the provisions set out below. Claims must be made within two months from the date of the event for which the allowance is claimed.

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Public Transport

i.   Reimbursement for travel by public transport will not exceed the amount of the standard fare. In the case of rail travel, this will include the cost of a seat reservation.

ii.   Members may also claim for the cost of disability railcards or senior railcards where these are used to the council's advantage to reduce fares incurred on council business.

iii.   For the avoidance of doubt, the cost of first-class rail travel will not be reimbursed.

iv.   Receipts for all travel must be provided.

v.   Members should, wherever feasible, take advantage of the countywide travel pass scheme for residents over 60 which allows free travel on local bus services within the county.

Taxi Cab

Taxi cab fares (including a reasonable gratuity) may be reimbursed in cases of urgency or when no public service is reasonably available. Receipts must be provided.

Air or Sea

Air or sea fare may be reimbursed if the rate compares reasonably with the cost of alternative means of travel and/or having regard to the likely savings in time. In respect of travel by air or sea, this must be agreed in advance with the democratic services manager. Receipts must be provided.

Insurance

It is essential that a member's own motor vehicle insurance policy covers them when using their own vehicle on county council approved duties.

Member's Private Vehicle

The rates for travel by motor vehicle (excluding motorcycle) are 40p per mile. Claims should be based on travel from the member's home address or from the actual starting point, whichever is the shorter. The monitoring officer will agree a standard mileage from the member's home to Shire Hall for each member. If a passenger is carried on any journey, an additional 10p per mile may be paid in respect of each passenger, provided it is economical to so do. The name of any passenger(s) must be entered on the claim form for that journey.

VAT Receipts

Claims for mileage should be accompanied by a VAT receipt issued in the month of the claim.

Motorcycle or Bicycle

The rate for motorcycle or bicycle is 20p per mile.

Hired vehicle

The rate for travel by a hired motor vehicle other than a taxi cab shall not exceed the

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rate which would have been applicable had the vehicle belonged to the member who hired it.

11. **Subsistence allowances**

These may be claimed by members for the duties listed in the appendix subject to the following provisions:

The council will reimburse actual costs up to the maximum subsistence rates agreed for officers. Receipts must be provided with all claims and the claim for subsistence must be made within two months from the date of the event for which the allowance is claimed.

Subsistence will not be paid when lunch or tea is provided – for example on days of full council.

Subsistence will not be paid for alcoholic beverages.

The rate of subsistence shall not exceed figures shown below without the prior agreement of the strategic director for resources.

1. In the case of an absence, not involving an absence overnight, from the usual place of residence:

    a. of more than 4 hours including the period between 12noon and 2pm (lunch allowance), £6.50.

    b. of more than 4 hours ending after 7 pm (evening meal allowance), £8.00.

2. In the case of an absence overnight from the usual place of residence the cost of accommodation (including breakfast) *should not exceed £80 outside of London, or £100 in London.* These rates shall be deemed to cover a continuous period of absence of 24 hours.

3. The rates at (2) can only be exceeded if there are exceptional circumstances and members should consult the democratic services manager for approval or may be required to pay any excess above the rates.

12. **Dependant carer's allowance**

may be claimed by members who incur expenditure on the care of children or other dependants for the duties listed in the Appendix in accordance with the following provisions.

The event requires the member to provide care for a person who normally lives with the member as part of the member's family

A carer is any responsible mature person who does not normally live with the member as part of the member's household.

Receipts must be provided with all claims for the allowance and the claim must be made within 2 months from the date of the event for which the allowance is claimed.

The sum claimed is the lower of the actual paid or the applicable maximum hourly rate below, updated as appropriate following the annual review of rates undertaken by the Strategic Director for People.

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Dependant	R Rate per hour
A child below school age or a child under 14 years of age outside school hours	£5.50 *
An elderly, sick or disabled dependant requiring constant care	£18*

*This rate can only be exceeded if there are exceptional circumstances and members have prior approval of the Democratic Services Manager.

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Members' Allowances Scheme

Appendix: Duties of councillors for which travel expenses may be claimed

1.   All formal meetings arranged by the county council for the conduct of county council   business.

2.   All consultation meetings arranged by the county council for which the member's attendance is required or where the business directly affects the member's electoral division.

3.   All meetings of bodies to which the member has been appointed as the county council's   representative by the council, cabinet, Regulatory Committee or area committee,   including meetings of companies in which the county council has an interest as the nominated director. (Note: this does not include acting as a representative of the council on a school governing body.)

4.   Participation in delegations or attendance at conferences approved by committees.

5.   Seminars and training sessions arranged by the county council which are open to all members or open to all members of a particular committee and any individual training or development sessions approved by the democratic services manager.

6.   Pre-agenda briefing meetings with officers, taking place before committees, etc. and to which all parties are invited.

7.   Consultation and briefing meetings with officers by members of the cabinet or others with special responsibility holding appointed or elected positions.

8.   Group meetings.

9.   Surgeries.

10.   Meetings of a parish or town council in the member's own division.

11.   The carrying out of any other duty approved by the authority or any duty of a class so approved, for the purpose of, or in connection with the discharge of the functions of the authority, its committees or sub-committees.

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PART 6 - MANAGEMENT STRUCTURE

1.   The Council's Staff

The council has people working for it (called officers) to give advice, implement decisions and manage the day-to-day delivery of its services. A code of practice governs the relationships between officers and councillors. Some officers have specific roles to help the council act within the law and use it resources wisely.

- The chief executive is **the head of paid service**, who leads the council's staff and advises on policies, staffing, service delivery and the effective use of resources.

- The strategic director for resources is **the chief finance officer**, who advises on the effective management of the council's finances in accordance with appropriate standards and conduct.

- The assistant director for governance & policy is **the monitoring officer**, who advises on issues relating to the law, the constitution and conduct.

2.   Departmental Management

The council staff are organised into three directorates: -

Communities Directorate
People Directorate
Resources Directorate

Each directorate is headed by a strategic director. They are each supported by a management team of assistant directors. Each assistant director is responsible for particular areas of work carried out by their directorate or service.

3.   Corporate Management

The chief executive is responsible for the overall management of the council and is supported by the corporate board consisting of the three strategic directors.

A chart showing the overall management structure can be found via this link:

Organisational Chart

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Part Part 3(3)

SECTION 3 – CONTRACT STANDING ORDERS

Council rules for buying and supplying goods, works, or services and for disposing of assets other than property.

Effective from 1 April 2019January 2022

For clarity, and pursuant to the Constitution of the County Council, the role of Chief Finance OfficerS.151 officer is exercised by the Strategic Director for Resources and the role of Monitoring Officer is exercised by the Assistant Director for Governance & Policy.

SECTION A

1. **SCOPE AND PURPOSE**

   1.1. As a body using public resources, the Council must set and follow the highest standards of financial control and stewardship. Contract Standing Orders (CSOs) provide Officers and Members with procedures to follow to ensure that the required standards are met.

   1.2. CSO's are consistent with procurement legislation and the Council's Code of Corporate Governance and are considered by Audit & Standards Committee annually as part of the approval of the Annual Governance Statement.

   1.3. CSOs set out procedures designed to ensure that the Council achieves value for money and social value, that it complies with statutory requirements, that its affairs are prudently managed and properly controlled.

   1.4. NonContract standing orders (CSOs) aim compliance with these rules could result in a legal challenge and may also constitute a disciplinary offence.

   1.5. Prior to commencing a procurement /sale /contracting process on behalf of the Council, Officers should ensure that they have the authority to do so. Failure to do so may result in delay and/or the cancelling of procurement activity. Officers should check with Legal and Democratic Services if they are unsure of their authority.

   1.1.1.6. The purpose of CSOs is to promote good procurement practice, public accountability, deter corruption and provide protection for the Council and its staff against allegations of impropriety. These CSOs set out and explain the Council's minimum requirements when contracting for goods, services and works.

   1.7. AllCSOs must be read in conjunction with the Council's Financial Standing Orders. They apply to **all** spend with external suppliers regardless of type and regardless of the source of funding (e.g. capital, revenue, sponsorship, donations or grants from a third party).They apply to contracts let by the Council on its own behalf and when it is acting

as a purchasing authority on behalf of others. Where the Council is taking part in procurement activity controlled by a partner authority, officers should satisfy themselves that any proposed process meets the Council's legal obligations and should speak to procurement and legal colleagues where they are unsure.

1.2.1.8. CSO's are designed to ensure that all procurement and disposal ~~procedures mustactivity~~:

- ~~Achieve~~Achieves best value for money;
- ~~Be~~Is consistent with the highest standards of integrity;
- ~~Ensure fairness;~~
- ~~Comply~~Generates market competition with a transparent, fair, and consistent approach;
- Complies with all legal requirements;
- ~~Support~~Supports and complies with the council's corporate aims and policies; and
- ~~Comply with corporate policies and strategies and with the decisions of corporate board (or other officer boards authorised by corporate board), and with any other of the council's properly constituted boards and committees acting within their jurisdiction; and~~
- ~~In relation to procurement of IT equipment, hardware and software~~Meets our diversity and sustainability objectives and ensures equality of treatment

2. WHEN DO CSO'S APPLY?

- CSO's apply to all contractual arrangements entered into by the Council except for those specifically ~~must comply with the digital and ICT strategy and decisions taken by the digital by design board.~~

1.3. ~~A relevant contract for the purposes of CSOs is any arrangement made by, or on behalf of,~~excluded at paragraphs 2.2 and 2.3 below. They apply to contracts where the council ~~for the carrying out of works or for the supply of~~ is receiving goods~~, materials~~ or services~~, for example:~~

- ~~the supply or disposal of goods;~~
- ~~hire, rental or lease of goods or equipment; and~~
- ~~the delivery of services.~~

1.4. ~~"Contract" also includes arrangements~~ and to contracts where the council is supplying goods~~, works~~ or services.

1.5.2.1. Contracts must comply with ~~these CSOs,~~CSO's irrespective of ~~the method of funding (e.g. capital, revenue, sponsorship, donations or grants from a third party).~~how they are funded. Procurement legislation covers contracts for services, works and supplies. This includes contracts for the provision of works (including design and execution of works), for the purchase, lease rental or hire of products (including installation) and for the provision of services generally, (subject to exemptions and relaxations for specific types of service activity that procurement can advise upon.

1.6.2.2. ~~The~~ CSO's do not apply to the following activities or contracts which are ~~excluded from CSOs:~~covered by separate policies and procedures

a. Contracts of employment which make an individual a direct employee of the council;

a. Contracts for fixed term or permanent appointments where individuals become employees of the Council (NB they will apply to contracts for services even if those services are supplied by a named individual and to contracts with employment agencies for the provision of staff) **see HR Policies at [   ]**;

b. Agreements for the acquisition, disposal, or transfer of land; **see Property Policies at [   ]**;

c. Works placed with utility companies where there is no competition required or achievable

d. Services to be delivered to the Council by the Council's in-house services (i.e. legal/payroll etc)

e. Direct payments to customers **see Social Care policies at [   ]**

f. Non trade payments to third parties – i.e. insurance claims payments, pension payment, statutory payments to public bodies, compensation payments ordered by a court or tribunal **speak to Legal at [   ]**

g. Contracts entered into by or on behalf of the ~~monitoring officer~~Monitoring Officer for the appointment of counsel, solicitors and/or experts; in relation to or in contemplation of proceedings, or where procurement thresholds are not met; or

~~c.~~h. Loans to banks or other financial institutions and investments made in accordance with the treasury management strategy. **speak to Finance at [   ]**.

1.7.

1.8.

2. **GENERAL REQUIREMENTS**

2.1. **Classification and Valuation of Contracts**

The following classifications apply for the purposes of CSOs:

o Minor contract – total value less than £100,000
o Ordinary contract – total value of £100,000 or more but below £1,000,000
o Major contract – total value of £1,000,000 or more

The total value of the contract should be calculated in accordance with the most appropriate of the following:

a. fixed term contracts – the total price expected to be paid during the whole of the contract period, including possible extensions; or

b. where the contract period is uncertain, multiply the price expected to be paid each month by 48.

c. if the purchase involves a series of separate transactions for the same type of item,

the 'total value' is the expected aggregate value of all of those transactions in the coming 12 months.

The following activities

d. for feasibility studies, it is the value of the scheme or contracts which may be awarded as a result.

An *officer* **must not** select a method of calculating the total value in order to void the requirements of these CSOs.

2.2. **Guiding Principles**

All contracts must be let through a competitive process which meets the requirements of **Section C** unless an exemption has been granted or the arrangement is permitted by these CSOs.

Adequate resources should be identified to manage the procurement and any contracts awarded.

Any contract which exceeds the relevant EU threshold (or replacement threshold set by the UK government) must comply with any legal requirements in the Public Contract Regulations or any replacement regulations approved by the UK government.

There must be a procurement plan for all major contracts and any contract which exceeds the relevant EU threshold or UK equivalent. The procurement plan must be submitted to the chief finance officer and approved before the procurement process commences.

Only approved E-systems should be used, and advice should be sought from the head of procurement on their use. The use of e-procurement technology does not negate the requirement to comply with all elements of these CSOs.

2.3. The following are also excluded from the requirement for competition:

a. Purchases made via a purchasing consortium (e.g. ESPO) accessible to local authorities, however. However, purchases above the *EU Threshold*thresholds set in Procurement Legislation will only be excluded if the consortium has let their contract lawfully and in accordance with *EU Procedures*requirements in force at the time.

b. Contracts entered into through sub-regional working or collaboration with other local authorities or public bodies, where a competitive process has been followed that complies with the CSOs of the lead organisation, provided always that the collaboration has let their contract lawfully and in accordance with *EU Procedures (where applicable).*procurement procedures in force at the time.

c. Collaborative proposals for joint working or shared services with other public bodies which the monitoring officerMonitoring Officer has approved as meeting the following conditions i.e.::

- The principal activity of the collaborative arrangement is the provision of services back to the participating bodies;
- The collaborating public bodies when acting together exercise the same kind of control over the service as they would over an in-house service; and
- There is no independent or private sector partner involved in the collaborative arrangement.

d. residential placements for an individual with a registered care provider of their choice under the Care Act 2014, or

e. personal care services where, in the opinion of the appropriate assistant director, the particular needs of an individual require a specific social care package which is only available from one provider.

f. In relation to (iv) and (v) above the assistant director responsible for the delivery of the services must ensure that adequate records are maintained to demonstrate:

- The contractor meets the relevant national minimum standards;
- The contract is effectively managed in accordance with the council's contract management framework;
- The reasons for the choice of contractor; and
- Why these were best possible terms for the council in the circumstances.

2.4. **Approvals**

2.4. If the contract is subject to the Public Contracts Regulations 2015 (PCR2015), or the Utilities Contracts Regulations 2015 (UCR2015), or the Concession Contracts Regulations 2016 (CCR2016) those regulations will apply in addition to CSO's. In the event of a conflict, the regulations will take precedence. Advice should be taken from Procurement and Legal as to whether the regulations apply before any procurement activity is commenced or contract awards are made.

3. OFFICER RESPONSIBILITIES

3.1. Officers in Procurement and Legal are available to advise and assist officers with compliance with these CSO's.

3.2. All Officers and any agents, consultants or partners acting on their behalf MUST:
- Comply with these CSOs
- Comply with Financial Standing Orders
- Obtain necessary internal approvals in line with the Councils policies and procedures as published from time to time to ensure delegated authority is in place **before** commencing activity and ensure that there is budgetary provision before awarding any contract
- Take all necessary legal, financial, procurement or other professional advice **before** commencing activity and as required throughout the process

- Comply with the Code of Conduct for Officers
- Comply with all procurement legislation and any other legally binding requirements specific to their activity
- Comply with all codes of practice, guidance and instructions regarding contractual arrangements issued by the *s.151 officer and the Monitoring Officer*
- Ensure that any agents, consultants, or partners acting with or on behalf of the Council as also compliant
- Check with procurement whether a suitable Council contract or Framework Agreement already exists before seeking to let another contract
- Ensure council suppliers have sufficient insurance cover appropriate to the contract in accordance with the council's insurance guidance
- Ensure that where an employee of the council or its contractor may be affected by any transfer arrangement TUPE and related issues are considered before proceeding with inviting tenders or quotations
- Keep all required records in accordance with CSO's and Contract Management Framework
- Ensure there is a procurement plan approved by the s.151 officer for major contracts and contracts above the applicable legislative threshold

3.3. Assistant Directors must:
- Ensure their staff comply with CSOs
- Ensure their staff are sufficiently skilled in procurement matters to fulfil the duties of their post and complete any required learning and development
- Ensure all records are kept as required by these CSOs
- Ensure contracts are executed in accordance with CSOs and constitutional delegations and that a copy is retained for safekeeping on the approved Council systems
- Ensure all exemptions requested and approved are recorded in accordance with CSO's

3.4. Strategic Directors must:
- Ensure that any scheme of delegation within their directorate is clear about responsibilities in respect of CSOs and is lodged with the Monitoring Officer
- Approve any proposals by their directorate to provide services to external organisations
- Ensure all Assistant Directors within their directorate are sufficiently skilled in procurement matters to fulfil the duties of their post

3.5. The S.151 officer shall
- approve procurement plans for major contracts and contracts above procurement thresholds

3.6. The S.151 officer and Monitoring Officer may
- With the consent of each other (and only as permitted by these CSOs) waive any provision of CSOs provided the same does not contravene any legal, financial, or regulatory rules
- Delegate their powers under CSOs to another suitably qualified officer
- Issue codes of practice, guidance, and instructions on any matters relevant to these CSOs
- Specify the approved learning and development requirements in procurement matters that officers must complete to meet the minimum competency standards to fulfil their duties under CSOs

3.7. The Monitoring Officer shall
- Approve contract terms and the form of contract to be used
- Ensure that a central register of all major contracts and contracts under seal is maintained
- Arrange for the safekeeping of original copies of contracts on council premises
- Ensure that a central register is maintained of all exemption applications relating to contracts of £100,000 or more

3.8. All officers must comply with the Code of Conduct and must not invite or accept any gift or reward in respect of the award or performance of any contract. It will be for the officer to prove that any gift or benefit received was received or approved in line with the Council's policy on gifts and hospitality which can be found at [LINK}. Corrupt behaviour is a crime and will lead to disciplinary proceedings and possible dismissal.

3.9. Officers must comply with s117 of the Local Government Act 1972 in relation to the declaration of any interest in any contracts and with the provisions of the Bribery Act.

4. GENERAL REQUIREMENTS

4.1. **Classification of Contracts**

The following classifications apply for the purposes of CSOs:

o Minor contract – total value less than £100,000
o Ordinary contract – total value of £100,000 or more but below £1,000,000
o Major contract – total value of £1,000,000 or more

4.2. **Valuation of Contracts**

The estimated value of a procurement is the total amount payable, net of VAT, including any form of option and any renewals of the contracts as explicitly set out in the procurement documents.

The estimated value of the contract should be calculated in accordance with the most appropriate of the following:

a. fixed term contracts - the total price expected to be paid during the whole of the contract period, including possible extensions; or

b. where the contract period is uncertain, multiply the price expected to be paid each month by 48; or

c. if the purchase involves a series of separate transactions for the same type of item, the 'total value' is the expected aggregate value of all of those transactions

d. for feasibility studies, it is the value of the scheme or contracts which may ultimately be awarded as a result

An *officer* **must not** select a method of calculating the value in order to avoid the

requirements of these CSOs or procurement legislation.

A procurement **must not** be subdivided with the intention of preventing it from falling within CSO's or procurement legislation. The subdivision of contracts into smaller contracts or lots is only permitted where justified by objective reasons.

Where a procurement will result in contracts being let in "lots" or as a series of separate contracts that are similar or connected, advice **must be** taken from procurement and legal. The general rule is that the value in such cases is the total estimated value of all the related lots or contracts.

4.3. **What must I do?**

All contracts must be let through a competitive process that meets the requirements of Section C unless an exemption has been granted or the arrangement is permitted by these CSOs. The level of competition and the process required is determined by Procurement Legislation and the Council's Code of Corporate Governance.

Adequate resources must be identified to manage the procurement and any contracts awarded.

There must be a procurement plan for all major contracts and any contract that exceeds the thresholds set by Procurement Legislation
. s.151 officer No procurement may commence until the procurement plan has been submitted to and approved by the S.151 Officer or their nominated representative.

All references to value within CSOs are to value excluding any Value Added Tax applicable to the contract levied by government.

4.4. **How do I start a procurement?**

As the Authorised Officer you should familiarise yourself with the requirements of CSO's and ensure you have the approvals required by paragraph 3.5 below. The Council must advertise, procure, and award contracts in accordance with all procurement legislation and statutory guidance in force from time to time.

Additional rules will apply to any procurement subject to funding by EU or central government bodies. Where grant funding of any kind is used to fund a procurement advice must be taken from Legal Services to ensure compliance of proposed activity.

If during the course of a procurement an issue arises upon which these CSO's are silent the matter shall be reported to the Monitoring Officer or their nominated representative for determination.

Procurements above the Procurement Threshold will always be conducted

electronically using the Council's approved e-tendering portal by the Procurement Team unless the Service Manager – Contract Management and Quality Assurance or their nominated representative(s) give(s) prior consent in writing. Procurements below the Procurement Threshold will be conducted using an appropriately robust process in line with the provisions of CSO's and confirmed as acceptable by the Procurement Team.

In order to commence the process, you must be the Authorised Officer and you must take advice from Procurement on the following:
- Pre-procurement;
  - o Options appraisal
  - o Market engagement and
  - o Procurement strategy
- Strategic sourcing
- Spend and supplier intelligence and development and management of opportunities for innovation in supply chain
- Transactional, operational, and administrative procurement activity and the use of the electronic tendering system

The Authorised Officer must also take advice from Legal Services on
- All legal, regulatory, and constitutional aspects of the procurement process; and
- The content and form of any contract before it is made available to bidders (whether or not a formal tender is being carried out) and/or to be entered into on behalf of the Council

4.5. **Necessary Approvals**

a. **Before a procurement is commenced and/or a contract is awarded**, all contracts and activity **must** be appropriately authorised in accordance with the council's scheme of delegation ~~before a procurement process (whether to be undertaken by negotiation or competition) is begun or a contract awarded~~and project governance framework (where applicable) and in line with the table below.

b. Any proposal to let a contract with an estimated total value of between £1,000,000 ~~or more up to~~and £3,000,000 can **only** be approved by the deputy leader ~~(finance & property)~~, the leader or cabinet (see table below). Authority must be obtained before a procurement commences.

c. Any proposal to let a contract with an estimated total value of more than £3,000,000 can **only** be approved by ~~either~~ the cabinet or the leader (see table below).

~~All contracts should~~ Authority must be ~~in written form and once the terms and conditions are agreed should be submitted to the appropriate person for signature. The written formalities should be completed~~obtained before ~~the contract is due to start~~a procurement commences.

d. ~~The table below sets out in more detail the~~ The approvals required~~.~~ are set out in the table below. They apply ~~equally to contracts that may be awarded through negotiation as they do to those awarded through competition~~to all contracts regardless of the procurement process followed. They also apply to contracts awarded from framework arrangements including those let using an ESPO framework or an internal council procured framework. Where proposing to use a framework arrangement you **must** check with Legal Services and/or Procurement whether (a) the framework is valid and properly procured, (b) able to be utilised for the purpose proposed and (c) that your proposed process meets the requirements of the framework in question. Failure to do so may leave the Council at risk of a challenge and lead to delays and failures in service provision.

e. Any *major contract* **must** comply with the key decision regime. When commissioning *major contracts*, the key decision is the proposal to begin a procurement process for a particular contract. Appropriate approvals **must** be obtained at that stage and not wait until award.

f. The subsequent decision to award the *major contract* to a specific contractor will not be a key decision provided the value of the contract does not vary above the original estimated value by 10% or more.

g. All contracts should be in writing.

h. The terms and conditions of any contract must be approved in accordance with the table below.

i. All contracts must be submitted to the appropriate person for signature in accordance with the table below.

j. The written formalities should be completed **before** the contract is due to start.

k. Letters of intent will only be used in exceptional circumstances and where approved by the s151 Officer in consultation with the Monitoring Officer

Total Contract Value	Column 1: **Authority to start process**	Column 2: **Approval of Contract Terms**	Column 3: **Authority to award contract**	Column 4: **Contract Signing**
Major Contracts **More than £3,000,000**	Cabinet or leader. **This will be a key decision.** This authority will also generally give the strategic director delegated authority to award	Monitoring ~~officer~~Officer unless standard terms and conditions have already been approved as suitable by legal services.	Generally covered by column 1. If bids exceed the original estimates by 10% or more then you must report back to leader or cabinet before award.	Send to ~~monitoring officer~~Monitoring Officer for signing / sealing by designated officers. The relevant authority must be provided at the same time.

	the contract.			
Major Contracts **£1,000,000 or more up to £3,000,000**	Leader, deputy leader or cabinet. **This will be a key decision.** This authority will also generally give the strategic director delegated authority to award the contract.	Monitoring ~~officer~~Officer unless standard terms and conditions have already been approved as suitable by legal services.	Generally covered by column 1. If bids exceed original estimates by 10% or more then report back to leader, deputy leader or cabinet before award.	Send to ~~monitoring officer~~Monitoring Officer for signing /sealing by designated officers. The relevant authority must be provided at the same time.
Ordinary Contracts **£500,000 or more but below £1,000,000**	Strategic director or person authorised in writing by him/her.	Monitoring ~~officer~~Officer unless standard terms and conditions have already been approved as suitable by legal services.	Same as column 1.	Strategic director or above.
Ordinary Contracts **£100,000 or more but below £500,000**	Assistant director or third tier manager or person authorised in writing by him/her.	Monitoring ~~officer~~Officer unless standard terms and conditions have already been approved as suitable by legal services.	Line manager or above of person who gave authority to start the process (column 1).	Assistant director or above.
Minor Contracts **Below £100,000**	Cost centre manager or above.	Purchase order terms can be used unless the contract is for works, software, or the services of a consultant, in which case legal or procurement advice must be taken.	Line manager or above of person who gave authority to start the process (column 1).	Third tier manager or cost centre manager or above.

4.6. **What if I want to change my contract?**

- You must take advice from Legal Services if:

  - You wish to amend a contract;

  - you wish to assign or novate a contract; or

  - you wish to terminate a contract before the expiry of the contractual term

- Where a variation means that the value of a contract would exceed the threshold set in Procurement Legislation, or where there is any material change to the contract, the contract must be treated as a new procurement under CSO's
- A change will not be deemed material if the value of the modification is both below the threshold set by procurement legislation and below 10% of the original contract value after indexation, or if permitted by the terms of the contract originally procured
- The authorisation needed for any change will be dependent upon the value of that change in line with financial delegations
- Officers must be satisfied that they have sufficient budget to cover any variation and that the variation is lawful, reasonable in all the circumstances and will achieve value for money
- A copy of all variations must be kept with the original contract and provided to procurement for inclusion on CSW-jets.

2.5.4.7.   **Exemptions from CSOs**

a. Any requirement of CSOs may be waived with the consent of both the ~~chief finance~~s.151 officer and the ~~monitoring officer~~Monitoring Officer subject to any legal restraints.

b. Where a proposed contract is likely to exceed any legislatively binding procurement threshold in force at that time, no exemption can be authorised if such an exemption would result in a breach of procurement legislation.

~~b.~~c. An application for a waiver (exemption) shall be:
   - submitted on the approved 'exemption form'~~;~~ [INSERT LINK];
   - set out the reason for requiring the waiver; and
   - show how the proposal complies with any applicable law, demonstrates propriety, value for money and supports the council's objectives.

~~c.~~d. Where an exemption from competition is necessary because of an unforeseeable emergency involving immediate risk to persons, property or serious disruption to council services the relevant strategic director and assistant director must submit a report to the ~~chief finance~~s.151 officer and the ~~monitoring officer~~Monitoring Officer as soon as practicable following the event. Any contract entered into for these purposes should be the minimum required to remove the immediate risk to persons or property or to reduce the disruption to council services to a

manageable level.

d.e. In cases of urgency if the contract is likely to exceed £1,000,000 then the urgent key decision regime **must** be complied with before any contract is entered into.

2.6.4.8.   **Contract Formalities, Signing and Sealing —Minimum Requirements**

a.   Contracts shall be signed by the council as follows:

Major Contracts:	By affixing the common seal of the council and witnessed (signed) by one designated officer OR where there is no seal affixed, signed by at least two designated officers.
Ordinary Contracts:	By affixing the common seal of the council and witnessed (signed) by on designated officer OR where the contract value is between £500,000 and £999,999 and there is no seal affixed, signed by a strategic director or above OR where the contract value is between £100,000 and £499,999 and there is no seal affixed, by an assistant director or above.
Minor Contracts:	By affixing the common seal of the council and witnessed (signed) by one designated officer OR Signed by third tier manager, cost centre manager or above.

b.   A contract **must** be sealed where:

*   The council wishes to enforce the contract more than six years after its end; and

Or

- The price paid or received under the contract is nominal and does not reflect the value of the goods or services.

c. All contracts must be concluded formally in writing before the supply, service or construction work begins, except in exceptional circumstances, and then only with the written consent of the ~~monitoring officer~~Monitoring Officer.

d. The *authorised officer* is responsible for securing signature of the contract and must ensure that the person signing for the other contracting party has authority to enter into a legal agreement.

e. The Council will undertake signing of contracts via docusign where practicable. Sealing must be done physically, and seals witnessed by an appropriately authorised officer. Legal Services maintains the record of authorised officers. All documents sealed must be recorded within the register held by Legal Services

~~2.7.~~4.9. Contract Documents

a. All *contracts*, irrespective of value, shall clearly specify:

- What is to be supplied;
- The price to be paid and when;
- Appropriate performance indicators;
- Clear dates and times for performance; ~~and~~
- Liquidated damages (where relevant); ~~and~~
- termination provisions.

b. ~~e Tthe~~ The Monitoring Officer must approve the terms and conditions of all contracts ~~must have been approved by the monitoring officer~~ either as a standard form contract for particular types of matters or through a specific approval. This clause is complied with by taking appropriate advice from Warwickshire Legal Services on the terms that are acceptable.

~~2.8.~~4.10. Record Keeping

a. *The authorised officer* shall ensure that the following records in relation to successful tenders and awarded contracts are kept in the council's contract management system for at least 7 years following the end of the contract if the contract is signed and 15 years if the contract is under seal:
- ~~Successful tenders / quotes~~ ~~The~~ A copy of the executed contract ~~and any~~

Any relevant correspondence ~~and records (e.g. any~~ or documents which ~~might~~may have a bearing on
- ~~the way~~ how the contract is interpreted~~) for at least 6 years after contract comes to an end. If made as a deed / under seal, they must be kept forever.~~

- ~~Un-successful~~A record of any exemptions exercised and the reasons for them
- A copy of the tender documents and responses received (including award criteria and evaluation criteria)
- A copy of the Contract Signature Form
- Confirmation of authority to award
- Procurement documentation confirming tender and award as required to be published in line with any relevant procurement legislation from time to time in force

b.   The authorised officer shall ensure that unsuccessful tenders ~~/~~and quotes ~~– for~~ are kept in the council's contract management system for a period of at least ~~2~~two years from the ~~date~~commencement of the contract ~~starts.~~to which they relate.

c.   _Originals_ of signed contracts or deeds should be returned to Legal for secure storage unless otherwise agreed with the Strategy and Commissioning Manager for Legal and Democratic. Certified copies of contracts or deeds will be provided to the relevant service areas once executed.

~~2.9.~~4.11.   **Contract Management, Evaluation and Review**

a.   All contracts must be managed in accordance with the council's contract management framework~~.~~ which can be found at [LINK]

b.   ~~For~~As a minimum and subject any additional requirements within the contract management framework for all _ordinary_ and _major contracts_:

- An up to date risk register should be maintained throughout the procurement process and during the life of the contract;

- For identified risks, appropriate actions should be put in place to manage them.

- There should be regular monitoring and reports during the contract period on:

    - performance;
    - compliance with programme, specification terms and conditions;
    - estimated final cost compared to budgets;
    - any value for money requirements; and
    - user satisfaction and risk management.

    c.   Before commencing any procurement for a *major* contract or a contract above EU thresholds, the following steps must be completed:

- A 'lessons learnt' report should be considered to inform the tendering process;
- A business case must be approved; and

~~d.~~   A procurement plan must be approved by the ~~chief finance officer.~~

~~SECTION B~~

~~3. OFFICERS' RESPONSIBILITIES~~

~~3.1. General~~

- ~~**All**~~s.151 officers ~~*and any agents or consultants acting on their behalf* must comply with these CSOs, financial regulations, the *Code of Conduct* and with all legal requirements. They must also comply with codes of practice, guidance and instructions regarding contractual arrangements issued by the *chief finance officer and the monitoring officer*.~~

~~3.1.1 All officers must comply with the Code of Conduct and must not invite or accept any gift or reward in respect of the award or performance of any contract. It will be for the officer to show that anything received was not received corruptly. High standards of conduct are obligatory. Corrupt behaviour is a crime and will lead to disciplinary proceedings and possible dismissal. Gifts and hospitality should only be accepted in accordance with the gifts and hospitality policy.~~

~~3.1.3. Authorised officers (those responsible for conducting a procurement process) must:~~

~~a. ensure they have all appropriate approvals before seeking any quotes, commencing any procurement process or awarding a contract;~~

~~b. seek all necessary legal, procurement, financial, risk management and technical advice in good time;~~

~~c. ensure there is sufficient budgetary provision before awarding any contract;~~

~~d. comply with the requirements of these CSOs and observe any codes of practice guidance or instructions relating to contracting matters issued by the *chief finance officer and the monitoring officer*;~~

~~e. ensure there is a procurement plan approved by the *chief finance officer* for major contracts and contracts above the applicable EU threshold;~~

~~f. check whether a suitable *corporate contract* exists before seeking to let a new~~

contract. Where a suitable *corporate contract* exists, that contract must be used;

g. ensure council suppliers have sufficient insurance cover appropriate to the contract in accordance with the council's insurance guidance;

h. maintain details of all contracts they are responsible for in the contracts management system;

i. ensure a record is kept for every contract; any *contracting decision* and the reasons for it; any exemption from CSOs together with the reasons for it; and the *award criteria*;

j. ensure that where an employee of the council or its contractor may be affected by any transfer arrangement TUPE and related issues are considered before proceeding with inviting *tenders* or quotations.

3.2 Contract managers must, in relation to the contracts responsible for, carry out their responsibilities in accordance with the contract management framework.

3.3 Assistant Directors must **in relation to their service:**

a. Ensure all *officers*:

- Comply with CSOs;
- Are sufficiently skilled in procurement matters to fulfil the duties of their post;
- Complete any required learning and development.

b. Ensure there are effective systems in place to control budgets properly;

c. Ensure there are effective contract management arrangements in place for all contracts; and

d. Provide any information requested by the chief finance officer or the monitoring officer about their contracts.

3.4 Strategic Directors must **in relation to their directorate:**

a. Nominate at least one member of their staff as contracts co-ordinator;
b. Submit the *scheme of delegation* for their respective directorate, including details of contract managers and their contracts co-ordinators, to the chief finance officer and monitoring officer for approval;
c. Any delegation made does not prevent the strategic director from exercising those delegated powers him/herself.

d. Approve any proposals by their directorate to provide services to external organisations; and

e. Ensure all assistant directors and contract co-ordinators within their directorate are sufficiently skilled in procurement matters to fulfil the duties of their post.

3.5 Chief Finance Officer and Monitoring Officer

3.5.1 The chief finance officer and monitoring officer may:

a. with the consent of each other waive any provision of these CSOs subject to any legal constraints and may nominate other officers to exercise all or part of these powers on their behalf.

b. Issue codes of practice, guidance and instructions on any matters which are relevant to contracting arrangements.

c. Specify the approved learning and development requirements in procurement matters that officers must complete to meet the minimum competency standards to fulfil their duties under CSOs.

3.5.2 The *chief finance officer* shall:

Approve procurement plans for major contracts and contracts above the applicable EU threshold.

3.5.3 The *monitoring officer* shall:

a. Approve the form of contract to be used;

b. Maintain central registers of all major contracts and all contracts completed under seal and arrange for the safekeeping of such contracts on council premises; and

c. Maintain a central register of all exemption applications relating to contracts of £100,000 or more.

3.6 Contract co-ordinators shall, on behalf of their directorate:

a. Ensure details of *all contracts* are accurately recorded and maintained in the contracts management system;

b. Be authorised to approve exemptions from undertaking a competitive process for minor contracts;

c. Submit an annual report by 31 March each year to the *monitoring officer* detailing

any exemptions that they have approved.

SECTION C

The Contracting Process

This section sets out in more detail the requirements to be met when dealing with a specific contract.

4.5. STEPS PRIOR TO PURCHASE

The Contracting Process

5.1. This section sets out in more detail the requirements to be met and steps to be followed when dealing with a specific contract.

4.1.5.2. Before beginning a purchase, authorised officer must:

a. Assess the need for the expenditure;
b. Define the objectives of the purchase;
c. Calculate the *total value*;
d. Make sure that the appropriate approval is in place to start the process andincluding adherence to the requirements of the Capital Project framework or Change Programme framework
e. Where necessary make sure that a procurement plan is in place
d.f. Make sure that the budget coversis available and approved to cover the **whole-life financial commitment** being made (including any consultant's or otherinternal and external charges or fees);
e.g. Make sure the *forward plan* requirements have been followed where the purchase is a *key decision;*
f.h. Ensure sufficient legal, procurement, finance, risk management and technical support is available throughout the entire procurement process;
g.i. Ensure sufficient resources will be available (i.e. people with sufficient skills and capacity) to manage the contract once it has been let;
h.j. Ensure the council's requirements for data security and information governance (including but not limited to the General Data Protection RegulationsRegulation) are met;
i.k. Consider, when commissioning services, whether these could improve the economic, social, and environmental wellbeing of the area (social value).

4.2.5.3. For major contracts or contract above the relevant EU thresholdProcurement Threshold :

a. i.Ensure that the matters at 4.1 have been complied with; and
b. Engage with procurement before any activity is undertaken to ensure compliance with procurement legislation
c. Consider a lessonany lessons learnt report from the last previous relevant tender

process; ii.processes;

a.d.   Produce a business case for approval by the appropriate body;

b.e.   Submit a fully completed procurement plan for approval by the chief finances.151 officer;

c.f.   Carry out an options appraisal in conjunction with legal and procurement to decide the best way to achieve the purchasing objectives, including internal or external sourcing, partnering, and collaborative procurement arrangements with another public authority or government department;

d.g.   Consult users where appropriate about the proposed procurement, contract standards, performance, and user satisfaction monitoring;

h.   Consult the market where appropriate and permitted by legislation in accordance with CSO 4.3; vii.these CSOs and the advice of procurement

e.i.   Assess the risks and how to manage them;

f.j.   viii.Agree with the monitoring officerMonitoring Officer, the approved form of contract to be used or if none the terms and conditions that are to apply to the proposed contract.

5.4. The **Public Services (Social Value) Act 2012** requires the Council to consider at the pre-procurement stage:

- How the proposed procurement might improve the economic, social, and environmental well-being of the area;
- How the Council may act with a view to securing that improvement in conducting the process of the procurement; and
- Whether it should undertake any community consultation on the above.

Officers must consult the Procurement Team for advice on specifying requirements under Social Value and how to evaluate this as a part of any bids received.

Pre-Tender Market Research and Consultation

4.3.5.5.   Authorised officersOfficers may consult potential suppliers prior to the issue of an invitation to tender about the nature, level and standard of the supply, contract packaging and other relevant matters. Records must be kept of this consultation.

5.6. Advice should be taken from procurement and/or legal services before any market engagement activity

4.4.5.7.   Authorised officersOfficers must not, once any pre-tender market research or consultation period under 4.3 has ended, seek or accept technical advice on the preparation of the actual invitation to tender or quotation from anyone who may have a commercial interest in bidding for the contract as this may prejudice the equal treatment of all potential tenderers and distort competition.

Prevention of Corruption

4.5.5.8.   The following clause (or suitable equivalent wording approved by Legal Services) must be included in every council contract:

"The Council may terminate this contract and recover all its loss if the Contractor, its employees, or anyone acting on the Contractor's behalf do any of the following things:

a. Offers, gives, or agrees to give to anyone any inducement or reward in respect of this or any other Council contract (even if the Contractor does not know what has been done); or

b. Commits an offence under the Bribery Act 2010 or s117(2) of the Local Government Act 1972; or

c. Commits any fraud in connection with this or any other Council contract whether alone or in conjunction with Council members, Contractors, or employees.

Any clause limiting the Contractor's liability shall not apply to this clause".

5.6. CONDUCTING A PURCHASE OR DISPOSAL

5.1.6.1. Purchasing – Competition Requirements

5.1.1 Where the total value for a purchase is within the values in the first column below, the
6.1.1 award procedure in the second column must be followed as a minimum.

Total Value	Award Procedure
Minor – £0 to below £25,000up to £10,000	One *quotation* confirmed in writing.
Minor - £10,000 25,000 to below £100,000	*Three written quotations of which at least one should be local if appropriate. Local means has a place of business in Warwickshire.*
Ordinary & Major - £100,000 or more	*Invitation to tender to at least three tenderers. If the contract value exceeds the applicable EU threshold the procedure must also be EU compliant*

6.1.2 Where an EU compliant procedure (or UK replacement procedure) is required theThe authorised officer shall consult the head oftake appropriate advice from procurement to determine the method of conducting theany purchase that exceeds threshold set within Procurement Legislation in force from time to time.

5.2.6.2. The Appointment of Consultants to Provide Services

6.1.3 Professional *consultants*A Consultant is someone engaged for a specific length of time to work (or provide a service) to a defined project brief with clear outcomes to be delivered, and who brings specialist skills or knowledge to the role. A consultant is not an employee, a fixed term employee, a locum, an agency, or a temporary worker or someone engaged to provide general day to day activities within a service.

6.1.36.1.4 Contracts for consultancy services are subject to the same competition requirements as any other type of contract and must be ~~selected and commissions awarded~~procured in accordance with these CSOs.

6.1.46.1.5 The engagement of a consultant shall follow the agreement of a brief that adequately describes the scope of the services to be provided, the total cost to be paid and any stage payment arrangements. The engagement shall also be subject to completion of a contract ~~of appointment. Self-employed consultants must not fall within the off- payroll working rules i.e. IR35~~.

6.1.6 Self-employed consultants must not fall within the off- payroll working rules i.e. IR35. It is the responsibility of the authorised officer to ensure that all tax and legal advice regarding the terms of any consultancy appointment is taken in advance of the procurement activity and actioned.

6.1.56.1.7 Records of consultancy appointments shall be maintained in accordance with these CSOs and entered on the contract management system as for any other contract.

6.1.66.1.8 Consultants shall be required to provide evidence of and maintain professional indemnity insurance policies to the satisfaction of the council's insurance ~~manager~~team for the periods specified in the respective agreement.

~~6. Advertising and Framework Agreements~~

~~6.1 Advertising the Opportunity~~

7. Transparency

~~6.1.1~~ The minimum advertising requirements are:

All ~~contracts with an estimated aggregate value above £100,000~~spend in excess of £500 must be published on the council's website and in ~~contracts finder.~~
- ~~In~~ addition ~~to the above all contracts exceeding the applicable EU threshold must be published in the Official Journal of the European Union (OJEU) or meet any replacement UK requirement.~~
~~Advertisements for contracts exceeding the relevant EU threshold should not appear on the council's website or in contracts finder until after they have appeared in the OJEU.~~, contracts over £5000

7.1. ~~If you choose to advertise contracts below £100,000 you~~ must also ~~advertise on contracts finder.~~be published on the council's website.

~~7.~~8. Framework Agreements

~~7.1.~~8.1. The term of a framework agreement must not exceed four years without the written consent of the ~~*monitoring officer*~~Monitoring Officer. Such consent will only be given where there is a legally permissible justification for a framework in excess of four years.

~~7.2.~~8.2. Contracts based on framework agreements may be awarded by either:

- Applying the terms laid down in the framework agreement (where such terms are sufficiently precise to cover the particular call-off) and permit it this may be done without reopening competition;); or
- Where the terms laid down in the framework agreement are not precise enough (or do not permit direct awards) by holding a mini competition in accordance with the terms of the particular framework or in accordance with the following procedure where the framework terms are unclear:

  o Inviting the organisations within the framework agreement who are capable of delivering the contract to submit written tenders;
  o Fixing a time limit which is sufficiently long to allow tenders for each specific contract to be submitted, taking into account factors such as the complexity of the subject of the contract; and
  o Awarding each contract to the tenderer who has submitted the best tender on the basis of the award criteria set out in the framework agreement.
  o Observing a standstill period before finalising the award for contracts above the EU threshold.where applicable

8.9. Collaborative and Partnership Arrangements

8.1.9.1.   In order to secure value for money the council may enter into collaborative procurement arrangements. The authorised officer must consult the ~~monitoring officer~~Monitoring Officer and the ~~head of procurement~~Service Manager, Contract Management and Assurance where the purchase is to be made using collaborative procurement arrangements to ensure that all legal requirements are met and the Council has vires to undertake the arrangement.

8.2.9.2.   Collaborative and partnership arrangements include but are not limited to examples of joint working where one partner takes the lead and awards contracts on behalf of the other partners, long-term collaborative partnerships, pooled budgets, and joint commissioning.

8.3.9.3.   Collaborative arrangements between public bodies for shared services where the aim of the arrangement is for the participating bodies to be provided with services by each other or through a Teckal company rather than by an external provider may fall outside the need for competition if the conditions in CSO 2.2(e)(iii) can be met.

9.10.   Setting Standards and Award Criteria

9.1.   ~~Overview~~

~~The~~

9.2.10.1.   **Before seeking bids or commencing any procurement activity,** the authorised officer must, before seeking bids, define the selection and award criteria that are appropriate to the purchase andensuring that they are designed to secure an outcome giving value for money for the council.

9.3.10.2.   Authorised officers are responsible for ensuring that all tenderers for a contract are suitably assessed. The assessment process shall establish that all potential tenderers

have sound economic and financial standing and sufficient technical ability and capacity to fulfil the requirements of the council.

9.4.10.3.   The criterion for award of a contract shall be the "most economically advantageous". This must be further defined by reference to sub-criteria which may refer only to relevant considerations. These may include price, service, quality of goods, running costs, technical merit, previous experience, delivery date, cost effectiveness, quality, relevant environmental considerations, aesthetic and functional characteristics (including security and control features), safety, after-sales services, technical assistance, social value and any other relevant matters.

6.2

6.3   Selection and award criteria must not include:
 non

- Non-commercial considerations; or
- matters which discriminate against suppliers from and must comply with procurement legislation at the *European Economic Area*

9.5.10.4.   or signatories totime the Government Procurement Agreement.procurement commences

6.4

9.6.10.5.   Any shortlisting exercise must be carried out in accordance with the published terms of tender and have regard to the financial and technical standards relevant to the contract and the published selection and award criteria.

10.11.   Invitations to Tender / Quotations

10.1.11.1.   All invitations to tender or quotation must:

- Specify the goods, service or works that are required, together with the terms and conditions of contract that will apply; and

- State that the council is not bound to accept any quotation or tender.

10.2.11.2.   **All tenderers invited to tender, or quote must be issued with the same information at the same time and subject to the same conditions. Any supplementary information must be given on the same basis.** All invitations to tender shall include:
6.5

6.6   All invitations to tender shall include:

- Clear instructions on how and where tenders are to be submitted, together with the date and time by which they are to be received;

- A specification that describes the council's requirements in sufficient detail to enable the submission of competitive offers;

- A description of the award procedure;

- Full details about how the bids will be assessed, including any weighting and sub-criteria that apply and any "pass mark" for any stage of the procurement;

- Information on the council's policies as appropriate, e.g.:

    i. Equalities;

    ii. Complaints;

    iii. Sustainability

10.3.11.3.   All invitations to tender shall state that any tender received after the date and time stipulated in the invitation to tender ~~might~~may be rejected and not considered.

10.4.11.4.   All invitations to tender shall include requirements for tenderers to:

- Declare that the tender content, price or any other figure or particulars concerning the tender have not been disclosed by the tenderer to any other party (except where such a disclosure is made in confidence for a necessary purpose e.g. legal, financial advice etc); and

- Complete fully and sign a form of tender and certificates relating to canvassing and non-collusion.

- Submit tenders to the council on the basis that they are compiled at the tenderer's expense.

10.5.11.5.   The council's approved E-tendering system must be used for all competitive procurement activity unless agreed otherwise by the ~~head of procurement~~Service Manager, Contract Management and Assurance or otherwise approve by these CSOs.

10.6.11.6.   No tender will be considered unless submitted in accordance with the conditions of participation included within the invitation to tender / quote.

~~11.~~12.   **Submission, Receipt and Opening of Tenders**

~~11.1.~~12.1.   Tenderers must be given an adequate period in which to prepare and submit a tender, consistent with the complexity of the contract. ~~The EU Procedure lays down specific time periods.~~Procurement legislation lays down specific time periods and processes that must be followed for procurements above the published thresholds at the time the procurement commences. Below thresholds contracts must still be treated in accordance with this clause 12.1

11.2.12.2.   All tenders must be returned in accordance with the system requirements of the council's E-tendering system and/or as required in any specific documentation published.
6.7

11.3.12.3.   Tenders received by fax or other electronic means outside of the council's e-tendering system (e.g. email) must be rejected. Quotations, save that quotations for minor contracts under £10,000 may be received by email.
6.8

11.4.12.4.   All tenders are to be opened at the same session after the period for their submission has ended. Tenders must be opened in the presence of at least two officers.

11.5.12.5.   The arithmetic in compliant tenders must be checked. If arithmetical errors are found they should be notified to the tenderer, who should be requested to confirm their tender.

12.13.   Clarification Procedures and Post-Tender Negotiations

12.1.13.1.   Providing clarification of an invitation to tender to potential or actual tenderers or seeking clarification of a tender prior to the closing date whether in writing or by way of a meeting is permitted.

12.2.13.2.   However, discussions with tenderers after submission of a tender and before the award of a contract with a view to obtaining adjustments in price, delivery, or content (i.e. post tender negotiations) must be the exception rather than the rule. In particular, such negotiations must not be conducted during an EU Procedure (other than within the provisions of the EU Competitive with Negotiation (CWN) and Competitive Dialogue (CD) procedures) without the agreement of the monitoring officerMonitoring Officer.

12.3.13.3.   If post tender negotiations appear necessary after a single stage tender or after the second stage of a two-stage tender, then you should take legal advice on whether negotiations are permissible. Normally such negotiations should be undertaken with all those who have met the selection criteria in the original process. During negotiations, the council's requirements set out in the original procedure should not be substantially altered. and no material change should be made to the risk profile of the contract. The prior approval of the monitoring officerMonitoring Officer is required to any proposal to negotiate in other circumstances.

13.14.   Evaluation, Award of Contract and Debriefing Tenderers

13.1.14.1.   Apart from the debriefing required or permitted by these CSOs, the confidentiality

OFFICIAL

of quotations, tenders and the identity of tenderers must be preserved at all times and information about one tenderer's response must not be given to another during the evaluation process.

13.2.14.2.   Quotations and tenders must be evaluated in accordance with the award criteria. During this process, authorised officers shall ensure that submitted tender prices are compared with any pre-tender estimates and that any significant differences are examined and resolved satisfactorily.

13.3.14.3.   For ordinary and major contracts authorised officers must advise all tenderers in writing of their award decisions. For contracts that are subject to the EU ProcedurePublic Contract Regulations or other UK replacement procedure,applicable procurement legislation this must be in the form of intention to award letters (award notification letters) that are issued simultaneously to all tenderers advising them of the intention to award the contract to the successful tenderer and providing them with a 'standstill period' of at least 15 days (10 days if notification letters are sent by the council's approved E-tendering system) in which to challenge the decision before the contract award is confirmed.
6.9

13.4.14.4.   For contracts that are subject to the EU Procedure or UK replacement procedureadvertising and publication requirements within Procurement Legislation, the council's 'intention to award notification letter' standard template must be used, which includes the following debriefing information:

- How the award criteria were applied

- The name of the successful tenderer(s);

- The score of the tenderer, together with the score of the successful tenderer; iv.

    - Details of the reason for the decision, including the characteristics and relative
- advantages of the successful tender; and

- v.Confirmation of the date before which the council will not enter into the contract (i.e. the date after the end of the 'standstill period').

13.5.14.5.   If a decision is challenged by an unsuccessful tenderer, after the issue of an intention to award notification letter, then the authorised officer shall immediately inform the chief finances.151 officer and seek the advice of the monitoring officerMonitoring Officer on next steps. No contract may be awarded until the chief finances.151 officer and the monitoring officerMonitoring Officer are satisfied that the matter has been resolved.

13.6.14.6.   Authorised officers shall ensure that the contract formalities are completed following the award of the contract (see CSO 2.5).

14.15. **Publication of Contract Awards**

14.1.15.1. The award of all contracts over £5,000 must be published via the council's contract management system.

6.10

14.2.15.2. In addition the The award of all contracts over £25,000 must be published on contracts finder. Publication will be undertaken by the Procurement Team.

6.11

14.3.15.3. In addition the The award of contracts above the relevant EUpublished procurement threshold applicable at the time of the commencement of procurement must be published in OJEU.as required by Procurement Legislation.

15.16. **The Council as a Supplier - Providing Works, Goods or Services to External Organisations**

15.1.16.1. The chief finances.151 officer and the monitoring officerMonitoring Officer must be consulted where work for an external organisation is contemplated.

15.2.16.2. Any proposals to work for an external organisation must be approved by the strategic director responsible for the service, wither through a business plan or otherwise. and the approval recorded in writing in accordance with the Councils Standing Orders and Delegations.

6.12 Authorised officers shall produceA robust business cases forcase must be produced and approved by Commercial Delivery Group and Corporate Board before any arrangement is entered into where the council actingacts as a supplier which fully takes. That business case must have input from Finance and take into account the full, whole life costs to the council of delivering the goods, works or services concerned. and that appropriate insurance and contract terms can be agreed. The financial viability of such business cases must be approved by the chief finances.151 officer.

6.13 Authorised officers shall liaise with the council's insurance manager to ensure any potential liabilities are sufficiently covered by the council's insurance policies.

6.14 Where the total value of the proposed contract is likely to be £1,000,000 or more the The key decision regime applies and before tenders are prepared the chief finance officer and the monitoring officer must jointly approve the business case, including:

15.3.16.3. Confirmingto the council can legally enter into the contract;providing services over £1,000,000 as well as to purchasing services over £1,000,000.

• Accepting the legality of the charging arrangements; and

- Approving the terms and conditions of the proposed contract.

16.17.   Disposals

16.1.17.1.   Assets for disposal must be sent to public auction except where:

a. Better value for money is likely to be obtained by inviting quotations or tenders; or

b. The prior approval of the chief finances.151 officer and the monitoring officerMonitoring Officer has been obtained to the selling of specified items on an auction website such as eBay; or

c. Specific disposal procedures have been agreed by the council for certain types of assets.

7   Approved Scheme for Sale of Assets/Goods via Public Auction

16.2.17.2.   Goods or assets may be disposed of via public auction, whether throughincluding electronic auctions such as eBay or otherwise, without further specific consent being sought provided the following conditions are met;

a.   The council owns the item and has the right to sell it;

b.   Appropriate market research has been carried out to establish the estimated value of the item and verified by procurement officers;

c.   The estimated value of the item to be auctioned does not exceed £10,000;

d.   A reasonable reserve price is set for the item based on the estimated value;

e.   The item is withdrawn from sale if it does not reach its reserve price;

f.   The item is in good working condition and fit for purpose, and complies with relevant legislation, in particular:
  - any electrical item bears a valid Electrical Safety Check label, completed by a registered electrician who is registered on the Kite Mark Scheme, the Electrical Safety Register, or the Electric Safe Register. The date of the inspection on the label must not be more than 12 months prior to the date of sale.
  - any item of furniture complies with the Furniture and Furnishings (Fire Safety) Regulations 2010. Any item of furniture, with the exception of mattresses and bed bases, will have a permanent label in compliance with the regulations.

> • any computer or data storage device is adequately wiped of data, to ensure that no information, particularly personal data, remains on the device.

g. When an item is disposed of, any listing or description of it must NOT give any indication that the council provides any guarantee for the product or any promise to make good any defects. All items are to be carefully and truthfully described in detail and any known defects highlighted. The following or similar wording must be prominent within the listing or description

ITEM IS SOLD AS IS: THE SELLER DISCLAIMS ANY WARRANTY AS TO MERCHANTABILITY OR FITNESS FOR ANY PARTICULAR PURPOSE OR DESIGN

h. A record of the steps taken under a) to g) is kept for a period of 2 years.

16.3.17.3.   Applications for approval of the disposal of goods / assets by auction which do not meet the above conditions should be made using the relevant exemption form, i.e.:to the Exemption Panel who will liaise with the Monitoring Officer and s151 Officer as required.

a. an item with an estimated value of up to £100,000 to the directorate contract co-ordinator;
b. an item with an estimated value of £100,000 or more to the chief finance officer and the monitoring officer.

GUIDANCE NOTES

16.4.17.4.   An individual purchasing goods at auction without the opportunity to inspect the goods may still have consumer rights, i.e. that the goods:

- Are of a satisfactory quality
- Do what they are designed to do
- Are as described, matching any pictures or description of them
- Are safe, under the Consumer Protection Act 1987

16.5.17.5.   Other matters to be aware of:

- Misrepresentation of goods - A customer is entitled to a refund on goods that have been misrepresented, for example, goods sold on the basis of features they do not have. Prosecution can also follow, if the misrepresentation is reported to Trading Standards.

- Faulty goods - It is the council's responsibility to arrange for the collection of faulty goods, particularly large items. If a customer returns faulty goods within a reasonable time, the council is obliged to give a refund, and not a credit note. If a repair of a faulty good is unsatisfactory, a customer is still entitled to a refund.

- Time to check goods - on-line auctions - Customers have the right to the time to

check they are satisfied with their goods, though this can be just a week.

Appendix: Definitions

Agent	A person or organisation acting on behalf of the council.
Authorised Officer	An officer responsible for ~~conduction~~conducting a procurement.
Award Criteria	The criteria by which the successful *quotation* or *tender* is to be selected. (see further CSO 12).
Award Procedure	The procedure for awarding a contract as specified in CSO 14.
~~Chief Finance Officer~~S.151 officer	The officer to whom the statutory role is delegated ~~(currently Strategic Director for Resources or nominee specified in writing).~~under the constitution
Code of Conduct	The 'Officers' Code of Conduct' (see part 4 of the council's constitution).
Consultant	Someone engaged for a specific length of time to work to a defined project brief with clear outcomes to be delivered, and who brings specialist skills or knowledge to the role.
~~Contract Managers~~	~~• Those officers carrying out post award management of the contract in accordance with the contract management framework.~~
~~Contracting Decision~~	~~Any of the following decisions:~~ ~~• withdrawal of invitation to tender~~ ~~• whom to invite to submit a quotation or *tender*~~ ~~• shortlisting~~ ~~• award of contract~~ ~~any decision to terminate a contract.~~
~~Contracts Co-ordinator~~	~~*Officers* nominated by the strategic directors in accordance with CSO 3.7 as the point of contact within their directorate for matters relating to procurement and contracting, and who are authorised to grant exemptions from competition for minor contracts.~~
~~Corporate Contract~~	~~A contract entered into directly by the council that can be utilised by all assistant directors for the supply of the goods, works or services specified within its terms. Also, a contract which the *chief finance officer* has confirmed may be legally utilised by the council either through a sub-regional collaborative arrangement, or through purchasing organisations such as the Crown Commercial Services (CSS), ESPO, SCAPE, etc..~~
Designated Officer	The chief executive, the strategic director for resources and any other officer authorised by either of them.
ESPO	The Eastern Shires' Purchasing Organisation.

~~EU Procedure~~	~~The procedure required by the EU or UK replacement where the *total value* exceeds the *EU threshold* or any UK replacement threshold.~~
~~EU Threshold~~	~~The contract value at which the EU public procurement directives or UK replacement procedure must be applied.~~
Forward Plan	The forward plan, which is prepared on a rolling basis and contains matters which the council has reason to believe are likely to be the subject of key decisions during the following four months.
Framework Agreement	An agreement between one or more contracting authorities and one or more economic operators, the purpose of which is to establish the terms governing contracts to be awarded during a given period.
Invitation to Tender	An invitation to tender sent to tenderers inviting bids for works goods or services.
Key Decision	Decisions that are defined as key decisions in the constitution. In relation to letting contracts, the key decision is the proposal to let a contract for a particular type of work. The subsequent decision to award the contract to a specific contractor will not be a key decision provided the value of the contract does not vary above the estimated amount by more than 10% for contracts with a value of £1,000,000 or more.
Major Contract	A contract that has a total value of £1,000,000 or more.
Minor Contract	A contract where the total value is less than £100,000.
Monitoring Officer	The officer to whom the statutory role is delegated ~~(currently Assistant Director for Governance & Policy or nominee specified in writing).~~ under the council's constitution

Non-Commercial Considerations	the terms and conditions of employment by contractors of their workers or the composition of, the arrangements for the promotion, transfer, or training of or the other opportunities afforded to, their workforces ("workforce matters");
	whether the terms on which contractors' contract with their sub- contractors constitute, in the case of contracts with individuals, contracts for the provision by them as self-employed persons of their services only;
	any involvement of the business activities or interests of contractors with irrelevant fields of government policy;
	the conduct of contractors or workers in industrial disputes between them or any involvement of the business activities of contractors in industrial disputes between other persons ("industrial disputes");
	the country or territory of origin of supplies to, or the location in any country or territory of the business activities or interests of, contractors; any political, industrial, or sectarian affiliations or interests of contractors or their directors, partners, or employees;
	financial support or lack of financial support by contractors for any institution to or from which the authority gives or withholds support;
	use or non-use by contractors of technical or professional services provided by the authority under the Building Act 1984 or the Building (Scotland) Act 1959.
	Workforce matters and industrial disputes, as defined in paragraphs (a) and (d), cease to be non-commercial considerations for the purposes of s17(5) Local Government Act (LGA) 1988 and part 1 of the LGA 1999 (Best Value); or where there is a transfer of staff to which the Transfer of Undertakings (Protection of Employment) Regulations 2006 ("TUPE") may apply.
Officer	A person employed by the council.
OJEU	The Official Journal of the European Union, or any alternative location for advertisement of tender opportunities specified by government for use after 29 March 2019.
Ordinary Contract	A contract where the total value is £100,000 or more but is less than £1,000,000.
Pecuniary Interest	Any direct or indirect financial interest. An indirect interest is distinct from a direct interest in as much as it is not a contract to which the member or employee is directly a party. A shareholding in a body not exceeding a total nominal value of £1,000 or 1% of the nominal value of the issued share capital (whichever is the greater) is not a pecuniary interest for the purposes of these CSOs.
Personal Care Services	Services provided to people who have personal care needs as assessed by the strategic director for people. As such these services can be provided to people of all ages whose needs may result from old age, physical disability, sensory loss, mental illness or learning disability.
Procurement Legislation	The requirements of any and all relevant public procurement legislation in force within England from time to time including but not limited to the Public Contracts Regulations, the Concession Contracts Regulations, the Utilities Contracts Regulations (all as amended or replaced from time to time) together

	with any relevant codes of practice and/or statutory guidance
Procurement Threshold	The contract value at which the Procurement Legislation must be applied
Quotation	A quotation of price and any other relevant matter (without the formal issue of an invitation to tender).
Relevant Contract"	A contract to which these contract standing orders apply (see CSO 1).
Selection Criteria	The criteria by which tenderers are chosen to be invited to submit quotations or tenders
Criteria	quotations or tenders.
Shortlisting	The process of selecting tenderers who are to be invited to submit quotations or tenders or to proceed to final evaluation as part of a Restricted, Competitive with Negotiation or Competitive Dialogue Procedure.
Teckal company	A company which meets particular legal requirements relating to its ownership and activities i.e. wholly public sector owned and its main business is providing services to its members.
Tender	A tenderer's proposal submitted in response to an invitation to tender.
Tenderer	Any person who asks or is invited to submit a quotation or tender.
Total Value	As defined in CSO 2.1.
TUPE	Transfer of Undertakings (Protection of Employment) Regulations 2006 [SI2006 No.246]

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Warwickshire County Council

Financial Regulations

VERSION 3: Draft as at 10 May 2021

Content

INTRODUCTION

What are Financial Regulations?

The County Council is responsible for providing a wide range of services for the residents, visitors and businesses of Warwickshire which involve receiving and spending large sums of money each year. Financial Regulations aim to ensure that the County Council protects and makes the best use of the money it receives and spends.

The Financial Regulations are very much a strategic document and, at the highest level, set out the financial responsibilities of Members, and some of the most Senior Officers, the Chief Executive, Strategic Directors, Assistant Directors (including the Chief Fire Officer) and the Chief Finance Officer (also known as the Section 151 Officer) of the County Council.

The Financial Regulations form a part of the means by which the County Council manages its business. They clarify roles and responsibilities and provide a framework for financial decision-making. Where there are specific statutory powers and duties the Financial Regulations seek to ensure these are set out and complied with, as well as reflecting best professional practice and decision-making of the County Council, Cabinet and Committees. In summary Financial Regulations are the regulatory framework within which the financial affairs of the County Council are operated.

Supporting the Financial Regulations are a detailed set of Finance Rules, which prescribe the procedures to be followed in the day to day work of the County Council. While these rules are not contained within these financial regulations, they are issued under their authority and have the same status as if they were included in the body of these regulations.

All Members and all Officers of the County Council must abide by both the Financial Regulations and the Financial Rules.

The Financial Regulations should be read in conjunction with other documents and sections of the constitution, in particular:
- The Budget and Policy Framework;
- Contract Standing Orders; and
- The General Scheme of Delegation.

Why are Financial Regulations important?

The County Council is responsible for ensuring that its business is conducted in accordance with the law and appropriate standards. It must ensure that public money is safeguarded, properly accounted for, and used economically, efficiently, effectively, equitably and ethically. The Council's activities are furthermore guided by a set of underlying principles and responsibilities fostering openness, integrity and accountability.

In discharging these responsibilities, Members and Senior Officers are responsible for implementing effective arrangements for governing the Council's affairs and facilitating the effective exercising of its functions, including arrangements for managing risk.

As a consequence of these responsibilities, the Council must require the actions taken on its behalf, that carry financial implications, to provide assurance of their propriety and consistency. It is furthermore a requirement of these regulations that all financial transactions are within the legal powers of the Council.

These financial regulations thus form a key element of the maintenance of a robust, clear and accountable governance framework for the Council. In particular Financial Regulations:

- Provide a framework for all Members and Officers for the proper and efficient administration of the Council's financial affairs;
- Encourage all Members and Officers to abide by the highest standards of probity and integrity with clear standards which need to be continually maintained and there are controls to ensure that these standards are met;
- Ensure that there are clear roles, responsibilities and accountabilities for Members and Officers in order to protect the Council's money and assets; and
- Ensure that the use of resources is legal, properly authorised and gives value for money.

In seeking to achieve value for money all Members and Officers shall give due consideration to:

- The sustainable delivery of our strategic and statutory priorities;
- Planning and managing our resources to ensure we can continue to deliver services;
- Making informed decisions and properly managing risks to our financial resilience;
- Ensuring the appropriate scrutiny, challenge, and transparency of decision-making;
- Using information about costs and performance to improve the way we manage and deliver services; and
- Ensuring that the maximum value is obtained from both the resources used and how they are organised to achieve the desired result or predefined target.

Who do Financial Regulations apply to?

Financial Regulations apply to all Members and Officers (staff and contractors) of the County Council and anyone acting on its behalf. All Members and Officers have a responsibility for ensuring any resources or assets under their control are kept securely and used for Council business only.

The County Council is the Administering Authority for the Local Government Pension Scheme and Fire Pension Scheme in Warwickshire. These Financial Regulations also apply to the administration of the Local Government Pension Scheme and the Fire Pension Scheme in Warwickshire.

The Financial Regulations will also apply to any joint commissioning or partnership arrangement where the County Council is the Accountable Body, unless Full Council expressly agrees otherwise.

Who is responsible for ensuring Financial Regulations are adhered to?

The Chief Executive, Strategic Directors and Assistant Directors, are ultimately responsible for ensuring Financial Regulations are applied and observed by staff and contractors providing services on behalf of the Council. In addition, all Members and Officers have a responsibility for reporting any breaches of these Financial Regulations to the Chief Finance Officer as soon as they come to light.

The Chief Finance Officer in turn is responsible for reporting any breaches of these Financial Regulations to Elected Members and advising Members on alternative causes of action which may be taken.

The Chief Finance Officer is responsible for keeping the Financial Regulations under continued review, ensuring any changes are submitted to Full Council for approval.

The Chief Finance Officer is also responsible for issuing the Finance Rules on specific issues that underpin the Financial Regulations and establishing a programme of review for all relevant documents. Strategic Directors may seek the issue, amendment and clarification of the Regulations and Finance Rules for any areas of responsibility not previously addressed.

If a Senior Officer of the County Council believes that complying with Financial Regulations would either not achieve value for money or would not be in the best interest of the County Council, then this should be raised with the Chief Finance Officer. The Chief Finance Officer would then need to consider whether to seek Council approval to waive compliance with Financial Regulations or an amendment to the Financial Regulations is required.

What may happen if you do not comply with Financial Regulations?

Failure to comply with Financial Regulations and Financial Rules may have the following consequences:

- For Officers, these regulations supplement the Employer and Employee Responsibilities code and therefore a breach may be considered a disciplinary matter and could lead to dismissal; and
- For Members, these regulations supplement the Member's Code of Conduct and therefore a breach may be reported to the Audit and Standards Committee for them to take appropriate action.

What functions are covered by the Financial Regulations?

The roles and responsibilities of the most Senior Officers of the County Council (the Chief Executive, Strategic Directors, the Chief Finance Officer and Assistant Directors) can be grouped under a number of critical functions.

As well as the General Roles and Responsibilities, there are five key strategic financial management processes covered by these Financial Regulations and a range of specialist financial activities:

- Planning for the use of resources;
- Financial decision making;
- Controlling the use of resources;
- Accounting for the use of resources;
- Financial administration; and
- Specialist financial activities.

Each of these is taken in turn, explaining why they are important to ensuring sound strategic financial management and detailing the additional responsibilities of the most Senior Officers.

GENERAL ROLES AND RESPONSIBILITIES

Introduction

The County Council is a single entity with certain devolved accountabilities but the overall responsibility for financial administration of the County Council remains with the Chief Finance Officer. Members and Senior Officers also have responsibilities and accountabilities for financial administration which are outlined in this section.

Members

Members have a number of roles and responsibilities which are discharged collectively through the Audit and Standards Committee, the Cabinet or Full Council, in particular Members must:

- Approve the Financial Regulations through Full Council;
- Set the Authority's medium term financial strategy, including setting a balanced budget by the end of February for the following financial year through Full Council;
- Set the Authority's strategic direction and oversee arrangements for securing (and demonstrating) best value through Full Council;
- Set the Authority's framework for the control and management of cash resources and investments, by agreeing the treasury management and investment strategies by the end of March for the following financial year through Full Council;
- Ensure proper control is exercised over the Authority's spending, borrowing and cash management through scrutiny of periodic financial reports comparing expenditure and income with the level of budgetary provision and planning expectations through Cabinet;
- Hold senior officers to account about discharging all relevant financial responsibilities within their control through Cabinet;
- Scrutinise financial probity through the Audit and Standards Committee, Scrutiny Committees and, if necessary, Cabinet;
- Agree financial allocations to ensure the finance function is suitably resourced to support management in securing effective financial control through Full Council; and
- Encourage the development of service targets/performance measurements of a financial/non-financial nature to monitor service achievements through Cabinet.

The Head of the Paid Service (Chief Executive)

The Chief Executive has authority over all officers and is authorised to discharge any function or exercise any power delegated to any officer under the Council's Scheme of Delegation. As the officer charged with overall responsibility for the corporate management and operational

functions of the Council, this includes putting in place suitable arrangements to ensure the efficient use of resources.

The Chief Finance Officer (Strategic Director for Resources)

The Chief Finance Officer is responsible for advising the Council on all financial matters and monitoring and reporting on its financial performance and position.

The Chief Finance Officer must discharge the statutory duties defined in the following legislation and codes:

- The Local Government Act 1972, section 151;
- The Local Government Finance Act 1988, sections 112-114;
- The Local Government Act 2000;
- The Local Government Act 2003 including the Local Authorities (Capital Finance and Accounting) Regulations made under the Act;
- The Accounts and Audit (England) Regulations 2015 including amendments;
- The Code of Practice on Local Authority Accounting in the United Kingdom (based on International Financial Reporting Standards);
- The Prudential Code for Capital Finance in Local Authorities; and
- Any CIPFA statements defining best practice.

One of the most significant pieces of legislation is section 151 of The Local Government Act 1972 which states:

'……every local authority shall make arrangements for the proper administration of their financial affairs and shall secure that one of their Officers has the responsibility for the administration of those affairs.'

The County Council has designated the Chief Finance Officer as the Officer responsible for the administration of its financial affairs and that is why the Chief Finance Officer is sometimes referred to as the 'Section 151 Officer'.

To fulfil the statutory responsibilities the Chief Finance Officer must:

- Help develop and implement strategy, and resource and deliver the Authority's strategic objectives sustainably and in the public interest;
- Be actively involved in, and able to bring influence to bear on, all material business decisions to ensure immediate and longer-term implications, opportunities and risks are fully considered and aligned with the Authority's overall financial strategy;
- Provide financial advice to Members to support the strategic planning and policy making processes and service development to ensure efficient and effective use of resources;

- Provide advice and financial information to Members, Strategic Directors and Assistant Directors on the optimum use and adequacy of available resources and management of both capital and revenue budgets;
- Lead the promotion and delivery by the whole authority of good financial management so that public money is safeguarded at all times and used appropriately, economically, efficiently, and effectively;
- Establish and monitor the compliance with the County Council's accounting records and control systems;
- Lead and direct a finance function that is resourced to be fit for purpose;
- Be professionally qualified and suitably experienced; and
- Nominate a named Officer as the Deputy Section 151 to act in this role in the absence of the Chief Finance Officer.

Monitoring Officer (Assistant Director – Governance and Policy)

The Monitoring Officer is responsible for promoting and maintaining high standards of conduct and therefore provides support to the Audit and Standards Committee. The Monitoring Officer is also responsible for reporting any actual or potential breaches of the law or maladministration to Cabinet and/or Full Council and for ensuring that the procedures for recording and reporting key decisions are operated effectively.

The Monitoring Officer is responsible for:
- Ensuring that reports encompass the statutory obligations with regard to their legal and financial advice and content;
- Ensuring Member decisions and the reasons for them are made public;
- Advising both Members and Officers about who has authority to take a particular decision;
- Advising Members about whether a decision is likely to be considered contrary or not wholly in accordance with the County Council's budget and policy framework;
- Maintaining an up to date Constitution; and
- Maintaining a register of Members and Officers interests.

The Monitoring Officer together with the Chief Finance Officer is responsible for advising Members about whether a decision is likely to be considered contrary or not wholly in accordance with the approved budget or budget setting process and may include:
- Initiating a new policy outside the budget setting process;
- Incurring inter Directorate/Service budget transfers above virement limits;
- Committing expenditure during the year which is above the approved revenue or capital budget; or
- Committing expenditure in future years which is above the approved revenue or capital budget.

Internal Audit and Risk Management

The Strategic Director for Resources, through the Internal Audit Manager, shall arrange for a continuous internal audit function, to carry out an examination of accounting, financial and other operations of the Council, through undertaking a risk-based audit plan, complying with the Public Sector Internal Audit Standards (PSIAS).

The Assistant Director – Finance and the Assistant Director – Governance and Policy will put in place appropriate arrangements to provide the Chief Executive, Chief Finance Officer, Corporate Leadership Team and Elected Members with an annual assurance statement on compliance with Financial Regulations and the Local Code of Corporate Governance.

The Strategic Commissioning Manager (Treasury, Pensions, Audit and Risk) will oversee the development and implementation of an appropriate risk management strategy.

Strategic Directors

Strategic Directors are responsible for establishing sound arrangements for planning, appraising, authorising and controlling their operations in order to achieve continuous improvement, economy, efficiency and effectiveness and meeting associated financial targets. In doing so they should also have regard to sustainability and equalities considerations.

Strategic Directors are fully accountable for the financial performance of their service area against the budget allocated. They may incur revenue expenditure in furtherance of agreed Council policies only to the extent that budgetary provision has been made.

As part of ensuring the overall sustainability of the Council's financial planning and management arrangements, Strategic Directors also have a responsibility to review their respective budgets on an on-going basis. This includes the active monitoring and management of service pressures, delivery of approved budget reductions and application of approved service investment, particularly in cases where this investment is targeted towards delivery of longer-term savings. The Chief Finance Officer may request that Strategic Directors report to Council during the year on measures being taken to ensure expenditure is contained within approved levels.

Strategic Directors are further charged with the implementation of the risk management strategy in their service areas and for ensuring its effectiveness and review.

Strategic Directors have overall responsibility for ensuring the Assistant Directors within their Directorate manage their resources within the revenue and capital budget limits set by Full Council each year.

Strategic Directors must act within the budget and policy framework, promote probity and sound financial control.

Strategic Directors must report, at the earliest opportunity, to the Chief Finance Officer on any matter which may result in a failure of their Directorate's financial control processes or any other matter which could adversely affect the financial standing of their Directorate.

Specifically, Strategic Directors must report to the Chief Finance Officer if:
- There are potential budget pressures and/or overspends;
- The Directorate is not going to meet any savings or efficiency targets;
- Proposed variations to policy will have financial implications; or
- Organisational changes might impact on the demand for financial support services.

Assistant Directors

Assistant Directors have responsibility for developing their service plans in line with agreed strategies and policies, having due regard for any financial planning considerations or constraints agreed organisationally. Assistant Directors should also clearly articulate their Service's plans for the annual budget cycle ensuring Strategic Directors are fully aware of any planned or future service delivery issues or opportunities.

Assistant Directors are responsible for managing expenditure and income against revenue and capital budgets and must provide information to Strategic Directors and the Chief Finance Officer, at the earliest stage, of any issue where corrective action needs to be taken to keep expenditure within their approved budget.

In managing their Service, Assistant Directors are also responsible for:
- Ensuring appropriate controls and management structures in place and actively operating throughout their Service in order to safeguard all assets and finances and fulfil their responsibilities as outlined in these financial rules and regulations.
- Monitoring and accurately forecasting the budgetary position of their Service and for keeping Strategic Directors informed of this position.

External Audit

The external audit of the Council seeks to assess the extent to which the stewardship of its financial affairs is subject to a regime of accountability where monies are properly accounted for, safeguarded and used economically, efficiently and effectively. The scope of this audit is wider than that of the private sector equivalent, encompassing coverage of the financial statements, regularity, propriety and best value, including the securing of value for money.

PLANNING FOR THE USE OF RESOURCES

Why is this important?

The County Council is a large complex organisation providing a wide range of different services and, like any organisation of this scale, it needs to plan effectively and develop systems to ensure that scarce resources are allocated in accordance with carefully weighed priorities as set out in the Council Plan.

All items of income and expenditure of the County Council are classified as either revenue or capital.

The revenue budget is the expression in financial terms of individual service's plans. It is concerned with the day to day spending required to provide a service, for example, employee pay, supplies and services, energy costs, etc. All decisions on the revenue budget are taken by Full Council except those that relate to the current year's approved budget and the use of any earmarked reserves, which have been delegated to the Cabinet.

The capital programme is the expression in financial terms of individual service's plans to purchase, construct or improve assets with a lasting value, for example, land, buildings and large items of equipment. Decisions on the capital programme are taken by Full Council, except where the cost of a project is below £2 million and no additional use of borrowing or capital receipts is required, which have been delegated to Cabinet and/or the Portfolio Holder for Finance and Property.

The process for preparing and setting the budget should ensure that it reflects the Authority's aims and objectives in financial terms for the period ahead. Budgets should be based on projections about pay, inflation and demand and all budget reductions should be identified, assessed for achievability and planned in advance. Known developments should be anticipated and full cost implications should be determined. Revenue and capital budgets should be integrated and presented as such to Members.

It is important to ensure that the full revenue consequence of capital expenditure is reflected in the revenue budget and options of either a revenue or capital approach to service delivery are considered.

The Chief Finance Officer must:

- In consultation with Corporate Board prepare and submit reports to the Cabinet outlining likely developments, including resource constraints set by the Government and changing demands on services, which will have an influence upon the revenue and capital budgets of the County Council;

- In consultation with Corporate Board prepare and submit reports to the Cabinet summarising the budget proposals and, where appropriate, identify the implications for the level of precept to be levied by the County Council and the impact on local taxpayers;

- In consultation with Corporate Board prepare and submit reports to the Cabinet on the proposals for the Authority's capital strategy and capital programme and, where appropriate, identify the implications for the level of borrowing the Council will need and the implications of financing this borrowing on the revenue budget;

- Establish formal procedures and timetables for planning the budget by:
    - Providing Assistant Directors with a framework and timetable for reporting anticipated budget reductions, spending pressures and service improvements; and
    - Providing Assistant Directors with preliminary budget targets for the following year in time for them to prepare business/service plans, and a final budget by 31 March; and

- Produce an annual treasury management policy statement and strategy and an annual investment strategy setting out the arrangements for the operation, management and performance assessment of the treasury management function, the Authority's appetite for investment risk and gain full Member approval for the policy statement and strategies.

Strategic Directors must:

- Ensure that each Service within their Directorate prepares a written statement of the Service's aims and objectives, consistent with the Council Plan, which is used as the basis for constructing budget plans;

- Prepare and submit with the Chief Finance Officer, joint reports to the Cabinet outlining likely developments, including resource constraints set by the Government and changing demands on services, which will have an influence upon the revenue and capital budgets of the County Council;

- Comply with guidance concerning capital expenditure, issued by the Chief Finance Officer; and

- Ensure that their Directorate maintains an Asset Register, as defined by the Chief Finance Officer, for the purpose of calculating notional capital charges.

Assistant Directors must:

- Comply with the formal procedures and timetable for planning their budget by:
    - Identifying, costing and reporting spending pressures and any anticipated savings, including where initial investment may be required, in accordance with the published budget framework and timetable; and
    - Preparing detailed revenue estimates of planned spending and income for the year ahead within the budget targets set by their Strategic Director;

- Notify their Strategic Director of the continuing potential financial impact in future years of decisions they are taking in the current financial year. This needs to be done so as to be taken into account when producing next year's budget; and

- Comply with capital expenditure rules issued by the Chief Finance Officer.

FINANCIAL DECISION MAKING

Why is this important?

In making financial decisions, Members take account of the information and advice given to them by Officers and, in particular, the Chief Finance Officer. The Chief Finance Officer also has delegated financial responsibilities which require him to take financial decisions, usually in consultation with the Monitoring Officer. These decisions can have major financial and legal implications, and it is therefore important that they are soundly based on accurate and appropriate information.

The Chief Finance Officer must:

Provide advice and financial information to Members, Strategic Directors and Assistant Directors on the optimum use and adequacy of available resources and management of both capital and revenue budgets. In particular this should:

- Take account of all relevant corporate and Directorate considerations;
- Take account of both long and short term costs and benefits;
- Take account of professional advice, for example legal or financial advice;
- Be compiled in accordance with best professional practices by suitable staff;
- Be appropriate and provide a sound basis for financial decision making; and
- Be presented at the most appropriate time to allow effective decisions to be made.

These requirements extend to the legal reasonableness and financial prudence of all decisions taken by both Members and Officers.

The Monitoring Officer must:

Ensure that all legal advice given to Members or used by Officers to make decisions with financial implications:

- Takes account of all relevant Directorate and corporate considerations;
- Is compiled in accordance with best professional practice by suitable staff;
- Is appropriate and provides a sound basis for decision-making; and
- Is presented at the most appropriate time to allow effective decisions to be made.

These requirements extend to the legal reasonableness and financial prudence of all decisions taken by either Members or Officers.

Strategic Directors and Assistant Directors must:

Ensure that all financial information given to Members or Officers in order for them to make decisions with financial implications:

- Takes account of all relevant Directorate and corporate considerations;
- Takes account of both long and short term costs and benefits;
- Takes account of financial advice and any financial implications (the Chief Finance Officer should be consulted, in a timely manner, when drafting Committee or other reports which contain proposals which have financial implications);
- Takes account of legal advice and any legal implications (the Monitoring Officer should be consulted, in a timely manner, when drafting Committee or other reports which contain proposals which have legal implications);
- Takes account of other professional advice, where appropriate;
- Is compiled in accordance with best professional practices by suitable staff;
- Is appropriate and provides a sound basis for financial decision-making; and
- Is presented at the most appropriate time to allow effective decisions to be made.

Strategic Directors and Assistant Directors are reminded that these requirements extend to the legal reasonableness and financial prudence of all decisions taken by either Members or Officers.

CONTROLLING THE USE OF RESOURCES

Why is this important?

Budgetary control is the process by which services' monitor, review and adjust financial targets during the financial year. The identification and explanation of variances against budgetary targets provides a mechanism by which the County Council can identify changes in trends and resource requirements at the earliest opportunity.

There is also an additional pressure to monitor capital schemes carefully, to ensure that the Council's capital financing capacity, governed by the Prudential Code for Capital Finance, including other internal funds and external grants and receipts, is fully utilised, but not exceeded.

The Chief Finance Officer must:

- Administer the County Council's scheme of Virement as set out in the Finance Rules;

- Ensure Assistant Directors and Cost Centre Managers have access to regular and frequent reports on spending, including sums committed, but not yet paid, against the approved budget;

- Prepare and submit, with Strategic Directors, joint reports to the Cabinet in respect of any revenue expenditure for which the Strategic Director concerned is unable to identify appropriate resourcing from within the existing approved budget;

- Prepare and submit reports to the Cabinet in respect of any planned or actual expenditure which the Chief Finance Officer (in consultation with the Monitoring Officer) believes to be unlawful; and during the time between the possibility of unlawful expenditure coming to light and its consideration by Cabinet, prevent any payments other than those which are contractual commitments (this applies equally to revenue and capital expenditure);

- Prepare and submit regular reports to the Cabinet on progress against the approved capital programme, highlighting any variances and detailing any requests for amendments to approved programmes;

- Administer the authorisation of capital schemes approved by Full Council as detailed in the Finance Rules;

- Provide Strategic Directors, Assistant Directors and Cost Centre Managers with appropriate guidance and Finance Rules;

- In consultation with Corporate Board, administer the Council's arrangements for under and overspendings to be carried forward to the following financial year as outlined in the Finance Rules and the reserves strategy approved as part of the annual revenue budget; and

- Prepare and submit a report to the Cabinet by 30 June each year comparing actual treasury management performance against the approved strategy, for the previous financial year.

Strategic Directors must:

- Ensure that their Assistant Directors comply with the County Council's Scheme of Virement and notify the Chief Finance Officer of any additional authorisation limits/reporting arrangements they may wish to set; and

- Inform the Chief Finance Officer immediately of any planned or actual expenditure that the Strategic Director believes to be illegal. During the time between informing the Chief Finance Officer and receiving his response, ensure that no payments are incurred other than those required to meet contractual commitments (this applies equally to revenue and capital expenditure).

Assistant Directors must:

Revenue Expenditure
- Prepare and submit with the Chief Finance Officer and their Strategic Director, joint reports to the Cabinet in respect of any revenue expenditure for which the Assistant Directors concerned is unable to identify appropriate resourcing from within their existing approved budget;

- Make sure that expenditure for each financial year does not exceed the available budget;

- Do everything reasonably possible, report and make aware any action/strategy in place to correct;

- Make sure that all income and expenditure, including forecasts of future income and expenditure and variations from the approved budget, are accurate and timely and entered on the general ledger;

- Seek Cabinet approval for all virements within their Service which exceed the lower of £500,000 or 5% of the Service's net revenue budget (whether individual or as part of a cumulative total) where this is as a result of a change in policy;

- Seek Cabinet approval for all virements between Services irrespective of the amount of the virement, except where virements do not change the approved use of the resource;

- Ensure that, when budgets are delegated, responsibility for financial control is clearly defined and seek prior Finance approval for any changes; and

- Ensure that Cost Centre Managers are notified of any virements affecting their cost centre and that the reason for the virement is explained.

Capital Expenditure
- Ensure a Project Manager is allocated to all capital projects;

- Ensure that all Project Managers comply with all the rules relating to capital expenditure and financing;

- Ensure all appropriate approvals have been granted before committing to any capital expenditure, recognising any pre-approval work is a revenue cost until approval is received;

- Ensure adequate funding is in place for all capital expenditure over the lifetime of a project and that accurate phasing of capital expenditure over financial years is undertaken at the same time;

- Record capital income and capital expenditure separately;

- Ensure capital expenditure does not exceed the approved budget limit;

- Ensure that capital expenditure is not moved between programmes or stand-alone projects without Member approval;

- Ensure that adequate information is kept that delivers accurate capital accounting;

- Ensure Members, their Strategic Director and the Chief Finance Officer are kept informed of progress and latest cost estimates for all capital projects; and

- Provide financial and performance information on capital projects when requested by Members, their Strategic Director or the Chief Finance Officer.

ACCOUNTING FOR THE USE OF RESOURCES

Why is this area important?

The County Council has a statutory responsibility to prepare its annual accounts to fairly represent its operations during the year. Full Council is responsible for approving the annual accounts. The accounts are subject to external audit scrutiny before publication. External audit scrutiny provides assurance that all expenditure is legal, the accounts are properly prepared and appropriate accounting practices have been followed.

The Chief Finance Officer must:

- Provide Assistant Directors with guidance and a timetable for closing their accounts, to ensure compliance with the statutory timetables;

- Prepare and submit reports to the Cabinet outlining, firstly, probable and, subsequently, the actual income and expenditure of the County Council, for each financial year;

- Prepare and publish the audited accounts of the County Council for each financial year in accordance with the Accounts and Audit Regulations 2015 (as amended), in particular:
    - Make appropriate arrangements for the external audit of the County Council's accounts;
    - Publish the draft statement of accounts in accordance with the statutory within four months of the end of the financial year; and
    - Publish the statement of accounts, with the auditor's certificate or report, within six months of the financial year end.

Assistant Directors must:

- Ensure that all expenditure and income is coded to appropriate areas of their budget to accurately reflect service activity in the financial year;

- Make sure that they comply with the procedures and timetable for closing the accounts at the end of the financial year; and

- Maintain suitable accounting records and make these records available for inspection by external auditors when requested.

FINANCIAL ADMINISTRATION

Why is this area important?

The County Council, being a public body, has a responsibility to the local community to ensure that its financial affairs are properly managed, and its assets safeguarded. The public is entitled to expect the highest standards of financial conduct and integrity. It is the Chief Finance Officer's responsibility to ensure that appropriate systems and controls are in place to satisfy these expectations.

The County Council has a statutory responsibility to make arrangements for the proper administration of its financial affairs. This includes determining the accounting systems and procedures, the form of accounts and supporting financial records.

The Chief Finance Officer must:

- Produce detailed Finance Rules outlining the roles and responsibilities of officers for the financial administration of services under their control;

- Ensure that both Members and Officers comply fully with the Finance Rules as they have equal importance along with the Financial Regulations and non-compliance will be dealt with in the same way as non-compliance with the Financial Regulations;

- In consultation with the Monitoring Officer, review the adequacy of the Financial Regulations annually and where necessary recommend amendments to either the Financial Regulations or the Finance Rules; and

- Ensure arrangements are in place to maintain and promote the financial literacy of the organisation and provide all staff with access to the skills and tools needed to meet their roles and responsibilities under the Financial Regulations and Finance Rules.

Strategic Directors and Assistant Directors must:

- Comply with the Finance Rules put in place by the Chief Finance Officer; and

- Ensure appropriate arrangements are in place and actively operating throughout their Service to ensure compliance with the Finance Rules.

List of Financial Rules

Planning	Decision-making	Control	Accounting	Administration	Other
•Medium Term Financial Strategy •Budgeting •Treasury Management •Reserves •Financing Capital Projects •Charging Policy •Role of Budget Holders •Capital Budget •Reporting and Approval Process •Investments	•Financial Risk •Subsidy control/compliance •Loans •Financial Guarentees •Due Diligence and Assurance •Investment Appraisal •Financial Implications Paragraphs •Procurement •Section 106 contributions •Grants to third parties	•Cost Centre Management •Virements •Financial Management •Restructuring	•Tax •Work for Third Parties •Pooled Budgets •Unofficial Funds •Accounting Records and Returns •Statement of Accounts •Capital Accounting •Accounting to Statutory Bodies •Maintenance of Accounts •Group Accounts	•Assets •External Funding and Grants •Income •Money Laundering •Bank Accounts •Financial Systems and Procedures •Payments to Employees and Ex-Employees •Debt Collection •Scheme of Financial Delegation •Stocks and Stores •Purchase Cards •Petty Cash/Imprest Accounts •IT Security and Data •Leasing •Payment for Goods and Services	•Pensions •Insurance •Traded Services •Joint Commissioning •Partnerships •Intellectual Property •Interests in Companie •Internal Market •Member Payments •Audit •Deterring Fraud and Corruption •Gifts and Hospitality

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Cabinet

7th December 2021

Local Area SEND Inspection

Recommendations

That Cabinet

1. Notes and comments on the outcomes from the Ofsted and CQC local area SEND inspection.
2. Endorses the progress made to date to deliver the Written Statement of Action (WSoA) and delegates to the Strategic Director for People, in consultation with the Portfolio Holder for Children, Families and Education, authority to make any changes necessary to finalise the WSoA for submission to Ofsted and the CQC by 24th December 2021.
3. Approves the request for additional one-off funding of £98,750 over the remainder of 2021/22 and into 2022/23 to support delivery of the Written Statement of Action, to be met from the 2021/22 underspend in Corporate Services and Resourcing.

1. Executive Summary

1.1 In July 2021, Ofsted and the Care Quality Commission (CQC) conducted a joint inspection in Warwickshire to judge the effectiveness of the local area in implementing the SEND reforms as set out in the Children and Families Act 2014. The local area covered by the inspection includes not just Warwickshire County Council as the local authority, but also the clinical commissioning group (CCG), public health, NHS providers, early years' settings, schools and further education providers. The inspectors also gather the views of parents, carers, children and young people. The report looks at the effectiveness of the local area holistically in delivering the desired outcomes.

1.2 The inspection report noted some positive action and acknowledged the commitment of leadership across the local area to improving outcomes for children and young people, including the adoption of the ambitious SEND and Inclusion Change Programme approved in July 2020. It also noted that area leaders understand the strengths and weaknesses of the local area and found that the self-evaluation undertaken was accurate, well-informed and detailed. The report also recognises that:

- children and young people with SEND generally achieve positive educational outcomes;
- a high proportion of young people remain in education, training and employment;
- attendance rates for children and young people with SEND are very positive; and

- fixed term exclusions are now well below national averages.

1.3   However, the report identified five significant areas of weakness which the local area needs to address. These are:
- the waiting times for Autism Spectrum Disorder (ASD) assessments, and weaknesses in the support for children and young people awaiting assessment and following diagnosis of ASD;
- the fractured relationships with parents and carers and lack of clear communication and co-production at a strategic level;
- the incorrect placement of some children and young people with EHC plans in specialist settings, and mainstream school leaders' understanding of why this needs to be addressed;
- the lack of uptake of staff training for mainstream primary and secondary school staff to help them understand and meet the needs of children and young people with SEND; and
- the quality of the online local offer.

1.4   The local area is required to co-produce with partners, parents and carers a WSoA within 70 working days of receiving the inspection report (by 24th December 2021) that outlines how improvements will be made. Progress will then be monitored over the next 18 months by the Department of Education (DfE) and NHS England (NHSE). Each of the areas of weakness is dealt with in the WSoA with an action plan detailing how the concerns will be addressed, by when and which organisation will lead on each action. These plans can be seen in draft at Section 4 in Appendix 2.

1.5   A Steering Group comprising partners from across Education, Health, Social Care and Warwickshire Parent Carer Voice (WPCV) has been established to oversee development and delivery of the WSoA and the future actions needed to bring about the change in practice. Progress will also be reported to the SEND and Inclusion Change Programme Board. The governance of the SEND and Inclusion Board has also been strengthened with CCG and WPCV representation in response to the findings of the report. The detailed governance and engagement arrangements are set out in Section 3 of the WSoA in Appendix 2.

1.6   A communications plan is also in place to ensure that we engage appropriately in developing the WSoA with stakeholders across the local area, including schools, parent carers and children and young people. This includes the introduction of a monthly newsletter and the development of a further programme of events to inform stakeholders of progress.

1.7   Several areas identified in the inspection are addressed and in progress as part of the SEND and Inclusion Change Programme. These include the following areas:

- establishing the new Parent Carer Forum, Warwickshire Parent Carer Voice, which commenced in April 2021;

- a refresh of the local offer webpages which brings together information about local services and support for families with children and young people ages 0 to 25 (launched on 13th October 2021);
- introducing an inclusive framework in schools, with a trial of a different model of support to schools to enable early intervention and peer support to improve outcomes (commenced in October 2021); and
- workforce development to improve the knowledge, skills and understanding of staff in mainstream schools in meeting the needs of children and young people with SEND (commenced in October 2021).

1.8   Some areas addressed in the WSoA sit outside the SEND and Inclusion Change Programme such as ASD pathways and strengthening communication and coproduction approaches. Progress of these areas will be overseen by the SEND and Inclusion Steering Group.

1.9   Section 6 of the WSoA sets out the monitoring arrangements for the planned activity:

Monthly	
KPI's	Discussions and challenge held at Education & SEND Senior Management Team and CCG SMT meetings

6-weekly	
Interim reports on Progress	Targeted updates to SEND and Inclusion Steering Group (exception reporting of issues)

Quarterly	
Formal reports on progress of actions within plan	Full update to SEND and Inclusion Change Programme Board, NHSE and DfE

6-monthly	
Political oversight	Full update to Children and Young People's Overview and Scrutiny Committee

1.10   As seen above, quarterly reports will be sent to DfE and NHSE to enable monitoring of progress against the WSoA. Reports will also be brought to Overview and Scrutiny on a six-monthly basis. In addition, the Self Evaluation Framework document will be updated on a six-monthly basis. The local area will be reinspected from June 2023 (date to be confirmed) to assess if sufficient progress has been made. This will be under a new Ofsted/CQC inspection framework.

2.   Financial Implications

2.1   Funding for Phase 1 projects in the SEND and Inclusion Change Programme (including the local offer, launch of Warwickshire Parent Carer Voice and Inclusive Framework for Schools) is in place. Phase 2 costs form part of the

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'2022/23 Budget and 2022-27 Medium Term Financial Strategy' report also on the agenda for Cabinet on 7th December. This will bring the total funding for the SEND and Inclusion Change Programme to £4.798m over four years (from 2020 to 2024).

2.2   An additional £1.5m has recently been committed to address the autism waiting list (with £1m from CCG and £500,000 from NHS Coventry and Warwickshire Partnership Trust) on top of £1.6m from partners to support the transformation of pre-assessment and post diagnostic support.

2.3   One-off funding of £98,750 is required to support delivery of the WSoA (as outlined in Table 1). It is proposed that the cost is met from the underspend in the 2021/22 Corporate Services budget. A virement of the £57,750 resources from Corporate Services to Education Services needed in 2021/22 will be done to action this, subject to Cabinet's approval of the recommendations. The £41,000 to be spent in 2022/23 will be reflected in the use of reserves supporting the 2022/23 budget. However, in doing so Cabinet should note that this will reduce the funding available to support the Medium Term Financial Strategy and/or the Council's Investment Funds.

Area	2021/22	2022/23
Communications and engagement	£27,750	£26,000
Co-production strategy and training	£10,000	£10,000
Consultation support	£10,000	
Workforce development	£5000	£5000
Engagement with schools	£3000	
ICT costs	£2000	
TOTAL	**£57,750**	**£41,000**

Table 1: Funding required for Delivery of the WSoA

2.4   In addition, £250,000 has been approved from the headroom within the Schools Block of the Dedicated Schools Grant to support delivery of the outcomes in the WSoA. In particular, this will support workforce development in all mainstream schools by financing the backfilling of staff to attend training.

3.   Environmental Implications

3.1   There are no direct environmental implications arising from this report.

4.   Timescales associated with the decision and next steps

4.1   Work will continue with partners to develop the WSoA for submitting to Ofsted and CQC by 24th December 2021. The SEND and Inclusion Steering Group will receive a final draft report for consideration on 13th December, with final sign off, delegated to the Strategic Director for People in consultation with the Portfolio Holder for Children, Families and Education, by 24th December.

4.2   Equality Impact Assessments will be undertaken for specific projects and

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workstreams contributing to the WSoA in due course.

Appendices
1. Appendix 1: Ofsted and CQC local area SEND inspection outcomes
2. Appendix 2: Draft Written Statement of Action

Background Papers
1. None

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

Children and Young People Overview and Scrutiny Committee:
Councillors Dahmash, Roodhouse and Brown

Adult Social Care and Health Overview and Scrutiny Committee:
Councillors Golby, Holland, Rolfe and Drew

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14 September 2021

Nigel Minns
Director of Children's Services
Warwickshire County Council
Market Square
Warwick
CV34 4RR

Philip Johns, CCG Chief Executive Officer
Duane Chappell, SEND 0 to 25 Strategy and Commissioning Manager and Local Area
Nominated Officer

Dear Mr Minns and Mr Johns

Joint local area SEND inspection in Warwickshire

Between 12 July and 16 July 2021, Ofsted and the Care Quality Commission (CQC)
conducted a joint inspection of the local area of Warwickshire to judge the
effectiveness of the area in implementing the disability and special educational
needs and/or disabilities (SEND) reforms as set out in the Children and Families Act
2014.

The inspection was led by one of Her Majesty's Inspectors from Ofsted, with a team
of inspectors including one of Her Majesty's Inspectors and a children's services
inspector from the Care Quality Commission.

Inspectors spoke with children and young people with SEND, parents and carers,
and local authority and National Health Service (NHS) officers. They visited a range
of providers and spoke to leaders, staff and governors about how they were
implementing the SEND reforms. Inspectors looked at a range of information about
the performance of the local area, including the local area's self-evaluation.
Inspectors met with leaders from the local area for health, social care and
education. They reviewed performance data and evidence about the local offer and
joint commissioning. Due to the COVID-19 (coronavirus) pandemic, some of the
meetings were held remotely.

In reaching judgements, inspectors took account of the impact of the COVID-19
pandemic on SEND arrangements in the area. Inspectors considered a range of
information about the impact of the pandemic and explored how the area's plans
and actions have been adapted as a result.

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As a result of the findings of this inspection and in accordance with the Children Act 2004 (Joint Area Reviews) Regulations 2015, Her Majesty's Chief Inspector of Schools has determined that a Written Statement of Action is required because of significant areas of weakness in the area's practice. Her Majesty's Chief Inspector has also determined that the local authority and the area's clinical commissioning group are responsible for submitting the written statement to Ofsted.

This letter outlines our findings from the inspection, including some areas of strengths and areas for further improvement.

Main Findings

- Area leaders acknowledge that the Neurodevelopmental Pathway (a specialist service responsible for the assessment of neurodevelopmental conditions such as autism spectrum disorder (ASD) and attention deficit hyperactivity disorder) has not worked well enough across agencies. Children and young people wait too long for an assessment. The plans to address the key issues, including waiting times for assessments, have been developed too slowly, are not specific enough and do not have clear targets.

- Current area leaders know that the area was slow to implement the 2014 reforms in full. Previous leadership groups had not worked closely enough together. Weaknesses in the past have led to poor outcomes for some children and young people, particularly those with ASD. Leaders are determined to address the weaknesses across the area and have started to do so.

- Area leaders are committed to improving children and young people's outcomes. Leaders' action plans are firmly focused on the needs and ambitions of children and young people. The current area leaders have the expertise, drive, determination, and commitment to improving health, education and care outcomes for all children and young people with SEND.

- Area leaders understand the strengths and weaknesses of the area because of their accurate, well-informed and detailed self-evaluation. They commissioned two independent reviews of all SEND services to help them identify what works well and what does not across the local area. Leaders have developed and started to implement an ambitious Change Programme in response to the findings of the reviews.

- The Change Programme identifies what needs to change and why. It has prioritised and focused on key areas, with further actions appropriately planned out in the right order. This is enabling area leaders to drive the necessary improvements across the local area. However, some plans are still developing, such as those to improve neurodevelopmental pathways.

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- Area leaders' rapid implementation of the Change Programme has already led to some improvements. For example, the area leaders now issue a higher than national proportion of new education, health and care (EHC) plans within statutory timescales. The number of fixed-term exclusions of children and young people with SEND has also been significantly reduced.

- The strategic objectives in the programme were only agreed and started two years ago. With the effects of the pandemic to also contend with, this means that changes for the better are yet to be seen in full.

- Area leaders say there is a legacy of children and young people who have not been placed in a setting that is best suited to their needs. Some school leaders agree with this. Too many children and young people have been placed in specialist settings when their needs could have been better met in mainstream schools. Area leaders have begun to address this. For example, when a new EHC plan is issued, a wide range of settings is considered to establish which one can best meet a child or young person's needs.

- However, leaders have not consulted stakeholders widely enough about the reasons for the changes and the actions needed. Communication about why changes need to be made has not been clear enough, particularly with schools and parents and carers. As a result, some parents and school leaders do not understand why so many changes are being made, such as reducing the number of children and young people in special schools and changes to the EHC assessment process. This has led to some parents, carers and school leaders not supporting the changes fully.

- Schools have not accessed enough training to help school staff understand and provide for children and young people's needs in mainstream settings. Leaders know this and have plans in place to address it. However, the plans are yet to be fully implemented, which means that some schools do not have enough qualified and experienced staff to support children and young people with SEND effectively.

- Some parents and carers do not have confidence in the ability of mainstream schools to support their children's needs. Some parents and carers expressed the view that staff do not understand their children's needs and therefore do not know how to help and support them. Children and young people also expressed this view.

- A fractured relationship between local area leaders and the previous parent carer forum resulted in the forum being disbanded in November 2020. The new Parent Carer Voice (PCV) was launched in April 2021. An interim steering group is in place, but the PCV constitution is yet to be formalised. The membership is still relatively small but is growing quickly. Because PCV is still developing, joint working and collaborative practices are not yet well established. PCV is not yet involved in full co-production (a way of working where children and young people, families and those that provide services

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work together to create a decision or a service which works for them all) at a strategic level.

- There are many parents and carers who have had positive experiences working with the area and the support services for their children, for example with Warwickshire's SEND Information, Advice and Support (SENDIAS) service, or education, health, and care services.

- However, there are also parents who have not had positive experiences. They feel that they have had to 'battle' to get the support their children need. Some parents and carers have not been provided with sufficient information about the SEND services and systems that are available to support their children. Some parents also feel that communication is poor and that they are not listened to. Several parents said that information is not shared with them in a simple and understandable way.

- Many parents feel that the online local offer is unhelpful and difficult to navigate. Many parents spoken to, and those who responded to surveys, said that they were not aware of the local offer.

- Area leaders know that the local offer is not fit for purpose. A comprehensive review of the local offer has been undertaken. The area has consulted with stakeholders, including parents and carers, young people and education settings, throughout the review. This has enabled them to co-produce a redesigned local offer that leaders feel will provide parents and carers easy access to a wide range of information. However, at the time of this inspection, the new local offer had not been launched.

- Children and young people with SEND achieve positive educational outcomes. A high proportion of them remain in education, training and employment and a high proportion also go on to achieve paid employment. Attendance rates for children and young people with SEND are very positive and fixed-term exclusions have reduced dramatically.

The effectiveness of the local area in identifying children and young people's special educational needs and/or disabilities

Strengths

- Leaders have taken effective action to improve the quality of the EHC plan process. This included: developing a fair and robust decision-making system to decide on a child or young person's education, health and care needs or plan; issuing plans in a timely way; and checking the quality of EHC plans. Some of these actions have been highly successful. For example, 90% of new EHC plans are issued within the 20-week statutory period.

- Panels now consider all applications for assessment against the area's criteria which describe the levels of support children and young people should receive

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before an application for assessment for an EHC plan is made. There is a consistent decision-making process in place. The increased frequency of panels means that decisions to assess, or not, are made more quickly. Where further information is needed, panels provide detailed feedback to providers so it can be considered at the next panel. The new panel arrangements are enabling more consistent decisions to be made.

■ Plan coordinators (PlanCos) are effective and now ensure that new EHC plans are fit for purpose. For example, they check that needs are identified clearly and accurately. They liaise with settings to ensure that needs are understood so that the right support can be provided. PlanCos are also involved in the annual review process. When this works well, this leads to changing needs being identified and reflected in the plan.

■ Health professionals use a shared assessment tool, based on national guidance, which has resulted in an increased number of appropriate referrals to the neurodevelopmental pathway. This means that children and young people are being identified and referred appropriately and in a more timely manner.

■ There are now no overdue assessments for children supported by the children with disabilities team. Area leaders have ensured that these assessments have been prioritised. This prompt action means that children's needs are identified quickly, and support is provided at the earliest opportunity.

■ Social workers allocate and refer children and young people with SEND appropriately through the use of 'hubs', for example the children in need hub, the safeguarding and support hub, the review hub, and the strengthening families hub.

■ Children and young people with SEND who enter the care system and the youth justice system routinely have their needs checked. Agencies such as the multi-agency safeguarding hub, the police and health services are all involved in identifying children and young people's needs.

■ An increasing number of early years settings have achieved the Warwickshire inclusion kite mark scheme. This has helped more settings to have a better understanding of children's needs and how to support them. It has also enabled staff to identify any needs at an earlier stage. Staff report that they are now more confident in applying for EHC plans and ensuring that children have the right support to help them transition to the Reception Year successfully.

Areas for development

■ Processes and decision making by EHC assessment panels are not fully understood by parents and some school leaders. This has led to a sharp rise in the number of mediations, tribunals and appeals against the decisions.

- Prioritising the issuing of new EHC plans within 20 weeks means that 4-week decision making on annual reviews is delayed, significantly so in some cases. Therefore, following an annual review, plans are not updated quickly enough. This can lead to changing needs not being identified quickly so that appropriate support can be provided. For example, some post-16 students begin their college courses with plans that are well out-of-date and do not reflect their aspirations for the future.

- There are known capacity issues in the health visiting service which have the potential to lead to delays in identifying emerging concerns in children's development. This was confirmed by community paediatricians who told us they are now receiving more referrals from other practitioners. Previously, these children would have benefited from detailed assessments by a health visitor.

- Opportunities to identify need in the youngest children may be missed. The number of expectant women who receive an antenatal contact from a health visitor is too low. Due to capacity issues, the health visiting service has been commissioned to provide new-born visits up to 28 days after birth. This is outside national guidelines. This risks a delay in providing early support.

- The current system to screen the health of school entrants is ineffective. The proportion of parents of children in Reception Year who return completed questionnaires is too low. This means that some children's health needs are not being identified promptly.

- When children and young people's needs are identified early, assessments and the provision of support are delayed. For example, where ASD is identified in the early years or primary school, further assessment and support for these children and young people are often not finalised until secondary school. As a result, the lack of support and early intervention has the potential to lead to increased mental health issues for children and young people. There are currently long waiting times for educational psychologist and child and adolescent mental health services assessments.

The effectiveness of the local area in meeting the needs of children and young people with special educational needs and/or disabilities

Strengths

- During the COVID-19 pandemic, some young children who are immune suppressed received fully remote early years provision. This meant that children who were clinically vulnerable were able to benefit from support which they would have otherwise missed.

- The most vulnerable children and young people benefit from bespoke commissioning. Multi-disciplinary teams work together to develop wrap-

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around care within the local area rather than the child or young person having to travel out of county. Children and young people are able to remain close to their families. They also benefit from consistent support from familiar carers and a closer oversight of their needs.

- The provision and expertise of community children's nurses are a particular strength. In addition to providing care for children and young people with complex health needs, they train people involved in supporting these children and young people, enabling them to provide specific individualised care. This means that these children and young people benefit from holistic care from competent and confident carers.

- Leaders recognised that some children and young people with SEND were vulnerable to child exploitation, and they addressed this issue. A specialist nurse supports and works with young people potentially at risk, to help protect them from child exploitation, including signposting and referring young people to specialist agencies for advice and support.

- The pre-school and school service for speech and language therapy has an open referral system. This means the service is easily accessible to both parents and practitioners. Each early years setting and school, including special schools, has a dedicated speech and language link therapist. This enables settings to access specialist advice and training to improve support for children and young people.

- In response to COVID-19, parents were able to book telephone sessions with the speech and language service in order to access resources and advice. This replaced the pre-COVID monthly face-to-face sessions. If additional needs were identified, therapy was provided. The speech and language service was very responsive in meeting the needs of children and young people as their circumstances changed throughout the pandemic.

- The area leaders have recognised the rise in social, emotional and mental health needs in children and young people in Warwickshire. They have increased the support available in schools. For example, emotional health and well-being offers have been developed in schools. Schools can also access a variety of support through emotional health and well-being training and one-to-one support and group work. Area leaders are beginning to roll out further additional support.

- The integrated disability service (IDS) provides very effective support in early years settings. Settings have named links within the service and receive regular support and guidance. This supports the assessment of children's needs, and the quality of individual plans of support has improved. Early years settings confirmed that this guidance has helped them to better understand and support children's development.

- New and existing social workers have received specific SEND training. Through this, their understanding of SEND issues and practice has been

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improved. This is helping them to better identify, assess and meet children and young people's needs.

■ Following social workers' assessments, children and young people are allocated suitable support through the strengthening families hub. The quality of assessment, provision and impact is checked and evaluated through the review hub. This includes reviewing the EHC plan process. The process is clear and fit for purpose and means that children and young people receive the right support at the right time.

■ Care leaders introduced a 'restorative approach' in 2019. This helps professionals to hear the family, child and young person's voice. For example, questions such as 'what has happened in the past?', 'what would you like to happen next?' and 'how and when do you want this to happen?' help social workers to find out the important views of children, young people with SEND and their families. A 'leaving care' panel has also been established to review the provision for young people leaving the care system. Feedback from children and young people and their families shows that social workers have developed positive working relationships with them.

■ During the COVID-19 pandemic, social workers have developed additional processes to check if children and young people with SEND are safe. For example, social workers checked children and young people's school attendance and support needs and conducted additional home visits. Virtual meetings were also held and worked well for many children and young people to maintain their links with their social workers.

■ College leaders report that the transitions process from schools to college is very effective. It enables them to identify the right support for the young people before they start their courses. This helps students to settle quickly and successfully. The further education provision also helps to prepare young people for adulthood. For example, young people are given training in managing a household and using different methods of transport.

■ Young people with SEND over the age of 16 also have meaningful opportunities to experience work, such as through supported internships. Prior to COVID-19, the number of supported internships increased significantly.

■ SENDIAS has a high profile through its website and social media activities. There is a suite of online resources which signpost to other services, for example 'Little Ears'. Care and health agencies contribute to the service to good effect. Parents who have used the service say that the information, advice and support, such as dealing with school meetings, submitting complaints, attending tribunals and mediation, were timely, supportive and helpful. Parents described the support as 'fantastic' and 'amazing'.

Areas for development

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- Children and young people with SEND wait too long for an assessment of ASD. There are support services available for children and young people waiting for an ASD assessment. However, too many parents and carers are not aware of these services. Access to the children's community autism support service is dependent on a referral from education. This poor communication is leading to too many children and young people not being supported while they wait for an assessment.

- There are gaps in support for children and young people with ASD after diagnosis. Children and young people with needs classified as low level are able to access support. A small number of children and young people with ASD and more complex needs have been supported effectively by a key worker pilot project in the area. However, too many children and young people with ASD do not receive the support they require.

- There is mental health support available while children and young people wait for assessments. However, many parents are not aware of this support. As a result, some vulnerable children and young people are not able to get help while they wait, which may lead to a deterioration in their mental health. Some young people with SEND and their families confirmed this to us.

- The quality of the contributions of care and health to EHC plans has improved over the last 18 months. However, the quality of the input remains too variable.

- Full co-production of EHC plans has improved recently. However, there are still too many plans that do not reflect the views of children and young people and their families well enough.

- The extent to which Warwickshire mainstream primary and secondary schools are inclusive is variable. In the past, too many children and young people have been placed in specialist settings without proper consideration of whether their needs could be met in mainstream schools. This has resulted in some schools not accessing enough training for staff in primary and secondary schools because there was not seen to be the need for it. As a result, some schools lack the necessary expertise and understanding of how to support children and young people in their schools effectively. Several young people expressed some very negative views about their experiences in mainstream schools.

- Many parents feel that the online local offer is unhelpful, difficult to navigate, or do not know what it is. Area leaders know that the local offer is not fit for purpose. While they have acted to improve and redesign the local offer, the new local offer, at the time of this inspection, had not been launched.

- Leaders have no overview of young people from the age of 14 years with a learning disability who are eligible for or receiving an annual health review from their GP. Young people with a learning disability often have poorer

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physical and mental health. This means that leaders cannot be assured that the health needs of young people with SEND are being appropriately and regularly reviewed.

- A small number of children who do not attend an early years setting do not have their needs assessed by IDS in a timely manner. This is because the service does not accept referrals without several observations being submitted. As a result, some health visitor referrals are not accepted.

- Area leaders have had to implement important changes to improve the provision for children and young people with SEND. However, the rapid implementation of some of the changes has meant that many parents and school leaders feel that they have not been consulted. They do not have a clear understanding of why the changes have been made.

- Too many parents and carers also feel that area leaders do not communicate with them in a clear and straightforward manner and that they have to 'fight' to get the support their children need. This has led to fractured relationships between some parents and schools and area leaders.

The effectiveness of the local area in improving outcomes for children and young people with special educational needs and/or disabilities

Strengths

- Eighty per cent of the area's special schools are judged as good.

- Children and young people with SEND generally achieve well academically at the end of their early years experience. They continue to achieve positive academic outcomes throughout their primary and secondary education. Young people with SEND in post-16 provisions also generally achieve positive educational outcomes.

- A high proportion of young people with SEND continue to remain in employment, education and training after key stage 4.

- Young people with SEND are supported well to help them prepare for adulthood. The movement from child social care to adult services is well managed. Young people receive effective support, for example through a care coordinator. There is also effective provision in post-16 education settings to help young people to live independently. The number of adults with learning difficulties who are living independently is broadly in line with national figures.

- The percentage of young people with SEND in paid employment is higher than the national average. The number of young people accessing supported internships also grew significantly prior to the pandemic.

- Area leaders' actions to reduce fixed-term and permanent exclusions for children and young people with SEND have been very successful.

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Consequently, the number of exclusions and days lost from education has dropped.

- Historically, the number of children and young people with SEND who were permanently excluded from school was consistently above national figures. However, in 2018/2019 this figure dropped sharply and was in line with national data. All children and young people who have been permanently excluded from school are placed into another provision quickly through the fair access panel. Fixed-term exclusions for children and young people with SEND were well below the national figures in 2018/2019.

- Attendance rates for children and young people with SEND are very positive and have been consistently in line with or above national figures. Area leaders took decisive action throughout the COVID-19 pandemic and national lockdowns to ensure that children and young people with SEND could continue to attend school. For example, they provided school staff with personal protective equipment and prioritised special school staff for vaccinations. Clinically vulnerable children were able to continue to attend school as specialist aerosol generating procedures were also maintained.

- Historically, there were too many children and young people with SEND who were not on a school roll. Area leaders have addressed this issue and now all children and young people have a named placement.

- The speech and language service measures the improvement in children's speech, language and communication skills, both for individual children and young people with SEND, while also measuring the impact that this has on their families. In addition to this, they use these measurements to review the effectiveness of the speech and language therapy teams and of their care pathways. This means that the service is providing the right support and improving the speech, language and communication skills for children and young people with SEND.

Areas for improvement

- For 19-year-olds with EHC plans, academic outcomes are more inconsistent. The proportion of young people with an EHC plan who achieve level three and level two qualifications is variable.

- Too many families report that they are struggling to cope while waiting for an assessment of ASD and post diagnosis because of a lack of support.

The inspection raises significant concerns about the effectiveness of the local area.

The local area is required to produce and submit a Written Statement of Action to Ofsted that explains how the local area will tackle the following areas of significant weakness:

- the waiting times for ASD assessments, and weaknesses in the support for children and young people awaiting assessment and following diagnosis of ASD

- the fractured relationships with parents and carers and lack of clear communication and co-production at a strategic level

- the incorrect placement of some children and young people with EHC plans in specialist settings, and mainstream school leaders' understanding of why this needs to be addressed

- the lack of uptake of staff training for mainstream primary and secondary school staff to help them understand and meet the needs of children and young people with SEND

- the quality of the online local offer.

Yours sincerely

Ann Pritchard
Her Majesty's Inspector

Ofsted	Care Quality Commission
James McNeillie HMI Regional Director	Victoria Watkins Deputy Chief Inspector, Primary Medical Services, Children Health and Justice
Ann Pritchard HMI Lead Inspector	Tessa Valpy CQC Inspector
Peter Humphries HMI	

Cc: DfE Department for Education
Clinical commissioning group
Director Public Health for the local area
Department of Health
NHS England

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Warwickshire

Local Area Written Statement of Action (WSoA) for Special Educational Needs and Disabilities (SEND)
January 2022 – June 2023

Contents

Section 1 - Purpose of this Statement

Between 12 July and 16 July 2021, Ofsted and the Care Quality Commission (CQC) conducted a joint inspection of the Warwickshire local area to judge its effectiveness in implementing the special educational needs and disability (SEND) reforms set out in the Children and Families Act 2014. On 23 September 2021 the inspection report for Warwickshire was published and as a result of the findings of this inspection, Her Majesty's Chief Inspector (HMCI) has determined that a Written Statement of Action (WSoA) is required to address five significant areas of weakness in the local area's practice.

Warwickshire County Council (WCC) and Coventry and Warwickshire Clinical Commissioning Group (CCG) are jointly responsible for submitting the written statement which has been produced in conjunction with the Parent Carer Forum, Warwickshire Parent Carer Voice (WPCV).

The local area is committed to improving support, services and provision for children, young people, parents and carers in Warwickshire. We are committed to working in partnership, increasing co-production, and building on the expertise within the system. Since the inspection, senior leaders in WCC and CCG have been working with services and stakeholders to understand the actions we need to take to make improvements. These include parents and carers, staff, the SEND and Inclusion Partnership, and schools and settings.

This is our statement of action. It sets out our vision and priorities, the arrangements for working together to oversee this work, key themes from the inspection, the actions we will take to address the concerns identified by the inspectors and the framework we will use to measure performance.

Signatures - Nigel Minns (Director of Children's Services, Warwickshire County Council), Councillor Jeff Morgan (Portfolio Holder Education and Children's Services, Warwickshire County Council), Dr Sarah Raistrick (Chair of Coventry and Warwickshire Clinical Commissioning Group), Elaine Lambe (Chair of Warwickshire Parent Carer Voice).

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Section 2 - Vision and Priorities

Warwickshire County Council, the CCG and Warwickshire Parent Carer Voice have committed to a common SEND vision of ensuring:

'all children and young people have the right to lead a fulfilling life and be part of their community'

The local area is ambitious to do better for all our children, young people and young adults. We want children with SEND to thrive as members of their communities. All partners give priority to the views and aspirations of children, young people, young adults and their parent carers to enable a culture of mutual support, ownership, continuous growth and development. WCC, the CCG and WPCV have formed a SEND and Inclusion Steering Group together with the SEND and Inclusion Partnership to provide governance by continuously challenging, supporting and improving the quality of our work and our outcomes. This group also has representatives from Mainstream Schools, Special Schools, Health providers and the Community Voluntary Sector (CVS). The Schools Forum within Warwickshire also provides robust challenge to WCC in relation to its efficient use of resources.

Although there are many strengths, senior leaders recognise there are areas for further improvement across the system and welcome the feedback from the inspection to provide further focus to deliver our change plans.

Warwickshire's SEND and Inclusion Strategy sets out the agreed priorities for CYP with SEND. The SEND and Inclusion Change Programme builds on those priorities with four areas of focus:

➢ Improving the outcomes for our CYP

➢ Clear, transparent decision making

➢ Ensuring systems are sustainable

➢ Securing education, employment and training for young people with SEND aged 16-25

For clarity, it should also be noted that the term 'CYP' refers to children, young people and young adults. CYP with SEND refers to children and young people with Special Educational Needs and/or Disabilities who are supported at either SEN Support or who have an Education Health Care Plan (EHCP). Further terms are included in the glossary.

Section 3 - Arrangements for Working Together

We will make sure the right people are involved in this written statement of action and our improvement plans. This includes senior leaders, Councillors, partners, schools, staff, parents and carers, young people and young adults. Improvements will be delivered through a set of work-streams overseen by a joint SEND and Inclusion Steering Group with partnership accountability for delivering the WSoA and reported to the SEND and Inclusion Change Programme Board. Progress will also be overseen by WCC Corporate Board and Cabinet, and the CCG Governing Body and Clinical Quality and Governance Committee. The structure below shows how communication, delivery and accountability will work.
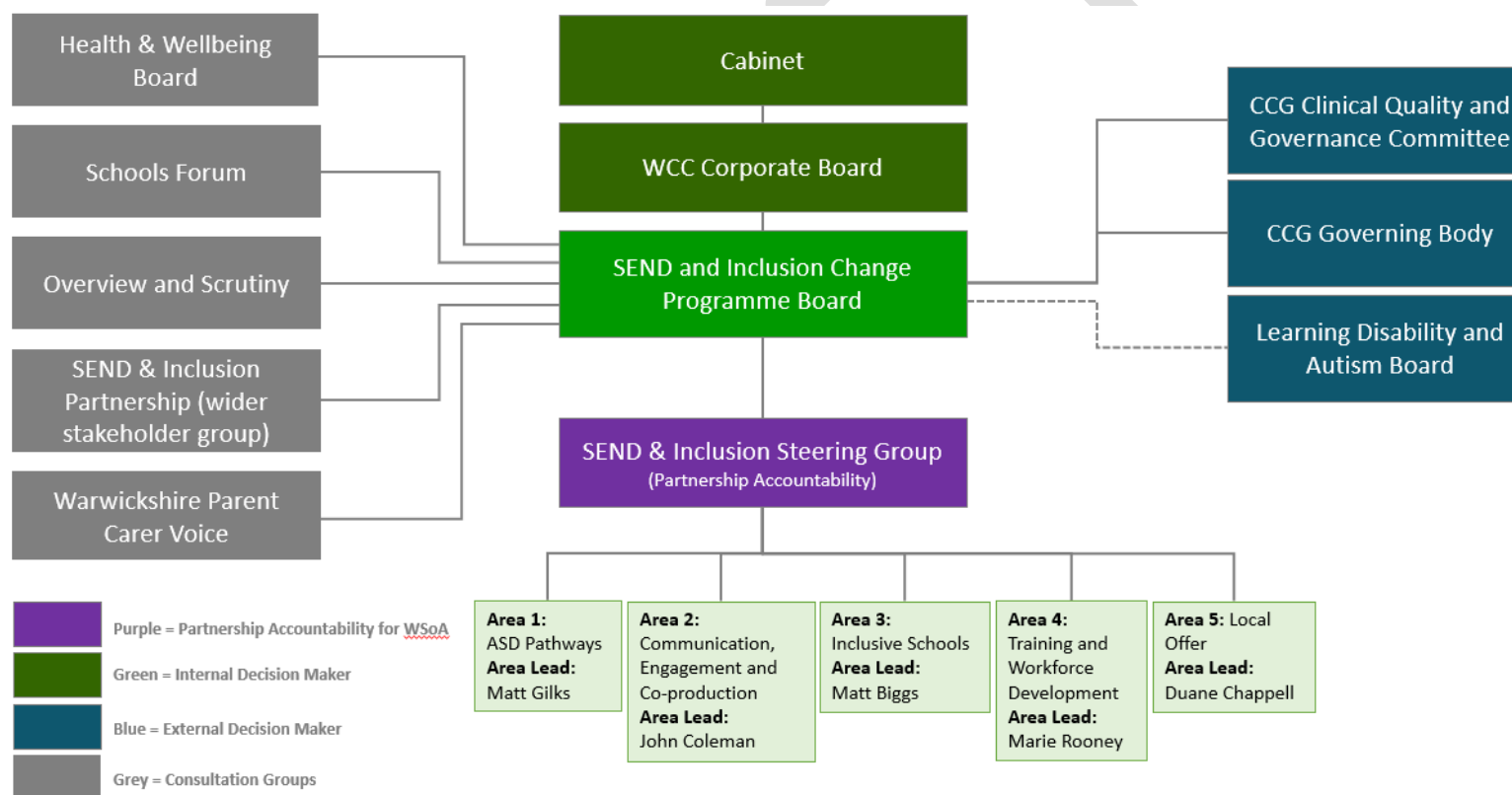
In addition to this, we will ensure that the voices of CYP are heard and acted upon. We will work with Warwickshire Parent Carer Voice to co-produce frameworks, and we will listen to feedback to judge the effectiveness of our work. We will also monitor our progress in our joint data dashboard and review regularly our Self Evaluation Framework.

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Section 4 - Significant Areas of Weakness

The significant areas of weakness identified by Ofsted and CQC are:

1. The waiting times for Autism Spectrum Disorder (ASD) assessments, and weaknesses in the support for CYP awaiting assessment and following diagnosis of ASD.

2. The fractured relationships with parents and carers and lack of clear communication and co-production at a strategic level.

3. The incorrect placement of some CYP with EHC plans in specialist settings, and mainstream school leaders' understanding of why this needs to be addressed.

4. The lack of uptake of staff training for mainstream primary and secondary school staff to help them understand and meet the needs of CYP with SEND.

5. The quality of the online local offer.

This statement of action describes how the local area will address and improve the above areas.

Note on Terminology: *There are many terms used to describe autism. In this document we will use the word **autism** and identity-first terminology ('**autistic individuals**' rather than 'individuals with ASD' or 'individuals with autism') when referring to autistic individuals. This approach is based on research (Autism Journal, 2015) which looked at the preferences of UK autistic community members around language used to describe autism, and is reflected in the national strategy for England ([National strategy for autistic children, young-people and adults (2021-26)](#). Unless otherwise stated, reference to "an autistic individual or individuals" includes children, young people and adults of all ages, across the autism spectrum at all levels of intellectual ability.*

RAG Ratings: In the following action plans, we will use the following to rate our progress:

Blue: Completed and embedded; Green: On track, no concerns; Amber: On track, some concerns; Red: No progress, major concerns; Grey: Not due yet

Section 5 - Local Area Response to Concerns

Area 1: The waiting times for Autism assessments, and weaknesses in the support for children and young people awaiting assessment and following diagnosis of Autism

Senior Responsible Officer – Matt Gilks (Director of Joint Commissioning, CWCCG)

Outcomes we will strive for:

➢ The waiting times for an autism diagnostic assessment are reduced.

➢ Children, young people, young adults and their families awaiting a diagnostic assessment can access a clear and coordinated pathway of support that meets their needs.

➢ Children, young people, young adults and their families following diagnosis of autism can access a clear and coordinated pathway of support that meets their needs.

Actions we will take	Lead	Evidence of success [what will change]	Impact measures [KPIs / targets]	Completion date	Progress Narrative (BRAG)
1.1 Reduce waiting times for autism diagnostic assessments *I statement: "I can access specialist support to help me to understand my autism and support me with my social, communication, sensory and emotional wellbeing."*					
1.1.1 Increase capacity for diagnostic assessment and post diagnostic support in the neurodevelopmental service to meet demand.	Helen Stephenson	The neurodevelopmental service has the capacity to meet ongoing demand for referrals. There is additional capacity commissioned to clear the backlog of individuals awaiting an assessment in line with an agreed trajectory, including post diagnostic interventions where required.	Longest wait for a diagnostic assessment reduced from 242 weeks to 13/26 weeks (TBA subject to business case).	June 2023 trajectory – TBA March 2024 trajectory - TBA	
1.1.2 Pilot and evaluate a	Ali Cole	Local area has evidence	Referrals from mental	December 2022	

differentiated model of assessment to enable 'straightforward' presentations to be diagnosed outside of the specialist neurodevelopmental service.		of effectiveness of different models.	health service, Paediatrics and educational psychology to the specialist neurodevelopmental service for a diagnostic assessment reduce by 10% (tbc).		
		Autistic individuals are diagnosed by professionals outside of the specialist service, including mental health service, Paediatrics and educational psychology.	Feedback from autistic CYP and professionals involved show if pre-assessment and post diagnostic support has improved.		

1.2 Develop a pathway of support for children, young people and adults awaiting a diagnostic assessment and/or post autism diagnosis

I statement "I don't have to wait until I have a diagnosis or am in crisis to get the help I need."

| 1.2.1 Improve the self-help offer through improving awareness of local services and support via an online portal for information and advice, a promotional campaign and conferences to bring together young people, families and support services. | Ali Cole | An online information portal is published and promoted widely.

A conference is delivered for 300 families (to repeat the successful Together with Autism conference in January 2020). | Increase in number of families and professionals reporting they have accessed useful information and advice in relation to autism diagnosis and support. | December 2022 | |
| --- | --- | --- | --- | --- | --- |
| | | | Increase in knowledge and understanding of the self-help offer from conference attendees. | May 2022 | |
| 1.2.2 Recommission the all-age community support | Ali Cole | New single pathway for support and diagnosis is | Increase in parents, carers and autistic | October 2022 | |

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service for neurodiverse individuals to: - Introduce a single front door for referrals for neurodiversity support and diagnosis to provide enhanced triage and ensure individuals are supported while awaiting a diagnostic assessment - provide an advice and navigation function for individuals seeking an assessment, those diagnosed with autism and their families - provide low and medium level support pre and post diagnosis for young people and families		in place. Families and professionals know how to access pre and post assessment and diagnostic support and be supported to do so by professionals and services.	individuals reporting improved pre and post assessment and diagnostic support, identified via a range of feedback mechanisms.	Evaluation by June 2023	
			Increase in the percentage of individuals surveyed who accessed support while awaiting an assessment from a baseline of 52.9% to 70%.	December 2022	
			Decrease in the percentage of professionals surveyed who are not aware of an autism pathway from 27% to 15%.	December 2022	
1.2.3 Develop and implement an education-led stepped approach to access multi-agency support for neurodivergent children and young people to enable access to adjustments and support in education pre assessment and post diagnosis.	Marie Rooney, Ali Cole	An agreed and published stepped approach is in place with health, social care and education input for autistic children, young people and adults	Reduction in the number of families and professionals who state that diagnosis is required to access adjustments in education from a baseline of 85% (survey to be repeated December 2022).	September 2022	

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			Feedback from CYP, parents and professionals on how the education-led stepped approach has improved their outcomes.	March 2023	
1.2.4 Map demand and capacity of Speech and Language Therapy and Occupational Therapy Services to address any gaps in support in the neurodevelopmental pathway.	Natasha Lloyd-Lucas	Gaps in specialist support for communication and sensory needs are understood to inform commissioning intentions and resource allocation.	Individuals awaiting an assessment or following a diagnosis report that they have accessed support with communication and sensory needs (via survey December 2022).	August 2022	
		Proposals are co-produced for speech and language therapy and OT services.			
1.2.5 Ensure there is an appropriate and accessible offer within Emotional Wellbeing and Specialist Mental Health (MH) provision for autistic children, young people and young adults through a combination of staff training and increased joint working between emotional wellbeing, specialist mental health and autism services.	Michelle Rudd	Skills audit, competency framework and training plan developed.	Staff in emotional wellbeing and specialist MH services are better skilled and able to identify and support autistic people. Demonstrated by repeating skills audits in February 2022 and March 2023 to measure uptake of autism training and confidence in supporting autistic people.	March 2022	
		Training plan delivered to 80% staff including internal and external training, supported by detail from the skills audit and an agreed snapshot from the Neurodevelopment team to consider staff experiences.		March 2023	
		Neurodevelopmental liaison roles are in place and working with MH practitioners to identify and support autistic people.	Autistic CYP and adults who experience poor mental health	September 2022	

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| | | Autistic individuals and those with lived experience of autism are employed as peer mentors within CWPT.

To explore increasing the Expert by Experience module that currently is accessible on Electronic Staff Records, to promote culture change and increase staff awareness. To include looking at access to and barriers to using the training tool.

Review staff groups and evaluate training programs.

To evaluate the usage of the dimensions tool to promote accessibility to MH services at Early help level (PMHT and MHST). | and wellbeing can access support that is adjusted to meet their needs to prevent their needs escalating. This will be measured through the CORC accredited Routine Outcome Model used in the RISE service to monitor impact of change and service delivery (ORS and SRS). Specific case studies will be developed to demonstrate the experience of autistic CYP within the CORC model.

To audit the impact of access to services at an Early Help level aided by the Dimensions tool. | September 2022 | |

Area 2: The fractured relationships with parents and carers and lack of clear communication and co-production at a strategic level

Senior Responsible Officer – John Coleman (Assistant Director, Children and Families, WCC)

Outcomes we will strive for:

➢ Strengthened relationships with parents and carers to build trust and confidence in the SEND system.

➢ Effective approach to communication in place with children, young people and their families.

➢ Whole system approach to co-production at a strategic level with children, young people and their families across Education, Health and Social Care.

Actions we will take	Lead	Evidence of success	Impact measures (KPIs/targets)	Completion date	Progress (BRAG)
2.1 Strengthen relationships with parents and carers					
I statement for Parent Carers "I feel understood, involved, valued and respected"					
2.1.1 Co-produce a framework to strengthen relationships with parents and carers.	Sam Craven, Jo Mann	Restorative Framework and staff training in place, with a focus on 'high support and high challenge' to enable productive relationships that lead to positive change.	100% of SEND and Inclusion Service staff attend Restorative Practice training. CYP and their families have a more positive experience working with WCC officers.	Phased approach by June 2023	
		Plan to strengthen disagreement resolution is in place, including establishing a baseline.	Reduction in the number of parents and carers accessing formal mediation through SENDIST. Feedback about how families feel more understood, involved, valued and respected.	September 2022	

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		Mechanism in place to capture the learning from engagement with the Community and Voluntary Sector.	Increase in understanding about what life is like for families with SEND.		
		Process to capture learning from complaints and feedback is in place.	Number of complaints resolved through a restorative approach. 'You said, we listened' & 'You said, we did' in response to learning from feedback.		

2.2 Develop an effective approach to communication with parents and carers

I statement for Parent Carers "I am given the information I need, when I need it in a format that I can understand"

2.2.1 Co-produce a Corporate Framework an agreed communications approach between WCC, CCG and WPCV.	Lisa Mowe, Sam Craven	Communication Strategy and Action Plan are in place.	100% of key stakeholders are aware of the Communication Strategy and Action Plan.	January 2022	
		Communications approach in place, to include surveys, engagement programme.	Increase in communication with CYP and their families. CYP and their families feel communication has improved.	February 2022	
		Communication in place with schools around SEND.	80% of schools understand the range of services and how to support families.		
		System for capturing live feedback in place.	Performance monitoring shows families feel heard and services are better informed by feedback.	September 2022	
		Corporate framework	Evaluation of corporate framework including	September 2022	

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		developed and in place.	capturing feedback from professionals, CYP, parent carers to inform service development.		

2.3 Develop a whole system approach to co-production

I statement for Parent Carers and CYP "I know we are included in the design, development and evaluation of policies and services"

2.3.1 Develop a Co-production Strategy with key stakeholders and the WPCV.	Shinderpaul Bhangal, Sam Craven	Co-production and Engagement Hub in place to enable engagement with parents, carers, CYP, senior leaders and officers.	WCC & WPCV joint evaluation to assess effectiveness of Co-production and Engagement Hub and increased influence on design, delivery and evaluation of services.	March 2022	
		Level of oversight, co-production and influence of WPCV and CYP in decision making in projects is agreed.	Service improvement starts from understanding the parent carer and CYP's experience and considers the value of this contribution, which is embedded in planning, delivery and evaluation - space is created, voice is enabled, audience is provided, and influence is demonstrated.	April 2022	
		A platform to capture the voice of children and young people is in place.	CYP feel engaged and listened to – space is created, voice is enabled, audience is provided, and influence is demonstrated.	May 2022	
		Co-production Strategy developed and training in place.	100% of SEND and Inclusion Staff attend co-production training.	September 2022	

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			Evaluation of co-production training shows awareness, understanding and application of Co-production Strategy and approaches.		
2.3.2 Develop an agreement for recruitment activities to include a member of WPCV and/or young person for operational and strategic SEND roles in WCC and CWCCG.	Shinderpaul Bhangal	Agreement and plan in place for recruitment for operational and strategic SEND roles to include a member of WPCV and/or CYP.	% of recruitment that has involved CYP or parent carers.	December 2022	
			Feedback from CYP and parent carers on how they felt listened to, involved in decision making and satisfaction with the process.		
2.3.3 Develop an agreement to include a member of WPCV and/or young person in scoring SEND commissioned services, and also develop a parent and young person inspectors process to form part of our quality assurance functions.	Shinderpaul Bhangal	Agreement and plan of activity in place.	% of commissioning activities that have involved CYP or parent carers.	December 2022	
			Feedback from CYP and parent carers on how they felt listened to, involved in decision making and satisfaction with the process.		

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Area 3: Incorrect placement of some CYP with EHC plans in specialist settings, and mainstream school leaders' understanding of why this needs to be addressed

Senior Responsible Officer - Matt Biggs (Education and Early Years Strategy and Commissioning Manager, WCC)

Outcomes we will strive for:

➢ Mainstream school leaders' understanding of why the placement of some children needs to be addressed.

➢ The correct placement of children and young people with EHC plans.

Actions we will take	Lead	Evidence of success	Impact measures [KPIs/targets]	Completion date	Progress/Impact (BRAG)
3.1 Improve mainstream school leaders' understanding of why the placement of some children needs to be addressed *I statement for children and young people "People know my needs and I know I am in the right school for me"*					
3.1.1 Set up an Inclusive Schools Consortia Working Group to co-produce an Inclusion Action plan in primary and secondary schools (in collaboration with Area 3).	Matt Biggs, Darren Barrow	Terms of Reference in place for Inclusive Schools Consortia Working Group and establish roles and responsibilities of change agents/champions.	100% Consortia/ Network chairs sign off on Terms of Reference.	March 2022	
		Whole school SEND audit carried out.	100% of participating primary and secondary schools have a baseline report from SEND Audit.	June 2022 (with follow up audits in May 2023)	
			Increase in participating schools recording a 25% improvement against judgement on the	December 2022	

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			previous year.		
		Questionnaires developed for CYP and their families (including baselining) to ascertain their level of confidence in mainstream schools to meet the needs of CYP with SEND.	50% of CYP and their families return the survey. 80% of CYP and families surveyed are confident in mainstream schools' ability to meet the needs of CYP with SEND.	March 2022 (follow up questionnaires in March 2023)	
		Change Agents identified with delegated responsibility to appoint Change Champions (in collaboration with Area 4).	8 Change Agents in place in schools. Communication with 100% of schools with named Change Champions.	March 2022	
		A robust, inclusive offer/framework developed for Warwickshire schools working with school Consortia.	50% Consortia/ network chairs sign off inclusive offer/framework for schools.		
		Promotion of Inclusion Charter to Warwickshire's Family of schools via events and briefings (in collaboration with Area 4).	50% schools access the promotion of the inclusion framework.		

3.2 Ensure an ongoing sustainable model for inclusive practice to ensure the correct placement of children and young people with EHC plans

I statement for children and young people "I feel safe and included in my school"

3.2.1 Plan for School Improvement categorization (Sept 2023 implementation) process to encompass	Matt Biggs	Change Agents and Change Champions work alongside identified schools within Consortia	100% of schools have an identified Change Agent and Champion.	December 2022	

Inclusion as a core element, with peer-to- peer review, self-evaluation, and quantitative data. Inclusive practice (in collaboration with Area 4).		to strengthen and embed practice, using assessment criteria.			
		Re-survey CYP and their families carried out.	25% improvement in satisfaction of CYP and their families.		
	Darren Barrow	Succession planning is embedded so Change Agents, Champions and SEND SLEs are replaced/ recruited.	Change Agents, Champions and SEND SLEs are in place and allocated to all mainstream schools.	January 2023	
	Margot Brown	Categorisation process includes a section on inclusive provision.	School Improvement categorisation process in place in all schools.	May 2023	

Area 4: The lack of uptake staff training for mainstream primary and secondary school staff to help them understand and meet the needs of CYP with SEND

Senior Responsible Officer: Marie Rooney, Head of SEND and Inclusion and Educational Entitlement, WCC
Outcomes we will strive for:

➢ School staff are knowledgeable about, and confident in, meeting the needs of CYP with SEND in primary schools.

➢ School staff are knowledgeable about, and confident in, meeting the needs of CYP with SEND in secondary schools.

Actions we will we take	Lead	Evidence of success	Impact measures [KPIs/targets]	Completion date	Progress (BRAG)
4.1 Increase knowledge and confidence of primary and secondary school staff in meeting the needs of CYP with SEND					
I statement for children and young People "I know that if I need support that the staff in my school know how to help me"					
4.1.1 Set up a local workforce development task group to co-produce the workforce development action plan in primary and secondary schools (in collaboration with Area 3).	Marie Rooney	Terms of reference for group and action plan with aligned accountability framework agreed and in place.	100% of colleagues sign off terms of reference and accountability framework.	March 2022	
		Schedule of surveys (including baselining) established with school staff to measure their uptake in training and confidence levels in meeting needs of CYP with SEND.	50% schools return survey. 80% of staff surveyed feel more knowledgeable, confident, and have increased level of understanding in meeting the needs of CYP with SEND.		
		Schedule of questionnaires established for CYP and their families	50% parent carers/CYP feel school staff are more knowledgeable and confident in meeting the needs of CYP		

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		(including baselining) to ascertain their level of confidence in mainstream schools.	with SEND.		
		Programme of targeted support delivered to schools who need support to improve their understanding of how to meet the needs of CYP with SEND.	50% of schools take up training. 80% of delegates attending training report that the programme gave them a good or better understanding of how to meet the needs of CYP with SEND.		
		SEND training delivered to WCC maintained school Governors.	50% of Governors attend training. 90% of attendees agree they are more confident in their role around improving outcomes for CYP with SEND.		

4.2 Develop the role of the Area Analysis Group (AAG) and Education Challenge Board to enable a framework of ongoing challenge and support across Warwickshire mainstream schools moving forward

I statement for children and young people "I know that schools will try hard and will have to show what they are doing"

4.2.1 Develop the role of the Area Analysis Group (AAG) and Education Challenge Board, with an agenda focus on improvements for CYP with SEND (in collaboration with Area 3).	Marie Rooney	Categorisation process in place to detail the % CYP with EHCP in schools/ academies.	Increase in CYP with EHCP in schools/ academies to be in line or above statistical neighbours.	December 2022	
		Action plan agreed with schools outlining how they will continue to upskill their workforce to respond to the needs of CYP with SEND.	80% of schools have an action plan outlining how they will continue to upskill their workforce to meet the needs of CYP with SEND.		

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Area 5: The quality of the online local offer

Senior Responsible Officer - Duane Chappell, Strategy and Commissioning Manager, SEND and Inclusion, WCC

Outcomes we will strive for:

➢ The quality of the online local offer is fit for purpose.

Actions we will take	Lead	Evidence of success	Impact measures [KPIs/targets]	Completion date	Progress (BRAG)
5.1 Ensure the quality of the online local offer is fit for purpose					
I statement for Parent Carers and CYP "I can find the information I need, and it is easy for me to understand"					
5.1.1 Re-design and update the online local offer working with children and young people, parents, carers and professionals.	Jo Rolls	New local offer pages are developed with CYP, parent carers and professionals.	Increase in webpage hits to demonstrate improved engagement with the local offer webpages. Decrease in one click webpage enquiries shows that people are engaging with the local offer pages.	October 2021 (launch)	
5.1.2 Launch and promote the new online local offer to it is clear to everyone what is available in the local area.	Jo Rolls & Linda Saw	New online local offer is live.	Increased number of visits to local offer webpages.	November 2021	Local offer launched on 13/10/21.
		Landing page is improved including an explanation of the local offer and promotion of SENDIAS.	80% of the feedback on the landing page is rated good or better.	October 2021	
		Local offer is promoted via a range of platforms e.g., social media, news releases, newsletters, briefings with Head Teachers, SENCOs, WPCV, SENDIAS and professionals.	Parents, carers, CYP and professionals use the local offer regularly, with increased visits to webpages and feedback captured. 60% increase in webpage hits, from Jan 2021 – Jan 2022.	December 2021	

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		Videos of 'What is the local offer?' and 'How to use the local offer' produced and uploaded.	Increase in number of visitors to the webpages and understanding of the local offer by CYP, parent carers and professionals.	March 2022	
		'Reach Deck' trial (accessibility tool) carried out to assess if more people access the local offer.	Increase in people accessing the local offer.	February 2022	
		Posters and leaflets are produced and distributed throughout Warwickshire with QR codes e.g., to schools, Children & Family Centres, GPs.	100% of schools, Children & Family Centres, GPs settings displaying posters/QR codes.	March 2022	
			50% of families and professionals who contact the helpline report that they accessed useful information from the flyers.		
5.1.3 Maintain the local offer webpages to ensure information is fit for purpose and kept up to date.	Linda Saw	Feedback form included on the local offer pages and service users regularly provide feedback.	The feedback form on the local offer webpages demonstrates that 70% of users can find what they are looking for.	December 2021	
		An established subject matter expert group consisting of various professionals and process in place to provide termly updates.	Local offer is up to date and marketed so that CYP, parents, carers and professional continue to use it and find it helpful.	March 2022	
		Ongoing co- production groups for young people, parent carers and professionals in place.	Young people, parent carers and professionals felt listened to, involved in decision making and satisfaction with the process.	April 2022	

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Section 6 - Local Area Monitoring Arrangements

With baselines established open implementation of WSoA and targets agreed by Action Leads as identified within the plan

Monthly	
KPI's	Discussions and challenge held at Education & SEND Senior Management Team and CCG SMT meetings

6-weekly	
WSoA interim reports on Progress	Targeted WSoA updates to SEND and Inclusion Steering Group (exception reporting of issues)

Quarterly	
WSoA formal reports on progress of actions within plan	Full WSoA update to SEND and Inclusion Board, SEND Member Panel, NHSE and DfE

6-monthly	
Political oversight of WSoA	Full WSoA update to Children and Young People's Overview and Scrutiny Committee

Warwickshire Parent Carer Voice are strategic partners of the SEND and Inclusion Steering Group and Change Programme Board, bringing the voice of our children and young people and their families into our monitoring. We will also, through workstreams and projects, engage our parents and carers in evaluating the progress that we are making on targeted areas, in line with our Written Statement of Action commitments.

Appendix 1 - SEND and Inclusion Steering Group Members

Role	Name	Agency
Strategic Director Communities	Mark Ryder	WCC
Strategic Director People	Nigel Minns	WCC
Director of Joint Commissioning	Matt Gilks	CWCCG
Senior Transformation Manager	Heather Kelly	CWCCG
Warwickshire Parent Carer Voice, Chair	Elaine Lambe	WPCV
Director of Nursing	Fiona Burton	SWFT
Assistant Director Education	Ian Budd/Chris Baird	WCC
Strategy and Commissioning Manager, SEND and Inclusion	Duane Chappell	WCC
Assistant Director People, Strategy and Commissioning	Becky Hale	WCC
Assistant Director Children & Families	John Coleman	WCC
Assistant Director People, Adult Social Care (Delivery)	Pete Sidgwick	WCC
Chief Operating Officer	Sonya Gardiner	CWPT
Change Delivery Lead	Rachel Barnes	WCC
Programme Manager	Ruth Bell	WCC

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Appendix 2 – Area Working Group Members

Role	Name	Agency
Area 1: The waiting times for Autism assessments, and weaknesses in the support for children and young people awaiting assessment and following diagnosis of Autism		
Director of Commissioning,	Matt Gilks	CWCCG
Associate Director for LD and Autism	Helen Stephenson	CWPT
Warwickshire Parent Carer Voice	Cathy Wassell	WPCV
Senior Joint Commissioner Joint Disabilities and Autism	Ali Cole	WCC
Strategic Lead for Alternative Provision	Marie Rooney	WCC
Senior Transformation Manager	Natasha Lloyd-Lucas	CWCCG
Designated Clinical Officer (DCO) and Consultant Paediatric Community Nurse	David Widdas	SWFT
Lead Commissioner (Family Wellbeing, Public Health)	Kate Sahota	WCC
RISE Head of Service	Michelle Rudd	CWPT
Area 2: The fractured relationships with parents and carers and lack of clear communication and co-production at a strategic level		
Assistant Director, Children & Families	John Coleman	WCC
Development Team Manager, Children & Families	Jo Mann	WCC
Co-production & Research Officer	Sam Craven	WCC
Delivery Lead - Marketing and Communication	Lisa Mowe	WCC
Warwickshire Parent Carer Voice	Elaine Lambe	WPCV
Senior Transformation Manager	Heather Kelly	CWCCG
C&F Social Work Operational Team Leader	Shinderpaul Bhangal	WCC
Warwickshire SENDIAS Coordinator	Elaine Harvey	SENDIAS
Area 3: Incorrect placement of some CYP with EHC plans in specialist settings, and mainstream school leaders' understanding of why this needs to be addressed		
Strategy and Commissioning Manager (Education & Early Years)	Matt Biggs	WCC
Schools Sustainability Lead Officer	Darren Barrow	WCC
Strategic Lead for Alternative Provision	Marie Rooney	WCC
Warwickshire Parent Carer Voice	Tricia Elliot	WPCV
Principal Educational Psychologist	Tracey Underwood	WCC

Project Manager	Rhiannon Davies	WCC
Warwickshire SENDIAS Coordinator	Elaine Harvey	SENDIAS
Area 4: The lack of uptake staff training for mainstream primary and secondary school staff to help them understand and meet the needs of CYP with SEND		
Strategic Lead for Alternative Provision	Marie Rooney	WCC
Strategy and Commissioning Manager (Education & Early Years)	Matt Biggs	WCC
Service Manager for Early Help and Targeted Support Services	Marina Kitchen	WCC
Senior Joint Commissioner Joint Disabilities and Autism	Ali Cole	WCC/CWCCG
Project Manager	Toni Wynn	WCC
Warwickshire Parent Carer Voice	Tricia Elliot	WPCV
Area 5: The quality of the online local offer		
Family Information Service (FIS) Operations Manager	Jo Rolls	WCC
Family Information Service (FIS) Officer	Linda Saw	WCC
Project Manager	Max Beesley	WCC
Manager EMTAS and SEND & Inclusion Change Programme Integrated Services Lead	Tammy Mason	WCC
Warwickshire Parent Carer Voice	Melissa Odling	WPCV

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Appendix 3 - Groups Involved in the Production of WSoA

Date	Meeting and attendees	Description
07/09/21	SEND & Inclusion Steering Group set up (senior leads from across education, health and social care and WPCV)	Template and Terms of Reference for Steering Group agreed.
21/09/21	SEND & Inclusion Steering Group, chaired by Mark Ryder	Area leads, Communications Plan and governance agreed.
23/09/21	Briefings to stakeholders by Duane Chappell and Mark Ryder (following publication of final inspection report)	Meetings with staff, head teachers, parent carers, governors, and members.
24/09/21	Update to Trade Unions by Duane Chappell	Update provided on the inspection to Trade Unions.
27/09/21	Special School Heads meeting with Duane Chappell and Marie Rooney	Meeting to discuss findings of the inspection and next steps.
27/09/21	Meeting with regional PCF lead, Zara Bowden	Meeting to share good practice from other areas around coproduction and engagement with parent carers.
28/09/21	Head Teachers briefing by Duane Chappell	Briefing for Head Teachers on the inspection findings.
30/09/21	Schools Forum briefing by Duane Chappell	Update to Schools Forum on outcome of inspection.
30/09/21	Early Years managers meeting with Duane Chappell and Rachel Barnes	Presentation and discussion about inspection findings and change programme.
01/10/21	Initial Senior Officers Meeting with DfE and NHSE, senior leads from education, health and social care and WPCV	Initial feedback on draft WSoA and approach.
01/10/21	Leader and Portfolio Holder briefing with Duane Chappell and Rachel Barnes	Meeting to discuss inspection outcomes and next steps.
05/10/21	Template shared with Area leads and working groups set up	Working groups mobilised to develop the WSoA.
06/10/21	Community and voluntary sector workshop with Duane Chappell and Rachel Barnes	Feedback on the inspection, SEND & Inclusion change programme and discussion.
07/10/21	SENDIAS meeting with Duane Chappell	Meeting to discuss the outcomes of the inspection and next steps.
07/10/21	Specialist Neurodevelopmental Diagnostic Service Redesign task and finish group	Meeting to discuss differentiated diagnostic arrangements (part of Neurodevelopmental Transformation programme).
11/10/21	Parents and carers survey circulated by WPCV	Survey to gather feedback on the priorities and improvements needed following the inspection.

15/10/21	Extraordinary Meeting of Neurodevelopmental Transformation Steering Group	Meeting to discuss approach to reducing assessment backlog including prioritisation criteria for that.
18/10/21	Briefing Notes to Children and Young People Overview and Scrutiny on the inspection by Duane Chappell and Rachel Barnes	Briefing shared with Overview and Scrutiny Committee via the portfolio holder, Councillor Jeff Morgan.
21/10/21	SEND Partnership Meeting with Duane Chappell and Ross Caws	Update on the inspection outcomes and WSoA.
01/11/21	SEND and Inclusion Steering Group	Feedback on first draft of WSoA.
03/11/21	Head Teachers Conference – update by Duane Chappell and WSoA area leads with guest speaker Kim Garland, Head Teacher of Brimsham Green School in South Gloucestershire (inclusion focus)	Update and discussion on inspection outcomes, WSoA and change programme.
04/11/21	Parent Carer webinar with Elaine Lambe and Sam Craven	Webinar by WPCV and WCC to strengthen relationships with parents and carers and work together to improve SEND services.
05/11/21	Neurodevelopmental Transformation Steering Group	One of regular meetings aimed at discussing progress on Neurodevelopmental Transformation programme incl addressing current backlog of referrals and redesign of the diagnostic pathway.
16/11/21	Corporate Board, WCC with Duane Chappell and Rachel Barnes	Feedback on draft WSoA.
16/11/21	Children and Young People Overview and Scrutiny Committee presentation by Duane Chappell, Rachel Barnes, Mark Ryder and Nigel Minns	Feedback on draft WSoA.
24/11/21	Chair of Governors Meeting update by Duane Chappell and Rachel Barnes	Update and discussion on Written Statement of Action.
25/11/21	Head Teachers meeting with Marie Rooney, Matt Biggs, Tracey Underwood and Rachel Barnes	Further discussion on the Written Statement of Action.
25/11/21	Clinical Quality and Governance Committee, CWCCG	Consideration and recommendation to Governing Body on WSoA.
07/12/21	Cabinet, WCC	Approval of draft WSoA.
08/12/21	Joint Children and Young People and Adult Social Care & Health OSC update by Duane Chappell and Rachel Barnes	Oversight and feedback on the draft WSoA.
15/12/21	Governing Body, CWCCG	Approval of draft WSoA.
17/12/21	WCC and CWCCG senior officers and Portfolio Holder	Final approval of WSoA.

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Appendix 4 - Glossary

	Description		Description
AAG	Area Analysis Group (schools)	CWPT	Coventry and Warwickshire Partnership Trust
AATI	Attachment and Trauma Informed	CYP	Children and Young People
ABP	Area Behaviour Partnership	DCO	Designated Clinical Officer
ACEs	Adverse Childhood Experiences	DfE	Department for Education
ADHD	Attention Deficit and Hyperactivity Disorder	DMO	Designated Medical Officer
AEP	Alternative Education Provision	DSG	Dedicated Schools Grant
ALDAAR	Autism & Learning Disability Admission Avoidance Register	DSL	Designated Safeguarding Lead
ALT	Acute Liaison Team	DSW	Designated Social Worker
AP	Alternative Provision	EDT	Emergency Duty Team
ASC	Autistic Spectrum Condition	EET	Education Entitlement Team
ASD	Autistic Spectrum Disorder	EET	Education Employment Team
AQA	Assessment and Qualification Alliance	EHCP	Education, Health and Care Plan
BSL	British Sign Language	EHCna	Education Health and Care needs assessment
CAMHS	Child and Adolescent Mental Health Service	EHE	Elective Home Education
CCG	Clinical Commissioning Group	EMTAS	Ethnic Minorities and Traveller Achievement Service
CCN	Community Children's Nursing	ENAS	Extended Non-Attendance at School
CETRs	Care Education Treatment Reviews	EP	Educational Psychologist
CHC	Continuing Health Care	EPS	Educational Psychology Service
CHSWG	Children's Hearing Service Working Group	EY	Early Years
CIN	Child in Need	EYFS	Early Years Foundation Stage
CiN	Communication and Interaction Needs	FAP	Fair Access Protocol
CLA	Child(ren) Looked After	FE	Further Education
CLDT	Community Learning Disability Team	FIS	Family Information Service
COVID	Coronavirus Disease	FLT	Flex Learning Team
CQC	Care Quality Commission	FTE	Full-Time Equivalent
CVS	Community Voluntary Sector	GCSE	General Certificate of Secondary Education
CWCCG	Coventry & Warwickshire Clinical Commissioning Group	GLD	Good Level of Development
CWD	Children with Disabilities	GP	General Practitioner
CWDT	Children with Disabilities Team	GRT	Gypsy Roma Traveller

HCP	Healthy Child Programme	**SDQ**	Strengths and Difficulties Questionnaire
HELAC	Health Looked After Children	**SEF**	Self-Evaluation Framework
HI	Hearing Impairment	**SEMH**	Social, Emotional and Mental Health
HV	Health Visitor	**SEN**	Special Educational Needs
IPBS	Intensive Positive Behaviour Support	**SEND**	Special Educational Needs and Disabilities
IDACI	Income Deprivation Affecting Children Index	**SENDAR**	SEND Assessment and Review Service
IDS	Integrated Disability Service	**SENCO**	Special Educational Needs & Disabilities Coordinator
IEP	Individual Education Plan	**SENDIAS**	SEND Information and Advice Service
IHCP	Health Care Plan	**SENS**	SEND Support
ILACS	Inspection of Local Authority Children's Services	**SICP**	SEND and Inclusion Change Programme
ILEAP	Inclusive Leisure Education Activity Project	**SN**	School Nurse
ISP	Independent Specialist Provision	**SPA**	Single Point of Access
IST	Intensive Support Team	**STS**	Specialist Teaching Service
JSNA	Joint Strategic Needs Assessment	**SWFT**	South Warwickshire Foundation Trust
KPI	Key Performance Indicator(s)	**TCP**	Transforming Care Partnership
KS	Key Stage	**VCS**	Voluntary Community Services
LA	Local Authority	**WCC**	Warwickshire County Council
LD	Learning Disability	**WincKs**	Warwickshire Inclusive Nursery Kitemarking Scheme
LGA	Local Government Association	**WYJS**	Warwickshire Youth Justice Service
LTP	Local Transformation Plan	**YP**	Young Person
MASH	Multi-Agency Safeguarding Hub		
MEG	Multi-Agency Panel (Health)		
NDTI	National Development Team for Inclusion		
NEET	Not in Education, Employment or Training		
NHS	National Health Service		
OT	Occupational Therapy		
PACT	Paediatric Autism Communication Therapy		
PCF	Parent Carer Forum		
PEP	Personal Education Plan		
PVI	Private, Voluntary, and Independent		
QoL	Quality of Life		
RWM	Reading, Writing and Maths		

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